

12-08

**RESOLUTION OF THE MEMBERS OF THE BOARD OF THE ALBANY
CONVENTION CENTER AUTHORITY AUTHORIZING THE ADOPTION OF A
RECORDS RETENTION AND DISPOSITION SCHEDULE**

May 30, 2008

WHEREAS, the Albany Convention Center Authority (the "Authority") is a public benefit corporation established to design, develop, plan, finance, create, site, construct, renovate, administer, operate, manage, and maintain a convention center and related facilities to be located in the City of Albany, New York (the "Project"); and

WHEREAS, pursuant to Article 57-A of the Arts and Cultural Affairs Law and the regulations promulgated pursuant thereto, the ACCA is required to formally adopt by resolution a Records Retention and Disposition Schedule, which indicates the minimum length of time that Authority officials must retain records before such records may be disposed of; and

WHEREAS, pursuant to 8 NYCRR Part 185, the ACCA by definition is classified as a local government for purposes of the regulatory Records Retention and Disposition Schedule contained in the Appendices thereof;

NOW, THEREFORE BE IT RESOLVED by the Members of the Board of the Authority that the Authority hereby adopts a Record Retention and Disposition Schedule, as attached hereto, in accordance with the Record Retention and Disposition Schedule MI-1, issued pursuant to Article 57-A of the Arts and Cultural affairs Law, and containing legal minimum retention periods for local government records.

This resolution shall take effect immediately.



**ALBANY CONVENTION CENTER AUTHORITY
("ACCA")**

RECORD RETENTION AND DISPOSITION SCHEDULE

The purposes of this schedule are to: (1) ensure that records are retained as long as needed for administrative, legal and fiscal purposes; (2) ensure that state and federal record retention requirements are met; (3) ensure that records with enduring historical and other research value are identified and retained permanently; and (4) encourage and facilitate the systematic disposal of unneeded records.

This schedule was established in accordance with Schedule MI-1 issued pursuant to the Arts and Cultural Affairs Law for public benefit corporations performing regional or local government functions.

Use of the Schedule:

Document types in the schedule are arranged by the following categories: (1) General; (2) Archives/Record Management; (3) Attorney/Counsel; (4) Building and Construction; (5) Audit; (6) Banking and Investment; (7) Bonds and Notes; (8) Budget; (9) Claims and Warrants; (10) General Accounting and Miscellaneous; (11) Payroll; (12) Purchasing; and (13) Reports.

Many of the document types are broad and describe the purpose or function of records rather than identifying individual documents and forms. ACCA officials should match the records in their offices with the generalized descriptions on the schedule to determine appropriate retention periods.

Retention periods on this schedule apply to one "official" copy designated by the ACCA unless otherwise stated. The retention periods listed on this schedule pertain to the information contained in records, regardless of physical form or character (paper, microfilm, computer disk or tape, or other medium).

1. GENERAL

Official minutes and hearing proceedings of the board including all records accepted as part of minutes.	PERMANENT
Recording of voice conversations , including audio tape, videotape, stenotype or stenographer's notebook and also including verbatim minutes used to produce official minutes and hearing proceedings, report, or other record:	
a. Recording of public meeting of Board.	4 months after

	transcription and/or approval of minutes or proceedings
b. Other recordings:	0 after no longer needed
Meeting files for meeting of board, including agendas, background materials and other records used at meetings:	1 year
Legal opinion or legal directive rendered by the Authority.	PERMANENT
Legal agreement , including contract, lease, and release.	6 years after expiration or termination or 6 years after final payment under contract, whichever is later
Signature card , or equivalent record, showing signature of individual legally authorized to sign specific transaction:	6 years after authorization expires or is withdrawn
Proof of publication or posting , legal notices, or certification thereof:	
a. Relating to bond or note issue or tax limit increase.	6 years after issue or increase disapproved or retired
b. Not relating to bond or note issue.	6 years
Manual of procedures , or policies and standards:	
a. Involving major procedures, policies and standards affecting operations, critical functions or issues of public visibility or concern.	PERMANENT
b. Involving routine day-to-day procedures, policies and standards	6 years after

pertaining to internal administration.	superseded
Correspondence , and supporting documentation maintained in a subject file (generated or received), except correspondence that is part of a case file or other record series listed elsewhere on this Schedule:	
a. Documenting significant policy or decision making or significant events, or dealing with legal precedents or significant legal issues:	PERMANENT
b. Containing routine legal, fiscal or administrative information:	6 years
c. Of no fiscal, legal or administrative value (including letters of transmittal, invitations and cover letters):	0 after no longer needed
Official copy of publication , including newsletter, press release, published report, bulletin, homepage or other website file, educational or informational program material prepared by or for the ACCA.	
a. Publications which contain significant information or substantial evidence of plans and directions for government activities, or publications where critical information is not contained in other publications:	PERMANENT
b. Publications where critical information is also contained in other publications or reports, publications which document routine activities, publications which contain only routine information, or publications (such as webpages) that facilitate access to government information on the Internet:	0 after no longer needed
Special project or program files , including official copy of publications, videotapes, or informational literature prepared for public distribution, background materials and supporting documentation:	6 years after project or program ends
Grant program file	
a. Application, proposal, narrative, evaluation, and annual report for grants that have been awarded:	6 years after renewal or close

	of grant
b. Background material, fiscal records, and supporting documentation for grants that have been awarded and all records relating to grant applications that have been rejected:	6 years after renewal or close of grant or denial of application
Complaint, petition or request for service received by ACCA.	
a. Summary record (such as log or register) of complaints, petitions or requests:	6 years after disposition of all complaints, petitions or requests listed
b. Complaints, petitions or requests relating to other than routine services or activities:	6 years after final disposition of complaint, petition or request
c. Complaints, petitions or requests relating to routine government services or activities:	1 year after final disposition of complaint, petition or request
Opinion survey records	
a. Survey results, including official copy of survey form:	6 years
b. Completed survey forms:	0 after survey results prepared
Repair, installation, maintenance or similar record, including but not limited to request for service, work order, record of work done, and summary or log of service performed:	6 years
Internal investigation or non-fiscal audit records	
a. Report and recommendation resulting from investigation:	PERMANENT
b. Background materials and supporting documentation:	6 years
Internal information record, including but not limited to calendars	0 after no longer

of appointments, office and travel schedule, memoranda and routing slips, routine internal reports, reviews and plans, used solely to disseminate information or for similar administrative purposes:	needed
Duplicate copy of record , created for administrative convenience, except where retention is specified elsewhere in this Schedule:	0 after no longer needed
Log or schedule used for internal administrative purposes only:	0 after no longer needed
Mailing list used for billing or other administrative purposes:	0 after superseded or obsolete
Daily, weekly, monthly, quarterly or other periodic internal or external report, summary, review, evaluation, log, list, statement or statistics:	6 years
Annual, special or final report, summary, review or evaluation	
a. Reports which contain substantial evidence of ACCA policy, procedures, plans and directions:	PERMANENT
b. Reports where critical information is contained in other reports, reports which document internal management and housekeeping activities, or reports which contain only routine legal, fiscal and administrative information:	6 years
Program plan (annual, special or long-range):	PERMANENT
List, index or summary used for internal administrative convenience or for informational purposes:	0 after obsolete
Working document , such as draft, worksheet or posting record except worksheets containing fiscal information:	0 after no longer needed
Communication log recording each communication between caller and receiving unit:	1 year
Telephone call log, statement or equivalent record:	1 year
Postal records , including returned registered or certified mail Card or receipt and insurance receipt:	1 year
Accident report and related records:	3 years, or 0 after individual attains age 21,

	whichever is later
Report of incident of theft, arson, vandalism, property damage or similar occurrence:	6 years
Local government public access television records	
Videotape (or other information storage device) recording local government public access television program, where program is produced by the Authority where program constitutes an important public meeting, significant event, important subject or documents policy making.	PERMANENT
Where program constitutes a routine meeting, event or subject:	1 year
Where program is aired but not produced by the Authority.	0 after no longer needed
Copyright records , for materials copyrighted by ACCA, including but not limited to copy of application, notice of copyright and correspondence:	6 years after copyright expires or application denied
Training course information records , including but not limited to memoranda, flyers, catalogues and other records related to specific training courses including information on course content, program registration, instructor, credits, hours and roster of agency registrants:	0 after superseded or obsolete
Training course registration processing records , including but not limited to employees' application and enrollment records for courses including employee data forms, course applications, and supervisors' and training officers' authorizations or denials:	3 years after date of application to take course

2. ARCHIVES/RECORDS MANAGEMENT

Inventory of records:	0 after superseded
Records transfer list	
a. For archival records:	PERMANENT
b. For inactive records:	0 after

	disposition of records on list
Retrieval request for records in storage:	0 after return of records, or 3 years after retrieval when records not returned
Archival administration records	
a. Appraisal and accessioning documentation, including assessment of conservation needs:	PERMANENT
b. Processing and management working papers, drafts, notes, and related records:	0 after no longer needed
Guide, listing, index, or other finding aid to archival records:	0 after superseded
Records on use of archival materials	
a. Log or register of researchers, and patron's registration for use of archival records:	6 years
b. Researcher interviews, reference statistics, requests for records, or similar reference service records:	0 after no longer needed

3. ATTORNEY OR COUNSEL

Legal case file , including but not limited to notice of claim, attorney and investigator activity logs, complaints, court order, motions, notes, briefs, releases and closing sheet:	6 years after case closed, or 0 after any minor involved attains age 21, whichever is later
Legal brief file ("brief bank") containing duplicate copies of legal briefs from case files, retained separately for future reference:	0 after no longer needed
Legal case log giving chronological listing of cases:	0 after no longer needed

Legal case index , including notations on activities related to case:	PERMANENT
Subject file assembled and kept for reference purposes:	0 after no longer needed
Subpoena , along with documentation of response, issued to ACCA, when not part of legal case file or any other series of records listed on this Schedule:	6 months after date of response

4. BUILDING AND CONSTRUCTION

Master summary record , including index, log or journal, covering building code complaints, inspections, investigations, and violations:	PERMANENT
Building inspection records , including but not limited to complaints, inspection reports, notice of violation, cumulative building inspection record, appeal or review and final disposition of case	
For public building	6 years after building no longer exists, but not less than 21 years
Fire safety inspection records	
a. Master summary record of inspections performed:	PERMANENT
b. Report on inspection at public building, and notice of violation:	21 years
Building permit and certificate of occupancy issuance records	
a. Master summary record of applications for building, plumbing, electrical, demolition or related permits, or for certificates of occupancy granted:	PERMANENT
b. Log or other chronological list recording permits or certificates of occupancy issued:	1 year after last entry in record, or 1 year after posting

c. Building, plumbing, electrical, demolition or related permit file, including application and supporting materials; plans, maps and drawings; specifications; inspection reports; copies of all required permits and approvals; affidavit of compliance or completion of work; records of appeal when permit is denied; certificate of occupancy and correspondence	
When permit is granted:	6 years after building no longer exists
When permit is denied:	6 years after final decision
When application is discontinued, has lapsed or is incomplete:	90 days after date of most recent entry in record
d. Certificate of occupancy and application when not related to building permit application:	6 years after building no longer exists
e. Detailed construction specifications submitted as part of building permit application:	6 years after denial of permit or completion of work
Building condemnation and demolition files, including application, copy of permit, correspondence, and notice of condemnation:	PERMANENT
Contractors' liability insurance records	
a. Certificate of insurance or copy of insurance policy:	6 years after denial or expiration of relevant permit
b. Master summary record of contractors and their insurance coverage:	1 year after superseded or obsolete

5. **AUDIT**

Report of audit of financial affairs	
a. External audits:	6 years
b. Internal audits, conducted by ACCA officials:	6 years
Audit background documentation, including summaries, posting records, and related records created by an auditing office as part of the auditing procedure:	6 years

6. **BANKING AND INVESTMENT**

Banking communications, including but not limited to bank statement, reconciliation, notification of voiding or return of check, cancellation of payment, or other notice for checking or savings account:	6 years
Canceled check (including payroll check), or other instrument of payment, such as bank check, warrant check, order check, or order to fiscal officer to pay when used as a negotiable instrument, including voided check:	6 years
Copy of check or check stub:	6 years
Depository agreement, including designation of depository, bond or surety, or other record relating to deposition of ACCA funds:	6 years after agreement, contract, designation, bond or surety has expired or been superseded or rescinded
Deposit book for checking account:	6 years after date of most recent entry
Deposit book for savings account:	6 years after

	cancellation
Deposit slip:	6 years

7. BONDS AND NOTES

Bond issue preparation file , covering bonds issued by ACCA	
a. Master summary record of bonds issued:	PERMANENT
b. Other records, including those relating to bond attorneys, preparation of the prospectus, prospectus distribution to bond buyers, bond printing, list of prospective or actual buyers, bond printing bids, bond ratings, and proof of publication of notice of estoppel:	6 years after bond issue retired
Bond or note issue and cancellation register , including information on the type, amount, number of obligations in issue, rate of interest, date of maturity, holders, cancellation of the bond or note, and other pertinent information:	6 years after cancellation of last bond or note
Master summary record of bonds, notes, or securities purchased by the ACCA for investment, identifying the security, the fund for which held, the place where kept, and listing the date of sale and the amount realized:	PERMANENT
Periodic reports and similar records of yield received from or status of bonds, notes, securities or other obligations purchased for investment:	6 years after bond issue retired

8. BUDGET

Budget preparation file for budget request or estimate submitted by department head, including but not limited to the preliminary or tentative budget, budget appropriation and staffing requests, estimates of revenues or expenditures, narrative of services, budget message, budget hearing and review files, and related records:	6 years
Annual budget	
a. Official copy when not included in minutes:	PERMANENT

b. When budget is included in minutes:	0 after officially recorded in minutes
c. Reporting office copy:	0 after no longer needed
Special budget filed with state or federal agency:	PERMANENT
Budget status report on allocation, receipts, expenditures, encumbrances, and unencumbered funds	
a. Cumulative report:	6 years
b. Monthly or quarterly report:	1 year
Budgetary change request , (if not included in minutes) including approval or denial for change in approved budget and including but not limited to transfer of funds from one budget item to another, overtime authorization, or request for supplemental funds:	6 years

9. CLAIMS AND WARRANTS

Claim for payment (approved or disallowed), including claim, vendor's voucher and bill:	6 years
State or federal-state reimbursement claim file , including but not limited to summary and detail of claim, worksheets and other supporting documents:	6 years
Summary record of outstanding or paid warrants or claims:	6 years
Order or warrant to pay monies	
a. For any funds held in a savings bank:	20 years
b. For any funds not held in a savings bank:	6 years
Outstanding warrants listing , including adding machines tapes:	6 years
Assignment of claim:	6 years after satisfaction or 10 years,

	whichever is less
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10. GENERAL ACCOUNTING AND MISCELLANEOUS

General ledger showing summary receipts and disbursements from all funds and accounts:	6 years after last entry
Subsidiary ledger providing details of the general ledger accounts:	6 years after last entry
Journal recording chronological entries of all fiscal transactions:	6 years after last entry
Accounting register , including but not limited to check register, transfer of funds register, encumbrance register, and register of claims presented for payment and paid claims:	6 years after last entry
Cash transaction record showing cash received from collection of various fees and petty cash disbursed:	6 years
Tolls or fares collection record , including but not limited to record of receipts and log of operations:	6 years
Daily cash record , including adding machine tapes, cashier's slips showing daily cash receipts and analysis of cash receipts:	6 years
Notice of encumbrance indicating funds encumbered and amount remaining unencumbered:	6 years
Past due account fiscal records and summaries:	6 years after account satisfied or otherwise closed
Intermediary fiscal record of receipts and disbursements , including but not limited to detail record, analysis, proof sheet or trial balance worksheet, and adding machine tapes:	6 years
Abstract of receipts, disbursements, or claims:	6 years
Bill of sale of property owned by ACCA other than real property:	6 years

Tax exemption records , showing that ACCA is exempt from paying sales, use or other taxes:	1 year after superseded or obsolete
Payment recoupment records , documenting the process of recovering monies paid erroneously by ACCA to employee, vendor or other payee:	6 years after date of most recent entry in record
Receipt (received) or copy of receipt (issued) other than for payment of taxes:	6 years
Grant, award or gift files , covering grants, awards and gifts given by local governments to other local governments, not-for-profit corporations, businesses or individuals	
a. Master summary record of grants, awards or gifts:	PERMANENT
b. Detailed records of grants, awards and gifts, excluding master summary record:	6 years
Credit card records documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted:	6 years

11. PAYROLL

Payroll , including information on gross and net pay, base pay, taxes, and other deductions	
a. Year-end payroll, including detailed information necessary for salary verification for retirement and social security purposes:	55 years
b. Periodic payroll, including detailed information necessary for salary verification for retirement and social security purposes, when no year-end payroll is maintained or year-end payroll does not contain this required detailed information:	55 years
c. Periodic payroll, not including detailed information necessary for salary verification for retirement and social security purposes:	6 years
d. Warrant authorizing payment of salaries based on a specific payroll, if maintained separate from payroll itself:	6 years

e. Preliminary draft of payroll:	0 after warrant authorizing payment of salaries is signed
Payroll or related report covering all employees or an individual employee, and not covered by specific item in this section	
a. When needed for audit or other fiscal purposes:	6 years
b. When not needed for audit or other fiscal purposes:	0 after no longer needed
Payroll distribution breakdown record used to distribute or classify labor costs:	6 years
Summary record of employee's payroll changes:	6 years after termination of employment
Employee's time cards, sheets, or books:	6 years
Record of employee absences or accruals	
a. When not posted to periodic cumulative time summary record:	6 years
b. When posted to periodic cumulative time summary record:	1 year
Employee request for and/or authorization given to employee to use or donate sick, vacation, personal or other leave, or to work overtime:	6 years
Record of assignments, attachments, and garnishments of employee's salary	
a. When employment was terminated prior to satisfaction:	6 years after termination of employment
b. When satisfied:	5 years after satisfaction

Employee's voluntary payroll deduction request form:	5 years after authorization expires
Schedule or other notification from issuing bank showing savings bond purchased for employee:	5 years after latest bond issue
Employee's personal earnings record used to prove end-of-year total earnings, retirement or other deductions and taxes withheld: NOTE: ACCA may need to retain these records longer for social security or retirement documentation purposes.	6 years
Employee's declaration of intention to accept or reject Social Security:	10 years after employee dies or reaches age 75, whichever is shorter
Quarterly or other periodic report of wages paid prepared for Social Security, and report of any adjustments or corrections:	6 years after year in which wages were reported
Copy of federal determination of error in wage reports (Form OAR-S30 or equivalent record):	6 years after determination received
Payroll report submitted to New York State Employee's Retirement System, Policemen's and Firemen's Retirement System, or any other official pension system:	6 years
Employer's copy of Annual Federal Tax Return (Form 940), Quarterly Federal Tax Return (Form 941E) and Continuation Sheets (Form 941a), Notice of Tax Return Due (Form TY 14), or equivalent forms:	4 years after tax paid
Employer's copy of U.S. Information Return for Calendar Year (Form 1099), Withholding Tax Statement (Form W-2) or Transmittal of Wages and Tax Statements (Form W-3), or equivalent forms:	4 years
Employee's Withholding Exemption Certificate (Form W-4), or equivalent form:	4 years after a superseding certificate is filed or

	employment is terminated
Employer's copy of New York state income tax records relating to employees:	4 years after tax was paid
Direct deposit records , covering direct deposit of employee's salary, including but not limited to application to begin or terminate direct deposit, and transaction log or similar reports:	5 years after authorization expires
Employee's declaration of intention to decline membership or participation in retirement system or benefit plan , including copy of written notification of options provided employee by ACCA	
a. For retirement system:	6 years after termination of employment
b. For benefit plan:	6 years after termination of employment

12. PURCHASING

Purchase order, purchase requisition , or similar record, used to obtain materials, supplies, or services:	6 years
Purchasing file , including but not limited to bid (successful, unsuccessful), contract, specifications and related records for purchase of materials, supplies and services not connected with capital construction:	6 years after completion of purchase or 6 years after final payment under contract, whichever is later
Vendor file , including but not limited to list of vendors doing business with the ACCA, vendor evaluation forms, price lists or other information received from vendors:	0 after obsolete
Performance guarantee or written warranty for products or similar record:	6 years after expiration

Invoice , packing slip, shipping ticket, copy of bill of lading or similar record used to verify delivery and/or receipt of materials or supplies:	6 years
Invoice register , or similar record used to list invoices:	6 years after last entry
List or abstract of purchase orders, claims or contracts:	6 years
Standing order file , used for purchase of materials and supplies which are received on a regular basis:	6 years
Chargeback records , showing specific fund to be charged for in-house expenditure:	6 years
Canceled bids file , including purchase requisitions, vendor solicitations, requests for proposals (RFPs), price quotations and related records concerning bids for goods or services which were canceled without a purchase being completed:	1 year after subsequent procurement of the same goods or services completed under a re-initiated procurement, or 1 year after decision not to purchase such goods or services

13. REPORTS

Daily, weekly, monthly, quarterly, or other periodic fiscal reports , including but not limited to daily funds report, daily cash report, statement of monthly balances, recapitulation of disbursements, and departmental reports:	6 years
Annual or final fiscal reports	
a. When report is not included in minutes:	PERMANENT
b. When report is included in minutes:	0 after

	officially recorded
Fiscal reports from state agencies:	6 years
Fiscal report on management of court funds and of securities or depositories in which court funds are invested or deposited:	6 years
Certificate, demand or direction to fiscal officer to pay monies:	6 years
Verification of travel expenses , including but not limited to certificate of accuracy and receipts:	6 years

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