

**Clark County Department of Environment and Sustainability
Title V Operating Permit Program Evaluation**

Final Report

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Conducted by the

U.S. Environmental Protection Agency
Region 9
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Acknowledgments

EPA Region 9 acknowledges the cooperation of the staff and management of the Clark County Department of Environment and Sustainability (DES). We appreciate their willingness to respond to information requests and share their experiences regarding the implementation of the Clark County DES's title V program under the Clean Air Act.

Glossary of Acronyms and Abbreviations

Act	Clean Air Act [42 USC Section 7401 et seq.]
APTI	Air Pollution Training Institute
AQR	Air Quality Regulations
CAA	Clean Air Act [42 USC Section 7401 et seq.]
CAM	Compliance Assurance Monitoring
CARB	California Air Resources Board
CFR	Code of Federal Regulations
CMS	Compliance Monitoring Strategy
CROMERR	Cross-Media Electronic Reporting Rule
DAQ	Division of Air Quality
DAQEM	Department of Air Quality and Environmental Management
DDA	Deputy District Attorney
Department	Clark County Department of Environment and Sustainability
DES	Department of Environment and Sustainability
EJ	Environmental Justice
EPA	U.S. Environmental Protection Agency
FCE	Full Compliance Evaluation
HOO	Hearing Officer Order
NDEP	Nevada Division of Environmental Protection
NESHAP	National Emission Standards for Hazardous Air Pollutants, 40 CFR Parts 61 & 63
NOV	Notice of Violation
NO _x	Nitrogen Oxides
NRS	Nevada Revised Statutes
NSPS	New Source Performance Standards, 40 CFR Part 60
NSR	New Source Review
OIG	EPA Office of Inspector General
PCE	Partial Compliance Evaluation
PM	Particulate Matter
PM ₁₀	Particulate Matter less than 10 micrometers in diameter
PM _{2.5}	Particulate Matter less than 2.5 micrometers in diameter
PSD	Prevention of Significant Deterioration
PTE	Potential to Emit
Region	U.S. Environmental Protection Agency Region 9
SA	Settlement Agreement
SIP	State Implementation Plan
SO ₂	Sulfur Dioxide
SOP	Standard Operating Procedure
Team	EPA Region 9 Program Evaluation Team
TSD	Technical Support Document

Executive Summary

In response to the recommendations of a 2002 Office of Inspector General (OIG) audit, the Environmental Protection Agency (EPA or “we”) re-examined the ways it can improve state and local operating permit programs under title V of the Clean Air Act (“title V programs”) and expedite permit issuance. Specifically, the EPA developed an action plan for performing program evaluations of title V programs for each air pollution control agency beginning in fiscal year 2003. The purpose of these program evaluations is to identify good practices, document areas needing improvement, and learn how the EPA can help the permitting agencies improve their performance.

The EPA’s Region 9 (the “Region”) oversees 47 air permitting authorities with title V programs in the Pacific Southwest. Of these, 43 are state or local authorities approved pursuant to 40 CFR part 70 (35 in California, three in Nevada, four in Arizona, and one in Hawaii), referred to as “Part 70” programs. The terms “title V” and “Part 70” are used interchangeably in this report. The Region also oversees a delegated title V permitting program in Navajo Nation under 40 CFR part 71 and title V programs in Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands under 40 CFR part 69, referred to, respectively, as “Part 71” and “Part 69” programs. Because of the significant number of permitting authorities, the Region has committed to performing, on an annual basis, one comprehensive title V program evaluation of a permitting authority with 20 or more title V sources. This approach covers at least 85% of the title V sources within the Regional boundaries.

The Region initially conducted a title V program evaluation of the Clark County Department of Environmental Sustainability (“Clark County DES” or “Department”) in 2007 (“2007 Evaluation”).¹ This is the second title V program evaluation the EPA has conducted for the Clark County DES. The EPA Region 9 program evaluation team (“Team”) for this evaluation consisted of the following EPA personnel: Meredith Kurpius, Air and Radiation Division Assistant Director; Laura Yannayon, Acting Manager of the Air Permits Office; Noah Smith, Attorney Advisor; Ken Israels, Program Evaluation Advisor; Sheila Tsai, Program Evaluation Coordinator; Amber Batchelder, Clark County DES Oversight Team Lead, Lisa Beckham, Clark County DES Oversight Team Member; Mario Zuniga, Program Evaluation Team Member; Tina Su, Program Evaluation Team Member; and Catherine Valladolid, Program Evaluation Team Member.

The program evaluation was conducted in four stages. During the first stage, the Region sent the Clark County DES a questionnaire focusing on title V program implementation in preparation for the interviews (see Appendix B, Title V Questionnaire and Clark County DES Responses). During the second stage, the Team conducted an internal review of the EPA’s own set of Clark County DES title V permit files. The third stage of the program evaluation would typically include a site visit to the Clark County DES office in Las Vegas, Nevada to conduct interviews of the Clark County DES staff and managers in person. However, because of the COVID-19 pandemic, this part of the program evaluation was conducted virtually through video conferencing. The virtual interviews took place March 8-11, 2021.

¹ Clark County Department of Air Quality and Environmental Management; Title V Operating Permit Program Evaluation, dated July 30, 2007. See <https://www.epa.gov/sites/production/files/2015-07/documents/final-clark-title-5-eval-report-7-30-07.pdf>.

Finally, the fourth stage involved follow-up and clarification of issues for completion of the draft report.

The Region's 2021 title V program evaluation of the Clark County DES's Part 70 program and implementation of the program concludes that the Clark County DES implements a generally effective program. We specifically find that the Department generally identifies and documents regulatory and policy decisions in its technical support documents (Findings 2.2); permitting and compliance sections communicate effectively with each other (Finding 6.2); and in response to the EPA's 2007 Evaluation, the Department is providing sufficient resources to implement its title V permitting program effectively, has reduced staff turnover via compensation changes, and has improved ladder and promotional opportunities to recruit and retain experienced staff (Finding 7.6). We have also identified certain areas for improvement. Major findings from our report are listed below:

1. Finding: The Clark County DES staff generally have a clear understanding of, and the ability to correctly implement, the various title V permit revision types or tracks pursuant to the Department and federal regulations. (Finding 2.4)
2. Finding: Although the Clark County DES generally implements the appropriate type of title V permit revision when changes are made, it does not consistently document the rationale/justification for minor permit revisions in a clear and detailed manner. (Finding 2.5)
3. Finding: The Department generally incorporates applicable requirements into title V permits in an enforceable manner. (Finding 2.6)
4. Finding: The Department's title V permits sometimes lack sufficient monitoring and recordkeeping to ensure compliance with opacity standards. (Finding 3.2)
5. Finding: The Clark County DES does not provide notification regarding the public's right to petition the EPA Administrator to object to a title V permit. (Finding 4.2)
6. Finding: Clark County contains a significant number of linguistically isolated communities for which the Clark County DES does not consistently provide translation services. (Finding 4.3)
7. Finding: The Clark County DES does not have a title V permit backlog and issues initial and renewal permits in a timely manner. (Finding 5.1)
8. Finding: The Department reviews all title V deviation reports, annual compliance certifications, and semiannual monitoring reports. (Finding 6.3)
9. Finding: The Department tracks title V program expenses and revenue to ensure that funding is sufficient to effectively implement the title V program and that funds are spent solely to support the title V program. (Finding 7.2)

10. Finding: The Clark County DES has taken several measures to maintain effective title V permitting program implementation during the COVID-19 pandemic. (Finding 7.7)

Our report provides a series of findings (in addition to those listed above) and recommendations that should be considered in addressing our findings. As part of the program evaluation process, the Clark County DES has been given an opportunity to review these findings and consider our recommendations on August 5, 2021, when we emailed an electronic copy of the draft report to the Clark County DESK for comment. The EPA received no comments response from the Clark County DES on September 9, 2021. Having no comments, no changes were made to the final report.

To better communicate our recommendations and work together on the recommended improvements, we request an initial kick-off meeting within 90 days of the Clark County DES' receipt of the final report to discuss any need for a workplan. A workplan typically includes specific goals and milestones that can be used to demonstrate progress. We commit to meet with the Clark County DES regularly to discuss progress until both the Clark County DES and the EPA mutually agree the workplan items are sufficiently complete.

1. Introduction

Background

In 2000, the EPA's Office of Inspector General (OIG) initiated an evaluation on the progress that the EPA and state and local agencies were making in issuing title V permits under the Clean Air Act (CAA or the "Act"). The purpose of OIG's evaluation was to identify factors delaying the issuance of title V permits by selected state and local agencies and to identify practices contributing to timely issuance of permits by those same agencies.

After reviewing several selected state and local air pollution control agencies, the OIG issued a report on the progress of title V permit issuance by the EPA and states.² In the report, the OIG concluded that the key factors affecting the issuance of title V permits included (1) a lack of resources, complex EPA regulations, and conflicting priorities contributed to permit delays; (2) EPA oversight and technical assistance had little impact on issuing title V permits; and (3) state agency management support for the title V program, state agency and industry partnering, and permit writer site visits to facilities contributed to the progress that agencies made in issuing title V operating permits.

The OIG's report provided several recommendations for the EPA to improve title V programs and increase the issuance of title V permits. In response to the OIG's recommendations, the EPA made a commitment in July 2002 to carry out comprehensive title V program evaluations nationwide. The goals of these evaluations are to identify where the EPA's oversight role can be improved, where air pollution control agencies are taking unique approaches that may benefit other agencies, and where local programs need improvement. The EPA's effort to perform title V program evaluations for each air pollution control agency began in fiscal year 2003.

On October 20, 2014, the OIG issued a report, "Enhanced EPA Oversight Needed to Address Risks From Declining Clean Air Act Title V Revenues," that recommended, in part, that the EPA: establish a fee oversight strategy to ensure consistent and timely actions to identify and address violations of 40 CFR part 70; emphasize and require periodic reviews of title V fee revenue and accounting practices in title V program evaluations; and pursue corrective actions, as necessary.³

The Region oversees 47 air permitting authorities with title V programs in the Pacific Southwest. Of these, 43 are state or local authorities approved pursuant to 40 CFR part 70 (35 in California, three in Nevada, four in Arizona, and one in Hawaii), referred to as "Part 70" programs. The terms "title V" and "Part 70" are used interchangeably in this report. The Region also oversees a delegated title V

² See Report No. 2002-P-00008, Office of Inspector General Evaluation Report, "EPA and State Progress In Issuing title V Permits", dated March 29, 2002, which can be found on the internet at <https://www.epa.gov/sites/production/files/2015-12/documents/titlev.pdf>.

³ See Report No. 15-P-0006, Office of Inspector General Evaluation Report, "Enhanced EPA Oversight Needed to Address Risks From Declining Clean Air Act Title V Revenues", dated October 20, 2014, which can be found on the internet at <https://www.epa.gov/sites/production/files/2015-09/documents/20141020-15-p-0006.pdf>.

permitting program in Navajo Nation under 40 CFR part 71 and title V programs in Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands under 40 CFR part 69, referred to, respectively, as “Part 71” and “Part 69” programs. Because of the significant number of permitting authorities, the Region has committed to performing, on an annual basis, one comprehensive title V program evaluation of a permitting authority with 20 or more title V sources. This approach covers at least 85% of the title V sources within the Regional boundaries.

Title V Program Evaluation at the Clark County Department of Environment and Sustainability

This is the second title V program evaluation the EPA has conducted for the Clark County DES. The first title V program evaluation was conducted in 2007. Thus, this evaluation is a follow-up to Clark County DES’s 2007 Evaluation. The EPA Region 9 program evaluation team (“Team”) for this evaluation consisted of the following EPA personnel: Meredith Kurpius, Air and Radiation Division Assistant Director; Laura Yannayon, Acting Manager of the Air Permits Office; Ken Israels, Program Evaluation Advisor; Sheila Tsai, Program Evaluation Coordinator; Amber Batchelder, Clark County DES Oversight Team Lead, Lisa Beckham, Clark County DES Oversight Team Member; Mario Zuniga, Program Evaluation Team Member; Tina Su, Program Evaluation Team Member; and Catherine Valladolid, Program Evaluation Team Member.

The objectives of the evaluation were to assess how the Clark County DES implements its title V permitting program, evaluate the overall effectiveness of the Clark County DES’s title V program, identify areas of the Clark County DES’s title V program that need improvement, identify areas where the EPA’s oversight role can be improved, and highlight the unique and innovative aspects of the Clark County DES’s program that may be beneficial to transfer to other permitting authorities. The program evaluation was conducted in four stages. In the first stage, the EPA sent the Clark County DES a questionnaire focusing on title V program implementation in preparation for the interviews. (See Appendix B, Title V Questionnaire and Clark County DES Responses.) The Title V Questionnaire was developed by the EPA nationally and covers the following program areas: (1) Title V Permit Preparation and Content; (2) General Permits; (3) Monitoring; (4) Public Participation and Affected State Review; (5) Permit Issuance/Revision/Renewal Processes; (6) Compliance; (7) Resources & Internal Management Support; and (8) Title V Benefits.

During the second stage of the program evaluation, the Region conducted an internal review of the EPA’s Clark County DES title V permit files. The Clark County DES submits title V permits to the Region in accordance with its EPA-approved title V program and the part 70 regulations.

The third stage of the program evaluation would typically include a site visit to the Clark County DES office in Las Vegas, Nevada to conduct interviews of the Clark County DES staff and managers in person. However, because of the COVID-19 pandemic, this part of the program evaluation was conducted virtually through video conferencing. The purpose of the interviews was to confirm the responses in the completed questionnaire and to ask clarifying questions. The virtual interviews took place March 8-11, 2021.

The fourth stage of the program evaluation was follow-up and clarification of issues for completion of the draft report. The Region compiled and summarized interview notes and asked follow-up questions to clarify the Region's understanding of various aspects of the Clark County DES's title V program.

The Clark County DES Description

The Clark County Department of Environment and Sustainability (DES) is the air pollution control agency, regional Endangered Species Act compliance program, and sustainability office for all of Clark County, Nevada.⁴ Established as the Department of Air Quality and Environmental Management under the provisions of the Nevada Revised Statutes (NRS)⁵ and by the Clark County Commission in 2001, it was renamed in 2020 and is comprised of three divisions: Air Quality, Desert Conservation Program and Office of Sustainability. The Clark County DES's mission is to ensure the air meets healthful, regulatory standards, administer Clark County's Multiple Species Habitat Conservation Plan, and address climate change.⁶ The Air Quality Division is organized into four sections: Permitting, Planning, Compliance and Enforcement, and Monitoring. The Clark County DES's office is located in Las Vegas, Nevada.

Stationary source air permits, including title V permits, are issued through the County's Permitting Section. Compliance and enforcement activities, such as source inspections, source testing, and preparing enforcement cases are handled by the Compliance and Enforcement Section. The Planning Section is responsible for preparing studies and plans to show how Clark County will comply with the national ambient air quality standards. It also compiles and maintains the emissions inventory and conducts emissions modeling. The Monitoring Section is responsible for maintaining and operating the ambient monitoring network and informing the public about current air conditions.

Coordination with other State of Nevada Air Pollution Control Agencies

The Nevada Division of Environmental Protection (NDEP) is responsible for submitting the State Implementation Plan (SIP) for all of Nevada to the EPA. Local air quality permitting authorities within the State of Nevada are Clark County and Washoe County. The three permitting authorities operate independently of each other. The Nevada Revised Statutes, Title 40, Chapter 445B, Air Pollution, designate the district board of health, county board of health, or board of county commissioners as the air pollution control agency of a county to establish and administer a program for the control of air pollution in that county. This includes the control of air pollution from sources operating pursuant to Title V of the Act.

⁴ https://www.clarkcountynv.gov/government/departments/environment_and_sustainability/about_us.php

⁵ See NRS 445B.500: <https://www.leg.state.nv.us/nrs/nrs-445b.html#NRS445BSec500>

⁶ https://www.clarkcountynv.gov/government/departments/environment_and_sustainability/about_us.php

The Clark County DES Title V Program

The EPA granted the Clark County DES's title V program interim approval effective August 14, 1995, full approval effective November 30, 2001, and program revisions effective October 1, 2004.⁷ On July 25, 2001, the Clark County Board of County Commissioners assumed control of the Air Quality Division, creating the Clark County Air Quality Management Board as the governing agency for air quality programs and regulations. Subsequently, a new department, the Department of Air Quality and Environmental Management (DAQEM), was formed, and the Clark County Board of County Commissioners delegated authority to the DAQEM to implement and enforce the air quality programs and regulations. The DAQEM was renamed to the Department of Environment and Sustainability in 2020.

Part 70, the federal regulation that contains the title V program requirements for states, requires that a permitting authority take final action on each permit application within 18 months after receipt of a complete permit application. The only exception is that a permitting authority must take action on an application for a minor modification within 90 days of receipt of a complete permit application.⁸ The Clark County DES's local rules regarding title V permit issuance contain the same timeframes as Part 70.⁹

Currently, there are 29 sources in the Clark County DES jurisdiction that are subject to the title V permit program. Unlike the conclusion from our 2007 Evaluation, the Department now has sufficient permitting resources,¹⁰ and processes title V permit applications in a timely manner. The Clark County DES currently does not have a title V permit backlog.¹¹

The EPA's Findings and Recommendations

The following sections include a brief introduction, and a series of findings, discussions, and recommendations. The findings are grouped in the order of the program areas as they appear in the Title V Questionnaire.

The findings and recommendations in this report are based on the Department's responses to the Title V Questionnaire, the EPA's internal file reviews, virtual interviews conducted during March 8-11, 2021, and follow-up emails and phone calls made after the interviews.

⁷ 60 FR 36070 (July 13, 1995), 66 FR 63188 (December 5, 2001), and 69 FR 46106 (August 2, 2004), respectively. See also Appendix A to 40 CFR part 70.

⁸ See 40 CFR 70.7(a)(2) and 70.7(e)(2)(iv).

⁹ See Clark County DES Air Quality Regulations (AQR) Section 12.5.

¹⁰ See Section 7 of this report.

¹¹ See Finding 5.1 of this report.

2. Permit Preparation and Content

The purpose of this section is to evaluate the permitting authority's procedures for preparing title V permits. Part 70 outlines the necessary elements of a title V permit application under 40 CFR 70.5, and it specifies the requirements that must be included in each title V permit under 40 CFR 70.6. Title V permits must address all applicable requirements, as well as necessary testing, monitoring, recordkeeping, and reporting requirements sufficient to ensure compliance with the terms and conditions of the permit.

- 2.1 Finding:** The Clark County DES has a quality assurance process for reviewing draft versions of permits before they are made available for review by the public and the EPA.

Discussion: Interviewees were consistent in their description of the Clark County DES's quality assurance process for reviewing title V permits. The Clark County DES has developed processes and templates (the Department also refers to them as "patterns") to help ensure consistency from permit to permit. Upon completion by the permit engineer, the draft permit package is typically reviewed by a senior engineer, compliance inspector, and permitting supervisor. After the internal review is complete, it goes to the permittee for review and comment. The draft permit package is then reviewed by the permit manager before going through the administrative staff review and public participation process. These multiple rounds of review result in improved drafts that staff, supervisors, and managers feel are of high quality and that compliance staff find enforceable during inspections.

Recommendation: The EPA commends the Clark County DES for the thoroughness of its internal review process and encourages the Department to continue this beneficial practice.

- 2.2 Finding:** The Clark County DES generally identifies and documents regulatory and policy decisions in its technical support documents.

Discussion: Both 40 CFR part 70.7(a)(5) and the Clark County DES's EPA-approved title V program require the Department to provide "a statement that sets forth the legal and factual basis for the draft permit conditions." The purpose of this requirement is to provide the public and the EPA with the Department's rationale on applicability determinations and technical issues supporting the issuance of proposed title V permits. A statement of basis, or as the Department refers to them, technical support document (TSD), documents the regulatory and policy issues applicable to the source and is an essential tool for conducting meaningful permit review.

The EPA has issued guidance on the required content of statements of basis on several occasions, most recently in 2014.¹² This guidance has consistently explained the need for

¹² Memorandum from Stephen D. Page, Director of the Office of Air Quality Planning and Standards, "Implementation Guidance on Annual Compliance Certification Reporting and Statement of Basis Requirements for Title V Permits," April 30, 2014. <https://www.epa.gov/sites/production/files/2015-08/documents/20140430.pdf>

permitting authorities to develop statements of basis with sufficient detail to document their decisions in the permitting process. The EPA provided an overview of this guidance in a 2006 title V petition order, *In the Matter of Onyx Environmental Services*, Order on Petition No. V-2005-1 (February 1, 2006) (*Onyx Order*). In the *Onyx Order*, in the context of a general overview statement on the statement of basis, the EPA explained:

A statement of basis must describe the origin or basis of each permit condition or exemption. However, it is more than just a short form of the permit. It should highlight elements that U.S. EPA and the public would find important to review. Rather than restating the permit, it should list anything that deviates from simply a straight recitation of applicable requirements. The statement of basis should highlight items such as the permit shield, streamlined conditions, or any monitoring that is required under 40 C.F.R. § 70.6(a)(3)(i)(B). Thus, it should include a discussion of the decision-making that went into the development of the title V permit and provide the permitting authority, the public, and U.S. EPA a record of the applicability and technical issues surrounding the issuance of the permit. (Footnotes omitted.) See, e.g., In RePort Hudson Operations, Georgia Pacific, Petition No. 6-03-01, at pages 37-40 (May 9, 2003) ("Georgia Pacific"); In Re Doe Run Company Buick Mill and Mine, Petition No. VII-1999-001, at pages 24-25 (July 31, 2002) ("Doe Run"); In Re Fort James Camas Mill, Petition No. X-1999-1, at page 8 (December 22, 2000) ("Ft. James").

Onyx Order at 13-14. Appendix C of this report contains a summary of the EPA guidance to date on the suggested elements to be included in a statement of basis.

The Department generally identifies and lists applicable regulatory requirements in the Regulatory Review section in its TSDs. Not only is each of the listed standards evaluated for applicability, but it also generally stated why the standard applies to the source.

The Department's TSDs consistently contain a record of what changes are being made to permits and generally provide a clear basis for the Department's determination of New Source Performance Standards (NSPS) or National Emission Standards for Hazardous Air Pollutants (NESHAP) applicability. However, the Department could improve its consistency in providing the basis for its permitting decisions. In a few instances, the basis for the Department's determination of applicability is not detailed and clear, or does not explain why some potentially applicable regulations are not applicable.¹³ Furthermore, a couple of TSDs reviewed mention a relaxation of permit conditions without an explanation of the basis or any justification.¹⁴

Recommendation: The EPA commends the Clark County DES for its efforts in producing detailed TSDs that clearly state why the permitted source is subject to a standard. To improve,

¹³ For example: 40 CFR part 60, subpart IIII could potentially apply to Aquatic Co, Source ID: 75, but its TSD does not mention this standard or why it does not apply.

¹⁴ We reviewed a couple TSDs that mentioned the changes to testing intervals and removal of operational limits that did not include the Department's analysis of the requests.

the EPA recommends the Department to also include analysis of potentially applicable regulations to document why they are not applicable and improve the explanation for the Department's permitting decisions in some areas. Also, the Department may consider including a redline/strikethrough version of the permit revisions as part of the permit record provided during the public participation process to facilitate permit review.

2.3 Finding: The Clark County DES maintains template documents/patterns developed to provide direction for several elements of permit writing and generally limits extensive quoting of regulatory text.

Discussion: The Clark County DES uses templates for developing permits and TSDs to ensure consistency. The Department also develops patterns for specific source categories to ensure consistency between similar sources, including additional instruction throughout the pattern documents.

The Clark County DES's title V TSDs generally include the following sections: Source Information, Emissions Information, Regulatory Review, Compliance, Emission Reduction Credits (Offsets), Modeling, Administrative Requirements, and Attachments. During interviews, staff were generally satisfied with the permits and TSDs, including the readability, length, and decisions documented.

In the 2007 Evaluation, the EPA recommended the Clark County DES to reduce the length of its TSDs by removing extensive quotes from regulations when discussing applicable requirements.¹⁵ During the file review, the EPA found that the Clark County DES has generally reduced the quantity and length of regulatory quotes found in its TSDs, but some TSDs still had extensive regulatory quotes. We also noticed the potential to emit (PTE) threshold tables are not consistently implemented across different TSDs, though this may be a result of recent changes to pattern documents.¹⁶ For clarity, it would be beneficial if thresholds continue to be included in tabular form and paired with a written explanation of their importance.

Recommendation: We commend the Clark County DES for making the TSDs more user-friendly and encourage the Clark County DES to continue to implement the practice of developing and enhancing templates for permitting documents. Additionally, we encourage the Clark County DES to continue improving its TSDs by limiting the use of regulatory quotes to nuanced scenarios that may require written analysis. To avoid quoting extensively from regulations, the Department can also provide regulatory citations when a particular issue is discussed. The TSDs could be further improved by including language that explains the significance of a source having a PTE above tabulated thresholds, e.g. "The source emissions exceed the title V threshold for pollutant X. Therefore, it is subject to the requirements of the title V program."

¹⁵ 2007 Evaluation, Finding 2.3.

¹⁶ For example, in some TSDs, source PTE tables, title V major source threshold, the New Source Review (NSR) major source threshold, Significance Threshold (from Clark County AQR 12.5.1), and the nonattainment NSR threshold are included. However, other TSDs only include the PTE, or the PTE with the title V threshold.

- 2.4 Finding:** The Clark County DES staff generally have a clear understanding of, and the ability to correctly implement, the various title V permit revision types or tracks pursuant to the Department and federal regulations.

Discussion: In our 2007 Evaluation, the EPA recommended that the Clark County DES develop a guidance document regarding permit modification requirements.¹⁷ The Clark County DES reported that the Department developed written guidance for processing off-permit changes (i.e. Prior Notifications) and that the Clark County Air Quality Regulations (AQR) were written to include criteria specifying what type of permitting action should be used to make certain changes.

The Clark County DES can easily produce records for all permit revisions, including administrative, off-permit changes, and minor permit revisions through their file system. Based on our file review of various title V permit actions, the Clark County DES's understanding of the criteria for classifying title V revisions provides consistent processing of title V permit changes. However, we observed that the Clark County DES does not consistently document its rationale and justification for minor permit revisions in the TSD as part of the permit action record. See Finding 2.5 below.

Recommendation: The Clark County DES should continue to ensure permitting staff accurately categorize title V permit actions and document the rationale and justification for the type of title V permit revision required.

- 2.5 Finding:** Although the Clark County DES generally implements the appropriate type of title V permit revision when changes are made, it does not consistently document the rationale/justification for minor permit revisions in a clear and detailed manner.

Discussion: Based on the EPA's file review, the Clark County DES correctly determines when a minor permit revision is appropriate for a requested change. The Department then uses the TSD to describe the rationale and justification for minor permit revisions; however, the rationale is generally not presented consistently or clearly. Federal regulations have specific criteria for a permit revision to qualify as minor.¹⁸ The Department's TSDs for minor permit revisions could be strengthened by explicitly describing, in a detailed manner, how a permit revision meets each of the minor revision criterion.

As part of the demonstration that the revisions meet the minor criteria, the Department includes in its TSDs an "Emissions Increase Summary" table that includes the Source's established PTE and the Source's new PTE. In some instances, the "Significant Thresholds" from Clark County AQR Section 12.5.1 are included. It is not clear what this threshold represents as, while it is defined in Clark County AQR Section 12.5.1, the rule does not explain how this

¹⁷ See 2007 Evaluation, Finding 5.2.

¹⁸ See 40 CFR 70.7(e)(2)(i).

“Significant Threshold” fits into the part 70 operating permit requirements, or if and how it impacts the minor title V permit modification applicability (see also Finding 2.4). To clearly demonstrate that the modifications meet minor permit revision criteria or whether other potentially applicable requirements are triggered, the Department should consistently include the change in PTE, the major NSR significance threshold (40 CFR 52.21(b)(23)(i)), and a statement of how the minor permit modification criteria is met because the major NSR significant threshold is not exceeded.

Recommendation: The EPA encourages the Department to consistently provide a detailed rationale in its TSDs of why the minor permit modification criteria are met.¹⁹

2.6 Finding: The Department generally incorporates applicable requirements into title V permits in an enforceable manner.

Discussion: A primary objective of the title V program is to provide each major source with a single permit that describes how a source may ensure compliance with all applicable CAA requirements. To accomplish this objective, permitting authorities must incorporate applicable requirements in sufficient detail such that the public, source owners and operators, and regulating agencies can clearly understand which requirements apply to the source. These requirements include emissions limits, operating limits, work practice standards, and monitoring, recordkeeping, and reporting provisions that must be enforceable as a practical matter.

Based on our review of the Department’s title V permits, the permitting staff generally incorporate applicable requirements from the Department’s SIP-approved rules as well as the federal regulations with the appropriate level of detail to enable the Department and the source to ensure compliance.²⁰ The title V permits issued by the Department consistently include a section titled “Emissions Units and Applicable Requirements.” Generally, this section contains a list of the emissions units as well as all applicable limits, standards, and emissions controls. This section also includes the applicable monitoring, testing, recordkeeping and reporting requirements. This consistent permit structure helps permit reviewers and compliance staff locate permit conditions and content more easily.

Based on the interviews and information included in TSDs, the EPA noted compliance staff review the title V permits for enforceability during source inspections and will, if necessary, request that title V permits be revised to address any identified deficiencies. This practice generally improves the quality of the permits and further ensures the title V permits issued by

¹⁹ The rationale could be further strengthened by including the minor NSR Significance Threshold from Clark County AQR Section 12.5.1 in the Emissions Increase Summary table for all minor permit modifications and describing what the threshold represents.

²⁰ During the file review process, the EPA noticed the Department’s opacity monitoring conditions could be improved. Please see Finding 3.2 for details.

the Clark County DES are enforceable as a practical matter. The EPA commends the Clark County DES for this internal feedback process and encourages the Department to continue this practice.

Recommendation: The Clark County DES should continue its good practice of incorporating applicable requirements in sufficient detail to ensure that permit conditions are practically enforceable. The EPA commends the Department's cooperation between the Compliance and Enforcement Section and the Permitting Section to improve the quality of the title V permits.

- 2.7 Finding:** The Clark County DES generally references the regulatory authority, but sometimes does not reference the origin for each applicable requirement in a title V permit. The Department occasionally includes a permit shield for streamlined requirements, but the permit shield does not always clearly document the subsumed underlying requirements.

Discussion: Each title V permit is required to specify and reference the origin and authority for each term or condition and identify any difference in form as compared to the applicable requirement upon which the term or condition is based.²¹ Based on the EPA's review of the Department's permits, the Clark County DES typically references the regulatory authority for each applicable requirement. However, during our file review, the EPA discovered several instances where the Clark County DES only referenced the authority for the permit condition and did not include a citation to the origin of the applicable requirement (e.g. the initial NSR permit condition).

The majority of permits we reviewed do not include a permit shield. However, some permits that include a permit shield summary do not discuss how the specific permit conditions ensure compliance with the subsumed requirements. The practice of including a permit shield further highlights the importance of referencing the appropriate regulations that are the basis for the condition, as each permit shield must include a reference to the underlying applicable regulation(s) to which the permit shield applies.

Recommendation: The EPA recommends that the Department include an additional citation for the origin of each permit condition if it differs from the regulatory authority.

- 2.8 Finding:** The Clark County DES appears to correctly streamline permit requirements but does not document the streamlining analysis in a clear or consistent manner.

Discussion: The Clark County DES's title V permits sometimes contain streamlined emissions limits in which one or more emissions limits are subsumed under the most stringent limit that applies to an emissions unit. For example, emissions limits from the NSPS and the more

²¹ See 40 CFR 70.6(a)(1)(i).

stringent NSR requirements are sometimes streamlined into a single limit. This practice can be appropriate but should be documented with a side-by-side comparison of the emissions limits and associated monitoring and recordkeeping requirements in the TSD.²² The Clark County DES does not typically include such an analysis in its TSDs.

When streamlining multiple applicable requirements, the TSD generally states that the permit limit is more stringent than the streamlined requirements. However, the streamlining analysis does not always clearly document that this statement is true. For example, because the two emissions limits are not directly comparable, it is not immediately clear when a concentration-based emissions limit has been determined to be more stringent than a mass-based emissions limit.²³

Recommendation: The Department should continue its good practice of creating clear and concise title V permits. However, the EPA recommends the Department include more detailed information in the streamlining analysis to demonstrate how the streamlined permit requirement is at least as stringent as the subsumed requirement.

2.9 Finding: The Clark County DES generally includes sufficient recordkeeping requirements as required by the NSPS and NESHAP regulations.

Discussion: During the EPA's review, we found the Clark County DES generally includes sufficient recordkeeping requirements as required by the NSPS and NESHAP regulations. A specific and prevalent exception pertains to recordkeeping for determining compliance with diesel fuel standards in NSPS Subpart IIII and NESHAP Subpart ZZZZ. The Clark County DES generally does not include a recordkeeping requirement in its title V permit to ensure sources only purchase EPA-compliant diesel fuel as required by these standards. Maintaining fuel purchase records is a standard practice to ensure non-compliant fuels are not entering the market.²⁴

Recommendation: The EPA commends the Clark County DES for including sufficient recordkeeping requirements as required by the NSPS and NESHAP regulations. When

²² See EPA's March 5, 1996 guidance memorandum, "White Paper Number 2 for Improved Implementation of The Part 70 Operating Permit Program" (see Appendix C) for additional information.

²³ To determine whether a concentration-based limit or mass-based limit is more stringent the permitting authority must consider the full operating range of the emissions unit and not just the maximum operating rate. When a concentration-based limit (e.g., parts per million by volume) is converted to a mass emissions rate (e.g., pounds per hour) the equivalent mass emissions rate will vary at varying operating loads. That is, at lower operating loads a concentration-based limit will be equivalent to a lower mass emissions rate than at the maximum operating rate. This difference must be accounted for when concluding that a mass-based emissions limit is more stringent than a concentration-based limit.

²⁴ Records that EPA-compliant diesel fuel was purchased ensures that the fuel meets the sulfur content, cetane index, or aromatic content of 40 CFR 80.510, as required by NSPS IIII and NESHAP ZZZZ.

applicable, the Department should update their title V permits to require records that EPA-compliant diesel fuel has been purchased.

3. Monitoring

The purpose of this section is to evaluate the permitting authority's procedures for meeting title V monitoring requirements. Part 70 requires title V permits to include monitoring and related recordkeeping and reporting requirements. See 40 CFR 70.6(a)(3). Each permit must contain monitoring and analytical procedures or test methods as required by applicable monitoring and testing requirements. Where the applicable requirement itself does not require periodic testing or monitoring, the permitting authority must supplement the permit with periodic monitoring sufficient to yield reliable data from the relevant time period that is representative of the source's compliance with the permit. As necessary, permitting authorities must also include in title V permits requirements concerning the use, maintenance, and, where appropriate, installation of monitoring equipment or methods.

Title V permits must also contain recordkeeping for required monitoring and require that each title V source record all required monitoring data and support information and retain such records for a period of at least five years from the date the monitoring sample, measurement, report, or application was made. With respect to reporting, permits must include all applicable reporting requirements and require (1) submittal of reports of any required monitoring at least every six months and (2) prompt reporting of any deviations from permit requirements. All required reports must be certified by a responsible official consistent with the requirements of 40 CFR 70.5(d).

In addition to periodic monitoring, permitting authorities are required to evaluate the applicability of Compliance Assurance Monitoring (CAM), and include CAM provisions and a CAM plan into a title V permit when applicable. CAM applicability determinations are required either at permit renewal, or upon the submittal of an application for a significant title V permit modification. CAM regulations require a source to develop parametric monitoring for certain emissions units with control devices, which may be required in addition to any periodic monitoring, to assure compliance with applicable requirements.

3.1 Finding: The Clark County DES generally implements CAM requirements successfully.

Discussion: CAM regulations, codified in 40 CFR Part 64, apply to title V sources with large emissions units that rely on add-on control devices to comply with applicable requirements. The underlying principle, as stated in the preamble to our 1997 rulemaking, is "to assure that the control measures, once installed or otherwise employed, are properly operated and maintained so that they do not deteriorate to the point where the owner or operator fails to remain in compliance with applicable requirements".²⁵ Per CAM regulations, sources are responsible for proposing a CAM plan to the permitting authority that provides a reasonable assurance of compliance to provide a basis for certifying compliance with applicable requirements for pollutant-specific emissions units with add-on control devices.

²⁵ 62 FR 54902, October 22, 1997.

The Department generally implements CAM requirements in the title V permits successfully and in sufficient detail to satisfy the requirements of 40 CFR Part 64. In our review of the Department's permits we found that when CAM applies, the Department generally explains CAM applicability correctly and adds appropriate monitoring conditions to title V permits for sources subject to CAM. The EPA commends the Department for this effort. During our interviews, we found that some permitting staff do not have experience working on CAM plans. Additionally, CAM is not a standard section of the Department's TSDs and we found examples where CAM was not discussed in a permit renewal or significant modification action. CAM applicability can evolve over time as a source makes changes, and thus its applicability should be verified to ensure compliance. Furthermore, the EPA's review discovered a source subject to CAM requirements, as stated in its TSD, where the title V permit lacks a CAM plan.

Recommendation: The Clark County DES should continue to implement CAM requirements as it processes permit renewals and significant modifications, and ensure CAM applicability is consistently reviewed and discussed in TSDs. The EPA recommends that the Clark County DES update their TSD templates to include a standard section regarding CAM applicability. Additionally, CAM training may be needed for some staff.

3.2 Finding: The Department's title V permits sometimes lack sufficient monitoring and recordkeeping to ensure compliance with opacity standards.

Discussion: The Department's permits typically require sources to conduct visible emissions surveys of stack or fugitive emissions on a regular basis (daily, weekly, monthly). Generally, Method 9 opacity observations are also required for stack emissions on a regular basis (monthly, quarterly, annually) and can be triggered if opacity is detected during the more frequent visible emissions surveys. For baghouses, the Clark County DES also requires pressure drop monitoring and regular visual inspections of the baghouse interior.

During the previous program evaluation, the EPA found that the Clark County DES's title V permits generally contained appropriate opacity monitoring provisions, but the corresponding recordkeeping provisions were insufficiently detailed.²⁶ In our current review of the Department's opacity monitoring permit conditions, we noted that several permits require Method 9 observations if emissions "appear" to exceed the standard. Additionally, some permits include the requirement to have a certified visible emissions observer conduct a Method 9 observation, "if practical". This type of discretionary language is generally not practicably enforceable. We recommend the Department update its standard monitoring and recordkeeping conditions to ensure opacity limits are enforceable as a practical matter.²⁷

²⁶ See 2007 Evaluation, Finding 3.2.

²⁷ Additionally, more detailed recordkeeping requirements would improve the enforceability of the opacity standards, such as documenting the following for each observation: the emissions unit ID number, whether or not the emissions unit was

Additionally, the EPA noted that some of the preventive maintenance requirements for baghouses require the Permittee to have a Standard Operating Procedures (SOP) manual, but do not explicitly require the Permittee to follow the manual. These conditions could be improved by specifying that the Permittee follow the procedures specified in the SOP manual or listing the specific requirements in the permit. During interviews, staff expressed interest in adding additional details to the Department's baghouse preventive maintenance provisions to improve enforceability.

Recommendation: The Clark County DES should continue to develop consistent, detailed, and practicably enforceable monitoring and recordkeeping permit conditions to accompany all opacity standards.

3.3 Finding: The Clark County DES maintains an internal guidance document for adding periodic monitoring to title V permits.

Discussion: Since the last program evaluation, the Clark County DES has developed internal guidances, patterns and templates to provide uniform guidance for permit writers in the preparation of permits requiring performance testing. Some of these guidance documents derive from teamwork between the Department's Permitting Section and the Department's Compliance and Enforcement Section. The EPA was provided a copy of various internal guidance and template documents during the file review step of this program evaluation. The Clark County DES staff interviewed by EPA are aware of the guidance documents and appear to understand and use them on a regular basis. Staff also noted they understood the documents are a work in progress and may be updated and/or revised.

Recommendation: The Clark County DES should continue to develop, use, and maintain internal guidance documents to provide uniform guidance for permit writers to add periodic monitoring to title V permits.

operating at the time of the observation, whether visible emissions were detected, and if so, whether they were observed continuously or intermittently, the results of each Method 9 observation, the reason a Method 9 observation was triggered, or, if a Method 9 observation could not be performed, the reason it was not performed and when it will be attempted again. We suggest the use of a standard form to document this information.

4. Public Participation and Affected State Review

This section examines the Clark County DES procedures used to meet public participation requirements for title V permit issuance. The federal title V public participation requirements are found in 40 CFR 70.7(h). Title V public participation procedures apply to initial permit issuance, significant permit modifications, and permit renewals. The Clark County DES public participation procedures must provide for public notice including an opportunity for public comment and public hearing on the draft initial permit, permit modification, or permit renewal. Draft permit actions must be noticed in a newspaper of general circulation or a state publication designed to give general public notice; sent to affected states; sent to persons on a mailing list developed by the permitting authority; sent to those persons that have requested in writing to be on the mailing list; and provided by other means as necessary to assure adequate notice to the affected public.

The public notice must, at a minimum: identify the affected source; the name and address of the permitting authority processing the permit; the activity or activities involved in the permit action; the emissions change involved in any permit modification; the name, address, and telephone number of a person from whom interested persons may obtain additional information, including copies of the draft permit, the application, all relevant supporting materials, and all other materials available to the permitting authority that are relevant to the permit decision; a brief description of the required comment procedures; and the time and place of any hearing that may be held, including procedures to request a hearing. See 40 CFR 70.7(h)(2).

The permitting authority must keep a record of the public comments and of the issues raised during the public participation process so that the EPA may fulfill its obligation under section 505(b)(2) of the Act to determine whether a citizen petition may be granted. The public petition process, 40 CFR 70.8(d), allows any person who has objected to permit issuance during the public comment period to petition the EPA to object to a title V permit if the EPA does not object to the permit in writing as provided under 40 CFR 70.8(c). Public petitions to object to a title V permit must be submitted to the EPA within 60 days after the expiration of the EPA 45-day review period. Any petition submitted to the EPA must be based only on objections that were raised with reasonable specificity during the public comment period, unless the petitioner demonstrates that it was impracticable to raise such objections within such period, or unless the grounds for such objection arose after such period.

4.1 Finding: The Clark County DES provides public notices of its draft title V permitting actions on its website.

Discussion: A permitting authority's website is a powerful tool to make title V information available to the general public. Easy access to information that is useful for the public review process can result in a more informed public and, consequently, provide more meaningful comments during title V permit public comment periods.

In our 2007 Evaluation, we encouraged Clark County DES to consider posting relevant title V permit information on its website including, but not limited to, proposed and final title V

permits, technical support documents, public notices, responses to public comments, citizen petition procedures, and general title V information and guidance.²⁸

Currently, the Department website provides general information to the public and regulated community regarding the Clark County DES permitting program.²⁹ The public can find information regarding the permitting process, whether a permit is needed for an operation, how to obtain a permit, application forms, and information about related programs that inform the Department's permitting program.

The Clark County DES's website also provides a list of active projects that are in the public comment period along with the corresponding draft permit, TSD, and public notice that includes information on how to comment electronically or by mail.³⁰ The website also provides the public with access to active title V permits and TSDs.³¹

The Clark County DES maintains electronic mailing lists for title V public notices and for notification of affected states including the national parks, Moapa Band of Paiute Indians, and the states of Nevada and Arizona. However, the Department does not include the Mojave Desert Air Quality Management District, one of its neighbors, on its affected states notification list. Members of the public may sign up for the title V public notice mailing list on the Department's website.

Recommendation: We encourage the Clark County DES to continue providing information related to title V permits to the public via their website and notifying affected states and interested parties of relevant title V permitting actions via Department electronic mailing lists. The Department should also include the Mojave Desert Air Quality Management District as part of its affected states notification.

4.2 Finding: The Clark County DES does not provide notification regarding the public's right to petition the EPA Administrator to object to a title V permit.

Discussion: 40 CFR 70.8(d) provides that any person may petition the EPA Administrator, within 60 days of the expiration of the EPA's 45-day review period, to object to the issuance of a title V

²⁸ See 2007 Evaluation, Finding 4.7.

²⁹

https://www.clarkcountynv.gov/government/departments/environment_and_sustainability/division_of_air_quality/permitting/index.php

³⁰

https://www.clarkcountynv.gov/government/departments/environment_and_sustainability/division_of_air_quality/permitting/public_notices.php

³¹

https://www.clarkcountynv.gov/government/departments/environment_and_sustainability/division_of_air_quality/permitting/title_v_permits.php

permit. The petition must be based only on objections that were raised with reasonable specificity during the public comment period.³²

Clark County AQR Section 12.5.2.18 contains the required information about the public's right to petition the EPA Administrator to object to a title V permit. However, the Department's draft and final permit packages, including the public notice for the permit action, do not inform the public of the right to petition the EPA Administrator to object to a title V permit. We made the same finding during our 2007 Evaluation.³³

Recommendation: The EPA strongly recommends that the Clark County DES revise its public notice templates to inform the public of the right to petition the EPA Administrator to object to the issuance of a title V permit.

- 4.3 Finding:** Clark County contains a significant number of linguistically isolated communities for which the Clark County DES does not consistently provide translation services.

Discussion: The Clark County DES's jurisdiction includes sources located throughout Clark County. The EPA prepared a map of linguistically isolated communities within the Clark County DES's jurisdiction in which title V permits have been or may be issued (see Appendix D). The EPA's map indicates that there are significant populations that are linguistically isolated. These linguistically isolated communities have a significant population density, and thus DES should provide translation services in those communities during the title V permitting process. Using a map like that found in Appendix D may provide additional opportunities to direct the Clark County DES's translation efforts.

Recommendation: The EPA recommends that the Clark County DES provide translation services for linguistically isolated communities within its jurisdiction. The Clark County DES should consider directing translation efforts by using mapping tools as appropriate to assure updated information.³⁴

- 4.4 Finding:** The Clark County DES's general practice is to conduct a concurrent public and EPA review. If comments are received during the 30-day public review period, the 45-day EPA review is restarted and run sequentially to the public review period, not concurrently.

Discussion: Per section 505(b) of the CAA and 40 CFR 70.8, state and local permitting agencies are required to provide proposed title V permits to the EPA for a 45-day period during which the EPA may object to permit issuance. The EPA regulations allow the 45-day EPA review period to occur either following the 30-day public comment period (i.e., sequentially), or at the same

³² An exception applies when the petitioner demonstrates that it was impracticable to raise those objections during the public comment period or that the grounds for objection arose after that period.

³³ See 2007 Evaluation, Finding 4.6.

³⁴ Please see 40 CFR Part 7.35(a) for additional detail regarding federal grantee obligations in demonstrating compliance with title 6 of the Civil Rights Act of 1964. In addition, please see Appendix D that includes a copy of a recent preliminary decision regarding this topic.

time as the public comment period (i.e., concurrently). When the public and the EPA review periods occur sequentially, permitting agencies will make the draft permit available for public comment, and following the close of public comment, provide the proposed permit and supporting documents to the EPA.³⁵ When the public and the EPA review periods occur concurrently, a state or local agency will provide the EPA with the draft permit and supporting documents at the beginning of the public comment period. As codified in 40 CFR 70.8, if the Clark County DES receives comments from the public during the 30-day public review period, the 45-day EPA review would be restarted to allow the Clark County DES to prepare responses to the public comments and provide the response to comments, and an updated permit and TSD, to the EPA.

Recommendation: The Clark County DES should continue its practice of preparing a response to comments and making any necessary revisions to the draft permit or permit record.

- 4.5 Finding:** The Clark County DES has a Small Business Assistance Program (SBAP) to help conduct pre-application meetings with potential sources to help identify the potential permitting project scope and regulatory requirements.

Discussion: Under Section 507 of the CAA, permitting authorities are required to implement a small business assistance program to assist small businesses that need title V permits. In our 2007 Evaluation, we found that the Department had only intermittently assigned resources to meet this requirement.³⁶ We recommended that the Department ensure the SBAP duties and training include coverage of title V small businesses; these duties would be formalized so that a lapse in meeting this requirement does not occur in the future.

During this evaluation, we found that the Department now has a full SBAP that operates under the oversight of the Division Director, to provide assistance to business owners and operators in determining County, State, and Federal requirements that apply to small businesses. The assistance includes coverage of title V small businesses.

During the interviews, the SBAP staff stated that they help small businesses draft permit applications and review permits to ensure permit records adequately represents the source. This helps the Permitting section to process permit applications in a timely fashion. The SBAP staff also assists small businesses with compliance by conducting mock inspections on site and by reviewing the source's draft Annual Emissions Reports to ensure they are adequate before submitting the reports to the Compliance and Enforcement Section.

³⁵ Per 40 CFR 70.2, "draft permit" is the version of a permit for which the permitting authority offers public participation or affected State review. Per 40 CFR 70.2, "proposed permit" is the version of a permit that the permitting authority proposes to issue and forwards to the EPA for review. In many cases these versions will be identical; however, in instances where the permitting agency makes edits or modifications as a result of public comments, there may be material differences between the draft and proposed permit.

³⁶ See 2007 Evaluation, Finding 4.5.

Additionally, the SBAP staff helps small businesses with pollution prevention by providing guidance on control technologies. For example, they help gas stations to understand the benefits of Stage II vapor controls. The Department has an SBAP website where they describe who they are and provide forms, calculation sheets, and other information to aid businesses developing permit applications. Furthermore, the website has a notification feature available for small businesses in case they want to be made aware when there is new content on the SBAP website.

Discussions with SBAP staff also indicated that work related to title V sources is tracked so that time spent working with these sources is appropriately accounted for in tracking title V fees and revenue.

Recommendation: The EPA encourages the Department to continue supporting its SBAP program by providing these services.

5. Permit Issuance / Revision / Renewal

This section focuses on the permitting authority's progress in issuing initial title V permits and the Department's ability to issue timely permit renewals and revisions consistent with the regulatory requirements for permit processing and issuance. Part 70 sets deadlines for permitting authorities to issue each type of title V permit. The EPA, as an oversight agency, is charged with ensuring that these deadlines are met as well as ensuring that permits are issued consistent with title V requirements. Part 70 describes the required title V program procedures for permit issuance, revision, and renewal of title V permits. Specifically, 40 CFR 70.7 requires that a permitting authority take final action on each permit application within 18 months after receipt of a complete permit application, except that action must be taken on an application for a minor modification within 90 days after receipt of a complete permit application.³⁷

5.1 Finding: The Clark County DES does not have title V permit backlog and issues initial and renewal permits in a timely manner.

Discussion: At the time of our evaluation, the Clark County DES had 29 title V sources and 75 synthetic minor sources. We found that the Department's internal procedures have provided a record of timely permit issuance. The Department stated that it is facing an unusually busy cycle of title V renewal applications, which was projected in advance. In preparation, the Department restructured the Permitting Section's major source group to pull resources from the minor source group as necessary. The Department intends to be timely with all permits, but as many as 25% of the title V permits may experience delays beyond 18 months in the coming years. However, the Department is proactively working to prevent any delays.

The Clark County DES's permit processing time has greatly improved since our 2007 Evaluation. At the time of the 2007 Evaluation, the Department had a backlog of 38 major source permit applications and was struggling with reducing the backlog because of high staff turnover in the permitting section. The Department now provides promotional opportunities for permit writers graduating into the title V program and offers competitive salaries to air quality permit writing positions. Staff turnover is no longer an issue, and the Department is processing title V permits in a timely manner.

Recommendation: The Department should continue the practices that allow it to process title V permits within the timeframes established in 40 CFR part 70.

5.2 Finding: The Department allows sources to voluntarily limit their potential to emit to avoid title V applicability, and generally writes synthetic minor limits that are enforceable as a practical matter.

³⁷ See 40 CFR 70.7(a)(2) and 70.7(e)(2)(iv).

Discussion: A source may accept a voluntary limit (also known as a “synthetic minor” limit) to maintain its PTE below an applicable major source threshold and thereby avoid major NSR permit requirements and/or the title V permit program. Sources establish such a limit by obtaining a synthetic minor permit containing practically enforceable emissions limits from the permitting authority.

Synthetic minor limits must be enforceable as a practical matter, meaning they are both legally and practicably enforceable.³⁸ According to EPA guidance, for emissions limits in a permit to be practicably enforceable, the permit provisions must specify: 1) technically-accurate limitations and the portions of the source subject to such limitations; 2) the time period for the limitations; and 3) the method to determine compliance, including appropriate monitoring, recordkeeping, and reporting.³⁹

In response to a petition regarding the Hu Honua Bioenergy Facility in Hawaii, the EPA stated that synthetic minor permits must specify: 1) that all actual emissions at the source are considered in determining compliance with its synthetic minor limits, including emissions during startup, shutdown, malfunction or upset; 2) that emissions during startup and shutdown (as well as emissions during other non-startup/shutdown operating conditions) must be included in the semi-annual reports or in determining compliance with the emissions limits; and 3) how the source’s emissions shall be determined or measured for assessing compliance with the emissions limits.⁴⁰

The Clark County AQR Section 12.1.7 allows a major source to voluntarily limit its PTE to below major source thresholds to avoid the requirement to obtain a title V permit and/or a major NSR permit. As a synthetic minor source, the source must demonstrate that its PTE is permanently reduced either through a physical source modification or by accepting a practically enforceable permit condition limiting its PTE below the title V major source and/or NSR major source thresholds.

As part of our evaluation we reviewed several of the Department’s synthetic minor permits.⁴¹ The permits and TSDs generally provide a summary of why the source has requested a synthetic minor permit. The permit conditions are generally clear regarding the specific limitations, the portions of the source subject to the limitations, the time period for the limitation, and the method to determine compliance, including appropriate monitoring, recordkeeping and reporting. However, for additional clarity and consistency with the Hu Honua petition, the Department should consider specifying in its permit conditions that compliance with synthetic

³⁸ *Options for Limiting the Potential to Emit (PTE) of a Stationary Source Under Section 112 and Title V of the Clean Air Act (Act)*, John S. Seitz, Director, Office of Air Quality Planning and Standards (January 25, 1995).

³⁹ *Ibid.*

⁴⁰ *Order Responding to Petitioner’s Request that the Administrator Object to Issuance of State Operating Permit Petition No. IX-2011-1*, Gina McCarthy, Administrator (February 7, 2014).

⁴¹ The permits reviewed included the following types of facilities: a polymer concrete manufacturing facility; a municipal wastewater treatment facility; a resort hotel and casino facility; a urethane molding facility, an aggregate processing facility, and a polymer products manufacturing facility.

minor limits includes all actual emissions, including emissions from periods of startup, shutdown, and malfunction. Additionally, while most of the TSDs provide reasonable detail explaining the basis behind the synthetic minor permit limit, similar with the inconsistency issue in Finding 2.3, some of the TSDs do not explain the applicable major source thresholds clearly and do not differentiate between the title V and NSR applicability thresholds.

Recommendation: The EPA commends the Clark County DES' efforts in ensuring enforceability of synthetic minor permit emissions limits. In addition to continuing its current good practices, the EPA recommends the Clark County DES consider all the criteria from the Hu Honua petition response in future actions when issuing synthetic minor permits. Furthermore, to better facilitate the EPA's and the public's understanding of the basis behind the synthetic minor permit limits, the EPA recommends that the Clark County DES consistently include a section in the TSD to discuss synthetic minor limits that includes the applicable major source threshold (including separate thresholds for Title V and NSR/PSD), significance threshold, and/or permitting exemption threshold.

5.3 Finding: The Clark County DES routinely submits proposed and final permit actions to the EPA.

Discussion: 40 CFR 70.8(a)(1) and the Clark County DES's EPA-approved title V program require that proposed and final permits be sent to the EPA.

During our review of recent actions, the EPA found that the Clark County DES routinely submits copies of proposed title V permit actions, and final title V permit actions to the EPA via the EPA Central Data Exchange's Electronic Permit System (EPS). Additionally, anyone may sign up for Clark County DES public notice email notifications. The EPA oversight team receives Clark County DES air quality permitting notices. These notices generally include a notice of proposed action, the proposed permit, and the proposed technical support document. During the internal file review, there were several instances where we could not locate a copy of the permit application on the Clark County DES website, as indicated in the notice of proposed action.

When the Department receives comments on a proposed title V permit, it responds to the comments in a document titled the "Final Action Report," which is sent to the EPA for EPA's second 45-day review (see Finding 4.4), and then issued with the final permit. During several interviews, staff indicated that the Clark County DES rarely receives comments on title V actions. Additionally, most comments received are from the EPA or the source. During the EPA's 2007 Evaluation, we found that the Clark County DES did not consistently send final title V permits and Final Action Reports to Region 9.⁴² This issue has been corrected and the Clark County DES routinely submits the Final Action Report with the final permit package to Region 9 when any comments are received.

⁴² See 2007 Evaluation, Finding 5.1.

Additionally, during the 2007 Evaluation, the EPA found that the Clark County DES rarely modified title V permits following the issuance of the initial permit.⁴³ Based on our review of recent actions, the Clark County DES has rectified this issue, likely through efforts to retain staff and improving permit office guidance and practices.

Recommendation: The EPA commends the Clark County DES on the many improvements it has made in processing title V permit modifications and submitting required documentation to the EPA. Additionally, the EPA recommends including links to all of the application materials on the public notice webpage.

⁴³ See 2007 Evaluation, Finding 5.2

6. Compliance

This section addresses the Clark County DES practices and procedures for issuing title V permits that ensure compliance with all applicable requirements. Title V permits must contain sufficient requirements to allow the permitting authority, the EPA, and the general public to adequately determine whether the permittee is in compliance with all applicable requirements.

Compliance is a central priority for the title V permit program. Compliance assures a level playing field and prevents a permittee from gaining an unfair economic advantage over its competitors who comply with the law. Adequate conditions in a title V permit that assure compliance with all applicable requirements also result in greater confidence in the permitting authority's title V program within both the general public and the regulated community.

6.1 Finding: The Department performs Full Compliance Evaluations (FCEs) of all title V sources on a schedule consistent with its negotiated compliance monitoring strategy (CMS).

Discussion: The EPA's 2016 Clean Air Act Stationary Source Compliance Monitoring Strategy⁴⁴ recommends that permitting authorities perform FCEs for most title V sources at least every other year. For the vast majority of title V sources, the EPA expects that the permitting authority will perform an onsite inspection to determine the source's compliance status as part of the FCEs. The EPA and the Clark County DES have negotiated specific inspection frequencies for all title V sources consistent with national goals and have identified them in the Department's CMS. The Clark County DES met the negotiated frequency for conducting FCEs of Title V Major Sources, Mega-Sites⁴⁵, and SM80s.⁴⁶ The Clark County DES ensured each major source was evaluated with an FCE once every two years, each Mega-Site once every three years, and each SM80 once every five years. The Clark County DES has satisfactorily performed FCEs at major facilities. For additional details, please see the EPA's 2021 State Review Framework for Clark County DES, Finding 2-1.⁴⁷

Recommendation: The EPA acknowledges the Department's ongoing efforts on meeting its CMS.

6.2 Finding: The Clark County DES's permitting and compliance managers communicate effectively with each other and meet routinely to discuss programmatic issues.

Discussion: In our 2007 Evaluation, we found that the Clark County DES's compliance and permitting management communicated well, but the communication to staff was not clear for

⁴⁴ This document is available at: <https://www.epa.gov/compliance/clean-air-act-stationary-source-compliance-monitoring-strategy>.

⁴⁵ Sources that are large in area, not necessary major in emissions.

⁴⁶ Facilities that are operating between 80% and 99% of the applicable major source threshold.

⁴⁷ Appendix F.

resolving complex issues in a timely manner.⁴⁸ For this evaluation, the Clark County DES's compliance and permitting management continues to hold routine meetings to discuss permitting and compliance issues. Unlike the 2007 Evaluation, both permitting and compliance staff indicated everyone is readily accessible if there are any questions regarding a source or a permit, and communication is effective. The two sections also communicate via the internal "Pending" folder where the compliance section can fill out a form to notify the Permitting section if something in the permit needs to be fixed; and the Permitting section can fill out a form to notify the compliance section if there are compliance issues.

Recommendation: The EPA commends the Clark County DES for maintaining good communication between permitting and compliance management and staff. We encourage the Clark County DES to continue information sharing between permitting and compliance staff and managers.

- 6.3 Finding:** The Department reviews all title V deviation reports, annual compliance certifications, and semiannual monitoring reports.

Discussion: Similar to our 2007 Evaluation, the Clark County DES continues to be diligent about reviewing the deviation reports, quarterly monitoring, reports, and compliance certifications that sources submit to the agency. The Clark County DES tracks these reports through a database and they are reviewed by compliance staff and supervisors. If a Notice of Violation (NOV) could be warranted after reviewing a report, the inspector will write a Partial Compliance Evaluation (PCE), and, after internal review, will be followed by an NOV from the enforcement group.

Recommendation: The EPA commends the Clark County DES's efforts in reviewing and tracking all deviation reports, quarterly monitoring reports, and compliance certifications.

- 6.4 Finding:** The Department addresses potential compliance issues prior to permit issuance. However, the Department's TSDs could be improved to describe compliance issues more clearly.

Discussion: The Part 70 program requires that each title V permit contain a schedule of compliance if necessary.⁴⁹ This includes ensuring title V permits contain requirements that ensure sources comply with requirements that have future compliance dates and ensure that title V permits contain enforceable milestones leading to compliance for those requirements for which the source is not in compliance. In the 2007 Evaluation, we found that the Clark County DES worked to bring noncompliant sources into compliance before issuing their title V permits, but this also led to delayed permit issuance.⁵⁰ These delays are no longer an issue and the previous finding has been addressed.

⁴⁸ See 2007 Evaluation, Finding 6.4.

⁴⁹ See 40 CFR 70.6(c)(3) and 70.5(c)(8).

⁵⁰ See 2007 Evaluation, Finding 6.2.

Currently, the Department includes requirements with future compliance dates in its title V permits and addresses issues of noncompliance through Settlement Agreements (SAs) and Hearing Officer Orders (HOOs). The requirements from the SAs and HOOs are then incorporated into the title V permit. While the Part 70 program provides permitting authorities the authority to use the title V permit to establish the enforceable milestones that lead to compliance when a source is not in compliance (versus, for example, through a SA), this approach is not required. However, we recommend that the Department include a citation to 40 CFR 70.6(c)(3) when incorporating requirements from SAs and HOOs into title V permits as the authority for such requirements, since SAs and HOOs do not meet the definition of an applicable requirement. Consistent with the Part 70 program, the Department's processes ensure that title V permits contain a schedule of compliance.

The Department's TSDs typically include a compliance section, but do not necessarily explain compliance issues clearly. In addition to including SAs and HOOs in title V permits, the Department also has other internal mechanisms for addressing compliance issues for Part 70 sources. The Department's permitting tracking system contains a module that specifies the compliance status of a source, which is reviewed by the Permitting section during open permit actions. In the event there are compliance issues, the Compliance and Enforcement Section will work with the Permitting Section to ensure permitting conditions are included in the permit to assure compliance. However, the steps taken to address compliance issues are not well documented in the TSD and it can be challenging to understand how the Department is revising a permit to address compliance issues. We recommend including more detail and explanation of compliance issues in TSDs to better facilitate understanding of the requirements in the title V permit. Currently, the compliance summary table provided in the Department's TSDs often leaves the permitted source's compliance status unclear.

Recommendation: We commend the Clark County DES for ensuring title V permits include compliance schedules. However, we recommend that the Department include citations to 40 CFR 70.6(c)(3) when incorporating SAs and HOOs into title V permits. Additionally, we recommend the compliance section in TSDs be improved to better reflect the source's actual compliance history and the actions being taken to address compliance issues, if applicable.

7. Resources and Internal Management

The purpose of this section is to evaluate how the permitting authority is administering its title V program. With respect to title V administration, the EPA's program evaluation: (1) focused on the permitting authority's progress toward issuing all initial title V permits and the permitting authority's goals for issuing timely title V permit modifications and renewals; (2) identified organizational issues and problems; (3) examined the permitting authority's fee structure, how fees are tracked, and how fee revenue is used; and (4) looked at the permitting authority's capability of having sufficient staff and resources to implement its title V program.

An important part of each permitting authority's title V program is to ensure that the permit program has the resources necessary to develop and administer the program effectively. In particular, a key requirement of the permit program is that the permitting authority establish an adequate fee program. Part 70 requires that permit programs ensure that title V fees are adequate to cover title V permit program costs and are used solely to cover the permit program costs. Regulations concerning the fee program and the appropriate criteria for determining the adequacy of such programs are set forth in 40 CFR 70.9.

7.1 Finding: The Clark County DES permitting and compliance staff report that they receive effective legal support from the County District Attorney's office.

Discussion: In our 2007 Evaluation,⁵¹ we stated that the Clark County DES had shifted its legal support from the County District Attorney's office to within its organization. However, the shift was not actually completed. The Clark County DES continues to receive support from the Deputy District Attorney (DDA), who is responsible for providing legal support on a wide variety of legal issues, including non-environmental issues. In our previous finding, we found that competing priorities may have affected the DDA's ability to provide optimal legal support for title V issues.

During our site visit, interviewees reported that even though the DDA does not have an environmental background, they receive effective legal support. Unlike the previous evaluation, the DDA is available to participate in any meeting at which the Clark County DES meets with a permittee or others who have legal counsel.

Recommendation: The Clark County DES should continue to ensure that it receives effective legal support.

⁵¹ 2007 Evaluation, Finding 7.6.

- 7.2 Finding:** The Department tracks title V program expenses and revenue to ensure that funding is sufficient to effectively implement the title V program and that funds are spent solely to support the title V program.

Discussion: The Part 70 regulations require that permit programs ensure that the collected title V fees are adequate to cover title V permit program costs and are used solely to cover the permit program's costs.⁵² In our 2007 Evaluation, the EPA found that title V revenue was clearly tracked while title V expenses were not well-defined.⁵³ In this more recent effort, the Clark County DES provided accounting data for the prior 3 years. Based on this more recent data, revenue and expenses are tracked closely by category of service and show no deficits. A recent change to how the Clark County DES gathers accounting information ensures that fewer errors resulting from data entry will occur. The recent change in collecting information involves presenting accounting information directly from the Clark County DES accounting software instead of transferring that information from the Clark County DES accounting software to a spreadsheet and then presenting the title V accounting data. During the evaluation, the EPA provided the Clark County DES with the most recent EPA policy on title V funding (see appendix E).

Recommendation: The EPA acknowledges the Clark County DES's efforts in maintaining a transparent and effective title V fee accounting system and commends the improvement in tracking title V expenses since our last evaluation.

- 7.3 Finding:** The Department staff report that supervisors and management are available for one-on-one consultation on title V permitting issues.

Discussion: The Department's staff report that supervisors and management are available for one-on-one consultation on title V permitting issues. Generally, communication between staff and management is very effective. Overall, staff feel that management does a good job soliciting staff opinions and staff are very involved in developing permit requirements. Some staff mentioned that if there are any disagreements, they maintain a record of communication to document the final decision.

Recommendation: The EPA commends the Clark County DES for empowering staff and in maintaining great communication.

- 7.4 Finding:** The Department provides training for its permitting and compliance staff.

Discussion: As noted in the EPA's prior evaluation, the Department has a training program for its permitting and compliance staff requiring that permit writers attend training classes such as those offered by California Air Resources Board (CARB) and Air Pollution Training Institute (APTI), as well as classes on topics such as NSR. The Department holds ad hoc training on

⁵² See 40 CFR 70.9(a).

⁵³ See 2007 Evaluation, Finding 7.1.

specific issues as warranted. The Department also trains new staff internally by having permit-specific training done by one of the senior staff based on new assignments. Every inspector has a development plan that includes APTI courses, CARB courses and Western States Resource Council (“WESTAR”) courses (stack testing, stationary source compliance, etc.), some internal and webinar courses, and on the job training. New inspectors are assigned tasks to perform while a senior inspector observes.

During the interviews, the Department staff expressed interest in more internet-based training and identified NSPS and MACT standards as an area where they have specific interest in more training (40 CFR part 60, subpart ZZZZ, turbines, reciprocal engines).⁵⁴

Recommendation: The Department should continue to refine its training program and should conduct periodic surveys to determine areas where additional training may be desired and necessary. The EPA will provide regular updates on training availability during existing regularly scheduled calls.

- 7.5 Finding:** Permitting staff demonstrated a general lack of knowledge on environmental justice (EJ) and would like the EPA to provide training on this issue.

Discussion: As noted in the 2007 Evaluation, the Department’s permitting staff is generally not familiar with EJ issues and how these issues may arise in a permitting context.⁵⁵ As a result, there is uncertainty about tools that may help the Department address EJ issues and inform the public more effectively of permitting actions. In the EPA’s prior evaluation, the EPA committed to providing EJ training but was unable to do so given resource constraints at the time.

One of the tools available to help anticipate where EJ issues may arise with permitting actions is the EPA’s EJSCREEN tool. This tool can be used to prepare maps that highlight specific demographic data for use in focusing outreach, for example. The EPA suggests that the Department examine the maps provided in the appendices to this report (including the linguistic isolation map – see Appendix D) to familiarize staff with the EJSCREEN tool and its capabilities in identifying communities where additional outreach on permitting actions may be warranted.⁵⁶

Recommendation: The EPA will work with the Department to provide EJ training and will provide assistance to improve the Department’s familiarity with available EJ tools.

- 7.6 Finding:** In response to the 2007 Evaluation, the Department is providing sufficient resources to implement its title V permitting program effectively, has reduced staff turnover via

⁵⁴ The EPA is aware that an effort is presently underway to provide more APTI training via the internet.

⁵⁵ For reference, please see <https://www.epa.gov/sites/production/files/2015-07/documents/ej-permitting-faqs-4.29.pdf>.

⁵⁶ For an overview of the EJSCREEN tool, please see <https://www.epa.gov/ejscreen>. For learning resources on EJSCREEN, please see <https://www.epa.gov/ejscreen/learn-use-ejscreen>.

compensation changes, and has improved ladder and promotional opportunities to recruit and retain experienced staff.

Discussion: As noted in the EPA's recommendation for Finding 7.2 of its 2007 Evaluation:

Staff turnover can erode an agency's institutional knowledge regarding permitted facilities, which can create delays in the issuance of Title V permits. (Footnote omitted.) Based upon discussions with DAQEM's permitting staff, EPA believes that a job compensation analysis may lead to a system in which engineers can demonstrate growth through their careers in a way that is comparable to what other divisions within DAQEM offer and might reduce the frequency of staff turnover. A successful job compensation structure may also lead to additional opportunities for qualified candidates for Senior AQS positions within the Permitting Division. The Department should also conduct a workload assessment to determine the number of additional staff persons needed to implement its Title V permitting program.

Based on the EPA's interviews during this evaluation, it is clear that the Department has been effective in responding to the earlier EPA finding on this matter. Following the publication of the 2007 Evaluation, the Department aggressively pursued changes to its compensation structure and career ladder for its permitting staff. The apparent success of these efforts is indicated by the length of tenure among permitting staff (many of whom have over 10 years' experience in permitting for the Clark County DES) as well as the Department's ability to attract experienced permitting engineers from other agencies to augment and diversify the skillset of the Department's permitting team.

As a result of the efforts described above, the Department has experienced very low turnover among its permitting staff and management since the 2007 Evaluation, with a concentration of knowledge at the management level. The Department may experience significant attrition as its more experienced staff and management become eligible for retirement over the next several years. As a result, the Department may want to focus on measures to bring on new employees as the more experienced employees transition towards retirement, with the goal of promoting knowledge transfer and preserving institutional knowledge.

Recommendation: The EPA acknowledges the Department's success on retention and recruitment since the 2007 Evaluation. The EPA encourages the Department to be strategic in succession planning as more experienced employees transition to retirement in order to promote knowledge transfer and to preserve institutional knowledge.

7.7 Finding: The Clark County DES has taken several measures to maintain effective title V permitting program implementation during the COVID-19 pandemic.

Discussion: Recognized in March 2020, the worldwide COVID-19 pandemic response prompted the Clark County DES to rapidly take measures to adapt to a new environment in order to

maintain its effectiveness while ensuring employee health and safety. The Clark County DES responded by quickly providing all employees with information technology (IT – tablets, smartphones and laptops) that could be used remotely. In fact, the Department even redeployed IT resources that had been identified as surplus to ensure that adequate functional resources were available to their employees. The Department initially established a 100% telework schedule for its employees and has more recently moved to a 50% telework schedule. The Department plans to institute a 100% in-office schedule pending monthly reassessment to ensure that current pandemic conditions are considered. During our interviews, we learned that there is interest in instituting telework options for employees post-pandemic.

The Department's primary consideration throughout the pandemic has been employee and public health and safety. The Department provided its employees early opportunities for vaccination against COVID-19. The Department encouraged and implemented additional safety measures (protective face masks, hand washing, etc.) for those in the field and interacting with the public to ensure that they could safely continue protecting public health and the environment with both in-office and field presence.

The Department's COVID-19 response efforts have prompted an interest in seeking Cross-Media Electronic Reporting Rule (CROMERR) compliance to allow for additional electronic information submittals. Published on October 13, 2005, CROMERR established a framework by which EPA will accept electronic reports from regulated entities. CROMERR may apply to any electronic document submission required by or permitted under the EPA or any authorized program governed by EPA's regulations in Title 40 of the Code of Federal Regulations.⁵⁷

Recommendation: The EPA acknowledges the Department's agile response to the pandemic.

⁵⁷ For additional information, please see: <https://www.epa.gov/cromerr/introduction-background-cromerr>.

8. Records Management

This section examines the system the Clark County DES has in place for storing, maintaining, and managing title V permit files. The contents of title V permit files are public records, unless the source has submitted records under a claim of confidentiality. The Clark County DES has a responsibility to the public in ensuring that title V public records are complete and accessible.

In addition, the Clark County DES must keep title V records for the purposes of having the information available upon the EPA's request. 40 CFR 70.4(j)(1) states that any information obtained or used in the administration of a State program shall be available to the EPA upon request without restriction and in a form specified by the Administrator.

The minimum Part 70 record retention period for permit applications, proposed permits, and final permits is five years in accordance with 40 CFR 70.8(a)(1) and (a)(3). However, in practical application, permitting authorities have often found that discarding title V files after five years is problematic in the long term.

8.1 Finding: The Clark County DES has successfully converted all permitting hard copy files to electronic files.

Discussion: In our 2007 Evaluation finding, the Clark County DES was in the process of converting all permitting hard copy files to electronic files.⁵⁸ During our virtual site visit, most interviewees stated that they do not normally use any hard copies, and if they do, it is due to personal preference. This conversion has helped greatly during the pandemic (see Finding 7.7).

Recommendation: The EPA commends the Clark County DES on its conversion to all electronic files.

8.2 Finding: The Clark County DES has a written file retention policy.

Discussion: The Clark County DES did not have a written file retention policy during our 2007 Evaluation.⁵⁹ The Department now has the Clark County DES Records Retention Schedule.⁶⁰ The Clark County DES's file retention policy keeps permitted major and synthetic minor source files until 20 years after site closure.

Recommendation: The EPA commends the Clark County DES on having a written file retention policy.

8.3 Finding: The Clark County DES uses an electronic database to track title V permits effectively and continues to make database improvements.

⁵⁸ 2007 Evaluation, Finding 9.1.

⁵⁹ 2007 Evaluation, Finding 9.4

⁶⁰ Appendix G.

Discussion: In our 2007 Evaluation,⁶¹ the EPA encouraged the Clark County DES to continue improving its database system. The Department hired an outside vendor and developed their own database management system interface, AirTrax. AirTrax contains an assortment of useful data, including finance, stationary source, and compliance information. The database contains a workflow module where documents are put in queues awaiting someone's action and tracks the history of each workflow as it moves from person to person. Reports can be pulled from AirTrax to notify staff of outstanding items, and staff can request custom reports as necessary. AirTrax includes automated countdowns, so regulatory timelines are visible and updated in real time. Within AirTrax, each source and each NOV have their own folder with tabs that link information together. The Department uses AirTrax to effectively track title V permits and access files. The system keeps workflows well-organized and moving forward.

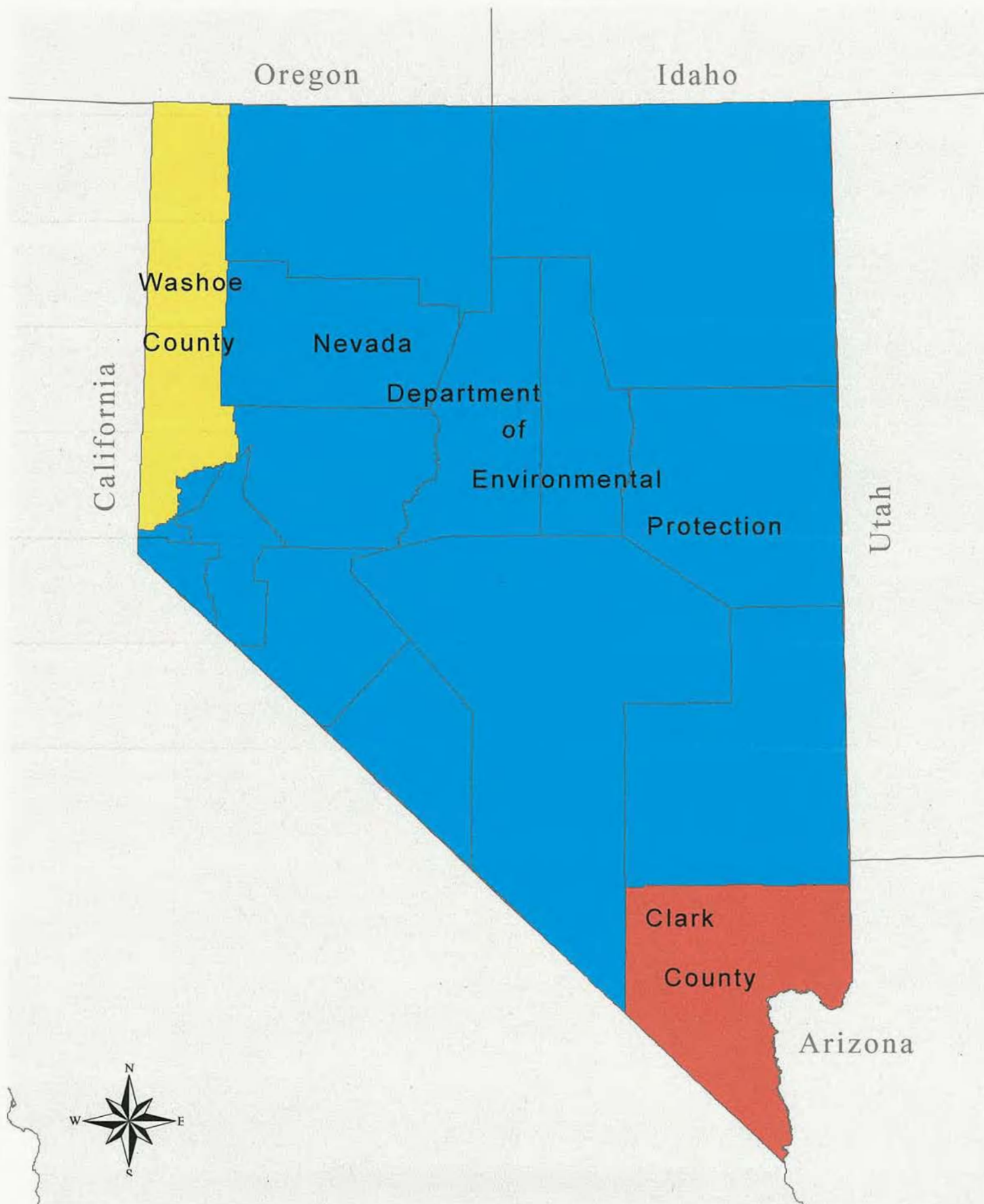
Both the Permitting and the Compliance and Enforcement Sections use AirTrax. In the Permitting Section, both management and staff are generally satisfied with the system. The main complaint of the system is its slowness. The compliance section is currently developing a separate database that can be linked to AirTrax; the Permitting Section is still deciding if it will also switch to the new database. The new database will allow the compliance section to receive complaints online, and will enable sources to apply for dust control permits online. The Department has a goal to eventually get CROMERR approval and have a fully electronic permit application and issuance system.

Recommendation: The EPA commends the Clark County DES's efforts in maintaining and improving AirTrax and creating a new database to further improve its electronic database capacity. Being able to process all permitting related functions electronically and getting CROMERR approval should continue to improve the Department's permit issuance process.

⁶¹ 2007 Evaluation, Finding 5.3.

Appendix A. Air Pollution Control Agencies in Nevada

Air Pollution Control Agencies in Nevada



Appendix B. Title V Questionnaire and the Clark County DES Responses



United States Environmental Protection Agency
Region 9 – Pacific Southwest

<https://www.epa.gov/caa-permitting/caa-permitting-epas-pacific-southwest-region-9>

Title V Program Evaluation

Questionnaire

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A. Title V Permit Preparation and Content

1. For those title V sources with an application on file, do you require the sources to update their applications in a timely fashion if a significant amount of time has passed between application submittal and the time you draft the permit? **Y**☒ **N**☐

- a. Do you require a new compliance certification? **Y**☒ **N**☐

DAQ Response: *An official completeness determination letter is issued informing the source that changes to the application must be done as a separate permitting action, but we allow some latitude. The draft permit/TSD is provided to the source for review prior to issuance, which occasionally results in additional updates. Insignificant changes and updates that are proposed for the application and/or draft permit may be considered if they do not impact the previous analysis. If so, the source must propose them in writing with a new signature/certification.*

2. Do you verify that the source is in compliance before a permit is issued? **Y**☒ **N**☐ **If so, how?**

DAQ Response: *The Title V application includes a question asking whether the source is out of compliance with the permit, which must also be certified by the responsible official. Also, DAQ's permitting tracking system contains a module that specifies the compliance status of a source, which is reviewed by the Permitting section during open actions. If a compliance action is listed, details of the action are reviewed by Permitting staff. Additionally, draft permits are reviewed by Compliance staff before the permit is issued and open compliance/enforcement matters are brought to the attention of the Permitting section if not already addressed.*

- a. In cases where a facility is either known to be out of compliance, or may be out of compliance (based on pending NOV's, a history of multiple NOV's, or other evidence suggesting a possible compliance issue), how do you evaluate and document whether the permit should contain a compliance schedule? Please explain and refer to appropriate examples of statements of basis written in 2005 or later in which the Department has addressed the compliance schedule question.

DAQ Response: *Decisions to incorporate compliance schedules into permits are usually initiated by the compliance/enforcement sections. Noncompliance matters identified through Full Compliance/Partial Compliance Evaluations (FCEs/PCEs) are tracked by compliance/enforcement staff until they reach resolution. Stationary sources may be required to resolve violations through Formal or Informal Enforcement Actions (e.g., Notices of Violation or Warning Notices) or through voluntary compliance measures. This may include submitting a permit application, performing a stack test in accordance with a compliance plan or other methods to correct a deficiency.*

Violations that are long-lasting and on a schedule (e.g., additional performance testing, installation of new control devices, changes to operations and/or monitoring) are addressed by incorporating conditions into the permit via a settlement agreement, the terms of which are subsequently entered into a hearing officer's order (HOO) during the adjudication of the applicable NOV(s). These documents may specify a requirement to initiate a permitting action and include the compliance schedule as permit conditions.

Settlement agreement terms requiring additional permit conditions are communicated to the Permitting section through a mandatory internal meeting prior to finalization. Copies of the executed Settlement

Agreement and the associated HOO are then forwarded to the source-specific "Pending Folder." Pending folders are reviewed by permit staff prior to any new permitting action and any compliance schedules contained in the HOO are incorporated into the permit as specified. Newly developed permit conditions addressing compliance schedules are reviewed by the Compliance section before issuing the permit. Technical Support Documents (TSD) outline the details of the compliance matter. All relevant documents are part of the administrative record in both permitting and enforcement files.

Examples attached: See permits and TSDs for source ID #00095, 17286, and 17315.

Compliance matters discovered during the permitting process is communicated to the compliance section by way of a "compliance referral form." This form outlines the issues discovered by permitting staff and forwarded to the compliance section for their consideration. All aforementioned documents remain part of the administrative record for each permitting action.

3. What have you done over the years to improve your permit writing and processing time?

DAQ Response:

Staffing – Senior AQS have been dedicated as Title V permit writers.

Training - Permitting staff are required to attend advance NSR training initially and on a 3-year cycle, which is separate from additional training that's prescribed each year.

Patterns – Permit and TSD templates ("patterns") were derived for various source categories to include standard structure, content and condition language. These guide permit writers through the process ensuring all steps are taken and standard language is consistent across permits. Instructions embedded in the patterns also assist with the analysis and rule applicability.

Calculation Sheets – Calculation sheets were derived for various source categories and/or emission units. These automate emission calculations using standard methodology. Most allow custom emission factors be used instead of default values.

Permit Tracking Log – AirTrax is the Department's data interface. It contains a workflow module where documents are put in queues awaiting someone's action. Reports are pulled from AirTrax, which tell staff what they need to address. It also tracks timing and includes automated count-downs, so regulatory timelines are visible and updated in real time. This system keeps workflow organized and moving forward.

Regular Permit-writing Meetings – Title V permit writers meet weekly to discuss regulatory updates, new methodologies, and program improvement needs. They also review workloads and discuss issues permit writers are experiencing with their permits. Problem-solving is often collaborative and staff learn from sharing each other's experiences. Assignments are shifted as necessary to optimize processing time.

Regular Operations Meetings – Permitting and Compliance staff meet monthly to address overlapping issues. Processes are refined to address needs in respective sections. Problem-solving is collaborative and changes are discussed to prevent unexpected outcomes. This proactive and inclusive approach prevents delays due to unexpected issues and confusion.

Compliance Review of Draft Permits – The Compliance section reviews draft Title V permits before finalization and issuance. Reviews are intended to ensure adequate compliance demonstration, practical enforceability, and resolution of outstanding compliance matters, as applicable. This proactive and inclusive approach prevents delays due to unexpected issues and oversight. A written policy was developed for this process.

Permitting and Compliance Joint Site Visits – Permitting and Compliance staff assigned to specific stationary sources will conduct a joint site visit. They discuss the intent of the permitting action with customers and ensure the application was interpreted correctly. They also review operations/emission units as necessary to understand how permits should be written and avoid delays due to misunderstandings. Both sections take the opportunity to reiterate the source's responsibilities to comply with the permit, and they address customer questions. A written policy was developed for this process.

Permitting and Compliance NOV and Settlement Meetings – Permitting and Compliance staff meet when an NOV and Settlement Agreement is expected to affect the Title V permit. This meeting ensures that the terms of the draft Settlement Agreement are consistent with current permitting practices/principles. It also provides opportunity to vet permitting language to address compliance needs. These meetings eliminate confusion and potential issues associated with permit requirements at a later date. A written policy was developed for this process.

4. Do you have a process for quality assuring your permits before issuance? **Y**☒ **N**☐ **Please explain.**

DAQ Response:

Permitting Peer review – Permitting staff (Senior AQS) conduct a peer review of draft Title V permits before they're forwarded to the Compliance section. They review draft documents, the analysis/methodology and data entry.

Compliance Peer review – Compliance staff (Senior AQS) conduct a peer review of draft Title V permits before they are forwarded to the supervisor. They review the draft permit to ensure adequate compliance demonstration, practical enforceability, and resolution of outstanding compliance matters, as applicable.

Supervisor review – The Permitting supervisor overseeing the Title V program conducts a review of draft Title V permits before they are forwarded to the source. The supervisor reviews the draft documents and analysis/methodology. The supervisor also ensures all review comments were adequately addressed.

Source review – The responsible official and/or delegated parties (including consultants) are given the opportunity to conduct a review of the draft Title V permit and TSD. This helps to resolve issues, if any, before the permit goes to public notice. Sometimes this step takes place before the Supervisor conducts his review.

Manager review – The Permitting manager conducts a review of draft Title V permits before forwarding to administrative staff for public participation and/or issuance. The manager's review may be cursory, or in-depth depending on the type of action.

Administrative review – Administrative staff conduct a review of draft Title V permits before publishing a notice of proposed action and/or issuance. They clean-up all documents, check formatting, convert documents to PDF, and install dates and signatures.

5. Do you utilize any streamlining strategies in preparing the permit? **Please explain.**

DAQ Response: Yes, we avoid overlapping applicable requirements and include the most stringent with the permit conditions. We also require applicants to conduct a streamlining evaluation when requesting a permit shield.

- a. What types of applicable requirements does the Department streamline, and how common is streamlining in Department permits?

DAQ Response: Streamlining is regularly conducted for emission limits, operational limits, and compliance demonstration (monitoring, testing, recordkeeping and reporting). Limits derived from BACT/RACT/LAER evaluations are often more stringent and supersede an applicable requirement from the NSPS, NESHAP, etc. Additionally, DAQ compliance demonstration standards are typically as stringent, if not more stringent than other federal applicable requirements.

- b. Do you have any comments on the pros and cons of streamlining multiple overlapping applicable requirements? **Describe.**

DAQ Response:

Pros – Streamlining keeps Title V permits concise and avoids confusion about compliance demonstration that would result from conflicting standards/requirements.

Cons – Streamlining evaluations require considerable time to construct the most stringent standards and ensure their accuracy. Errors can be consequential, exposing operators to unintended violations (e.g., mistakes converting overlapping standards to a common unit of measure). Streamlining may cause operators and/or agencies to lose sight of other underlying standards if those are not identified well in the permit.

6. What do you believe are the strengths and weaknesses of the format of Department permits (i.e. length, readability, facilitates compliance certifications, etc.)? Why?

DAQ Response:

Strengths – Format improvements occur periodically based on stakeholder feedback. Permits are organized into sections and subsections, allowing readers to find parts easily and identify requirements specific to processes and/or emission units. Permits include table of content, list of tables, and acronyms list. Permits include comprehensive executive summaries, including well defined source categories, emitting descriptions, and the status for each pollutant. Conditions are in bullet-form, which avoids lengthy narratives. Permits use standard numbering format for straight-forward referencing. Requirements are kept separate to avoid compounding them within the same condition.

Weaknesses – The order of sections have not yet been reorganized to reflect the customer’s priorities and facilitate inspections. Similar to the minor source permit format, Title V permits will be restructured to begin with the most critical parts. Also, requirements will be grouped separately into parts that are inspected in the field versus parts that are inspected in the office.

7. How have the Department’s statements of basis evolved over the years since the beginning of the Title V program? Please explain what prompted changes, and comment on whether you believe the changes have resulted in stronger statements of basis.

DAQ Response: Correspondence between the Department and source was removed from TSDs and filed separately. TSD sections were reorganized to follow the order and structure of their corresponding permits whenever possible. These changes facilitated reviews and researching permit conditions. The information contained in TSDs for permit revisions has been limited to that relevant to the permitting action, which reduces the length of the document and facilitates comprehending what took place. The information contained in TSDs for permit renewals summarizes all changes taking place over the previous five years. TSD language for common issues/requirements were vetted and standardized, helping ensure complete, accurate, and consistent statements. Changes are typically the result of stakeholder (internal and external) feedback.

8. Does the statement of basis explain:

- a. The rationale for monitoring (whether based on the underlying standard or monitoring added in the permit)? **Y** ☒ **N** ☐
- b. Applicability and exemptions, if any? **Y** ☒ **N** ☐
- c. Streamlining (if applicable)? **Y** ☒ **N** ☐

9. Do you provide training and/or guidance to your permit writers on the content of the statement of basis?
Y ☒ N ☐

DAQ Response: *The content of our TSDs is regularly discussed in meetings. Training is provided, issues are identified, and improvements are implemented. TSD patterns (i.e., templates) were developed and regularly updated, including standardized sections, standardized language, and instructions.*

- a. Do you have written policy or guidance on practical enforceability? Y ☒ N ☐

DAQ Response: *Permit writers undergo training (see Permitting 101 and Training Plan attached separately) and the Department maintains written instructions to guide permit writers through the permit-writing process. Standard conditions and instructions are included in permit patterns, which are periodically reviewed and updated by a committee of senior compliance and permitting staff. Issues of practical enforceability experienced by compliance inspectors are vetted by the committee and guidance material is updated. Staff are apprised of these updates and the issues are used as training examples during regular meetings*

Examples attached: see Permitting 101 and Training Plan. See also condition language for baghouses, bin vents, drilling/blasting, laundry lint, commercial building permit pattern, and procedure for reviewing permits.

10. Do any of the following affect your ability to issue timely initial title V permits:
(If yes to any of the items below, please explain.)

DAQ Response: *The following have a potential to cause delays and have interrupted the permitting process to some extent in the Department's history. However; these have not caused a trend or significant problem relating to delays.*

- | | |
|--|--|
| a. SIP backlog (i.e., EPA approval still pending for proposed SIP revisions) | Y <input type="checkbox"/> N <input checked="" type="checkbox"/> |
| b. Pending revisions to underlying NSR permits | Y <input checked="" type="checkbox"/> N <input type="checkbox"/> |
| c. Compliance/enforcement issues | Y <input checked="" type="checkbox"/> N <input type="checkbox"/> |
| d. EPA rule promulgation pending (MACT, NSPS, etc.) | Y <input type="checkbox"/> N <input checked="" type="checkbox"/> |
| e. Permit renewals and permit modification (i.e., competing priorities) | Y <input checked="" type="checkbox"/> N <input type="checkbox"/> |
| f. Awaiting EPA guidance | Y <input type="checkbox"/> N <input checked="" type="checkbox"/> |

11. Any additional comments on permit preparation or content?

DAQ Response: *N/A*

B. General Permits (GP)

1. Do you issue general permits? Y ☐ N ☒

DAQ response: *No general permits have been developed for Title V sources in Clark County.*

a. If no, go to next section

b. If yes, list the source categories and/or emission units covered by general permits.

2. In your agency, can a title V source be subject to multiple general permits and/or a general permit and a standard "site-specific" title V permit? Y ☐ N ☐

a. What percentage of your title V sources have more than one general permit?

3. Do the general permits receive public notice in accordance with 70.7(h)? Y ☐ N ☐

a. How does the public or regulated community know what general permits have been written? (e.g., are the general permits posted on a website, available upon request, published somewhere?)

4. Is the 5-year permit expiration date based on the date:

a. The general permit is issued? Y ☐ N ☐

b. You issue the authorization for the source to operate under the general permit? Y ☐ N ☐

5. Any additional comments on general permits?

C. Monitoring

1. How do you ensure that your operating permits contain adequate monitoring (i.e., the monitoring required in §§ 70.6(a)(3) and 70.6(c)(1)) if monitoring in the underlying standard is not specified or is not sufficient to demonstrate compliance?

DAQ Response: *DAQ procedures require that all permit limits and standards have corresponding monitoring, testing (as applicable), and recordkeeping conditions written into the permit, irrespective of whether it's required by the underlying standard. As such, permit writers are trained to apply those requirements to permits, and permit reviewers ensure they were included.*

- a. Have you developed criteria or guidance regarding how monitoring is selected for permits? If yes, please provide the guidance. **Y** ☒ **N** ☐

DAQ Response: *The Department developed standard monitoring conditions for common processes, limits, and controls, which are included in various permit patterns used by permit writers (see attached Commercial Building pattern as an example). Also, see attached monitoring guidance on baghouses and binvents, drilling and blasting, performance testing, and lint emissions from laundries.*

2. Do you provide training to your permit writers on monitoring? (e.g., periodic and/or sufficiency monitoring; CAM; monitoring QA/QC procedures including for CEMS; test methods; establishing parameter ranges) **Y** ☒ **N** ☐

DAQ Response: *New permit writers are required to complete various APTI coursework, including "Introduction to Permitting" (SI 460), "Effective Permit Writing" (454), and "Intermediate Permitting" (461). Subsequently, and before advancing to Title V permit-writing, permit writers attend classroom training for CAM and advance NSR. Advanced permit writers are required to conduct ongoing supplemental training as part of their annual development plan, which typically involves several miscellaneous APTI or similar coursework. Title V permit writers attend weekly meetings, where permit-writing principles are taught, reviewed, and reinforced by leadership. Monitoring conditions are a common point of discussion in these sessions.*

3. How often do you "add" monitoring not required by underlying requirements? Have you seen any effects of the monitoring in your permits such as better source compliance?

DAQ Response: *DAQ procedures require that all permit limits and standards have corresponding monitoring conditions written into the permit, irrespective of whether it's required by the underlying standard. Monitoring conditions have been effective for maintaining compliance and demonstrating compliance of permit conditions.*

4. What is the approximate number of sources that now have CAM monitoring in their permits? Please list some specific sources.

DAQ Response: *Approximately Five (5): Certainteed Gypsum Manufacturing Inc (#00004), PABCO Building Products LLC (#00011), Georgia Pacific Gypsum LLC (#00593), Lhoist North America (#00003), and EMD Acquisition LLC (#00095).*

5. Has the Department ever disapproved a source's proposed CAM plan?

DAQ Response: *Yes. Upon deeming a CAM plan insufficient, DAQ requires that the source resubmit a revised CAM plan.*

D. Public Participation and Affected State Review

Public Notification Process

1. Which newspapers does the Department use to publish notices of proposed title V permits?

DAQ Response: *DAQ uses the Las Vegas Review Journal*

2. Do you use a state publication designed to give general public notice? **Y** ☐ **N** ☒

3. Do you sometimes publish a notice for one permit in more than one paper? **Y** ☐ **N** ☒

a. If so, how common is it for the Department to publish multiple notices for one permit?

DAQ Response: *N/A*

b. How do you determine which publications to use?

DAQ Response: *The primary local newspaper is used.*

c. What cost-effective approaches have you utilized for public publication?

DAQ Response: *The word-count for each publication is minimized. A template was developed, which is revised when unnecessary information is identified.*

4. Have you developed mailing lists of people you think might be interested in title V permits you propose? [e.g., public officials, environmentalists, concerned citizens] **Y** ☒ **N** ☐

a. Does the Department maintain more than one mailing list for title V purposes, e.g., a general title V list and source-specific lists? **Y** ☒ **N** ☐

DAQ Response: *The Department may maintain an additional mailing list on a limited basis. In cases where a community expressed interest in a permitting action, the Department can develop a list of interested stakeholders and keep them apprised of new developments until the action is finalized.*

b. How does a person get on the list? (e.g., by calling, sending a written request, or filling out a form on the Department's website)

DAQ Response: *The Department does not require a standard format. Requests can be submitted by email, mail or phone. Also, DAQ developed a notification mailing list registry ("ListServ"), where stakeholders can sign-up on the department's website for various types of notices.*

c. How does the list get updated?

DAQ Response: *Additions and/or revisions are made upon request. The "ListServ" is updated by individual users.*

d. How long is the list maintained for a particular source?

DAQ Response: *N/A – distribution lists are typically not source-specific. If a source-specific list is developed, it will be used until the associated permitting action is finalized and memorialized in the administrative record.*

e. What do you send to those on the mailing list?

DAQ Response: A copy of the public notice (including a summary of source emissions), the proposed permit, and the proposed TSD. The notice provides instructions on reviewing other information contained in the administrative record.

5. Do you reach out to specific communities (e.g., environmental justice communities) beyond the standard public notification processes? Y ☐ N ☒

DAQ Response: The Department may maintain a community-specific mailing list in cases where there's been expressed interest. We do not maintain these lists on an on-going basis.

6. Do your public notices clearly state when the public comment period begins and ends? Y ☒ N ☐

7. What is your opinion on the most effective methods for public notice?

DAQ Response: Mass emails and website announcements. Also, providing the ability to sign-up on the website, which is communicated/promoted whenever given the opportunity.

8. Do you provide notices in languages besides English? Please list the languages and briefly describe under what circumstances the Department translates public notice documents? Y ☐ N ☒

DAQ Response: N/A

Public Comments

9. How common has it been for the public to request that the Department extend a public comment period?

DAQ Response: This is rare. Only one in recent recollection, which involved a non-Title V source.

a. Has the Department ever denied such a request? Y ☒ N ☐

b. If a request has been denied, what were the reason(s)?

DAQ Response: A request relating to a non-Title V source was recently denied for the first time in recollection. It was denied because the regulatory language in the minor source regulation does not explicitly provide the department with discretion to extend comment periods. The circumstances associated with this request did not warrant exploring further legal authority to extend the comment period.

10. Has the public ever suggested improvements to the contents of your public notice, improvements to your public participation process, or other ways to notify them of draft permits? If so, please describe.

Y ☒ N ☐

DAQ Response: As a result of a high profile permitting action (not Title V related) that occurred in circa 2017, the neighboring citizens requested that the department create a method to push notifications out to interested parties. The department developed a "ListServ," which allows stakeholders to subscribe to various types of notifications and receive emails when those notifications are published on the website.

11. Approximately what percentage of your proposed permits has the public commented on?

DAQ Response: Public comments are rarely received for Title V permits within the past 10-15 years; approximately less than five percent. More comments were received prior to that, but the primary environmental group at that time has since dissolved.

12. Over the years, has there been an increase in the number of public comments you receive on proposed title V permits? Y ☐ N ☒

13. Have you noticed any trends in the type of comments you have received? Y ☐ N ☒

Please explain.

a. What percentage of your permits change due to public comments?

DAQ Response: *Rarely*

14. Have specific communities (e.g., environmental justice communities) been active in commenting on permits? Y ☒ N ☐

DAQ Response: *Few neighboring communities. None specific to environmental justice communities.*

15. Do your rules require that any change to the draft permit be re-proposed for public comment?

Y ☐ N ☒

a. If not, what type of changes would require you to re-propose (and re-notice) a permit for comment?

DAQ Response: *Substantive changes equating to an increase in potential emissions or emission limits, significant change in the method of operation, or significant reduction in control requirements or compliance demonstration.*

EPA 45-day Review

16. What permit types do you send to the EPA for 45-day review?

DAQ Response: *Authority to Construct permits (ATC) for new Part 70 sources, ATC for major modification under AQR 12.2 (PSD review) or 12.3 (NNSR), initial Title V permits, and Title V renewals, significant revisions and reopening for cause.*

17. Do you have an arrangement with the EPA region for its 45-day review to start at the same time the 30-day public review starts? (aka "concurrent review") Y ☒ N ☐

a. What could cause the EPA 45-day review period to restart (i.e., if public comments received, etc)?

DAQ Response: *If public comments are received, the department would address the comments and resubmit the package to EPA. The 45-day review period would restart.*

b. How does the public know if the EPA's review is concurrent?

DAQ Response: *Only if they inquired.*

c. If the Department does concurrent review, is this process a requirement in your title V regulations, or a result of a MOA or some other arrangement?

DAQ Response: *Memorandum of understanding*

Permittee Comments

18. Do you work with permittees prior to public notice? Y ☒ N ☐

19. Do permittees provide comments/corrections on the permit during the public comment period? Y ☒ N ☐

DAQ Response: *Typically permittees provide comments/corrections during the courtesy review period (prior to public participation); however they are able to provide comments during the public comment period also.*

- a. Any trends in the type of comments?

DAQ Response: Comments are either related to typographical errors or source-specific circumstances. No notable trends in the types of comments received.

- b. How do these types of comments or other permittee requests, such as changes to underlying NSR permits, affect your ability to issue a timely permit?

DAQ Response: Generally, comments from sources have not affected the department's ability to issue timely permits, because they tend to be simplistic and/or corrective in nature. Requests to change underlying NSR permits are not accepted as comments. Instead, the source must submit an application to modify the NSR permit (i.e., ATC certificate). There are cases when Title V permits were delayed due to revisions to the NSR permit; however these instances are fairly uncommon.

Public Hearings

20. What criteria does the Department use to decide whether to grant a request for a public hearing on a proposed title V permit? Are the criteria described in writing (e.g., in the public notice)?

DAQ Response: There are no criteria specified in the AQR addressing public hearings relating to Title V permits. Anyone can petition for a public hearing. The department would consider whether a significant degree of public interest exists. The department would consider all relevant factors, including the number of petitioners, the nature of their concerns as stated in their petitions, the type and quantity of emissions emitted by the source, and the proximity of the source to sensitive areas such as parks, schools, hospitals or residential areas.

- a. Do you ever plan the public hearing yourself, in anticipation of public interest? **Y** ☒ **N** ☐

DAQ Response: There is one recent example of this, however it was not associated with a Title V source. In that case (Wells Cargo source ID #00012), previous public opposition and ongoing complaints compelled the department to initiate a public hearing proactively (permit revision). There is at least one example over 15 years ago when the Department initiated a public hearing for Timet source ID #00019 to address a control device required by a consent decree. The hearing was held in the City of Henderson, NV, where the site is located.

Availability of Public Information

21. Do you charge the public for copies of permit-related documents? **Y** ☒ **N** ☐

DAQ Response: The department will not charge for personnel time or materials if the process takes 30 minutes or less. Requests for the administrative record relating to a public participation process will fall within this 30-minute timeframe, as these records are prepared in advance for distribution upon request. If the process is a general request for information AND takes more than 30 minutes, staff will notify the requestor of the total fee amount, as calculated in accordance with an established fee schedule.

- a. If yes, what is the cost per page?

DAQ Response: Typically free for record requests associated with public participation processes. Otherwise, if processing time exceeds 30 minutes, the cost of materials is 2 cents per page.

- b. Are there exceptions to this cost (e.g., the draft permit requested during the public comment period, or for non-profit organizations)? **Y** ☒ **N** ☐

- c. Do your title V permit fees cover this cost? **Y** ☒ **N** ☐ If not, why not?

22. What is your process for the public to obtain permit-related information (such as permit applications, draft permits, deviation reports, 6-month monitoring reports, compliance certifications, statement of basis) especially during the public comment period?

DAQ Response: *The requestor may contact the department per the instructions in a public notice (phone, email, mail) if requesting information subject to a public comment period. Otherwise, the requestor must submit a Public Records Request Form that is available on the website or by requesting that one be sent to them.*

a. Are any of the documents available locally (e.g., public libraries, field offices) during the public comment period? **Y**☒ **N** ☐ **Please explain.**

DAQ Response: *Proposed permits and TSDs associated with a public comment period are available on the department's website. They are also available at the department's office.*

23. How long does it take to respond to requests for information for permits in the public comment period?

DAQ Response: *Typically, same day. The NRS require that the department respond no later than 5 days.*

24. Have you ever extended your public comment period as a result of requests for permit-related documents? **Y**☐ **N** ☒

25. Do information requests, either during or outside of the public comment period, affect your ability to issue timely permits? **Y**☐ **N** ☒

26. What title V permit-related documents does the Department post on its website (e.g., proposed and final permits, statements of basis, public notice, public comments, responses to comments)?

DAQ Response: *Proposed and final permits and TSDs. Also the public notice.*

a. How often is the website updated? Is there information on how the public can be involved?

DAQ Response: *The website is updated with current Title V documents once they are finalized. Public notices, which specify how to be involved, are included with all postings.*

b. Do you provide public commenters with final Title V permit documents?

DAQ Response: *Yes, commenters receive the final permit, TSD and Final Action Report, which lists comments and responses to comments.*

27. Have other ideas for improved public notification, process, and/or access to information been considered?

Y☒ **N** ☐ **If yes, please describe.**

DAQ Response: *Yes, the idea of a better way to push information out to stakeholders was considered. The department developed a "ListServ" to notify interested parties when announcements are made, include public participation processes.*

28. Do you have a process for notifying the public as to when the 60-day citizen petition period starts?

Y☐ **N** ☒ **If yes, please describe.**

29. Do you have any resources available to the public on public participation (booklets, pamphlets, webpages)? **Y**☒ **N** ☐

DAQ Response: *The website includes all public notices that explain the process. Also, the website includes all applicable regulations.*

30. Do you provide training to citizens on public participation or on title V? **Y** ☐ **N** ☒

31. Do you have staff dedicated to public participation, relations, or liaison? **Y** ☒ **N** ☐

a. Where are they in the organization?

DAQ Response: *The department employs a Public Information Administrator who reports to the director. The department also employs a public records liaison who reports to the manager over rule development and Small Business Assistance Program.*

b. What is their primary function?

DAQ Response: *The PIA's primary function is to manage the dissemination of department information, including the website. The records liaison's primary function is to manage the department's database.*

Affected State Review and Review by Indian Tribes

32. How do you notify tribes of draft permits?

DAQ Response: *Email.*

33. Has the Department ever received comments on proposed permits from Tribes?

DAQ Response: *None can be recalled at this time.*

34. Please provide any suggestions for improving your notification process.

DAQ Response: *N/A*

35. Any additional comments on public notification?

DAQ Response: *N/A*

E. Permit Issuance / Revision / Renewal

Permit Revisions

1. For which types of permit modifications do you follow a list or description in your regulations to determine the appropriate process to follow: **(Check all that apply)**

- ☒ Administrative amendment?
- ☒ Section 502(b)(10) changes?
- ☒ Significant and/or minor permit modification?
- ☒ Group processing of minor modifications?

2. Approximately how many title V permit revisions have you processed for the last five years?

DAQ Response: Title V OP Actions and Throughput:

• 502(B)10 Letter	11
• Administrative Revisions	10
• Minor Revisions	57
• New Permits	6
• Notice & Goes	54
• Renewals	26
• Reopening for Cause	1
• Significant Revision	9

a. What percentage of the permit revisions were processed as:

DAQ Response: Title V OP Percent Distribution:

• Significant:	5.17%
• Minor:	32.76%
• Administrative:	5.75%
• Off-permit:	31.03%
• 502(b)(10):	6.32%

3. For the last five years, how many days, on average, does it take to process (from application receipt to final permit revision):

a. A significant permit revision?

DAQ Response: 421 days

b. A minor revision?

DAQ Response: 295 days (includes group processing when minor revisions are consolidated with other actions in accordance with AQR 12.5.2.14(b)).

4. How common has it been for the Department to take longer than 18 months to issue a significant revision, 90 days for minor permit revisions, and 60 days for administrative amendments? Please explain.

DAQ Response:

- Significant Revisions – 100% within 18 months

- *Minor Revisions – Most issued after 90 days because of group processing (AQR 12.5.2.14(b)), and including minor revisions with permit renewals or significant revisions.*
- *Administrative Revisions – All except one issued within 60 days. One issued at 73 days.*

5. What have you done to streamline the issuance of revisions?

DAQ Response:

- *Consolidation of separate permitting actions for the same source.*
- *Group processing of minor revisions for the same source.*
- *Draft and circulate permits with edit-tracking turned on, so reviewers can focus on proposed changes.*
- *Limiting TSDs to information that's only relevant to the current permitting action.*

6. What process do you use to track permit revision applications moving through your system?

DAQ Response: *AirTrax is the Department's data interface. It contains a workflow module where documents are put in queues awaiting someone's action. It also tracks timing and includes automated count-downs, so regulatory timelines are visible and updated in real time.*

7. Have you developed guidance to assist permit writers and sources in evaluating whether a proposed revision qualifies as an administrative amendment, off-permit change, significant or minor revision, or requires that the permit be reopened? ☒ Y ☐ N ☐ If so, please provide a copy.

DAQ Response: *The Department developed written guidance for processing off-permit changes (i.e., Prior Notifications). The AQR were written to include criteria specifying what type of permitting action can/should be used to make a change.*

8. Do you require that applications for minor and significant permit modifications include the source's proposed changes to the permit? ☐ Y ☒ N

DAQ Response: *The Department does not require the source to include proposed changes to the permit; however this practice is encouraged and commonly used.*

a. For minor modifications, do you require sources to explain their change and how it affects their applicable requirements? ☒ Y ☐ N

9. Do you require applications for minor permit modifications to contain a certification by a responsible official that the proposed modification meets the criteria for use of minor permit modification procedures and a request that such procedures be used? ☒ Y ☐ N

10. When public noticing proposed permit revisions, how do you identify which portions of the permit are being revised? (e.g., narrative description of change, highlighting, different fonts).

DAQ Response: *The TSD includes a description of the permitting action and proposed changes. This description includes the affected emission units and the types of requirements that have changed. Changes are not identified in the proposed permit.*

11. When public noticing proposed permit revisions, how do you clarify that only the proposed permit revisions are open to comment?

DAQ Response: *Template language for public notices includes the statement "...any person may submit written comments on the application and any relevant documents...", which is interpreted to mean changes associated with the current application.*

Permit Renewal or Reopening

12. Do you have a different application form for a permit renewal compared to that for an initial permit application? Y ☐ N ☒

a. If yes, what are the differences?

DAQ Response: *The same application form is used for initial and renewed Title V permits. However; check boxes are provided to indicate what type of action is being proposed. Also, the application contains separate instructions and descriptions to distinguish between types of permit applications.*

13. Has issuance of renewal permits been “easier” than the original permits?

Y ☒ N ☐ Please explain.

DAQ Response: *Generally, renewal permits maintain existing limits, standards and requirements. These are not reassessed unless warranted by a change in policy, regulation, or federal standard.*

14. How are you implementing the permit renewal process (ie., guidance, checklist to provide to permit applicants)? Y ☐ N ☐

DAQ Response: *An automated email is sent to responsible officials when the application renewal window opens. An automated second-notice email is sent afterwards if no application is submitted. The application serves as a checklist for applicants. Additionally, various forms such as emission unit worksheets, reporting forms, compliance certification forms, and guidelines for calculations are available to applicants.*

15. What **percentage** of renewal applications have you found to be timely and complete for the last five years?

DAQ Response: *All applications in the last five years (100%) were timely and administratively complete. About 50% of renewal applications required some sort of additional information for deeming it technically complete.*

16. How many complete applications for renewals do you presently have in-house ready to process?

DAQ Response: *Currently there 14 renewal applications in-house.*

a. Have you been able to or plan to process these renewals within the part 70 timeframe of 18 months?
If not, what can EPA do to help? Y ☐ N ☐

DAQ Response: *The Department is facing an unusually busy cycle of Title V renewal applications, which was projected in advance. In preparation, the Department restructured Permitting’s major source group to pull resources from the minor source group as necessary. Well-seasoned AQS II permit writers are expected to help with lesser Title V permitting actions. The Department intends to be timely with all permits, but as many as 25% of the Title V permits may experience delays beyond 18 months in the coming years. EPA has been very responsive to questions and reviews relating to Title V permits.*

17. Have you ever determined that an issued permit must be revised or revoked to assure compliance with the applicable requirements? Y ☒ N ☐

DAQ Response: *The Department will infrequently reopen a permit shortly after issuance to improve a compliance demonstration issue that’s been identified. We’re currently in the process of reopening five existing Title V permits to incorporate PM_{2.5} emissions from mineral processing equipment/activities, which is the most significant reopening effort in the Department’s recent history.*

F. Compliance

Deviations

1. Deviation reporting:

- a. Please describe which deviations you require be reported prior to the semi-annual monitoring report?

DAQ Response: *Per Subsection 25.6 of the Clark County Air Quality Regulations (AQRs), the owner or operator of any source required to obtain a permit under the AQRs shall report deviations to the Control Officer for emissions in excess of an applicable requirement or the emission limits prescribed by the permit. The report shall be in two (2) parts:*

- (a) Notification by telephone, facsimile or electronic mail within twenty-four (24) hours of the time the owner or operator first learns of the excess emissions;*
- (b) Written notification by submission of an excess emission report containing the information required by Air Quality Regulations, Section 25.6.3 within seventy-two (72) hours of the notification required by paragraph (a) above.*

Additionally, deviation reporting is required under 12.5.2.6(d)(4)(B) which reverts back to Section 25.6 of the AQRs.

- b. Do you require that some deviations be reported by telephone? **Y**☒ **N** ☐

DAQ Response: *Clark County requires deviation notifications by telephone, facsimile or electronic mail within twenty-four (24) hours of the time the owner or operator first learns of the excess emissions.*

- c. If yes, do you require a follow-up written report? **Y**☒ **N** ☐ If yes, within what timeframe?

DAQ Response: *A written notification report must be submitted within seventy-two (72) hours of the notification as stated in F(1)(a) above.*

- d. Do you require that all deviation reports be certified by a responsible official? (If no, describe which deviation reports are not certified). **Y**☒ **N** ☐

- i. Do you require certifications to be submitted with the deviation report? **Y**☒ **N** ☐

- ii. If not, do you allow the responsible official to “back certify” deviation reports? **Y** ☐ **N** ☐

DAQ Response: *NA*

- iii. If you allow the responsible official to “back certify” deviation reports, what timeframe do you allow for the follow-up certifications (e.g., within 30 days; at the time of the semi-annual deviation reporting)?

DAQ Response: *This is a case-by-case determination.*

2. How does your program define deviation?

DAQ Response: *Section 12.5.1(a) of the AQRs defines deviation as "...a variation from any permit terms, including terms that establish emission limitations, operating conditions, or work practice standards, and those terms intended to show compliance with those limitations, conditions, or standards, including monitoring, recordkeeping, and reporting requirements. A deviation is not necessarily a violation."*

3. Do you require only violations of permit terms to be reported as deviations? Y ☐ N ☒

DAQ Response:

1) For deviations with excess emissions - Section 25 of the AQRs require the owner or operator of any source required to obtain a permit under Clark County's Air Quality Regulations to report deviations to the Control Officer for emissions in excess of an applicable requirement or the emission limits prescribed by the permit. The report shall be in two (2) parts:

- (a) Notification by telephone, facsimile or electronic mail within twenty-four (24) hours of the time the owner or operator first learns of the excess emissions;*
- (b) Written notification by submission of an excess emission report containing the information required by Air Quality Regulations, Section 25.6.3 within seventy-two (72) hours of the notification required by paragraph (a) above.*

2) For deviations without excess emissions, the owner or operator of any source required to obtain a permit must submit such deviations in the next semiannual or annual report, depending on the source's classification.

4. Which of the following do you require to be reported as a deviation **(Check all that apply)**:

☐ Excess emissions excused due to emergencies (pursuant to 70.6(g))

Note: Excess emissions due to emergencies are not excused in Clark County under Section 12.5 of the AQR.

☐ Excess emissions excused due to SIP provisions **(cite the specific state rule)**

Note: Excess emissions are not excused in Clark County through any SIP provision.

☐ Excess emissions allowed under NSPS or MACT SSM provisions

☒ Excursions from specified parameter ranges where such excursions are not a monitoring violation (as defined in CAM)

☒ Excursions from specified parameter ranges where such excursions are credible evidence of an emission violation

Failure to collect data/conduct monitoring where such failure is "excused":

☒ During scheduled routine maintenance or calibration checks **Note: Yes, only if required by permit.**

☐ Where less than 100% data collection is allowed by the permit

- ☒ Due to an emergency
☐ Other? **Describe.**

5. Do your deviation reports include:

- a. The probable cause of the deviation? **Y**☒ **N** ☐
b. Any corrective actions taken? **Y**☒ **N** ☐
c. The magnitude and duration of the deviation? **Y**☒ **N** ☐

6. Do you define “prompt” reporting of deviations as more frequent than semi-annual? **Y**☒ **N** ☐

DAQ Response: For deviations with excess emissions, reporting is required within 72 hours of the deviation notification. For deviations without excess emissions, those deviations must be reported in the next semiannual report.

7. Do you require a written report for deviations? **Y**☒ **N** ☐

8. Do you require that a responsible official certify all deviation reports? **Y**☒ **N** ☐

Compliance Reports

9. What is your procedure for reviewing and following up on:

- a. Deviation reports? **Y**☒ **N** ☐
b. Semi-annual monitoring reports? **Y**☒ **N** ☐
c. Annual compliance certifications? **Y**☒ **N** ☐

DAQ Response:

Each of the above submitted reports are reviewed by a compliance officer either as a Partial Compliance Evaluation (PCE) or during a Full Compliance Evaluation (FCE).

Deviation Reports with excess emissions: These reports are reviewed within 30 days of submittal as a PCE. A check sheet/narrative form (Form) is used for the review process and all deficiencies are noted. The form is peer reviewed and audited with a recommendation made regarding enforcement action.

Semi-annual monitoring reports: Semi-annual reports for CMS sources are reviewed within 60 days of submittal as a PCE. A form is used for the review process and all deficiencies are noted. The form is peer reviewed and audited with a recommendation made regarding enforcement action. For non-CMS sources, the semi-annual report is reviewed during the FCE.

Annual compliance certifications (ACCs): ACCs are reviewed within 60 days of submittal as a PCE. A form is used for the review process and all deficiencies are noted. The form is peer reviewed and audited with a recommendation made regarding enforcement action. An ICIS entry is also performed within the 60 days of submittal.

10. Please identify the **percentage** of the following reports you review:

- a. Deviation reports; 100%
b. Semi-annual monitoring reports; 100%
c. Annual compliance certification; 100%

11. Compliance certifications

- a. Have you developed a compliance certification form? **Y** ☒ **N** ☐ If no, go to question 12.
- i. Is the certification form consistent with your rules? **Y** ☒ **N** ☐ **2007**
- ii. Is compliance based on whether compliance is continuous or intermittent or whether the compliance monitoring method is continuous or intermittent?

DAQ Response: *The certification form asks whether compliance with the permit condition, term or requirement is continuous or intermittent.*

- iii. Do you require sources to use the form? **Y** ☐ **N** ☒ If not, what percentage do?

DAQ Response: *Approximately 90%*

- iv. Does the form account for the use of credible evidence? **Y** ☒ **N** ☐

DAQ Response: *The certification form allows for "other" for a compliance monitoring method, which can be used for supporting credible evidence.*

Does the form require the source to specify the monitoring method used to determine compliance where there are options for monitoring, including which method was used where more than one method exists? **Y** ☒ **N** ☐

12. Is your compliance certification rule based on:

- a. The '97 revisions to part 70 - i.e., is the compliance certification rule based on whether the compliance monitoring method was continuous or intermittent; ☒
- OR**
- b. The '92 part 70 rule - i.e., is the compliance certification rule based on whether compliance was continuous or intermittent? ☐

Excess Emissions

13. Does your program include an emergency defense provision as provided in 70.6(g)? **Y** ☐ **N** ☒ If yes, does it:

DAQ Response: *Section 12.5 of the AQRs (Clark County's equivalent Part 70 rule) does not have a provision to provide emergency defense pursuant to Section 70.6(g). However, Section 25 of the AQR does have an affirmative defense provision, which is in the process of being revised for removal.*

- a. Provide relief from penalties? **Y** ☐ **N** ☐
- b. Provide injunctive relief? **Y** ☐ **N** ☐
- c. Excuse non-compliance? **Y** ☐ **N** ☐ **Answer:** Evaluated on a case-by-case basis.

14. Does your program include a SIP excess emissions provision? Y ☐ N ☒ If no, go to 10.c. If yes does it:

- a. Provide relief from penalties? Y ☐ N ☐
- b. Provide injunctive relief? Y ☐ N ☐
- c. Excuse noncompliance? Y ☐ N ☐

15. Do you require the source to obtain a written concurrence from the Department before the source can qualify for:

- a. The emergency defense provision? Y ☐ N ☒
- b. The SIP excess emissions provision? Y ☐ N ☒
- c. NSPS/NESHAP SSM excess emissions provisions? Y ☐ N ☒

DAQ Response: Section 25 of the AQR does have an affirmative defense provision, which doesn't require written concurrence from the Department if the source qualifies; however, Section 25 of the AQR is in the process of being revised to become an excess emissions reporting rule only. The affirmative defense provision will be removed.

16. Any additional comments on compliance?

DAQ Response: N/A

G. Resources & Internal Management Support

1. Are there any competing resource priorities for your “title V” staff in issuing title V permits? **Y**☒ **N** ☐

a. If so, what are they?

DAQ Response: *The Permitting section recently underwent structural changes to alleviate distractions of Title V staff; reviewing draft minor source permits was moved under a single Senior AQS, so other staff can focus on permit writing. All Senior AQS (i.e., Title V staff) mentor less experienced permit writers, lead special projects, and help develop processes. These all compete with Title V permit writing, but are necessary for continual optimization of the program.*

2. Are there any initiatives instituted by your management that recognize/reward your permit staff for getting past barriers in implementing the title V program that you would care to share? **Y**☒ **N** ☐

DAQ Response: *The Department developed an electronic kudos system, where anyone can write a referral that’s approved by the director. If approved, the permit writer receives an email from the director, and the write-up is posted on the intranet. All employees who received a kudos within a calendar quarter are entered into a prize drawing at the following department-wide meeting.*

3. How is management kept up to date on permit issuance? **Y**☐ **N** ☐

DAQ Response: *Management prepares monthly performance reports that are submitted to upper management. Performance is compared to annual goals, including productivity and timeliness. Permitting management also reviews TOPS tracking reports submitted to EPA semi-annually and nearly all Title V draft permits prior to issuance.*

4. Do you meet on a regular basis to address issues and problems related to permit writing? **Y**☒ **N** ☐

5. Do you charge title V fees based on emission rates? **Y**☒ **N** ☐

a. If not, what is the basis for your fees?

b. What is your title V fee?

DAQ Response: *The Department’s fee schedule can be reviewed [here](#).*

c. Do you have sources that refuse to pay their title V fee? **Y**☒ **N** ☐ How do you approach these situations?

6. How do you track title V expenses?

DAQ Response: *Title V expenses are allocated on a percentage basis, segregated and tracked in a funded program solely intended for Title V expenses.*

7. How do you track title V fee revenue?

DAQ Response: *Title V revenues are tracked in the same funded program with a specific general ledger account that is solely intended for Title V revenues.*

8. How many title V permit writers does the agency have on staff (number of FTE’s, both budgeted and actual)?

DAQ Response: A total of five (5) Senior AQS FTEs are budgeted for the Permitting section. Currently, four (4) are occupied and one (1) is vacant.

9. Do the permit writers work full time on title V? **Y** ☐ **N** ☒

a. If not, describe their main activities and percentage of time on title V permits.

DAQ Response: Three (3) Senior AQS focus approximately 75% of their time on Title V, including conducting peer reviews for other Title V permit writers. One (1) Senior AQS devotes approximately 10% of his time on Title V permit writing, as necessary to manage loads. Their remaining time is used for mentoring/training, conducting special projects, and reviewing/processing minor source permitting actions.

b. How do you track the time allocated to Title V activities versus other non-title V activities?

DAQ Response: The Department uses an electronic permitting log (AirTrax) with pre-determined allocations built-in for all types of permitting actions and source categories. This log tracks in real-time all current and past permitting actions.

10. Are you currently fully staffed?

DAQ Response: Not all budgeted FTEs are filled in the Permitting section and the Department currently does not intend to recruit new permit writers.

11. What is the ratio of permits to Title V permit writers?

DAQ Response: Approximately 5-8 Title V permits to 1 permit writer.

12. Describe staff turnover.

DAQ Response: Staff turnover is minimal in recent years. One Senior AQS left the Department over a year ago. The remaining Senior AQS have been in-place for 5-10 years.

a. How does this impact permit issuance?

DAQ Response: The issuance of timely Title V permits has not been significantly affected by the loss of one permit writer. A heavy Title V cycle is forthcoming and the section underwent structural changes to pull resources from the minor source group as necessary.

b. How does the permitting authority minimize turnover?

DAQ Response: The Department provides promotional opportunities for permit writers graduating into the Title V program. Less significant Title V work (e.g., minor revisions and simplistic renewals) may be available to non-Title V permit writers, which provides competitive skill sets for future promotional opportunities. The County offers competitive salaries to air quality permit writing positions.

13. Do you have a career ladder for permit writers? **Y** ☒ **N** ☐ **If so, please describe.**

DAQ Response: Permit writers start in the minor source program as AQS I/II. After learning permitting principles, they have opportunities to work on complex permitting actions, as well as insignificant Title V permits (e.g., minor revisions and simplistic renewals). Permit writers can promote to Senior AQS on a competitive basis when those positions become available.

14. Do you have the flexibility to offer competitive salaries? **Y** ☐ **N** ☒

DAQ Response: Salary ranges are pre-established. The compensation package is believed to be competitive compared to private industry.

15. Can you hire experienced people with commensurate salaries? **Y**☒ **N** ☐

16. Describe the type of training given to your new and existing permit writers.

DAQ Response: Please refer to the attachments; Training Plan-AQ Specialist I; and Permitting 101. New permit writers must complete these training requirements within their first year, which includes coursework, hands-on work, and cross-divisional experience. They're also required to accompany senior permit writers on site visits, and attend Smoke School and MSHA 24-hr training upon the next availability.

Existing permit writers are required to attend multi-day Advance NSR training every three years. They're also required to satisfy their annual development plan, which is created by the supervisor during the annual performance evaluation and focuses on areas where additional training is warranted. Existing permit writers must also maintain their MSHA certification by attending the 8-hr refresher course annually.

Additionally, the Department organizes on-site and off-site training sessions of various sorts that are offered by an outside contractor (e.g., Westar and CARB). These courses can be permitting or compliance related, and attendance is based on experience, work areas of focus, and work responsibilities.

17. Does your training cover:

- a. How to develop periodic and/or sufficiency monitoring in permits? **Y**☒ **N** ☐
- b. How to ensure that permit terms and conditions are enforceable as a practical matter? **Y**☒ **N** ☐
- c. How to write a Statement of Basis? **Y**☒ **N** ☐

18. Please describe anything that EPA can do to assist/improve your training.

DAQ Response: Expand subject matter and availability of APTI coursework.

19. How has the Department organized itself to address title V permit issuance?

DAQ Response: The Permitting section was divided into two separate groups, each with its own supervisor. Senior AQS are primarily focused on the Title V program, which eliminates distractions. Open communication between Permitting and Compliance sections is built into processes, so decisions are informed and unforeseeable consequences are minimized.

20. Overall, what is the biggest internal roadblock to permit issuance from the perspective of Resources and Internal Management Support?

DAQ Response: Workload; adequate time to conduct thorough analyses without being rushed by other pressing work.

Environmental Justice Resources

21. Do you have Environmental Justice (EJ) legislation, policy or general guidance which helps to direct permitting efforts? **Y** ☐ **N** ☒ If so, may EPA obtain copies of this information?

22. Do you have an in-house EJ office or coordinator, charged with oversight of EJ related activities? **Y** ☐ **N** ☒

23. Have you provided EJ training / guidance to your permit writers? **Y**☒ **N** ☐

DAQ Response: *Informal training on concepts and principles.*

24. Do the permit writers have access to demographic information necessary for EJ assessments? (e.g., socio-economic status, minority populations, etc.) **Y** ☐ **N** ☒

25. When reviewing an initial or renewal application, is any screening for potential EJ issues performed?
Y ☐ **N** ☒ If so, please describe the process and/or attach guidance.

H. Title V Benefits

1. Does your staff implementing the title V program generally have a better understanding of:

- a. NSPS requirements? **Y** ☒ **N** ☐
- b. The stationary source requirements in the SIP? **Y** ☒ **N** ☐
- c. The minor NSR program? **Y** ☒ **N** ☐
- d. The major NSR/PSD program? **Y** ☒ **N** ☐
- e. How to design monitoring terms to assure compliance? **Y** ☒ **N** ☐
- f. How to write enforceable permit terms? **Y** ☒ **N** ☐

2. In issuing initial title V permits:

- a. Have you noted inconsistencies in how sources had previously been regulated (e.g., different emission limits or frequency of testing for similar units)? **Y** ☒ **N** ☐ If yes, describe.

DAQ Response: Purposeful improvements are continuously implemented. It's likely that initial permits issued today are different from those issued in the past. If so, those standards are carried over to all permits as they're reissued/renewed.

- b. Have you taken (or are you taking) steps to assure better regulatory consistency within source categories and/or between sources? **Y** ☒ **N** ☐ If yes, describe.

DAQ Response: The development of category-specific patterns (i.e., permit templates) ensure the standardization of common requirements. The multi-level review process also ensures requirements are consistent across comparable sources and same source categories.

3. Based on your experience, estimate the frequency with which potential compliance problems are identified through the permit issuance process:

	Never	Occasionally	Frequently	Often
a. Prior to submitting an application	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>
b. Prior to issuing a draft permit	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>
c. After issuing a final permit	<input type="checkbox"/>	x	<input type="checkbox"/>	<input type="checkbox"/>

4. Based on your experience with sources addressing compliance problems identified through the title V permitting process, estimate the general rate of compliance with the following requirements prior to implementing title V:

DAQ Response: The Department is unable to make this comparison, as no one currently employed was working at the agency prior to the implementation of the Title V program.

	Never	Occasionally	Frequently	Often
a. NSPS requirements (including failure to identify an NSPS as applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- | | | | | |
|---|--------------------------|--------------------------|--------------------------|--------------------------|
| b. SIP requirements | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| c. Minor NSR requirements
(including the requirement to obtain a permit) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| d. Major NSR/PSD requirements
(including the requirement to obtain a permit) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

5. Do you see a difference in compliance behavior on the part of sources that have to comply with the title V program? **(Check all that apply.)**

- ☒ Increased use of self-audits?
- ☒ Increased use of environmental management systems?
- ☒ Increased staff devoted to environmental management?
- ☒ Increased resources devoted to environmental control systems (e.g., maintenance of control equipment; installation of improved control devices; etc.)?
- ☒ Increased resources devoted to compliance monitoring?
- ☒ Better awareness of compliance obligations?
- ☐ Other? Describe.

6. Does implementation of the title V program improve other areas of your program? **(Check all that apply.)**

- ☐ Netting actions
- ☒ Emission inventories
- ☐ Past records management (e.g., lost permits)
- ☒ Enforceability of PTE limits (e.g., consistent with guidance on enforceability of PTE limits such as the June 13, 1989 guidance)
- ☐ Identifying source categories or types of emission units with pervasive or persistent compliance problems; etc.
- ☒ Clarity and enforceability of NSR permit terms
- ☐ Better documentation of the basis for applicable requirements (e.g., emission limit in NSR permit taken to ☐ avoid PSD; throughput limit taken to stay under MACT threshold)
- ☐ Emissions trading programs
- ☐ Emission caps
- ☐ Other (describe)

7. If yes to any of the above, would you care to share how the title V program improves other aspects of your air program? (e.g., increased training; outreach; targeted enforcement)?

DAQ Response: *The Department models its other permitting program after Title V whenever possible to ensure sound permitting practices.*

8. Are there aspects of the title V program that you have extended to other program areas (e.g., require certification of accuracy and completeness for pre-construction permit applications and reports; increased records retention; inspection entry requirement language in NSR permits). **Y** ☒ **N** ☐ **If yes, describe.**

DAQ Response: Generally, the air permitting program in its entirety is modeled after the Title V program, as appropriate and allowable.

9. Have you made changes in how NSR permits are written and documented as a result of lessons learned in title V (e.g., permit terms more clearly written; use of a statement of basis to document decision making)? If yes, describe.

DAQ Response: Enforceability issues discovered in Title V permits serve as lessons to establish adequate NSR conditions.

10. Do you use information from title V to target inspections and/or enforcement? **Y** ☒ **N** ☐

11. Is title V fee money helpful in running the program? That is, does it help you to provide: **(Check all that apply.)**

- ☒ Better training?
- ☒ More resources for your staff such as CFRs and computers?
- ☒ Better funding for travel to sources?
- ☒ Stable funding despite fluctuations in funding for other state programs?
- ☒ Incentives to hire and retain good staff?
- ☐ Are there other benefits of the fee program? Describe.

12. Have you received positive feedback from citizens? **Y** ☐ **N** ☒

13. Has industry expressed a benefit of title V? **Y** ☐ **N** ☒ If so, describe.

14. Do you perceive other benefits as a result of the title V program? **Y** ☐ **N** ☒ If so, describe.

DAQ Response: All perceived benefits addressed above.

15. Other comments on benefits of title V? **Y** ☐ **N** ☒

[Good Practices not addressed elsewhere in this questionnaire](#)

16. Are any practices employed that improve the quality of the permits or other aspects of the title V program that are not addressed elsewhere in this questionnaire?

[EPA assistance not addressed elsewhere in this questionnaire](#)

17. Is there anything else EPA can do to help your title V program?

Appendix C. U.S. EPA Statement of Basis Guidance

Table of SOB guidance

Elements	Region 9's Febuary 19, 1999 letter to SLOC APCD	NOD to Texas' part 70 Program (January 7, 2002)	Region 5 letter to state of Ohio (December 20, 2001)	Los Medanos Petition Order (May 24, 2004)	Bay Area Refinery Petition Orders (March 15, 2005)	EPA's August 1, 2005 letter regarding Exxon Mobil proposed permit	Petition No. V-2005-1 (February 1, 2006) (Onyx Order)	EPA's April 30, 2014 Memorandum: Implementation Guidance on ACC Reporting and SOB Requiremetns for Title V Operating Permits
New Equipment	Additions of permitted equipment which were not included in the application					√		
Insignificant Activities and portable equipment	Identification of any applicable requirements for insignificant activities or State-registered portable equipment that have not previously been identified at the Title V facility					√		
Streamlining	Multiple applicable requirements streamlining demonstrations		Streamlining requirements	Streamlining analysis		√		
Permit Shields	Permit shields	The basis for applying the permit shield	√	Discussion of permit shields	Basis for permit shield decisions	√		
Alternative Operating Scenarios and Operational Flexibility	Alternative operating scenarios	A discussion of any operational flexibility that will be utilized at the facility.	√			√		
Compliance Schedules	Compliance Schedules				Must discuss need for compliance schedule for multiple NOVs, particularly any unresolved/outstanding NOVs	Must discuss need for compliance schedule for any outstanding NOVs		
CAM	CAM requirements					√		
PALs	Plant wide allowable emission limits (PAL) or other voluntary limits					√		
Previous Permits	Any district permits to operate or authority to construct permits		Explanation of any conditions from previously issued permits that are not being transferred to the title V permit	A basis for the exclusion of certain NSR and PSD conditions contained in underlying ATC permits		√		
Periodic Monitoring Decisions	Periodic monitoring decisions, where the decisions deviate from already agreed upon levels (eg. Monitoring decisions agreed upon by the district and EPA either through: the Title V periodic monitoring workgroup; or another Title V permit for a similar source). These decisions could be part of the permit package or reside in a publicly available document.	The rationale for the monitoring method selected	A description of the monitoring and operational restrictions requirements	1) recordkeeping and period monitoring that is required under 40 CFR 70.6(a)(3)(i)(B) or district regulation 2) Ensure that the rationale for the selected monitoring method or lack of monitoring is clearly explained and documented in the permit record.	The SOB must include a basis for its periodic monitoring decisions (adequacy of chosen monitoring or justification for not requiring periodic monitoring)	The SOB must include a basis for its periodic monitoring decisions. Any emissions factors, exhaust characteristics, or other assumptions or inputs used to justify no periodic monitoring is required, should be included in SOB		√
Facility Description		A description of the facility	√			√		
Applicability Determinations and Exemptions		Any federal regulatory applicability determinations	Applicability and exemptions	1) Applicability determinations for source specific applicable requirements 2) Origin or factual basis for each permit condition or exemption	SOB must discuss the Applicability of various NSPS, NESHAP and local SIP requirements and include the basis for all exemptions	SOB must discuss the Applicability of various NSPS, NESHAP and local SIP requirements and include the basis for all exemptions		√
General Requirements			Certain factual information as necessary	Generally the SOB should provide "a record of the applicability and technical issues surrounding the issuance of the permit."		√	√	√



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION IX

75 Hawthorne Street
San Francisco, CA 94105-3901

February 19, 1999

Mr. David Dixon
Chairperson, Title V Subcommittee
San Luis Obispo County
Air Pollution Control District
3433 Roberto Court
San Luis Obispo, CA 93401

Dear Mr. Dixon:


I am writing to provide a final version of our response to your July 2, 1998 letter in which you expressed concern about Region IX's understanding of the Subcommittee's tentative resolution to the 45-day EPA review period issue. I have also included a summary of the Subcommittee's agreement on two title V implementation issues originally raised by some Subcommittee members at our meeting on August 18, 1998. Our response reflects many comments and suggestions we have received during the past several months from members of the Title V Subcommittee and EPA's Office of General Counsel. In particular, previous drafts of this letter and the enclosure have been discussed at Subcommittee meetings on October 1, 1998, November 5, 1998, January 14, 1999, and February 17, 1999. Today's final version incorporates suggested changes as discussed at these meetings and is separated into two parts: Part I is "guidance" on what constitutes a complete Title V permit submittal; and Part II is a five-point process on how to better coordinate information exchange during and after the 45-day EPA review period.

We will address the letter to David Howekamp from Peter Venturini dated August 7, 1998 regarding permits issued pursuant to NSR rules that will not be SIP approved in the near future. This issue was also discussed at the August 18 Title V Subcommittee meeting.

I appreciate your raising the issues regarding the 45-day EPA review clock to my attention. Your efforts, along with the efforts of other Title V Subcommittee members, have been invaluable towards resolving this and other Title V implementation issues addressed in this letter. The information in the enclosure will clarify Title V permitting expectations between Region IX and the California Districts and will improve coordination of Title V permit information. It is important to implement this immediately, where necessary, so the benefits of this important program can be fully realized as soon as possible in the state of California as well as other states across the country.

If you have any questions please do not hesitate to call me at (415) 744-1254.

Sincerely,

A handwritten signature in black ink, appearing to read 'Matt', followed by a long horizontal flourish.

Matt Haber
Chief, Permits Office

Enclosure

cc: California Title V Contacts
California Air Pollution Control Officers
Ray Menebroker, CARB
Peter Venturini, CARB

Enclosure

Neither the guidance in Part I nor the process in Part II replace or alter any requirements contained in Title V of the Clean Air Act or 40 CFR Part 70.

PART I. Guidance on Information Necessary to Begin 45-day EPA Review

A complete submittal to EPA for a proposed permit consists of the application (if one has not already been sent to EPA), the proposed permit, and a statement of basis. If applicable to the Title V facility (and not already included in the application or proposed permit) the statement of basis should include the following:

- additions of permitted equipment which were not included in the application;
- identification of any applicable requirements for insignificant activities or State-registered portable equipment that have not previously been identified at the Title V facility,
- outdated SIP requirement streamlining demonstrations,
- multiple applicable requirements streamlining demonstrations,
- permit shields,
- alternative operating scenarios,
- compliance schedules,
- CAM requirements,
- plant wide allowable emission limits (PAL) or other voluntary limits,
- any district permits to operate or authority to construct permits;
- periodic monitoring decisions, where the decisions deviate from already agreed-upon levels (e.g., monitoring decisions agreed upon by the district and EPA either through: the Title V periodic monitoring workgroup; or another Title V permit for a similar source). These decisions could be part of the permit package or could reside in a publicly available document.

Part II - Title V Process

The following five-point process serves to clarify expectations for reviewing Title V permits and coordinating information on Title V permits between EPA Region IX ("EPA") and Air Pollution Districts in California ("District"). Districts electing to follow this process can expect the following. Districts may, at their discretion, make separate arrangements with Region IX to implement their specific Title V permit reviews differently.

Point 1: The 45-day clock will start one day after EPA receives all necessary information to adequately review the title V permit to allow for internal distribution of the documents. Districts may use return receipt mail, courier services, Lotus Notes, or any other means they wish to transmit a package and obtain third party assurance that EPA received it. If a District would like written notice from EPA of when EPA received the proposed title V permit, the District should notify EPA of this desire in writing. After receiving the request, Region IX will provide written response acknowledging receipt of permits as follows:

(Date)

Dear (APCO):

We have received your proposed Title V permit for (Source Name) on (Date). If, after 45-days from the date indicated above, you or anyone in your office has not heard from us regarding this permit, you may assume our 45-day review period is over.

Sincerely,

Matt Haber
Chief, Permits Office

Point 2: After EPA receives the proposed permit, the permit application, and all necessary supporting information, the 45-day clock may not be stopped or paused by either a District or EPA, except when EPA approves or objects to the issuance of a permit.

Point 3: The Districts recognize that EPA may need additional information to complete its title V permit review. If a specific question arises, the District involved will respond as best it can by providing additional background information, access to background records, or a copy of the specific document.

The EPA will act expeditiously to identify, request and review additional information and the districts will act expeditiously to provide additional information. If EPA determines there is a

basis for objection, including the absence of information necessary to review adequately the proposed permit, EPA may object to the issuance of the permit. If EPA determines that it needs more information to reach a decision, it may allow the permit to issue and reopen the permit after the information has been received and reviewed.

Point 4: When EPA objects to a permit, the Subcommittee requested that the objection letter identify why we objected to a permit, the legal basis for the objection, and a proposal suggesting how to correct the permit to resolve the objection.

It has always been our intent to meet this request. In the future, when commenting on, or objecting to Title V permits, our letters will identify recommended improvements to correct the permit. For objection letters, EPA will identify why we objected to a permit, the legal basis for the objection, and details about how to correct the permit to resolve the objection. Part 70 states that "Any EPA objection...shall include a statement of the Administrator's reasons for objection and a description of the terms and conditions that the permit must include to respond to the objections."

Point 5: When EPA objects to a permit, and a District has provided information with the intent to correct the objection issues, the Subcommittee members requested a letter from EPA at the end of the 90-day period stating whether the information provided by the District has satisfied the objection.

While we agree with the Districts' desire for clear, written communication from EPA, a written response will not always be possible by the 90th day because the regulations allow a District 90 days to provide information. To allow EPA ample time to evaluate submitted information to determine whether the objection issues have been satisfied, we propose establishing a clear protocol. The following protocol was agreed to by members of the Subcommittee:

1. within 60 days of an EPA objection, the District should revise and submit a proposed permit in response to the objection;
2. within 30 days after receipt of revised permit, EPA should evaluate information and provide written response to the District stating whether the information provided by the District has satisfied the objection.

December 20, 2001

(AR-18J)

Robert F. Hodanbosi, Chief
Division of Air Pollution Control
Ohio Environmental Protection Agency
122 South Front Street
P. O. Box 1049
Columbus, Ohio 43266-1049

Dear Mr. Hodanbosi:

I am writing this letter to provide guidelines on the content of an adequate statement of basis (SB) as we committed to do in our November 21, 2001, letter. The regulatory basis for a SB is found in 40 C.F.R. § 70.7(a)(5) and Ohio Administrative Code (OAC) 3745-77-08(A)(2) which requires that each draft permit must be accompanied by "a statement that sets forth the legal and factual basis for the draft permit conditions." The May 10, 1991, preamble also suggests the importance of supplementary materials.

"[United States Environmental Protection Agency (USEPA)]...can object to the issuance of a permit where the materials submitted by the State permitting authority to EPA do not provide enough information to allow a meaningful EPA review of whether the proposed permit is in compliance with the requirements of the Act." (56 FR 21750)

The regulatory language is clear in that a SB must include a discussion of decision-making that went into the development of the Title V permit and to provide the permitting authority, the public, and the USEPA a record of the applicability and technical issues surrounding issuance of the permit. The SB is part of the historical permitting record for the permittee. A SB generally should include, but not be limited to, a description of the facility to be permitted, a discussion of any operational flexibility that will be utilized, the basis for applying a permit shield, any regulatory applicability determinations, and the rationale for the monitoring methods selected. A SB should specifically reference all supporting materials relied upon, including the applicable statutory or regulatory provision.

While not an exhaustive list of what should be in a SB, below are several important areas where the Ohio Environmental Protection Agency's (OEPA) SB could be improved to better meet the intent of Part 70.

Discussion of the Monitoring and Operational Requirements

OEPA's SB must contain a discussion on the monitoring and operational restriction provisions that are included for each emission unit. 40 C.F.R. §70.6(a) and OAC 3745-77-07(A) require that monitoring and operational requirements and limitations be included in the permit to assure compliance with all applicable requirements at the time of permit issuance. OEPA's selection of the specific monitoring, including parametric monitoring and recordkeeping, and operational requirements must be explained in the SB. For example, if the permitted compliance method for a grain-loading standard is maintaining the baghouse pressure drop within a specific range, the SB must contain sufficient information to support the conclusion that maintaining the pressure drop within the permitted range demonstrates compliance with the grain-loading standard.

The USEPA Administrator's decision in response to the Fort James Camas Mill Title V petition further supports this position. The decision is available on the web at

http://www.epa.gov/region07/programs/artd/air/title5/petitiondb/petitions/fort_james_decision1999.pdf. The Administrator stated that the rationale for the selected monitoring method must be clear and documented in the permit record.

Discussion of Applicability and Exemptions

The SB should include a discussion of any complex applicability determinations and address any non-applicability determinations. This discussion could include a reference to a determination letter that is relevant or pertains to the source. If no separate determination letter was issued, the SB should include a detailed analysis of the relevant statutory and regulatory provisions and why the requirement may or may not be applicable. At a minimum, the SB should provide sufficient information for the reader to understand OEPA's conclusion about the applicability of the source to a specific rule. Similarly, the SB should discuss the purpose of any limits on potential to emit that are created in the Title V permit and the basis for exemptions from requirements, such as exemptions from the opacity standard granted to emissions units under OAC rule 3745-17-07(A). If the permit shield is granted for such an exemption or non-applicability determination, the permit shield must also provide the determination or summary of the determination. See CAA Section 504(f)(2) and 70.6(f)(1)(ii).

Explanation of any conditions from previously issued permits that are not being transferred to the Title V permit

In the course of developing a Title V permit, OEPA may decide that an applicable requirement no longer applies to a facility or otherwise not federally enforceable and, therefore, not necessary in the Title V permit in accordance with USEPA's "White Paper for Streamlined Development of the Part 70 Permit Applications" (July 10, 1995). The SB should include the rationale for such a determination and reference any supporting materials relied upon in the determination.

I will also note that for situations that not addressed in the July 10, 1995, White Paper, applicable New Source Review requirements can not be dropped from the Title V permit without first revising the permit to install.

Discussion of Streamlining Requirements

The SB should include a discussion of streamlining determinations. When applicable requirements overlap or conflict, the permitting authority may choose to include in the permit the requirement that is determined to be most stringent or protective as detailed in USEPA's "White Paper Number 2 for Improved Implementation of the Part 70 Operating Permits Program" (March 5, 1996). The SB should explain why OEPA concluded that compliance with the streamlined permit condition assures compliance with all the overlapping requirements.

Other factual information

The SB should also include factual information that is important for the public to be aware of. Examples include:

1. A listing of any Title V permits issued to the same applicant at the plant site, if any. In some cases it may be important to include the rationale for determining that sources are support facilities.
2. Attainment status.
3. Construction and permitting history of the source.
4. Compliance history including inspections, any violations noted, a listing of consent decrees into which the permittee has entered and corrective action(s) taken to address noncompliance.

I do understand the burden that the increased attention to the SB will cause especially during this time when OEPA has been working so hard to complete the first round of Title V permit issuance. I do hope that you will agree with me that including the information listed above in OEPA's SB will only improve the Title V process. If you would like examples of other permitting authorities' SB, please contact us. We would be happy to provide you with some. I would also mention here that this additional information should easily fit in the format OEPA currently uses for its SB. We look forward to continued cooperation between our offices on this issue. If you have any questions, please contact Genevieve Damico, of my staff, at (312) 353-4761.

Sincerely yours,

/s/

Stephen Rothblatt, Chief
Air Programs Branch

**BEFORE THE ADMINISTRATOR
UNITED STATES ENVIRONMENTAL PROTECTION AGENCY**

IN THE MATTER OF)	
LOS MEDANOS ENERGY)	PETITION NO.
CENTER)	ORDER RESPONDING TO
)	PETITIONERS REQUEST THAT THE
MAJOR FACILITY REVIEW)	ADMINISTRATOR OBJECT TO
PERMIT No. B1866,)	ISSUANCE OF A STATE OPERATING
Issued by the Bay Area Air)	PERMIT
Quality Management District)	
_____)	

**ORDER DENYING IN PART AND GRANTING IN PART PETITION FOR OBJECTION
TO PERMIT**

On September 6, 2001, the Bay Area Air Quality Management District, ("BAAQMD" or "District") issued a Major Facility Review Permit to Los Medanos Energy Center, Pittsburg, California ("Los Medanos Permit" or "Permit"), pursuant to title V of the Clean Air Act ("CAA" or "the Act"), 42 U.S.C. §§ 7661-7661f, CAA §§ 501-507. On October 12, 2001, the Environmental Protection Agency ("EPA") received a petition from Our Children's Earth Foundation ("OCE") and Californians for Renewable Energy, Inc., ("CARE") (collectively, the "Petitioners") requesting that the EPA Administrator object to the issuance of the Los Medanos Permit pursuant to Section 505(b)(2) of the Act, the federal implementing regulations found at 40 CFR Part 70.8, and the District's Regulation 2-6-411.3 ("Petition").

The Petitioners allege that the Los Medanos Permit (1) improperly includes an emergency breakdown exemption condition that incorporates a broader definition of "emergency" than allowed by 40 CFR § 70.6(g); (2) improperly includes a variance relief condition which is not federally enforceable; (3) fails to include a statement of basis as required by 40 CFR § 70.7(a)(5); (4) contains permit conditions that are inadequate under 40 CFR Part 70, namely that certain provisions are unenforceable; and (5) fails to incorporate certain changes OCE requested during the public comment period and agreed to by BAAQMD.

EPA has now fully reviewed the Petitioners' allegations. In considering the allegations, EPA performed an independent and in-depth review of the Los Medanos Permit; the supporting documentation for the Los Medanos Permit; information provided by the Petitioners in the Petition and in a letter dated November 21, 2001; information gathered from the Petitioners in a November 8, 2001 meeting; and information gathered from the District in meetings held on October 31, 2001, December 5, 2001, and February 7, 2002. Based on this review, I grant in part and deny in part the Petitioners' request that I "object to the issuance of the Title V Operating Permit for the Los Medanos Energy Center," and hereby order the District to reopen the Permit

for the reasons described below.

I. STATUTORY AND REGULATORY FRAMEWORK

Section 502(d)(1) of the Act calls upon each State to develop and submit to EPA an operating permit program to meet the requirements of title V. In 1995, EPA granted interim approval to the title V operating permit program submitted by BAAQMD. 60 Fed. Reg. 32606 (June 23, 1995); 40 CFR Part 70, Appendix A. Effective November 30, 2001, EPA granted full approval to BAAQMD's title V operating permit program. 66 Fed. Reg. 63503 (December 7, 2001).

Major stationary sources of air pollution and other sources covered by title V are required to apply for an operating permit that includes applicable emission limitations and such other conditions as are necessary to assure compliance with applicable requirements of the Act. See CAA §§ 502(a) and 504(a). The title V operating permit program does not generally impose new substantive air quality control requirements (which are referred to as "applicable requirements"), but does require permits to contain monitoring, recordkeeping, reporting, and other conditions to assure compliance by sources with existing applicable requirements. 57 Fed. Reg. 32250, 32251 (July 21, 1992). One purpose of the title V program is to enable the source, EPA, permitting authorities, and the public to better understand the applicable requirements to which the source is subject and whether the source is meeting those requirements. Thus, the title V operating permits program is a vehicle for ensuring that existing air quality control requirements are appropriately applied to facility emission units and that compliance with these requirements is assured.

Under § 505(a) of the Act and 40 CFR § 70.8(a), permitting authorities are required to submit all operating permits proposed pursuant to title V to EPA for review. If EPA determines that a permit is not in compliance with applicable requirements or the requirements of 40 CFR Part 70, EPA will object to the permit. If EPA does not object to a permit on its own initiative, section 505(b)(2) of the Act and 40 CFR § 70.8(d) provide that any person may petition the Administrator, within 60 days of the expiration of EPA's 45-day review period, to object to the permit. To justify the exercise of an objection by EPA to a title V permit pursuant to section 505(b)(2), a petitioner must demonstrate that the permit is not in compliance with the requirements of the Act, including the requirements of Part 70. Part 70 requires that a petition must be "based only on objections to the permit that were raised with reasonable specificity during the public comment period. . . , unless the petitioner demonstrates that it was impracticable to raise such objections within such period, or unless the grounds for such objection arose after such period." 40 CFR § 70.8(d). A petition for administrative review does not stay the effectiveness of the permit or its requirements if the permit was issued after the expiration of EPA's 45-day review period and before receipt of the objection. If EPA objects to a permit in response to a petition and the permit has been issued, the permitting authority or EPA will modify, terminate, or revoke and reissue such a permit using the procedures in 40 CFR §§ 70.7(g)(4) or (5)(i) and (ii) for reopening a permit for cause.

II. BACKGROUND

The Los Medanos Energy Center facility (“Facility”), formerly owned by Enron Corporation under the name Pittsburg District Energy Facility, is a natural gas-fired power plant presently owned and operated by Calpine Corporation. The plant, with a nominal electrical capacity of 555-megawatts (“MW”), is located in Pittsburg, California. The Facility received its final determination of compliance (“FDOC”)¹ from the District in June, 1999, and its license to construct and operate from the California Energy Commission (“CEC”)² on August 17, 1999. The Facility operates two large natural gas combustion turbines with associated heat recovery steam generators (“HRSG”), and one auxiliary boiler. The Facility obtained a revised authority to construct (“ATC”)³ permit from the District in March, 2001 to increase heat input ratings of the two HRSGs and the auxiliary boiler,⁴ and to add a fire pump diesel engine and a natural gas-fired emergency generator. The Facility began commercial operation in July, 2001. The Facility emits nitrogen oxide (“NO_x”), carbon monoxide (“CO”), and particulate matter (“PM”), all of which are regulated under the District’s federally approved or delegated nonattainment new source review (“NSR”) and prevention of significant deterioration (“PSD”) programs⁵ or other District Clean Air Act programs.

On June 28, 2001, the District completed its evaluation of the title V application for the Facility and issued the draft title V Permit. Under the District’s rules, this action started a simultaneous 30-day public comment period and a 45-day EPA review period. On August 1, 2001, Mr. Kenneth Kloc of the Environmental Law and Justice Clinic submitted comments to the

¹An FDOC describes how a proposed facility will comply with applicable federal, state, and BAAQMD regulations, including control technology and emission offset requirements of New Source Review. Permit conditions necessary to insure compliance with applicable regulations are also included.

²The FDOC served as an evaluation report for both the CEC’s certificate and the District’s authority to construct (“ATC”) permit. The initial ATC was issued by the District shortly after the FDOC under District application #18595.

³ATC permits are federally enforceable pre-construction permits that reflect the requirements of the attainment area prevention of significant deterioration and nonattainment area new source review (“NSR”) programs. The District’s NSR requirements are described in Regulation 2, Rule 2. New power plants locating in California subject to the CEC certification requirements must also comply with Regulation 2, Rule 3, titled Power Plants. Regulation 2-3-405 requires the District to issue an ATC for a subject facility only after the CEC issues its certificate for the facility.

⁴The increased heat input allowed the facility to increase its electrical generating capacity from 520 MW to 555 MW.

⁵The District was implementing the federal PSD program under a delegation agreement with EPA dated October 28, 1997. The non-attainment NSR program was most recently SIP-approved by EPA on January 26, 1999. 64 Fed. Reg. 3850.

District on the draft Los Medanos Permit on behalf of OCE (“OCE’s Comment Letter”).⁶ The District responded to OCE’s Comment Letter by a letter dated September 4, 2001, from William de Boisblanc (“Response to Comments”). EPA Region IX did not object to the proposed permit during its 45-day review period. The Petition to Object to the Permit, filed by OCE and CARE and dated October 9, 2001, was received by Region IX on October 12, 2001. EPA calculates the period for the public to petition the Administrator to object to a permit as if the 30-day public comment and 45-day EPA review periods run sequentially, accordingly petitioners have 135 days after the issuance of a draft permit to submit a petition.⁷ Given that the Petition was filed with EPA on October 12, 2001, I find that it was timely filed. I also find that the Petition is appropriately based on objections that were raised with reasonable specificity during the comment period or that arose after the public comment period expired.⁸

III. ISSUES RAISED BY THE PETITIONERS

A. District Breakdown Relief Under Permit Condition I.H.1

Petitioners’ first allegation challenges the inclusion in the Los Medanos Permit of Condition I.H.1, a provision which incorporates SIP rules allowing a permitted facility to seek relief from enforcement by the District in the event of a breakdown. Petition at 3. Petitioners assert that the definition of “breakdown” at Regulation 1-208 would allow relief in situations beyond those allowed under the Clean Air Act. Specifically, Petitioners allege that the “definition of ‘breakdown’ in Regulation 1-208 is much broader than the federal definition of breakdown, which is provided in 40 CFR Part 70,” or more precisely, at 40 CFR § 70.6(g).

Condition I.H.1 incorporates District Regulations 1-208, 1-431, 1-432, and 1-433 (collectively the “Breakdown Relief Regulations”) into the Permit. Regulation 1-208 defines breakdown, and Regulations 1-431 through 1-433 describe how an applicant is to notify the District of a breakdown, how the District is to determine whether the circumstances meet the definition of a breakdown, and what sort of relief to grant the permittee. To start our analysis, it

⁶We note that OCE submitted its comments to the District days after the close of the public comment period established pursuant to the District’s Regulation 2-6-412 and 40 CFR § 70.7(h)(4). Though we are responding to the Petition despite this possible procedural flaw, we reserve our right to raise this issue in any future proceeding.

⁷This 135-day period to petition the Administrator is based on a 30-day District public notice and comment period, a 45-day EPA review period and the 60-day period for a person to file a petition to object with EPA.

⁸In its Comment Letter, OCE generally raised concerns with the draft Major Facility Review Permit that are the basis for the Petition. In regard to whether all issues were raised with ‘reasonable specificity,’ I find that claims one through four of the Petition were raised adequately in OCE’s Comment Letter. The fifth claim, that the District did not live up to its commitment to make changes to the Permit, can be raised in the Petition since the grounds for the claim arose after the public comment period ended. See 40 CFR § 70.8(d). Finally, CARE’s non-participation in the District’s notice-and-comment process does not prevent the organization from filing a title V petition because the regulations allow “any person” to file a petition based on earlier objections raised during the public comment period regardless of who had filed those earlier comments. See CAA § 505(b)(2); 40 CFR § 70.8(d)

is important to understand the impact of granting relief under the Breakdown Relief Regulations. Neither Condition I.H.1, nor the SIP provisions it incorporates into the Permit, would allow for an exemption from an applicable requirement for periods of excess emissions. An “exemption from an applicable requirement” would mean that the permittee would be deemed not to be in violation of the requirement during the period of excess emissions. Rather, these Breakdown Relief Regulations allow an applicant to enter into a proceeding in front of the District that could ultimately lead to the District employing its enforcement discretion not to seek penalties for violations of an applicable requirement that occurred during breakdown periods.

Significantly, the Breakdown Relief Regulations have been approved by EPA as part of the District’s federally enforceable SIP. 64 Fed. Reg. 34558 (June 28, 1999) (this is the most recent approval of the District’s Regulation 1). Part 70 requires all SIP provisions that apply to a source to be included in title V permits as “applicable requirements.” See In re Pacificorp’s Jim Bridger and Naughton Electric Utility Steam Generating Plants, Petition No. VIII-00-1, at 23-24 (“Pacifcorp”). On this basis alone, the inclusion of the Breakdown Relief Regulations in the permit is not objectionable.⁹

Moreover, Petitioners’ allegation that Condition 1.H.1 is inconsistent with 40 CFR § 70.6(g) does not provide a basis for an objection. 40 CFR § 70.6(g) allows a permitting authority to incorporate into its title V permit program an affirmative defense provision for “emergency” situations as long as the provision is consistent with the 40 CFR § 70.6(g)(3) elements. Such an emergency defense then may be incorporated into permits issued pursuant to that program. As explained above, these regulations provide relief based on the District’s enforcement discretion and do not provide an affirmative defense to enforcement. Moreover, to the extent the emergency defense is incorporated into a permit, 40 CFR § 70.6(g)(5) makes clear that the Part 70 affirmative defense type of relief for emergency situations “is in addition to any emergency or upset provision contained in any applicable requirement.” This language clarifies that the Part 70 regulations do not bar the inclusion of applicable SIP requirements in title V permits, even if those applicable requirements contain “emergency” or “upset” provisions such as Condition 1.H.1 that may overlap with the emergency defense provision authorized by 40 CFR § 70.6(g).

Also, a review of the Breakdown Relief Regulations themselves demonstrates that they are not inconsistent with the Clean Air Act, and therefore, not contrary to the Act. A September 28, 1982, EPA policy memorandum from Kathleen Bennet, titled Policy on Excess Emissions During Startup, Shutdown, Maintenance, and Malfunctions (“1982 Excess Emission Policy”), explains that “all periods of excess emissions [are] violations of the applicable standard.” Accordingly, the 1982 Excess Emission Policy provides that EPA will not approve automatic exemptions in operating permits or SIPs. However, the 1982 Excess Emission Policy also

⁹This holds true even if the Petitioner could support an allegation that EPA had erroneously incorporated the provisions into the SIP. See Pacificorp at 23 (“even if the provision were found not to satisfy the Act, EPA could not properly object to a permit term that is derived from a provision of the federally approved SIP”). However, as explained below, EPA believes that these provisions were appropriately approved as part of the District’s SIP.

explains that EPA can approve, as part of a SIP, provisions that codify an “enforcement discretion approach.” The Agency further refined its position on this topic in a September 20, 1999 policy memorandum from Steven A. Herman and Robert Perciasepe, titled State Implementation Plans: Policy Regarding Excess Emissions During Malfunctions, Startup, and Shutdown (“1999 Excess Emission Policy”).¹⁰ The 1999 Excess Emission Policy explained that a permitting authority may express its enforcement discretion through appropriate affirmative defense provisions approved into the SIP as long as the affirmative defense applies only to civil penalties (and not injunctive relief) and meets certain criteria. As previously explained, the Breakdown Relief Regulations approved into the District’s SIP provide neither an affirmative defense to an enforcement action nor an automatic exemption from applicable requirements, but rather serve as a mechanism for the District to use its enforcement discretion. Therefore, I find that the provision is not inconsistent with the Act.

Finally, Petitioners allege that the inclusion of Condition I.H.1 “creates unnecessary confusion and unwarranted potential defense to federal civil enforcement.” Inclusion of Condition I.H.3 in the Los Medanos Permit clarifies Condition I.H.1 by stating that “[t]he granting by the District of breakdown relief . . . will not provide relief from federal enforcement.” Contrary to Petitioners’ allegation, we find that addition of this language successfully dispels any ambiguity as to the impact of the provision, especially as it relates to federal enforceability, and therefore clears up “confusion” and limits “unwarranted defenses.” For the reasons stated above, I deny the Petition as it relates to Condition I.H.1 and the incorporation of the Breakdown Relief Regulations into the Permit.

B. Hearing Board Variance Relief Under Permit Condition I.H.2

The Petitioners’ second allegation challenges the inclusion in the Los Medanos Permit of Condition I.H.2, which states that a “permit holder may seek relief from enforcement action for a violation of any of the terms and conditions of this permit by applying to the District’s Hearing Board for a variance pursuant to Health and Safety Code Section 42350. . . .” Petition at 3. Petitioners make a number of arguments in support of their claim that the reference to California’s Variance Law in the Los Medanos Permit serves as a basis for an objection; none of these allegations, however, serves as an adequate basis for EPA to object to the Permit.

Health and Safety Code (“HSC”) sections 42350 et seq. (“California’s Variance Law”) allow a permittee to request an air district hearing board to issue a variance to allow the permittee to operate in violation of an applicable district rule, or State rule or regulation for a limited time. Section 42352(a) prohibits the issuance of a variance unless the hearing board makes specific

¹⁰ On December 5, 2001, EPA issued a brief clarification of this policy. Re-Issuance of Clarification – State Implementation Plans (SIPs); Policy Regarding Excess Emissions During Malfunction, Startup, and Shutdown.

findings.¹¹ Section 42352(a)(2) limits the availability of variances to situations involving non-compliance with “any rule, regulation, or order of the district.” As part of the variance process, the hearing board may set a “schedule of increments of progress,” to establish milestones and final deadlines for achieving compliance. See, e.g., HSC § 42358. EPA has not approved California’s Variance Law into the SIP or Title V program of any air district. See, e.g., 59 Fed. Reg. 60939 (Nov. 29, 1994) (proposing to approve BAAQMD’s title V program without California’s Variance Law); 60 Fed. Reg. 32606 (June 23, 1995) (granting final interim approval to BAAQMD’s title V program).

Petitioners argue that the “variance relief issued by BAAQMD under state law does not qualify as emergency breakdown relief authorized by the Title V provisions . . .” Petition at 4. As with the Breakdown Relief Regulations, Petitioners’ true concern appears to be that Condition I.H.2 and California’s Variance Law are inconsistent with 40 CFR § 70.6(g), which allows for the incorporation of an affirmative defense provision into a federally approved title V program, and thus into title V permits. Condition I.H.2 and California’s Variance Law, however, do not need to be consistent with 40 CFR § 70.6(g) because these provisions merely express an aspect of the District’s discretionary enforcement authority under State law rather than incorporate a Part 70 affirmative defense provision into the Permit.¹² As described above, the discretionary

¹¹ HSC section 42352(a) provides as follows:

No variance shall be granted unless the hearing board makes all of the following findings:

- (1) That the petitioner for a variance is, or will be, in violation of Section 41701 or of any rule, regulation, or order of the district.
- (2) That, due to conditions beyond the reasonable control of the petitioner, requiring compliance would result in either (A) an arbitrary or unreasonable taking of property, or (B) the practical closing and elimination of a lawful business. In making those findings where the petitioner is a public agency, the hearing board shall consider whether or not requiring immediate compliance would impose an unreasonable burden upon an essential public service. For purposes of this paragraph, “essential public service” means a prison, detention facility, police or firefighting facility, school, health care facility, landfill gas control or processing facility, sewage treatment works, or water delivery operation, if owned and operated by a public agency.
- (3) That the closing or taking would be without a corresponding benefit in reducing air contaminants.
- (4) That the applicant for the variance has given consideration to curtailing operations of the source in lieu of obtaining a variance.
- (5) During the period the variance is in effect, that the applicant will reduce excess emissions to the maximum extent feasible.
- (6) During the period the variance is in effect, that the applicant will monitor or otherwise quantify emission levels from the source, if requested to do so by the district, and report these emission levels to the district pursuant to a schedule established by the district.

¹² Government agencies have discretion to not seek penalties or injunctive relief against a noncomplying source. California’s Variance Law recognizes this inherent discretion by codifying the process by which a source may seek relief through the issuance of a variance. The ultimate decision to grant a variance, however, is still wholly discretionary, as evidenced by the findings the hearing board must make in order to issue a variance. See HSC section 42352(a)(1)-(6).

nature of California's Variance Law is evidenced by the findings set forth in HSC §42538(a) that a hearing board must make before it can issue a variance.¹³ Inherent within the process of making these findings is the hearing board's ability to exercise its discretion to evaluate and consider the evidence and circumstances underlying the variance application and to reject or grant, as appropriate, that application. Moreover, the District clearly states in Condition I.H.3. that the granting by the District of a variance does not "provide relief from federal enforcement," which includes enforcement by both EPA and citizens.¹⁴ As Condition I.H.2. refers to a discretionary authority under state law that does not affect the federal enforceability of any applicable requirement, I do not find its inclusion in the Los Medanos Permit objectionable.

Petitioners also argue that the "variance program is a creature of state law," and therefore should not be included in the Los Medanos Permit. Petitioners' complaint is obviously without merit since Part 70 clearly allows for inclusion of state- and local-only requirements in title V permits as long as they are adequately identified as having only state- or local-only significance. 40 CFR § 70.6(b)(2). For this reason, I find that Petitioners' allegation does not provide a basis to object to the Los Medanos Permit.

Petitioners further argue that California's Variance Law allows a revision to the approved SIP in violation of the Act. Petitioners misunderstand the provision. The SIP is comprised of the State or district rules and regulations approved by EPA as meeting CAA requirements. SIP requirements cannot be modified by an action of the State or District granting a temporary variance. EPA has long held the view that a variance does not change the underlying SIP requirements unless and until it is submitted to and approved by EPA for incorporation into the SIP. For example, since 1976, EPA's regulations have specifically stated: "In order for a variance to be considered for approval as a revision to the State implementation plan, the State must submit it in accordance with the requirements of this section." 40 CFR §51.104(d); 41 Fed. Reg. 18510, 18511 (May 5, 1976).

The fact that the California Variance Law does not allow a revision to the approved SIP is further evidenced by the law itself. By its very terms, California's Variance Law is limited in application to "any rule, regulation, or order of the district," HSC § 42352(a)(2) (emphasis supplied); therefore, the law clearly does not purport to modify the federally approved SIP. In addition, California's view of the law's effect is consistent with EPA's. For instance, guidance

¹³ Because of its discretionary nature, California's Variance Law does not impose a legal impediment to the District's ability to enforce its SIP or title V program. EPA cannot prohibit the District's use of the variance process as a means for sources to avoid enforcement of permit conditions by the District unless the misuse of the variance process results in the District's failure to adequately implement or enforce its title V program, or its other federally delegated or approved CAA programs. Petitioners have made no such allegation.

¹⁴ Other BAAQMD information resources on variances also clearly set forth the legal significance of variances. For example, the application for a variance on BAAQMD's website states that EPA "does not recognize California's variance process" and that "EPA can independently pursue legal action based on federal law against the facility continuing to be in violation."

issued in 1989 by the California Air Resources Board (“CARB”), the State agency responsible for preparation of California’s SIP, titled Variances and Other Hearing Board Orders as SIP Revisions or Delayed Compliance Orders Under Federal Law, demonstrates that the State’s position with respect to the federal enforceability and legal consequences of variances is consistent with EPA’s. For example, the guidance states:

State law authorizes hearing boards of air pollution control districts to issue variances from district rules in appropriate instances. These variances insulate sources from the imposed state law. However, where the rule in question is part of the State Implementation Plan (SIP) as approved by the U.S. Environmental Protection Agency (EPA), the variance does not by itself insulate the source from penalties in actions brought by EPA to enforce the rule as part of the SIP. While EPA can use enforcement discretion to informally insulate sources from federal action, formal relief can only come through EPA approval of the local variance.

In 1993, the California Attorney General affirmed this position in a formal legal opinion submitted to EPA as part of the title V program approval process, stating that “any variance obtained by the source does not effect [sic] or modify permit terms or conditions . . . nor does it preclude federal enforcement of permanent terms and conditions.” In sum, both the federal and State governments have long held the view that the issuance of a variance by a district hearing board does not modify the SIP in any way. For this reason, I find that Petitioners’ allegation does not provide a basis to object to the Los Medanos Permit.

Finally, Petitioners raise concerns that the issuance of variances could “jeopardize attainment and maintenance of ambient air quality standards” and that inclusion of the variance provision in the Permit is highly confusing to the regulated community and public. As to the first concern, Petitioners’ allegation is too speculative to provide a basis for an objection to a title V permit. Moreover, as previously stated, permittees that receive a variance remain subject to all SIP and federal requirements, as well as federal enforcement for violation of those requirements. As to Petitioners’ final point, I find that including California’s Variance Law in title V permits may actually help clarify the regulatory scheme to the regulated community and the public. California’s Variance Law can be utilized by permittees seeking relief from District or State rules regardless of whether the Variance Law is referenced in title V permits; therefore, reference to the Variance Law with appropriate explanatory language as to its limited impact on federal enforceability helps clarify the actual nature of the law to the regulated community. In short, since title V permits are meant to contain all applicable federal, State, and local requirements, with appropriate clarifying language explaining the function and applicability of each requirement, the District may incorporate California’s Variance Law into the Los Medanos Permit and other title V permits. For reasons stated in this Section, I do not find grounds to object to the Los Medanos Permit on this issue.

C. Statement of Basis

Petitioners' third claim is that the Los Medanos Permit lacks a statement of basis, as required by 40 CFR § 70.7(a)(5). Petition at 5. Petitioners assert that without a statement of basis it is virtually impossible for the public to evaluate the periodic monitoring requirements (or lack thereof). Id. They specifically identify the District's failure to include an explanation for its decision not to require certain monitoring, including the lack of any monitoring for opacity, filterable particulate, or PM limits. Petition at 6-7, n.2. Additionally, Petitioners contend that BAAQMD fails to include any SO₂ monitoring for source S-2 (Heat Recovery Steam Generator). Id.

Section 70.7(a)(5) of EPA's permit regulations states that "the permitting authority shall provide a statement that sets forth the legal and factual basis for the draft permit conditions (including references to the applicable statutory or regulatory provisions)." The statement of basis is not part of the permit itself. It is a separate document which is to be sent to EPA and to interested persons upon request.¹⁵ Id.

A statement of basis ought to contain a brief description of the origin or basis for each permit condition or exemption. However, it is more than just a short form of the permit. It should highlight elements that EPA and the public would find important to review. Rather than restating the permit, it should list anything that deviates from a straight recitation of requirements. The statement of basis should highlight items such as the permit shield, streamlined conditions, or any monitoring that is required under 40 C.F.R. 70.6(a)(3)(i)(B) or District Regulation 2-6-503. Thus, it should include a discussion of the decision-making that went into the development of the title V permit and provide the permitting authority, the public, and EPA a record of the applicability and technical issues surrounding the issuance of the permit.¹⁶ See e.g., In Re Port

¹⁵Unlike permits, statements of basis are not enforceable, do not set limits and do not create obligations.

¹⁶EPA has provided guidance on the content of an adequate statement of basis in a letter dated December 20, 2001, from Region V to the State of Ohio and in a Notice of Deficiency ("NOD") issued to the State of Texas. <<http://www.epa.gov/rgytgrnj/programs/artd/air/title5/t5memos/sbguide.pdf>> (Region V letter to Ohio); 67 Fed. Reg. 732 (January 7, 2002) (EPA NOD issued to Texas). These documents describe the following five key elements of a statement of basis: (1) a description of the facility; (2) a discussion of any operational flexibility that will be utilized at the facility; (3) the basis for applying the permit shield; (4) any federal regulatory applicability determinations; and (5) the rationale for the monitoring methods selected. Id. at 735. In addition, the Region V letter further recommends the inclusion of the following topical discussions in a statement of basis: (1) monitoring and operational restrictions requirements; (2) applicability and exemptions; (3) explanation of any conditions from previously issued permits that are not being transferred to the title V permit; (4) streamlining requirements; and (5) certain other factual information as necessary. In a letter dated February 19, 1999 to Mr. David Dixon, Chair of the CAPCOA Title V Subcommittee, the EPA Region IX Air Division provided guidance to California permitting authorities that should be considered when developing a statement of basis for purposes of EPA Region IX's review. This guidance is consistent with the other guidance cited above. Each of the various guidance documents, including the Texas NOD and the Region V and IX letters, provide generalized recommendations for developing an adequate statement of basis rather than "hard and fast" rules on what to include in any given statement of basis. Taken as a whole, these recommendations provide a good roadmap as to what should be included in a statement of basis considering, for example, the technical complexity of the permit, the history of the facility, and any new provisions, such as periodic monitoring conditions, that the permitting authority has drafted in conjunction with issuing the title

Hudson Operation Georgia Pacific, Petition No. 6-03-01, at pages 37-40 (May 9, 2003) (“Georgia Pacific”); In Re Doe Run Company Buick Mill and Mine, Petition No. VII-1999-001, at pages 24-25 (July 31, 2002) (“Doe Run”). Finally, in responding to a petition filed in regard to the Fort James Camas Mill title V permit, EPA interpreted 40 CFR § 70.7(a)(5) to require that the rationale for selected monitoring method be documented in the permit record. See In Re Fort James Camas Mill, Petition No. X-1999-1, at page 8 (December 22, 2000) (“Ft. James”).

EPA’s regulations state that the permitting authority must provide EPA with a statement of basis. 40 CFR § 70.7(a)(5). The failure of a permitting authority to meet this procedural requirement, however, does not necessarily demonstrate that the title V permit is substantively flawed. In reviewing a petition to object to a title V permit because of an alleged failure of the permitting authority to meet all procedural requirements in issuing the permit, EPA considers whether the petitioner has demonstrated that the permitting authority’s failure resulted in, or may have resulted in, a deficiency in the content of the permit. See CAA § 505(b)(2) (objection required “if the petitioner demonstrates . . . that the permit is not in compliance with the requirements of this Act, including the requirements of the applicable [SIP]”); see also, 40 CFR § 70.8(c)(1). Thus, where the record as a whole supports the terms and conditions of the permit, flaws in the statement of basis generally will not result in an objection. See e.g., Doe Run at 24-25. In contrast, where flaws in the statement of basis resulted in, or may have resulted in, deficiencies in the title V permit, EPA will object to the issuance of the permit. See e.g., Ft. James at 8; Georgia Pacific at 37-40.

In this case, as discussed below, the permitting authority’s failure to adequately explain its permitting decisions either in the statement of basis or elsewhere in the permit record is such a serious flaw that the adequacy of the permit itself is in question. By reopening the permit, the permitting authority is ensuring compliance with the fundamental title V procedural requirements of adequate public notice and comment required by sections 502(b)(6) and 503(e) of the Clean Air Act and 40 CFR § 70.7(h), as well as ensuring that the rationale for the selected monitoring method, or lack of monitoring, is clearly explained and documented in the permit record. See 40 CFR §§ 70.7(a)(5) and 70.8(c); Ft. James at 8.

For the proposed Los Medanos Permit, the District did not provide EPA with a separate statement of basis document. In a meeting with EPA representatives held on October 31, 2001, at the Region 9 offices, the District claimed that it complied with the statement of basis requirements for the Los Medanos Permit because it incorporated all of the necessary explanatory information either directly into the Permit or it included such information in other supporting documentation.¹⁷ As such, the District argues, at a minimum, it complied with the substantive requirements of a statement of basis.

V permit.

¹⁷ This meeting along with the others held with the District were for fact-gathering purposes only. In a November 8, 2001 meeting at the Region 9 offices, the Petitioners were likewise provided the opportunity to present facts pertaining to the Petition to EPA representatives.

In responding to the Petition, we reviewed the final Los Medanos Permit and all supporting documentation, which included the proposed Permit, the FDOC drafted by the District for purposes of licensing the power plant with the CEC, and the “Permit Evaluation and Emission Calculations” (“Permit Evaluation”) which was developed in March 2001 as part of the modification to the previously issued ATC permit. Although the District provided some explanation in this supporting documentation as to the factual and legal basis for certain terms and conditions of the Permit, this documentation did not sufficiently set forth the basis or rationale for many other terms and conditions. Generally speaking, the District’s record for the Permit does not adequately support: (1) the factual basis for certain standard title V conditions; (2) applicability determinations for source-specific applicable requirements, such as the Acid Rain requirements and New Source Performance Standards (“NSPS”); (3) exclusion of certain NSR and PSD conditions contained in underlying ATC permits; (4) recordkeeping decisions and periodic monitoring decisions under 70.6(a)(3)(i)(B) and District Regulation 2-6-503; and (5) streamlining analyses, including a discussion of permit shields.

EPA Region 9 identified numerous specific deficiencies falling under each of these broad categories.¹⁸ For example, the District’s permit record does not adequately support the basis for certain source-specific applicable requirements identified in Section IV of the Permit, especially those regarding the applicability or non-applicability of subsections rules that apply to particular types of units such as NSPS for combustion turbines or SIP-approved District Regulations. For instance, in table IV-B and D of the Permit, the District indicates that subsection 303 of District Regulation 9-3, which sets forth NOx emission limitations, applies to certain emission units. However, the permit record fails to describe why subsection 601 of the same District Regulation, an otherwise seemingly applicable provision, is not included in the tables as an applicable requirement. Subsection 601 establishes how exhaust gases should be sampled and analyzed to determine NOx concentrations for purposes of compliance with subsection 303. Similarly, in the same tables, the District lists certain applicable NSPS subsections, such as those in 40 CFR Part 60 Subparts Da and GG, but does not explain why these subsections apply to those specific emission units nor why other seemingly applicable subsections of the same NSPS regulations do not apply to those units.¹⁹

The permit record also fails to explain the District’s streamlining decisions of certain

¹⁸ EPA Region 9 Permits Office described these areas of concern in greater detail in a memorandum dated March 29, 2002, “Region 9 Review of Statement of Basis for Los Medanos title V Permit in Response to Petition to Object.” This memorandum is part of the administrative record for this Order and was reviewed in responding to this Petition.

¹⁹ The tables in Section IV pertaining to certain gas turbines located at the Facility cite to 40 CFR 60.332(a)(1) as an applicable requirement. However, these same tables fail to cite to subsections 40 CFR 60.332(a)(2) through 60.332(l) of the same NSPS program even though these provisions also apply to gas turbines. The District’s failure to provide any sort of discussion or explanation as to the applicability or non-applicability of the subsections of 40 CFR 60.332 makes it impossible to review the District’s applicability determinations for this NSPS.

underlying ATC permit conditions as set forth in Section VI of the Permit. The District apparently modified or streamlined the ATC conditions in the context of the title V permitting process but failed to provide an explanation in the permit record as to the basis for the change to the conditions. For instance, Condition 53 of Section VI states that the condition was “[d]eleted [on] August, 2001,” but the District fails to discuss or explain anywhere in the permit record the basis for this deletion or the nature of the original condition that was deleted.

As a final example of the District’s failure to provide a basis or rationale for permit terms, in accordance with Petitioner’s claim, the permit record is devoid of discussion pertaining to how or why the selected monitoring is sufficient to assure compliance with the applicable requirements. See 69 Fed. Reg. 3202, 3207 (Jan. 22, 2004). Most importantly, for those applicable requirements which do not otherwise have monitoring requirements, the Permit fails to require monitoring pursuant to 40 C.F.R. 70.6(a)(3)(i)(B), and the permit record fails to discuss or explain why no monitoring should be required under this provision. As evidenced by these specific examples, I find the District did not provide an adequate analysis or discussion of the terms and conditions of the proposed Los Medanos Permit.

To conclude, by failing to draft a separate statement of basis document and by failing to include appropriate discussion in the Permit or other supporting documentation, the District has failed to provide an adequate explanation or rationale for many significant elements of the Permit. As such, I find that the Petitioners’ claim in regard to this issue is well founded, and by this Order, I am requiring the District to reopen the Los Medanos Permit, and make available to the public an adequate statement of basis that provides the public and EPA an opportunity to comment on the title V permit and its terms and conditions as to the issues identified above.

D. Inadequate Permit Conditions

Petitioners’ fourth claim is that Condition 22 in the Los Medanos Permit is unenforceable. The Petitioners claim that this condition “appears to defer the development of a number of permit conditions related to transient, non-steady state conditions to a time after approval of the Title V permit.” Petition at 7. The Petitioners recommend that “a reasonable set of conditions should be defined” and amended through the permit modification process to conform to new data in the future. I disagree with the Petitioners on this issue.

As Petitioners correctly note, Part 70 and the Act require that “conditions in a Title V permit. . . be enforceable.” However, they argue that “Condition 22 is presently unenforceable and must be deleted from the permit.” I find that the condition challenged by the Petitioners is enforceable.

Conditions 21 and 22 establish NO_x emissions levels for units P-1 and P-2, including limits for transient, non-steady state conditions. Condition 22(f) requires the permittee to gather data and draft and submit an operation and maintenance plan to control transient, non-steady

state emissions for units P-1 and P-2²⁰ within 15 months of issuance of the permit. Condition 22(g) creates a process for the District, after consideration of continuous monitoring and source test data, to fine-tune on a semi-annual basis the NO_x emission limit for units P-1 and P-2 during transient, non-steady state conditions and to modify data collection and recordkeeping requirements for the permittee.

These requirements are enforceable. EPA and the District can enforce both Condition 22(f)'s requirement to draft and submit an operation and maintenance plan for agency approval and the control measures adopted under the plan after approval. For Condition 22(g), the process for the District to modify emission limits and/or data collection and recordkeeping requirements is clearly set forth in the Permit and the modified terms will be federally enforceable. Moreover, the circumstances that trigger application of Condition 22 are specifically defined since Condition 22(c) precisely defines "transient, non-steady state condition" as when "one or more equipment design features is unable to support rapid changes in operation and respond to and adjust all operating parameters required to maintain the steady-state NO_x emission limit specified in Condition 21(b)." As such, I find that Condition 22 is federally and practically enforceable. Therefore, Petitioners' claim on this count is not supported by the plain language of the Permit itself.

Moreover, to the extent that Petitioners are concerned that Lowest Achievable Emission Rate ("LAER")²¹ emission standards are being set through a process that does not incorporate appropriate NSR, PSD, and title V public notice and comment processes, such concerns are not well-founded. By its very terms, the Permit prohibits relaxation of the LAER emissions standards set in the permitting process. Condition 21(b) of the Permit sets a LAER-level emission standard of 2.5 ppmv NO_x, averaged over any 1-hour period, for units P-1 and P-2 for all operational conditions other than transient, non-steady state conditions. Condition 22(a) sets the limit for transient, non-steady state conditions of 2.5 ppmv NO_x, averaged over any rolling 3-hour period.²² Implementation of Condition 22 cannot relax the LAER-level emission limits. Condition 22(f) merely requires further data-collecting, planning, and implementation of control

²⁰Unit P-1 is defined as "the combined exhaust point for the S-1 Gas Turbine and the S-2 HRSG after control by the A-1 SCR System and A-2 Oxidation Catalyst" and unit P-2 is defined as "the combined exhaust point for the S-3 Gas Turbine and the S-4 HRSG after control by the A-3 SCR System and A-4 Oxidation Catalyst." Permit, Condition 21 (a).

²¹LAER is the level of emission control required for all new and modified major sources subject to the NSR requirements of Section 173, Part D, of the CAA for non-attainment areas. 42 U.S.C. § 7501-15. Since the Bay Area is non-attainment for ozone, the Facility must meet LAER-level emission controls for NO_x emission since NO_x is a pre-cursor of ozone. California uses different terminology than the CAA when applying LAER, however. In California, best available control technology ("BACT") is consistent with LAER-level controls, and California and its local permitting authorities use this terminology when issuing permits.

²²The District determined this limit to be LAER for transient, non-steady state conditions because, as the District stated in its Response to Comments, "the NO_x emission limit (2.5 ppmv averaged over one hour) during load changes . . . ha[s] not yet been achieved in practice by any utility-scale power plant."

measures for transient, non-steady state emissions that go beyond those already established to comply with LAER requirements. While Condition 22(g) does allow the District to modify the emission limit during transient, non-steady state conditions,²³ this new limit cannot exceed the “backstop” LAER-level limit set by Condition 22(a). As such, Condition 22(g) serves to only make overall emission limits more stringent. The District itself recognized the “no backsliding” nature of Conditions 22(f) and (g) on page 3 of its Response to Comments where it stated that the Facility “must comply with ‘backstop’ NO_x emission limit of 2.5 ppmv, averaged over 3 hours, under all circumstances and comply with all hourly, daily and annual mass NO_x emission limits.”²⁴

Finally, for any control measures; further data collection, recordkeeping or monitoring requirements; new definitions; or emission limits established pursuant to Conditions 22(f) or (g) that are to be incorporated into the permit, the District must utilize the appropriate title V permit modification procedures set forth in 40 CFR § 70.7(d) and the District’s Regulation 2-6-415 to modify the Permit. The District itself recognizes this in Condition 22(g) by stating that “the Title V operating permit shall be amended as necessary to reflect the data collection and recordkeeping requirements established under 22(g)(ii).” For the reasons described above, we do not find Conditions 22(f) and (g) unenforceable or otherwise objectionable for inclusion in the Los Medanos Permit.

E. Failure to Incorporate Agreed-to Changes

The final claim by the Petitioners is that the District agreed to incorporate certain changes into the final Los Medanos Permit but failed to do so. Namely, Petitioners claim that the District failed to keep its commitments to OCE to add language requiring recordkeeping for stipulated abatement strategies under SIP-approved Regulation 4 and to add clarifying language about NO_x monitoring requirements. The District appeared to make these commitments in its Response to Comment Letter. These allegations do not provide a basis for objecting to the Permit because neither change is necessary to ensure that the District is properly including all applicable requirements in the permit nor are they necessary to assure compliance with the underlying applicable requirements. CAA § 504(a); 40 CFR § 70.6(a)(3).

The first change sought by OCE during the comment period was a requirement that the

²³The District may modify the emission limit during transient, non-steady state conditions every 6 months for the first 24 months after the start of the Commissioning period. The Commissioning period commences “when all mechanical, electrical, and control systems are installed and individual system start-up has been completed, or when a gas turbine is first fired, whichever comes first. . . .” The Commissioning period terminates “when the plant has completed performance testing, is available for commercial operation, and has initiated sales to the power exchange.” Permit, at page 34.

²⁴The purpose of Condition 22, as stated by the District, is to allow for limited “excursions above the emission limit that could potentially occur under unforeseen circumstances beyond [the Facility’s] control.” This is the rationale for the three hour averaging period for transient, non-steady state conditions rather than the one hour averaging period of Condition 21(b) for all other periods.

Facility document response actions taken during periods of heightened air pollution. The District's Regulation 4 establishes control and advisory procedures for large air emission sources when specified levels of ambient air contamination have been reached and prescribes certain abatement actions to be implemented by each air source when action alert levels of air pollution are reached. OCE recommended that the District require recordkeeping in the title V permit to "insure that the stipulated abatement strategies [of Regulation 4] are implemented during air pollution events," and the District appeared to agree to such a recommendation in its Response to Comments. Although the recordkeeping suggested by Petitioners would be helpful, Petitioners have not shown that it is required by title V, the SIP, or any federal regulation, and therefore, this failure to include it is not a basis for objecting to the permit.

The Part 70 regulations set the minimum standard for inclusion of monitoring and recordkeeping requirements in title V permits. See 40 CFR § 70.6(a)(3). These provisions require that each permit contain "periodic monitoring sufficient to yield reliable data from the relevant time period that are representative of the source's compliance with the permit" where the applicable requirement does not require periodic testing or instrumental or noninstrumental monitoring (which may consist of recordkeeping designed to serve as monitoring). 40 CFR § 70.6(a)(3)(i)(B). There may be limited cases in which the establishment of a regular program of monitoring and/or recordkeeping would not significantly enhance the ability of the permit to reasonably assure compliance with the applicable requirement and where the status quo (i.e., no monitoring or recordkeeping) could meet the requirements of 40 CFR § 70.6(a)(3). Such is the case here.

Air pollution alert events occur infrequently, and therefore, compliance with Regulation 4 is a minimal part of the source's overall compliance with SIP requirements. More importantly, Regulation 4-303 abatement requirements mostly impose a ban on direct burning or incineration during air pollution alert events, activities which are unlikely to occur at a gas-fired power plant such as the Facility and in any case are easy to monitor by District inspectors. The other Regulation 4-303 requirements are mostly voluntary actions to be taken by the sources, such as reduction in use of motor vehicles, and therefore do not require compliance monitoring or recordkeeping to assure compliance. Since the activities regulated by Regulation 4 are unlikely to occur at the Facility, and compliance is easily verified by District inspectors, recordkeeping is not necessary to assure compliance with Regulation 4. Therefore, further recordkeeping requirements sought by the Petitioners are not required by 40 CFR § 70.6(a)(3).

The second change sought by the Petitioners is to add language to Condition 36 clarifying why certain pollutants, such as NO_x emissions, are exempt from mass emission calculations. On page 3 of the District's Response to Comments, the District explained that the NO_x emissions are exempt from the mass emission calculations because they are measured directly through CEMS monitoring, whereas the other pollutant emissions subject to the calculations do not have equivalent CEMS monitoring. Though this clarification is helpful, it does not need to be incorporated into the title V permit itself. Therefore, its non-inclusion in the Permit does not provide a basis for an EPA objection to the Permit. To the extent that such

clarifying language is important, it should be included in the statement of basis, however. Since the District will be drafting a statement of basis for the Los Medanos Permit due to the partial granting of the Petition, we recommend that the clarifying language for Condition 36 be included in the newly drafted statement of basis.

Though we hope that permitting authorities would generally fulfill commitments made to the public, we find that the Petitioners' fifth claim does not provide a basis for an objection to the Los Medanos Permit for the reasons described above. The mere fact that the District committed to make certain changes, yet did not follow through on those commitments, does not provide a basis for an objection to a title V permit. Petitioners have provided no other reason why the agreed upon changes must be made to the permit beyond the District's commitments. I accordingly deny Petitioners' request to veto the permit on these grounds.

IV. CONCLUSION

For the reasons set forth above and pursuant to Section 505(b)(2) of the Clean Air Act, I am granting the Petitioners' request that the Administrator object to the issuance of the Los Medanos Permit with respect to the statement of basis issue and am denying the Petition with respect to the other allegations.

May 24, 2004
Date

_____/S/_____
Michael O. Leavitt
Administrator

BEFORE THE ADMINISTRATOR
UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

In the Matter of Valero Refining Co
Benicia, California Facility

Petition No. IX-2004-07

Major Facility Review Permit
Facility No. B2626
Issued by the Bay Area Air Quality
Management District

ORDER RESPONDING TO
PETITIONER'S REQUEST THAT THE
ADMINISTRATOR OBJECT TO
ISSUANCE OF A STATE OPERATING
PERMIT

**ORDER DENYING IN PART AND GRANTING IN PART
A PETITION FOR OBJECTION TO PERMIT**

On December 7, 2004, the Environmental Protection Agency ("EPA") received a petition ("Petition") from Our Children's Earth Foundation ("OCE" or "Petitioner") requesting that the EPA Administrator object to the issuance of a state operating permit from the Bay Area Air Quality Management District ("BAAQMD" or "District") to Valero Refining Co. to operate its petroleum refinery located in Benicia, California ("Permit"), pursuant to title V of the Clean Air Act ("CAA" or "the Act"), 42 U.S.C. §§ 7661-7661f, CAA §§ 501-507, EPA's implementing regulations in 40 C.F.R. Part 70 ("Part 70"), and the District's approved Part 70 program. *See* 66 Fed. Reg. 63503 (Dec. 7, 2001).

Petitioner requested EPA object to the Permit on several grounds. In particular, Petitioner alleged that the Permit failed to properly require compliance with applicable requirements pertaining to, *inter alia*, flares, cooling towers, process units, electrostatic precipitators, and other waste streams and units. Petitioner identified several alleged flaws in the Permit application and issuance, including a deficient Statement of Basis. Finally, Petitioners alleged that the permit impermissibly lacked a compliance schedule and failed to include monitoring for several applicable requirements.

EPA has now fully reviewed the Petitioner's allegations pursuant to the standard set forth in section 505(b)(2) of the Act, which places the burden on the petitioner to "demonstrate[] to the Administrator that the permit is not in compliance" with the applicable requirements of the Act or the requirements of part 70, *see also* 40 C.F.R. § 70.8(c)(1), and I hereby respond to them by this Order. In considering the allegations, EPA reviewed the Permit and related materials and information provided by the Petitioner in the Petition.¹ Based on this review, I partially deny and

¹On March 7, 2005 EPA received a lengthy (over 250 pages, including appendices), detailed submission from Valero Refining Company regarding this Petition. Due to the fact that Valero Refining Company made its submission very shortly before EPA's settlement agreement deadline for responding to the Petition and the size of the

partially grant the Petitioner's request that I object to issuance of the Permit for the reasons described below.

I. STATUTORY AND REGULATORY FRAMEWORK

Section 502(d)(1) of the Act calls upon each State to develop and submit to EPA an operating permit program to meet the requirements of title V. In 1995, EPA granted interim approval to the title V operating permit program submitted by BAAQMD. 60 Fed. Reg. 32606 (June 23, 1995); 40 C.F.R. Part 70, Appendix A. Effective November 30, 2001, EPA granted full approval to BAAQMD's title V operating permit program. 66 Fed. Reg. 63503 (Dec. 7, 2001.).

Major stationary sources of air pollution and other sources covered by title V are required to apply for an operating permit that includes applicable emission limitations and such other conditions as are necessary to assure compliance with applicable requirements of the Act. See CAA §§ 502(a) and 504(a). The title V operating permit program does not generally impose new substantive air quality control requirements (which are referred to as "applicable requirements"), but does require permits to contain monitoring, recordkeeping, reporting, and other compliance requirements when not adequately required by existing applicable requirements to assure compliance by sources with existing applicable emission control requirements. 57 Fed. Reg. 32250, 32251 (July 21, 1992). One purpose of the title V program is to enable the source, EPA, permitting authorities, and the public to better understand the applicable requirements to which the source is subject and whether the source is meeting those requirements. Thus, the title V operating permits program is a vehicle for ensuring that existing air quality control requirements are appropriately applied to facility emission units and that compliance with these requirements is assured.

Under section 505(a) of the Act and 40 C.F.R. § 70.8(a), permitting authorities are required to submit all operating permits proposed pursuant to title V to EPA for review. If EPA determines that a permit is not in compliance with applicable requirements or the requirements of 40 C.F.R. Part 70, EPA will object to the permit. If EPA does not object to a permit on its own initiative, section 505(b)(2) of the Act and 40 C.F.R. § 70.8(d) provide that any person may petition the Administrator, within 60 days of the expiration of EPA's 45-day review period, to object to the permit. Section 505(b)(2) of the Act requires the Administrator to issue a permit objection if a petitioner demonstrates that a permit is not in compliance with the requirements of the Act, including the requirements of Part 70 and the applicable implementation plan. See, 40 C.F.R. § 70.8(c)(1); *New York Public Interest Research Group, Inc. v. Whitman*, 321 F.3d 316, 333 n.11 (2d Cir. 2003). Part 70 requires that a petition must be "based only on objections to the

submission, EPA was not able to review the submission itself, nor was it able to provide the Petitioner an opportunity to respond to the submission. Although the Agency previously has considered submissions from permittees in some instances where EPA was able to fully review the submission and provide the petitioners with a chance to review and respond to the submissions, time did not allow for either condition here. Therefore, EPA did not consider Valero Refining Company's submission when responding to the Petition via this Order.

permit that were raised with reasonable specificity during the public comment period. . . , unless the petitioner demonstrates that it was impracticable to raise such objections within such period, or unless the grounds for such objection arose after such period.” 40 C.F.R. § 70.8(d). A petition for objection does not stay the effectiveness of the permit or its requirements if the permit was issued after the expiration of EPA’s 45-day review period and before receipt of an objection. If EPA objects to a permit in response to a petition and the permit has been issued, the permitting authority or EPA will modify, terminate, or revoke and reissue such a permit using the procedures in 40 C.F.R. §§ 70.7(g)(4) or (5)(i) and (ii) for reopening a permit for cause.

II. PROCEDURAL BACKGROUND

A. Permitting Chronology

BAAQMD held its first public comment period for the Valero permit, as well as BAAQMD’s other title V refinery permits from June through September 2002.² BAAQMD held a public hearing regarding the refinery permits on July 29, 2002. From August 5 to September 22, 2003, BAAQMD held a second public comment period for the permits. EPA’s 45-day review of BAAQMD’s initial proposed permits ran concurrently with this second public comment period, from August 13 to September 26, 2003. EPA did not object to any of the proposed permits under CAA section 505(b)(1). The deadline for submitting CAA section 505(b)(2) petitions was November 25, 2003. EPA received petitions regarding the Valero Permit from Valero Refining Company and from Our Children’s Earth Foundation. EPA also received section 505(b)(2) petitions regarding three of BAAQMD’s other refinery permits.

On December 1, 2003, BAAQMD issued its initial title V permits for the Bay Area refineries, including the Valero facility. On December 12, 2003, EPA informed the District of EPA’s finding that cause existed to reopen the refinery permits because the District had not submitted proposed permits to EPA as required by title V, Part 70 and BAAQMD’s approved title V program. *See* Letter from Deborah Jordan, Director, Air Division, EPA Region 9 to Jack Broadbent, Air Pollution Control Officer, Bay Area Air Quality Management District, dated December 12, 2003. EPA’s finding was based on the fact that the District had substantially revised the permits in response to public comments without re-submitting proposed permits to EPA for another 45-day review. As a result of the reopening, EPA required BAAQMD to submit to EPA new proposed permits allowing EPA an additional 45-day review period and an opportunity to object to a permit if it failed to meet the standards set forth in section 505(b)(1).

On December 19, 2003, EPA dismissed all of the section 505(b)(2) petitions seeking objections to the refinery permits as unripe because of the just-initiated reopening process. *See e.g.*, Letters from Deborah Jordan, Director, Air Division, EPA Region 9, to John T. Hansen,

²There are a total of five petroleum refineries in the Bay Area: Chevron Products Company’s Richmond refinery, ConocoPhillips Company’s San Francisco Refinery in Rodeo, Shell Oil Company’s Martinez Refinery, Tesoro Refining and Marketing Company’s Martinez refinery, and Valero Refining Company’s Benicia facility.

Pillsbury Winthrop, LLP (representing Valero) and to Marcelin E. Keever, Environmental Law and Justice Clinic, Golden Gate University School of Law (representing Our Children's Earth Foundation and other groups) dated December 19, 2003. EPA also stated that the reopening process would allow the public an opportunity to submit new section 505(b)(2) petitions after the reopening was completed. In February 2004, three groups filed challenges in the United States Court of Appeals for the Ninth Circuit regarding EPA's dismissal of their section 505(b)(2) petitions. The parties resolved this litigation by a settlement agreement under which EPA agreed to respond to new petitions (i.e., those submitted after EPA's receipt of BAAQMD's re-proposed permits, such as this Petition) from the litigants by March 15, 2005. *See* 69 Fed. Reg. 46536 (Aug. 3, 2004).

BAAQMD submitted a new proposed permit for Valero to EPA on August 26, 2004; EPA's 45-day review period ended on October 10, 2004. EPA objected to the Valero Permit under CAA section 505(b)(1) on one issue: the District's failure to require adequate monitoring, or a design review, of thermal oxidizers subject to EPA's New Source Performance Standards and National Emission Standards for Hazardous Air Pollutants.

B. Timeliness of Petition

The deadline for filing section 505(b)(2) petitions expired on December 9, 2004. EPA finds that the Petition was submitted on December 7, 2004, which is within the 60-day time frame established by the Act and Part 70. EPA therefore finds that the Petition is timely.

III. ISSUES RAISED BY PETITIONER

A. Compliance with Applicable Requirements

Petitioner alleges that EPA must object to the Permit on the basis of alleged deficiencies Petitioner claims EPA identified in correspondence with the District dated July 28, August 2, and October 8, 2004. Petitioner alleges that EPA and BAAQMD engaged in a procedure that allowed issuance of a deficient Permit. Petition at 6-10. EPA disagrees with Petitioner that it was required to object to the Permit under section 505(b)(1) or that it followed an inappropriate procedure during its 45-day review period.

As a threshold matter, EPA notes that Petitioner's claims addressed in this section are limited to a mere paraphrasing of comments EPA provided to the District in the above-referenced correspondence. Petitioner did not include in the Petition any additional facts or legal analysis to support its claims that EPA should object to the Permit. Section 505(b)(2) of the Act places the burden on the petitioner to "demonstrate[] to the Administrator that the permit is not in compliance" with the applicable requirements of the Act or the requirements of part 70. *See also* 40 C.F.R. § 70.8(c)(1); *NYPIRG*, 321 F.3d at 333 n.11. Furthermore, in reviewing a petition to object to a title V permit because of an alleged failure of the permitting authority to meet all procedural requirements in issuing the permit, EPA considers whether the petitioner has

demonstrated that the permitting authority's failure resulted in, or may have resulted in, a deficiency in the content of the permit. *See* CAA § 505(b)(2); *see also* 40 C.F.R. § 70.8(c)(1); *In the Matter of Los Medanos Energy Center*, at 11 (May 24, 2004) ("*Los Medanos*"); *In the Matter of Doe Run Company Buick Mill and Mine*, Petition No. VII-1999-001, at 24-25 (July 31, 2002) ("*Doe Run*"). Petitioner bears the burden of demonstrating a deficiency in the permit whether the alleged flaw was first identified by Petitioner or by EPA. *See* 42 U.S.C. § 7661d(b)(2). Because this section of the Petition is little more than a summary of EPA's comments on the Permit, with no additional information or analysis, it does not demonstrate that there is a deficiency in the Permit.

1. EPA's July 28 and August 2, 2004 Correspondence

Petitioner overstates the legal significance of EPA's correspondence to the District dated July 28 and August 2, 2004. This correspondence, which took place between EPA and the District during the permitting process but before BAAQMD submitted the proposed Permit to EPA for review, was clearly identified as "issues for discussion" and did not have any formal or legal effect. Nonetheless, EPA is addressing the substantive aspects of Petitioner's allegation regarding the applicability and enforceability of provisions relating to 40 C.F.R. § 60.104(a)(1) in Section III.G.1.

2 Attachment 2 of EPA's October 8, 2004 Letter

EPA's letter to the District dated October 8, 2004 contained the Agency's formal position with respect to the proposed Permit. *See* Letter from Deborah Jordan, Director, Air Division, EPA Region 9 to Jack Broadbent, Air Pollution Control Officer, BAAQMD, dated October 8, 2004 ("EPA October 8, 2004 Letter"). Attachment 2 of the letter requested the District to review whether the following regulations and requirements were appropriately handled in the Permit:

- Applicability of 40 C.F.R. Part 63, Subpart CC to flares
- Applicability of Regulation 8-2 to cooling towers
- Applicability of NSPS Subpart QQQ to new process units
- Applicability of NESHAP Subpart FF to benzene waste streams according to annual average water content
- Compliance with NESHAP Subpart FF for benzene waste streams
- Parametric monitoring for electrostatic precipitators

EPA and the District agreed that this review would be completed by February 15, 2005 and that the District would solicit public comment for any necessary changes by April 15, 2005. Contrary to Petitioner's allegation, EPA's approach to addressing these uncertainties was appropriate. The Agency pressed the District to re-analyze these issues and obtained the District's agreement to follow a schedule to bring these issues to closure. EPA notes again that the Petition itself provides no additional factual or legal analysis that would resolve these applicability issues and demonstrate that the Permit is indeed lacking an applicable requirement

Progress in resolving these issues is attributable solely to the mechanism set in place by EPA and the District.

EPA has received the results of BAAQMD's review, *see*, Letter from Jack Broadbent, Air Pollution Control Officer, BAAQMD, to Deborah Jordan, Director, Air Division, EPA Region 9, dated February 15, 2005 ("BAAQMD February 15, 2005 Letter"), and is making the following findings.

a. Applicability of 40 C.F.R. Part 63, Subpart CC to Flares

This issue is addressed in Section III.H

b. Cooling Tower Monitoring

This issue is addressed at Section III.G.3

Applicability of NSPS Subpart QQQ to New Process Units

Petitioner claims EPA determined that the Statement of Basis failed to discuss the applicability of NSPS Subpart QQQ for two new process units at the facility.

In an applicability determination for Valero's sewer collection system (S-161), the District made a general reference to two new process units that had been constructed since 1987, the date after which constructed, modified, or reconstructed sources became subject to New Source Performance Standard ("NSPS") Subpart QQQ. The District further indicated that process wastewater from these units is hard-piped to an enclosed system. However, the District did not discuss the applicability of Subpart QQQ for these units or the associated piping. As a result, it was not clear whether applicable requirements were omitted from the proposed Permit.

In response to EPA's request for more information on this matter, the District stated in a letter dated February 15, 2005¹ that the process units are each served by separate storm water and sewer systems. The District has concluded that the storm water system is exempt from Subpart QQQ pursuant to 40 C.F.R. 60.692-1(d)(1). However, with regard to the sewer system, the District stated the following:

The second sewer system is the process drain system that contains oily water waste streams. This system is "hard-piped" to the slop oil system where the wastewater is separated and sent to the sour water stripper. From the sour water stripper, the wastewater [is] sent directly to secondary treatment in the WWTP where it is processed in the Biox units.

¹See Letter from Jack Broadbent, Executive Office/APCO, Bay Area Air Quality Management District to Deborah Jordan, Director, Air Division, EPA Region 9.

The District will review the details of the new process drain system and determine the applicable standards. A preliminary review indicates that, since this system is hard-piped with no emissions, the new process drain system may have been included in the slop oil system, specifically S-81 and/or S104. If this is the case, Table IV-J33 will be reviewed and updated, as necessary, to include the requirements of the new process drain system.

The District's response indicates that the Permit may be deficient because it may lack applicable requirements. Therefore, EPA is granting Petitioner's request to object to the Permit. The District must determine what requirements apply to the new process drain system and add any applicable requirements to the Permit as appropriate.

d. Management of Non-aqueous Benzene Waste Streams Pursuant to 40 C.F.R. Part 61, Subpart FF

Petitioner claims that EPA identified an incorrect applicability determination regarding benzene waste streams and NESHAP Subpart FF. Referencing previous EPA comments, Petitioner notes that the restriction contained in 40 C.F.R. § 61.342(c)(1) was ignored by the District in the applicability determination it conducted for the facility.

The Statement of Basis for the proposed Permit included an applicability determination for Valero's Sewer Pipeline and Process Drains, which stated the following:

Valero complies with FF through 61.342(e)(2)(i), which allows the facility 6 Mg/yr of uncontrolled benzene waste. Thus, facilities are allowed to choose whether the benzene waste streams are controlled or uncontrolled as long as the uncontrolled stream quantities total less than 6 Mg/yr...Because the sewer and process drains are uncontrolled, they are not subject to 61.346, the standards for individual drain systems.

In its October 8, 2004 letter, EPA raised concerns over this applicability determination due to the District's failure to discuss the control requirements in 40 C.F.R. § 61.342(c)(1). Under the chosen compliance option, only wastes that have an average water content of 10% or greater may go uncontrolled (see 40 C.F.R. § 61.342(e)(2)) and it was not clear from the applicability determination that the emission sources met this requirement. In response to EPA's request for more information on this matter, the BAAQMD stated in its February 15, 2005 letter, "In the Revision 2 process, the District will determine which waste streams at the refineries are non-aqueous benzene waste streams. Section 61.342(e)(1) will be added to the source-specific tables for any source handling such waste. The District has sent letters to the refineries requesting the necessary information."

The District's response indicates that the Permit may be deficient because it may lack an applicable requirement, specifically Section 61.342(c)(1). Therefore, EPA is granting Petitioner's request to object to the Permit. The District must reopen the Permit to add Section

61.342(e)(1) to the source-specific tables for all sources that handle non-aqueous benzene waste streams or explain in the Statement of Basis why Section 61.342(e)(1) does not apply.

e. 40 C.F.R. Part 61, Subpart FF - 6BQ Compliance Option

Referencing EPA's October 8, 2004 letter, Petitioner claims that EPA identified an incorrect applicability determination regarding the 6BQ compliance option for benzene waste streams under 40 C.F.R. § 61.342(e). Petitioner claims that this should have resulted in an objection by EPA.

The EPA comment referenced by Petitioner is issue #12 in Attachment 2 of the Agency's October 8, 2004 letter to the BAAQMD. In that portion of its letter, EPA identified incorrect statements regarding the wastes that are subject to the 6 Mg/yr limit under 40 C.F.R. § 61.342(e)(2)(i). Specifically, the District stated that facilities are allowed to choose whether the benzene waste streams are controlled or uncontrolled as long as the uncontrolled stream quantities total less than 6 Mg/yr. In actuality, the 6 Mg/yr limit applies to all aqueous benzene wastes (both controlled and uncontrolled).

The fundamental issues raised by the EPA October 8, 2004 Letter were 1) whether or not the refineries are in compliance with the requirements of the benzene waste operations NESHAP, and 2) the need to remove the incorrect language from the Statement of Basis. The first issue is a matter of enforcement and does not necessarily reflect a flaw in the Permit. Absent information indicating that the refinery is actually out of compliance with the NESHAP, there is no basis for an objection by EPA. The second issue has already been corrected by the District. In response to EPA's comment, the District revised the Statement of Basis to state that the 6 Mg/yr limit applies to the benzene quantity in the total aqueous waste stream. See December 16, 2004 Statement of Basis at 26. Therefore, EPA is denying Petitioner's request to object to the Permit. However, in responding to this Petition, EPA identified additional incorrect language in the Permit. Specifically, Table VII-Refinery states, "Uncontrolled benzene <6 megagrams/year." See Permit at 476. As discussed above, this is clearly inconsistent with 40 C.F.R. § 61.342(e)(2). In addition, Table IV-Refinery contains a similar entry that states, "Standards: General; [Uncontrolled] 61.342(e)(2) Waste shall not contain more than 6.0 Mg/yr benzene." See Permit at 51. As a result, under a separate process, EPA is reopening the Permit pursuant to its authority under 40 C.F.R. § 70.7(g) to require that the District fix this incorrect language.

f. Parametric Monitoring for Electrostatic Precipitators

Petitioner claims EPA found that the Permit contains deficient particulate monitoring for sources that are abated by electrostatic precipitators (ESPs) and that are subject to limits under SIP-approved District Regulations 6-310 and 6-311. Petitioner requests that EPA object to the Permit to require appropriate monitoring.

BAAQMD Regulation 6-310 limits particulate matter emissions to 0.15 grains per dry

standard cubic foot, and Regulation 6-311 contains a variable limit based on a source's process weight rate. Because Regulation 6 does not contain monitoring provisions, the District relied on its periodic monitoring authority to impose monitoring requirements on sources S-5, S-6, and S-10 to ensure compliance with these standards. See 40 C.F.R. § 70.6(a)(3)(i)(B); BAAQMD Reg. 6-503; BAAQMD Manual of Procedures, Vol. III, Section 4.6. For sources S-5 and S-6, the Permit requires annual source tests for both emission limits. For S-10, the Permit requires an annual source test to demonstrate compliance with Regulation 6-310 but no monitoring is required for Regulation 6-311.

With regard to monitoring for Regulation 6-311 for source S-10, the Permit is inconsistent with the Statement of Basis. The final Statement of Basis indicates that Condition 19466, Part 9 should read, "The Permit Holder shall perform an annual source test on Sources S-5, S-6, S-8, S-10, S-11, S-12, S-176, S-232, S-233 and S-237 to demonstrate compliance with Regulation 6-311 (PM mass emissions rate not to exceed 4.10P0.67 lb/hr)." See December 16, 2004 Statement of Basis at 84. However, Part 9 of Condition 19466 in the Permit states that the monitoring requirement only applies to S-5 and S-6. December 16, 2004 Permit at 464. In addition, Table VII-B1 states that monitoring is not required. Therefore, EPA is granting Petitioner's request to object to the Permit as it pertains to monitoring S-10 for compliance with Regulation 6-311. The District must reopen the Permit to add monitoring requirements adequate to assure compliance with the emission limit or explain in the Statement of Basis why it is not needed.

Regarding the annual source tests for sources S-5, S-6, and S-10, EPA believes that an annual testing requirement is inadequate in the absence of additional parametric monitoring because proper operation and maintenance of the ESPs is necessary in order to achieve compliance with the emission limits. In the BAAQMD February 15, 2005 Letter, the District stated that it intends to "propose a permit condition requiring the operator to conduct an initial compliance demonstration that will establish a correlation between opacity and particulate emissions." Thus, EPA concludes the Permit does not meet the Part 70 standard that it contain periodic monitoring sufficient to yield reliable data from the relevant time period that are representative of the source's compliance. See 40 C.F.R. § 70.6(a)(3)(i)(B). Therefore, EPA is granting Petitioner's request to object to the Permit. At a minimum, the Permit must contain monitoring which yields data that are representative of the source's compliance with its permit terms and conditions.

3. Attachment 3 of EPA's October 8, 2004 Letter

Attachment 3 of EPA's October 8, 2004 Letter memorialized the District's agreement to address two issues related to the Valero Permit. One issue pertains to applicability determinations for support facilities. EPA does not have adequate information demonstrating that the Valero facility has support facilities, nor has Petitioner provided any such information. EPA therefore finds no basis to object to the Permit and denies the Petition as to this issue.

The second issue pertains to the removal of a permit shield from BAAQMD Regulation 8-2. EPA has reviewed the most recent version of the Permit and determined that the shield was removed. Therefore, EPA is denying Petitioner's request to object to the permit as this issue is moot.

B Permit Application

Applicable Requirements

Petitioner alleges that EPA must object to the Permit because it contains unresolved applicability determinations due to "deficiencies in the application and permit process" as identified in Attachment 2 to EPA's October 8, 2004 letter to the District.

During EPA's review of the Permit, BAAQMD asserted that, notwithstanding any alleged deficiencies in the application and permit process, the Permit sufficiently addressed these items or the requirements were not applicable. EPA requested that the District review some of the determinations of adequacy and non-applicability that it had already made. EPA believes that this process has resulted in improved applicability determinations. Petitioners have failed to demonstrate that such a generalized allegation of "deficiencies in the application and permit process" actually resulted in or may have resulted in a flaw in the Permit. Therefore, EPA denies the Petition on this basis.

2. Identification of Insignificant Sources

Petitioner contends that the permit application failed to list insignificant sources, resulting in a "lack of information ... [that] inhibits meaningful public review of the Title V permit." Petitioner further contends that, contrary to District permit regulations, the application failed to include a list of all emission units, including exempt and insignificant sources and activities, and failed to include emissions calculations for each significant source or activity. Petitioner lastly alleges that the application lacked an emissions inventory for sources not in operation during 1993.

Under Part 70, applications may not omit information needed to determine the applicability of, or to impose, any applicable requirement, or to evaluate a required fee amount. 40 C.F.R. § 70.5(c). Emission calculations in support of the above information are required. 40 C.F.R. § 70.5(c)(3)(viii). An application must also include a list of insignificant activities that are exempted because of size or production rate. 40 C.F.R. § 70.5(c).

District Regulation 2-6-405.4 requires applications for title V permits to identify and describe "each permitted source at the facility" and "each source or other activity that is exempt from the requirement to obtain a permit . . ." EPA's Part 70 regulations, which prescribe the minimum elements for approvable state title V programs, require that applications include a list of insignificant sources that are exempted on the basis of size or production rate. 40 C.F.R.

§ 70.5(c). EPA's regulations have no specific requirement for the submission of emission calculations to demonstrate why an insignificant source was included in the list.

Petitioner makes no claim that the Permit inappropriately exempts insignificant sources from any applicable requirements or that the Permit omits any applicable requirements. Similarly, Petitioner makes no claim that the inclusion of emission calculations in the application would have resulted in a different permit. Because Petitioner failed to demonstrate that the alleged flaw in the permitting process resulted in, or may have resulted in, a deficiency in the permit, EPA is denying the Petition on this ground.

EPA also denies Petitioner's claim because Petitioner fails to substantiate its generalized contention that the Permit is flawed. The Statement of Basis unambiguously explains that Section III of the Permit, *Generally Applicable Requirements*, applies to all sources at the facility, including insignificant sources:

This section of the permit lists requirements that generally apply to all sources at a facility including insignificant sources and portable equipment that may not require a District permit....[S]tandards that apply to insignificant or unpermitted sources at a facility (e.g., refrigeration units that use more than 50 pounds of an ozone-depleting compound), are placed in this section.

Thus, all insignificant sources subject to applicable requirements are properly covered by the Permit.

Petitioner also fails to explain how meaningful public review of the Permit was "inhibited" by the alleged lack of a list of insignificant sources from the permit application.⁴ We find no permit deficiency otherwise related to missing insignificant source information in the Permit application.

In addition, Petitioner fails to point to any defect in the Permit as a consequence of any missing significant emissions calculations in the permit application. The Statement of Basis for Section IV of the Permit states, "This section of the Permit lists the applicable requirements that apply to permitted or significant sources." Therefore, all significant sources and activities are properly covered by the Permit.

With respect to a missing emissions inventory for sources not in operation during 1993, Petitioner again fails to point to any resultant flaw in the Permit. These sources are appropriately addressed in the Permit.

For the foregoing reasons, EPA is denying the Petition on these issues

⁴ In another part of the Petition, addressed below, Petitioner argues that the District's delay in providing requested information violated the District's public participation procedures approved to meet 40 C.F.R. § 70.7.

3. Identification of Non-Compliance

Petitioner argues that the District should have compelled the refinery to identify non-compliance in the application and provide supplemental information regarding non-compliance during the application process prior to issuance of the final permit on December 1, 2003. In support, Petitioner cites the section of its Petition (III.D.) alleging that the refinery failed to properly update its compliance certification.

Title V regulations do not require an applicant to supplement its application with information regarding non-compliance,⁵ unless the applicant has knowledge of an incorrect application or of information missing from an application. Pursuant to 40 C.F.R. § 70.5(c)(8)(i) and (iii)(C), a standard application form for a title V permit must contain, *inter alia*, a compliance plan that describes the compliance status of each source with respect to all applicable requirements and a schedule of compliance for sources that are not in compliance with all applicable requirements at the time the permit issues. Section 70.5(b), *Duty to supplement or correct application*, provides that any applicant who fails to submit any relevant facts, or who has submitted incorrect information, in a permit application, shall, upon becoming aware of such failure or incorrect submission, promptly submit such supplemental or corrected information. In addition, Section 70.5(c)(5) requires the application to include “[o]ther specific information that may be necessary to implement and enforce other applicable requirements ... or to determine the applicability of such requirements.”

Petitioner does not show that the refinery had failed to submit any relevant facts, or had submitted incorrect information, in its 1996 initial permit application. Consequently, the duty to supplement or correct the permit application described at 40 C.F.R. § 70.5(b) has not been triggered in this case.

Moreover, EPA disagrees that the requirement of 40 C.F.R. § 70.5(c)(5) requires the refinery to update compliance information in this case. The District is apprised of all new information arising after submittal of the initial application – such as NOV’s, episodes and complaints – that may bear on the implementation, enforcement and/or applicability of applicable requirements. In fact, the District has an inspector assigned to the plant to assess compliance at least on a weekly basis. Therefore, it is not necessary to update the application with such information, as it is already in the possession of the District. Petitioner has failed to demonstrate that the alleged failure to update compliance information in the application resulted in, or may have resulted in, a deficiency in the Permit. For the foregoing reasons, EPA denies the Petition on this issue.

C. Assurance of Compliance with All Applicable Requirements Pursuant to the Act, Part 70 and BAAQMD Regulations

⁵ As discussed *infra*, title V regulations also do not require permit applicants to update their compliance certifications pending permit issuance.

1 Compliance Schedule

In essence, Petitioner claims that the District's consideration of the facility's compliance history during the title V permitting process was flawed because the District decided not to include a compliance schedule in the Permit despite a number of NOVs and other indications, in Petitioner's view, of compliance problems, and the District did not explain why a compliance schedule is not necessary. Specifically, Petitioner alleges that EPA must object to the Permit because the "District ignored evidence of recurring or ongoing compliance problems at the facility, instead relying on limited review of outdated records, to conclude that a compliance schedule is unnecessary." Petition at 11-19. Petitioner further alleges that a compliance schedule is necessary to address NOVs issued to the plant (including many that are still pending)⁶, one-time episodes⁷ reported by the plant, recurring violations and episodes at certain emission units, complaints filed with the District, and the lack of evidence that the violations have been resolved. The relief sought by Petitioner is for the District to include "a compliance schedule in the Permit, or explain why one was not necessary." *Id.* Petitioner additionally charges that, due to the facility's poor compliance history, additional monitoring, recordkeeping and reporting requirements are warranted to assure compliance with all applicable requirements. *Id.*

Section 70.6(c)(3) requires title V permits to include a schedule of compliance consistent with Section 70.5(c)(8). Section 70.5(c)(8) prescribes the requirements for compliance schedules to be submitted as part of a permit application. For sources that are not in compliance with applicable requirements at the time of permit issuance, compliance schedules must include "a schedule of remedial measures, including an enforceable sequence of actions with milestones, leading to compliance." 40 C.F.R. § 70.5(c)(8)(iii)(C). The compliance schedule should "resemble and be at least as stringent as that contained in any judicial consent decree or administrative order to which the source is subject." *Id.*

In determining whether an objection is warranted for alleged flaws in the procedures leading up to permit issuance, such as Petitioner's claims that the District improperly considered the facility's compliance history, EPA considers whether a Petitioner has demonstrated that the alleged flaws resulted in, or may have resulted in, a deficiency in the permit's content. See CAA § 505(b)(2) (requiring an objection "if the petitioner demonstrates ... that the permit is not in compliance with the requirements of this Act..."). In Petitioner's view, the deficiency that resulted here is the lack of a compliance schedule. For the reasons explained below, EPA grants

⁶BAAQMD Regulation 1:401 provides for the issuance of NOVs: "Violation Notice: A notice of violation or citation shall be issued by the District for all violations of District regulations and shall be delivered to persons alleged to be in violation of District regulations. The notice shall identify the nature of the violation, the rule or regulation violated, and the date or dates on which said violation occurred."

⁷According to BAAQMD, "episodes" are "reportable events, but are not necessarily violations." Letter from Adan Schwartz, Senior Assistant Counsel, BAAQMD to Gerardo Rios, EPA Region IX, dated January 31, 2005.

the Petition to require the District to address in the Permit's Statement of Basis the NOV's that the District has issued to the facility and, in particular, NOV's that have not been resolved because they may evidence noncompliance at the time of permit issuance. EPA denies the Petition as to Petitioner's other compliance schedule issues.

a. Notices of Violation

In connection with its claim that the Permit is deficient because it lacks a compliance schedule, Petitioner states that the District issued 85 NOV's to Valero between 2001 and 2004 and 51 NOV's in 2003 and 2004. Petitioner highlights that, as of October 22, 2004, all 51 NOV's issued in 2003 and 2004 were unresolved and still "pending." Petition at 14-15. To support its claims, Petitioner attached to the Petition various District compliance reports and summaries, including a list of NOV's issued between January 1, 2003 and October 1, 2004. Thus, Petitioner essentially claims that the District's consideration of these NOV's during the title V permitting process was flawed, because the District did not include a compliance schedule in the Permit and did not explain why a compliance schedule is not necessary.

As noted above, EPA's Part 70 regulations require a compliance schedule for "applicable requirements for sources that are not in compliance with those requirements at the time of permit issuance." 40 C.F.R. §§ 70.6(c)(3), 70.5(c)(8)(iii)(C). Consistent with these requirements, EPA has stated that a compliance schedule is not necessary if a violation is intermittent, not on-going, and has been corrected before the permit is issued. *See In the Matter of New York Organic Fertilizer Company*, Petition Number II-2002-12 at 47-49 (May 24, 2004). EPA has also stated that the permitting authority has discretion not to include in the permit a compliance schedule where there is a pending enforcement action that is expected to result in a compliance schedule (i.e., through a consent order or court adjudication) for which the permit will be eventually reopened. *See In the Matter of Huntley Generating Station*, Petition Number II-2002-01, at 4-5 (July 31, 2003); *see also In the Matter of Dunkirk Power, LLC*, Petition Number II-2002-02, at 4-5 (July 31, 2003).⁸

Using the District's own enforcement records, Petitioner has demonstrated that approximately 50 NOV's were pending before the District at the time it proposed the revised Permit. The District's most recent statements, as of January 2005, do not dispute this fact.⁹ The

⁸These orders considered whether a compliance schedule was necessary to address (i) opacity violations for which the source had included a compliance schedule with its application; and (ii) PSD violations that the source contested and was litigating in federal district court. As to the uncontested opacity violations, EPA required the permitting authority to reopen the permits to either incorporate a compliance schedule or explain that a compliance schedule was not necessary because the facility was in compliance. As to the contested PSD violations, EPA found that "[i]t is entirely appropriate for the [state] enforcement process to take its course" and for a compliance schedule to be included only after the adjudication has been resolved.

⁹As stated in a letter from Adan Schwartz, Senior Assistant Counsel, BAAQMD, to Gerardo Rios, Air Division, U.S. EPA Region 9, dated January 31, 2005, "The District is following up on each NOV to achieve an appropriate resolution, which will likely entail payment of a civil penalty." EPA provided a copy of this letter to

permitting record shows that the District issued the initial Permit on December 1, 2003 and the revised Permit on December 16, 2004. According to the District, the facility did not have noncompliance issues at the time it issued the initial and revised permits. The permitting record contains the following statements:

- July 2003 Statement of Basis, “Compliance Schedule” section: “The BAAQMD Compliance and Enforcement Division has conducted a review of compliance over the past year and has no records of compliance problems at this facility.” July 2003 Statement of Basis at 12.

July 2003 Statement of Basis, “Compliance Status” section: “The Compliance and Enforcement Division has prepared an Annual Compliance Report for 2001. . . The information contained in the compliance report has been evaluated during the preparation of the Statement of Basis for the proposed major Facility Review permit. The main purpose of this evaluation is to identify ongoing or recurring problems that should be subject to a schedule of compliance. No such problems have been identified.” July 2003 Statement of Basis at 35. This section also noted that the District issued eight NOV’s to the refinery in 2001, but did not discuss any NOV’s issued to the refinery in 2002 or the first half of 2003. EPA notes that there appear to have been approximately 36 NOV’s issued during that time, each of which is identified as pending in the documentation provided by Petitioner.

December 16, 2004 Statement of Basis: “The facility is not currently in violation of any requirement. Moreover, the District has updated its review of recent violations and has not found a pattern of violations that would warrant imposition of a compliance schedule.” December 2004 Statement of Basis at 34.

2003 Response to Comments (“RTC”) (from Golden Gate University): “The District’s review of recent NOV’s failed to reveal any evidence of current ongoing or recurring noncompliance that would warrant a compliance schedule.” 2003 RTC (GGU) at 1.

EPA finds that the District’s statements at the time it issued the initial and revised Permits do not provide a meaningful explanation for the lack of a compliance schedule in the Permit. Using the District’s own enforcement records, Petitioner has demonstrated that there were approximately 50 unresolved NOV’s at the time the revised Permit was issued in December 2004. The District’s statements in the permitting record, however, create the impression that no NOV’s were pending at that time. Although the District acknowledges that there have been “recent violations,” the District fails to address the fact that it had issued a significant number of NOV’s to the facility and that many of the issued NOV’s were still pending. Moreover, the District provides only a conclusory statement that there are no ongoing or recurring problems that

could be addressed with a compliance schedule and offers no explanation for this determination. The District's statements give no indication that it actually reviewed the circumstances underlying recently issued NOV's to determine whether a compliance schedule was necessary. The District's mostly generic statements as to the refinery's compliance status are not adequate to support the District's decision that no compliance schedule was necessary in light of the NOV's.¹⁰

Because the District failed to include an adequate discussion in the permitting record regarding NOV's issued to the refinery, and, in particular, those that were pending at the time the Permit was issued, and an explanation as to why a compliance schedule is not required, EPA finds that Petitioner has demonstrated that the District's consideration of the NOV's during the title V permitting process may have resulted in a deficiency in the Permit. Therefore, EPA is granting the Petition to require the District to either incorporate a compliance schedule in the Permit or to provide a more complete explanation for its decision not to do so.

When the District reopens the Permit, it may consider EPA's previous orders in the Huntley, Dunkirk, and New York Organic Fertilizer matters to make a reasonable determination that no compliance schedule is necessary because (i) the facility has returned to compliance; (ii) the violations were intermittent, did not evidence on-going non-compliance, and the source was in compliance at the time of permit issuance; or (iii) the District has opted to pursue the matter through an enforcement mechanism and will reopen the permit upon a consent agreement or court adjudication of the noncompliance issues. Consistent with previous EPA orders, the District must also ensure that the permit shield will not serve as a bar or defense to any pending enforcement action.¹¹ See *Huntley* and *Dunkirk* Orders at 5.

b. Episodes

Petitioner also cites the number of "episodes" at the plant in the years 2003 and 2004 as a basis for requiring a compliance schedule. Episodes are events reported by the refinery of equipment breakdown, emission excesses, inoperative monitors, pressure relief valve venting, or other facility failures. Petition at 15, n. 21. According to the District, "[e]pisodes are reportable events, but are not necessarily violations. The District reviews each reported episode. For those that represent a violation, an NOV is issued." Letter from Adan Schwartz, Senior Assistant Counsel, BAAQMD to Gerardo Rios, EPA Region IX, dated January 31, 2005. The summary chart entitled "BAAQMD Episodes" attached to the Petition shows that the District specifically

¹⁰In contrast, EPA notes that the state permitting authority in the Huntley and Dunkirk Orders provided a thorough record as to the existence and circumstances regarding the pending NOV's by describing them in detail in the permits and acknowledging the enforcement issues in the public notices for the permits. Huntley at 6, Dunkirk at 6. In addition, EPA found that the permits contained "sufficient safeguards" to ensure that the permit shields would not preclude appropriate enforcement actions. *Id.*

¹¹After reviewing the permit shield in the Permit, EPA finds nothing in it that could serve as a defense to enforcement of the pending NOV's. The District, however, should still independently perform this review when it reopens the Permit.

records for each episode, under the heading "Status," its determination for each episode: (i) no action; (ii) NOV issued; (iii) pending; and (iv) void. This document supports the District's statement that it reviews each episode to see whether it warrants an NOV. Because not every episode is evidence of noncompliance, the number of episodes is not a compelling basis for determining whether a compliance schedule is necessary. Moreover, Petitioner did not provide additional facts, other than the summary chart, to demonstrate that any reported episodes are violations. EPA therefore finds that Petitioner has not demonstrated that the District's consideration of the various episodes may have resulted in a deficiency in the Permit, and EPA denies the Petition as to this issue.

c. Repeat Violations and Episodes at Particular Units

Petitioner claims that certain units at the plant are responsible for multiple episodes and violations, "possibly revealing serious ongoing or recurring compliance issues." Petition at 16. The Petition then cites, as evidence, the existence of 16 episodes and 8 NOVs for the FCCU Catalytic Regenerator (S-5), 9 episodes and 4 NOVs for a hot furnace (S-220), 9 episodes and 2 NOVs for the Heat Recovery Steam Generator (S-1031), and 3 episodes and 2 NOVs for the South Flare (S-18).

A close examination of the BAAQMD Episodes chart relied upon by Petitioner, however, reveals that the failures identified for these episodes and NOVs are actually quite distinct from one another, often covering different components and regulatory requirements. This fact makes sense as emission and process units at refineries tend to be very complex with multiple components and multiple applicable requirements. When determining whether a compliance schedule is necessary for ongoing violations at a particular emission unit based on multiple NOVs issued for that unit, it would be reasonable for a permitting authority to consider whether the violations pertain to the same component of the emission unit, the cause of the violations is the same, and the cause has not been remedied through the District's enforcement actions. Again, Petitioner has failed to demonstrate that the District's consideration of the various repeat episodes and alleged violations may have resulted in a deficiency in the Permit. EPA therefore denies the Petition as to this issue.

d. Complaints

Petitioner contends that the "numerous complaints" received by the District between 2001 and 2004 also lay a basis for the need for a compliance schedule. These complaints were generally for odor, smoke or other concerns. As with the episodes discussed above, the mere existence of a complaint does not evidence a regulatory violation. Moreover, where the District has verified certain complaints, it has issued an NOV to address public nuisance issues. As such, even though complaints may indicate problems that need additional investigation, they do not necessarily lay the basis for a compliance schedule. Because Petitioner has not demonstrated that the complaints received by the District may have resulted in a deficiency in the Permit, EPA denies the Petition as to this issue.

e. Allegation that Problems are not Resolved

Petitioner proposes three “potential solutions to ensure compliance:” (1) the District should address recurring compliance at specific emission units, namely S-5, S-220 and S-1030, (2) the District should impose additional maintenance or installation of monitoring equipment, or new monitoring methods to address the 30 episodes involving inoperative monitors; and (3) the District should impose additional operational and maintenance requirements to address recurring problems since the source is not operating in compliance with the NSPS requirement to maintain and operate the facility in a manner consistent with good air pollution control practice for minimizing emissions. Petition at 18-19.

In regard to Petitioner’s first claim for relief, EPA has already explained that Petitioner has not demonstrated that the District’s consideration of the various ‘recurring’ violations for particular emission units may have resulted in a deficient permit or justifies the imposition of a compliance schedule. In regard to the second claim for relief, the 30 episodes cited by Petitioner are for different monitors, and spread over a multi-year period. As long as the District seeks prompt corrective action upon becoming aware of inoperative monitors, EPA does not see this as a basis for additional maintenance and monitoring requirements for the monitors. Moreover, EPA could only require additional monitoring requirements to the extent that the underlying SIP or some other applicable requirement does not already require monitoring. *See* 40 C.F.R. § 70.6(a)(3)(i)(B). Lastly, in response to Petitioner’s third claim for relief seeking imposition of additional operation and maintenance requirements due to an alleged violation of the “good air pollution control practice” requirements of the NSPS, EPA believes that such an allegation of noncompliance is too speculative to warrant a compliance schedule without further investigation. As such, EPA finds that Petitioner has not demonstrated that the District’s failure to include any of the permit requirements Petitioner requests here resulted in, or may have resulted in, a deficient permit, and EPA denies the Petition on this ground.

2. Non-Compliance Issues Raised by Public Comments

Petitioner claims that since the District failed to resolve New Source Review (“NSR”)¹² compliance issues, EPA should object to the issuance of the Permit and require either a compliance schedule or an explanation that one is not necessary. Petition at 21. Petitioner claims to have identified four potential NSR violations at the refinery, as follows: (i) an apparent substantial rebuild of the fluid catalytic cracking unit (“FCCU”) regenerator (S-5) without NSR review,¹³ based on information that large, heavy components of the FCCU were recently

¹² “NSR” is used in this section to include both the nonattainment area New Source Review permit program and the attainment area Prevention of Significant Deterioration (“PSD”) permit program.

¹³ Petitioner also alleges that S-5 went through a rebuild without imposition of emission limitations and other requirements of 40 C.F.R. § 63 Subpart UUU. EPA notes that the requirements of Subpart UUU are included in the Permit with a future effective date of April 11, 2005. Permit at 80.

replaced; (ii) apparent emissions increases at two boiler units (S-3 and S-4) beyond the NSR significance level for modified sources of NO_x, based on the District's emissions inventory indicating dramatic increases in NO_x emissions between 1993 and 2001; and (iii) an apparent significant increase in SO₂ emissions at a coker burner (S-6), based on the District's emissions inventory indicating a dramatic increase in SO₂ emissions in 2001 over the highest emission rate during 1993 to 2000.¹⁴ Petition at 20.

All sources subject to title V must have a permit to operate that assures compliance by the source with all applicable requirements. *See* 40 C.F.R. § 70.1(b); CAA §§ 502(a), 504(a). Such applicable requirements include the requirement to obtain NSR permits that comply with applicable NSR requirements under the Act, EPA regulations, and state implementation plans. *See generally* CAA §§ 110(a)(2)(C), 160-69, 172(c)(5), and 173; 40 C.F.R. §§ 51.160-66 and 52.21. NSR requirements include the application of the best available control technology ("BACT") to a new or modified source that results in emissions of a regulated pollutant above certain legally-specified amounts.¹⁵

Based on the information provided by Petitioner, Petitioner has failed to demonstrate that NSR permitting and BACT requirements have been triggered at the FCCU catalytic regenerator S-5, boilers S-3 or S-4, or coke burner S-6. With regard to the FCCU catalytic regenerator, Petitioner's only evidence in support of its claim is (i) an April 8, 1999, Energy Information Administration press release that states that the refinery announced the shutdown of its FCCU on March 19, 1999, and announced the restarting of the FCCU on April 1, 1999,¹⁶ and (ii) information posted at the Web site of Surface Consultants, Inc., stating that "several large, heavy components on [the FCCU] needed replacement." *See* Petition, Exhibit A. Petitioner offers no evidence regarding the nature of these activities, whether the activities constitute a new or modified source under the NSR rules, or whether refinery emissions were in any way affected

¹⁴ Petitioner also takes issue with the District's position that "the [NSR] preconstruction review rules themselves are not applicable requirements, for purposes of Title V." (Petition, at 21; December 2003 Consolidated Response to Comments ("CRTC") at 6-7). Applicable requirements are defined in the District's Regulation 2-6-202 as "[a]ir quality requirements with which a facility must comply pursuant to the District's regulations, codes of California statutory law, and the federal Clean Air Act, including all applicable requirements as defined in 40 C.F.R. § 70.2." Applicable requirements are defined in 40 C.F.R. § 70.2 to include "any standard or other requirement provided for in the applicable implementation plan approved or promulgated by EPA through rulemaking under title I of the Act that implements the relevant requirements of the Act...." Since the District's NSR rules are part of its implementation plan, the NSR rules themselves are applicable requirements for purposes of title V. Since this point has little relevance to the matter at hand (i.e., whether in this case the NSR rules apply to a particular new or modified source at the refinery), EPA views the District's position as *obiter dictum*.

¹⁵ The Act distinguishes between the requirement to apply BACT, which is part of the PSD permit program for attainment areas, and the requirement to apply the lowest achievable emission rate ("LAER"), which is part of the NSR permit program for nonattainment areas. In this case, however, the District's NSR rules use the term "BACT" to signify "LAER."

¹⁶ This press release is available on the Internet at <http://www.eia.doe.gov/ncic/press/press123.html> (last viewed on February 1, 2005).

by these activities

With regard to the two boilers and the coke burner, Petitioner's only evidence in support of its claims are apparent "dramatic" increases in each of these unit's emissions inventory. However, as the District correctly notes:

"...the principal purpose of the inventory is planning; the precision needed for this purpose is fairly coarse. The inventory emissions are based, in almost all cases, on *assumed* emission factors, and *reported* throughputs. An increase in emissions from one year to the next as reflected in the inventory may be an indication that reported throughput has increased, however it does not automatically follow that the source has been modified. Unless the throughput exceeds permit limits, the increase usually represents use of previously unused, but authorized, capacity. An increase in reported throughput amount could be taken as an indication that further investigation is appropriate to determine whether a modification has occurred. However, the District would not conclude that a modification has occurred simply because reported throughput has increased."

December 1, 2003 Consolidated Response to Comments ("2003 CRTC"), at 22. Moreover, Petitioner does not claim to have sufficient evidence to establish that these units are subject to NSR permitting and the application of BACT. The essence of Petitioner's objection is the need for the District to "determine whether the sources underwent a physical change or change in the method of operation that increased emissions, which would trigger NSR." Petition at 20. Not only is Petitioner unable to establish that these units triggered NSR requirements, Petitioner is not even alleging that NSR requirements have in fact been triggered. Petitioner is merely requesting that the District make an NSR applicability determination based on Petitioner's "well-documented *concerns regarding potential non-compliance*." Petition at 20 (*emphasis added*).

During the title V permitting process, EPA has also been pursuing similar types of claims in another forum. As part of its National Petroleum Refinery Initiative, EPA identified four of the Act's programs where non-compliance appeared widespread among petroleum refiners, including apparent major modifications to FCCUs and refinery heaters and boilers that resulted in significant increases in NO_x and SO₂ emissions without complying with NSR requirements. However, based on the information provided by Petitioner, EPA is not prepared to conclude at this time that these units at the Valero refinery are out of compliance with NSR requirements. If EPA later determines that these units are in violation of NSR requirements, EPA may object to or reopen the title V permit to incorporate the applicable NSR requirements.¹⁷

Since Petitioner has failed to show that NSR requirements apply to these units, EPA finds

¹⁷ EPA notes that with respect to the specific claims of NSR violations raised by Petitioner in its comments, the District "intends to follow up with further investigation." December 1, 2003 CRTC, at 22. EPA encourages the District to do so, especially where, as in this case, the apparent changes in the emissions inventories are substantial.

that Petitioner has not met its burden of demonstrating a deficiency in the Permit. Therefore, the Petition is denied on this issue.

3. Intermittent and Continuous Compliance

Petitioner contends that EPA must object to the Permit because the District has interpreted the Act to require only intermittent rather than continuous compliance. Petition at 21-22. Petitioner contends that the District has a “fundamentally flawed philosophy.” Petitioner points to a statement made by the District in its Response to Public Comments, dated December 1, 2003, that “[c]ompliance by the refineries with all District and federal air regulations will not be continuous.” Petitioner contends that the District “expects only intermittent compliance” and that the District’s belief “that it need only assure ‘reasonable intermittent’ compliance” means that it failed to see the need for a compliance plan in the Permit.

EPA disagrees with Petitioner’s suggestion that the District’s view of intermittent compliance has impaired its ability to properly implement the title V program. As stated above, EPA has not concluded that a compliance plan is necessary to address the instances of non-compliance at this Facility. Moreover, the Agency disagrees with Petitioner’s interpretations of the District’s comments on the issue. For instance, EPA finds nothing in the record stating that the District’s view of the Permit, as a legal matter, is that it need assure only intermittent compliance. Rather, a fairer reading of the District’s view is that, realistically, intermittent non-compliance can be expected. As the District stated:

The District cannot rule out that instances of non-compliance will occur. Indeed at a refinery, at least occasional events of non-compliance can be predicted with a high degree of certainty. . . . Compliance by the refineries with all District and federal air regulations will not be continuous. However, the District believes the compliance record at this [Shell] and other refineries is well within a range to predict reasonable intermittent compliance. December 1, 2003 RTC at 15.

The District’s view appears to be based on experience and the practical reality that complex sources with thousands of emission points which are subject to hundreds of local and federal requirements will find themselves out of compliance, not necessarily because their permits are inadequate but because of the limits of technology and other factors. Even a source with a perfectly-drafted permit – one that requires state of the art monitoring, scrupulous recordkeeping, and regular reporting to regulatory agencies – may find itself out of compliance, not because the permit is deficient, but because of the limitations of technology and other factors.

EPA also believes that, far from sanctioning intermittent compliance, as Petitioner suggests, see Petition at 22, n. 36, the District appears committed to address it through enforcement of the Permit, when appropriate: “when non-compliance occurs, the Title V permit will enhance the ability to detect and enforce against those occurrences.” *Id.* Although the District may realistically expect instances of non-compliance, it does not necessarily excuse

them. Non-compliance may still constitute a violation and may be subject to enforcement action

For the reasons stated above, EPA denies the Petition on this ground

4. Compliance Certifications

Initial compliance certifications must be made by all sources that apply for a title V permit at the time of the permit application. *See* 40 C.F.R. § 70.5(c)(9). The Part 70 regulations do not require applicants to update their compliance certification pending issuance of the permit. Petitioner correctly points out that the District's Regulation 2-6-426 requires annual compliance certifications on "every anniversary of the application date" until the permit is issued. Petitioner claims that, other than a truncated update in 2003, the plant has failed to provide annual certifications between the initial permit application submittal in 1996 and issuance of the permit in December 2004. Petitioner believes that "defects in the compliance certification procedure have resulted in deficiencies in the Permit." Petition at 24.

In determining whether an objection is warranted for alleged flaws in the procedures leading up to permit issuance, including compliance certifications, EPA considers whether the petitioner has demonstrated that the alleged flaws resulted in, or may have resulted in, a deficiency in the permit's content. *See* CAA Section 505(b)(2) (objection required "if the petitioner demonstrates ... that the permit is not in compliance with the requirements of this Act, including the requirements of the applicable [SIP]"); 40 C.F.R. § 70.8(c)(1); *See also In the Matter of New York Organic Fertilizer Company*, Petition No. II-2002-12 (May 24, 2004), at 9. Petitioner assumes, in making its argument, that the District needs these compliance certifications to adequately review compliance for the facility. This is not necessarily true. Sources often certify compliance based upon information that has already been presented to a permitting authority or based upon NOVs or other compliance documents received from a permitting authority. The requirement for the plant to submit episode and other reports means that the District should be privy to all of the information available to the source pertaining to compliance, regardless of whether compliance certifications have been submitted annually. Finally, the District has a dedicated employee assigned as an inspector to the plant who visits the plant weekly and sometimes daily. In this particular instance, the compliance certification would likely not add much to the District's knowledge about the compliance status of the plant. EPA believes that in this case, Petitioner has failed to demonstrate that the lack of a proper initial compliance certification, or the alleged failure to properly update that initial compliance certification, resulted in, or may have resulted in, a deficiency in the permit.

D. Statement of Basis

Petitioner alleges that the Statements of Basis for the Permit issued in December 2003 and for the revised Permit, as proposed in August 2004, are inadequate. Specifically, Petitioner alleges the following deficiencies:

Neither Statement of Basis contains detailed facility descriptions, including comprehensive process flow information;

- Neither Statement of Basis contains sufficient information to determine applicability of “certain requirements to specific sources.” Petitioner specifically identifies exemptions from permitting requirements that BAAQMD allowed for tanks. Petitioner also references Attachments 2 and 3 to EPA’s October 8, 2004 letter as support for its allegation that the Statements of Basis were deficient because they did not address applicability of 40 C.F.R. Part 63, Subpart CC to flares and BAAQMD Regulation 8-2 to hydrogen plant vents.
- Neither Statement of Basis addresses BAAQMD’s compliance determinations
- The 2003 Statement of Basis was not made available on the District’s Web site during the April 2004 public comment period and does not include information about permit revisions in March and August 2004

The 2004 Statement of Basis does not discuss changes BAAQMD made to the Permit between the public comment period in August 2003 and the final version issued in December 2003, despite the District’s request for public comment on such changes.

EPA’s Part 70 regulations require permitting authorities, in connection with initiating a public comment period prior to issuance of a title V permit, to “provide a statement that sets forth the legal and factual basis for the draft permit conditions.” 40 C.F.R. § 70.7(a)(5). EPA’s regulations do not require that a statement of basis contain any specific elements; rather, permitting authorities have discretion regarding the contents of a statement of basis. EPA has recommended that statements of basis contain the following elements: (1) a description of the facility; (2) a discussion of any operational flexibility that will be utilized at the facility; (3) the basis for applying the permit shield; (4) any federal regulatory applicability determinations; and (5) the rationale for the monitoring methods selected. EPA Region V has also recommended the inclusion of the following: (1) monitoring and operational restrictions requirements; (2) applicability and exemptions; (3) explanation of any conditions from previously issued permits that are not being transferred to the title V permit; (4) streamlining requirements; and (5) certain other factual information as necessary. *See, Los Medanos*, at 10, n.16.

There is no legal requirement that a permitting authority include information such as a specific facility description and process flow diagrams in the Statement of Basis, and Petitioner has not shown how the lack of this information resulted in, or may have resulted in, a deficiency in the Permit. Thus, while a facility description and process flow diagrams might provide useful information, their absence from the Statement of Basis does not constitute grounds for objecting to the Permit.

EPA agrees, in part, that Petitioner has demonstrated the Permit is deficient because the

Statement of Basis does not explain exemptions for certain tanks. This issue is addressed more specifically in Section III.H.3.

EPA agrees with Petitioner's allegation that the Statement of Basis should have included a discussion regarding applicability of 40 C.F.R. Part 63, Subpart CC to flares and BAAQMD Regulation 8-2 to hydrogen plant vents. Applicability determinations are precisely the type of information that should be included in a Statement of Basis. This issue is addressed more specifically in Section III.H.1.

EPA addressed Petitioner's allegations relating to the sufficiency of the discussion in the Statement of Basis on the necessity of a compliance schedule in Section III.C.

EPA does not agree with Petitioner's allegations that the 2003 Statement of Basis was deficient because it was not available on the District's Web site during the 2004 public comment period or because it did not provide information about the 2004 reopening. First, EPA notes that the 2003 Statement of Basis has been available to the public on its own Web site since the initial permit was issued in December, 2003.¹⁸ In addition, Petitioner has not established a legal basis to support its claim that this information is a required element for a Statement of Basis. Petitioner also concedes that the District provided a different Statement of Basis in connection with the 2004 reopening. Petitioner does not claim that the Permit is deficient as a result of any of these alleged issues regarding the Statement of Basis, therefore, EPA denies the Petition on this ground..

EPA does not agree with Petitioner's allegations that the 2004 Statement of Basis was deficient because it did not discuss any changes made between the draft permit available in August 2003 and the final Permit issued in December 2003. Petitioner has not established a legal basis to support its claim that this information is a required element for a Statement of Basis. Petitioner has not demonstrated that the Permit is deficient because the District did not provide this discussion in the 2004 Statement of Basis. Moreover, Petitioner could have obtained much of this information by reviewing the District's response to comments received during the 2003 public comment period, which was dated December 1, 2003. Therefore, EPA denies the Petition on this ground.

E Permit Shields

The District rules allow two types of permit shields. The permit shield types are defined as follows: (1) A provision in a title V permit explaining that specific federally enforceable regulations and standards do not apply to a source or group of sources, or (2) A provision in a title V permit explaining that specific federally enforceable applicable requirements for monitoring, recordkeeping and/or reporting are subsumed because other applicable requirements

¹⁸Title V permits and related documents are available through Region IX's Electronic Permit Submittal System at <http://www.epa.gov/region09/air/permit/index.html>.

for monitoring, recordkeeping, and reporting in the permit will assure compliance with all emission limits. The District uses the second type of permit shield for all streamlining of monitoring, recordkeeping, and reporting requirements in title V permits. The District's Statement of Basis explains: "Compliance with the applicable requirement contained in the permit automatically results in compliance with any subsumed (= less stringent) requirement." See December 2003 Statement of Basis at 27.

40 C.F.R. §§ 60.7(c) and (d)

Petitioner alleges that the permit shield in Table IX B of the Permit (p669-670) improperly subsumes 40 C.F.R. §§ 60.7(c) and (d) under SIP-approved BAAQMD Regulation 1-522.8, and that the Statement of Basis does not sufficiently explain the basis for the shield. Petition at 28.

BAAQMD Regulation 1-522.8 requires that

Monitoring data shall be submitted on a monthly basis in a format specified by the APCO. Reports shall be submitted within 30 days of the close of the month reported on.

Sections 60.7(c) and (d) require very specific reporting requirements that are not required by BAAQMD Regulation 1-522.8. For instance, § 60.7(c)(1) requires that excess emissions reports include the magnitude of excess emissions computed in accordance with § 60.13(h) and any conversion factors used. Section 60.7(d)(1) requires, that the report form contain, among other things, the duration of excess emissions due to startup/shutdown, control equipment problems, process problems, other known causes, and unknown causes and total duration of excess emissions.

The Statement of Basis for Valero contains the following justification for the shield

40 C.F.R. Part, 60 Subpart A CMS reporting requirements are satisfied by BAAQMD 1-522.8 CEMS reporting requirements. See December 2003 Statement of Basis at 31.

EPA agrees with Petitioner that the requirements of 40 C.F.R. §§ 60.7(c) and (d) are not satisfied by BAAQMD Regulation 1-522.8, and that the Statement of Basis does not provide adequate justification for subsuming §§ 60.7(c) and (d). An adequate justification should address *how* the requirements of a subsumed regulation are satisfied by another regulation, not simply that the requirements *are* satisfied by another regulation. .

For the reasons set forth above, EPA is granting the Petition on these grounds. The District must reopen the Permit to include the reporting requirements of §§ 60.7(c) and (d) or adequately explain how they are appropriately subsumed.

2. BAAQMD Regulation 11-7

Petitioner also alleges that the District incorrectly attempted to subsume the State-only requirements of BAAQMD Regulation 11-7 for valves under the requirements of SIP approved BAAQMD Regulation 8-18-404, and states that only a federal requirement may be subsumed in the permit pursuant to BAAQMD Regulation 2-6-233.2. Petition at 29.

Including a permit shield for a subsumed non-federally enforceable regulation has no regulatory significance from a federal perspective because it is not related to whether the permit assures compliance with all Clean Air Act requirements. See 40 C.F.R. 70.2 (defining “applicable requirement”); 70.1(b) (requiring that title V sources have operating permits that assure compliance with all applicable requirements). State only requirements are not subject to the requirements of title V and, therefore, are not evaluated by EPA unless their terms may either impair the effectiveness of the title V permit or hinder a permitting authority’s ability to implement or enforce the title V permit. *In the Matter of Eastman Kodak Company*, Petition No.: II-2003-02, at 37 (Feb. 18, 2005). Therefore, EPA is denying the Petition on this issue.

3. 40 C.F.R. § 60.482-7(g)

Petitioner alleges that a permit shield should not be allowed for federal regulation NSPS Subpart VV, § 60.482-7(g) based upon its being subsumed by SIP-approved BAAQMD Regulation 8-18-404 because the NSPS defines monitoring protocols for valves that are demonstrated to be unsafe to monitor, whereas Regulation 8-18-404 refers to an alternative inspection scheme for leak-free valves. Petitioner states “Because the BAAQMD regulation does not address the same issue as 40 C.F.R. § 60.482-7(g), it cannot subsume the federal requirement.” Petition at 29.

EPA disagrees with Petitioner that the two regulations address different issues. Both regulations address alternative inspection time lines for valves. Regulation 8-18-404 specifically states:

Alternative Inspection Schedule: The inspection frequency for valves may change from quarterly to annually provided all of the conditions in Subsection 404.1 and 404.2 are satisfied.

- 404.1 The valve has been operated leak free for five consecutive quarters;
- 404.2 Records are submitted and approval from the APCO is obtained.
- 404.3 The valve remains leak free. If a leak is discovered, the inspection frequency will revert back to quarterly.

NSPS Subpart VV requires valves to be monitored monthly except, pursuant to § 60.482-7(g), any valve that is designated as unsafe to monitor must only be monitored as frequently as practicable during safe-to-monitor times. In explaining the basis for the shield, the Permit states:

[60.482-7(g)] Allows relief from monthly monitoring if designated as unsafe-to-monitor. BAAQMD Regulation 8-18-404 does not allow this relief. Permit at 644.

BAAQMD is correct that the Regulation 8-18-404 is more stringent than 40 C.F.R § 60.482-7(g). Therefore, EPA is denying the Petition on this issue.

F. Throughput Limits for Grandfathered Sources

Petitioner alleges that EPA should object to the Permit to the extent that throughput limits for grandfathered sources set thresholds below which sources are not required to submit all information necessary to determine whether “new or modified construction may have occurred.” Petitioner also alleges that the thresholds are not “legally correct” and therefore are not reasonably accurate surrogates for a proper NSR baseline determination. Petitioner also argues that EPA should object to the Permit because the existence of the throughput limits, even as reporting thresholds, may create “an improper presumption of the correctness of the threshold” and discourage the District from investigating events that do not trigger the threshold or reduce penalties for NSR violations. Finally, Petitioner also requests that EPA object to the Permit because the District’s reliance on non-SIP Regulation 2-1-234.1 “in deriving these throughput limits” is improper.

The District has established throughput limits on sources that have never gone through new source review (“grandfathered sources”). The Clean Air Act does not require permitting authorities to impose such requirements. Therefore, to understand the purpose of these limits, EPA is relying on the District’s statements characterizing the reasons for, and legal implications of, these throughput limits. The District’s December 2003 CRTC makes the following points regarding throughput limits:

- The throughput limits being established for grandfathered sources will be a useful tool that enhances compliance with NSR. . . . Requiring facilities to report when throughput limits are exceeded should alert the District in a timely way to the possibility of a modification occurring.

The limits now function merely as reporting thresholds rather than as presumptive NSR triggers.

They do not create a baseline against which future increases might be measured (“NSR baseline”). Instead, they act as a presumptive indicator that the equipment has undergone an operational change (even in the absence of a physical change), because the equipment has been operated beyond designed or as-built capacity.

The throughput limits do not establish baselines; furthermore, they do not contravene NSR requirements. The baseline for a modification is determined at the time of

permit review. The proposed limits do not preclude review of a physical modification for NSR implications.

- Throughput limits on grandfathered sources are not federally enforceable.
- The [permits] have been modified to clearly distinguish between limits imposed through NSR and limits imposed on grandfathered sources.

December 1, 2003 RTC at 31-33.

EPA believes the public comments and the District's responses have done much to describe and explain, in the public record, the purpose and legal significance of the District's throughput limits for grandfathered sources. Based on these interactions, EPA has the following responses to Petitioner's allegations.

First, EPA denies the Petition as to the allegation that the thresholds set levels below which the facility need not apply for NSR permits. As the District states, the thresholds do not preclude the imposition of federal NSR requirements. EPA does not see that the throughput limits would shield the source from any requirements to provide a timely and complete application if a construction project will trigger federal NSR requirements.

Second, the Permit itself makes clear that the throughput limits are not to be used for the purpose of establishing an NSR baseline: "Exceedance of this limit does not establish a presumption that a modification has occurred, nor does compliance with the limit establish a presumption that a modification has not occurred." Permit at 4. Therefore, EPA finds no basis to object to the Permit on the ground that the thresholds are not "reasonably accurate surrogates" for an actual NSR baseline, as they clearly and expressly have no legal significance for that purpose.

Third, while EPA shares Petitioner's interest in compliance with NSR requirements, Petitioner's concern that the thresholds might discourage reliance on appropriate NSR baselines to investigate and enforce possible NSR violations is speculative and cannot be the basis of an objection to the Permit.

Fourth, EPA finds that the District's reliance on BAAQMD Regulation 2-1-234.1, which is not SIP-approved, to impose these limits is appropriate. EPA's review of the Permit, however, found a statement suggesting that the District will rely on this non-SIP approved rule to determine whether an NSR modification has occurred. EPA takes this opportunity to remind the District that its NSR permits must meet the requirements of the federally-applicable SIP. *See* CAA 172, 173; 40 C.F.R. § 51. EPA finds no basis, however, to conclude that the Permit is deficient.

G. Monitoring

The lack of monitoring raises an issue as to consistency with the requirement that each permit contain monitoring sufficient to yield reliable data from the relevant time period that are representative of the source's compliance with the permit where the applicable requirement does not require periodic monitoring or testing. See 40 C.F.R. § 70.6(a)(3)(i)(B). EPA has recognized, however, that there may be limited cases in which the establishment of a regular program of monitoring or recordkeeping would not significantly enhance the ability of the permit to assure compliance with an applicable requirement and where the status quo (i.e., no monitoring or recordkeeping) could meet the requirements of 40 C.F.R. § 70.6(a)(3). See, *Los Medanos*, at 16. EPA's consideration of these issues and determinations as to the adequacy of monitoring follow.

1 40 C.F.R. Part 60, Subpart J (NSPS for Petroleum Refineries)

Petitioner makes the following allegations with regard to the treatment of flares under NSPS Subpart J: (i) BAAQMD has not made a determination as to the applicability of NSPS Subpart J to three of the four flares at Valero; (ii) there is no way to tell whether flares qualify for the exemption in NSPS Subpart J because there are no requirements in the Permit to ensure that the flares are operated only in "emergencies;" (iii) the Permit must contain a federally enforceable reporting requirement to verify that each flaring event would qualify for an exemption from the H₂S limit; (iv) the Permit fails to ensure that all other NSPS Subpart J requirements are practically enforceable; and (v) federally enforceable monitoring must be imposed pursuant to 40 C.F.R. §§ 70.6(a)(3)(i)(B) and 70.6(c) and Section 504(c) of the Act to verify compliance with all applicable requirements of Subpart J. Petition at 33.

The New Source Performance Standard (NSPS) for Petroleum Refineries, 40 C.F.R. Part 60, Subpart J, prohibits the combustion of fuel gas containing H₂S in excess of 0.10 gr/dscf at any flare built or modified after June 11, 1973. This prohibition is codified in 40 C.F.R. § 60.104(a)(1). Additionally, 40 C.F.R. §§ 60.105(a)(3-4) requires the use of continuous monitors for flares subject to § 60.104(a)(1). However, the combustion of gases released as a result of emergency malfunctions, process upsets, and relief valve leakage is exempt from the H₂S limit. The draft refinery permits proposed by BAAQMD in February 2004 applied a blanket exemption from the H₂S standard and associated monitoring for about half of the Bay Area refinery flares on the basis that the flares are "not designed" to combust routine releases. The statements of basis for the refinery permits state, however, that at least some of these flares are "physically capable" of combusting routine releases. To help assure that this subset of flares would not trigger the H₂S standard, BAAQMD included a condition in the permits prohibiting the combustion of routine releases at these flares.

Following EPA comments submitted to BAAQMD in April of 2004, BAAQMD revised its approach to the NSPS Subpart J exemption. The permits proposed to EPA in August of 2004 indicate that all flares that are affected units under 60,100 are subject to the H₂S standard, except when they are used to combust process upset gases, and gases released to the flares as a result of relief valve leakages or other malfunctions. However, the permits were not revised to include the

continuous monitors required under §§ 60.105(a)(3) and (4) on the basis that the flares will always be used to combust non-routine releases and thus will never actually trigger the H₂S standard or the requirement to install monitors.

With respect to Petitioner's first allegation, BAAQMD has clearly considered applicability of NSPS Subpart J to flares, and has indicated that NSPS Subpart J applies to one, S-19. Page 16 of the December 2004 Statement of Basis states:

The Benicia Refinery has three separate flare header systems: 1) the main flare gas recovery header with flares S-18 and S-19, 2) the acid gas flare header with flare S-16, and 3) the butane flare header with flare S-17. Flares S-16 and S-18 were placed in service during the original refinery startup in 1968. Flare S-17 was placed in service with the butane tank TK-1726 in 1972. Flare S-19 was added to the main gas recovery header in 1974 to ensure adequate relief capacity for the refinery. S-19 is subject to NSPS Subpart J, because it was a fuel gas combustion device installed after June 11, 1973, the effective date of 60.100(b).

The table on page 18 of the Statement of Basis also directly states that flares S-16, S-17 and S-18 are not subject to NSPS Subpart J. While the Permit would be clearer if BAAQMD included a statement that the flares have not been modified so as to trigger the requirements of NSPS Subpart J, such a statement is not required by title V. Therefore, EPA is denying the Petition on this issue.

However, EPA agrees with Petitioner that the Permit is flawed with respect to issues (ii) and (iii) above. First, the continuous monitoring of §§ 60.105(a)(3) and (4) is not included in the Permit because, BAAQMD claims, flare S-19 is never used in a manner that would trigger the H₂S standard and the requirement to install a continuous monitor. While the Permit does contain District-enforceable only monitoring to show compliance with a federally enforceable condition prohibiting the combustion of routinely-released gases in a flare (20806, #7), there is currently no federally enforceable monitoring requirement in the Permit to demonstrate compliance with this condition or with NSPS Subpart J, both federally enforceable applicable requirements. Because NSPS Subpart J is an applicable requirement, the Permit must contain periodic monitoring pursuant to 40 C.F.R. § 70.6(a)(3)(i)(B) and BAAQMD Reg. 6-503 (BAAQMD Manual of Procedures, Vol. III, Section 4.6) to show compliance with the regulation.

Therefore, EPA is granting the Petition on the basis that the Permit does not assure compliance with NSPS Subpart J, or with federally enforceable permit condition 20806, #7. BAAQMD must reopen the Permit to either include the monitoring under sections 60.105(a)(3) or (4), or, for example, to include adequate federally enforceable monitoring to show compliance with condition 20806, #7.

With respect to issues (iv) and (v), it is unclear what other requirements Petitioner is referring to, or what monitoring Petitioner is requesting. For these reasons, EPA is denying the

Petition on these grounds.

2 Flare Opacity Monitoring

Petitioner notes that flares are subject to SIP-approved BAAQMD Regulation 6-301, which prohibits visible emissions from exceeding defined opacity limits for a period or periods aggregating more than three minutes in any hour. Petitioner alleges that the opacity limit set forth in Regulation 6-301 is not practically enforceable during short-duration flaring events because no monitoring is required for flaring events that last less than fifteen minutes and only limited monitoring is required for events lasting less than thirty minutes. Petitioner alleges that repeated violations of BAAQMD Regulation 6-301 due to short-term flaring could be an ongoing problem that evades detection.

The opacity limit in Regulation 6-301 does not contain periodic monitoring. Because the underlying applicable requirement imposes no monitoring of a periodic nature, the Permit must contain "periodic monitoring sufficient to yield reliable data from the relevant time period that are representative of the source's compliance with the permit . . ." 40 C.F.R. § 70.6(a)(3)(i)(B). Thus, the issue before EPA is whether the monitoring imposed in the Permit will result in reliable and representative data from the relevant time period such that compliance with the Permit can be determined.

In this case, the District has imposed certain monitoring conditions to determine compliance with the opacity standard during flaring events. The Permit defines a "flaring event" as a flow rate of vent gas flared in any consecutive 15 minute period that continuously exceeds 330 standard cubic feet per minute (scfm). Within 15 minutes of detecting a flaring event, the facility must conduct a visible emissions check. The visible emissions check may be done by video monitoring. If the operator can determine there are no visible emissions using video monitoring, no further monitoring is required until another 30 minutes has expired. If the operator cannot determine there are no visible emissions using video monitoring, the facility must conduct either an EPA Reference Method 9 test or survey the flare according to specified criteria. If the operator conducts Method 9 testing, the facility must monitor the flare for at least 3 minutes, or until there are no visible emissions. If the operator conducts the non-Method 9 survey, the facility must cease operation of the flare if visible emissions continue for three consecutive minutes.

Although EPA agrees with Petitioner that the Permit does not require monitoring during short-duration flaring events, EPA does not believe Petitioner has demonstrated that the periodic monitoring is inadequate. For instance, Petitioner has not shown that short-duration flaring events are likely to be in violation of the opacity standard, nor has Petitioner made a showing that short-duration flaring events occur frequently or at all. Thus, Petitioner has not demonstrated that the periodic monitoring in the Permit is insufficient to detect violations of the opacity standard.

Additionally, in June 1999, a workgroup comprised of EPA, CAPCOA and CARB staff completed a set of periodic monitoring recommendations for generally applicable SIP requirements such as Regulation 6-301. The workgroup's relevant recommendation for refinery flares was a visible emissions check "as soon as an intentional or unintentional release of vent gas to a gas flare but no later than one hour from the flaring event." See CAPCOA/CARB/EPA Region IX Periodic Monitoring Memo, June 24, 1999, at 2. In comparison, the periodic monitoring contained in the Permit would appear to be both less stringent, by not requiring monitoring for up to thirty minutes of a release of gas to a flare, and more stringent, by requiring monitoring within 30 minutes rather than one hour. Therefore, EPA encourages the District to amend the Permit to require monitoring upon the release to the flare, rather than delaying monitoring as currently set forth in the Permit.

Finally, EPA notes that the Permit does not prevent the use of credible evidence to demonstrate violations of permit terms and conditions. Even if the Permit does not require visible emissions checks for short-duration flaring events, EPA, the District, and the public may use any credible evidence to bring an enforcement case against the source. 62 Fed. Reg. 8314 (Feb. 24, 1997).

For the reasons cited above, EPA is denying the Petition on this issue.

3 Cooling Tower Monitoring

Petitioner claims that the Permit lacks monitoring conditions adequate to assure that the cooling tower complies with SIP-approved District Regulations 8-2 and 6. Petitioner further alleges that the District's decisions to not require monitoring for the cooling towers is flawed due to its use of AP-42 emission factors, which may not be representative of the actual cooling tower emissions.

a. Regulation 8-2

District Regulation 8-2-301 prohibits miscellaneous operations from discharging into the atmosphere any emission that contains 15 lb per day and a concentration of more than 300 ppm total carbon. Although the underlying applicable requirement does not contain periodic monitoring requirements, the District declined to impose monitoring on source S-29 to assure compliance with the emission limit.¹⁹

The December 1, 2003 Statement of Basis sets forth the grounds for the District's decision that monitoring is not necessary to assure compliance with this applicable requirement. First, the District stated that its monitoring decisions were made by balancing a variety of factors including 1) the likelihood of a violation given the characteristics of normal operation, 2) the degree of variability in the operation and in the control device, if there is one, 3) the potential

¹⁹See Permit, Table VII - C5 Cooling Tower, pp. 541

severity of impact of an undetected violation, 4) the technical feasibility and probative value of indicator monitoring, 5) the economic feasibility of indicator monitoring, and 6) whether there is some other factor, such as a different regulatory restriction applicable to the same operation, that also provides some assurance of compliance with the limit in question. In addition, the District provided calculations that purported to quantify the emissions from the facility's cooling tower. The calculations relied upon water circulation and exhaust airflow rates supplied by the refinery in addition to two AP-42 emission factors. The District found that the calculated emissions were much lower than the regulatory limit and concluded that monitoring was not necessary. Although it is true that the results suggest there may be a large margin of compliance, the nature of the emissions and the unreliability of the data used in the calculations renders them inadequate to support a decision that no monitoring is needed over the entire life of the permit.

An AP-42 emission factor is a value that roughly correlates the quantity of a pollutant released to the atmosphere with an activity associated with the release of that pollutant. The use of these emission factors may be appropriate in some permitting applications, such as establishing operating permit fees. However, EPA has stated that AP-42 factors do not yield accurate emissions estimates for individual sources. See *In the Matter of Cargill, Inc.*, Petition IV-2003-7 (Amended Order) at 7, n.3 (Oct. 19, 2004); *In re: Peabody Western Coal Co.*, CAA Appeal No. 04-01, at 22-26 (EAB Feb. 18, 2005). Because emission factors essentially represent an average of a range of facilities and emission rates, they are not necessarily indicative of the emissions from a given source at all times; with a few exceptions, use of these factors to develop source-specific permit limits or to determine compliance with permit requirements is generally not recommended. The District's reliance on the emission factors in making its monitoring decision is therefore problematic.

Atmospheric emissions from the cooling towers include fugitive VOCs and gases that are stripped from the cooling water as the air and water come into contact. In an attempt to develop a conservative estimate of the emissions, the District used the emission factor for "uncontrolled sources." For these sources, AP-42 Table 5.1.2 estimates the release of 6 lb of VOCs per million gallons of circulated water. This emission factor carries a "D" rating, which means that it was developed from a small number of facilities, and there may be reason to suspect that the facilities do not represent a random or representative sample of the industry. In addition, this rating means that there may be evidence of variability within the source population. In this case the variability stems from the fact that 1) contaminants enter the cooling water system from leaks in heat exchangers and condensers, which are not predictable, and 2) the effectiveness of cooling tower controls is itself highly variable, depending on refinery configuration and existing maintenance practices.²⁰ It is this variability that renders the emission factor incapable of assuring continued compliance with the applicable standard over the lifetime of the permit. For all practical purposes, a single emission factor that was developed to represent long-term average emissions can not forecast the occurrence and size of leaks in a collection of heat exchangers and is therefore not predictive of compliance at any specific time.

²⁰ AP 42, Fifth Edition, Volume I, Chapter 5

EPA has previously stated that annual reporting of NOx emissions using an equation that uses current production information, along with emission factors based on prior source tests, was insufficient to assure compliance with an emission unit's annual NOx standard. Even when presented with CEMs data which showed that actual NOx emissions for each of five years were consistently well below the standard, EPA found that a large margin of compliance alone was insufficient to demonstrate that the NOx emissions would not change over the life of the permit. *See In the Matter of Fort James Camas Mill*, Petition No. X-1999-1, at 17-18, (December 22, 2000).

Consistent with its findings in regard to the Fort James Camas Mill permit, EPA finds in this instance that the District failed to demonstrate that a one-time calculation is representative of ongoing compliance with the applicable requirement, especially considering the unpredictable nature of the emissions and the unreliability of the data used in the calculations. Therefore, under the authority of 40 C.F.R. § 70.6(a)(3)(i)(B), EPA is granting Petitioner's request to object to the Permit as the request pertains to cooling tower monitoring for District Regulation 8-2-301.

As an alternative to meeting the emission limitation cited in Section 8-2-301, facilities may operate in accordance with an exemption under Section 8-2-114, which states, "emissions from cooling towers...are exempt from this Rule, provided best modern practices are used." As a result, in lieu of adding periodic monitoring requirements adequate to assure compliance with the emission limit in Section 8-2-301, the District may require the Statement of Basis to include an applicability determination with respect to Section 8-2-114 and revise the Permit to reflect the use of best modern practices.

b. Regulation 6

BAAQMD SIP-approved Regulation 6 contains four particulate matter emissions standards for which Petitioner objects to the absence of monitoring. The District's decision for each standard is discussed separately below.

(1) Regulation 6-310

BAAQMD Regulation 6-310 limits the emissions from the cooling tower to 0.15 grains per dry standard cubic foot. Appendix G of the December 1, 2003 Statement of Basis sets forth the grounds for the District's decision that monitoring is not necessary to assure compliance with this requirement. Specifically, Appendix G provides calculations for the particulate matter emissions from the cooling tower and compares the expected emission rate to the regulatory limit. In calculating the emissions, the District used the PM-10 emission factor of 0.019 lb per 1000 gal circulating water from Table 13.4-1 of AP-42. The calculations show that the emissions are expected to be approximately 180 times lower than the emission limit. As a result, the District concluded that periodic monitoring is not necessary to assure compliance with the standard.

Petitioner alleges that these calculations do not adequately justify the District's decision because the AP-42 emission factor used carries an E rating, which means that it is of poor quality. As a result, Petitioner claims it is unlikely that the calculated emissions based on this factor are representative of the actual cooling tower emissions.

Petitioner is correct that the emission factor used by the District has an E rating. However, EPA disagrees that this rating alone is sufficient to conclude that the emission factor is not representative of the emissions from the cooling towers at the refinery. PM-10 emissions from cooling towers are generated when drift droplets evaporate and leave fine particulate matter formed by crystallization of dissolved solids. Particulate matter emission estimates can be obtained by multiplying the total liquid drift factor by the total dissolved solids (TDS) fraction in the circulating water. The AP-42 emission factor used by the District is based on a drift rate of 0.02% of the circulating water flow and a TDS content of approximately 12,000 ppm. With regard to both parameters, the District indicated in the December 1, 2003 Statement of Basis that the emission factor yielded a higher estimate of the emissions than the actual drift and TDS data that was supplied by the refineries. Therefore, EPA believes that the District's reliance on this emission factor does not demonstrate a deficiency in the Permit.²¹

EPA notes that the emission factor's poor rating is due in part to the variability associated with cooling tower drift and TDS data. As discussed in the Statement of Basis, the degree to which the emissions may vary was taken into account when considering the ability of the emission factor to demonstrate compliance with the emission limit. With respect to the drift, EPA believes that the emission factor is conservatively high compared to the 0.0005% drift rate that cooling towers are capable of achieving. Where TDS are concerned, AP-42 indicates that the dissolved solids content may range from 380 ppm to 91,000 ppm. While the emission factor represents a TDS concentration at the lower end of this spectrum, increases in the TDS content do not significantly increase the grain loading due to the large exhaust air flow rates exiting the cooling towers. Even assuming that the TDS concentration reached 91,000 ppm, the calculated emissions are still approximately 22 times lower than the regulatory limit.²²

The District has provided sufficient evidence to demonstrate that the emissions will not vary by a degree that would cause an exceedance of the standard. Given the representative air flow and water circulation rates supplied by the refinery, compliance with the applicable requirement is expected under conditions (i.e., maximum TDS content) that represent a reasonable upper bound of the emissions. Therefore, EPA is denying Petitioner's request to object to the Permit as it pertains to periodic monitoring for Regulation 6-310.

²¹ Although EPA stated above in the discussion for Regulation 8-2 that AP-42 emission factors are generally not recommended for use in determining compliance with emission limits, there are exceptions. Data supplied by the refineries indicates that the AP-42 emission factor for PM-10 conservatively estimates the actual cooling tower emissions; as discussed further below, compliance with the limit is expected under conditions that represent a reasonable upper bound on the emissions.

²² Again, this is assuming a drift rate of 0.02%.

(2) Regulation 6-31

BAAQMD Regulation 6-311 states that no person shall discharge particulate matter into the atmosphere at a rate in excess of that specified in Table 1 of the Rule for the corresponding process weight rate. Assuming the process weight rate for the cooling tower remains at or above the maximum level specified in Table 1, the rule establishes a maximum emission rate of 40 lb/hr. Unlike for Regulation 6-310, the District provided no justification for its decision to not require monitoring to assure compliance with this limit.

Using the PM-10 emission factor cited by the District in its calculations for Regulation 6-310, EPA estimates the emissions from S-29 to be in excess of 40 lb/hr. While the District stated that the emission factor represents a more conservative estimate of the emissions than the actual data provided by the refineries, it did not say how conservative the factor is. As a result, the District's monitoring decision is unsupported by the record and EPA finds that the Permit fails to meet the Part 70 standard that it contain periodic monitoring sufficient to yield reliable data that are representative of the source's compliance with its terms. *See* 40 C.F.R. § 70.6(a)(3)(i)(B). Therefore, EPA is granting Petitioner's request to object to the Permit. The Permit must include periodic monitoring adequate to assure compliance with BAAQMD Regulation 6-311. *See* 40 C.F.R. § 70.6(a)(3)(i)(B).

(3) Regulation 6-305

BAAQMD Regulation 6-305 states that, "a person shall not emit particles from any operation in sufficient number to cause annoyance to any other person... This Section 6-305 shall only apply if such particles fall on real property other than that of the person responsible for the emission." Nuisance requirements such as this may be enforced by EPA and the District at any time and there is no practical monitoring program that would enhance the ability of the permit to assure compliance with the applicable requirement. Therefore, EPA is denying Petitioner's request to object to the Permit as it pertains to monitoring for BAAQMD Regulation 6-305.

(4) Regulation 6-301

BAAQMD Regulation 6-301 states that a person shall not emit from any source for a period or periods aggregating more than three minutes in any hour, a visible emission which is as dark or darker than No. 1 on the Ringelmann Chart. While the Statement of Basis does not contain a justification for the District's decision that monitoring is not required for this standard, the District stated the following in response to public comments: "The District has prepared an analysis based on the AP-42 factors for particulate, which are very conservative, and has indeed determined that 'it is virtually impossible for cooling towers to exceed visible or grain loading limitations.' The calculations show that the particulate grain loading is a hundredth or less than the 0.15 gr/dscf standard due to the large airflows. When the grain loading is so low, visible emissions are not expected." 2003 CRTC at 59. EPA finds the District's assessment of the visible emissions to be reasonable and that Petitioner has not demonstrated otherwise. Therefore,

EPA is denying Petitioner's request to object to the Permit as it pertains to monitoring for BAAQMD Regulation 6-301.

4. Monitoring of Pressure Relief Valves

Petitioner alleges that the Permit must include additional monitoring to assure that all pressure relief valves at the facility are in compliance with the requirements of SIP-approved District Regulation 8-28 (Episodic Releases from Pressure Relief Valves). Petition at 36.

Regulation 8-28 requires that within 120 days of the first "release event" at a facility, the facility shall equip each pressure relief device of that source with a tamperproof tell-tale indicator that will show that a release has occurred since the last inspection. Regulation 8-28 also requires that a release event from a pressure relief device be reported to the APCO on the next working day following the venting. Petitioner states that neither the regulation nor the Permit includes any monitoring requirements to ensure that the first release event of a relief valve would ever be recorded, and that available tell-tale indicators or another objective monitoring method should be required for all pressure relief valves at the refinery, regardless of a valve's release event status.

First, EPA believes that the requirement that a facility report all release events to the District is adequate to ensure that the first release event would be recorded. EPA also notes that the refinery is subject to the title V requirement to certify compliance with all applicable requirements, including Regulation 8-28. See 40 C.F.R. § 70.6(c)(5). Thus, EPA does not have a basis to determine that the reporting requirement would not assure compliance with the applicable requirement at issue.

For the reasons stated above, EPA is denying the Petition on this issue

5. Additional Monitoring Problems Identified by Petitioner

Petitioner claims that several sources with federally enforceable limits under BAAQMD Regulation 6 do not have monitoring adequate to assure compliance. The sources and limits at issue are discussed separately below.

Sulfur Storage Pit (S-157) / BAAQMD Regulations 6-301 and 6-310

BAAQMD Regulation 6 contains two particulate matter emissions standards for which Petitioner objects to the absence of monitoring. Specifically, BAAQMD Regulation 6-301 limits visible emissions to less than Ringelmann No. 1 and Regulation 6-310 limits the emissions to 0.15 gr. per dscf. Although Regulation 6 does not contain periodic monitoring requirements for either of the standards, the District declined to impose monitoring on this source.

The December 1, 2003 Statement of Basis provides the District's justification for not

requiring monitoring. Specifically, the District stated, "Source is capable of exceeding visible emissions or grain loading standard only during process upset. Under such circumstances, other indicators will alert the operator that something is wrong." See December 1, 2003 Statement of Basis, n. 4, at 23. If the source is not capable of exceeding the emission standards at times other than process upsets, it is reasonable that the District would not require regularly scheduled monitoring during normal operations. However, if, as stated by the District, S-157 is capable of exceeding the emission standards during process upsets, monitoring during those periods may be necessary. While the District stated that indicators would alert the operator that something is wrong in the event of a process upset, the District failed to demonstrate how the indicators or the operator's response would assure compliance with the applicable limits.

EPA finds in this case that the District's decision to not require monitoring is not adequately supported by the record. Therefore, EPA is granting Petitioner's request to object to the Permit as it pertains to monitoring for S-157. The District must re-open the Permit to include periodic monitoring that yields reliable data that are representative of the source's compliance with the permit or further explain in the Statement of Basis why monitoring is not needed.

b. Lime Slurry Tanks (S-174 and S-175) / BAAQMD Regulations 6-301, 6-310, and 6-311

BAAQMD Regulation 6 contains three standards for which Petitioner objects to the absence of monitoring. Regulation 6-311 sets a variable emission limit depending on the process weight rate and the requirements of 6-301 and 6-310 are described above. Regulation 6 does not contain periodic monitoring requirements for any of the standards and the District did not impose monitoring on these sources.

As in the previous case for source S-157, the Statement of Basis states that the District did not require monitoring to assure compliance with Regulations 6-301 and 6-310 because the "source is capable of exceeding visible emissions or grain loading standard only during process upset. Under such circumstances, other indicators will alert the operator that something is wrong." See December 1, 2003 Statement of Basis, n. 4, at 23. The Statement of Basis is silent on the District's monitoring decision for Regulation 6-311. Therefore, for the reasons stated above, EPA is granting Petitioner's request to object to the Permit as it pertains to monitoring for sources S-174 and S-175 to assure compliance with Regulations 6-301, 6-310, and 6-311. The District must reopen the Permit to include periodic monitoring or further explain in the Statement of Basis why monitoring is not needed.

c. Diesel Backup Generators (S-240, S-241, and S-242) / BAAQMD Regulations 6-303.1 and 6-310

BAAQMD Regulation 6 contains two particulate matter emissions standards for which Petitioner objects to the absence of monitoring. The requirement of Regulation 6-310 is described above and Regulation 6-303.1 limits visible emissions to Ringelmann No. 2.

Regulation 6 does not contain periodic monitoring requirements for any of the standards and the District did not impose monitoring on these sources.

As a preliminary matter, EPA notes that opacity monitoring is generally not necessary for California sources firing on diesel fuel, based on the consideration that sources in California usually combust low-sulfur fuel.²³ Therefore, EPA is denying Petitioner's request to object to the Permit as it pertains to monitoring for Regulation 6-303.1.

With regard to Regulation 6-310, the December 1, 2003 Statement of Basis sets forth the basis for the District's decision that monitoring is not necessary. Specifically, the District states, "No monitoring [is] required because this source will be used for emergencies and reliability testing only." While it is true that Condition 18748 states these engines may only be operated to mitigate emergency conditions or for reliability-related activities (not to exceed 100 hours per year per engine), this condition is not federally enforceable. Absent federally enforceable restrictions on the hours of operation, the District's decision not to require monitoring is not adequately supported. Therefore, EPA is granting Petitioner's request to object to the Permit as it pertains to Regulation 6-310. The District must reopen the Permit to add periodic monitoring to assure compliance with the applicable requirement or further explain in the statement of basis why it is not necessary.

d. FCCU Catalyst Regenerator (S-5) and Fluid Coker (S-6) /
BAAQMD Regulation 6-305

BAAQMD Regulation 6 contains one particulate matter emission standard for which Petitioner objects to the absence of monitoring. Regulation 6 does not contain periodic monitoring requirements for any of the standards and the District did not impose monitoring on these sources.

BAAQMD Regulation 6-305 states that, "a person shall not emit particles from any operation in sufficient number to cause annoyance to any other person... This Section 6-305 shall only apply if such particles fall on real property other than that of the person responsible for the emission." Petitioner has failed to establish that there is any practical monitoring program that would enhance the ability of the permit to assure compliance with the applicable requirement. Therefore, EPA is denying Petitioner's request to object to the Permit as it pertains to monitoring for BAAQMD Regulation 6-305.

e. Coke Transport, Catalyst Unloading, Carbon Black Storage, and
Lime Silo (S-8, S-10, S-11, and S-12) / BAAQMD Regulation 6-
311.

²³Per CAPCOA/CARB/EPA Region IX agreement. See *Approval of Title V Periodic Monitoring Recommendations*, June 24, 1999.

BAAQMD Regulation 6 contains one particulate matter emission standard for which Petitioner objects to the absence of monitoring. Specifically, BAAQMD Regulation 6-311 sets a variable emission limit depending on the process weight rate. Regulation 6 does not contain periodic monitoring requirements for any of the standards and the District did not impose monitoring on these sources.

For all four emission sources, the Permit requires monitoring with respect to Regulations 6-301 and 6-310 but not 6-311. Given this apparent conflict and the failure of the Statement of Basis to discuss the absence of monitoring, EPA finds that the District's decision in this case is not adequately supported by the record. Therefore, EPA is granting Petitioner's request as it pertains to monitoring for sources S-8, S-10, S-11, and S-12. The District must reopen the Permit to include periodic monitoring for Regulation 6-311 that yields reliable data that are representative of the source's compliance with the permit or explain in the Statement of Basis why monitoring is not needed.

H. Miscellaneous Permit Deficiencies

1. Missing Federal Requirements for Flares (Subpart CC)

Petitioner states that the District incorrectly determined that Valero flares are categorically exempt from 40 C.F.R. § 63 Subpart CC (NESHAP for Petroleum Refineries). Petitioner further states that "EPA disagreed with the District's claim that the flares qualify for a categorical exemption from Subpart CC when used as an alternative to the fuel gas system," and that the Valero Permit and Statement of Basis contain incorrect applicability determinations for flares S-18 and S-19, and that there is not enough information to determine applicability for flares S-16 and S-17. Petitioner states that for all flares subject to Subpart CC, the Permit must include all applicable requirements, including 40 C.F.R. § 63 Subpart A, by reference from 40 C.F.R. § 63 Subpart CC. Petitioner goes on to note that Petitioner has requested in past comments that the District determine the potential applicability of a number of federal regulations to the Valero flares, including 40 C.F.R. § 63 Subpart A, 40 C.F.R. § 63 Subpart CC, and 40 C.F.R. § 60 Subpart A, but that the District did not do so. Petitioner notes that given a lack of relevant information, Petitioner was unable to make an independent evaluation of applicability. Petitioner also alleges that EPA agreed with Petitioner that the District failed to provide sufficient information for the applicability determinations for flares S-16 and S-70 via Attachment 2 of EPA's October 8 comment letter. Finally, Petitioner states that EPA must object to the Permit until the District provides a sufficient analysis regarding the applicability of these federal rules to the Valero flares, and until the Permit contains all applicable requirements.

a. 40 C.F.R. Part 60, Subpart A

EPA finds that the applicability of 40 C.F.R. § 60 Subpart A is adequately addressed in the December 16, 2004 Statement of Basis for Valero. *See* Statement of Basis at 18 (Dec. 16, 2004). The District has included a table on page 18 of the December 16, 2004 Statement of Basis

indicating applicability of NSPS Subpart A to each of Valero's flares. Therefore, EPA is denying the Petition on this issue.

b. 40 C.F.R. Part 63, Subparts A and CC

40 C.F.R. Part 63, Subpart CC contains the Maximum Achievable Control Technology ("MACT") requirements for petroleum refineries. Under Subpart CC, the owner or operator of a Group 1 miscellaneous process vent, as defined in § 63.641, must reduce emissions of Hazardous Air Pollutants either by using a flare that meets the requirements of section 63.11 or by using another control device to reduce emissions by 98% or to a concentration of 20 ppmv. 40 C.F.R. § 63.643(a)(1). If a flare is used, a device capable of detecting the presence of a pilot flame is required. 40 C.F.R. § 63.644(a)(2).

The applicability provisions of Subpart CC are set forth in section 63.640, "Applicability and designation of affected source." Section 63.640(a) provides that Subpart CC applies to petroleum refining process units and related emissions points. The Applicability section further provides that affected sources subject to Subpart CC include emission points that are "miscellaneous process vents." 40 C.F.R. § 63.640(c)(1). The Applicability section also provides that affected sources do not include emission points that are routed to a fuel gas system. 40 C.F.R. § 63.640(d)(5). Gaseous streams routed to a fuel gas system are specifically excluded from the definition of "miscellaneous process vent," as are "episodic or nonroutine releases such as those associated with startup, shutdown, malfunction, maintenance, depressuring, and catalyst transfer operations." 40 C.F.R. § 63.641.

The District's Statement of Basis indicates that flares S-18 and S-19 are not subject to MACT Subpart CC pursuant to the exemption set forth in 40 C.F.R. § 63.640(d)(5). See December 16, 2004 Statement of Basis at 18. In the BAAQMD February 15, 2005 Letter, BAAQMD again asserted section 63.640(d)(5) as a basis for finding that the refinery's flares are not required to meet the standards in Subpart CC. EPA continues to believe that a detailed analysis of the configuration of the flare and compressor is required to exempt a flare on the basis that it is part of the fuel gas system.

BAAQMD's February 15, 2005 letter also provides an alternative rationale that gases vented to the refinery's flares are not within the definition of "miscellaneous process vents." Specifically, BAAQMD asserts that the flares are not miscellaneous process vents because they are used only to control "episodic and nonroutine" releases. As BAAQMD states:

At all of the affected refineries, process gas collected by the gas recovery system are routed to flares only under two circumstances: (1) situations in which, due to process upset or equipment malfunctions, the gas pressure in the flare header rises to a level that breaks the water seal leading to the flares; or (2) situations in which, during process startups, shutdown, malfunction, maintenance, depressuring [sic], and catalyst transfer operations are, by definition, not miscellaneous process vents, and are not subject to

Subpart CC

EPA agrees that a flare used only under the two circumstances described by the District would not be subject to Subpart CC because such flares are not used to control miscellaneous process vents as that term is defined in § 63.641. According to the BAAQMD February 15, 2005 Letter, BAAQMD intends to revise the Statement of Basis to further explain its rationale that Subpart CC does not apply to the Bay Area refinery flares, and intends to solicit public comment on its rationale.

Because the Permit and the Statement of Basis for Valero's flares S-18 and S-19 contain contradictory information with regard to the use of these flares, EPA agrees with Petitioner that the Statement of Basis is lacking a sufficient analysis regarding the applicability of MACT CC to these flares. Therefore, EPA is granting the Petition on this issue. BAAQMD must reopen the Permit to address applicability in the Statement of Basis, and, if necessary, to include the flare requirements of MACT Subpart CC in the Permit.

2 Basis for Tank Exemptions

Petitioner claims that the statement of basis and the Permit lack adequate information to support the proposed exempt status for numerous tanks identified in Table IIB of the Permit.

Table IIB of the Permit contains a list of 43 emission sources that have applicable requirements in Section IV of the Permit but that were determined by the District to be exempt from BAAQMD Regulation 2, which specifies the requirements for Authorities to Construct and Permits to Operate. Rule 1 of the regulation contains numerous exemptions that are based on a variety of physical and circumstantial grounds. EPA agrees with Petitioner that the Permit itself contains insufficient information to determine the basis for the exempt status of the equipment with respect to the exemptions in the rule. However, for most of the sources in Table IIB, Petitioner's claim that the Statement of Basis lacks the information is factually incorrect. Petitioner is referred to pages 94-99 of the Statement of Basis that accompanied the Permit issued by the District on December 1, 2003. Nonetheless, EPA is granting Petitioner's request on a limited basis for the reasons set forth below.

EPA's regulations state that the permitting authority must provide the Agency with a statement of basis that sets forth the legal and factual basis for the permit conditions. 40 C.F.R. § 70.7(a)(5). EPA has provided guidance on the content of an adequate statement of basis in a letter dated December 20, 2001, from Region V to the State of Ohio²⁴ and in a Notice of Deficiency (NOD) issued to the State of Texas.²⁵ These documents describe several key elements of a statement of basis, specifically noting that a statement of basis should address any

²⁴ The letter is available at: <http://www.epa.gov/rgytgmj/programs/artd/air/title5/t5memos/sbguide.pdf>.

²⁵ 67 Fed. Reg. 732 (January 7, 2002)

federal regulatory applicability determinations. The Region V letter also recommends the inclusion of topical discussions on issues including but not limited to the basis for exemptions. Further, in response to a petition filed in regard to the title V permit for the Los Medanos Energy Center, EPA concluded that a statement of basis should document the decision-making that went into the development of the title V permit and provide the permitting authority, the public, and EPA with a record of the applicability and technical issues surrounding the issuance of the permit. Such a record ought to contain a description of the origin or basis for each permit condition or exemption. *See, Los Medanos*, at 10.

As stated in *Los Medanos*, the failure of a permitting authority to meet the procedural requirement to provide a statement of basis does not necessarily demonstrate that the title V permit is substantively flawed. In reviewing a petition to object to a title V permit because of an alleged failure of the permitting authority to meet all procedural requirements in issuing the permit, EPA considers whether the petitioner has demonstrated that the permitting authority's failure resulted in, or may have resulted in, a deficiency in the content of the permit. *See* CAA § 505(b)(2) (objection required "if the petitioner demonstrates . . . that the permit is not in compliance with the requirements of this Act, including the requirements of the applicable [SIP]"); *see also* 40 C.F.R. § 70.8(c)(1). Thus, where the record as a whole supports the terms and conditions of the permit, flaws in the statement of basis generally will not result in an objection. *See e.g., Doe Run*, at 24-25. In contrast, where flaws in the statement of basis resulted in, or may have resulted in, deficiencies in the title V permit, EPA will object to the issuance of the permit.

With regard to the Valero Permit, the majority of the sources listed in Table IIB are identified in the December 1, 2003 Statement of Basis along with a citation from Regulation 2 describing the basis of the exemption. For the sources that fall within this category, EPA finds that the permit record supports the District's determination for the exempt status of the equipment. However, in reviewing the December 16, 2004 Statement of Basis, EPA noted that three of the sources listed in Table IIB of the Permit are not included in the statement of basis with the corresponding citations for the exemptions.²⁶ For these sources, the failure of the record to support the terms of the Permit is adequate grounds for objecting to the Permit. Therefore, EPA is granting Petitioner's request to object to the Permit with respect to the listing of exempt sources in Table IIB but only as the request pertains to the three sources identified herein. Although EPA is not aware of other errors, the District should review the circumstances for all of the sources in Table IIB and the corresponding table in the statement of basis to further ensure that the Permit is accurate and that the record adequately supports the Permit. EPA also encourages the District to add the citation for each exemption to Table IIB as was done for the ConocoPhillips, Chevron, and Shell permits.

3 Public Participation

²⁶Compare Table IIB of the Permit with the December 1, 2003 statement of basis for the LPG Truck Loading Rack, the TK-2710 Fresh Acid Tank, and the Cogeneration Plant Cooling Tower.

Petitioner argues that the District did not, in a timely fashion, make readily available to the public, compliance information that is relevant to evaluating whether a schedule of compliance is necessary. Specifically, Petitioner asserts that it had to make several requests under the California Public Records Act to obtain "relevant information concerning NOV's issued to the facility between 2001 and 2004" and the "2003 Annual Report and other compliance information, which is not readily available." Petitioner states that it took three weeks for the District to produce the information requested in Petitioner's "2003 PRA request." Petitioner contends that it expended significant resources to obtain the data and received the data so late in the process that they could not be sufficiently analyzed.

In determining whether an objection is warranted for alleged flaws in the procedures leading up to permit issuance, such as Petitioner's claims here that the District failed to comply with public participation requirements, EPA considers whether the petitioner has demonstrated that the alleged flaws resulted in, or may have resulted in, a deficiency in the permit's content. See CAA, Section 505(b)(2)(objection required "if the petitioner demonstrates ... that the permit is not in compliance with the requirements of [the Act], including the requirements of the applicable [SIP].") EPA's title V regulations specifically identify the failure of a permitting authority to process a permit in accordance with procedures approved to meet the public participation provisions of 40 C.F.R. § 70.7(h) as grounds for an objection. 40 C.F.R. § 70.8(c)(3)(iii). District Regulations 2-6-412 and 2-6-419 implement the public participation requirements of 40 C.F.R. § 70.7(h). District Regulation 2-6-412, *Public Participation, Major Facility Review Permit Issuance*, approved by EPA as meeting the public participation provisions of 40 C.F.R. § 70.7(h), provides for notice and comment procedures that the District must follow when proposing to issue any major facility review permit. The public notice, which shall be published in a major newspaper in the area where the facility is located, shall identify, *inter alia*, information regarding the operation to be permitted, any proposed change in emissions, and a District source for further information. District Regulation 2-6-419, *Availability of Information*, requires the contents of the permit applications, compliance plans, emissions or compliance monitoring reports, and compliance certification reports to be available to the public, except for information entitled to confidential treatment.

Petitioner fails to demonstrate that the District did not process the permit in accordance with public participation requirements. The District duly published a notice regarding the proposed initial issuance of the permit. The notice, *inter alia*, referenced a contact for further information. The permit application, compliance plan, emissions or compliance monitoring reports, and compliance certification reports are available to the public through the District's Web site or in the District's files, which are open to the public during business hours. Petitioner admits that it ultimately obtained the compliance information it sought, albeit later than it wished. Petitioner fails to show that the perceived delay in receiving requested documents resulted in, or may have resulted in, a deficiency in the Permit. Therefore, EPA denies the Petition on this issue.

IV TREATMENT, IN THE ALTERNATIVE, AS A PETITION TO REOPEN

As explained in the Procedural Background section of this Order, EPA received and dismissed a prior petition ("2003 OCE Petition") from this Petitioner on a previous version of the Permit at issue in this Petition. EPA's response in this Order to issues raised in this Petition that were also included in the 2003 OCE Petition also constitutes the Agency's response to the 2003 Petition. Furthermore, EPA considers the Petition validly submitted under CAA section 505(b)(2). However, if the Petition should be deemed to be invalid under that provision, EPA also considers, in the alternative, the Petition and Order to be a Petition to Reopen the Permit and a response to a Petition to Reopen the Permit, respectively.

V CONCLUSION

For the reasons set forth above, and pursuant to section 505(b)(2) of the Clean Air Act, I deny in part and grant in part OCE's Petition requesting that the Administrator object to the Valero Permit. This decision is based on a thorough review of the draft permit, the final Permit issued December 16, 2004, and other documents pertaining to the issuance of the Permit.

MAR 15 2005

Date


Stephen L. Johnson
Acting Administrator

BEFORE THE ADMINISTRATOR
UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

IN THE MATTER OF)	
ONYX ENVIRONMENTAL SERVICES)	
)	ORDER RESPONDING TO
)	PETITIONERS' REQUEST THAT
Petition number V-2005-1)	THE ADMINISTRATOR OBJECT
CAAPP No. 163121AAP)	TO ISSUANCE OF A STATE
Proposed by the Illinois)	OPERATING PERMIT
Environmental Protection Agency)	
)	

ORDER AMENDING PRIOR ORDER PARTIALLY DENYING AND
PARTIALLY GRANTING PETITION FOR OBJECTION TO PERMIT

EPA has become aware of a factual error in the February 1, 2006 Order Responding to Petitioners' Request that the Administrator Object to Issuance of a proposed State Operating Permit for Onyx Environmental Services. To correct that error, I am amending the February 1, 2006 Order by striking out the section entitled "VI. Monitoring" and replacing it with the language appearing below. As a result of the correction, I am hereby granting the petition on that issue.

The amended language for section VI is as follows:

VI. Monitoring

The Petitioners argue that the Administrator must object to the proposed Onyx permit because it fails to include conditions that meet the legal requirements for monitoring. The Petitioners cite condition 7.1.8.b.ii. on page 56 of the proposed Onyx permit, which provides that Onyx must install, calibrate, maintain, and operate Particulate Matter Continuous Emission Monitors (PM CEMs) to demonstrate compliance. Petitioners note that the next clause provides that the permittee need not comply with the requirement to "install, calibrate, maintain, and operate the PM CEMs until such time that U.S. EPA promulgates all performance specifications and operational requirements for PM CEMs." Petitioners argue that there are no PM monitoring requirements established in the permit without the obligation to install and operate the PM CEMs, which is contingent on future U.S. EPA action. Petition at 18.

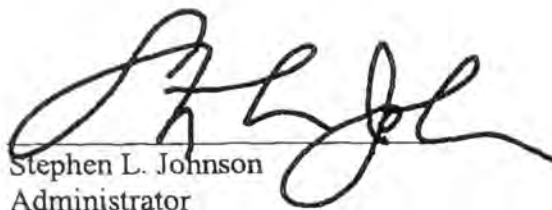
U.S. EPA promulgated the performance specification for PM CEMs (Performance Standard 11) on January 12, 2004. However, U.S. EPA has not yet promulgated the operational requirements for PM CEMs. Accordingly, the requirement to install and operate PM CEMs does not currently apply to Onyx, although the permit properly requires PM CEMs once U.S. EPA promulgates such operational requirements. However, subpart EEE contains other

requirements intended to help assure compliance with the PM limits, including a requirement for bag leak detection monitoring.⁶ The Onyx facility is equipped with baghouses, and therefore Onyx is required to operate and maintain a system to detect leaks from the baghouses, but the permit currently lacks provisions requiring a leak detection system. Accordingly, the lack of a currently applicable requirement to operate and maintain PM CEMs does not make the permit deficient under 40 C.F.R. 70.6(a)(3)(i)(B), but Petitioners are correct that the permit lacks monitoring required under other provisions of 40 C.F.R. §70.6, and therefore I am granting the petition on this issue and directing IEPA to revise the permit to incorporate all PM monitoring required for the facility under subpart EEE, including a leak detection system.⁷

I am not revising the Order issued February 1 in any other way and its provisions, other than section VI, remain undisturbed and in effect.

AUG -9 2006

Dated: _____


Stephen L. Johnson
Administrator

⁶ See Final Technical Support Document for HWC MACT Standards, Vol. IV: Compliance with the HWC MACT Standards (July 1999).

⁷ Subpart EEE has been amended since the permit was proposed by IEPA, although the requirement for bag leak detection applied to the Onyx facility at the time the permit was proposed. In re-proposing the permit, IEPA should ensure that the permit properly reflects all of the current MACT requirements



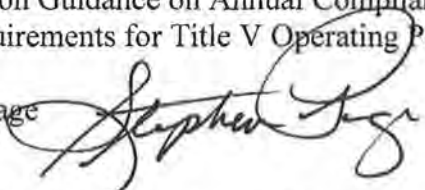
UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
RESEARCH TRIANGLE PARK, NC 27711

APR 30 2014

OFFICE OF
AIR QUALITY PLANNING
AND STANDARDS

MEMORANDUM

SUBJECT: Implementation Guidance on Annual Compliance Certification Reporting and Statement of Basis Requirements for Title V Operating Permits

FROM: Stephen D. Page
Director 

TO: Regional Air Division Directors, Regions 1-10

This memorandum and attachments provide guidance on satisfying the Clean Air Act title V annual compliance certification reporting and statement of basis requirements. It addresses two outstanding recommendations made by the Office of Inspector General (OIG) in the report titled, "Substantial Changes Needed in Implementation and Oversight of Title V Permits if Program Goals are to be Fully Realized," (OIG Report No. 2005-P-00010):

Recommendation 2-1: Develop and issue guidance or rulemaking on annual compliance certification content, which requires responsible officials to certify compliance with all applicable terms and conditions of the permit, as appropriate.

Recommendation 2-3: Develop nationwide guidance on the contents of the statement of basis which includes discussions of monitoring, operational requirements, regulatory applicability determinations, explanation of any conditions from previously issued permits that are not being transferred to the title V permit, discussion of streamlining requirements, and other factual information, where advisable, including a list of prior title V permits issued to the same applicant at the plant, attainment status, and construction, permitting, and compliance history of the plant.

In a February 8, 2013, memorandum to the OIG, the EPA stated its intent to address these two recommendations, as well as similar recommendations from the Clean Air Act Advisory Committee's Title V Task Force (*see* "Final Report to the Clean Air Act Advisory Committee: Title V Implementation Experience," April 2006).

The attachments below provide non-binding guidance that responds to OIG recommendations regarding annual compliance certification and statement of basis. The attachments highlight existing statutory and regulatory requirements and guidance issued by the EPA, and state and local permitting authorities. In addition, the attachments highlight key components of the applicable legal requirements and clarifications responsive to certain OIG recommendations. As you are aware, this information was developed in collaboration with EPA regional offices. Note that state and local permitting authorities

also provide guidance on title V requirements; the EPA encourages sources to consult with their state and local permitting authorities to obtain additional information or to obtain specific guidance.

If you have any questions, please contact Juan Santiago, Associate Director, Air Quality Policy Division/OAQPS, at (919) 541-1084, santiago.juan@epa.gov.

Attachments

Disclaimer

These documents explain the requirements of the EPA regulations, describes the EPA policies, and recommends procedures for sources and permitting authorities to use to ensure that the annual compliance certification and the statement of basis are consistent with applicable regulations. These documents are not a rule or regulation, and the guidance they contain may not apply to a particular situation based upon the individual facts and circumstances. The guidance does not change or substitute for any law, regulation, or any other legally binding requirement and is not legally enforceable. The use of non-mandatory language such as "guidance," "recommend," "may," "should," and "can," is intended to describe the EPA policies and recommendations. Mandatory terminology such as "must" and "required" is intended to describe controlling requirements under the terms of the Clean Air Act and the EPA regulations, but the documents do not establish legally binding requirements in and of themselves.

Attachment 1

Implementation Guidance on Annual Compliance Certification Requirements Under the Clean Air Act Title V Operating Permits Program

I. Overview of Title V and Annual Compliance Certification Requirements

Title V of the Clean Air Act (CAA or Act) establishes an operating permits program for major sources of air pollutants, as well as other sources. CAA sections 501-507; 42 U.S.C. Sections 7661-7661f. A detailed history and description of title V of the CAA is available in the preamble discussions of both the proposed and final original regulations implementing title V – the first promulgation of 40 CFR Part 70. *See* 57 FR 32250 (July 21, 1992) (Final Rule); 56 FR 21712 (May 10, 1991) (Proposed Rule). The EPA recently provided further information regarding compliance certification history in a proposed rulemaking titled, “Amendments to Compliance Certification Content Requirements for State and Federal Operating Permits Programs,” published on March 29, 2013. 78 FR 19164. Under title V, states are required to develop and implement title V permitting programs in conformance with program requirements promulgated by the EPA in 40 CFR Part 70. Title V requires that every major stationary source (and certain other sources) apply for and operate pursuant to an operating permit. CAA section 502(a) and 503. The operating permit must contain conditions that assure compliance with all of the sources’ applicable requirements under the CAA. CAA section 504(a). Title V also states, among other requirements, that sources certify compliance with the applicable requirements of their permits no less frequently than annually (CAA section 503(b)(2)), provides authority to the EPA to prescribe procedures for determining compliance and for monitoring and analysis of pollutants regulated under the CAA (CAA section 504(b)), and requires each permit to “set forth inspection, entry, monitoring, compliance certification, and reporting requirements to assure compliance with the permit terms and conditions.” (CAA section 504(c).)

This guidance document focuses on the annual compliance certification, which applies to the terms and conditions of issued operating permits. CAA section 503(b)(2) states that the EPA’s regulations implementing title V “shall further require the permittee to periodically (but no less frequently than annually) certify that the facility is in compliance with any applicable requirements of the permit, and to promptly report any deviations from permit requirements to the permitting authority.” CAA section 504(c) states that each title V permit issued “shall set forth inspection, entry, monitoring, compliance certification, and reporting requirements to assure compliance with the permit terms and conditions. . . . Any report required to be submitted by a permit issued to a corporation under this subchapter shall be signed by a responsible corporate official, who shall certify its accuracy.” Additional requirements of compliance certification are described in section 114(a)(3) of the CAA as follows:

The Administrator shall in the case of any person which is the owner or operator of a major stationary source, and may, in the case of any other person, require enhanced monitoring and submission of compliance certifications. Compliance certifications shall include (A) identification of the applicable requirement that is the basis of the certification, (B) the method used for determining the compliance

status of the source, (C) the compliance status, (D) whether compliance is continuous or intermittent, (E) such other facts as the Administrator may require. Compliance certifications and monitoring data shall be subject to subsection (c) of this section [availability of information to the public].

CAA section 114(a)(3), 42 U.S.C. section 7414(a)(3). The EPA promulgated regulations implementing these provisions for title V operating permits purposes. Key regulatory provisions regarding compliance certifications are found in 40 CFR section 70.6(c), "Compliance requirements."

II. Overview of Annual Compliance Certification Requirements

The EPA's regulations at 40 CFR section 70.6(c) describe the required elements of annual compliance certifications. Specifically, 40 CFR section 70.6(c)(5)(iii)-(iv) provides that all permits must include the following annual compliance certification requirements:

(iii) A requirement that the compliance certification include all of the following (provided that the identification of applicable information may cross-reference the permit or previous reports, as applicable):

(A) The identification of each term or condition of the permit that is the basis of the certification;

(B) The identification of the method(s) or other means used by the owner or operator for determining the compliance status with each term and condition during the certification period. Such methods and other means shall include, at a minimum, the methods and means required under paragraph (a)(3) of this section;

(C) The status of compliance with the terms and conditions of the permit for the period covered by the certification, including whether compliance during the period was continuous or intermittent. The certification shall be based on the method or means designated in paragraph (c)(5)(iii)(B) of this section. The certification shall identify each deviation and take it into account in the compliance certification. The certification shall also identify as possible exceptions to compliance any periods during which compliance is required and in which an excursion or exceedance as defined under part 64 of this chapter occurred; and

(D) Such other facts as the permitting authority may require to determine the compliance status of the source.

(iv) A requirement that all compliance certifications be submitted to the Administrator as well as to the permitting authority.

(6) Such other provisions as the permitting authority may require.

Further information surrounding compliance certification is described in the regulatory provision addressing the criteria for a permit application, 40 CFR section 70.5(d). There have been revisions to Part 70 since its original promulgation in 1992.

One rulemaking action relevant to compliance certifications was in response to an October 29, 1999, remand from the United States Court of Appeals for the District of Columbia Circuit in *Natural Resources Defense Council (NRDC) v. EPA*, 194 F.3d 130 (D.C. Cir. 1999). In that case, the Court upheld a portion of the EPA's compliance assurance monitoring rule, but remanded back to the EPA the need to ensure 40 CFR sections 70.6(c)(5)(iii) and 71.6(c)(5)(iii) were consistent with language in CAA section 114(a)(3) which states that compliance certifications shall include, among other requirements, "whether compliance is continuous or intermittent." *NRDC* at 135 (internal citations omitted). Accordingly, the EPA proposed to add appropriate language to paragraph (c)(5)(iii)(C) of both 40 CFR sections 70.6 and 71.6. However, the final rule on June 27, 2003 (68 FR 38518) inadvertently deleted an existing sentence from the regulations (which was not related to the addition which resulted from the D.C. Circuit decision). The OIG Report referenced this issue and in response to the OIG, as agreed, the EPA has proposed to restore the inadvertently deleted sentence back into the rule. *See, e.g.*, 78 FR 19164 (March 29, 2013). This proposed rule would reinstate the inadvertently removed sentence – which, consistent with the Credible Evidence rule, requires owners and operators of sources to "identify any other material information that must be included in the certification to comply with section 113(c)(2) of the Act, which prohibits knowingly making a false certification or omitting material information" – in its original place before the semicolon at the end of 40 CFR sections 70.6(c)(5)(iii)(B) and 71.6(c)(5)(iii)(B). The EPA is still reviewing comments received on this proposal; however, today's guidance document is based on statutory and long-standing regulatory requirements regarding compliance certifications, obligations for "reasonable inquiry" and consideration of credible evidence, many of which were also relied upon in the EPA's proposal.

III. Implementation of the Annual Compliance Certification Requirements

The statutory and regulatory provisions regarding compliance certification provide direction to sources and permitting authorities regarding implementation of these provisions. Nonetheless, questions arise periodically and, as a general matter, responding to those questions typically occurs on a case-by-case basis, consistent with the statutory and regulatory requirements, as well as applicable state or local regulations. Questions may be posed to authorized permitting authorities, EPA Regional Offices, or EPA Headquarters offices. As a general matter, where formal responses are provided by EPA, such responses may be searched and viewed on various websites. These include, among others:

- <http://www.epa.gov/ttn/oarpg/t5pgm.html>
- Environmental Appeals Board (EAB) decisions on PSD permitting
[http://yosemite.epa.gov/oa/EAB_Web_Docket.nsf/PSD+Permit+Appeals+\(CAA\)?OpenView](http://yosemite.epa.gov/oa/EAB_Web_Docket.nsf/PSD+Permit+Appeals+(CAA)?OpenView)
- Environmental Appeals Board (EAB) decisions on title V permitting
http://yosemite.epa.gov/oa/EAB_Web_Docket.nsf/Title+V+Permit+Appeals?OpenView

- The EPA's online searchable database of many PSD and title V guidance documents issued by EPA headquarters offices and EPA Regions (operated by Region 7) <http://www.epa.gov/region07/air/policy/search.htm>.
- The EPA's online searchable database of CAA title V petitions and issued orders (operated by Region 7) <http://www.epa.gov/region7/air/title5/petitiondb/petitiondb.htm>.¹

A review of these databases indicates that there are a number of issues that arise with some regularity and those general questions and responses are addressed below. In addition, the EPA notes that state and local permitting authorities are also a source of guidance on compliance certification form, instructions, and content. In some circumstances, state and local permitting authorities may require additional content for the annual compliance certification. *See, e.g.*, 40 CFR sections 70.6(c)(5)(iii)(D) and (c)(6). As a result, sources should review such requirements prior to completing the annual compliance certification.

A. Level of Specificity in Describing the Permit Term or Condition

The CAA and the EPA's regulations require that the annual compliance certification identify the terms and conditions that are the subject of the certification. As a general matter, specificity ensures that the responsible official has in fact reviewed each term and condition, as well as considered all appropriate information as part of the certification.² This does not mean, however, that each and every permit term and condition needs to be spelled out in its entirety in the annual compliance certification or that the certification needs to resemble a checklist of each permit term and condition. While some sources (and states) use what is informally referred to as a "long form" for certifications (where each term or condition is typically individually identified), such forms are not expressly required by either the CAA or the EPA's regulations, even though it may be advisable to use such a form.

The certification should include sufficient specificity and must identify the terms and conditions that are being covered by the certification. 40 CFR section 70.6(c)(5)(iii)(A)-(D). As a "best practice," sources may include additional information where there are unique or complex permit conditions such that "compliance" with a particular term and condition is predicated on several elements. In that case, additional information in the annual compliance certification may be advisable to explain how compliance with a particular condition was determined and, thus, the basis for the certification of compliance.

Consistent with the EPA's regulations, the annual compliance certification must include "[t]he identification of the method(s) or other means used by the owner or operator for determining the compliance status with each term and condition during the certification period." 40 CFR section 70.6(c)(5)(iii)(B). For example, there may be situations where certification is based on electronic

¹ The EPA's practice is to publish a notice in the *Federal Register* announcing that a petition order was signed. Once signed, the EPA's practice is to place a copy of that final order on the title V petition order database, which is searchable online.

² The EPA's regulations require that a "responsible official" sign the compliance certification. The term "responsible official" is defined in 40 CFR section 70.2.

data from continuous emissions monitoring devices, which may result in a fairly straightforward annual compliance certification. Alternatively, there may be situations where compliance during the reporting period was determined through parametric monitoring, which requires the source to consider various data and perform a mathematical calculation, to determine the compliance status. In that latter situation when various data from parametric monitoring are combined via calculation, the annual compliance certification may contain more detail regarding that term or condition which relies on parametric monitoring in the permit.³

Regardless of the level of specificity provided for the particular terms and conditions in the annual certification itself, the minimum regulatory requirements include “[t]he identification of each term or condition of the permit that is the basis of the certification.” 40 CFR Section 70.6(c)(5)(iii)(A). As noted above, there may be different ways to meet this requirement. For example, when referencing a permit term or condition in the certification, if the permit incorporates by reference a citation without explaining the particular term or condition, the source may choose to provide additional clarity in the compliance certification to support the certification. Another situation where additional specificity may be advisable is where a source has an alternative operating scenario where the source may be best served by providing additional compliance related information in support of the certification. As another example, the part 71 federal operating permits program administered by the EPA includes a form, and instructions, for sources to use for their annual compliance certifications. Annual Compliance Certification (A-COMP), EPA Form 5900-04, at page 4, available at: <http://www.epa.gov/airquality/permits/pdfs/a-comp.pdf>. This form is not expressly required for non-EPA permitting authorities; however, this form and the instructions provide feedback regarding what to include in an annual compliance certification.

Importantly, permitting authorities have additional compliance certification requirements and/or recommendations that sources should consult before finalizing a compliance certification in order to ensure compliance with the applicable requirements. *See, e.g.*, 40 CFR section 70.6(c)(6).

B. Form of the Certification

As a general matter, there is no requirement in the Act or in Part 70 that a source use a specific form for the compliance certification (although some states have adopted specific forms and instructions). The most relevant consideration in certifications is not the form, but the content and clarity of the terms and conditions with which the compliance status is being certified. Some state permitting authorities have developed template forms and instructions to assist sources in ensuring compliance with applicable requirements. The EPA has not provided such templates, except as noted above where a form is provided for the EPA’s part 71 permit program. While templates are not required by the statute or the regulations, they can be useful tools (e.g., to facilitate electronic reporting and consistency) so long as sources consider whether the form adequately covers their permitting and certification situation, and the sources are able to make adjustments where appropriate to ensure compliance. The type of form used should be

³ The CAA and the EPA’s regulations require other more frequent compliance reports in addition to the annual compliance certification. In some circumstances, it may be helpful for a source to reference another compliance report in the annual compliance certification, as appropriate.

considered in light of the regulatory requirement to certify compliance with the specific terms and conditions of the permit. 40 CFR section 70.6(c)(5)(iii)(C). Additionally, as was noted earlier, because approved state and local areas may require additional elements in the annual compliance certifications, sources should confirm that their form is consistent with applicable state and local permitting requirements.

C. Certification Language

The EPA's regulations at 40 CFR section 70.5(d) require that the annual compliance certification include the following language: "Based on information and belief formed after reasonable inquiry, I certify that the statements and information in this certification are true, accurate, and complete." (Emphasis added.) While the EPA appreciates that each permit includes specific monitoring requirements, additional data may be available that indicate compliance (or noncompliance). The EPA recently proposed to provide additional clarity on this issue by proposing to restore a sentence to 40 CFR section 70.6(c)(5)(iii)(B) that had been inadvertently deleted, as discussed above.

IV. Discussion of Compliance Certification Content in Clean Air Act Advisory Committee Final Report on the Title V Implementation Experience

In the EPA's February 8, 2013, memorandum to the OIG, stated its intent to address the OIG's recommendation concerning the annual compliance certification, as well as similar recommendations from the Clean Air Act Advisory Committee's Title V Task Force.⁴ While this guidance document responds to the 2005 OIG Report, information provided above overlaps with recommendations from the Title V Task Force. This guidance document does not adopt the Task Force recommendations; however, to the extent that they overlap with the discussion above, the EPA provides some observations regarding those recommendations.

Section 4.7 of the Task Force Report discusses compliance certification forms. This section includes, among other items, comments from stakeholders, a summary of the Task Force discussions, and Task Force recommendations. Of the five recommendations included in this section of the Report, three were unanimously supported by the Task Force members (Recommendations 3, 4, and 5). Task Force Final Report at 119-120. EPA's discussion above regarding the level of specificity and the form of the annual compliance certification generally addresses the two recommendations for which there was not consensus within the Task Force (Recommendations 1 and 2).

The five recommendations, directly quoted from the Task Force Report, are as follows:

⁴ In April 2006, the Title V Task Force finalized a document titled, "Final Report to the Clean Air Act Advisory Committee: Title V Implementation Experience." This document was the result of the Task Force's efforts to review the implementation and performance of the operating permit program under title V of the 1990 Clean Air Act Amendments. Included in the report are a number of recommendations, including some specific recommendations regarding compliance certifications that are consistent with existing regulations and information provided in this guidance document.

Recommendation #1. Most of the Task Force endorsed an approach akin to the "short form" certification, believing that a line-by-line listing of permit requirements is not required and imposes burdens without additional compliance benefit. Under this approach, the compliance certification form would include a statement that the source was in continuous compliance with permit terms and conditions with the exception of noted deviations and periods of intermittent compliance. Although the permittee would cross-reference the permit for methods of compliance, in situations where the permit specifies a particular monitoring method but the permittee is relying on different monitoring, testing or other evidence to support its certification of compliance, that reliance should be specifically identified in the certification and briefly explained. An example of such a case would be where the permit requires continuous temperature records to verify compliance with a minimum temperature requirement. If the chart recorder data was not recorded for one hour during the reporting period because it ran out of ink, and the source relies on the facts that the data before and after the hour shows temperature above the requirement minimum and that the alarm system which sounds if temperature falls below setpoint was functioning and did not alarm during the hour, these two items would be noted as the data upon which the source relies for certifying continuous compliance with the minimum temperature requirement.

Recommendation #2. Others on the Task Force believed that more detail than is included in the short form is needed in the compliance certification to assure source accountability and the enforce-ability of the certification. These members viewed at least one of the following options as acceptable (some members accepting any, while others accepting only one or two):

1. The use of a form that allows sources to use some cross-referencing to identify the permit term or condition to which compliance was certified. Cross-referencing would only be allowed where the permit itself clearly numbers or letters each specific permit term or condition, clearly identifies required monitoring, and does not itself include cross-referencing beyond detailed citations to publicly accessible regulations. The compliance certification could then cite to the number of a permit condition, or possibly the numbers for a group of conditions, and note the compliance status for that permit condition and the method used for determining compliance. In the case of permit conditions that are not specifically numbered or lettered, the form would use text to identify the requirement for which the permittee is certifying.
2. Use of the long form.
3. Use of the permit itself as the compliance certification form with spaces included to identify whether compliance with each condition was continuous or intermittent and information regarding deviations attached.

Recommendation # 3. Where the permit specifies a particular monitoring or compliance method and the source is relying on other information, that information should be separately specified on the certification form.

Recommendation # 4. Where a permit term does not impose an affirmative obligation on the source, the form should not require a compliance certification; e.g., where the permit states that it does not convey property rights or that the permitting authority is to undertake some activity such as provide public notice of a revision.

Recommendation # 5. All forms should provide space for the permittee to provide additional explanation regarding its compliance status and any deviations identified during the reporting period.

Task Force Final Report at 118-120.⁵ With regard to these recommendations, the EPA offers several observations. First, there is nothing in the CAA or Part 70 that prohibits Recommendation 3, 4, and 5, which had unanimous support from the Task Force. *See* 40 CFR section 70.6(c)(5)(iii)-(iv). Second, with regard to Recommendations 3 and 5, these should be considered “best practices” to ensure that the annual certification provides adequate information. Third, Recommendations 1 and 2 outline different ideas surrounding the level of specificity and the form of the annual compliance certification. This guidance document does address those issues and recommends activities consistent with the regulatory requirements while also providing some flexibility on the level of specificity depending on the complexity of the permit conditions being certified.

⁵ With regard to the first recommendation, the EPA observes that the example provided in the Task Force Report identifies a scenario in which additional narrative on the annual compliance certification form would be useful to explain the determination that the sources was (or was not) in compliance with a permit term or condition.

Attachment 2

Implementation Guidance on Statement of Basis Requirements Under the Clean Air Act Title V Operating Permits Program

I. Overview of Legal Requirements for Statement of Basis

Section 502 of the CAA addresses title V permit programs generally. Among other required elements of the EPA's rules implementing title V, Congress stated that the regulations shall include:

Adequate, streamlined, and reasonable procedures for expeditiously determining when applications are complete, for processing such applications, for public notice, including offering an opportunity for public comment and a hearing, and for expeditious review of permit actions, including applications, renewals, or revisions....

CAA section 502(b)(6). The EPA's regulations implementing title V require that a permitting authority provide "a statement that sets forth the legal and factual basis for the draft permit conditions (including references to the applicable statutory or regulatory provisions). The permitting authority shall send this statement to the EPA and to any other person who requests it." 40 CFR section 70.7(a)(5). As will be discussed below, among other purposes, the statement of basis is intended to support the requirements of CAA section 502(b)(6) by providing information to allow for "expeditious" evaluation of the permit terms and conditions, and by providing information that supports public participation in the permitting process, considering other information in the record.

Since the EPA promulgated its Part 70 regulations, the EPA has provided additional guidance and information surrounding the statement of basis. This information is available on EPA's searchable online database of Title V guidance (<http://www.epa.gov/region07/air/policy/search.htm>). A search of that database reveals numerous documents dating back to 1996 that provide feedback regarding the content of the statement of basis.¹ Because the specific content of the statement of basis depends in part on the terms and conditions of the individual permit at issue, the EPA's regulations are intended to provide flexibility to the state and local permitting authorities regarding content of the statement of basis. The statement of basis is required to contain, as the regulation states, sufficient information to explain the "legal and factual basis for the draft permit conditions," 40 CFR section 70.7(a)(5).

II. Guidance on the Content of Statement of Basis

Since promulgation of the Part 70 regulations, the EPA has provided guidance on recommended contents of the statement of basis. Taken as a whole, various title V petition orders and other documents, particularly those cited in those orders, provide a good roadmap as to what should be

¹ See, e.g., Region 10 Questions & Answers No. 2: Title V Permit Development (March 19, 1996) (available online at <http://www.epa.gov/region07/air/title5/t5memos/r10qa2.pdf>).

included in a statement of basis on a permit-by-permit basis, considering, among other factors, the technical complexity of a permit, history of the facility, and the number of new provisions being added at the title V permitting stage. This guidance document identifies a few such documents for example purposes and provides references for locating such materials on the Internet.

The EPA provided an overview of this guidance in a 2006 title V petition order. *In the Matter of Onyx Environmental Services*, Order on Petition No. V-2005-1 (February 1, 2006) (*Onyx Order*) at 13-14. In the *Onyx Order*, in the context of a general overview statement on the statement of basis, the EPA explained,

A statement of basis must describe the origin or basis of each permit condition or exemption. However, it is more than just a short form of the permit. It should highlight elements that U.S. EPA and the public would find important to review. Rather than restating the permit, it should list anything that deviates from simply a straight recitation of applicable requirements. The statement of basis should highlight items such as the permit shield, streamlined conditions, or any monitoring that is required under 40 C.F.R. § 70.6(a)(3)(i)(B). Thus, it should include a discussion of the decision-making that went into the development of the title V permit and provide the permitting authority, the public, and U.S. EPA a record of the applicability and technical issues surrounding the issuance of the permit. (Footnotes omitted.) *See, e.g., In Re Port Hudson Operations, Georgia Pacific*, Petition No. 6-03-01, at pages 37-40 (May 9, 2003) ("*Georgia Pacific*"); *In Re Doe Run Company Buick Mill and Mine*, Petition No. VII-1999-001, at pages 24-25 (July 31, 2002) ("*Doe Run*"); *In Re Fort James Camas Mill*, Petition No. X-1999-1, at page 8 (December 22, 2000) ("*Ft. James*").

Onyx Order at 13-14. In the *Onyx Order*, there is a reference to a February 19, 1999, letter that identified elements which, if applicable, should be included in the statement of basis. In that letter to Mr. David Dixon, Chair of the California Air Pollution Control Officers Association (CAPCOA) Title V Subcommittee, the EPA Region 9 Air Division provided a list of air quality factors to serve as guidance to California permitting authorities that should be considered when developing a statement of basis for purposes of EPA Region 9's review. Specifically, this letter identified the following elements which, if applicable, should be included in the statement of basis:

- additions of permitted equipment which were not included in the application,
- identification of any applicable requirements for insignificant activities or State-registered portable equipment that have not previously been identified at the Title V facility,
- outdated SIP requirement streamlining demonstrations,
- multiple applicable requirements streamlining demonstrations,
- permit shields,
- alternative operating scenarios,
- compliance schedules,
- CAM requirements,

- plant wide allowable emission limits (PAL) or other voluntary limits,
- any district permits to operate or authority to construct permits,
- periodic monitoring decisions, where the decisions deviate from already agreed-upon levels. These decisions could be part of the permit package or could reside in a publicly available document. (Parenthetical omitted)

Enclosure to February 19, 1999, letter from Region 9 to Mr. David Dixon.

In 2001, in a letter from the EPA to the Ohio Environmental Protection Agency, which is also cited to in the *Onyx Order*, the EPA explained that:

The [statement of basis] should also include factual information that is important for the public to be aware of. Examples include:

1. A listing of any Title V permits issued to the same applicant at the plant site, if any. In some cases it may be important to include the rationale for determining that sources are support facilities.
2. Attainment status.
3. Construction and permitting history of the source.
4. Compliance history including inspections, any violations noticed, a listing of consent decrees into which the permittee has entered and corrective action(s) taken to address noncompliance.

Letter from Stephen Rothblatt, EPA Region 5 to Robert Hodanbosi, Ohio EPA, December 20, 2001 (available online at <http://www.epa.gov/region07/air/title5/t5memos/sbguide.pdf>). In 2002, in the context of finding deficiencies with the State of Texas operating permits program, the EPA explained that, “a statement of basis should include, but is not limited to, a description of the facility, a discussion of any operational flexibility that will be utilized at the facility, the basis for applying the permit shield, any federal regulatory applicability determinations, and the rationale for the monitoring methods selected.” 67 FR 732, 735 (January 7, 2002).

The EPA has also addressed statement of basis contents in additional title V petition orders (available in an online searchable database at <http://www.epa.gov/region7/air/title5/petitiondb/petitiondb.htm>). In some cases, title V petition orders provide information even where a statement of basis is not directly at issue. For example, the EPA has interpreted 40 CFR section 70.7(a)(5) to require that the rationale for selected monitoring methods be clear and documented in the permit record. *In the Matter of CITGO Refining and Chemicals Company LP (CITGO)*, Order on Petition No. VI-2007-01 (May 28, 2009) at 7; *see also In the Matter of Fort James Camas Mill (Fort James)*, Order on Petition No. X-1999-1 (December 22, 2000) at page 8. This type of information could be included in the statement of basis. The EPA observes that where such information is included in the statement of basis, this can facilitate a better understanding of the rationale for monitoring. Such information could also be included in other parts of the permit record. In addition, it is particularly helpful when the statement of basis identifies key issues that the permitting authority anticipates would be a priority for EPA or public review (for example, if such issues represent new conditions or

interpretations of applicable requirements that are not explicit on their face). *See, e.g., In the Matter of Consolidated Edison Co. Of NY, Inc. Ravenswood Steam Plant*, Order on Petition No. II-2001-08 (Sept. 30, 2003) at page 11; *In the Matter of Port Hudson Operation Georgia Pacific*, Order on Petition No. 6-03-01 (May 9, 2003) at pages 37-40; *In the Matter of Doe Run Company Buick Mill and Mine (Doe Run)*, Order on Petition No. VII-1999-001 (July 31, 2002) at pages 24-26; *In the Matter of Los Medanos Energy Center* (Order on Petition) (May 24, 2004) at pages 14-17.

Each of the various documents referenced above provide generalized recommendations for developing an adequate statement of basis rather than “hard and fast” rules on what to include. Taken as a whole, they provide a good roadmap as to what should be included in a statement of basis on a permit-by-permit basis, considering, among other factors, the technical complexity of the permit, history of the facility, and the number of new provisions being added at the title V permitting stage.²

III. Discussion of Statement of Basis Content in Clean Air Act Advisory Committee Final Report on the Title V Implementation Experience

In the EPA’s February 8, 2013, memorandum to the OIG, the EPA stated its intent to address the OIG’s recommendation concerning the statement of basis, as well as similar recommendations from the Clean Air Act Advisory Committee’s Title V Task Force.³ While this guidance document responds to the 2005 OIG Report, information provided above overlaps with recommendations from the Title V Task Force. This guidance document does not adopt the Task Force recommendations; however, to the extent that they overlap with the discussion above, the EPA provides some observations regarding those recommendations.

Section 5.5 of the Task Force Final Report addresses the statement of basis. This section includes a regulatory background piece, comments from stakeholders, a summary of the Task Force discussions, and Task Force recommendations. The recommendations section includes a list of items considered appropriate for inclusion into a statement of basis. Final Report at 231. Members of the Task Force unanimously supported the recommendations regarding the statement of basis. Because these recommendations overlaps substantially, if not wholly, with guidance previously provided by EPA, it is appropriate to include these recommendations within this guidance document as an additional guideline for developing an adequate statement of basis.

The Task Force recommended that the following items are appropriate for inclusion in a statement of basis document:

² With regard to the title V permitting stage, a best practice includes making previous statements of basis accessible to give background on provisions that already exist in the permit and may not be a part of the permit action at issue, and provide context for the permit as a whole and the particular revisions at issue in that permit action or permit stage.

³ In April 2006, the Title V Task Force finalized a document titled, “Final Report to the Clean Air Act Advisory Committee: Title V Implementation Experience.” This document was the result of the Task Force’s efforts to review the implementation and performance of the operating permit program under title V of the 1990 Clean Air Act Amendments. Included in the report are a number of recommendations, including specific recommendations regarding statement of basis contents that overlap with or are informative to this guidance document.

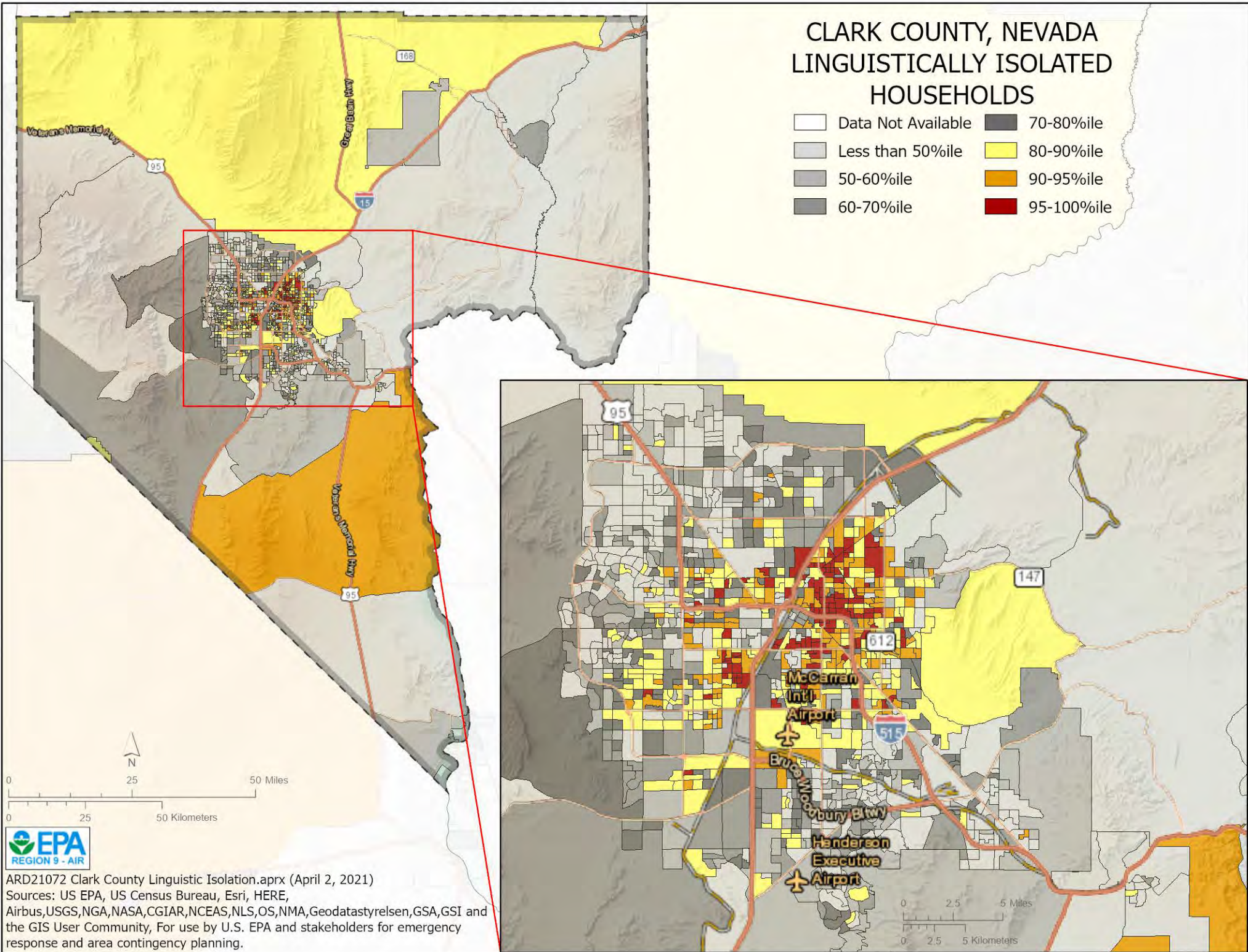
1. A description and explanation of any federally enforceable conditions from previously issued permits that are not being incorporated into the Title V permit.
2. A description and explanation of any streamlining of applicable requirements pursuant to EPA White Paper No. 2.
3. A description and explanation of any complex non-applicability determination (including any request for a permit shield under section 70.6(f)(1)(ii)) or any determination that a requirement applies that the source does not agree is applicable, including reference to any relevant materials used to make these determinations (e.g., source tests, state guidance documents).
4. A description and explanation of any difference in form of permit terms and conditions, as compared to the applicable requirement upon which the condition was based.
5. A discussion of terms and conditions included to provide operational flexibility under section 70.4(b)(12).
6. The rationale, including the identification of authority, for any Title V monitoring decision.

Task Force Final Report at 231. With regard to these recommendations, the EPA offers several observations. First, there is nothing in the CAA or Part 70 that precludes a permitting authority from including the items listed above in a statement of basis. Not all of those items will apply to every permit action (as is the case with the lists provided by the EPA in the previously-cited guidance documents). Second, concerning item #1, we note that there are very limited circumstances in which a condition from a previously issued permit would not need to be incorporated into the title V permit. Third, concerning item #2, the "White Paper" refers to "White Paper Number 2 for Improved Implementation of the Part 70 Operating Permits Program", dated March 5, 1996 (available online at <http://www.epa.gov/region07/air/title5/t5memos/wtppr-2.pdf>).

In developing the statement of basis, as was discussed earlier, the EPA recommends that permitting authorities consider the individual circumstances of the permit action in light of the regulatory requirements for the permit record in order to determine whether information along the lines of the items identified by the Task Force warrants inclusion into the statement of basis. In making this determination, the permitting authority is encouraged to consider whether the inclusion of such information would provide important explanatory information for the public and the EPA, and bolster the defensibility of the permit (thus improving the efficiency of the permit process and reducing the likelihood of receiving an adverse comment or an appeal), while also ensuring that the statutory and regulatory requirements are being met.

Appendix D. Map of Linguistically Isolated Households in the Clark County DES

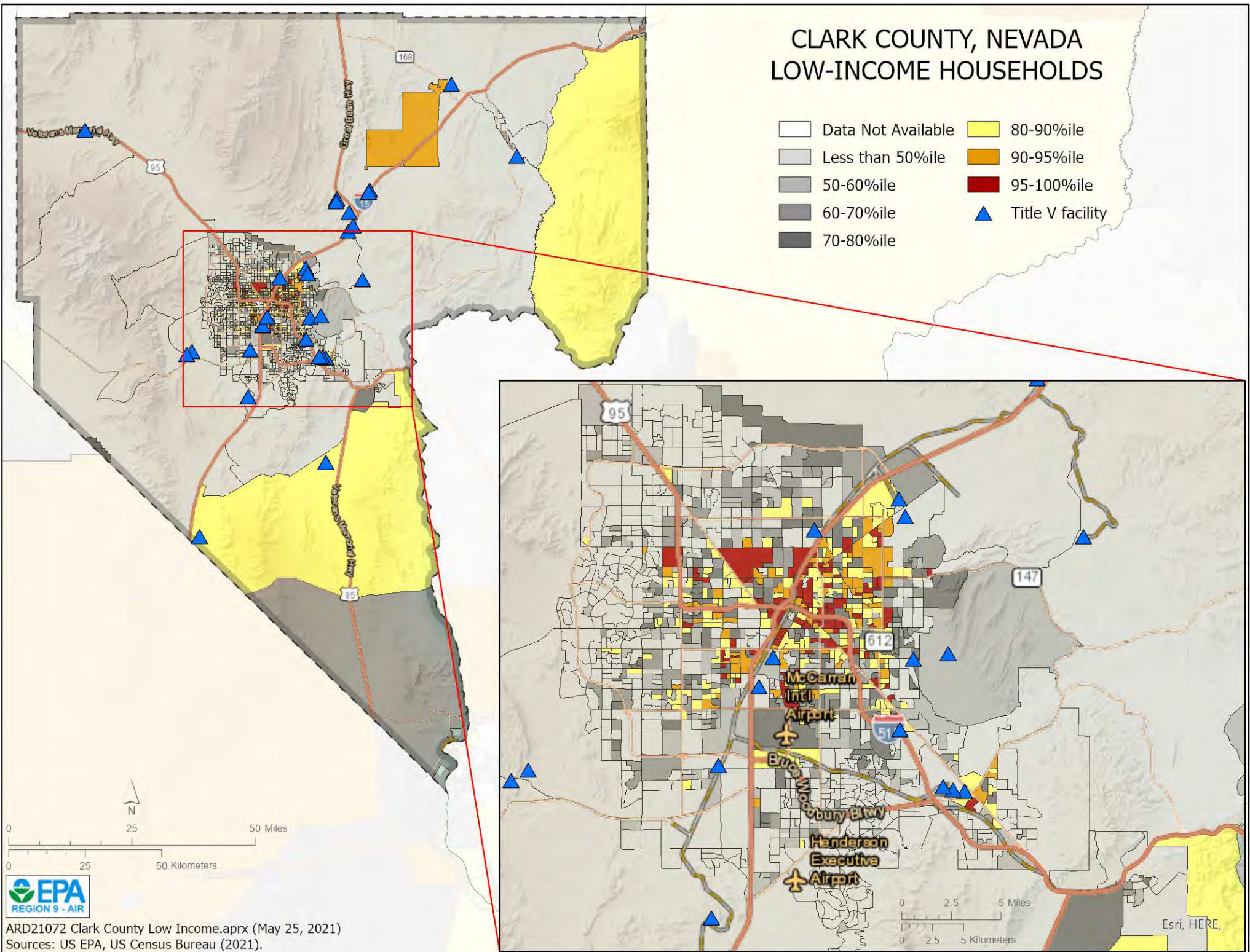
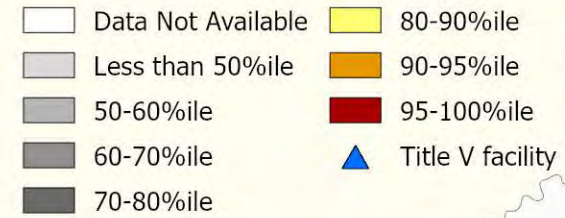
CLARK COUNTY, NEVADA LINGUISTICALLY ISOLATED HOUSEHOLDS



ARD21072 Clark County Linguistic Isolation.aprx (April 2, 2021)

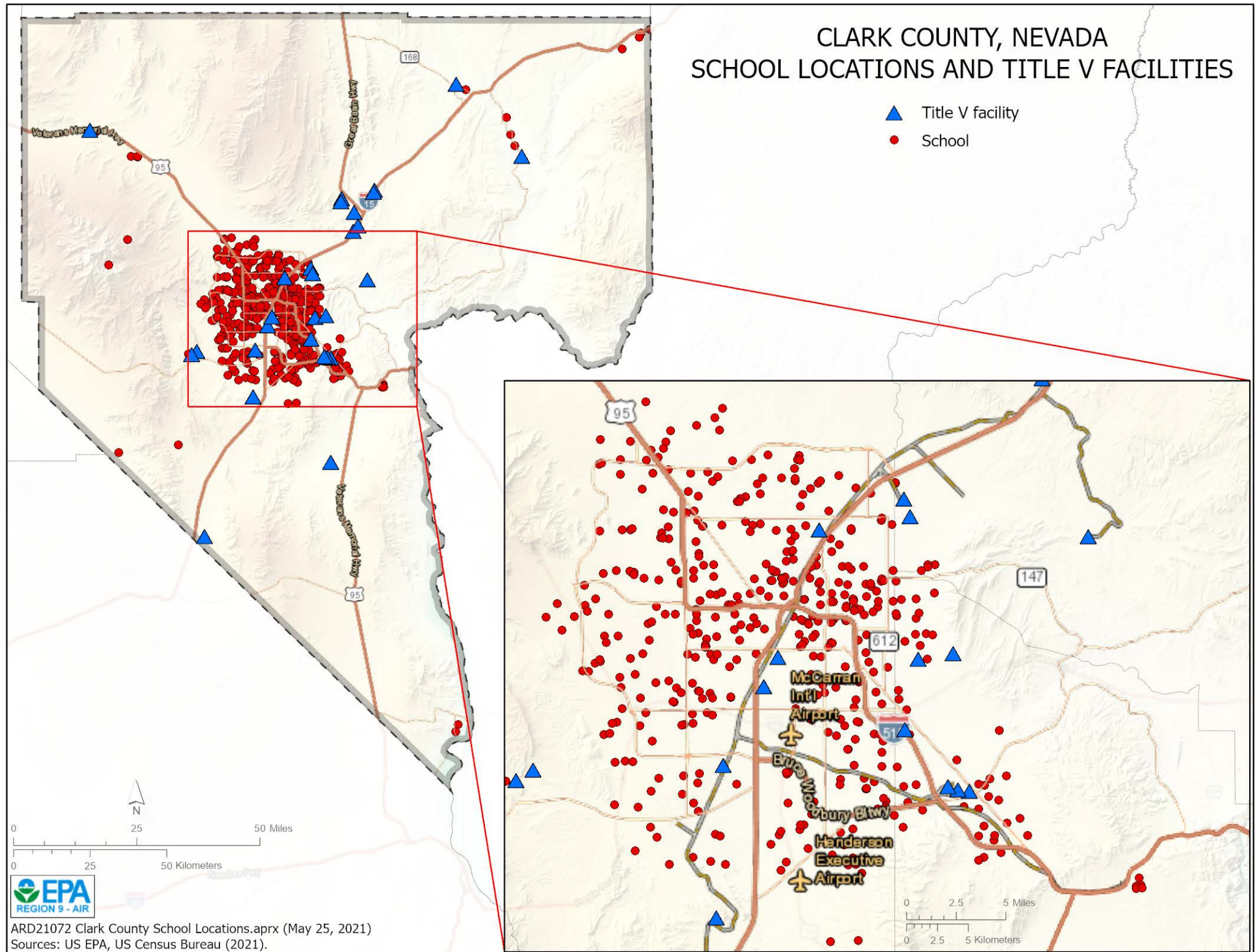
Sources: US EPA, US Census Bureau, Esri, HERE, Airbus, USGS, NGA, NASA, CGIAR, NCEAS, NLS, OS, NMA, Geodastystyrelsen, GSA, GSI and the GIS User Community, For use by U.S. EPA and stakeholders for emergency response and area contingency planning.

CLARK COUNTY, NEVADA LOW-INCOME HOUSEHOLDS



CLARK COUNTY, NEVADA SCHOOL LOCATIONS AND TITLE V FACILITIES

- ▲ Title V facility
- School

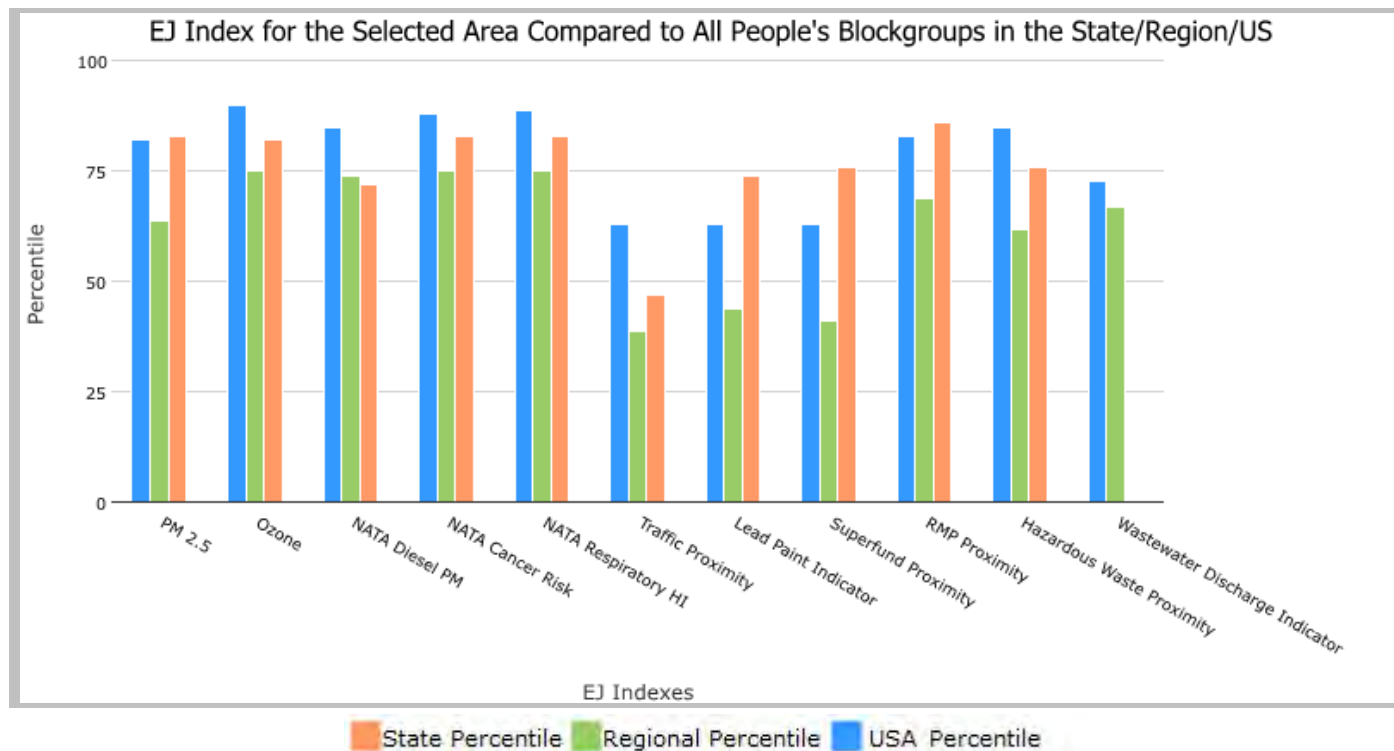


1 mile Ring Centered at 36.217625,-115.023210, NEVADA, EPA Region 9

Approximate Population: 4,752

Input Area (sq. miles): 3.14

Selected Variables	State Percentile	EPA Region Percentile	USA Percentile
EJ Indexes			
EJ Index for PM2.5			
EJ Index for Ozone			
EJ Index for NATA* Diesel PM			
EJ Index for NATA* Air Toxics Cancer Risk			
EJ Index for NATA* Respiratory Hazard Index			
EJ Index for Traffic Proximity and Volume			
EJ Index for Lead Paint Indicator			
EJ Index for Superfund Proximity			
EJ Index for RMP Proximity			
EJ Index for Hazardous Waste Proximity			
EJ Index for Wastewater Discharge Indicator			

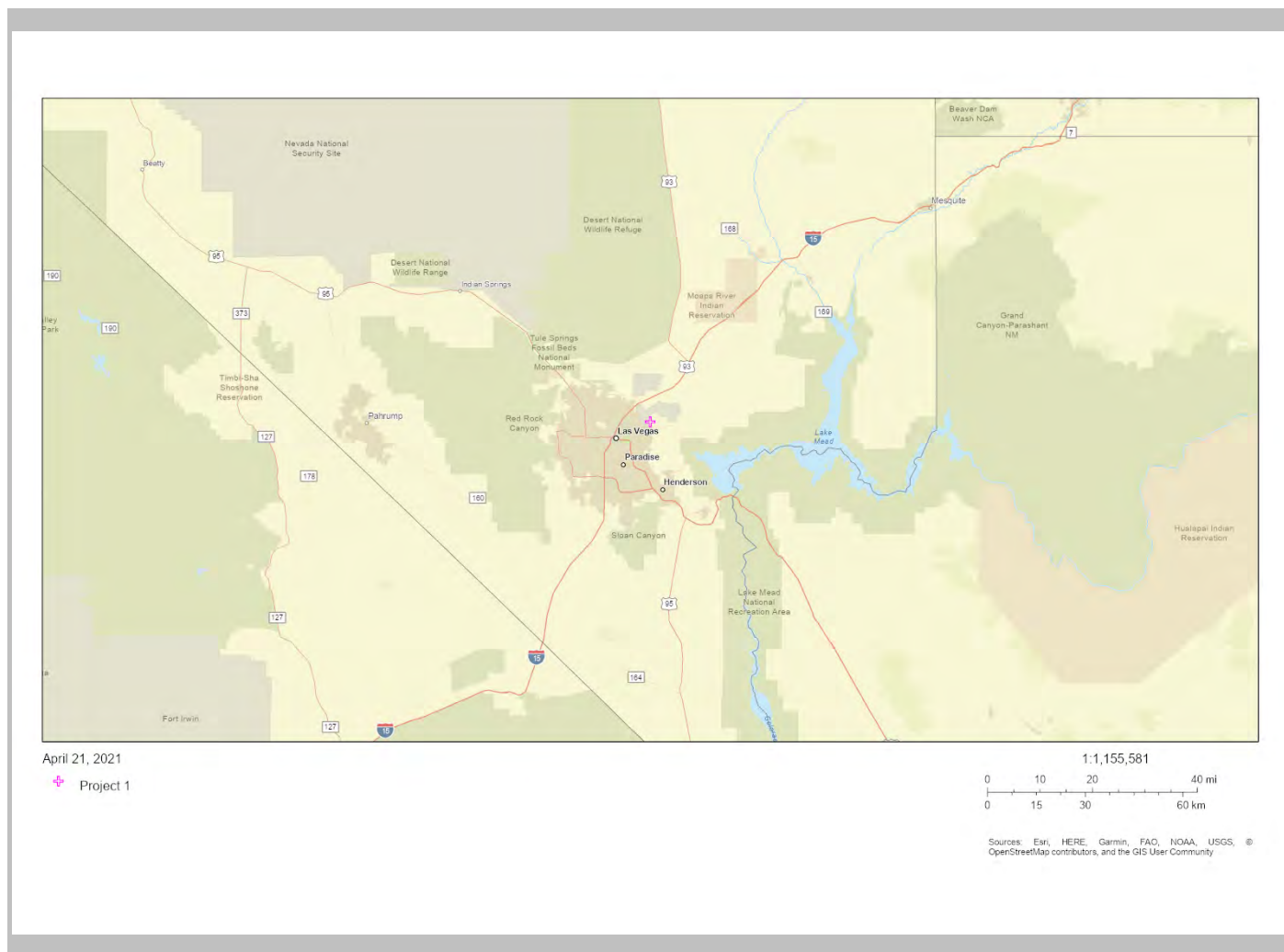


This report shows the values for environmental and demographic indicators and EJSCREEN indexes. It shows environmental and demographic raw data (e.g., the estimated concentration of ozone in the air), and also shows what percentile each raw data value represents. These percentiles provide perspective on how the selected block group or buffer area compares to the entire state, EPA region, or nation. For example, if a given location is at the 95th percentile nationwide, this means that only 5 percent of the US population has a higher block group value than the average person in the location being analyzed. The years for which the data are available, and the methods used, vary across these indicators. Important caveats and uncertainties apply to this screening-level information, so it is essential to understand the limitations on appropriate interpretations and applications of these indicators. Please see EJSCREEN documentation for discussion of these issues before using reports.

1 mile Ring Centered at 36.217625,-115.023210, NEVADA, EPA Region 9

Approximate Population: 4,752

Input Area (sq. miles): 3.14



Sites reporting to EPA	
Superfund NPL	0
Hazardous Waste Treatment, Storage, and Disposal Facilities (TSDF)	0

EJSCREEN Report (Version 2020)



1 mile Ring Centered at 36.217625,-115.023210, NEVADA, EPA Region 9

Approximate Population: 4,752

Input Area (sq. miles): 3.14

Selected Variables	Value	State Avg.	%ile in State	EPA Region Avg.	%ile in EPA Region	USA Avg.	%ile in USA
Environmental Indicators							
Particulate Matter (PM 2.5 in $\mu\text{g}/\text{m}^3$)	7.24	6.83	75	9.99	11	8.55	16
Ozone (ppb)	54.8	54.2	53	50.1	65	42.9	93
NATA* Diesel PM ($\mu\text{g}/\text{m}^3$)	0.505	0.614	41	0.479	60-70th	0.478	60-70th
NATA* Cancer Risk (lifetime risk per million)	39	33	69	35	60-70th	32	80-90th
NATA* Respiratory Hazard Index	0.59	0.5	71	0.53	60-70th	0.44	80-90th
Traffic Proximity and Volume (daily traffic count/distance to road)	13	580	7	1700	5	750	12
Lead Paint Indicator (% Pre-1960 Housing)	0.0033	0.051	56	0.24	17	0.28	11
Superfund Proximity (site count/km distance)	0.0044	0.012	4	0.15	0	0.13	0
RMP Proximity (facility count/km distance)	0.52	0.39	76	0.99	52	0.74	61
Hazardous Waste Proximity (facility count/km distance)	2.2	2.5	45	5.3	36	5	67
Wastewater Discharge Indicator (toxicity-weighted concentration/m distance)	0	43	N/A	18	52	9.4	33
Demographic Indicators							
Demographic Index	55%	42%	75	46%	65	36%	78
People of Color Population	72%	50%	79	60%	60	39%	79
Low Income Population	39%	34%	64	33%	64	33%	66
Linguistically Isolated Population	3%	6%	51	8%	40	4%	65
Population With Less Than High School Education	21%	14%	76	16%	67	13%	80
Population Under 5 years of age	7%	6%	58	6%	57	6%	61
Population over 64 years of age	9%	15%	32	14%	35	15%	27

* The National-Scale Air Toxics Assessment (NATA) is EPA's ongoing, comprehensive evaluation of air toxics in the United States. EPA developed the NATA to prioritize air toxics, emission sources, and locations of interest for further study. It is important to remember that NATA provides broad estimates of health risks over geographic areas of the country, not definitive risks to specific individuals or locations. More information on the NATA analysis can be found at: <https://www.epa.gov/national-air-toxics-assessment>.

For additional information, see: www.epa.gov/environmentaljustice

EJSCREEN is a screening tool for pre-decisional use only. It can help identify areas that may warrant additional consideration, analysis, or outreach. It does not provide a basis for decision-making, but it may help identify potential areas of EJ concern. Users should keep in mind that screening tools are subject to substantial uncertainty in their demographic and environmental data, particularly when looking at small geographic areas. Important caveats and uncertainties apply to this screening-level information, so it is essential to understand the limitations on appropriate interpretations and applications of these indicators. Please see EJSCREEN documentation for discussion of these issues before using reports. This screening tool does not provide data on every environmental impact and demographic factor that may be relevant to a particular location. EJSCREEN outputs should be supplemented with additional information and local knowledge before taking any action to address potential EJ concerns.

Appendix E. Fee Information



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
RESEARCH TRIANGLE PARK, NC 27711

OFFICE OF
AIR QUALITY PLANNING
AND STANDARDS

MAR 27 2018

MEMORANDUM

SUBJECT: Program and Fee Evaluation Strategy and Guidance for 40 CFR Part 70

FROM: Peter Tsirigotis
Director

TO: Regional Air Division Directors, Regions 1 – 10

The attached guidance is being issued in response to the Environmental Protection Agency Office of Inspector General's (OIG) 2014 report regarding the importance of enhanced EPA oversight of state, local, and tribal¹ fee practices under title V of the Clean Air Act (CAA).² Specifically, this guidance reflects the EPA's August 22, 2014, commitment to the OIG in response to the OIG's Recommendations 2 through 8 to "issue a guidance document that sets forth a fee oversight strategy" (we refer to the attached guidance as the "**title V evaluation guidance**"). The EPA's response to the OIG's other recommendation is being issued concurrently in a separate memorandum and guidance concerning the EPA's review of fee schedules for title V programs ("updated fee schedule guidance").³

The title V evaluation guidance is consistent with EPA principles and best practices for efficient and effective oversight of state permitting programs⁴ and applies those principles and best practices to the specific context of title V program and fee evaluations under part 70 of the CAA. As a result, this guidance highlights opportunities for communication and collaboration between the EPA and air agencies throughout the evaluation process. Principles and best practices are discussed in Section I of the attached title V evaluation guidance.

¹ As used herein, the term "air agency" refers to state, local, and tribal agencies.

² *Enhanced EPA Oversight Needed to Address Risks from Declining Clean Air Act Title V Revenues*; U.S. EPA Office of the Inspector General, Report No. I5-P-0006, October 20, 2014 ("OIG Report").

³ *Updated Guidance on EPA Review of Fee Schedules for Operating Permit Programs Under Title V*, Peter Tsirigotis, Director, Office of Air Quality Planning and Standards (OAQPS), U.S. EPA, to Regional Air Division Directors, Regions 1 – 10, March 27, 2018 ("updated fee schedule guidance"). See the EPA's title V guidance website at <https://www.epa.gov/title-v-operating-permits/title-v-operating-permit-policy-and-guidance-document-index>.

⁴ See *Promoting Environmental Program Health and Integrity: Principles and Best Practices for Oversight of State Permitting Programs* (August 30, 2016).

Example best practices for conducting part 70 fee or program evaluations described in the guidance, as well as other existing guidance documents relevant to title V evaluations, include:

Example Best Practices:

- i The frequency and timing of program and fee evaluations are defined in the Office of Air and Radiation's National Program Manager Guidance (NPM guidance), which is issued for a 2-year period.⁵ See Section III of the title V evaluation guidance.i
- i The EPA will post final evaluation reports on publicly accessible websites established for this purpose. See Section III.D of the title V evaluation guidance.i
- i A best practice for resolving concerns that arise during or after an evaluation is to use collaborative approaches, such as face-to-face meetings between the air agency and the EPAi when possible, and preferably prior to taking formal approaches provided for in the part 70 regulations. See Section III.Eiof the title V evaluation guidance.

Other Available Guidance:

- i EPA guidance on the sufficiency of fees and other fee requirements of part 70 for permitting programs, including guidance on certain requirements related to fee demonstrations. See Sectioni IV of the title V evaluation guidance.i
- i EPA guidance on governmental accounting standards tailored to the part 70 program, including an example method for calculating annual fees, costs, and the "presumptive minimum" fee amount;i types of revenue that may be counted as "fees"; clarification on the definition of "direct costs,"i "other direct costs," and "indirect costs"; and a review of methods for determining indirect costs.i See list of EPA guidance on part 70 fee requirements in Attachment B of the title V evaluationi guidance.i

Finally, the title V evaluation guidance contains several attachments:i

- i Attachment A is a checklist that may be used by the EPA to help plan for a particular program or i fee evaluation using a step-by-step approach with suggested timeframes for completing each step,i including a timeframe for the issuance of the final evaluation report.i
- i Attachment B is a list of reference documents and other resources that may be useful as backgroundi information for reviewing issues that may arise during a program or fee evaluation.i
- i Attachment C provides an example annual financial data reporting form. It may be used as a tooli to collect information to track an air agency's compliance with certain part 70 fee requirements.i The form may be used to track information on fee revenue, program costs, and the presumptivei minimum fee amount for a particular air agency. The example form also includes helpfuli explanations of common accounting terms referenced in part 70.i

The EPA is also working to increase and improve internal collaboration, communication,i expertise, and the sharing of information between the EPA staff working on title V evaluations. Fori example, as a best practice, the EPA plans to establish an internal system to facilitate staff input on and sharing of evaluation tools and evaluation reports.

⁵ See *Final FY 2017 OAR National Program Manager Guidance Addendum*, U.S. EPA, Publication Number 440B16001 (May 6, 2016) (NPM guidance) located at <https://www.epa.gov/sites/production/files/2016-05/documents/fy17-oar-npm-guidance-addendum.pdf>.

The development of this guidance included outreach and discussions with stakeholders, including the EPA Regions, the National Association of Clean Air Agencies, and the Association of Air Pollution Control Agencies.

If you have any questions concerning the title V evaluation guidance, please contact Juan Santiago, Associate Director, Air Quality Policy Division, Office of Air Quality Planning and Standards, at (919) 541-1084 or *santiago.juan@epa.gov*.

Attachments

1. Program and Fee Evaluation Strategy Guidance for 40 CFR Part 70 (“title V evaluation guidance”)
2. Attachment A – Evaluation Checklist for 40 CFR Part 70
3. Attachment B – Resources
4. Attachment C – Example Annual Financial Data Form for 40 CFR Part 70

DISCLAIMER

These documents explain the requirements of the EPA's regulations, describe the EPA's policies, and recommend procedures for sources and permitting authorities to use to ensure that program evaluations and fee evaluations are consistent with applicable regulations. These documents are not a rule or regulation, and the guidance they contain may not apply to a particular situation based upon the individual facts and circumstances. The guidance does not change or substitute for any law, regulation, or any other legally binding requirement and is not legally enforceable. The use of non-mandatory language such as "guidance," "recommend," "may," "should," and "can," is intended to describe the EPA's policies and recommendations. Mandatory terminology such as "must" and "required" is intended to describe controlling requirements under the terms of the Clean Air Act and the EPA's regulations, but the documents do not establish legally binding requirements in and of themselves.

Program and Fee Evaluation Strategy Guidance for 40 CFR Part 70

I. Principles and Best Practices for EPA Oversight of Permitting Programs

As part of the EPA's ongoing efforts to strengthen partnerships with state, local, and tribal agencies (referred to here as, "air agencies"), in 2016, the EPA established common principles and best practices for oversight of state permitting programs for air, water, and solid waste. *See Promoting Environmental Program Health and Integrity: Principles and Best Practices for Oversight of State Permitting Programs*, August 30, 2016.¹ The principles and best practices are intended to promote efficient and effective oversight that optimizes both collaboration and accountability in support of program health and integrity.

The title V evaluation guidance aligns with these principles and best practices and will consider them in title V evaluations of local and tribal air permitting programs as well as state programs. For example, this guidance provides for air agency evaluations that will be accomplished through clear, accurate, and up-to-date guidance, including guidance on evaluations and fee requirements for air agencies; routine review of air agency programs to identify and implement program improvements; requirements for yearly program evaluations on timeframes established in the Office of Air and Radiation's National Program Manager Guidance (NPM guidance);² the use of tools, including checklists, for planning and tracking the timely completion of evaluations; opportunities for collaboration between the EPA and air agencies throughout the evaluation process; and electronic posting of final evaluation reports.

II. Summary of Title V Requirements for Air Agencies

A. General Program Requirements

Title V of the Clean Air Act (CAA or Act) of 1990 establishes an operating permit program for major sources of air pollutants, as well as some other sources.³ The EPA promulgated regulations under 40 CFR part 70 (part 70), consistent with title V of the Act, to establish the minimum elements for operating permit programs to be administered by permitting authorities.

Air agencies with approved permit programs under part 70 must comply with minimum permit program requirements, such as reviewing application forms, adhering to certain permit processing procedures (including timeframes), ensuring certain permit content, collecting fees sufficient to fund the program, providing for public participation and EPA review of individual

¹ The report is located at https://www.epa.gov/sites/production/files/2016-10/documents/principles_and_best_practices_for_oversight_of_state_permitting_programs.pdf.

² The latest NPM guidance is for FY 2018 and FY 2019: *Final FY 2018 - 2019 OAR National Program Manager Guidance*, U.S. EPA, Publication Number 440P17002 (September 29, 2017) (NPM guidance) located at <https://www.epa.gov/sites/production/files/2017-09/documents/fy18-19-oar-npm-guidance.pdf>. The most recent NPM guidance should be consulted for specific program requirements and timeframes.

³ See CAA §§ 501-507; 42 U.S.C. §§ 7661-7661f.

permits, and supplementing permits with compliance provisions (when needed), among other requirements.⁴

B. Summary of Title V Fee Requirements

The EPA is issuing a separate memorandum and updated fee schedule guidance on the activities that constitute title V permit program costs and must, therefore, be funded by permit fees. The requirements for air agency fee programs are further discussed in Section I of the updated fee schedule guidance.⁵ This title V evaluation guidance identifies best practices and guidance on EPA oversight of air agency fee programs, particularly through program and fee evaluations. Attachment B of the title V evaluation guidance provides a list of all previously issued EPA guidance on part 70 fee requirements. The following is a summary of the fee requirements that will guide the EPA reviews of air agency programs:⁶

- Permit fees must be paid by “part 70 sources,”⁷ and the permit fees must cover all “reasonable (direct and indirect) costs” of the permit program.⁸ If the permit fees at least cover the total permit program costs, the fees are deemed to be sufficient.
- Permit fees paid by “part 70 sources” are “exchange revenue” or “earned revenue” in governmental accounting terminology because a good or service (e.g., a permit) is exchanged by a governmental entity for a price (e.g., a permit fee).⁹ Only revenue classified as “exchange revenue” should be compared to costs to determine the overall financial results of operations for a period.¹⁰ This means that no legislative appropriations, taxes, grants,¹¹ fines and penalties, which are generally characterized as

⁴ See 40 CFR §§ 70.1(a) and 70.4.

⁵ *Updated Guidance on EPA Review of Fee Schedules for Operating Permit Programs Under Title V*, Peter Tsirigotis, Director, OAQPS, to Regional Air Division Directors, Regions 1 – 10, March 27, 2018 (updated fee schedule guidance).

⁶ See the updated fee schedule guidance at Section I. General Principles for Review of Title V Fee Schedules.

⁷ The term “part 70 sources” is defined in 40 CFR §70.2 to mean “any source subject to the permitting requirements of this part, as provided in 40 CFR §§ 70.3(a) and 70.3(b) of this part.”

⁸ See CAA section 502(b)(3)(A); 40 CFR § 70.9(a).

⁹ See Statement of Recommended Accounting Standards Number 7, *Accounting for Revenue and Other Financing Sources and Concepts for Reconciling Budgetary and Financial Accounting*, issued by the Federal Accounting Standards Advisory Board (FASAB) (“FASAB No. 7”) at page 2 and see Statement No. 33, *Accounting and Financial Reporting for Nonexchange Transactions* (December 1998), issued by the Governmental Accounting Standards Board (GASB) at pages 1-4.

¹⁰ See FASAB No. 7 at page 8. For example, see Governmental Accounting Standards Series, Statement No. 33, *Accounting and Financial Reporting for Nonexchange Transactions* (December 1998), issued by GASB, and Statement of Recommended Accounting Standards Number 7, *Accounting for Revenue and Other Financing Sources and Concepts for Reconciling Budgetary and Financial Accounting*, issued by FASAB.

¹¹ Since part 70 fees are “program income” under 40 CFR § 31.25(a), part 70 fees cannot be used as match for section 105 grants, and no state may count the same activity for both grant and part 70 fee purposes. See an October 22, 1993, memo (and several other memos) on this subject, listed in Attachment B of this document.

“non-exchange revenue,”¹² should be compared to program costs to determine if permit fees are sufficient to cover costs.

- i Any fee required by part 70 must “be used solely for permit program costs”—in other words, required permit fees may not be diverted for non-part 70 purposes.^{13,14} Nothing in part 70 restricts air agencies from collecting additional fees beyond the minimum amount needed to cover part 70 program cost; however, all fees (including surplus) must be used for part 70 purposes.i
- i During permit program implementation, the EPA may require “periodic updates” of the “initial accounting” portion of the “fee demonstration” to show whether fee revenue required by part 70 is used solely to cover the costs of the permit program.¹⁵
- i During program implementation, the EPA may also require a “detailed accounting” to show that the fee schedule is adequate to cover costs when an air agency changes its fee schedule to collect *less than* the “presumptive minimum”¹⁶ or if the EPA determines, based on comments rebutting a presumption of fee sufficiency or on the EPA’s own initiative, that there are serious questions regarding whether the fee schedule is sufficient to cover the permit program costs.¹⁷

¹² “Nonexchange revenue” arises primarily from the exercise of governmental power to demand payment from the public (e.g., income tax, sales tax, property taxes, fines, and penalties) and when a government gives value directly without directly receiving equal value in return (e.g., legislative appropriations and intergovernmental grants).

¹³ Part 70 purposes are all activities in a permit program that must be funded by part 70 fees. As the EPA has previously explained in the EPA’s November 1993 memo, *Title V Fee Demonstration and Additional Fee Demonstration Guidance* (“*fee demonstration guidance*”), the types of activities included in a permit program to be funded by permit fees, and the costs of those activities will differ depending on many factors associated with the particular permitting authority. These include the number and complexity of sources within the area covered by the program; how often the permitting authority reviews permits (e.g., some permitting authorities may renew permits every year instead of every 5 years); the universe of sources covered (i.e., some permitting authorities may not opt to defer permitting for non-major sources); the experience of the permitting authority with permitting (e.g., agencies with permitting experience may not need as extensive training programs as those with no operating permit experience); and many other factors. Each permitting authority will have to determine its own permitting effort and what activities are directly or indirectly concerned with operating permits.

¹⁴ See 40 CFR § 70.9(a).

¹⁵ See fee demonstration requirements at 40 CFR §§ 70.9(c) and 70.9(d) and see the EPA’s November 1993 memo, *Title V Fee Demonstration and Additional Fee Demonstration Guidance* (“*fee demonstration guidance*”), on preparing fee demonstrations for the initial part 70 program submittal.

¹⁶ A fee schedule that would result in fees above the “presumptive minimum” is considered to be “presumptively adequate.” The “presumptive minimum” is generally defined to be “an amount *not less than* \$25 per year [adjusted for increases in the Consumer Price Index] times the total tons of the actual emissions of each “regulated air pollutant (for presumptive fee calculation)” emitted from part 70 sources.” Note that the calculation of the “presumptive minimum” also excludes certain emissions and adds a “GHG cost adjustment.” See 40 CFR 70.9(b)(2)(i) through (v).

¹⁷ See 40 CFR § 70.9(b)(5) and Section 2.0 of the fee demonstration guidance for an example “detailed accounting.” The scope and content of a “detailed accounting” may vary but will generally involve information on program fees and costs and accounting procedures and practices that will show how the air agency’s fee schedule will be sufficient to cover all program costs.

III.i Best Practices for EPA Evaluation of Part 70 Programsⁱ

This section includes an overview of title V program and fee evaluations and describes the EPA's recommended best practices for conducting program and fee evaluations. This includes a general process and recommended steps for conducting such evaluations, including a timeframe for completion of final evaluation reports. This section also includes recommendations for activities that may occur after a final evaluation report is issued, including for resolution of concerns raised during an evaluation process, and for public posting of final evaluation reports.

A.i Overview of Part 70 Program and Fee Evaluationsⁱ

In its oversight capacity, the EPA periodically evaluates part 70 programs to ensure that they are being implemented and enforced in accordance with the requirements of title V and part 70. Program and fee evaluations help the EPA pinpoint areas for program improvement, determine if previously suggested areas of improvement have been addressed by the air agency, and identify best practices that can be shared with other air agencies and the EPA Regions to promote program health and integrity.

The frequency and timeframes for conducting part 70 evaluations are documented in the NPM guidance.¹⁸ The frequency and timeframe for a specific evaluation should be consistent with the NPM guidance for the period in which the evaluation occurs.¹⁹ The current NPM guidance requires each EPA Region to complete one part 70 evaluation each year. This means that final evaluation reports should be issued within a 1-year timeframe.²⁰ It may be possible for the EPA to complete some evaluations on a shorter timeframe than specified by the NPM guidance when the scope of an air agency evaluation is tailored to some element of the program, based on previous performance, as evidenced by previous evaluations. Looking for these opportunities and completing evaluation reports in less than a year is encouraged as a best practice.

Program evaluations can be conducted on any particular element or elements of the part 70 program, including the complete program, or the air agency's implementation (including fee reviews), enforcement, and legal authority for the program.

As a best practice, the EPA Regions should review previous evaluation results that may help inform and tailor the appropriate scope of an upcoming evaluation and may give particular focus to issues that have previously been identified as problematic. In addition, the EPA Regions should be aware of any recent statutory or regulatory changes (including to federal or state rules) and may want to focus part of the evaluation on these newer implementation areas.

¹⁸ The final FY 2018 – 2019 NPM guidance includes a goal for the EPA Regions to perform an evaluation for at least one permitting authority for each EPA Region per year. The Regional goals in the guidance are reviewed periodically and may change in the future.

¹⁹ The NPM guidance is currently revised on a 2-year cycle. The current guidance is effective for fiscal years 2018 and 2019.

²⁰ The EPA notes that program or fee evaluations are not currently required to begin on the first day of the fiscal year; thus, an evaluation may start during one fiscal year and end during the next fiscal year.

To ensure that permitting authorities have adequate resources to implement their part 70 programs, another best practice is to conduct a fee evaluation as part of the overall program evaluation. The content and scope of a fee evaluation may be specific to the air agency being evaluated, but frequent topics include those identified in Sections II.B and IV of this title V evaluation guidance.

B. Preparing for Title V Evaluations

Developing an evaluation checklist and an evaluation questionnaire can help expedite the program review process and is considered a best practice for the EPA Regions in preparing for a part 70 program evaluation. An example evaluation checklist, to plan for and track the progress of a particular evaluation, is provided in Attachment A. An evaluation checklist provides a framework of specific topics to be evaluated and recommended steps leading to issuance of a final evaluation report, including a timeline based on the 1-year timeframe of the current NPM guidance. Note that the timeframes for the individual steps in the example checklist are flexible, provided the 1-year overall timeframe is met. Another recommended best practice is to share the checklist with the air agency prior to the actual evaluation to assist them in preparing for the evaluation.

An evaluation questionnaire is another tool that the EPA Regions may prepare in advance of an evaluation. Typically, an evaluation questionnaire is a compilation of specific questions intended to gather information and data from an air agency to assist the EPA in its evaluation of a particular part 70 program. As a best practice, the EPA Regions should share draft questionnaires with other EPA Regions or Headquarters offices to seek input and share “lessons learned” prior to transmitting to the air agency. Collaboration can enhance national consistency and help the Regional office learn from the experiences of other Headquarters offices.

C. Information and Data Gathering Phase

An important initial step of any program or fee evaluation is gathering information about current program implementation. Typically, an evaluation formally begins when the EPA Region sends a letter to the air agency informing the agency of the EPA’s intent to conduct an evaluation, with a request for specific information and data needed to conduct the evaluation. Usually such a letter will be preceded by an informal call or email to provide the air agency with notice of the evaluation. The letter should specify the scope of the evaluation and a timeline for when a response from the air agency is expected. As a best practice, if the EPA Region intends to use an evaluation questionnaire, that questionnaire should be included with the letter.

The next recommended step is for the air agency to respond in writing to the EPA’s questions and provide the information or data that was requested. The length of time to complete this step is dependent on the scope of the evaluation and the air agency’s data collection systems. If the air agency foresees an issue with providing the information requested in a timely manner, it should reach out to the EPA Region to discuss steps to address the issue and reach consensus on a revised timeline.

If resources allow, the EPA Region should, as a best practice, conduct an in-person meeting with the air agency shortly after sending the letter (and questionnaire if one is to be used) to answer

preliminary questions on timing and scope. In addition, the EPA Region and the air agency could hold a follow-up meeting to discuss the air agency's draft response. In preparing for these meetings, the EPA staff should make every effort to gather as much relevant information as possible before meeting with the air agency in order to make the best use of time.

In addition to the evaluation questionnaire, another method for collecting information or data for an evaluation includes file and permit reviews. File reviews may also be used by the EPA to evaluate the effective implementation of certain program responsibilities (e.g., to quality assure fee collection procedures). The EPA may use a permit review (reviewing a sample of issued permits) to evaluate whether the air agency is satisfying permit-content requirements and permit-issuance procedures in practice.²¹

D. Evaluation Report Phase

The EPA staff should document each title V evaluation in an evaluation report. The report may describe concerns identified during the evaluation and, if any concerns are identified, may include recommended corrective actions with intended timeframes for resolution. The EPA may also ask the air agency to provide an explanation of how it will resolve these concerns and an estimate of the timeframe needed for the air agency to complete its work.

The EPA staff drafting the evaluation report should consult with Regional management or Headquarters offices as needed, particularly if the report addresses nationally significant issues. Once completed, the draft evaluation report's findings and recommendations, including those addressing novel or controversial issues, should be shared with EPA management and other offices.

As a best practice, the EPA should provide the draft report to the air agency with an option to provide comments back to the EPA. During this time, the EPA and the air agency may also choose to have further discussions of the draft report findings. If further discussion occurs, additional time may be necessary to complete the final report and corrective action plan.

After attaching any air agency comments to the report and revising the report to incorporate input from EPA management and the air agency being evaluated, the final report should be signed by the relevant EPA air program manager or other designated EPA official. The final report should then be transmitted to the air agency and an electronic copy should be posted on a publicly accessible website maintained by the EPA (the Regional websites are linked to the national webpage for the part 70 program).²² As a best practice, any supporting information related to the evaluation should be posted on the EPA website with the final report, including the air agency's response to the questionnaire, relevant communications, and other supporting data. Approaches used to address novel or controversial issues should be summarized and shared for potential use in future reviews.

²¹ See 40 CFR §§ 70.6 and 70.7.

²² See <https://www.epa.gov/title-v-operating-permits/epa-oversight-operating-permits-program>.

E. Post-Report Activities

Activities that occur after the EPA transmits the final evaluation report are not included in the 1-year timeframe for completing the evaluation process pursuant to the NPM guidance. Subsequent activities will proceed on a separate track under different timeframes.

The EPA may provide an opportunity for the air agency to respond in writing to the final evaluation report, particularly in cases where the EPA identified concerns but a corrective action plan was not agreed upon during the preparation of the final report. This step is not necessarily part of the evaluation process and may proceed on a separate track. The EPA would not expect such responses to necessarily be part of the final report, particularly in cases where the responses occur after the final report has been transmitted to the air agency. However, these post-report responses may be included as supporting information on the website, along with the final report.

The EPA encourages its staff to, where possible, conduct in-person meetings with their air agency counterparts in order to best facilitate resolution of any issues identified in the report. Depending on the complexity of the issue, such face-to-face meetings may be facilitated by the involvement of a third-party negotiator or other EPA offices (e.g., the Office of the Chief Financial Officer) as appropriate. Such meetings may prove useful to resolve straight forward issues that can be expeditiously resolved (e.g., permit administration or implementation issues that do not require regulatory changes), as well as to discuss long-term plans for resolving more complex issues (e.g., where resolution may involve changes to statutory authority, regulatory changes, or a multi-step process that may take multiple years to complete). In cases where initial discussions between the EPA and air agency staff do not result in a plan to resolve issues, a best practice is to elevate the issue to the management level (e.g., EPA and air agency management).

Finally, if the issue resolution process described above fails to resolve the issues identified during a program or fee evaluation, the EPA has the authority to consider whether an official EPA finding of a program deficiency is warranted.²³ The decision to make such a finding should be coordinated with EPA management at the Regional and Headquarter level. Section 502(i) of the Act provides that whenever the EPA Administrator determines that an air agency is not adequately administering or enforcing a title V program, or any portion of a title V program, the EPA shall provide notice to the air agency and may take certain measures intended to incentivize compliance. In practice, the EPA refers to the determination as a “finding,” the inadequate administration or implementation as a “deficiency,” and the notice as a “Notice of Deficiency” (NOD).²⁴ The EPA will use its best judgment to decide when a finding of a program deficiency is warranted; whenever such a finding is made, the EPA will issue an NOD and follow the requirements that flow from that finding.

²³ See 40 CFR §§ 70.10(b) and 70.4(i)(1).

²⁴ NODs are published in the *Federal Register*.

IV. Assessment of Fee Sufficiency and Other Fee Requirements

This section discusses the requirement for part 70 permit fees to be sufficient to cover program costs, including requirements for updates to certain elements of part 70 fee demonstrations, including for “periodic updates” to the “initial accounting” and for a “detailed accounting” in certain circumstances. This section also discusses Attachment C, which is an example annual financial data reporting form that may be used to report fee revenue, program costs, and to calculate the “presumptive minimum” for an air agency for a particular year.

Fee sufficiency. The part 70 rule uses the term “sufficient” in relation to fees and costs.²⁵ Since the question of whether fees are sufficient is a key concern that may be considered by the EPA as part of a program or fee evaluation, further explanation may be helpful:

- Section 502(b)(3)(A) of the Act requires permit programs to fund all “reasonable (direct and indirect) costs” of the permit programs through permit fees collected from sources. Similarly, part 70 requires the fees to be paid by “part 70 sources,”²⁶ requires the fees to be sufficient to cover all reasonable permit program costs, and requires the fees to be used “solely” for permit program costs.²⁷
- The costs against which fees are compared must include, at a minimum, certain activities required by the part 70 rules²⁸ and all “reasonable (direct and indirect) costs.”²⁹ Additional discussion on the revenue and costs that should be used in this comparison is provided in the separate updated fee schedule guidance as well as Section II.B of this title V evaluation guidance.
- If concerns regarding fee sufficiency are raised by the EPA, the EPA will typically follow the issue resolution procedures discussed in Section III.E of this title V evaluation guidance.

Initial fee demonstration. As part of the initial part 70 program submittal to the EPA, air agencies are required to provide a “fee demonstration” to show that the fee schedules selected by the air agencies would result in the collection and retention of fees in an amount sufficient to meet the fee requirements of part 70.³⁰ The contents of the “fee demonstration” vary depending on the status of the air agency with respect to the “presumptive minimum”:

²⁵ See 40 CFR §§ 70.9(a), (b) and (c).

²⁶ The term “part 70 sources” is defined in 40 CFR § 70.2 to mean “any source subject to the permitting requirements of this part, as provided in 40 CFR §§ 70.3(a) and 70.3(b) of this part.” Thus, a source is a part 70 source prior to obtaining a part 70 permit if the source is subject to permitting under the applicability provisions of 40 CFR § 70.3.

²⁷ See 40 CFR § 70.9(a).

²⁸ See 40 CFR § 70.9(b)(1).

²⁹ CAA section 502(b)(3)(A).

³⁰ See the fee demonstration requirements at 40 CFR §§ 70.9(c) and 70.9(d) and the EPA’s November 1993 memo, *Title V Fee Demonstration and Additional Fee Demonstration Guidance* (“fee demonstration guidance”), on preparing fee demonstrations for the initial part 70 program submittal. See 40 CFR § 70.9(c), (d).

- Air agencies with fee schedules that would result in fees above the “presumptive minimum” are required to submit a “presumptive minimum program cost” demonstration showing that the expected fee revenue would in fact be above the “presumptive minimum”³¹ and also provide an “initial accounting”³² to show that fees would be used solely to cover part 70 program costs.
- Air agencies with fee schedules that would result in fees below the “presumptive minimum” are required to submit a “detailed accounting”³³ showing that the expected fee revenue would still be sufficient to cover part 70 program costs and an “initial accounting”³⁴ to show that the required fees would be used solely to cover part 70 program costs.

Also, as part of the initial program submittal, part 70 requires the submittal of several additional elements with respect to program costs.³⁵

Detailed accounting. After program approval, a “detailed accounting” that permit fees are collected and retained in an amount sufficient to cover all reasonable direct and indirect costs is required in the following two circumstances:³⁶

- When an air agency sets a fee schedule that would result in an amount less than the “presumptive minimum,”³⁷ or
- When the EPA determines—based on comments rebutting the presumption or its own initiative—that there are serious questions regarding whether the fee schedule is sufficient to cover costs.

A “detailed accounting” for an approved part 70 program would be based on data on fee revenue and program costs. The level of detail required in the “detailed accounting” remains at the discretion of the EPA and will depend on circumstance-specific factors related to the air agency being evaluated.³⁸

Periodic updates. After program approval, the EPA may require “periodic updates”³⁹ to the “initial accounting” element of the fee demonstration to confirm that required fees are being used solely to cover part 70 costs. A “periodic update” for an approved part 70 program is based on

³¹ This fee demonstration is referred to as the “presumptive minimum program cost” demonstration in Sections 1.1 and 3.2 of the EPA’s November 1, 1993, memo, *Title V Fee Demonstration and Additional Fee Demonstration Guidance* (“*fee demonstration guidance*”).

³² See 40 CFR § 70.9(d).

³³ See 40 CFR § 70.9(b)(5) and an example “detailed accounting” in Section 2.0 of the fee demonstration guidance.

³⁴ See 40 CFR § 70.9(d).

³⁵ See, e.g., 40 CFR § 70.4(b)(8)(v).

³⁶ See the “detailed accounting” requirements at 40 CFR § 70.9(b)(5)(1).

³⁷ The calculation of the “presumptive minimum” is provided in 40 CFR §§ 70.9(b)(2)(i) through (v).

³⁸ See the fee demonstration guidance, Section 2.0, for an example “detailed accounting.”

³⁹ See the “periodic update” provision at 40 CFR § 70.9(d).

records showing that required fee revenue is actually being retained and used to cover the reasonable direct and indirect costs of the part 70 program.

Example annual financial reporting form. Attachment C of this title V evaluation guidance is an example annual financial reporting form for part 70. This tool may be used to help track the collection of fee revenue, program costs, and the presumptive minimum fee amount for a particular air agency. Attachment C also includes helpful explanations of common accounting terms used for part 70 purposes. This example annual financial reporting form represents one way to collect the information previously described and is not required by part 70 for any particular oversight activity.

V.i Identification of Financial and Accounting Expertise for Fee Reviews

TheaOIG Report requested thatthe EPA explain how to leverage financial or accounting expertise toassist with fee evaluations. Historically, the EPA staff with scientific, engineering, or similar technical degrees or experience are tasked with air agency program and fee evaluations.

A recommended best practice is to seek the assistance of existing EPA staff with governmental accounting, financial, or economics expertise, who work outside of the part 70 program (e.g., staff involved in grants administration or in determining the economic penalty of noncompliance for civil penalty assessment) to assist with fee evaluations as needed. One way for the EPA to seek internal assistance for fee evaluations would be to offer a formal detail opportunity (a temporary reassignment for a set period of time) for a financial or accounting professional to work on part 70 evaluations. Another way to seek internal EPA assistance would be to use the EPA's Skills Marketplace.⁴⁰

EPA staff without financial or accounting expertise who want to become familiar with state, local, or tribal financial and accounting standards and practices may consider reviewing governmental accounting guidance issued by the national accounting standards board (e.g., the Governmental Accounting Standards Board (GASB)) and financial or audit reports generated by the air agency. Financial oraccounting audit reports generated by the air agency may also provide useful data, address emerging issues with the part 70 program, or confirm that known fee issues are being addressed.

Financial or accounting guidance.aThe primary focus of part 70 fee evaluations is to review whether the air agency's fee program is being implemented consistent with part 70 requirements (see Section II of this guidance, *Summary of Title V Requirements for Air Agencies*). The focus of fee evaluations under part 70 is different from the focus of typical financial or accounting "audits" (as that term is used in the accounting profession).⁴¹ Attachment B of this guidance

⁴⁰ The Skills Marketplace is a component of the EPA's recently launched Talent Hub Portal SharePoint site located at: https://usepa.sharepoint.com/sites/OA_Applications/TalentHub/smp/SitePages/Home.aspx.

⁴¹ In the accounting profession, the primary purpose of an audit is to verify that financial statements of governmental or private entities are consistent with specific accounting criteria.

includes several examples of governmental accounting or financial guidance and other resources that may be useful for technical staff to build expertise in these areas.

Financial or accounting audit reports generated by air agencies. Audit reports or financial reports prepared by air agencies for their own accounting, budgeting, or oversight purposes may include useful background information for fee evaluations, including caseload statistics, historical funding patterns, funding sources, and identification of program performance issues. The GASB requires air agencies to prepare annual financial reports to determine compliance with their budgetary requirements or finance-related requirements. Most air agencies follow these requirements through review of financial reports by an auditor, with preparation of the reports by the air agency budget office, legislature, or by the department itself. Most air agencies also require local programs to be audited for submittal to the state auditor. These financial audits are typically conducted at the departmental level, but part 70 data may be available upon request. Such reports are not required by the EPA, but, if available and timely, they may provide useful information for program or fee evaluations.

ATTACHMENT A

Evaluation Checklist for 40 CFR Part 70

Regardless of the type of evaluation being conducted (program, fee, or combination of the two), the EPA describes the evaluation process as consisting of two phases: 1) Information and Data Gathering Phase and 2) Evaluation Report Phase, each of which is composed of several recommended steps. The requirement of the EPA's national program manager guidance ("NPM guidance") for fiscal years 2018 and 2019 is for part 70 evaluations to be completed within 1 year.¹ The checklists in Tables 1 and 2 describe the phases, recommended steps, and timeframes for each phase and step, leading to completion of the evaluation process within the 1-year timeframe.

The EPA Regions may revise this checklist to meet their needs. For example, the column for recommended duration could be replaced with expected dates for completion of each step for planning purposes, and steps that do not apply for a specific evaluation could be deleted. The column for comments could be used to document reasons why expected timeframes were not met or other relevant information concerning implementation of a step.

Information and Data Gathering Phase

An EPA letter requesting certain information from the air agency, and the air agency's response is the first phase of the evaluation process. The recommended best practice for this phase is that it takes no longer than 160 days. Recommended steps and durations for the steps are listed in Table 1.

Evaluation Report Phase

Drafting and finalization of the evaluation report is the second phase of the evaluation process. The recommended timeframe for this phase is 205 days. Specific steps and a recommended duration for each step are listed in Table 2.

¹ *Final FY 2018 - 2019 OAR National Program Manager Guidance*, U.S. EPA, Publication Number 440P1 7002 (September 29, 2017) (NPM guidance) located at <https://www.epa.gov/sites/production/files/2017-09/documents/fy18-19-oar-npm-guidance.pdf>.

Table 1: Information and Data Gathering Phase Checklist
(It is recommended that this phase take no more than 160 days.)

Description	Recommended Duration	Checklist	Comments
The Region drafts a checklist and sends an information request letter to the state, local or tribal agency (“air agency”).	No longer than 40 days.	<input type="checkbox"/> Start drafting letter and checklist:a ___/___/___ <input type="checkbox"/> Letter transmitted:a ___/___/___	
Air agency responds to questions in writing.	No longer than 120 days. [†] This phase should be completed within 80 days of project initiation.	<input type="checkbox"/> Air agency response received:a ___/___/___	

[†] The scope of the evaluation and sophistication of the data collection systems employed by the air agency will inform the time needed for this step.

Table 2: Program and/or Fee Evaluation Report Phase Checklist
(It is recommended that this phase take no more than 205 days.)

Description	Recommended Duration	Checklist	Comments
The Region reviews the air agency response and drafts evaluation report. EPA HQ consultation as needed.	No longer than 60 days.	<input type="checkbox"/> Regional review of air agency response <input type="checkbox"/> Consultation with HQ (as needed) Date step completed: ____/____/____	
The EPA and the air agency meet to discuss results (optional).	No longer than 30 days after draft report available.	<input type="checkbox"/> EPA & air agency meeting to discuss results: ____/____/____	
EPA Regional management briefed on draft report; copy provided to air agency for comment (optional).	No longer than 50 days. ^{††}	<input type="checkbox"/> EPA management briefing: ____/____/____ <input type="checkbox"/> Draft report sent for comment: ____/____/____	
Air agency responds to draft report with comments (optional).	No more than 30 days.	<input type="checkbox"/> Air agency response received: ____/____/____	
The EPA releases final version of evaluation report.	No more than 35 days. [‡]	<input type="checkbox"/> Final evaluation report released: ____/____/____	

^{††} If an air agency will not be providing comments on the report, the EPA Region could issue the final report by the end of this step or 140 days.

[‡] Some air agencies may request that the EPA also release the air agency's response with the release of the final evaluation report. The EPA recommends that Regions include such responses in their final reports, when practicable.

ATTACHMENT B

Resources

This is a list of resources where users can find additional information related to the requirements and issues discussed in this document.

Part 70 Monitoring Requirements

- a Source Monitoring Guidance:
 - a Monitoring Knowledge Base: <http://cfpub.epa.gov/oarweb/mkb/>.
 - a Compliance Assurance Monitoring: <http://www3.epa.gov/ttn/atw/cam/ricam.html>.
 - a Emissions Measurement Center: <http://www3.epa.gov/ttn/emc/>.
- a Preconstruction Review:
 - a For EPA resources concerning preconstruction review permitting, see <http://www2.epa.gov/nsr>.
 - a For EPA guidance memos on preconstruction review, see <https://www.epa.gov/nsr/new-source-review-policy-and-guidance-document-index>.

EPA Responses to Part 70 Petitions (EPA Orders)

- a See EPA responses and petitions at <https://www.epa.gov/title-v-operating-permits/title-v-petition-database>.

Greenhouse Gas Permitting Requirements

- a October 23, 2015a Standards of Performance for Greenhouse Gas Emissions From New, Modified, and Reconstructed Stationary Sources: Electric Utility Generating Units, Final Rule: <https://www.gpo.gov/fdsys/pkg/FR-2015-10-23/pdf/2015-22837.pdf>.

Guidance on Government Accounting Standards

- a Handbook of Federal Accounting Standards and Other Pronouncements, as Amended, as of June 30, 2015, Federal Accounting Standards Advisory Board (FASAB Handbook):
http://www.fasab.gov/pdf/files/2015_fasab_handbook.pdf
 - a Statement of Federal Financial Accounting Standards 4: *Managerial Costs Accounting Standards and Concepts*, page 396 of the FASAB Handbook (June 2015) (“SFFAS No. 4”).a
 - a Statement of Federal Financial Accounting Standards 7: *Accounting for Revenue and Other Financial Sources and Concepts for Reconciling Budgetary and Financial Accounting*, page 592 of the FASAB Handbook (June 2015) (“SFFAS No. 7”).
- a Statements of the Governmental Accounting Standards Board (GASB Statements):a
<http://www.gasb.org/cs/ContentServer?c=Page&pagename=GASB%2FPage%2FGASBSectionPage&cid=1176160042391>
 - Statement No. 33, *Accounting and Financial Reporting for Nonexchange Transactions* (December 1998) (“GASB Statement No. 33”):a
http://www.gasb.org/jsp/GASB/Document_C/GASBDocumentPage?cid=1176160029148&acceptedDisclaimer=true
 - Statement No. 34, *Basic Financial Statements – and Management’s Discussion and Analysis – for State and Local Governments* (June 1999) (“GASB Statement No. 34”):
http://www.gasb.org/jsp/GASB/Document_C/GASBDocumentPage?cid=1176160029121&acceptedDisclaimer=true
- a Examples of air agency financial or performance audit reports:
 - - a Accountability, *New York State Department of Environmental Conservation, Report of Title V Operating Permit Program Revenues, Expenses and Changes in Fund Balance for the Two Fiscal Years Ended March 31, 2009*, Report Number a 2010-S-61. Accessed January 19, 2017, at:
www.osc.state.ny.us/audits/allaudits/093011/10s61.pdf
 - a State of Washington, Department of Ecology, *Air Operating Permit Program Report Fiscal Year 2014*. Publication Number 15-02-008. Accessed January 19, 2017, at www.fortress.wa.gov/ecy/publications/documents/1502008.pdf
 - a State of North Carolina, Division of Air Quality, Department of Environment and Natural Resources, *Title V Air Quality Permit Program Accountability Report*, November 2009. Accessed January 19, 2017, at:
www.ncleg.net/documents/sites/committees/ERC/ERC%20Reports%20Received/2009/Dept%20of%20Environment%20and%20Natural%20Resources/2009-Nov%20-%20TitleV%20Air%20Quality%20Permit%20Program.pdf

List of EPA Guidance on Part 70 Fee Requirements

- a January 1992a– *Guidelines for Implementation of Section 507 of the Clean Air Act Amendments – Final Guidelines*, U.S. EPA, Office of Air Quality Planning and Standards (OAQPS), U.S. EPA. See pages 5 and 1-12 concerning fee flexibility for small business stationary sources:
<http://www.epa.gov/sites/production/files/2015-08/documents/smbus.pdf>
- a July 7, 1993a– *Questions and Answers on the Requirements of Operating Permit Program Regulations*, U.S. EPA. See Section 9 at page 9-1: a
http://www.epa.gov/sites/production/files/2015-08/documents/bbrd_qa1.pdf
- a August 4, 1993a– *Reissuance of Guidance on Agency Review of State Fee Schedules for Operating Permit Programs Under Title V*, John S. Seitz, Director, OAQPS, U.S. EPA to Air Division Directors, Regions I-X (“1993 fee schedule guidance”). Note that there was an earlier document on this subject that was superseded by this document:
<http://www3.epa.gov/ttn/naaqs/aqmguide/collection/t5/fees.pdf>
- a August 9, 1993a– *Acid Rain-Title V Guidance on Fees and Incorporation by Reference*, Brian J. McLean, Director, Acid Rain Division, U.S. EPA to Air, Pesticides, and Toxics Division Directors, to Regions I, IV, and VI, Air and Waste Management Division Director, Regional I, Air and Toxics Division Directors, Regions II, VII, VIII, IX, and X and Air and Radiation Division Director, Region V:
<http://www.epa.gov/sites/production/files/2015-08/documents/combo809.pdf>
- a September 23, 1993 – *Matrix of Title V-Related and Air Grant-Eligible Activities*, OAQPS, U.S. EPA, The matrix notes that it is to be read and used in concert with the August 4, 1993 fee [schedule] guidance (“matrix guidance”):
<http://www.epa.gov/sites/production/files/2015-08/documents/matrix.pdf>
- a October 22, 1993a– *Use of Clean Air Act Title V Permit Fees as Match for Section 105 Grants*, Gerald M. Yamada, Acting General Counsel, U.S. EPA to Michael H. Shapiro, Acting Administrator, Office of Air and Radiation, U.S. EPA:
[http://yosemite.epa.gov/oarweb_docket.nsf/filings%20by%20appeal%20number/957acb8b03e0cca70852574b0005aa688/\\$file/additional%20filing%20%20no.il%20...22.pdf](http://yosemite.epa.gov/oarweb_docket.nsf/filings%20by%20appeal%20number/957acb8b03e0cca70852574b0005aa688/$file/additional%20filing%20%20no.il%20...22.pdf)
- a November 11, 1993 – *Title V Fee Demonstration and Additional Fee Demonstration Guidance*, John S. Seitz, Director, OAQPS, U.S. EPA to Director, Air, Pesticides and Toxics Management Division, Regions I and V, Director, Air and Waste Management Division, Regional I, Director, Air, Radiation and Toxics Division, Regional II, Director, Air and Radiation Division, Region V, Director, Air, Pesticides and Toxics Division, Region VI, Director, Air and Toxics Division, Regions VII, VIII, IX, and X (“fee demonstration guidance”):
<http://www3.epa.gov/ttn/naaqs/aqmguide/collection/t5/feedemon.pdf>

- a July 21, 1994a– *Transition from Funding Portions of State and Local Air Programs with Permit Fees Rather than Federal Grants*, Mary D. Nichols, Assistant Administrator for Air and Radiation, U.S. EPA to Regional Administrators, Regions 1– X: <http://www.epa.gov/sites/production/files/2015-08/documents/grantmem.pdf>.
- a August 28, 1994a– *Additional Guidance on Funding Support for State and Local Air Programs*, Mary D. Nichols, Assistant Administrator for Air and Radiation, U.S. EPA to Regional Administrators, Regions 1– X (“additional guidance memo”): <http://www.epa.gov/sites/production/files/2015-08/documents/guidline.pdf>.
- a January 23, 1996a– Letter from Conrad Simon, Director, Air & Waste Management Division, U.S. EPA to Mr. Billy J. Sexton, Director, Jefferson County Department of Planning and Environmental Management, Air Pollution Control District, Louisville, Kentucky (“Sexton memo”): https://www.epa.gov/sites/production/files/2016-04/documents/sexton_1996.pdf.
- a January 1997 – *Overview of Clean Air Title V Financial Management and Reporting– An Handbook for Financial Officers and Program Managers*, Environmental Finance Center, a University of Maryland, Maryland Sea Grant College, University of Maryland. Supported by a grant from the U.S. EPA (“financial manager’s handbook”): <http://www.epa.gov/sites/production/files/2015-08/documents/15finance.pdf>.
- a October 23, 2015 – *Standards of Performance for Greenhouse Gas Emissions from New, Modified and Reconstructed Stationary Sources: Electric Utility Generating Units: Final Rule* (80 FR 64510). See Section XII.E, “Implications for Title V Fee Requirements for GHGs” at page 64633: <http://www.gpo.gov/fdsys/pkg/FR-2015-10-23/pdf/2015-22837.pdf>.
- a March 27, 2018– *Updated Guidance on EPA Review of Fee Schedules for Operating Permit Programs Under Title V*, Peter A. Sirigotis, Director, OAQPS, U.S. EPA, to Regional Air Division Directors, Regions 1– 10 (“updated fee schedule guidance”): <https://www.epa.gov/title-v-operating-permits/title-v-operating-permit-policy-and-guidance-document-index>.

ATTACHMENT C

Example Annual Financial Data Form for 40 CFR Part 70

Permitting Authority: _____

Annual Period: ____/____/____ to ____/____/____ (MM/DD/YYYY)

Annual Program Revenue		
A	Total Program Revenue (Fees Paid by Part 70 Sources)	\$
Annual Presumptive Minimum Cost Calculation		
B	Total Emissions of "Regulated Pollutants (for presumptive fee calculation)"	tons
C	Presumptive Minimum Fee Rate During Period (\$/ton)	\$ per ton
D	Total Greenhouse Gas (GHG) Cost Adjustments (as applicable)	\$
E = (B*C)+D	Presumptive Minimum Cost for the Program	\$
A < E or A ≥ E	Compare Total Program Revenue to Presumptive Minimum Cost Enter: "Less Than" or "Greater Than" or "Equal To"	
Annual Program Costs		
F	Direct Labor Costs ¹	\$
G	Other Direct Costs ²	\$
H = F+G	Total Direct Costs	\$
I	Known Indirect Costs ³	\$
J = K*L	Calculated Indirect Costs ⁴	\$
K	Indirect Rate	%
L	Total Cost Base for the Part 70 Program	\$
M = I or J	Total Indirect Costs	\$
N = H+M	Total Program Costs	\$
O = A - N	Annual Operating Result (Report deficits in parentheses)	\$

¹ This is the sum of all direct labor costs, including regular payroll, overtime payroll, leave, fringe, and any other administrative surcharges.

² This is the sum of all other direct costs, including travel, materials, equipment, contractor, and any other costs directly allocable to the part 70 program.

³ Indirect Costs may either be known or calculated. If known, enter on this row; if calculated, skip to the next three rows.

⁴ If Indirect Costs are calculated, enter the result here, and enter the rate and base below. Accounting or budgeting personnel may be able to provide additional information on or assistance with calculating Indirect Costs.

Program Balance of Accounts (Report deficits in parentheses)		
P	Beginning of Year Balance ⁵	\$
Q = O	Annual Operating Result	\$
R	Fee Revenue Transferred In (describe in comments)	\$
S	Non-Exchange Revenue Transferred In (describe in comments)a- Informational Only	\$
T	Fee Revenues Transferred Out (describe in comments)	\$ ()
U = O+Q+R-T	End of Year Balance	\$

COMMENTS:

Use this section to describe any changes in accounting methods or program elements that affect the fee program, categories of revenue or expenses that do not fit into any of the listed categories or apply across multiple categories, transfers in or out, or any unusual activities or circumstances relevant to fees administration. Attach additional pages if needed.

⁵ This is the prior year's "End of Year Balance."

BACKGROUND – EXAMPLE ANNUAL FINANCIAL DATA FORM FOR PART 40 CFR 70

The Example Annual Financial Data Form is a tool that may be used to collect information from state, local, or tribal (“air agencies”) part 70 programs concerning their compliance with part 70 requirements for fees. The use of this form is not required for any specific air agency or time period and it may be revised as appropriate. Air agencies may find this form useful for collecting programmatic information for their own internal tracking purposes.

Fee sufficiency.^aThe primary purpose of the revenue, costs, and balance of accounts sections of the financial data form is to collect information concerning the sufficiency of fees, consistent with Clean Air Act (Act)§ 502(b)(3)(A) and 40 CFR § 70.9(a). The fee sufficiency requirements include requirements for air agencies to collect annual fees (or the equivalent over some other period) that are sufficient to cover all reasonable direct and indirect costs of the program and to track if required fees are being

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diverted for non-part 70 purposes.^{aa}

Presumptive minimum.^aA secondary use for the financial data form is to assess an air agency’s status with respect to the “presumptive minimum” of part 70.⁷ This assessment may have been important when an air agency was originally approved to collect above the “presumptive minimum,” but changes made over time have resulted in total annual fees being collected that are less than the “presumptive minimum.”⁸ This assessment is important because 40 CFR § 70.9(b)(3) requires air agencies that collect less than the presumptive minimum to submit a “detailed accounting” to ensure fee sufficiency, and air agencies that were originally approved to collect at least the presumptive minimum would not have submitted the detailed accounting with the program submittal. Examples of cases where an air agency’s status in this respect may have changed include where the air agency uses a formula to calculate the presumptive minimum that is outdated or inconsistent with 40 CFR § 70.9(b)(2) or where the program was approved to charge fees to individual sources using the methodology for calculating the presumptive minimum pursuant to 40 CFR § 70.9(b)(2) and the air agency’s requirements for fee payment from individual sources are outdated or inconsistent with the part 70 calculation.⁹

The EPA may use its discretion to decide when this form should be completed by an air agency and which sections of the form should be completed. The EPA will evaluate any information submitted and determine appropriate next steps.

⁶ The requirements that fees be sufficient to cover all reasonable direct and indirect program costs, and that such fees not be diverted for other purposes, applies to all title V permit programs, regardless of whether or not the program was approved to collect “not less than” or “less than” the presumptive minimum.

⁷ The presumptive minimum of CAA§ 502(b)(3)(B) and 40 CFR § 70.9(b)(2) is generally calculated by multiplying a dollar per ton rate (which is adjusted annually for increases in the Consumer Price Index) by the tons of “regulated pollutants (for presumptive fee calculation)” emitted by all part 70 sources in an air agency for a year (or equivalent period) and adding a “GHG cost adjustment,” which is a set dollar amount to reflect certain increased costs for permitting.

⁸ Air agencies have flexibility to charge fees to sources on any basis, including to charge emission fees, application fees, service-based fees, or other types of fees, regardless of whether or not the program was approved to collect “not less than” or “less than” the presumptive minimum.

⁹ The presumptive minimum calculation of 40 CFR § 70.9(b)(2) was updated in 2015 to add a GHG cost adjustment; see the final rule, *Standards of Performance for Greenhouse Gas Emissions from New, Modified and Reconstructed Stationary Sources: Electric Utility Generating Units; Final Rule* (80 FR 64510, October 23, 2015). See Section XI.E, “Implications for Title V Fee Requirements for GHGs” at page 64633:

<http://www.gpo.gov/fdsys/pkg/FR-2015-10-23/pdf/2015-22837.pdf>.

Accounting methods: The part 70 rules do not generally require any particular governmental accounting standards or tracking systems to be used by air agencies. However, part 70 contains certain requirements for tracking permit fees and program costs and for funding the program costs with permit fees that must be met by all air agencies, regardless of the accounting standards and tracking systems being used. Due to variability and changes in accounting standards, systems, and practices, it is important for air agencies to note changes that may affect part 70 fees, costs, and accounting practices in the comments section of this form.

The EPA recognizes the following resources may be helpful in understanding governmental accounting standards as they relate to part 70 programs:

- a Handbook of Federal Accounting Standards and Other Pronouncements, as Amended, as of June 30, 2015, Federal Accounting Standards Advisory Board (FASAB).a
http://www.fasab.gov/pdf/files/2015_fasab_handbook.pdf
 - a Statement of Federal Financial Accounting Standards 4: *Managerial Cost Accounting Standards and Concepts*, page 396 of the FASB Handbook (June 2015) (“SFFAS No. 4”).a
 - a Statement of Federal Financial Accounting Standards 7: *Accounting for Revenue and Other Financial Sources and Concepts for Reconciling Budgetary and Financial Accounting*, page 592 of the FASAB Handbook (June 2015) (“SFFAS No. 7”).a
- a Statements of the Governmental Accounting Standards Board (GASB):
<http://www.gasb.org/jsp/GASB/Page/GASBSectionPage&cid=1176160042391#gasbs25>
 - a Statement No. 33, *Accounting and Financial Reporting for Nonexchange Transactions* (December 1998) (“GASB Statement No. 33”):
http://www.gasb.org/jsp/GASB/Document_C/GASBDocumentPage?cid=1176160029148n&acceptedDisclaimer=true
 - a Statement No. 34, *Basic Financial Statements – and Management’s Discussion and Analysis – for State and Local Governments* (June 1999) (“GASB Statement No. 34”):a
http://www.gasb.org/jsp/GASB/Document_C/GASBDocumentPage?cid=1176160029121n&acceptedDisclaimer=true

Definition of terms: Several terms (e.g., “Direct Labor” and “Indirect Costs”) used in the Example Annual Financial Data Form are not defined in part 70. Some terms are defined in the EPA’s fee guidance (particularly the EPA’s updated fee schedule guidance¹⁰), in the U.S. Office of Management and Budget’s (OMB’s) Circular A-87 Revised (Cost Principles for State, Local, and Indian Tribal Governments), and in the FASB Handbook’s chapter on Managerial Cost Accounting Standards and Concepts (SFFAS No. 4), among other reference documents.

Supporting information: The information reported on this example form should be based on relevant supporting accounting information or documentation. Air agencies that complete the form for submittal to the EPA should maintain such supporting information for submittal to the EPA upon request.

¹⁰ Updated Guidance on EPA Review of Fee Schedules for Operating Permit Programs Under Title V, Peter Tsirigotis, Director, OAQPS, to Regional Air Division Directors, Regions I – 10, March 27, 2018, (updated fee schedule guidance).

INSTRUCTIONS – EXAMPLE ANNUAL FINANCIAL DATA FORM FOR PART 70

These instructions are a general explanation of how to complete the attached Example Annual Financial Data Form for Part 70 (“example financial form”). This form is not required to be submitted on any frequency by air agencies – it is simply a useful example of how an EPA Region may collect financial information related to title V fee requirements. The EPA Regions may revise this form to suit a particular air agency or may opt to only require certain sections be completed.

Annual Program Revenue

- a **Total Program Revenue (Fees Paid by Part 70 Sources)(\$):** Include all title V fees paid directly by part 70 sources, including emission fees, application fees, and other fees under the air agency’s fee schedule.a
- a The fees collected under a part 70 program are referred to as “Exchange Revenue” or “Earned Revenue” in governmental accounting guidance because a good or service is provided by a governmental entity (e.g., a permit) in exchange for a price (e.g., a permit fee).¹¹ Also, governmental accounting guidance provides that only revenue classified as a “Exchange Revenue” should be compared against costs to determine the overall financial results of operations for a period.¹² This means that legislative appropriations, taxes, grants, fines, or penalties, which are generally characterized as “Non-Exchange Revenue,”¹³ should not be compared against costs to determine if fees are sufficient to cover part 70 program costs.a
- a Some part 70 programs have direct access to permit fees to cover costs. However, other part 70 programs are required by state or local law to deposit permit fees into general accounts, with operating costs subject to legislative appropriation. In both scenarios, if the funds were originally paid as permit fees and used for part 70 purposes for the report year, the fees may be considered “Total Program Revenue” and entered as such on the example financial form.a Permit fees that were retained in a prior year and transferred for use in the report year should be reported as “Funds Transferred In.”a
- a Note that any non-part 70 fee revenue (“Non-Exchange Revenue”) should only be identified for informational purposes in the “Program Balance of Accounts” section of the example financial form, specifically the “Non-Exchange Revenue Transferred In” line.¹⁴

¹¹ See Statement of Recommended Accounting Standards Number 7, *Accounting for Revenue and Other Financing Sources and Concepts for Reconciling Budgetary and Financial Accounting*, issued by the Federal Accounting Standards Advisory Board (FASAB) (“FASAB No. 7”) at page 2. Also see Statement No. 33, *Accounting and Financial Reporting for Nonexchange Transactions* (December 1998), issued by the Governmental Accounting Standards Board (GASB) at pages 1-4. Conversely, “Non-Exchange Revenue” arises primarily from the exercise of governmental power to demand payment from the public (e.g., income tax, sales tax, property taxes, fines, and penalties) and when a government gives value directly without directly receiving equal value in return (e.g., legislative appropriations and intergovernmental grants).

¹² See FASAB No. 7 at page 8.

¹³ “Non-Exchange Revenue” arises primarily from the exercise of governmental power to demand payment from the public (e.g., income tax, sales tax, property taxes, fines, and penalties) and when a government gives value directly without directly receiving equal value in return (e.g., legislative appropriations and intergovernmental grants).

¹⁴ Since “Non-Exchange Revenue” is not allowed to be counted as part 70 fees, they should not be compared to costs or carried over to the “Beginning of Year Balance” or “End of Year Balance” lines.

Annual Presumptive Minimum Calculation

This section helps to determine if an air agency's status is considered to be "presumptively adequate" to fund program costs for a year.¹⁵ This determination is relevant to part 70 when an air agency's fee schedule was approved to be above the "presumptive minimum," but due to changes over time, it is now collecting and retaining fee revenue below the "presumptive minimum." When such a change occurs, 40 CFR § 70.9(b)(5) requires the air agency to submit a "detailed accounting" to show that its fees are sufficient to cover the part 70 program costs.

- a Total Emissions of "Regulated Pollutants (for presumptive fee calculation)" (tons/year): Report the actual emissions of "Regulated Pollutants (for presumptive fee calculation)," as the term is defined in 40 CFR § 70.2, for all part 70 sources for the year. Also *see* 40 CFR § 70.9(b)(2)(ii) and (iii) for additional information on emissions that may be excluded from the total. The EPA sometimes refers to these emissions as "Fee Pollutants" since they are only used for fee purposes.^a
- a Presumptive Minimum Fee Rate During Period (\$/ton):^aThe EPA calculates the "Presumptive Minimum Fee Rate" (\$/ton) for part 70 in September of each year, and the fee rate is effective from September 1 through August 31 of the following year. The EPA publishes the fee rate on the EPA's title V permit website.¹⁶ If a part 70 program uses a different 12-month period, then the fee rate in effect at the beginning of the reporting period or an average fee rate (prorated by month) may be used.^a
- a Total Greenhouse Gas (GHG) Cost Adjustments, as applicable (\$):^aA final rule published October 23, 2015, included a "GHG Cost Adjustment," which is part of the calculation of the "presumptive minimum" for an air agency under part 70.¹⁷ The adjustment is intended to reflect the increased costs of permitting GHGs for part 70 programs.^a
- a Presumptive Minimum Cost for the Program (\$): To determine the total "presumptive minimum" for an air agency, multiply the actual emissions of "Regulated Pollutants (for presumptive fee calculation)" by the "Presumptive Minimum Fee Rate" and add the "GHG Cost Adjustment" (as applicable) for the period.^a
- a Compare Revenue to Presumptive Minimum Cost: Compare the "Total Program Revenue" to the calculated "Presumptive Minimum Cost for the Program" to determine if the fee revenue has fallen below the "Presumptive Minimum." If the total program revenue is lower, a "detailed accounting" is required to show that fee revenue is sufficient to cover the program costs.¹⁸

¹⁵ *See* 40 CFR § 70.9(b)(2)(i) through (v) for more on the "presumptive minimum."

¹⁶ *See* <https://www.epa.gov/title-v-operating-permits/permit-fees>.

¹⁷ *See* 80 FR 164659 and 40 CFR §§ 70.9(b)(2)(i) and § 70.9(b)(2)(v) concerning the "GHG cost adjustment" for part 70.

¹⁸ *See* 40 CFR § 70.9(b)(5).

Annual Program Costs

The full cost of a part 70 program is described in accounting terms as being comprised of all reasonable “direct and indirect costs.” To assess the full cost, one should assess the total resources used to conduct a program or complete an activity under a program. Full cost includes all “direct and indirect costs,” regardless of funding sources. “Indirect costs” exist whether or not the program exists, while “direct costs” exist only if the program exists. If, by eliminating the program, a particular cost is eliminated, then the cost is labeled a “direct cost.”

Examples of “Direct Labor Costs,” “Other Direct Costs,” and “Indirect Costs” are provided below. It is beyond the scope of this example financial form to include a review of whether all part 70 program activities described in the separate updated fee schedule guidance¹⁹ are included in the “Direct and Indirect Costs;” however, such a review may be part of a “detailed accounting” or other EPA oversight activity.

- a **Direct Labor Costs (\$):** Salary and wages for direct work on part 70, including for professional, administrative, and supervisory staff. These costs should include fringe benefits (compensation in addition to regular salary and wages). Also, include the portion of “Direct Labor Costs” not covered by employee contributions, such as those associated with employee contributions to insurance and retirement.a
- a **Other Direct Costs (\$):** Direct part 70 expenses, such as materials, equipment, professional services, official travel (i.e., food and lodging), public notice, public hearings, and contractors.a
- a **Indirect Costs (\$):** “Indirect Costs” are funds spent on general administration (sometimes referred to as overhead). For a part 70 program, this is a share of costs associated with managing the organization within which the permit program resides, represented through an “Indirect Rate.” For example, to the extent that a program resides within a larger office, the program may be charged a proportionate share of the overhead expense associated with the larger office. The budget or accounting office of the environmental division or department may be able to provide the indirect costs for part 70 or may be able to assist with determining them using one of the following methods:a
 - a **Known Indirect Costs (\$):** This is the known value of “Indirect Costs” for a part 70 program, as may be provided by an air agency budget or accounting office.a
 - a **Calculated Indirect Costs (\$):** If the “Indirect Costs” are not known, then multiply an “Indirect Rate” (e.g., a percentage that represents a fraction of total costs that are indirect costs) by a known “Total Cost Base” (either “Total Costs” or “Total Labor Costs” for the part 70 program) to calculate “Indirect Costs.” If calculated in this manner, the “Indirect Rate” and the “Total Cost Base” should be included on the example financial form.a
- a **Annual Operating Result (\$):** The difference between the “Total Program Revenue” and “Total Program Costs” reveals the degree to which the program generated a surplus, deficit, or breaks even. If costs exceed fee revenue, then there was a deficit. If fee revenue exceeds costs, then there was a surplus. Deficits should be reported in parentheses to indicate a negative number.

¹⁹ See *Updated Guidance on EPA Review of Fee Schedules for Operating Permit Programs Under Title V*, Peter Tsirigotis, Director, OAQPS, to Regional Air Division Directors, Regions 1 – 10, March 27, 2018 (updated fee schedule guidance).

Program Balance of Accounts

This section of the example financial form shows the program's overall fiscal status over time based on the balance at the beginning of the period, changes in account balances from operations, fund transfers, and resulting year-end balance.

- a Beginning of Year Balance (\$):aThe net balance (surplus or deficit) at the beginning of the year.a If unknown, enter zero. This is the prior year's "End of Year Balance."a
- a Annual Operating Result (\$):aThe amount of fees minus costs for the year. If negative, include in a parentheses to indicate a deficit for the year.a
- a Fee Revenue Transferred In (\$):aPermit fee revenue not already accounted for above that is a transferred from other accounts, such as fee revenue that was collected and retained in prior years used to cover costs for this year. Enter the amount of fee revenue and describe the source of funds in the comments section (e.g., permit fees retained in prior years) and whether the transfers are temporary (e.g., one-time) or permanent (e.g., recurring). If the funds originated as permit fees for the year being reported, enter the amount on the "Total Program Revenue" line, rather than this line.a
- a Non-Exchange Revenue Transferred In (\$): Non-Exchange Revenue (e.g., grants, taxes, penalties, fines, and similar) transferred in to cover program costs. Enter the amount here and describe the source of funds in the comments section. This line is for information only and will not be included in any calculations of permit fee revenue on this form.a
- a Fee Revenue Transferred Out (\$):aPermit fee revenue transferred out of program accounts during a the report year. In the comments section, describe the intended use of the funds and whether the transfer is permanent or temporary. If you intend to use the fees in future years for the part 70a program, please indicate so in a comments. If not, please describe the intended use of funds and whether the fees are in excess of the costs for the year. Any such transfers out will be subject to a close scrutiny by the EPA.a
- a End of Year Balance (\$):aThe net balance (surplus or deficit) at the end of the year. In the comments section, please describe any steps that will be taken to address a significant deficit, if a known or available.

EXAMPLES OF TYPICAL DIRECT AND INDIRECT COSTS

The following examples are intended to help permitting staff understand how various types of costs would be categorized for accounting purposes. For a complete list of part 70 program activities that should be included as part 70 costs, *see* the EPA's separate updated fee schedule guidance.

Direct Costs:

"Direct Costs" consists of two categories: 1) "Direct Labor Costs" and 2) "Other Direct Costs."

- a Examples of Direct Labor Costs:

- Cost of "direct labor";a
- Fringe benefits (i.e., retirement, health insurance, and life insurance); anda
- Leave, holiday, overtime and premium pay, and other personnel costs.a

- a Examples of Other Direct Costs:

- Equipment purchases; anda
- Miscellaneous items, such as supplies and materials, equipment rentals, travel, purchased services such as printing, and contractual services.a

Indirect Costs:

"Indirect Costs" can be thought of as the time spent on administrative support and other office expenses, which are not solely related to the program's operation because they benefit multiple programs or cost objectives, but are needed to operate a part 70 program.

- a Examples of Indirect Costs:a

- Space rental, utilities, including telephones;a
- Administrative support related to an office's overall mission, including such costs as procurement, contracting, office services, property management, vehicle management, supply, finance, payroll, voucher processing, personnel services, records management, and document control;a
- Miscellaneous supplies and materials, including postage;a
- Data processing, management, and control;a
- Equipment rentals and costs;a
- Training and development;a
- Budget development, planning, and coordination;a
- Public information and inquiries;a
- Safety management, including inspection, training, and promotion;a
- Recurring reports, such as accounting or property reports; anda
- Unemployment Compensation, Equal Employment Opportunity Office costs and othera affirmative action program costs.a

DETERMINING THE PROPORTIONAL SHARE OF INDIRECT COSTS

When “Indirect Costs” are not known, they can be calculated through the use of an “Indirect Rate.” Generally, an “Indirect Rate” is calculated by dividing total “Indirect Costs” by total “Direct Costs.” Because air agency accounting methods vary, the indirect and direct costs can be for all environmental programs, the environmental department or division, or the air program. The resulting “Indirect Cost Rate” is the percentage of “Total Costs” that are “Indirect Costs.” The resulting “Indirect Rate” is then multiplied by the “Total Cost Base,” which may be either “Total Direct Labor Costs” or “Total Costs” for part 70, as shown below.

$$\text{Indirect Cost Rate} = \frac{\text{Total Indirect Costs}}{\text{Total Direct Costs}}$$

$$\text{Calculated Indirect Costs} = \text{Indirect Cost Rate} * \text{Total Direct Labor Costs for Part 70}$$

or

$$\text{Calculated Indirect Costs} = \text{Indirect Cost Rate} * \text{Total Costs for Part 70}$$

FOR MORE INFORMATION ON DETERMINING AIR AGENCY COSTS

For further information on determining costs for state, local, and tribal governments, see OMB Circular A-87 Revised, Cost Principles for State, Local and Indian Tribal Government (May 10, 2004) and OMB Circular A-133, Audits of State, Local Governments, and Non-Profit Organizations (last revised June 26, 2007). These guidance documents are not specific to part 70 but are generally useful for understanding costs for the purposes of the part 70 program.



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
RESEARCH TRIANGLE PARK, NC 27711

MAR 27 2018

OFFICE OF
AIR QUALITY PLANNING
AND STANDARDS

MEMORANDUM

SUBJECT: Updated Guidance on EPA Review of Fee Schedules for Operating Permit Programs Under Title V

FROM: Peter Tsirigotis
Director

TO: Regional Air Division Directors, Regions 1 – 10

The attached guidance is being issued in response to the Environmental Protection Agency Office of Inspector General's (OIG) 2014 report regarding the importance of enhanced EPA oversight of state, local, and tribal¹ fee practices under title V of the Clean Air Act (CAA).² Specifically, this guidance reflects the EPA's August 22, 2014, commitment to the OIG in response to OIG's Recommendation 1 to "assess our existing fee guidance and to re-issue, revise, or supplement such guidance as necessary" (we refer to the attached guidance as the "**updated fee schedule guidance**"). The EPA's response to the OIG's other recommendations are being issued concurrently in a separate memorandum and guidance concerning title V program and fee evaluations ("title V evaluation guidance").³

Title V of the CAA and 40 CFR part 70 contain the minimum requirements for operating permit programs developed and administered by air agencies, including requirements that each program issue operating permits to certain facilities (facilities that are "major sources" of air pollution and certain other facilities) and that each program charge fees ("permit fees") to these facilities to fund the permit program. These operating permits are intended to identify all federal air pollution control requirements that apply to a facility ("applicable requirements") and to require the facility to track and report compliance pursuant to a series of recordkeeping and reporting requirements. Section 502(b)(3) of the CAA requires each air agency to collect fees "sufficient to cover all reasonable (direct and indirect) costs required to develop and administer" its title V permit program.⁴ The 40 CFR part 70 regulations establish the minimum program

¹ As used herein, the term "air agency" refers to state, local, and tribal agencies.

² *Enhanced EPA Oversight Needed to Address Risks from Declining Clean Air Act Title V Revenues*; U.S. EPA Office of the Inspector General. Report No. 15-P-0006, October 20, 2014 ("OIG Report").

³ *Program and Fee Evaluation Strategy and Guidance for 40 CFR Part 70*, Peter Tsirigotis, Director, Office of Air Quality Planning and Standards (OAQPS), U.S. EPA, to Regional Air Division Directors, Regions 1 – 10, March 27, 2018 ("title V evaluation guidance"). See the EPA's title V guidance website at <https://www.epa.gov/title-v-operating-permits/title-v-operating-permit-policy-and-guidance-document-index>.

⁴ 42 U.S.C. § 7661a(b)(3)(A).

requirements for operating permit programs, including requirements for fees to be administered by air agencies with approved part 70 programs.⁵

On August 4, 1993, the EPA issued a memorandum, commonly referred to as the “1993 fee schedule guidance,” to provide initial guidance on the Agency’s approach to reviewing fee schedules for part 70 programs.⁶ Since that time, the EPA has issued a number of memoranda and a final rule⁷ that have touched upon, revised, or clarified certain topics contained in the 1993 fee schedule guidance.⁸ The attached updated fee schedule guidance provides additional direction on how the EPA interprets the title V permit issuance and fee collection activities, as well as discussion of other fee requirements for air agencies. In addition to the memoranda and final rule noted above, the updated fee schedule guidance includes numerous changes to remove outdated regulatory provisions and focuses on the review of existing part 70 programs, rather than on initial program submittals.⁹

The updated fee schedule guidance sets forth updated principles, which will generally guide the EPA’s review of part 70 fee programs. These updates are consistent with the fee requirements of title V and part 70, as well as prior guidance on fee requirements. Accordingly, these updates do not themselves provide substantively new fee guidance or create any inconsistencies with fee requirements or prior fee guidance.

The development of this guidance included outreach and discussions with stakeholders, including the EPA Regions, the National Association of Clean Air Agencies, and the Association of Air Pollution Control Agencies.

If you have any questions concerning the updated fee schedule guidance, please contact Juan Santiago, Associate Director, Air Quality Policy Division, Office of Air Quality Planning and Standards, at (919) 541-1084 or santiago.juan@epa.gov.

Attachments:

1. Updated Guidance on EPA Review of Fee Schedules for Operating Permit Programs under Title V
2. Attachment A – List of Guidance Relevant to Part 70 Fee Requirements
3. Attachment B – Example Presumptive Minimum Calculation

⁵ 40 C.F.R. § 70.9.

⁶ See *Reissuance of Guidance on Agency Review of State Fee Schedules for Operating Permits Programs under Title V*, John S. Seitz, Director, OAQPS, U.S. EPA, to Air Division Directors, Regions I-X (August 4, 1993) (“1993 fee schedule guidance”) at page 1. Note that there was an earlier document on this subject that was superseded by the 1993 fee schedule guidance.

⁷ See the October 23, 2015, final rule, *Standards of Performance for Greenhouse Gas Emissions from New, Modified and Reconstructed Stationary Sources: Electric Utility Generating Units*, 80 FR 64510, 64633 (Section XII.E “Implications for Title V Fee Requirements for GHGs”).

⁸ A list of the relevant title V fee-related guidance memoranda is included as Attachment A.

⁹ At this time, all air agencies have EPA-approved part 70 programs. It is conceivable that additional part 70 program submittals will be received in the future for a number of Indian tribes, and, if so, the EPA will work closely with the tribes to assist them with identifying activities which must be included in costs related to the program submittal and to meet other fee requirements of part 70.

DISCLAIMER

These documents explain the requirements of the EPA regulations, describe the EPA policies, and recommend procedures for sources and permitting authorities to use to ensure that title V fee schedules and fee evaluations are consistent with applicable regulations. These documents are not a rule or regulation, and the guidance they contain may not apply to a particular situation based upon the individual facts and circumstances. The guidance does not change or substitute for any law, regulation, or any other legally binding requirement and is not legally enforceable. The use of non-mandatory language such as “guidance,” “recommend,” “may,” “should,” and “can,” is intended to describe the EPA policies and recommendations. Mandatory terminology, such as “must” and “required,” is intended to describe controlling requirements under the terms of the Clean Air Act and the EPA’s regulations, but the documents do not establish legally binding requirements in and of themselves.

Updated Guidance on EPA Review of Fee Schedules for Operating Permit Programs under Title V

The purpose of this document and the attachments is to provide guidance on the Environmental Protection Agency's (EPA's) review of fee schedules for operating permit programs under 40 CFR part 70 (part 70), the regulations that set minimum requirements for permit programs administered by state, local, and tribal air agencies (referred to here as, "air agencies") authorized under title V of the Clean Air Act (CAA or Act). This document updates and clarifies the previous fee schedule guidance issued by the EPA on August 4, 1993 (the "1993 fee schedule guidance").¹ This updated fee schedule guidance clarifies which permit program costs must be included in an analysis to demonstrate that adequate fees are collected to fund all part 70 program costs. The guidance also discusses other fee-related requirements for air agencies. The updated fee schedule guidance focuses on the costs of program implementation, rather than on the costs of initial program development (as was the case for the 1993 fee schedule guidance).

I. General Principles for Review of Title V Fee Schedules

Section 502(b)(3)(A) of the Act requires operating permit programs to fund all "reasonable direct and indirect costs" of the permit programs through fees collected from "part 70 sources"² and requires the fees to be sufficient to cover all reasonable permit program costs.³ The terms "fee schedule" and "permit fees" are sometimes used interchangeably to describe the fees that an air agency charges to part 70 sources to fulfill this requirement.⁴ Section II of this guidance provides an explanation of the term "direct and indirect costs" and a detailed explanation of specific permit program activities to be included in costs for the purpose of analyzing whether the permit fees are sufficient to cover all the permit program costs.

The fees collected under a part 70 program are classified as "exchange revenue" or "earned revenue" in governmental accounting guidance because a good or service (e.g., a permit) is provided by a governmental entity in exchange for a price (e.g., a permit fee).⁵ Also, governmental accounting guidance provides that only revenue classified as "exchange revenue" should be compared to costs to

¹ See *Reissuance of Guidance on Agency Review of State Fee Schedules for Operating Permits Programs under Title V*, John S. Seitz, Director, OAQPS, U.S. EPA, to Air Division Directors, Regions I-X (August 4, 1993) ("1993 fee schedule guidance").

² The term "part 70 sources" is defined in 40 CFR § 7.2 to mean "any source subject to the permitting requirements of this part, as provided in 40 CFR §§ 70.3(a) and 70.3(b) of this part." Thus, a source is a part 70 source prior to obtaining a part 70 permit if the source is subject to permitting under the applicability provisions of 40 CFR § 70.3.

³ See 40 CFR § 70.9(a).

⁴ The fee schedule is typically included in the regulations that the air agency uses to implement part 70; it is a component of the part 70 program. The fee schedule (and other elements of an air agency's regulations for part 70) can vary significantly across air agencies.

⁵ See Statement of Recommended Accounting Standards Number 7, *Accounting for Revenue and Other Financing Sources and Concepts for Reconciling Budgetary and Financial Accounting*, issued by the Federal Accounting Standards Advisory Board (FASAB) ("FASAB No. 7") at page 2. See also Statement No. 33, *Accounting and Financial Reporting for Nonexchange Transactions* (December 1998), issued by the Governmental Accounting Standards Board (GASB) at pages 1-4 ("GASB No. 33").

determine the overall financial results of operations for a period.⁶ This means that legislative appropriations, taxes, grants,⁷ fines and penalties, which are generally characterized as “nonexchange revenue,”⁸ should not be compared to part 70 program costs to determine if permit fees are sufficient to cover costs.

Any fee required by part 70 must “be used solely for permit program costs” (in other words, the fees must not be diverted for non-part 70 purposes).⁹ Many air agencies transfer fees that are in excess of program costs for a particular year into accounts to be used for part 70 purposes in another year when there is expected to be a fee shortfall, and this is an acceptable practice. However, if title V fees are transferred for uses not authorized by part 70 (e.g., highway maintenance or other general obligations of government), they would be considered improperly diverted.

Each air agency is required, as part of its part 70 program submittal, to submit a “fee demonstration” to show that its fee schedule would result in the collection and retention of fees sufficient to cover program costs, including an “initial accounting” to show that “required fee revenues” would be used solely to cover program costs.¹⁰

The EPA will generally presume that a fee schedule is sufficient to cover program costs if it results in the collection and retention of fees in an amount above the “presumptive minimum” —i.e., “an amount *not less than* \$25 per ton” adjusted annually for increases in the Consumer Price Index¹¹ “times the total tons of the actual emissions of each regulated air pollutant (for presumptive fee calculation) emitted from part 70 sources,” plus any greenhouse gas (GHG) cost adjustments, as applicable.¹² A fee schedule that is expected to result in fees above the “presumptive minimum” is considered to be “presumptively adequate.” Note that the “presumptive minimum” is unique to each air agency because the total tons of actual emissions of “regulated air pollutants (for presumptive fee calculation)” are unique to each air agency.

As part of a fee demonstration, air agencies with fee schedules that would not be presumptively adequate are required to submit a “detailed accounting” to show that collection and retention of fee

⁶ See FASAB No. 7 at page 8; GASB No. 33.

⁷ Concerning grants, an EPA memo, *Use of Clean Air Act Title V Permit Fees as Match for Section 105 Grants*, Gerald Yamada, Acting General Counsel, U.S. EPA, to Michael H. Shapiro, Acting Assistant Administrator, Office of Air and Radiation, U.S. EPA, October 22, 1993, states that part 70 fees are “program income” under 40 CFR § 31.25(a), and, because of this, part 70 fees cannot be used as match for section 105 grants and no air agency may count the same activity for both grant and part 70 fee purposes.

⁸ “Nonexchange revenue” arises primarily from the exercise of governmental power to demand payment from the public (e.g., income tax, sales tax, property taxes, fines, and penalties) and when a government gives value directly without directly receiving equal value in return (e.g., legislative appropriations and intergovernmental grants).

⁹ See 40 CFR § 70.9(a).

¹⁰ See 40 CFR §§ 70.9(c)-(d) (fee demonstration requirements); 1993 fee schedule guidance (explaining that preparing the fee demonstrations that is part of the initial part 70 program submittal).

¹¹ See CAA at § 502(b)(3)(B); 40 CFR § 70.9(b). The presumptive minimum fee rate is adjusted for increases in the Consumer Price Index each year in September. The fee rate for the period of September 1, 2016, through August 31, 2017, is \$48.88 per ton. For more information, including a list of historical adjustment to the fee rate, see <https://www.epa.gov/title-v-operating-permits/permit-fees>.

¹² See 40 CFR § 70.9(b)(2) (emphasis added). The components of the “presumptive minimum” calculation—including certain emissions that may be excluded from the calculation, and an upward “GHG cost adjustment” that may apply—are addressed in 40 CFR §§ 70.9(b)(2)(i)-(v).

revenue would be sufficient to cover program costs.¹³ Air agencies are also required to provide an “initial accounting” to show how “required fee revenues” will be used solely to cover permitting program costs.¹⁴ Air agencies with fee schedules considered “presumptively adequate” are nevertheless required to submit fee demonstrations,¹⁵ but they may be “presumptive minimum program cost” demonstration¹⁶ showing that expected fee revenues are above the “presumptive minimum” calculated for the air agency. In order to receive the EPA’s approval, any fee demonstration must provide an “initial accounting” showing how required fee revenues will be used solely to cover program costs.¹⁷

After an air agency fee program is approved by the EPA, there are several fee requirements that may apply to the permit program as circumstances dictate. One requirement is for an air agency to submit, as required by the EPA, “periodic updates” of the “initial accounting” portion of the fee demonstration to show how “required fee revenues” are used solely to cover the costs of the permit program.¹⁸ Further, an air agency must submit a “detailed accounting” demonstrating that the fee schedule is adequate to cover costs if an air agency changes its fee schedule to collect *less than* the presumptive minimum or if the EPA determines—based on the EPA’s own initiative, or based on comments rebutting a presumption of fee sufficiency—that there are serious questions regarding whether the fee schedule is sufficient to cover the costs.¹⁹

In addition, title V and part 70 provide general authority for the EPA to conduct oversight activities to ensure air agencies adequately administer and enforce the requirements for operating permits programs, including that the requirements for fees are being met on an ongoing basis.²⁰ One method the EPA uses to perform such oversight is through periodic program or fee evaluations of part 70 programs. As part of such an evaluation, the EPA may carefully review how the state has addressed the fee requirements of part 70 as previously described and work with the air agency to seek improvements or make corrections and adjustments if any fee concerns are uncovered. Also, as part of such an evaluation, the EPA may require “periodic updates” to a fee demonstration or a “detailed accounting” that fees are sufficient to cover permit program costs.²¹ See the EPA’s separate *Program and Fee Evaluation Strategy and Guidance for 40 CFR Part 70* (“title V evaluation guidance”) for more on this subject.²²

¹³ See 40 CFR § 70.9(b).

¹⁴ See 40 CFR § 70.9(d).

¹⁵ See 40 CFR § 70.9(c).

¹⁶ See Sections 1.1 and 3.2 of the fee demonstration guidance.

¹⁷ See 40 CFR § 70.9(d).

¹⁸ See 40 CFR § 70.9(d).

¹⁹ See 40 CFR § 70.9(b)(5); fee demonstration guidance, Section 2.0 (providing an example of a “detailed accounting”). The scope and content of a “detailed accounting” may vary but will generally involve information on program fees and costs and other accounting procedures and practices that will show how the air agency’s fee schedule will be sufficient to cover all program costs.

²⁰ See CAA § 502(i); 40 CFR § 70.10(b).

²¹ See 40 CFR §§ 70.9(a); 70.9(b)(1), (5)(ii).

²² *Program and Fee Evaluation Strategy and Guidance for 40 CFR Part 70*, Peter Tsirigotis, Director, Office of Air Quality Planning and Standards (OAQPS), U.S. EPA, to Regional Air Division Directors, Regions 1 – 10, March 27, 2018.

IIa Types of Costs and Activities Included in Title V Costs

A.a Overview

Activities that count as part 70 costs (direct and indirect costs of part 70). Part 70 uses the term “permit program costs” to describe the costs that must count for fee purposes under part 70.²³ This term is defined in 40 CFR § 70.2 as “all reasonable (direct and indirect) costs required to develop and administer a permit program, as set forth in [40 CFR § 70.9(b)] (whether such costs are incurred by the permitting authority or other State or local agencies that do not issue permits directly, but that support permit issuance or administration).” At a minimum, any air program activity performed by an air agency under title V or part 70 must be included in program costs. Many of the activities required under title V or part 70 are described in Sections II.B through II.K of this guidance.

As described above, part 70 costs must include all “reasonable direct and indirect costs”²⁴ that are incurred by air agencies in the development, implementation, and enforcement of the part 70 program. “Direct costs” are expenses that can be directly attributed to part 70 program activities or services. “Direct costs” can generally be subdivided into two categories: “direct labor costs” and “other direct costs.” The term “direct labor costs” refers to salary and wages for direct work on part 70, including fringe benefits. The term “other direct costs” refers to other direct part 70 expenses, such as materials, equipment, professional services, official travel (e.g., transportation, food and lodging), public notices, public hearings, and contracted services. “Indirect costs” are costs for “general administration” or “overhead” that are not directly attributable to a part 70 program because they benefit multiple programs or cost objectives, but they are needed to operate a part 70 program. “Indirect costs” for a part 70 program are typically determined based on an indirect rate or a proportional share of the expenses of a larger organization. Examples of “indirect costs” include, but are not limited to, costs for utilities, rent, general administrative support, data processing charges, training and staff development, budget and accounting support, supplies and postage.

In addition, note that air agency accounting practices vary in how they nominally categorize costs as “direct costs,” “indirect costs,” or “other direct costs,” depending on the specific nature of the activity. An example would be training costs, which are typically treated as “indirect costs” but sometimes as “direct costs,” particularly where the training is about part 70 (e.g., for permit staff development). While accounting practices and terminology may vary among air agencies, the important principle to remember is that all reasonable direct and indirect costs of the program must be represented in the costs reported to the EPA, regardless of how the costs are categorized by the air agency.

Part 70 and the 1993 fee schedule guidance describe the part 70 activities of “reviewing and acting on any application for a part 70 permit”²⁵ and “implementing and enforcing the terms of any part 70

²³ See 40 CFR § 70.9(a).

²⁴ The phrases, “reasonable direct and indirect costs” and “reasonable (direct and indirect) costs” have the same meaning. The phrase “reasonable direct and indirect costs” was initially used by the EPA in the 1993 fee schedule guidance, page 1. The phrase “reasonable (direct and indirect) costs” is also found in CAA section 502(b)(3)(A), (C)(iii).

²⁵ The response to comments document for the part 70 final rule clarifies that the phrase “acting on permit applications” in section 503(c) of the Act means the act of issuing or denying a permit, not just beginning review of a permit application. See Technical Support Document for Title V Operating Permits Programs (May 1992) at page 4-4, EPA Docket No. EPA-HQ-OAR-2004-0288; Legacy Docket No. A-90-33.

permit,” and these activities must be included in part 70 costs.²⁶ The following paragraphs use these phrases to clarify the extent that certain activities performed by the air agency must be included in part 70 costs. The phrase “reviewing and acting on any application for a part 70 permit” refers to all activities related to processing the permit application and issuing (or denying) the final part 70 permit, while the phrase “implementing and enforcing the terms of any part 70 permit” refers to all activities necessary to administer and enforce final part 70 permits, prior to the filing of an administrative or judicial complaint or order.²⁷

Also, the following paragraphs clarify the extent to which fees must fund the costs of “permit programs under provisions of the Act other than title V” (hereafter referred to as “other permits”) (e.g., preconstruction review permits) and “activities which relate to provisions of the Act in addition to title V” (hereafter referred to as “other activities”) (e.g., a requirement for an air agency to develop a case-by-case emissions standard for an existing source).²⁸

Costs related to “other permits.”²⁹ The costs of “implementing and enforcing” the terms of a part 70 permit must be treated as a part 70 cost.³⁰ Thus, part 70 costs must include the cost of implementing and enforcing any term or condition of a non-part 70 permit required under the Act³¹ that is incorporated into a part 70 permit and meets the definition of “applicable requirement”³² in part 70. Similarly, the cost of implementing and enforcing any term or condition of a consent decree or order that originates in a non-part 70 permit that has been incorporated into a part 70 permit must be included as a part 70 cost.³³

The costs of implementing and enforcing “applicable requirements” from a non-part 70 permit that will go into a part 70 permit in the future may be counted as part 70 costs. However, once a source has

²⁶ The phrases “reviewing and acting on any application for a part 70 permit” and “implementing and enforcing the terms of any part 70 permit” are found at 40 CFR § 70.9(b)(1)(ii) and (iv). Similar phrases are found in the EPA’s 1993 fee schedule guidance at page 3 and the phrases in the guidance have the same meaning as the phrases in part 70. *See also*, CAA § 502(b)(3)(A).

²⁷ An EPA memo, *Matrix of Title V-Related and Air Grant-Eligible Activities*, OAQPS, U.S. EPA, September 23, 1993 (the “matrix guidance”), page 8, which clarifies that enforcement costs are counted for part 70 purposes prior to the filing of a complaint or order. *See* page 8.

²⁸ The phrases cited here were originally discussed on pages 2 and 3 of the cover memorandum for the 1993 fee schedule guidance.

²⁹ Note that the EPA’s 1993 fee schedule guidance contains the statement that “the costs of reviewing and acting on applications for permits required under Act provisions other than title V *need not* be recouped by title V fee.” This statement has been interpreted by some to mean that the costs of non-title V permits “are not needed” or “may *optionally*” be counted in title V costs.

³⁰ *See* 40 CFR § 70.9(b)(1)(iv).

³¹ Examples of non-part 70 permits required under the Act may include “minor new source review” (minor NSR) permits, “synthetic minor” permits, Prevention of Significant Deterioration (PSD) permits, and Nonattainment NSR permits authorized under title I of the Act.

³² “Applicable requirements” are the air quality requirements that must be included in part 70 permits. *See* the definition of “applicable requirement” in 40 CFR § 70.2, which includes “any terms and conditions of any preconstruction permits issued pursuant to any regulations [under title I],” and certain requirements under titles I, III, IV and VI of the Act.

³³ The EPA has previously explained that consent decrees and orders reflect the conclusion of a judicial or administrative process resulting from the enforcement of “applicable requirements,” and, because of this, all CAA-related requirements in such consent decrees and orders “are appropriately treated as ‘applicable requirements’ and must be included in title V permits. . . .” *See In the Matter of Citgo Refining and Chemicals Company, L.P.*, Order on Petition Number VI-2007-01, at 12 (May 28, 2009).

submitted a timely and complete part 70 application and paid part 70 fees, all costs of implementing and enforcing the non-part 70 permit must be counted as part 70 costs.³⁴

Also, any implementation and enforcement activities related to a requirement that is incorporated into a part 70 permit that is not “federally enforceable” and would not meet the definition of an “applicable requirement” (e.g., a “state-only” requirement) need not be treated as a part 70 cost.³⁵ The matrix guidance also clarifies that state-only requirements are air grant-eligible activities, rather than title V-eligible activities.

Costs of performing certain other activities related to applicable requirements. Certain activities required by the Act or its implementing regulations are not “applicable requirements” as defined in part 70 because they apply to the permitting authority rather than the source.³⁶ We refer to such activities as “other activities.” As such, questions often arise as to whether the costs of “other activities” are part 70 costs, costs of the underlying standard, or costs of the preconstruction review permitting process.

Examples of applicable requirements associated with “other activities” include, but are not limited to, the following:

- Emissions standards or other requirements for new sources under section 111(b) of the Act;
- Emissions standards or other requirements for existing sources under section 111(d) of the Act;
- Case-by-case maximum achievable control technology (MACT) standards that may be required under section 112 of the Act; and
- Activities required by a state, federal, or tribal implementation plan (SIP, FIP, or TIP), including section 110 of the Act.

The 1993 fee schedule guidance stated that the cost for performing “other activities” would be part 70 costs only to the extent the activities are “necessary for part 70 purposes.”³⁷ The 1993 fee schedule guidance has resulted in numerous questions over the years as to the scope of the term “part 70 purposes.” The EPA believes a clearer standard for determining when “other activities” must be included in part 70 costs would include an evaluation of: the extent to which the air agency is required to perform the “other activities” pursuant to part 70, title V, or the approved part 70 program; the extent to which the activity is performed to assure compliance with, or enforce, part 70 permit terms and conditions; or the extent to which a non-part 70 rule (e.g., a section 111 or 112 standard) requires the air agency to perform the activity in the part 70 permitting context. If an “other activity” does not meet any

³⁴ See EPA memo, *Additional Guidance on Funding Support for State and Local Programs*, Mary D. Nichols, Assistant Administrator for Air and Radiation, U.S. EPA, to Regional Administrators, Regions I–X, August 28, 1994.

³⁵ See 40 CFR § 70.6(b)(2).

³⁶ Although the “other activities” may originate within a federal standard or requirement that we generally refer to as an “applicable requirement” and the activities may result in an “applicable requirement,” the activities themselves do not meet the definition of “applicable requirement” within 40 CFR § 70.2.

³⁷ See page 2 of the introductory memorandum for the 1993 fee schedule guidance.

of these criteria (e.g., a non-part 70 rule requires an activity in a non-part 70 context), it should not be included in part 70 costs.

Nonetheless, if any activity is an “applicable requirement” for a source, the applicable requirement must be included in a part 70 permit and the costs to the air agency of including it in the permit (and implementing and enforcing) must be treated as part 70 costs.³⁸

For example, the cost of *incorporating* a standard (e.g., a section 111(b) standard) into a part 70 permit—where the task is merely one of copying the requirements from the regulation unchanged into a permit—would be a part 70 cost. However, the cost of *developing* a source-specific emission limitation outside the permit processing context (e.g., a standard pursuant to section 111(d) emission guidelines) would be a section 111 cost (although the cost of subsequently incorporating that standard into the part 70 permit would be a part 70 cost).

The costs of “other activities” related to implementation plans, including section 110 or 111 of the Act, should not be counted for part 70 purposes if the activities are required as part of the preconstruction review process or directly relate to implementation plan development, as required by title I of the Act.³⁹ On the other hand, part 70 costs can include ambient monitoring or emission inventories necessary to implement the part 70 program (e.g., development and quality assurance of emissions inventory for potential part 70 sources for the purpose of determining applicability).⁴⁰ If an air agency is unsure where to draw the line on including such activities in part 70 costs, they should contact the EPA for assistance.

General standard for EPA review of part 70 costs for a particular air agency. In general, the EPA expects that part 70 permit fees will fund the activities listed in this guidance. However, in evaluating a part 70 program, the EPA will consider the particular design and attributes of that program. Because the nature of permitting-related activities can vary across air agencies, the EPA evaluates each program individually. The activities listed in this guidance may not represent the full range of activities to be covered by permit fees.⁴¹ Additionally, some air agencies may have further program needs based on the particularities of their own air quality issues and program structure.

Sections II.B through II.K of this guidance provide further information on specific permitting activities and the extent to which the costs of such activities must be treated as part 70 costs.

B. The Costs of Part 70 Program Administration

All part 70 program administration costs must be treated as part 70 costs.⁴² Examples of program administration costs include:

³⁸ See § 70.9(b)(1)(ii), (4).

³⁹ Implementation plan development is mandated under title I of the Act and costs typically include such activities as maintaining state-wide emissions inventories and performing ambient monitoring and emissions modeling of air pollutants for which national ambient air quality standards have been set.

⁴⁰ See the matrix guidance at page 1.

⁴¹ The fee demonstration guidance cites various factors that may affect the types of activities included in a permit program and influence costs. See fee demonstration guidance at 4-5.

⁴² This section includes many activities that would be categorized as part 70 costs under 40 CFR §§ 70.9(b)(1)(i)-(iii) that are not covered elsewhere in subsequent sections of this guidance and are necessary to conduct a part 70 program.

- Program infrastructure costs (e.g., development of part 70 regulations, implementation guidance, policies, procedures, and forms);
- Program integration costs (adapting to changes in related programs, such as NSR, section 112 programs, and other programs);
- Data system implementation costs (including data systems for submitting permitting information to the EPA, for permit program administration, implementation and tracking and to provide public access to permits or permit information);
- Costs to operate local or Regional offices for part 70, the costs of interfacing with other state, local, or tribal offices (e.g., briefing legislative or executive staff on program issues and responding to internal audits);
- Costs related to interfacing with the EPA (e.g., related to program oversight, including program evaluations, responding to public petitions, revising implementation agreements between the air agency and the EPA); and
- Activities similar to those above.

In addition, there are other program implementation costs, such as the costs of making determinations of which sources are subject to part 70 permitting requirements that must be treated as part 70 costs.⁴³

Examples of such activities include:

- Maintaining an inventory of part 70 sources (e.g., for enforcement of the requirement for sources to obtain a permit or for part 70 fee purposes);
- Costs of determining if an individual source is a major source (for applicability purposes);
- Costs of determining if a source qualifies for coverage under a general permit (if the air agency chooses to issue them); and
- Costs of determining if a non-major source is required to obtain a part 70 permit and costs of implementing any insignificant activity and emission level exemptions under part 70.

C. The Costs of Part 70 Program Revisions

All costs of revising an approved part 70 program must be treated as part 70 costs, including the costs of developing new program elements to respond to changes in requirements, whether the revisions are the air agency's own initiative or required by the EPA.⁴⁴ Examples of program revision costs include:

- Costs of revising the program elements that are changing (e.g., program legal authority, implementing regulations, data systems, and other program elements);

⁴³ Many of these activities may also be described as related to reviewing and acting on applications for part 70 permits, as provided in 40 CFR § 70.9(b)(1)(ii).

⁴⁴ See 40 CFR § 70.4(i).

- Costs of documenting the changes; and
- Costs associated with obtaining the needed approvals, including for submitting program revisions to the EPA and any necessary follow-up work related to obtaining approval.

D. The Costs of Reviewing Applications and Acting on Part 70 Permits

All costs of reviewing an application for a part 70 permit, developing applicable requirements as part of the process of a permit, and ultimately acting upon the application must be treated as part 70 costs.⁴⁵ These costs must include the costs of the application completeness determination, the technical review of the application (including the review of any supplemental monitoring that may be needed, review of any compliance plans, compliance schedules, and review of initial compliance certifications included in the application), drafting permit terms and conditions to reflect the applicable requirements that apply to the source, determining if any permit shields apply, public participation, the EPA and affected air agency review, and issuing the permit. The cost of these activities must be included for initial permit processing, permit renewal, permit reopening, and permit modification.

The costs of developing part 70 permit terms and conditions. All costs associated with the development of permit terms and conditions to reflect the “applicable requirements,” including the costs of incorporating such terms in part 70 permits, must be treated as part 70 costs. The applicable requirements include the emissions limitations and standards and other requirements as provided for in the definition of applicable requirements in 40 CFR § 70.2. Such costs may include the costs to determine the provisions of the applicable requirements that specifically apply to the source, to develop operational flexibility provisions, netting/trading conditions, and appropriate compliance conditions (e.g., inspection and entry, monitoring and reporting). Appropriate compliance provisions may include periodic monitoring and testing under 40 CFR § 70.6(a)(3)(i)(B) and monitoring sufficient to assure compliance under 40 CFR § 70.6(c)(1).

Part 70 also requires certain regulatory provisions to be included in permits, such as citation to the origin and authority of each permit term, a statement of permit duration, requirements related to fee payment, certain part 70 compliance and reporting requirements, a permit shield (if provided by the air agency), and similar terms. The costs of developing such terms must be covered by permit fees.⁴⁶

The costs of developing “state-only” permit terms need not be treated as part 70 costs. Air agencies should screen or separate “state-only” requirements from federally-enforceable requirements and—while the act of separating part 70 terms from state-only terms should be treated as part 70 costs—the costs of developing state-only permit terms, putting them in the part 70 permit, and implementing and enforcing them as they appear in the part 70 permit need not be treated as part 70 costs for fee purposes.⁴⁷

⁴⁵ See CAA section 502(b)(3)(A)(i); 40 CFR § 70.9(b)(1)(ii).

⁴⁶ See 40 CFR § 70.6.

⁴⁷ See the matrix guidance, which notes that state-only requirements in part 70 permits are air-grant-eligible activities, rather than title V-eligible activities.

The costs of public participation and review (by the EPA and the affected air agency).⁴⁸ All costs of notices (or transmitting information) to the public, affected air agencies and the EPA for part 70 permit issuance, renewal, significant modifications and (if required by state or local law) for minor modifications (including staff time and publication costs) must be treated as part 70 costs.⁴⁸

Any costs associated with hearings for part 70 permit issuance, renewal, significant modifications, and for minor modifications (if required by state or local law), including preparation, administration, response, and documentation, must be treated as part 70 costs.

All costs for the air agency to develop and provide a response to public comments received during the public comment period must be treated as part 70 costs.

Any costs associated with transmitting necessary documentation to the EPA for review and response to an EPA objection must be treated as part 70 costs.⁴⁹ Also, the costs associated with an air agency's response to an EPA order granting objection to a part 70 permit and/or the costs of defending challenges to part 70 permit terms in state court must be treated as part 70 costs.

E. The Costs of Implementation and Enforcement of Part 70 Permits

With some exceptions related to court costs and enforcement actions, the costs of implementing and enforcing the terms of any part 70 permit must be treated as part 70 program costs.⁵⁰ Implementation and enforcement of permit terms and conditions related to part 70 includes requirements for compliance plans, schedules of compliance, monitoring reports, deviation reports, and annual certifications.

The costs of any follow-up activities when compliance/enforcement issues are encountered should be treated as part 70 costs. Part 70 costs include such activities as conducting site visits, stack tests, inspections, audits, and requests for information either before or after a violation is identified (e.g., requests similar to the EPA's CAA section 114 letters).

Part 70 costs should include the costs for any notices, findings, and letters of violation, and the development of cases and referrals up until the filing of the complaint or order. Excluded from permit costs are enforcement costs incurred after the filing of an administrative or judicial complaint.⁵¹

Part 70 costs must also include the costs of implementing and enforcing any restrictions on potential to emit (PTE) that are included in a part 70 permit, whether they originate in the part 70 permit or were transferred from a non-part 70 permit, such as a minor NSR permit for a "synthetic minor source."

⁴⁸ See 40 CFR § 70.7(h) concerning public participation and 40 CFR § 70.8 concerning the EPA and affected air agency review.

⁴⁹ See 40 CFR § 70.8(a).

⁵⁰ See 40 CFR §§ 70.4(b), 70.6, 70.9(b)(1)(iv), and 70.11.

⁵¹ See the matrix guidance at page 8.

F. The Costs of Implementing and Enforcing the Requirements of Non-Title V Permits Required Under the Act

Part 70 fees must cover the costs of implementing and enforcing the terms and conditions of “other permits” (non-part 70 permits) required under the Act, such as preconstruction review permits under title I, that have been incorporated in part 70 permits as “applicable requirements.”⁵²

Also, the costs of implementing and enforcing the terms and conditions of consent decrees and orders that originate in a non-part 70 permit that are incorporated into a part 70 permit must be treated as part 70 costs. *See* Section II.A of this guidance.

The costs of implementing and enforcing applicable requirements for “prospective part 70 sources” need not be treated as part 70 costs until such time as the source submits a timely and complete permit application and pays fees. In addition, the costs of implementing and enforcing “state-only” requirements need not be treated as part 70 costs.

G. The Costs of Performing Certain “Other Activities” Related to Applicable Requirements

Certain activities are required by the Act but are not “applicable requirements” because they apply to the permitting authority, rather than the source; such activities are referred to as “other activities.”⁵³ Examples of applicable requirements that contain these activities include, but are not limited to, standards for existing sources under section 111(d) of the Act; case-by-case MACT under sections 112 of the Act; and certain activities required by a SIP, FIP, or TIP, including section 110 of the Act. The costs of other activities must be treated as part 70 costs, if the air agency is required to perform the activities by part 70, title V, or the air agency’s approved part 70 program; if a non-part 70 rule requires them to be performed in the part 70 permitting context; or if the activities are needed to assure compliance with, or to enforce, the terms and conditions of a part 70 permit. The costs of other activities should not be treated as part 70 costs, if they do not meet any of these criteria (e.g., a non-part 70 rule requires an activity that occurs in a non-part 70 context). *See* Section II.A of this guidance.

H. The Costs of Revising, Reopening, and Renewing Part 70 Permits

All costs associated with processing permit revisions, including for administrative amendments, minor modifications (fast-track and group processing), and significant modifications, must be treated as part 70 costs.⁵⁴ The part 70 costs must include all the costs of reviewing and acting on the application, as well as implementing and enforcing the revised permit terms.⁵⁵ The costs of implementing any “operational flexibility provisions”⁵⁶ approved into a program to streamline permit revision procedures must be treated as permit program costs (this may also generally be considered to be one of the costs of implementing a permit).

⁵² Required to be treated as part 70 costs in certain cases by 40 CFR § 70.9(b)(1)(iv).

⁵³ Required to be treated as part 70 costs in certain cases by 40 CFR §§ 70.9(b)(1)(ii) and (iv).

⁵⁴ Required to be treated as part 70 costs under 40 CFR § 70.9(b)(1)(ii). Also *see* 40 CFR § 70.7 for more on permit issuance, renewal, reopening and revision procedures.

⁵⁵ 40 CFR §§ 70.9(b)(1)(ii) and (iv).

⁵⁶ Section 502(b)(10) of the Act requires the operating permit regulations to include provisions to allow changes within a permitted facility without requiring a permit revision under certain circumstances. The EPA refers to these provisions as “operational flexibility provisions.” *See* 40 CFR § 70.4(b)(12).

The cost for the air agency to reopen a part 70 permit for cause must be treated as part 70 costs. The proceedings to reopen a permit shall follow the same procedures that apply to initial permit issuance, and include a requirement for the air agency to provide a notice to the source of the agency's intent to reopen the permit.

When the EPA reopens a part 70 permit for cause, the air agency's costs for the proposed determination of termination, modification, or revocation and reissuance, and the costs to resolve the objection in accordance with the EPA's objection, must be treated as part 70 costs.

The cost of renewing permits every 5 years, which involves the same procedural requirements, including public participation, and the EPA and affected air agency review, must be treated as part 70 costs,⁵⁷ just as for initial permit issuance.

I. The Costs of General and Model Permits

All costs for development and implementation of general and model permits under part 70 must be included in part 70 program costs, including the costs of drafting permits, public participation, the EPA review and any affected air agency's review, permit issuance, publication, assessing applications for coverage under the general permit, and other related costs.⁵⁸ Note that the issuance of general and model permits is an option for air agencies, but if such permits are issued by an air agency under part 70, the costs must be included in part 70 costs.

J. The Costs of the Portion of the Small Business Assistance Program (SBAP) Attributable to Part 70 Sources

The SBAP under title V is authorized to provide counseling to help small business stationary sources to determine and meet their obligations under the Act.⁵⁹ The SBAP is authorized to provide assistance to small business stationary sources, as defined by CAA§ 507(c)(1), under the preconstruction and operating permit programs; however, air agencies need only to include costs related to assistance with part 70 in part 70 costs.⁶⁰ See 40 CFR § 70.9(b)(1)(viii). Allowable costs for part 70 include the costs to establish a small business ombudsman program to provide information on the applicability of part 70 to sources, available assistance for part 70 sources, the rights and obligations of part 70 sources, and options for sources subject to part 70. Allowable costs also include the costs associated with part 70 applicability determinations.

⁵⁷ 40 CFR § 70.9(b)(1)(ii).

⁵⁸ Required to be included in part 70 costs by 40 CFR §§ 70.9(b)(1)(ii) and (iv). Also see 40 CFR § 70.6(d) for more on the administration of general permits.

⁵⁹ For examples of the types of activities of a SBAP that could be attributable to part 70 sources and funded by part 70 fees, see *Transition to Funding Portions of State and Local Air Programs with Permit Fees Rather than Federal Grants*, Mary D. Nichols, Assistant Administrator for Air and Radiation, U.S. EPA, to Regional Administrators, Regions I – X, July 21, 1994 ("transition guidance"); Letter from Conrad Simon, Director, Air & Waste Management Division, EPA Region II to Mr. Billy J. Sexton, Director, Jefferson County Department of Planning and Environmental Management, Air Pollution Control District, Louisville, Kentucky, January 23, 1996 ("Sexton memo").

⁶⁰ Note that the preconstruction review permitting costs of assisting non-part 70 sources should generally not be included as part 70 costs, except for costs related to implementation and enforcement of permit terms from a preconstruction review permit that have been included in a part 70 permit.

Part 70 costs for SBAP must include the costs for outreach/publications on the requirements of part 70 and/or the applicable requirements included in part 70 permits, the costs of assisting part 70 sources through a clearinghouse on compliance methods and technologies, including pollution prevention approaches, and the costs to assist sources with part 70 permitting, which may include the portion of costs for a small business compliance advisory panel that are related to part 70.

K. The Costs of Permit Fee Program Administration

All costs associated with the administration of an air agency's part 70 fee program must be included in part 70 costs, including the costs for revising fee schedules (as needed to cover all required costs), periodic updates, detailed accounting (if needed), determining the presumptive minimum for the air agency, participating in EPA evaluations of fee programs or similar EPA oversight activities, assisting sources with fee issues, auditing fee payment by sources, assessing penalties for fee payment errors, responding to internal audits and inquiries, and similar activities.⁶¹

III. Flexibility in Fee Schedule Design

An air agency may design its fee schedule to collect fees from sources using various methods, provided the fee structure raises sufficient revenue to cover all required program costs.⁶² Thus, air agencies may charge: emissions-based fees based on actual emissions or allowable emissions; fixed fees for certain permit processes (different fees for initial permit review, renewals, or for various types of permit revisions); different fee rates (e.g., dollars per ton of emissions) for certain air pollutants; fees reflecting the actual costs of services for sources (such as charging for time and materials for a review); or other types of fees, including any combination of such fees. Finally, air agencies may charge annual fees or fees covering some other period of time.

This flexibility for fee schedule design is available without regard to whether the air agency has set its fees to collect above or below the presumptive minimum. Many air agencies have designed their fee schedules to collect fees using an emissions-based approach that mirrors the approach of part 70 for determining the presumptive minimum program cost for an air agency.⁶³ However, air agencies are not required to charge fees to sources in that manner, and it is possible that such an approach may not necessarily result in fees that would be sufficient to cover all part 70 program costs.

⁶¹ See 40 CFR § 70.9(b)(1)(ii); *Overview of Clean Air Title V Financial Management and Reporting – A Handbook for Financial Managers*, Environment Finance Center, University of Maryland, Maryland Sea Grant College, University of Maryland. Supported by a grant from the U.S. EPA, January 1997 ("Financial Manager's Handbook") (providing an overview of air agency application of general government accounting, budgeting, and financial reporting concepts to the part 70 program).

⁶² See 40 CFR § 70.9(b)(3).

⁶³ See 40 CFR § 70.9(b)(2)(i).

IV. The EPA Review of Existing Air Agency Fee Programs

The initial program submittals involved review of data on expected fee revenue, program costs and accounting practices that were prospective in nature, since little or no data would have been available on actual fees or costs at that time.

At this point, the EPA review of air agency fee programs generally focuses on a review of actual data on fee revenue, program costs, and review of existing accounting practices. The EPA oversight of existing fee programs will also likely be conducted as part of a program evaluation, a separate fee evaluation, or through submittal of any periodic updates or detailed accountings related to fee demonstration requirements. The EPA has issued a separate memorandum and guidance on part 70 program and fee evaluations concurrently with this updated fee schedule guidance.⁶⁴

Fee evaluations for existing part 70 programs will generally focus on certain key requirements of the Act and part 70 for fees discussed in Section I, *General Principles for Review of Title V Fee Schedules*, of this guidance. Such reviews may cover certain aspects of air agency accounting practices and procedures related to fees, particularly fee assessment procedures, tracking of fee collection and revenue uses (including transfers in and out of part 70 program accounts), whether all part 70 costs are included in the air agency's accounting of costs, and potentially other accounting aspects.

A fee evaluation may include a review of an air agency's fee program status with respect to the presumptive minimum defined in 40 CFR § 70.9(b)(2). This may be important in cases where a part 70 program was initially approved to charge above the presumptive minimum, in order to determine if the air agency is now charging less than the presumptive minimum. This is relevant because 40 CFR § 70.9(b)(5)(i) requires an air agency to submit a detailed accounting to show that its fees would be adequate to cover the program costs if the air agency charges less than the presumptive minimum. This requirement is ongoing (not restricted to program submittals).

In addition, the EPA revised the part 70 requirements related to calculating the presumptive minimum to add a "GHG cost adjustment" in an October 23, 2015, final rule.⁶⁵ Although the EPA has announced a review of this final rule (82 FR 16330, April 4, 2017), the EPA has not proposed any specific changes to the "GHG cost adjustment." Because air agencies are required to collect sufficient fees to cover the costs of implementing their operating permit programs, they may still use the "GHG cost adjustment" (as applicable) in calculating the fees owed to reflect the associated administrative burden of considering GHGs in the permitting process. The "GHG cost adjustment" is designed to cover the overall added administrative burden of adding GHGs to the permitting program in a general sense.

⁶⁴ *Program and Fee Evaluation Strategy and Guidance for Part 70*, Peter Tsigotis, Director, Office of Air Quality Planning and Standards (OAQPS), U.S. EPA, to Regional Air Division Directors, Regions 1 – 10, March 27, 2018.

⁶⁵ The "GHG cost adjustment" was promulgated as part of an October 23, 2015, final rule titled, *Standards of Performance for Greenhouse Gas Emissions from New, Modified and Reconstructed Stationary Sources: Electric Utility Generating Units*, 80 FR 64510. Specifically, see Section XII.E. "Implications for Title V Fee Requirements for GHGs" at page 64633. See also 40 CFR §§ 70.9(b)(2)(v) and (d)(3)(viii).

“Presumptive Minimum” Calculation

1. **Calculate the “Cost of Emissions.”** The calculation is based on multiplying the actual emissions of “fee pollutants”⁶⁶ (tons) from the air agency’s part 70 sources for a preceding 12-month period by the “presumptive minimum fee rate”⁶⁷ (\$/ton) that is in effect at the time the calculation is performed.

Air agencies may exclude the following types of fee pollutants from the calculation:

- Actual emissions of each regulated fee pollutant in excess of 4,000 tons per year on source-by-source basis.⁶⁸
 - Actual emissions of any regulated fee pollutant emitted by a part 70 source that was already included in the presumptive minimum fee calculation (i.e., double-counting of the same pollutant is not required).⁶⁹
 - Insignificant quantities of actual emissions not required in a permit application pursuant to 40 CFR § 70.5(c).⁷⁰
2. **Calculate the “GHG Cost Adjustment” (as applicable)**⁷¹ The “GHG cost adjustment” is the cost for the air agency to conduct certain application reviews (activities) to determine if GHGs have been properly addressed for an annual period. The adjustment is calculated by multiplying the total hours to conduct the activities (burden hours) by the average cost of staff time (\$/hour) to conduct the activities.

To calculate the total hours for the air agency to conduct the activities, multiply the number of activities performed in each category listed in the following table by the corresponding “burden hours per activity factor,” and sum the results.⁷²

Table 1. GHG reviews counted for GHG cost adjustment purposes

Activity	Burden Hours per Activity Factor
GHG completeness determination (for initial permit or updated application)	43
GHG evaluation for a permit modification or related permit action	7
GHG evaluation at permit renewal	10

⁶⁶ The term “fee pollutants” used here is shorthand for “regulated pollutants (for presumptive fee calculation),” as defined in 40 CFR § 70.2.

⁶⁷ The “presumptive minimum fee rate” is calculated by the EPA in September of each year and is effective from September 1 to August 31 of the following year. The fee rate is adjusted annually for changes in the Consumer Price Index (CPI) and is published on the following Internet site: <https://www.epa.gov/title-v-operating-permits/permit-fees>.

⁶⁸ See 40 CFR § 70.9(b)(2)(ii)(B).

⁶⁹ See 40 CFR § 70.9(b)(2)(ii)(C). For example, a source may emit an air pollutant that is defined as both a hazardous air pollutant and a pollutant for which a national ambient air quality standard has been established, e.g., a volatile organic compound. The actual emissions of such a pollutant is not required to be counted twice for fee purposes.

⁷⁰ See 40 CFR § 70.9(b)(2)(ii)(D).

⁷¹ See 40 CFR §§ 70.9(b)(2)(i) and (v).

⁷² The table shown here is found at 40 CFR § 70.9(b)(2)(v).

To determine the GHG cost adjustment(\$), the total hours to conduct the reviews (calculated above) is multiplied by the average cost of staff time (\$/hour). The average cost of staff time must include wages, employee benefits, and overhead and will be unique to the air agency. The average cost may be known for the air program or may be available from the air agency budget office or accounting staff.

3. **Calculate the Total Presumptive Minimum.** The total presumptive minimum(\$) for the annual period is determined by adding the “cost of emissions” (determined in Step 1) and the “GHG cost adjustment,” as applicable (determined in Step 2).

See Attachment B, *Example Presumptive Minimum Calculation*, for an example calculation for a hypothetical air agency that incorporates the “GHG cost adjustment.”

V. Future Adjustments to Fee Schedules

Air agencies must collect part 70 fees that are sufficient to cover the part 70 permit program costs.⁷³ Accordingly, air agencies may need to revise fee schedules periodically to remain in compliance with the requirement that permit fees cover all part 70 permit program costs. Changes in costs over time may be due to many factors, including but not limited to: changes in the number of sources required to obtain part 70 permits; changes in the types of permitting actions being performed; promulgation of new emission standards; and minor source permitting requirements for CAA sections 111, 112, or 129 standards. Air agencies should keep the EPA Regions apprised of any changes to fee schedules over time. The EPA will assess the proposed revision and determine whether it must be processed by the EPA as a substantial or non-substantial revision. As part of this process, the EPA may request additional information, as appropriate.

⁷³ 40 CFR § 70.9(a).

ATTACHMENT A

List of Guidance Relevant to Part 70 Fee Requirements

EPA Guidance on Part 70 Requirements:

- January 1992 – *Guidelines for Implementation of Section 507 of the Clean Air Act Amendments—Final Guidelines*, Office of Air Quality Planning and Standards (OAQPS), U.S. EPA. See pages 5 and 11-12 concerning fee flexibility for small business stationary sources:
<http://www.epa.gov/sites/production/files/2015-08/documents/smbus.pdf>.
- July 7, 1993 – *Questions and Answers on the Requirements of Operating Permits Program Regulations*, U.S. EPA. See Section 9: http://www.epa.gov/sites/production/files/2015-08/documents/bbrd_qal.pdf.
- August 4, 1993 – *Reissuance of Guidance on Agency Review of State Fee Schedules for Operating Permits Programs under Title V*, John S. Seitz, Director, OAQPS, U.S. EPA, to Air Division Directors, Regions I-X (“1993 fee schedule guidance”). Note that there was an earlier document on this subject that was superseded by this document:
<http://www3.epa.gov/ttn/naaqs/aqmguide/collection/t5/fees.pdf>.
- August 9, 1993 – *Acid Rain Title V Guidance on Fees and Incorporation by Reference*, Brian J. McLean, Director, Acid Rain Division, U.S. EPA, to Air, Pesticides, and Toxics Division Directors, Regions I, IV, and VI, Air and Waste Management Division Director, Region II, Air and Toxics Division Directors, Regions III, VII, VIII, IX and X and Air and Radiation Division Director, Region V: <http://www.epa.gov/sites/production/files/2015-08/documents/combo809.pdf>.
- September 23, 1993 – *Matrix of Title V-Related and Air Grant Eligible Activities*, OAQPS, U.S. EPA (“matrix guidance”). The matrix notes that it is to be “read and used in concert with the August 4, 1993, fee [schedule] guidance”: <http://www.epa.gov/sites/production/files/2015-08/documents/matrix.pdf>.
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ATTACHMENT B

Example Presumptive Minimum Calculation

This attachment provides an example calculation of the “presumptive minimum” under 40 CFR part 70 for a hypothetical air agency (“Air Agency X”).¹

Background:

- The “presumptive minimum” is an amount of fee revenue for an air agency that is presumed to be adequate to cover part 70 costs.²
 - If an air agency’s fee schedule would result in fees that would be less than the presumptive minimum, there is no presumption that its fees would be adequate to cover part 70 costs and the air agency is required to submit a “detailed accounting” to show that its fees would be sufficient to cover its part 70 costs.³
 - If an air agency’s fee schedule would result in fees that would be at least equal to the presumptive minimum, there is a presumption that its fees would be adequate to cover costs and a “detailed accounting” is not required. However, a “detailed accounting” is required whenever the EPA determines, based on comments rebutting the presumption of fee adequacy or on the EPA’s own initiative, that there are serious questions regarding whether its fees are sufficient to cover part 70 costs.⁴
- In addition, independent of the air agency’s status with respect to the presumptive minimum, a “detailed accounting” is required whenever the EPA determines on its own initiative that there are serious questions regarding whether an air agency’s fee schedule is sufficient to cover its part 70 costs. This is required because part 70 requires an air agency’s fee revenue to be sufficient to cover part 70 permit program costs.⁵
- The quantity of air pollutants and the “GHG cost adjustment” are unique to each air agency and vary from year-to-year. As a result, the presumptive minimum calculated for an air agency is also unique to that particular agency on a year-to-year basis.
- No source should use the presumptive minimum calculation described in this attachment to calculate its part 70 fees.⁶ Sources should instead contact their air agency for more information on how to calculate fees for a source.

¹ The example calculation follows the requirements of 40 CFR § 70.9(b)(2)(i)-(v).

² See 40 CFR § 70.9(b)(2)(i).

³ See 40 CFR § 70.9(b)(5) (concerning the “detailed accounting” requirement).

⁴ See 40 CFR § 70.9(b)(5)(ii).

⁵ See 40 CFR §§ 70.9(a) and (b)(1).

⁶ See 40 CFR § 70.9(b)(3) (providing air agencies with flexibility on how they charge fees to individual sources).

- An air agency may calculate the presumptive minimum in several circumstances:
 - As part of a fee demonstration submitted to the EPA when an air agency sets its fee schedule to collect at or above the presumptive minimum.
 - As part of a fee evaluation to determine if an air agency with a fee schedule originally approved to be at or above the presumptive minimum now results in fees that are below the current presumptive minimum. When this occurs, the air agency is required to submit a “detailed accounting” to show that its fee schedule will be sufficient to cover all required program costs. Such a change in the presumptive minimum for an air agency may occur for many reasons over time.⁷
 - To update the presumptive minimum amount for the air agency to account for changes that have occurred since the calculation was last performed. A common reason for an air agency to do this is to recalculate the amount to add the GHG cost adjustment.⁸

The presumptive minimum calculation is generally composed of three steps:

1. *Calculation of the “cost of emissions.”* The “cost of emissions” is proportional to the emissions of certain air pollutants of part 70 sources.
2. *Calculation of the “GHG cost adjustment” (as applicable).* The “GHG cost adjustment,” promulgated in October 23, 2015, is intended to recover the costs of incorporating GHGs into the permitting program.
3. *Sum the values calculated in Steps 1 and 2.*

⁷ It has been almost two decades since most part 70 programs were approved. Changes may have occurred since then that would affect the presumptive minimum calculation for an air agency. For example, changes in the emissions inventory for part 70 sources or changes to air agency fee schedules. The part 70 rules were also revised in 2015 to add a “GHG cost adjustment” to the calculation of the presumptive minimum fee.

⁸ See 80 FR 64633 (October 23, 2015); 40 CFR § 70.9(b)(2)(v).

Example Scenario and Calculation:

Air Agency X performs its presumptive minimum calculation in November of 2016 using data for Fiscal Year 2016 (FY16 or October 1, 2015, through September 30, 2016).

Step 1 – Calculate the Cost of Emissions:

The “cost of emissions” is determined by multiplying the air agency’s inventory of actual emissions of certain pollutants from part 70 sources (“fee pollutants”) by an annual fee rate determined by the EPA.

A. Determine the Actual Emissions of “Fee Pollutants” for a 12-month Period Prior to the Calculation.

Note that the term “fee pollutants” used here is shorthand for “regulated pollutants (for presumptive fee calculation),” a defined term in part 70,⁹ which includes air pollutants for which a national ambient air quality standard has been set, hazardous air pollutants, and air pollutants subject to a standard under section 111 of the Act, excluding carbon monoxide, greenhouse gases, and certain other pollutants.¹⁰ Note that any preceding 12-month period may be used, for example, a calendar year, a fiscal year, or any other period that is representative of normal source operation and consistent with the fee schedule used by the air agency.

For example, a review of Air Agency X’s emissions inventory records for part 70 sources for the 12-month period (FY16) indicates that the actual emissions of “fee pollutants” were 15,700 tons.

Total “Fee Pollutants”^t = 15,700 tons for FY16

B. Determine the Presumptive Minimum Fee Rate (\$/ton) Effective at the Time the Calculation is Performed.

The presumptive minimum fee rate is updated by the EPA annually and is effective from September 1 until August 31 of the following year. Historical and current fee rates are available online: <https://www.epa.gov/title-v-operating-permits/permit-fees>. The fee rate used in the calculation is the one that is effective on the date the calculation is performed, rather than the fee rate in effect for the annual period of the emissions data.

For example, Air Agency X calculates its “presumptive minimum” for FY16 in November 2016. The air agency first refers to the EPA website (listed above) to find the fee rate effective for November 2016. This fee rate (\$48.88) is used in the next step to calculate the cost of emissions.

Presumptive Minimum Fee Rate (\$/ton) = \$ 48.88 per ton.

⁹ The definition of “regulated pollutant (for presumptive fee calculation)” is found at 40 CFR § 70.2.

¹⁰ Note that 40 CFR §§ 70.9(b)(2)(ii) and (iii) provides exclusions for certain air pollutants and includes a definition of “actual emissions.”

C.a Calculate the Cost of Emissions.a

Calculate the cost of emissions by multiplying the total tons of “fee pollutants” (value found in A)tby the presumptive minimum fee rate (value found inB).t

$$\begin{aligned}\text{Cost of Emissionst} &= \text{“Fee Pollutants” (tons) * Presumptive Minimum Fee Rate (\$/ton)} \\ &= 15,700 \text{ tonst} * \$48.88/\text{ton} \\ &= \$767,416\end{aligned}$$

Value Calculated in Step 1: Cost of Emissionsa= \$767,416

Step 2 – Calculate the GHG Cost Adjustment (as applicable):

The “GHG cost adjustment” is the cost for the air agency to review applications for certain permitting actions to determine if GHGs have been properly addressed.

A.a Determine the Number of GHG Activities for Each Activity Category.a

Determine the total number of activities processed during the period for each activity category listed in the following table [based on table at 40 CFR § 70.9(b)(2)(v)].

Activity	Burden Factor (hours per activity)
GHG Completeness Determinations (for initial permit or updated application)	43
GHG Evaluations for Permit Modification or Related Permit Actions	7
GHG Evaluations at Permit Renewal	10

For example, Air Agency X’s records were reviewed to determine the number of activities that occurred for each activity category during FY16:

- t 2 GHG completeness determinations for initial applicationst
- t 46 GHG evaluations for permit modifications or related actions
(11 significant modifications and 35 minor modifications)
- t 20 GHG evaluations at permit renewal

Note that the activities above are assumed to occur for each initial application, permit modification, or permit renewal, regardless of whether the source emits GHGs or is subject to applicable requirements for GHGs. Thus, there were 20 GHG evaluations at permit renewal because there were 20 permit renewals.

B. Calculate the GHG Burden for Each Activity Category.

The GHG burden for each activity category is calculated by multiplying the number of activities for each category (identified in A) by the relevant burden factor (hours/activity) listed in the table above.

$$\text{GHG Burden} = \text{Number of activities} * \text{Burden factor (hours/activity)}$$

For example, Air Agency X calculated GHG burden as follows:

- 2 Completeness Determinations * 43 hours/activity = 86 hours
- 46 Evaluations for Mods or Related Actions * 7 hours/activity = 322 hours
- 20 Evaluations at Permit Renewal * 10 hours/activity = 200 hours

C. Calculate the Total GHG Burden (in hours).

The total GHG burden hours are calculated by summing the GHG burden hours for each activity category determined in B.

For example, Air Agency X calculated total GHG burden hours as follows:

$$\begin{aligned}\text{Total GHG Burden Hours} &= 86 \text{ hours} + 322 \text{ hours} + 200 \text{ hours} \\ &= 608 \text{ hours}\end{aligned}$$

D. Calculate the GHG Cost Adjustment.

Calculate the GHG cost adjustment for the period by multiplying the total GHG burden hours (value calculated in C) by the cost of staff time.

$$\text{GHG Cost Adjustment} = \text{Total GHG burden hours (hours)} * \text{Cost of staff time (\$/hour)}$$

For example, Air Agency X's budget office reported that the average cost of staff time for the Department of Natural Resources (including wages, benefits, and overhead) for FY16 was \$56/hour.

$$\begin{aligned}\text{GHG Cost Adjustment} &= \text{Total GHG burden hours} * \text{Cost of staff time} \\ &= 608 \text{ hours} * \$56/\text{hour} \\ &= \$34,048\end{aligned}$$

Value Calculated in Step 2: GHG Cost Adjustment = \$34,048

Step 3 – Calculate the Total Presumptive Minimum:

Calculate the total for the period by adding the cost of emissions (value calculated in Step 1) and the GHG cost adjustment, as applicable (value calculated in Step 2).

$$\begin{aligned}\text{Presumptive minimum} &= \text{Cost of emission (\$)} + \text{GHG cost adjustment}(\text{\$}) \\ &= \$767,416 + \$34,048 \\ &= \$801,464\end{aligned}$$

$$\text{Total Presumptive Minimum} = \$801,464$$

Conclusion:

\$801,464 is the Air Agency X's presumptive minimum for FY16. This value would be compared against the total part 70 fee revenue for the same period to determine if the total fee revenue is greater than or less than the presumptive minimum.

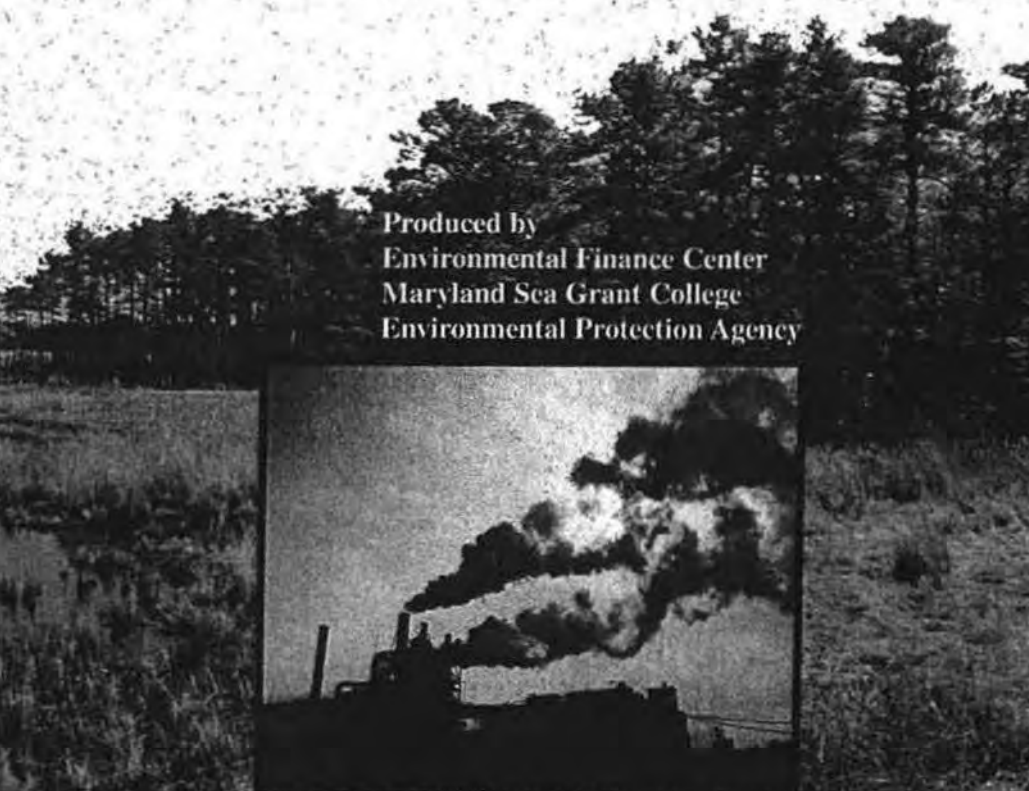
Overview of

CLEAN AIR

Title V Financial Management and Reporting

**A Handbook for Financial Officers
and Program Managers**

Produced by
Environmental Finance Center
Maryland Sea Grant College
Environmental Protection Agency



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INTRODUCTION

Title V of the Clean Air Act Amendments of 1990 (P.L. 101-549) establishes an operating permit program for stationary sources of air pollution. Title V requires that state agencies and local air programs collect fees from air permit holders to support operation of the permit program. Since the passage of the Clean Air Act, states have been working diligently to address the many challenges associated with the implementation of the Title V program. All states and U. S. territories (6) have submitted operating permit programs to EPA for approval. Most of these programs have been approved.

Among the myriad challenges confronting states in designing and implementing the Title V operating permit program is the need to address associated financial management responsibilities. This document explores the financial challenges air quality agencies face when implementing the Title V program. The goal of the document is to help state, local, and federal air program personnel—especially those with limited financial management experience—to understand the fundamentals of financial management and reporting. It provides an overview of Title V program financial management challenges, discusses generally how states are addressing these challenges, provides state-specific examples of Title V management and reporting practices, and discusses pros and cons of various approaches to financial management.

This overview report was developed to be an introductory guide to key Title V financial management responsibilities — but should not be considered to be formal EPA guidance. The report was developed through a broadly designed interview-survey process that explored the state/local application of general government accounting, budgeting, and financial reporting concepts to the Title V program. The primary target audience for this document includes state and local air quality agencies that are in the process of developing or refining the financial management and reporting aspect of their Title V programs.

The remainder of this report is presented in five sections. The next section provides a brief description of the Title V management challenges as were identified through the research phase of the project. Sections three, four, and five explore the primary financial management challenges. The findings of the study are summarized in the conclusion section of this report.

How Many Air Programs Are There?

There are 56 state (including the District of Columbia and Territories) and 60 local air operating permit programs in the United States. Most states in the U.S. have a single program account for all air program operating procedures, fees, and permits within their state.

In eleven states there are also local air programs. Some states allow these local programs to collect and

distribute their own Title V fees. In other states, however, a state agency collects all Title V fees and distributes them to the local programs. In California, on the other hand, there is no state program at all, and all 34 local permitting authorities submit operating permit programs directly to the EPA.

There are no multi-state Title V permit programs. There are, however, some multi-state boards which discuss certain environmental issues, including air pollution and Title V permits.

**CLEAN AIR ACT
OPERATING PERMITS PROGRAMS**

Region	Number of States/Territories	Number of State Programs	Number of Local Programs
I	6	6	0
II	4	4	0
III	6	6	0
IV	8	8	10
V	6	6	0
VI	5	5	1
VII	4	4	2
VIII	6	6	0
IX	7	7	39
X	4	4	8
Total	56	56	60

STATES WITH LOCAL PROGRAMS

Region	State	Number of Local Programs
IV	Alabama	2
IV	Kentucky	1
IV	North Carolina	3
IV	Tennessee	4
VI	New Mexico	1
VII	Nebraska	2
IX	Arizona	3
IX	California	34
IX	Nevada	2
X	Oregon	1
X	Washington	8

Overview of Title V Program Management Challenges

The introduction of the Clean Air Act Title V Fee Program presented many challenges to state air quality agency personnel, specifically in the areas of financial management and reporting. Historically, these agencies have been involved with the implementation and management of the Section 105 program, funded by federal grants. Conversely, Title V does not provide federal grants to state air quality agencies for program implementation. Instead, the Title V program is designed to be completely self sufficient, relying on fees received from Title V permittees to offset program expenditures. In many cases, the Title V program is the first major fee-based program implemented by state air quality agencies.

Learning to fiscally account for fee-based program revenues and expenditures is the primary challenge facing air quality agencies that have historically dealt primarily with grant-based programs. Further, these agencies must now learn to manage fee-based and grant-based program resources simultaneously. The Title V program requires state air quality agencies to account for Title V resources in a fashion that segregates them from other air quality programs, requiring state agencies to review the methods used to account for program resources.

Based on interviews conducted with state and local air program personnel, the financial management and reporting challenges facing Title V program agencies can be broken down into three categories:

- ***Time Keeping and Cost Allocation.*** As a result of Title V, air quality agencies modified procedures for tracking and distributing labor and non-labor costs among Title V and non-Title V programs. A key challenge these agencies face is addressing the manner in which indirect costs are allocated to these programs.
- ***Accounting Fund Structures and Controls.*** In establishing the Title V program, air quality agencies had to select an accounting fund structure for the Title V program. Different fund structures are recommended for different types of activity by the governmental accounting industry. Also, the fund structure would need to assure the permit program is managed as a segregated set of accounts to assure compliance with the Clean Air Act.

- ***Internal and External Reporting.*** Finally, those agencies implementing the Title V program are developing internal and external reporting procedures for their stakeholders. Assessing the success of the Title V program will rely heavily on the use of sound reporting practices.

These categories follow the natural sequence of actual financial management activities. First, the flow of financial information begins with the initial input of labor cost information in the time keeping process. Next, financial information is organized in the budget and accounting system. Finally, the information is reported in financial and other reports that are generated for internal and external reporting.

CHAPTER 1: TIME KEEPING AND COST ALLOCATION

Introduction

Time Keeping

The ability to accurately track time spent by employees is just as important in the government sector as it is in the private sector. Private sector businesses need to keep track of what their employees are doing — as well as when they are doing it — in order to minimize costs and maximize efficiency. While these goals are also important for governments, sound time keeping procedures also allow government accounting departments and program staff to monitor the labor charges from program to program. Government budgeting and accounting is characterized by strict segregation of the numerous programs.

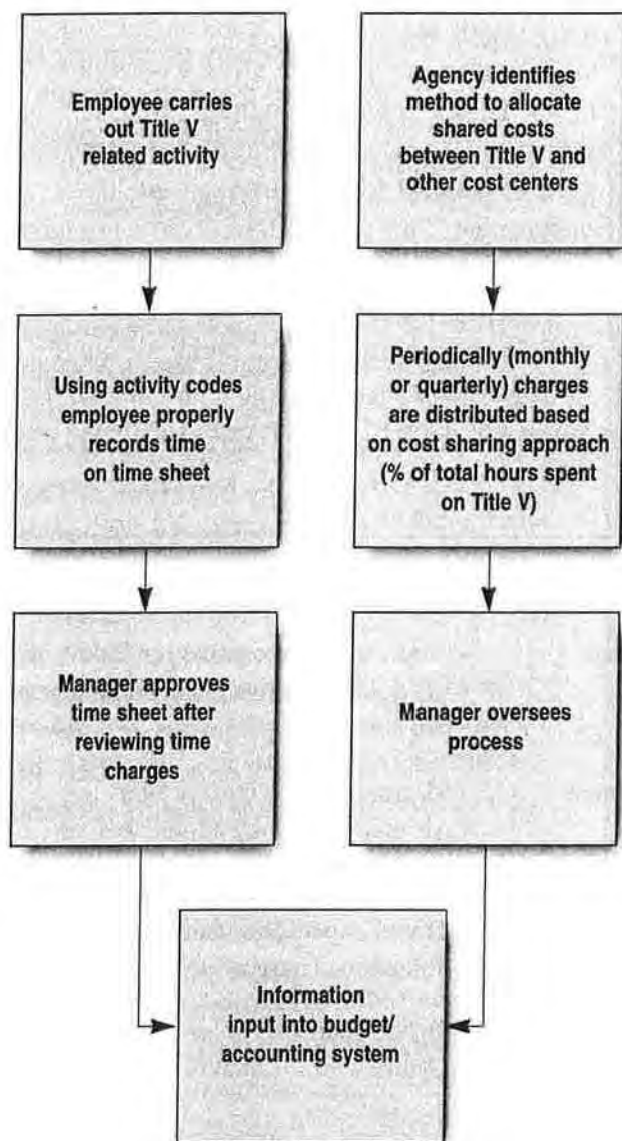
This same argument holds true for the Title V program. Funds to be used to pay the engineers, managers, and administrative staff for working on Title V tasks must come from the Title V program. The only way to ensure the proper segregation of these labor charges is through the use of an appropriately designed time sheet process. Employees record their time on a daily basis by using different time codes, each of which refers to a unique account to which time is charged. After time sheets are submitted, the

total labor hours charged to each project can be calculated, either manually or through a computerized system. Most importantly, this information can then be used by accounting staff and managers alike to monitor the status of Title V, Section 105, or any other specific air quality program.

Cost Allocation

A primary function of any government accounting system is to record accurately revenues and expenditures as they are realized or incurred. Timely recording or posting of account activity is necessary in order to ensure up-to-date accuracy of financial reports that may be scrutinized by a variety of entities. While timeliness is important when measuring the effectiveness of an accounting system, it is also necessary to review the manner in which expenditures are allocated to various revenue sources. The costs of implementing a fee-based program such as Title V should be recovered by the revenues realized through the operation of that same program. In order for this to occur, effective governmental accounting systems need to record all direct and indirect costs associated with program implementation in a manner that allows those costs to be identified or recognized — as a Title V program expense, for example. Once the accounting system has identified the program(s) to which the expense is attributed, the expense can then be allocated, offsetting the corresponding revenue source(s). Figure 1 graphically depicts the flow of information associated with the time keeping and cost allocation process.

**FIGURE 1: COST ALLOCATION
AND TIME KEEPING ACTIVITY**



Allocating Title V Costs

Numerous costs are associated with Title V program implementation, all of which can be allocated in a variety of ways. Direct labor includes those professionals who can attribute all or a portion of their work to the Title V program. Indirect labor includes the administrative and managerial personnel who provide general support for the entire air quality division or department. Direct (non-labor) costs are those costs incurred through the direct implementation of the Title V program. Finally, indirect (non-labor) costs are those costs incurred by the entire air quality division or department that will benefit all air programs. Examples of each of these types of expense are presented below.

Expense Category	Examples
Direct labor	<ul style="list-style-type: none">• Employees responsible for Title V permitting• Air quality engineers conducting permittee inspections
Indirect labor	<ul style="list-style-type: none">• Managers of air quality agencies• Air quality agency administrative support staff
Direct (non-labor)	<ul style="list-style-type: none">• Travel expense to visit Title V permittee• Telephone charges for Title V program tasks
Indirect (non-labor)	<ul style="list-style-type: none">• Office supplies for air quality agency• Utilities for air quality agency

Direct Cost Allocation Overview

Allocating the appropriate direct costs to the Title V program is best accomplished by using time sheets, either manual or automated, that can interact with the government accounting system. With such a system in place, assigning direct costs to various air quality programs is a straightforward process. Air quality department employees fill out time sheets weekly or bi-weekly to reflect the number of hours spent on various tasks. By assigning a unique account charge code to each task, accounting staff are able to track, in detail, the amount of direct labor charged to each air quality program. This information allows accounting departments to reconcile direct labor charges with the Title V program budget and also provides Title V program managers with information on how labor is being distributed across various air quality programs such as Title V, Section 105, and others.

Direct, non-labor charges should be allocated using the same approach. Air quality employees that charge direct expenses, such as travel, to air quality programs can use the same accounting charge code procedures as for direct labor.

Indirect Cost Allocation Overview

Charging indirect labor and non-labor costs to various air quality programs is much more challenging than under the direct cost scenario. In order to maintain efficient and accurate accounting practices, air quality program accountants and managers alike need

to ensure that all indirect costs are recovered, and that they are recovered equitably.

The most practical method of allocating indirect labor costs to Title V and non-Title V programs involves using direct labor charges as an index. Under this framework, indirect labor charges are allocated to Title V and non-Title V programs based on the number of direct labor hours charged to the various air programs. For example, if Title V direct labor charges represent sixty percent of the total direct labor charges within the air quality division, assigning sixty percent of the indirect labor costs to the Title V program is justifiable. It can be assumed that sixty percent of the secretarial and managerial support time is being spent on Title V related tasks under this scenario. Percentage allocations for indirect labor costs can be adjusted weekly or monthly, based on the direct labor charges for that period.

Allocating indirect non-labor costs among Title V and non-Title V is more complicated. As indirect costs are to be shared among a variety of programs, they should be allocated in a manner where the program receiving the greatest benefit from the source of the cost is responsible for the majority of the cost recovery. Unfortunately, this presents a tedious and complicated task for accounting staff. Instead, common practice usually involves the same process as described for indirect labor; as the indirect non-labor costs are allocated based on the percentage direct labor charged to each program. However, some state programs use their own discretion for allocating these

costs, often treating indirect non-labor costs as general overhead and charging to each air quality program equally. State-specific approaches to this type of cost allocation are described in the next section.

State Title V Programs

Accounting personnel from state air quality divisions across the country were contacted in order to determine the common practices regarding cost allocation for Title V and non-Title V programs. The majority of the state air quality agencies interviewed rely on the methods described and recommended in the previous section of this document when tracking time, and allocating and recording costs.

The table on page 8 contains a sample of the states contacted and describes their approach to cost allocation.

Time Keeping

Of the state air quality divisions contacted, all but one require the completion of weekly timesheets to provide accounting and program staff with a detailed account of where time is spent during the week. To complete the timesheet, employees must provide the number of (direct labor) hours worked daily on each particular task, each of which identified by its own unique account/charge code. The level of detail in the account/charge code system varies from state to state, but at the very minimum, the Title V program is represented by its own unique identifier. The majority of the time sheet systems in the state air quality agencies

TITLE V COST ALLOCATION AND TIME KEEPING PROCEDURES

State	Cost Allocation	Time Keeping
<i>Maryland</i>	Non-labor costs are allocated to each program (Title V, non-Title V, 105) based on direct labor charges to each program. Maryland's sophisticated MIS (Management Information Systems) allocates these costs based largely on the Program Cost Accounts (PCAs) employees use to charge their time.	Time sheets are used to allocate labor to appropriate accounts. Title V will also use the PCA system, which drives a number of other fiscal reports as well as indirect charges. Time sheet and financial reporting systems are very closely integrated.
<i>Mississippi</i>	Non-labor costs are allocated to each program (Title V, non-Title V, 105) based on direct labor charges to each program.	Pre-printed time sheets are used and interface with MIS by account code. Employees are prevented from charging non-air-related accounts. Title V is only one account code — more detail is desired by department. Summary reports distributed to program managers monthly.
<i>North Carolina</i>	Non-labor costs are allocated to each program (Title V, non-Title V, 105) based on direct labor charges to each program.	Time sheet system will interface with new accounting software. Time tracking began in 1994 and divides staff time into a number of categories, including Title V. Activity codes are used to identify specific tasks charged to under the Title V category.
<i>Oregon</i>	Non-labor costs are allocated to each program (Title V, non-Title V, 105) based on direct labor charges to each program.	The sophisticated on-line accounting system interfaces with the employee time sheet system, using very detailed task codes to reflect employee charges to Title V.
<i>Pennsylvania</i>	Non-labor costs are allocated based on program staffers' recommendations as to the relative percentages that should be charged to Title V & non-Title V. PA is working on a more exact allocation system.	Time sheets are filled in manually, but contain codes corresponding to low-level tasks for the Title V program. Information is entered into MIS and reports are generated showing expended funds per employee, per task, etc.

are computerized and interface with the other management information system(s) (MIS) in place in the state. This relationship among computer systems allows timesheet information, for example the total number of hours charged to Title V for the week, to be immediately reflected in the Title V budget system.

Figure 2 shows an example of a completed time sheet. In this example, the actual codes and sub-codes used to segregate tasks correctly are shown in the first two columns under the "Project" heading. This particular employee has divided his or her time among six unique tasks, necessitating six unique account codes. The first three activities are "NSR" ("New Source Review") subtasks. The last three project functions listed are OPP (Operating Permit Program) activities. The second column lists the operating permit program activity (section code). Based on this information, accounting and program personnel can review the time sheet and know exactly how much time was spent on each task and to what accounts that time should be charged, all without any guesswork. Figure 2 includes the actual pages from the same air quality agency that list and define the appropriate account sub-codes for the state air activities including the Title V Operating Permit Program.

Labor Costs: Direct

Direct labor, those hours dedicated to a specific task, are accounted for using the time sheet system described above. Employees simply enter the number of hours worked and the account code (or sub-code if



THE FOLLOWING STATEMENT APPLIES
TO ONLY NON-EXEMPT EMPLOYEES

EMPLOYEE SIGNATURE: _____

I certify that this statement represents the hours worked by me each work day and work week of this pay period and the pay to which I am entitled for this pay period

CERTIFIED BY _____

[illegible]

FIGURE 2

applicable.) After the time sheets are submitted and approved, the actual hours are charged to appropriate Title V or non Title V program.

Figure 2 also shows total direct labor charges for an air quality agency employee. The "Total Hours" line displays the total hours charged for the day and period (two weeks in this case), while the far right column "Total" shows the number of hours spent on each particular task.

AIR QUALITY DIVISION
TIME SHEET BUDGET & ACTIVITY CODES
JUNE 21, 1994

Operating Permit Program
 Function Code OPP

Section Code

(Activity) Explanation

INS	Facility Inspections and Report Writing/Staff Review
PAR	Operating Permit Application Review
EIF	Emissions Inventory/fee Assessment
REG	Regulation and SIP Development for Stationary Sources
AMM	Ambient Monitoring — See March 24, 1994 budget Chargeable Work Activities for list of activities.
VIS	Visibility Monitoring
CEM	CEMs Certification and Audits
SKT	Stack Tests Witness and Review

CPL	Review of Facility Compliance Reports
SBA	Small Business Technical Assistance Program
EPA	EPA Reporting
FIL	Filing
AQB	Air Quality Advisory Board
BPT	Budget Preparation and Tracking
CMI	Complaint Investigation (Stationary Source)
ENF	Enforcement prior to Filing in Court
ADM	General Administrative Duties. (Reserved for Administrator Secretaries, Program Manager)

New Source Review (NSR) Function Code NSR

Section Code (Project/Activity)

Assigned

Application # A Unique Application number is assigned for each application corresponding to company name and date of application

ADM General Administrative Duties
(Reserved for Program Mgr. and Administrator)

Non Fee Program (EPA 105 Grant and State General Fund)

Function Code
(Budget) 105

Section Code (Activity) and Explanation

AMM	Ambient Monitoring (See March 24, 1994 Budget Chargeable Work Activities for full list of activities)
ASB	Asbestos and Indoor Air
CMI	Complaint Investigation (Not related to stationary sources.)
REG	Regulation and SIP Development (Not related to stationary sources).
BPT	Budget Preparation and Tracking
ENF	Enforcement Activities-including all enforcement actions for asbestos and work after filing in court for stationary sources.
ADM	General Administrative Duties (Reserved for Administrator, Secretaries, and Program Manager)
RAD	Radiological Activities
RSI	Railroad Safety Initiative

Labor Costs: Indirect

For most of the air quality agencies interviewed, the process of allocating indirect labor cost is based on the direct labor tracking system described above. Labor costs for air quality division managers and

administrative support staff that are not directly attributable to a program activity code are allocated based on the percentage of total labor charged to each of the air programs, e.g., Title V, Section 105, etc. Using the employee time sheet system, the total number of direct labor hours charged to each air quality program is calculated along with the percentage that program represents of total direct labor charges. These percentages are then multiplied by the total number of indirect labor hours charged for the same period, resulting in the proper allocation to be charged to each air quality program. Most air quality agencies interviewed rely on their MIS to perform these calculations, while others make the calculations manually.

Non-labor Costs

Direct non-labor costs are allocated and recorded differently from state to state. Some agency staff that were interviewed rely on the time sheet system to track these costs, usually for travel expenditures that are to be charged to a particular program, e.g., a Title V permittee inspection. Other agencies use an independent expense authorization system to approve, pay, allocate, and record direct costs. Regardless of the subtle procedural differences, all agency staff interviewed use an account/charge code to ensure that the direct (non-labor) costs are charged to the appropriate air quality program, a code that usually differs from that used to allocate and record labor charges within the time sheet system. Additionally, all those interviewed relied on their agency's MIS at some level to charge direct costs to the various air program budgets.

As expected, allocating and recording indirect non-labor costs to the various air quality programs presents a greater challenge to the state agencies contacted. As described previously, indirect non-labor costs would best be allocated among various air programs by assessing the amount of benefit or usage each program realizes as a result of incurring the indirect cost. Again, measuring the relative contribution of each indirect expenditure to each air program could present a unacceptable administrative burden as attempts are made to calculate, for example, the amount of air conditioning costs to be charged to the Title V program. Instead, the majority of the state air quality agencies interviewed relied on the direct labor percentage calculation described above in order to allocate their indirect non-labor costs. The remaining states grouped these indirect non-labor costs into an overhead-like category, distributing the costs equally among all of the air quality programs. Again, all state agencies contacted rely on their MIS at some level to allocate, record, and post these costs to the proper air program budgets.

Lessons Learned by Air Quality Agencies

Although the Title V program is relatively new and state and local agencies are just now beginning to implement the accounting procedures necessary to manage the program, a few lessons have been learned that can provide insight for local air quality agencies as they develop their own programs.

Allocation Methods

Generally speaking, the methods used by various air quality agencies to allocate costs among Title V and non-Title V programs have been in use for many years. The use of time sheets and the practice of indexing indirect labor and indirect non-labor costs to direct labor hours has a long history in both public and private sectors. However, most of the agencies contacted expressed the desire for a more exact or detailed approach to indirect cost allocation. While these agencies, for the most part, were unable to offer any suggestions toward efficient improvements, a few of the agencies were in the process of refining their MIS to allow for greater control over indirect cost allocation, using indices in place of or in addition to direct labor hours.

Some air quality agencies also raised concerns over direct non-labor cost allocation practices. While most charges are easily categorized and recorded as Title V, Section 105, etc., some direct charges, especially those shared among programs, are more difficult to allocate. For example, an air quality engineer incurs travel expenses for a trip to visit a Title V permittee. However, on the same trip, that engineer also performs a site visit under the Section 105 program. To which program should the engineer charge the (direct) travel costs? Indirect costs would be allocated based on direct labor hours, but travel expenses are direct costs and must be charged directly to a specific program. In some states, the answer lies in the engineer's own judgement regarding the extent to which

the trip was primarily to conduct one activity or another. Most states have informal policies or practices in place that result in equal sharing of costs between air program budget centers such as the Title V program and the Section 105 grant program. Regardless of the process that states have devised, it is important to point out that these procedures should be formally documented and communicated to EPA Regional Air contacts. Documentation of the practices will help to minimize any misunderstandings regarding cost sharing approaches.

Account/Charge Codes

Many air quality agencies expressed difficulty in implementing the time sheet system with respect to account/charge codes. Interviews with agency accounting personnel indicated that some time sheet systems contain too many codes, sub-codes, sub-sub-codes, etc. for charging tasks under Title V, or non-Title V programs. In these cases, air quality program personnel are sometimes inconsistent with respect to charging time to identical tasks. This problem is aggravated by the fact that few accounting staff persons are required to understand the subtle differences between these often technical tasks and are unable to correct the MIS-coding singlehandedly.

Conversely, about the same number of agencies claim the account/charge codes are not detailed enough, with a few air quality agencies using only one account/charge code for all Title-V-related tasks. This weakness leaves air program managers without

adequate information concerning the specific tasks with which their employees are involved.

Several agencies indicated that they have already modified their activity code lists to facilitate use and achieve more accurate recording of time and expense charges. It should be expected that agencies will continue to modify their activity codes as they gain more experience with the Title V program and identify ways of improving the process.

MIS/Time Sheet System

Many of the individuals interviewed in air quality agencies are currently working to enhance their management information systems (MIS) and to expand the role of MIS in air quality program management. While all of those interviewed employ MIS to some degree, most are moving towards significant system enhancements that will present budget comparison reports, labor distribution reports, and other financial comparisons in real time, taking into account the most up-to-date data in the system. For all of the state air quality agencies, these enhancements include sophisticated interfaces between the MIS accounting/finance modules and the agency's time sheet system, allowing up-to-date information on labor cost allocation among Title V and other air quality programs.

Report Reconciliation/Review

Finally, most of the air quality agencies expressed the need for a more thorough review process with

respect to the time sheet system and cost allocation procedures. Specifically, air quality agency accounting personnel believe periodic interaction is required between accounting staff and air program staff to ensure that direct and indirect labor and non-labor charges are being allocated and recorded correctly. Because most accounting personnel are not familiar with the technical nuances among programs and tasks, the review of time and cost allocation procedures should include air program managers to ensure that those allocations closely mirror actual program activities.

Conclusion

All of the state air quality agencies referenced in this section have been quite successful in implementing procedures to monitor time and track indirect and direct costs associated with administering the Title V program in concert with other non-Title V programs. Most agencies are relying on methods of cost allocation that have been in use for many years and yield acceptable results, while other states are working to improve the procedures further. The fiscal management of the Title V program will continue to be refined by state air quality agencies as program and accounting staff continue to share knowledge and expanding management information systems take on greater roles.

CHAPTER 2: ACCOUNTING FRAMEWORKS FOR TITLE V PROGRAMS

Government accounting and financial reporting practices differ considerably from those found in the private, commercial sector. Generally accepted accounting principles (GAAP) for government provide strict guidelines concerning the methods used to manage the resources provided by taxpayers. While GAAP standards for business enterprises are designed to provide information needed by investors and creditors, GAAP standards for government are intended to ensure legal compliance as well as security for public resources. In most cases, GAAP standards are accompanied by state accounting rules that must also be followed, resulting in a multi-layered oversight of the government accounting process.

One of the primary differences between government accounting and the private sector is the GAAP-recommended use of fund accounting. According to the Governmental Accounting Standards Board (GASB), a fund is defined as:

A fiscal and accounting entity with a self-balancing set of accounts recording cash and other financial resources, together with all related liabilities and residual equities or balances, and changes therein, which are segregated for the purpose of carrying on specific activities or attaining certain objectives in accordance with special

regulations, restrictions, or limitations. (Source: GASB Codification of Governmental Accounting and Financial Reporting Standards, Section 1300)

Simply stated, fund accounting is the practice of separating the record keeping activity of any number of individual funds. A fund can be viewed as a fiscal entity with segregated accounting records used to implement a specific program or activity. A federal grant, for example, might be accounted for in a separate fund. Most state and local governments have relied on fund-based accounting systems for many years in order to administer and manage a variety of different programs.

Understanding fund accounting is very important to the management of Title V permit programs at the state and local program level. The assignment of a specific fund type to the Title V program by a state/local program establishes the expected level of segregation from other state funds; the degree to which the fund is meant to be a self-supporting, business-type enterprise; and the types of reports that will be available for internal and external reporting.

This section is designed to familiarize state and local program managers with fund accounting as it relates to the operation of Title V programs. It provides an explanation of fund types that are available for use by states, describes the accounting approach that states and local programs are now using, and presents criteria for evaluating the need to modify a state's accounting structure.

Types of Funds

In general, governments can choose from generic types of funds to manage programs. These fund types are generally divided into four categories: Government Funds, Proprietary Funds, Fiduciary Funds and Account Groups. Each type of fund has its own characteristics and is used for different government activities and programs.

Figure 3 provides a graphical summary of the organization of government funds.

Government Funds

The largest fund category, government funds are used to account for all general government operations, such as fire and police protection, public works, parks, and recreation. There are five fund types within this category:

1. The *General Fund* is the chief operating fund of a state or local government and is used to account for all program resources that are not accounted for in other funds. The government uses only one general fund, containing the majority of its financial transactions.
2. *Special Revenue Funds* are used to account for finances that are legally restricted or earmarked for specific purposes, such as the state implementation of an

environmental mandate. For example, a federal grant most likely would reside in a fund of this type.

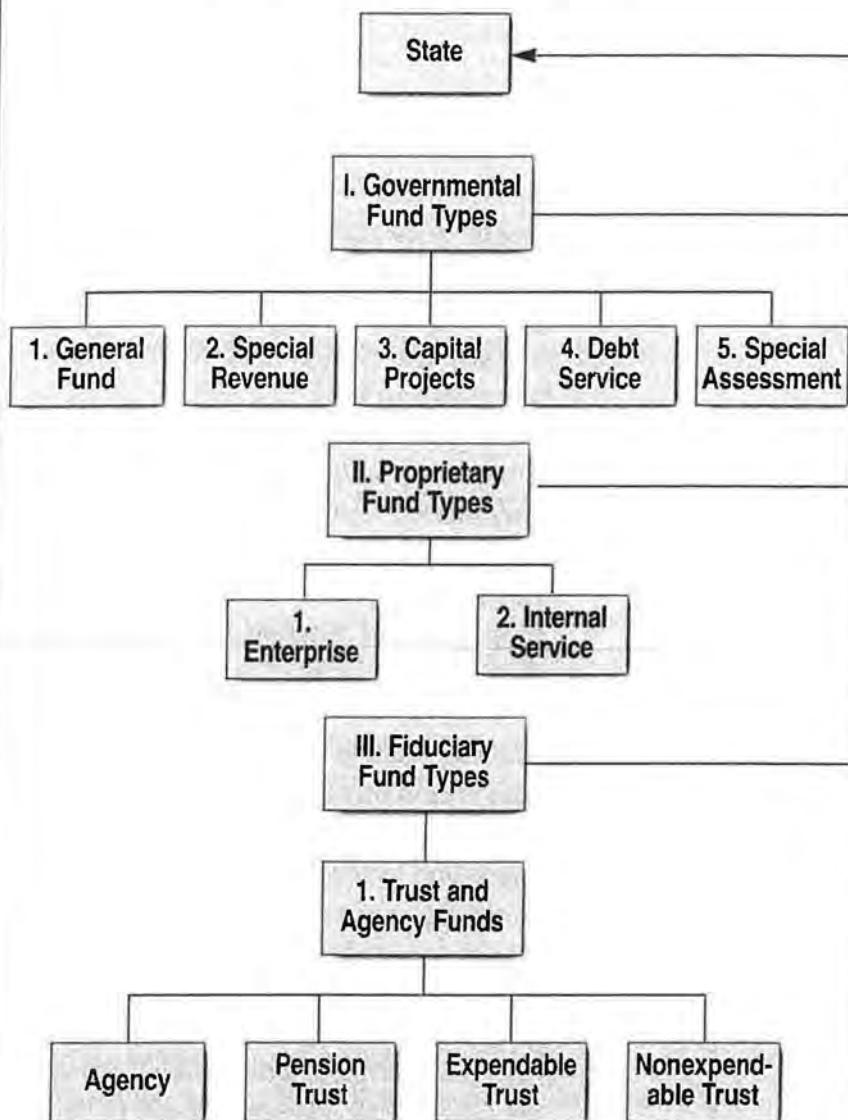
GASB states that special revenue fund types may be used:

to account for the proceeds of specific revenue sources that are legally restricted to expenditure for specific purposes. (Source: GASB Codification of Governmental Accounting and Financial Reporting Standards, Section 1300.104)

It should be noted that the definition of a special revenue fund is permissive, not prescriptive. A special revenue fund *may* be used under government program circumstances described above, but it is not a requirement. Many governments do not use special revenue funds, choosing instead to report (restricted) activities in their general fund. However, the benefits of special revenue fund accounting over that of the general fund will be examined later in this document.

3. *Capital Projects Funds* account for finances used for major capital development. Governments usually prefer to account for these resources in funds separate from other operations.
4. *Debt Service Funds* are used to account for the repayment of government long-term debt, such as major bond issuances.

**FIGURE 3:
FUND ORGANIZATION CHART**



5. *Special Assessments Funds* account for the funding obtained through special assessments for public improvements. For example, after levying a special assessment tax for a new sidewalk, the funds are accounted for here.

Proprietary Funds

In general, proprietary funds are used to account for those government activities and programs that are similar to the private commercial sector, such as a transportation system or water system that receives direct payment for services.

1. *Enterprise Funds* are used to account for activities that are operated much like private sector business enterprises. Governments need to charge users for a variety of public services to recover all or a portion of the costs associated with a particular program or activity. Public utilities are a popular example of an entity fiscally managed within this type of fund.

According to GASB, this type of fund may be used:

to account for operations (a) that are financed and operated in a manner similar to private business enterprises — where the intent of the governing body is that the costs (expenses, including depreciation) of

providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or (b) where the governing body has decided that periodic determination or revenues earned, expenses incurred, and/or net income is appropriate for capital maintenance, public policy, management control, accountability, or other purposes. (Source: GASB Codification of Governmental Accounting and Financial Reporting Standards, Section 1300.104)

The benefits of using enterprise funds to account for the Title V program will be presented in the next section.

2. *Internal Service Funds* account for operations similar to those found in an enterprise fund, but for entities that provide goods and services to other government departments. Government printing and data processing are examples of activities accounted for in these funds.

Fiduciary Funds

Fiduciary funds are used to account for assets held by the government as a third-party trustee or agent. Examples of the funds accounted for include government pension plans and willed assets.

1. *Trust and Agency Funds*

- *Agency Funds* are used to account for non-government assets or assets belonging to another government, such as a county that collects taxes on a county-wide basis.
- *Pension Trust Funds* account for government pension plans
- *Expendable Trust Funds* account for government assets that have been provided to that government via a trust or other agreement. Under expendable trusts, interest and principal may be expended based on the provisions of the agreement. Assets left to the government are often placed in this type of fund.

The use of expendable trust funds to account for Title V program resources will be presented in the next section.

- *Nonexpendable Trust Funds* are similar to expendable trusts, except that only interest earnings may be expended, leaving the original principal intact.

Government Fund Accounting Reports

All of the government funds described above are designed to ensure effective accounting for public monies. In order to test this objective, governments rely on financial reports. Stakeholders, which include tax payers, government accounting departments and program personnel to name a few, have a vested interest in the status of fund resources. The creation of periodic financial reports such as balance sheets, revenue/expenditure statements, budget vs. actual comparisons, etc. provide important information. More specifically, these reports can be used to verify that specific programs, such as Title V, are being implemented efficiently and in accordance with government accounting standards.

As described in the following section, the reports that can be generated and subsequently used to account for the resources of a government program vary slightly based on the specific government fund type used.

Accounting for the Title V Program

State and local air quality agencies are concerned with how Title V resources are managed. First of all, agency managers need to know that the program is being managed in such a way that user fees are covering program costs. They also need to know that Title V staff time and expenses are being covered using Title V resources and, conversely, that non-Title V program expenses are not being recovered through the Title V program. Not only is this information valuable

to the air quality agencies administering the Title V program, but also to a number of other stakeholders, including the Title V permittees, state and local government officials, USEPA, and the general public, each of which has an interest in the efficient and effective operation of the Title V program.

As long as the particular government fund complies with GAAP and state or local requirements, there are no restrictions as to which accounting fund encompasses the Title V program. However, while there are numerous fund types in governmental accounting, only a few can be considered viable for Title V accounting based on the GASB definition of the fund types. In the governmental fund type category, possible candidates include the general fund and a special revenue fund, though it is likely that general fund accounting for a Title V permit program would be considered inappropriate because of the lack of earmarked fund segregation (see below). Capital

**TITLE V PROGRAM ACCOUNTING:
APPROPRIATE GOVERNMENT FUND TYPES**

Fund Category	Fund Type
Governmental Funds	<ul style="list-style-type: none"> • General Fund • Special Revenue Fund
Proprietary Funds	<ul style="list-style-type: none"> • Enterprise Fund
Fiduciary Funds	<ul style="list-style-type: none"> • Expendable Trust

projects, debt service and special assessment funds serve purposes dissimilar to those of the Title V program. In the proprietary fund category, Title V could be accounted for using an enterprise fund, but not an internal service fund. In the fiduciary fund category, a state might adopt an expendable trust fund that could account for the Title V program, but agency funds, pension trust funds and nonexpendable trust funds would not be used. A summary of the fund types eligible to account for the Title V program is shown below.

General Fund

The general fund is comprised of a large number of accounts associated with the general services required by any state or municipality. This fund includes accounts for police and fire protection, parks, public areas, and any other government program or activity that is not accounted for elsewhere in the accounting system. If the Title V program were to be fiscally managed from the general fund, it would be identified as an independent account, separate from other general fund accounts. All revenue and expenditure activity such as permit fees (receipts) and the costs of operating the program (staff salaries, for example) would flow in and out of the Title V account within the general fund. Funds would not flow to or from the Title V account to or from any other general fund account without some sort of legislative approval.

While it would be considered acceptable under GASB to use the general fund to account for the Title V program, it is clearly not the best choice. First of all, Title V program reporting is not as detailed when

using the general fund. Under this scenario, Title V is merely one of a large number of accounts, and while general information on the program's fiscal activity is available through the general fund financial reports, the information is not as robust as it would be under another government accounting fund type.

More importantly, most government general funds do not restrict the movement of resources among the many general fund account groups and accounts. Further, it is a common government accounting practice to reallocate program resources among general fund accounts. Title V resources must be accounted for separately, without interaction between any other accounts. This requirement makes the general fund an unattractive option for Title V accounting.

Of the state air quality agencies interviewed, none uses the government's general fund to account for the Title V program, based on the limitations described above. Appendix A contains illustrative general fund statements that show the types of reports included as part of the general fund process.

The types of general fund reports provided as part of a comprehensive annual financial report include the following:

The statement of revenues, expenditures, and changes in fund balance. This statement reports the financial performance of the entity over the annual reporting period. It is meant to communicate the sources, uses, and balances of current

financial resources used to run general government operations.

The balance sheet. This report is best viewed as a snapshot in time of the entity's financial position. It presents the balance between governmental assets and liabilities and fund equity.

Standard accounting formats include presentation of combining statements that group all sub-funds into a summary report as well as separate statements on component units.

Because Title V is a new program specific illustrations of financial statements are not yet available. In order to illustrate the way the statements will be presented, illustrative general fund financial statements have been included as an appendix to this report.

Special Revenue Fund

The decision to select one particular fund type over the others has been primarily credited to historic precedent. Grant-funded programs and activities, such as the Section 105 program, have been accounted for by state and local governments through special revenue funds as common practice for many years. While the Title V program does not involve the management of federal grants, many air quality agencies have viewed Title V as a "sister program" of sorts to the Section 105 program. Subsequently, Title V resources have been managed through the same government accounting fund type — the special revenue fund — as

the Section 105 program. In nearly all state and local air programs contacted, the Title V program is managed within a special revenue fund.

Special revenue funds are the backbone of government accounting structures, as most governments operate numerous special revenue funds to implement a variety of programs and activities. As stated previously, special revenue funds account for financial resources, often in the form of federal grants, that are in some way restricted or ear-marked for a specific government purpose. The permit fees that flow into the state Title V programs are restricted just as a federal grant would be, even though these funds originate from private sector permittees and not the federal government. Because Title V revenues may not be used for any purpose other than the implementation and management of the Title V program, a special revenue fund is an appropriate accounting entity. All revenues and expenditures flowing in and out of the Title V special revenue account are used solely for that program and may not be co-mingled with any other special revenue fund without state legislative approval.

Governments may also account for Title V resources using a Title V account *within* an existing special revenue fund. Under the scenario described above, the Title V program is accounted for through the management of its *own* special revenue fund. Conversely, governments may account for Title V simply as an account within a special revenue fund possessing similar restrictions, such as a Clean Air special revenue fund that accounts for resources for

Title V and non-Title V programs. In this situation, Title V (account) resources are restricted for use only within Title V programs and may not be transferred outside of the fund without state legislative approval. This structure is often used for agencies in which the Title V program is not large enough to justify segregation into a separate fund.

With only one exception, all state air quality agencies interviewed use the special revenue fund to account for the Title V program. Most of the agencies account for Title V by utilizing a separate special revenue fund (Title V only), while the remaining use a separate Title V account within an existing (multi-program) special revenue fund. Appendix A presents illustrations of special revenue fund reports. Because they are part of the general fund, they are presented both as a component of the combining statements for the general fund and as individual special revenue funds.

Enterprise Fund

Enterprise funds are used to account for governmental programs and activities that are similar in nature to private sector commercial transactions. Services that require a cash outlay from the purchaser, as opposed to those services provided via tax revenues, are generally accounted for within enterprise funds. Good examples of these business-like services are public transportation systems and public utilities. Although Title V programs could fall into this category, no states are currently using an enterprise fund structure for Title V programs. Pending changes by

the accounting regulators may, however, change this in the near future.

The Government Accounting Standards Board (GASB) is in the process of modifying the requirements for the use of enterprise funds. Due out in mid-1997, the new requirements will encourage a broader use of enterprise funds for self-supporting activities. If the new requirements are passed by GASB, it is possible that Title V programs would need to be classified as enterprise funds by states to be in full compliance with GAAP. GASB language as now drafted is as follows:

Business-type activities should be reported as proprietary (enterprise) funds. To provide more consistency among governments, the circumstances under which enterprise accounting may or should be used are revised as follows:

Any activity that charges a fee to users for its services may be reported using enterprise fund accounting and financial reporting. An activity is required to be reported using enterprise fund accounting and reporting if any one of these criteria is met:

- a. The activity issues debt that is secured solely by a pledge of the net revenue from fees and charges of the activity.*
- b. State or local laws or regulations require that the activity recover the costs of providing services, including capital use charges or debt service, with fees and charges.*

- c. *The pricing policies of the activity establish fees and charges designed to recover the costs of providing services, including capital use charges or debt service. (Source: Preliminary Views of the Governmental Accounting Standards Board on Major Issues Related to Governmental Financial Reporting Model: Core Financial Statements, June, 1995)*

Because Title V permittees pay fees directly to the Title V program's administering air quality agency, as opposed to paying for the government program via income taxes or other sources, the program acts much like a commercial enterprise. Thus, an enterprise fund may ultimately be the structure used for Title V fee programs.

Enterprise fund accounting includes the use of financial reports that are not found under other government fund accounting scenarios, providing information to stakeholders from a more business-like perspective. Specifically, enterprise fund accounting features "Statement of Cash Flows" reports that would be useful in showing the movement of resources in and out of the Title V program. Accounting statements provided as part of an enterprise fund are included as part of Appendix A.

Expendable Trust

Expendable trusts are employed by governments to account for resources provided to the government under a trust agreement for implementation of a specific objective. These resources are often in the form of gifts or donations to the government, but have also historically taken the form of federal grants. As opposed to a non-expendable trust, both principal and interest of expendable trust resources can be expended in accordance with the trust agreement.

Title V resources can be accounted for under an expendable trust structure. While the Title V program does not provide any gifts or direct grants to be entrusted to the state governments, the program does result in revenue generation through permittee fees. These fees become the resources of the trust and can be expended only to implement the Title V program.

One of the state air quality agencies interviewed uses an expendable trust to account for the Title V program.

Summary: Pros and Cons of Title V Accounting Structure Alternatives

While the four government fund options discussed may be used for the Title V program, some are clearly better than others. The table below summarizes the strengths and weaknesses of each option for use in the Title V program.

Fund Type	Strengths	Weaknesses	Reports	Usage by Agencies Interviewed
General Fund	Easily implemented; all states have general funds in place.	Funds can be moved from one account to another with ease — a violation of Title V guidelines.	Statement of revenues, expenditures, and changes in fund balance; balance sheets; budget vs. actual.	None
Special Revenue Fund	Funds are segregated. Generally requires legislative or gubernatorial approval to move to between funds.	Creates another reporting entity; many states have numerous special revenue funds. Does not report on cash flows.	Statement of revenues, expenditures, and changes in fund balance; balance sheets; budget vs. actual.	All states but one (16 of 17)
Enterprise Fund	Behaves much like a commercial business enterprise. Emphasis is balancing resources with expenses. Higher implied level of segregation. Allows cash flow reporting.	Generally not used for small programs such as Title V.	Statement of revenues, expenditures, and changes in fund balance; balance sheets; budget vs. actual; statement of cash flows.	None
Expendable Trust Fund	Funds are segregated for specific purpose. Provides same reports as enterprise fund accounting.	Not originally intended for fee-based programs, historically used for federal grants.	Statement of revenues, expenditures, and changes in fund balance; balance sheets; budget vs. actual; statement of cash flows.	One agency (1 of 17)

Criteria for Evaluating the Need to Modify an Agency's Title V Accounting Structure

As most state and local air programs are just beginning to work with accounting procedures for the Title V program, few have had the opportunity to assess whether or not the selected accounting structure (fund type) is acceptable in terms of meeting the requirements of the program itself and providing accounting staff and Title V program managers with information needed to accurately monitor costs.

In order to assess the adequacy of the Title V accounting program, air programs should ask the following questions:

- Does the current accounting structure ensure that Title V resources are being managed and reported on independently of all other non-Title V programs?
- Do accounting managers within the state or local agency foresee any possibility that Title V funds could be transferred to another account for unauthorized use? If so, which fund structure within the agency provides the highest level of protection from transfers?
- Does the current accounting structure allow for the creation of reports that are meaningful to air quality agency managers and other stakeholders such as permittees and USEPA?

- Is the current accounting structure flexible enough to allow changes in reporting procedures — for example, to correct any inadequacies?

The answers to these questions may indicate that a change in accounting structures is necessary in order to manage the Title V program more effectively.

CHAPTER 3: MANAGEMENT REPORTING AND TRACKING

Introduction

Managerial reporting is one of the most important activities in both the private and public sectors. The presentation of current, accurate information to the stakeholders of a private business or government program can literally make the difference between bankruptcy for the private business or program ineffectiveness for a government agency.

Many academics and business leaders alike agree that information is the most important resource in any entity, private or public. For example, a manufacturing business needs information on how costs are allocated among different products, just as Title V program managers are interested in identifying how program personnel spend their time among Title V and non-Title V programs. These examples reflect the need for “internal” reporting — providing information to those within the organization.

Similarly, information is required by those outside the organization that have an interest in the success of the program. A bank is not going to loan a business millions of dollars without first taking a look at the financial position of the operation. Similarly, stakeholders in the Title V program including permittees, the state legislature, and the federal government need

to know that financial resources are being used as intended by the U.S. Congress in the Clean Air Act. These two examples show the necessity of “external” reporting — providing information to stakeholders outside of the organization.

This section represents the third of the three steps in the natural sequence of financial management and reporting activities. Internal and external reporting logically follows the activities that occur in the first two steps. To recap, the first step involves gathering the accounting information via tools such as time sheets and recording the direct and indirect labor and non-labor costs as they are incurred. The second step entails introducing the cost information to the particular government fund put in place to manage the Title V program. Once the information has been gathered and posted to the fund, it is time to put that information to work in the form of financial reports for internal and external usage.

Step 1: Gather time keeping/cost allocation
information

Step 2: Post information to Title V
accounting fund

Step 3: Develop internal and external
financial reports

Internal Reporting

Internal reporting procedures allow important program and accounting information concerning the Title

V program to be disseminated throughout the air program. This sharing of information accomplishes several important objectives, including: (1) it allows program and accounting personnel to understand the status of the Title V program in a timely manner, and (2) it helps identify those areas of the Title V program in need of modification or improvement. This second point is significant as the Title V program is quite new and its constant improvement will require the sharing of information throughout the administering agency.

The Financial Reporting System

As described above, financial reporting represents the third of three main steps to the financial management and reporting process. Subsequently, the activity that occurs in this final step is a function of what happens in the first two. Most financial reporting systems are set up to provide a standard set of budget and financial statement reports for internal users, based on the type of governmental accounting fund in use. For example, if the Title V program is accounted for as a special revenue fund, the standard reports accessible via the accounting system include balance sheets, statements of revenues, expenditures and changes in fund balance, and budget versus actual reports. The reports, usually generated monthly, are based on (1) the information provided through recordation of permit fee receipts, time sheet and cost allocation practices and (2) the type of government fund in use for Title V accounting. Because of governmental accounting standards, all air programs have the ability to create these reports through their accounting systems, showing Title V-specific information. Some have the



ability to access the information on line. Appendix A shows examples of the types of standard reports that can be generated through the government financial reporting system.

Specialized Financial Reporting

The reports described in the previous section are very important to the air program staff, providing information concerning Title V fund account balances and actual expenditures and revenues to date. Interviews conducted with air program staff revealed, however, that reports customized to fit various individual needs of the users beyond those offered by a traditional reporting system can also be extremely useful. For some agencies, these specialized reports include:

- Summaries of Title V obligations and encumbrances
- List of permittees and fee revenues generated
- Account balances by object code

Specialized reports such as these are extremely useful to air program managers as they implement a new program such as Title V for two main reasons. First, the nature of a fee-based program involves constant monitoring of the balance of revenues and expenditures, necessitating up-to-date information on permit fee revenues and labor cost allocation, for example. In order to recognize whether or not the permit fees are adequately offsetting program expenditures, a specialized level of reporting is needed. Second, specialized reports

can be used to monitor internal performance characteristics of the Title V program itself. The amount of direct labor spent per Title V permittee, for example, may be useful information to Title V managers as would a summary of Title V indirect cost allocation.

While most of the agencies interviewed desire the ability to generate custom reports, few are able to accomplish this objective with their current management information systems (MIS). For many states, generating customized reports entails submitting a formal request to the accounting or MIS department that describes the financial information requested. Delivery of the report can take up to two weeks in some cases, often resulting in information that is too dated to be of much use. A few states, however, have sophisticated MIS in place that allow a large variety of specialized financial reports to be generated on-line, in real time. In these cases, the financial reports reflect the most up-to-date information possible.

The state of Wyoming provides a good example of the usefulness of customized financial reports. Three different financial reports are generated by Wyoming's MIS. Each of the reports displays accounting information not contained in the standard special revenue fund reports described in the previous section. Wyoming's system provides another filter to the data, subsequently giving Title V program managers detailed information on the status of their fee-based program. The first page of the system includes a Summary of Obligations representing the costs with the amount expended or encumbered, and the remain-

ing balance. The last line of the first page shows the Title V fees that are available to cover these costs. This information is crucial to managers of a fee-based program, as it provides cash flow information. The last two financial reports present detailed information on Title V permit program expenditures, again, information that is more detailed and more useful than the standard special revenue fund reports.

Summary: Internal Reporting

In order to effectively manage resources, Title V agencies need access to different types of internal reports: those general purpose statements that are available through the government fund accounting system, and specialized financial reports that can be created by Title V managers to provide detailed information lacking in the general purpose reports. Generating customized financial reports is best accomplished through the use of a sophisticated MIS that can provide the detailed information on-line.

Interviews of air program personnel yielded the following general information regarding internal reporting:

- Most Title V programs are incorporated into state environmental department-wide general purpose financial statements (balance sheets, statements of revenues and expenditures, etc.) on a regular basis, via their government fund accounting systems. Financial reports specific to the Title V fund can be requested by state or local permit program managers.

- Most Title V agencies expressed the need for more specialized internal financial reports.
- A few agencies have the ability to generate detailed, specialized financial reports by using sophisticated MIS; the remaining must submit formal requests for such customized reports and sometimes must wait weeks to receive them.

As air programs begin to identify areas for improving their implementation of the Title V program, the variety and detail of internal reports will most likely increase.

External Reporting

External reporting is the practice of providing information to entities outside of a business or agency. For various reasons, stakeholders like to be kept informed as to the financial status of a public or private entity. For the Title V program, stakeholders that may wish to review the administering agency's financial reports include Title V permittees, state legislatures, or USEPA.

Title V External Reporting Status

In general, external reporting procedures for the Title V program have yet to be developed for a couple of reasons. First, as the Title V program is relatively new, states have been concentrating on designing and implementing the program itself. In order for external reporting to be meaningful, Title V program administrators first need to get the program established and

develop measurement criteria that stakeholders will find useful. Secondly, Title V stakeholders have yet to place external reporting demands on the air programs. Stakeholders, Title V permittees in particular, appreciate the fact that the program is still under development and agency personnel are concentrating on implementation for the time being.

Governmental Reporting Procedures

Any description of external reporting responsibilities for government agencies would be incomplete without mentioning the CAFR. The Comprehensive Annual Financial Report (CAFR) is a detailed report that encompasses the fiscal activity of every fund and account group used by the government. The National Council on Governmental Accounting (NCGA) requires completion of a CAFR each year to provide very detailed accounting information to a wide audience. In addition to the information concerning government accounting activity for the year, the CAFR also presents other general and statistical information. A key characteristic of the CAFR is that it presents audited financial statements for the state or local government.

Through the structure of government fund accounting and management information systems, accounting information on the Title V program is provided to upper levels of the governmental entity. This information is then summarized and becomes part of the CAFR. In most cases, the Title V-specific information is not readily identifiable in this report, even though many Title V programs are accounted for

in their own special revenue funds. While the CAFR presents information on all special revenue funds, most Title V programs are far too small in comparison to other funds to be listed separately. Subsequently, the Title V accounting information is buried within another special revenue fund summary.

External Oversight Committees

As mentioned above, typical external reporting techniques have yet to materialize for the Title V program. However, many agencies have formed external (third-party) oversight committees to help monitor the fee-based Title V program from a multiple-stakeholder perspective. These committees will most likely be the impetus to the development of external reporting procedures. A number of the agency personnel interviewed have set up these committees, which are composed of Title V permittees, state legislators, and other regulatory representatives. The mission of the oversight committees is to help the Title V administering agency develop a program that addresses the needs of all stakeholders, one of those needs being the access to information.

To restate, stakeholders have yet to put pressure on Title V agencies for external reporting. As the Title V program takes shape, stakeholders will become more interested in receiving up to date program information such as:

- Current fee levels
- Costs associated with program implementation

- Expenditure and revenue reconciliation
- Various performance indicators

Simply stated, the stakeholders, especially those that have mobilized into forming oversight committees, will want to know where their fees are going and how efficiently they are being used to administer the fee-based Title V program.

External Reporting: Measuring Performance

A challenge that will face Title V agencies as they develop external reporting procedures is identifying and measuring program performance criteria. Once Title V programs are implemented and underway, it is safe to assume stakeholders will soon be demanding financial and performance-based reports. Title V stakeholders may desire performance-based reports that answer questions such as:

- How many labor hours does it take to implement the Title V program for each permittee?
- How many days does it take to review a Title V permit?
- Are Title V-related labor and other costs decreasing or increasing over time compared to workload?

The air programs must take great care when developing their external reporting program, as the applicability of cost and performance data may vary widely across the Title V program. For example, a report showing the relationship between the total number of

permittees and the annual cost of Title V program implementation may provide misleading information as the required amount of labor hours (cost) may vary among Title V permittees.

For the most part, the benefits of performance tracking outweigh the potential pitfalls described above. States should work hard to develop external reporting processes that provide meaningful measures of performance, while still meeting the needs of Title V stakeholders.

External Reporting: New York as Example

The State of New York's Department of Environmental Conservation develops an annual report for the New York State Operating Permit Program (Title V). Selected portions are included in Appendix B. The New York report is a useful example of external reporting in practice. Presented each year to the New York State Legislature, the Governor and the Office of the State Comptroller (stakeholders), the report summarizes the Title V program's activity and includes both fiscal and performance-based criteria, such as the estimated versus actual costs of program implementation, the average number of permits issued annually, as well as future fiscal year projections.

Summary: External Reporting

Most agencies are in the process of implementing and refining their Title V programs and have not yet addressed external reporting. However, based on the

interviews conducted, the following similarities have been identified:

- Stakeholders such as permittees and regulatory agencies have not yet demanded external reporting from the Title V agencies as the program continues to be implemented.
- Governmental fund accounting systems support external reporting to be used for the Comprehensive Annual Financial Report (CAFR). However, due to the relatively small size of the Title V program, it is rarely identified in the CAFR.
- Some agencies have organized oversight committees to provide feedback to Title V-administering agencies. These committees will be the driving force in the creation of external reports for stakeholders in those states.
- Agencies will need to begin to develop external reporting to respond to requests from stakeholders.

CONCLUSION

The Clean Air Act Title V Operating Permit Program presents new requirements for state and local air quality agencies. Most of these requirements are a challenge to agencies that have historically managed grant-based programs such as Section 105. Fee-based programs need special considerations in terms of time keeping, cost allocation, accounting fund type selection, and reporting.

This study found that state and local air programs are making great strides in addressing the many financial management challenges associated with the Title V program. However, because the program is beginning the implementation phase, it is likely that state and local programs will need to adjust the financial management of the program as they gain more experience.

Conditions in the three primary financial management activities identified in the study are as follows:

1. Time Keeping and Cost Allocation
 - Air quality agencies must refine procedures for tracking labor and non-labor costs among Title V and non-Title V programs. Of those interviewed, all but one agency utilize time sheets to record labor costs incurred for Title V and non-Title V programs. Some of these systems are very sophisticated and interact with the management information system (MIS) to generate detailed reports.

- These agencies must also address the manner in which indirect costs are allocated to these programs. All individuals interviewed have procedures in place to record and allocate indirect labor and non-labor costs to appropriate Title V and non-Title V program accounts. State and local programs would benefit from documenting these procedures if they have not done so.

2. Accounting Fund Structures and Controls

- Air quality agencies must review their accounting structures and assess whether the current procedures are adequate for managing the resources of a fee-based program or if new accounting methods are required for program efficiency and/or compliance with Title V requirements.
- All agencies interviewed are currently employing acceptable methods of accounting for Title V resources independently of non-Title V programs. All but one of the agencies interviewed rely on special revenue accounts for Title V program management, while the remaining agency accounts for Title V via an expendable trust fund. Agencies should be aware that government accounting regulators may impose a fund definition that would necessitate a change in the Title V fund structure — changing Title V to an enterprise fund. Such a change will result in financial

reports for Title V that more closely reflect the fact that the Title V program is user fee supported.

3. Internal and External Reporting

- Agencies are challenged with identifying the financial data they require in internal program reports to manage the program. While the budget process will provide regular reporting on encumbrances against account codes, other detailed information will be available through the accounting system to evaluate costs and revenues on a regular basis.
- Many state and local programs have yet to become adept at manipulating the accounting system to provide management information. However, where programs are further along in implementation, it seems that internal tracking information is more readily available.
- External reporting is an area that, to a great extent, has not developed at the state and local level. As the programs move from the start-up period to the operation period, interests in providing external information will increase. While there are difficulties in overly simplistic performance measures that do not consider the normal variability of individual activities, the development of useful summary performance information is a worthwhile endeavor that Title V programs should undertake.

APPENDIX A

Excerpted from Governmental Accounting, Auditing and Financial Reporting (Government Finance Officers Association).

GENERAL FUND

The general fund is used to account for resources, traditionally associated with government, which are not required legally or by sound financial management to be accounted for in another fund.

NAME OF GOVERNMENT GENERAL FUND

Comparative Statements of Revenues, Expenditures
and Changes in Fund Balances
For the fiscal years ended December 31, 19X4 and 19X3
(amounts expressed in thousands)

	19X4	19X3
Revenues:		
Taxes:		
Property	\$14,133	\$13,886
Sales	6,642	5,253
Franchise	4,293	4,126
Licenses and permits	2,041	1,820
Intergovernmental	5,770	4,469
Charges for services	2,300	2,335
Fines	808	521
Interest	623	476
Contributions	145	—
Payments in lieu of taxes	365	314
Drug forfeitures	75	—
Total revenues	37,195	33,200
Expenditures:		
Current:		
General government	4,232	3,844
Public safety	13,438	13,150
Highways and streets	3,735	3,389
Sanitation	3,726	3,404
Culture and recreation	5,899	6,167
Debt service:		
Principal	15	—
Bond issuance costs	150	—
Total expenditures	31,195	29,954
Excess of revenues over expenditures:	6,000	3,246

	19X4	19X3
Other financing sources (uses):		
Operating transfer in-electric fund	1,576	—
Operating transfers out:		
Debt service fund	(3,327)	(3,331)
Pipeline construction fund	(1,210)	—
Component unit	(25)	—
CDBG revitalization project fund	(63)	—
Capital leases	140	—
Sales of general fixed assets	5	—
Total other financing sources (uses)	(2,094)	(3,331)
Excess (deficiency) of revenues and other financing		
sources over (under) expenditures		
and other financing uses	3,096	(85)
Fund balances, January 1	1,807	1,892
Residual equity transfers out—fleet		
management fund	(45)	—
Fund balances, December 31	\$ 4,858	\$ 1,807

The notes to the financial statements are an integral part of this statement.

**NAME OF GOVERNMENT
GENERAL FUND**

Comparative Statements of Revenues, Expenditures and
Changes in Fund Balances – Budget and Actual
For the fiscal years ended December 31, 19X4 and 19X3
(amounts expressed in thousands)

	19X4			19X3		
	Budget	Actual	Variance Favorable (unfavorable)	Budget	Actual	Variance Favorable (Unfavorable)
Revenues						
Taxes:						
Property	\$14,007	\$14,133	\$ 126	\$13,844	\$13,886	\$ 42
Sales	5,900	6,642	742	5,198	5253	55
Franchise	4,312	4,293	(19)	4,124	4,126	2
Licenses and permits	1,827	2,041	214	1,503	1,820	317
Intergovernmental	5,661	5,770	109	5,395	4,469	(926)
Charges for services	2,158	2,300	142	2,095	2,335	240
Fines	810	808	(2)	487	521	34
Interest	555	623	68	520	476	(44)
Contributions	—	145	145	—	—	—
Payments in lieu of taxes	345	365	20	314	314	0
Drug forfeitures	—	75	75	—	—	—
Total revenues	35,575	37,195	1,620	33,480	33,200	(280)
Expenditures:						
Current:						
General Government						
Council	110	92	18	94	113	(19)
Commissions	86	64	22	71	63	8
Manager	490	505	(15)	426	414	12
Attorney	380	387	(7)	216	206	10
Clerk	275	250	25	247	237	10
Personnel	356	304	52	274	249	25
Finance and admin.	904	868	36	846	830	16
Other—unclassified	2,256	1,762	494	1,884	1,732	152
Total general gov't.	4,857	4,232	625	4,058	3,844	214
Public safety:						
Police	6,513	6,354	159	6,026	6,801	(775)
Fire	6,040	6,031	9	5,521	5,415	106
Inspection	1,092	1,053	39	970	934	36
Total public safety	13,645	13,438	207	12,517	13,150	(633)
Highways and Streets:						
Engineering	814	796	18	777	762	15
Maintenance	3,052	2,939	113	2,681	2,627	54
Total highways & Sts.	3,866	3,735	131	3,458	3,389	69
Sanitation	3,848	3,726	122	3,426	3,404	22
Culture & recreation	5,950	5,899	51	5,477	6,167	(690)

	19X4			19X3		
	Budget	Actual	Variance Favorable (unfavorable)	Budget	Actual	Variance Favorable (Unfavorable)
Dept. service:						
Principal	—	15	(15)	—	—	—
Bond issuance costs	150	150	0	—	—	—
Total debt service	150	165	(15)	—	—	—
Total expenditures	32,316	31,195	1,121	28,936	29,954	(1,018)
Excess of revenues over expenditures	3,259	6,000	2,741	4,544	3,246	(1,298)
Other financing sources (uses):						
Operating transfers in	1,576	1,576	0	—	—	—
Operating transfers out:						
Debt service fund	(3,400)	(3,327)	73	(3,350)	(3,331)	19
Pipeline constr.fund	(1300)	(1,210)	90	—	—	—
Component unit	—	(25)	(25)	—	—	—
CDBG revitalization proj. .	—	(63)	(63)	—	—	—
Capital leases	—	140	140	—	—	—
Sales of gen. fixed assets .	34	5	(29)	—	—	—
Total other financing sources (uses)	(3,090)	(2,904)	186	(3,350)	(3,331)	19
Excess (deficiency) of revenues and other financing sources over (under) expenditures and other financing uses	169	3,096	2,927	1,194	(85)	(1,279)
Fund balances, January 1 ..	1,807	1,807	0	1,892	1,892	0
Residual	(60)	(45)	15	—	—	—
Fund balances, Dec 31	\$ 1,916	\$ 4,858	\$ 2,942	\$ 3,086	\$ 1,807	\$ (1,279)

The notes to the financial statements are an integral part of this statement.

**NAME OF GOVERNMENT
GENERAL FUND**

Comparative Balance Sheets
December 31, 19x4 and 19x3
(amounts expressed in thousands)

	19X4	19X3
Assets	\$3,097	\$ 557
Cash and cash equivalents	2,091	1,226
Investments		
Receivables (net of allowances for uncollectibles):		
Interest	92	48
Taxes:		
Property	86	74
Property—interest and penalties	11	4
Liens	25	19
Sales	830	800
Accounts	72	59
Intergovernmental:		
Federal	—	150
County	215	127
Due from other funds:		
Transportation fund	—	38
Water and Sewer fund	65	193
Fleet management fund	8	—
Due from component unit	12	—
Interfund receivables:		
Fleet management fund	8	—
Management information systems fund	24	—
Inventories	39	37
Advances to other funds:		
Fleet management fund	32	—
Management information systems fund	46	50
Total assets	6,753	3,382

	19X4	19X3
Liabilities and fund balances		
Liabilities:		
Accounts Payable	887	874
Compensated absences	225	201
Contracts payable	67	151
Due to other funds:		
Pipeline construction fund	335	—
Water and sewer fund	37	21
Fleet management fund	47	—
Management information systems fund	57	98
Deferred revenue:		
Interest	—	48
Property taxes	24	75
Interest and penalties-property taxes	10	3
Tax liens	25	19
Federal government	181	85
Total liabilities	1,895	1,575
Fund balances:		
Reserved for encumbrances	320	211
Reserved for senior recreation program	145	—
Reserved for drug enforcement	75	—
Reserved for advances	78	50
Unreserved, undesignated	4,240	1,546
Total fund balances	4,858	1,807
Total liabilities and fund balances	6,753	3,382

The notes to the financial statements are an integral part of this statement.

**NAME OF GOVERNMENT
SPECIAL REVENUE FUNDS**

Combining Statement of Revenues, Expenditures and
Changes in Fund Balances

For the fiscal year ended December 31, 19x4

(With comparative totals for the fiscal year ended December 19x3)
(amounts expressed in thousands)

	Trans- portation	Parks Main- tenance	CDBG Revitali- zation	Totals	
				19x4	19x3
Revenues:					
Motor fuel tax:	729	—	—	729	355
Alcoholic beverage tax:	799	—	799	651	
Intergovernmental	100	—	338	438	28
Interest	77	39	—	116	70
Donations	—	149	—	149	239
Total revenue	906	987	338	2,231	1,343
Expenditures:					
Current:					
Highways and streets	742	—	—	742	—
Economic and physical Development	—	—	401	401	28
Culture and Recreation	—	1,001	—	1,001	605
Total expenditures	742	1,001	401	2,144	633
Excess (deficiency) of revenues over (under) expenditures	164	(14)	(63)	87	710
Other financing source:					
Operating transfer:					
General fund	—	—	63	63	5
Excess (deficiency) of revenues and other financing sources over (under) expenditures and other financing uses	164	(14)	—	150	71
Fund balances, January 1	744	480	5	1,229	514
Fund balances, December 31	908	466	5	1,379	1,229

The notes to the financial statements are an integral part of this statement.

SPECIAL REVENUE FUNDS

Special revenue funds are used to account for specific revenues that are legally restricted to expenditures for particular purposes.

Transportation Fund — This fund is used to account for the government's share of motor fuel tax revenues and special state grants that are legally restricted to the maintenance of state highways within the government's boundaries.

Parks Maintenance Fund — This fund is used to account for private donations and alcoholic beverage tax revenues (approved by voters in 19X3) that are specifically restricted to the maintenance of the government's parks.

CDBG Revitalization Project Fund — This fund is used to account for the community development block grant that is funding the revitalization project for substandard housing in the government's jurisdiction.

**NAME OF GOVERNMENT
SPECIAL REVENUE FUNDS**

Combining Balance Sheet
December 31, 19x4
(with comparative totals for December 31, 19x3)
(amounts expressed in thousands)

	Trans- portation	Parks Main- tenance	CDBG Revitali- zation	Totals	
				19x4	19x3
Assets					
Cash and cash equivalents	65	146	—	211	188
Investments	1,174	403	—	1,577	1,144
Interest receivable	1	1	—	2	12
Cash-restricted	—	—	4	4	—
Intergovernmental receivable restricted	—	—	19	19	5
Total assets	1,240	550	23	1,813	1,349
Liabilities and fund balances					
Liabilities:					
Accounts payable	332	84	—	416	82
Due to other funds-general fund ..	—	—	—	—	38
Liabilities payable from restricted assets	—	—	18	18	—
Total liabilities	332	84	18	434	120
Fund balances:					
Reserved for encumbrances	353	8	5	366	159
Unreserved, undesignated	555	458	—	1,013	1,070
Total fund balances	908	466	5	1,379	1,229
Total liabilities and fund balances	1,240	550	23	1,813	1,349

The notes to the financial statements are an integral part of this statement.

ENTERPRISE FUNDS

Enterprise Funds are used to account for operations that are financed and operated in a manner similar to private business enterprises — where the intent of the government's council is that the costs of providing goods or services to the general public on a continuing basis be financed or recovered primarily through user charges; or where the government's council has decided that periodic determination of net income is appropriate for accountability purposes.

Water and Sewer Authority Fund — This fund is used to account for the activities of the Water and Sewer Authority (a blended component unit of the NAME OF GOVERNMENT).

Electric Fund — This fund is used to account for the activities of the government's electric distribution operations.

**NAME OF GOVERNMENT
ENTERPRISE FUNDS**

Combining Balance Sheet
December 31, 19X4
(With comparative totals for December 31, 19X3)
(amounts expressed in thousands)

	Water and Sewer Authority	Electric	Totals 19X4	19X3
ASSETS				
Current Assets:				
Cash and cash equivalents	\$ 1,366	\$ 4,253	\$ 5,619	\$ 4,121
Cash with fiscal agent	123	—	123	—
Investments	14,610	1,795	16,405	8,879
Interest receivable	409	51	460	435
Accounts receivable (net of allowance for uncollectibles)	2,621	1,378	3,999	3,551
Due from other funds:				
General fund	37	—	37	39
Fleet management fund	2	—	2	—
Inventories	308	637	945	930
Total current assets	19,476	8,114	27,590	17,955
Restricted assets:				
Customer deposits	1,543	188	1,731	1,375
Revenue bond operations and maintenance account	1,294	—	1,294	1,023
Revenue bond construction account	18,542	—	18,452	—
Revenue bond current debt service account	3,706	—	3,706	1,380
Revenue bond future debt service account	737	—	737	523
Revenue bond renewal and replacement account ...	1,632	—	1,632	1,165
Total restricted assets	27,454	188	27,642	5,466
Deferred charges	568	—	568	469
Fixed assets:				
Land	604	451	1,055	1,055
Buildings and system	20,928	7,043	27,971	19,817
Accumulated depreciation—buildings and system	(2,476)	(3,013)	(5,489)	(4,769)
Improvements other than buildings	1,250	—	1,250	1,250
Accumulated depreciation— improvements other than buildings	(342)	—	(342)	(188)
Machinery and equipment	104,283	1,094	105,377	104,761

	Water and Sewer Authority	Electric	Totals	
			19X4	19X3
Accumulated depreciation— machinery and equipment	(14,723)	(558)	(15,281)	(13,429)
Construction in progress	7,118	—	7,118	—
Fixed assets (net of accumulated depreciation)	116,642	5,017	121,659	108,407
Total assets	\$164,140	\$13,319	177,459	132,337

LIABILITIES AND EQUITY

Current liabilities:

Accounts payable	\$ 1,237	\$1,130	\$ 2,367	\$ 2,281
Compensated absences payable	374	16	390	378
Retainage payable	536	—	536	—
Due to other funds:				
General fund	65	—	65	193
Fleet management fund	17	—	17	—
Management info. sys. fund	5	—	5	14
Intergovernmental payable	—	—	—	11
Matured bonds payable	68	—	68	—
Matured interest payable	55	—	55	—
Accrued interest payable	1,045	—	1,045	1,100
General obligation bonds payable—current	1,480	—	1,480	1,360
Capital leases payable—current	23	—	23	—
Total current liabilities	4,905	1,146	6,051	5,337

Current liabilities payable from restricted assets:

Customer deposits payable	1,543	188	1,731	1,375
Revenue bonds payable	1,484	—	1,484	530
Accrued interest payable	1,331	—	1,331	448
Total current liabilities payable from restricted assets	4,358	188	4,546	2,353

Noncurrents liabilities:

General obligation bonds payable (net of unamortized discounts)	30,818	—	30,818	23,798
Revenue bonds payable (net of unamortized discounts)	31,975	—	31,975	8,580
Capital leases payable	78	—	78	—
Total noncurrent liabilities	62,871	—	62,871	32,378
Total liabilities	72,134	1,334	73,468	40,068

	Water and Sewer Authority	Electric	Totals	
			19X4	19X3
Equity:				
Contributed capital:				
Government	4,033	—	4,033	803
Customers	14,062	—	14,062	13,854
Developers	35,241	3,138	38,379	34,293
Intergovernmental	5,588	—	5,588	5,588
Total contributed capital	58,924	3,138	62,062	54,538
Retained earnings:				
Reserved for revenue bond operations and maintenance	1,294	—	1,294	1,023
Reserved for revenue bond current debt service	891	—	891	402
Reserved renewal and replacement	1,632	—	1,632	1,165
Unreserved	29,265	8,847	38,112	35,191
Total retained earnings	33,082	8,847	41,929	37,781
Total equity	92,006	11,985	103,991	92,319
Total liabilities and equity	\$164,140	\$13,319	\$177,459	\$132,387

The notes to the financial statements are an integral part of this statement.

NAME OF GOVERNMENT ENTERPRISE FUNDS

Combining Statement of Revenues, Expenses and Changes in Retained Earnings
for the fiscal year ended December 31, 19X4

(With comparative totals for the fiscal year ended December 31, 19X3)

(amounts expressed in thousands)

	Water and Sewer Authority	Electric	Totals	
			19X4	19X3
Operating revenues:				
Charges for sales and services:				
Water sales	\$ 9,227	—	\$ 9,227	\$ 7,588
Sewer charges	5,671	—	5,671	4,344
Tap fees	1,521	—	1,521	1,155
Electric sales	—	15,250	15,250	15,110
Total operating revenues	16,419	15,250	31,669	28,197
Operating expenses:				
Costs of sales and services	6,997	10,772	17,769	16,879
Administration	3,137	1,482	4,620	4,342
Depreciation	2,436	318	2,754	2,597
Total operating expenses	12,570	12,573	25,143	23,818
Operating income	3,849	2,677	6,526	4,379
Nonoperating revenues (expenses):				
Intergovernmental	350	46	396	172
Interest revenue	1,753	523	2,276	2,357
Interest expense	(3,439)	—	(3,439)	(2,765)
Bond issuance costs	(25)	—	(25)	(10)
Loss on sales of fixed assets	(10)	—	(10)	—
Total nonoperating revenues				
(expenses)	(1,371)	569	(802)	(246)
Income before operating transfers	2,478	3,246	5,724	4,133
Transfer (to) other funds:				
General fund	—	(1,576)	(1,576)	—
Net income	2,478	1,670	4,148	4,133
Retained earnings, January 1	30,604	7,177	37,781	33,648
Retained earnings December 31	\$33,082	\$ 8,847	\$41,929	\$37,781

The notes to the financial statements are an integral part of this statement.

**NAME OF GOVERNMENT
ENTERPRISE FUNDS**

Combining Statement of Cash Flows
For fiscal year ended December 31, 19X4
(With comparative totals for fiscal year ended December 31, 19X3)
(amounts expressed in thousands)

	Water and Sewer Authority	Electric	Totals 19X4	19X3
Cash flows from operating activities:				
Cash received from customers	\$16,151	\$15,097	\$31,248	\$27,364
Cash paid to suppliers	(5,813)	(10,558)	(16,371)	(16,064)
Cash paid for quasi-external transactions	(1,202)	—	(1,202)	—
Cash paid to employees	(3,117)	(1,903)	(5,020)	(4,338)
Net cash provided by operating activities	6,019	2,636	8,655	6,962
Cash flows from noncapital financing activities:				
Transfer to general fund	—	(1,576)	(1,576)	—
Subsidy from federal grant	350	46	396	172
Net cash provided (used) by noncapital financing activities	350	(1,530)	(1,180)	172
Cash flows from capital and related financing activities:				
Proceeds from general obligation bonds	8,423	—	8,423	—
Proceeds from revenue bonds	34,150	—	34,150	—
Principal payments—bonds	(11,170)	—	(11,170)	(1,885)
Principal payments—capital leases	(12)	—	(12)	—
Interest paid	(2,310)	—	(2,310)	(2,887)
Proceeds from sales of fixed assets	5	—	5	—
Purchase of fixed assets	—	(494)	(494)	(1,637)
Capital lease obligation down payments	(6)	—	(6)	—
Construction (including capitalized interest costs)	(11,396)	—	(11,396)	—
Contributed capital	4,294	—	4,294	6,744
Net cash provided (used) by capital and related financing activities	21,978	(494)	21,484	335
Cash flows from investing activities:				
Proceeds from sale of investments	1,568	2,038	3,606	2,987
Purchase of investments	(23,860)	(2,276)	(26,136)	(9,896)
Interest received	1,347	593	1,940	2,316
Net cash provided (used) by investing activities	(20,945)	355	(20,590)	(4,593)

	Water and Sewer Authority	Electric	Totals	
			19X4	19X3
Net increase (decrease) in cash and cash equivalents	7,402	967	8,369	2,876
Cash and cash equivalents, January 1 (including \$8,611 in restricted accounts)	2,698	3,474	6,172	3,296
Cash and cash equivalents, December 31 (including \$188 in restricted accounts)	\$10,100	\$ 4,441	\$14,541	\$ 6,172

RECONCILIATION OF OPERATING INCOME TO NET CASH PROVIDED BY OPERATING ACTIVITIES

	Water and Sewer Authority	Electric	Totals	
			19X4	19X3
Operating income	\$ 3,849	\$ 2,677	\$ 6,526	\$ 4,379
Adjustments to reconcile operating income to net cash provided by operating activities:				
Depreciation expense	2,436	318	2,754	2,597
(Increase) in accounts receivable	(508)	(153)	(661)	(40)
Increase in due from other funds	—	—	—	(11)
(Increase) in allowance for uncollectible accounts	213	—	213	110
(Increase) decrease in inventories	153	(168)	(15)	(100)
Increase in customer deposits	233	12	245	84
Increase (decrease) in accounts payable	133	(47)	86	(34)
(Increase) in amounts payable related to equipment purchase	(374)	—	(374)	—
Increase (decrease) in compensated absences payable	15	(3)	12	(2)
Increase (decrease) in inter-governmental payables	(11)	—	(11)	4
Increase (decrease) in due to other funds	(120)	—	(120)	5
Total adjustments	2,170	(41)	2,129	2,583
Net cash provided by operating activities	\$ 6,019	\$ 2,636	\$ 8,655	\$ 6,962

Noncash Investing, Capital and financing Activities

Borrowing under capital lease	101	—
Contributions of fixed assets from government	3,230	—
Purchase of equipment on account	374	—

The notes to the financial statements are an integral part of this statement.

TRUST AND AGENCY FUNDS

Trust funds are used to account for assets held by the government in a trustee capacity. Agency funds are used to account for assets held by the government as an agent for individuals, private organizations, other governments and/or other funds.

Senior Citizens' Transportation Fund — This fund is used to account for donations that are received pursuant to a trust agreement that restricts the use of those donations to providing subsidies for senior citizens' transportation to special government sponsored events.

Perpetual Care Fund — This fund is used to account for principal trust amounts received and related interest income. The interest portion of the trust can be used to maintain the community cemetery.

Public Safety Employees Retirements System Fund — This fund is used to account for the accumulation of resources for pension benefit payments to qualified public safety employees.

Deferred Compensation Fund — This fund is used to account for assets held for employees in accordance with the provisions of Internal Revenue Code Section 457.

NAME OF GOVERNMENT TRUST AND AGENCY FUNDS

Combining Balance Sheet
December 31, 19X4
(With comparative totals for December 31, 19X3)
(amounts expressed in thousands)

	Expendable Trust	Non- Expendable Trust	Pension Trust	Agency	Totals	
	Senior Citizens' Transportation	Perpetual Care	Public Safety Employees	Deferred Compensation	19X4	19X3
Assets						
Cash and cash equivalents ..	\$ 11	\$ 231	\$ 33	\$ 18	\$ 293	\$ 87
Investments	41	1,752	14,335	1,198	17,327	15,394
Interest receivable	6	82	346	—	434	163
Total assets	\$ 58	\$ 2,066	\$ 14,714	\$ 1,216	\$ 18,054	\$ 15,644
Liabilities and fund balances						
Liabilities:						
Accounts payable	\$ 7	\$ 13	\$ 18	—	\$ 38	\$ 36
Deferred compensation benefits payable	—	—	—	1,216	1,216	900
Total liabilities	7	13	18	1,216	1,254	936
Fund balances:						
Reserved for perpetual care	—	1,102	—	—	1,102	1,102
Reserved for employees retirement system	—	—	16,802	—	16,802	14,248
Unreserved, undesignated	51	951	(2,106)	—	(1,104)	(642)
Total fund balances	51	2,053	14,696	—	16,800	14,708
Total liabilities and fund balances	\$ 58	\$ 2,066	\$ 14,714	\$ 1,216	\$ 18,054	\$ 15,644

The notes to the financial statements are an integral part of this statement.

**NAME OF GOVERNMENT
SENIOR CITIZENS' TRANSPORTATION
EXPENDABLE TRUST FUND**

Comparative Balance sheets
December 31, 19X4 and 19X3
(amounts expressed in thousands)

	19X4	19X3
<hr/>		
Assets		
Cash and cash equivalents	\$ 11	\$ 16
Investments	41	33
Interest receivable	6	2
Total assets	\$ 58	\$ 51
 Liabilities and fund balances		
Liabilities:		
Accounts payable	\$ 7	\$ 2
Fund balances:		
Unreserved, undesignated	51	49
Total liabilities and fund balances	\$ 58	\$ 51

The notes to the financial statements are an integral part of this statement.

**NAME OF GOVERNMENT
SENIOR CITIZENS' TRANSPORTATION
EXPENDABLE TRUST FUND**

Comparative Statements of Revenues, Expenditures
and Changes in Fund Balances for fiscal years ended
December 31, 19X4 and 19X3
(amounts expressed in thousands)

	19X4	19X3
Revenues:		
Interest	\$ 6	\$ 2
Donations	82	52
Total revenues	88	54
Expenditures:		
Current:		
General government	86	29
Excess of revenues over expenditures	2	25
Fund balances, January 1	49	24
Fund balances, December 31	\$ 51	\$ 49

The notes to the financial statements are an integral part of this statement.

APPENDIX B

Excerpted from New York State
Operating Permit Program, Annual Report 1996 (pp. 6-13).

NEW YORK STATE OPERATING PERMIT PROGRAM 1995 ANNUAL REPORT

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FISCAL REPORT

Operating Permit Program Fee

Beginning in 1994, Title V facilities were required to pay the tonnage based OPP fee, pursuant to section 72-0303 of the ECL. OPP fees collected are deposited in the OPP Account of the Clean Air Fund established by State Finance Law. Non-Title V sources continue to pay Air Quality Control Program fees that are deposited to the Environmental Regulatory Account established in 1983.

Both the federal Act and the NYSCACA require fee revenues sufficient to cover all reasonable direct and indirect costs required to develop, administer and enforce the State's Title V permit program. Once EPA approves the State's plan for delegation of the Title V program to the State, Title V/OPP fees can only be used to fund Title V permit program activities. Prior to approval, Title V activities can be funded from any sources available to the State. For fiscal years 1994/95 and 1995/96, the DEC's Title V workload has been funded from the General Fund, the Utility Regulatory Account, Federal Funds and the OPP Account.

In 1994/95, Title V activities constituted 35% of the DEC's air program effort, however the OPP Account only paid for 26% of DEC's air program costs. It is anticipated that as newly authorized positions funded from the OPP Account are filled during 1995/96, the amount expended from the OPP Account will approach 100% of the Title V program cost. Many of the employees who will be recruited to the new OPP jobs will be transferring from existing positions currently funded by the Section 105 federal grant. Section 105 funds may not be used for Title V costs once federal approval of the OPP is obtained. Those grant funds are expected to be reduced accordingly by the federal government.

The State legislation requires that commencing January 1, 1994 and annually thereafter, the Department use a formula to calculate the fee per ton of emissions that subject sources are required to pay and that the calculation and fee be established as a rule through publication in the Environmental Notice Bulletin. The fee is calculated by dividing the current State fiscal year appropriation for the OPP by the total tons of emissions of regulated air contaminants from sources subject to the OPP during the prior calendar year, with consideration given to any surplus or deficit in the OPP Account of the Clean Air Fund, any loan repayment from the Mobile Source Account of the Clean Air Fund and the rate of collection of bills issued for the fee. The fee is limited to a maximum fee of \$25 per ton, increased by the percentage, if any, by which the Consumer Price Index (CPI) exceeds the CPI for the prior year. Based upon this ceiling, the 1994 fee was \$25.69 and the 1995 fee was \$26.44.

Clean Air Compliance Act Reporting Requirements

The NYSCACA specifies the fiscal information that this report must contain. These are as follows; the actual direct and indirect costs and revenues received in State fiscal year (SFY) 1994/95; SFY 1995/96 estimates for direct and indirect costs, revenues and the year end balance of the Clean Air Fund's OPP Account; SFY 1996/97 projections for direct and indirect costs and tonnage of pollutants that will be subject to OPP fees; and finally, a recommendation on an adjustment to the fees to assure adequate funding during future fiscal years. Each of these requirements is addressed under subheadings below.

Cost figures provided in this report are actual or projected expenditures between April 1 and March 31 for a given State fiscal year. Expenditure figures rather than appropriations are used in this report since expenditures provide more accurate reflection of actual program costs. Appropriations only reflect the level of spending the Legislature has authorized in a particular year, and authorized funds may not be disbursed in that year. A legislative appropriation is usually based on anticipated revenues. If actual revenues generated by the OPP fees are less than the appropriation, the full appropriation cannot be spent. Expenditures may be made against a prior year's appropriations, current year appropriations or a reappropriation depending on when the liability was incurred.

State Fiscal Year 1994/95

The actual direct and indirect costs of the OPP in SFY 1994/95 were \$10,687,799. This amount includes expenditures by the Departments of Environmental Conservation, Health, Economic Development, and the Environmental Facilities Corporation. A detailed summary is included in Figure 1. The sources of funds for the program were OPP Account \$7,413,029 with the balance coming from the General Fund, Federal Funds, and the Utility Regulatory Account. Total revenues received by the OPP account during SFY 1994-95 were \$11,084,735. Revenues included fees, interest and penalties.

State Fiscal Year 1995/96

The estimated direct and indirect costs of the OPP in SFY 1995/96 are \$13,653,881. This amount reflects expenditures by the Departments of Environmental Conservation, Health, Economic Development, and the Environmental Facilities Corporation. A detailed summary is included in Figure 2.

Revenues anticipated to be received in SFY 1995-96 total \$10,427,629. This amount is based on emission tonnage billing of 453,320 tons times a per ton fee of \$26.44 minus a 13% uncollectible figure. This revenue estimate does not in-

clude any additional funds that may be collected from prior year fees, penalties and interest.

DEC estimates that the balance in the OPP Account at the end of SFY 1995/96 will be \$4,564,498. This estimate is based on:

Beginning balance	\$7,711,618
Anticipated revenues	\$10,427,629
Projected expenditures	\$13,653,881
Ending balance	\$4,485,366

State Fiscal Year 1996/97

The estimated direct and indirect costs of the OPP in SFY 1996/97 are \$14,590,658. This amount reflects projected expenditures by the Departments of Environmental Conservation, Health, Economic Development and the Environmental Facilities Corporation. A detailed summary is included in Figure 3.

Under current legislation, revenues estimated to be received in SFY 1996/97 total \$10,522,530. This amount is based on an emission tonnage billing of 430,000 tons times a per ton fee of \$27.19 minus a 10% uncollectible figure. The fee of \$27.19 is the maximum allowed by the ceiling currently prescribed in the NYSCACA.

Recommended Fee Adjustment

The 1996/97 appropriations requested by DEC for the OPP represent no further enhancement. Rather, the request is merely for the full annual value of the program levels authorized on a part-year basis by the 1993/94 and 1994/95 budgets. DEC is making no recommendation for an adjustment at this time.

FIGURE 1:
1994-1995 OPERATING PERMIT ACTUAL COSTS

Category	Personal Service	Fringe Benefits	Nonpersonal Service	Capital	Total
Direct Program Costs					
Environmental Conservation	4,234,341	1,253,520	985,050	343,708	6,816,619
Health	448,686	137,836	116,543	0	703,065
Economic Development	222,649	68,398	441,716	0	732,763
Environmental Facilities Corp.	0	0	556,853	0	556,853
Total Direct Costs	4,905,676	1,459,754	2,100,162	343,708	8,809,300
Indirect Program Costs					
Environmental Conservation					1,716,141
Health					150,736
Economic Development					111,622
Environmental Facilities Corp.					0
Total indirect costs					1,878,499
Total Operating Permit Program Costs					10,687,799

ASSUMPTIONS:

DEPARTMENT OF ENVIRONMENTAL CONSERVATION:

Direct costs were based on Time and Activity records including adjustments made by supervisory staff. It was determined that 35% of Air staff time was devoted to Operating Permit Program activities in SFY 1994-95. This percentage was applied to the total Air expenditure in SFY 1994-95. Indirect costs were calculated at 31.8% of personal service and fringe benefit costs and reflect costs associated with agency operations, auxiliary support staff and other state overhead responsibilities.

Departments of Health and Economic Development: Reports containing expenditure information were provided to DEC by these agencies.

FIGURE 2:
1995-96 OPERATING PERMIT ESTIMATED COSTS

Category	Personal Service	Fringe Benefits	Subtotal	Nonpersonal Service	Capital	Total
Direct Program Costs						
Environmental						
Conservation	4,476,601	1,399,833	5,876,434	1,879,788	1,500,000	9,256,222
Health	249,579	78,043	327,622	15,312	0	243,934
Economic						
Development	403,345	126,126	529,471	613,731	0	1,143,202
Environmental						
Facilities Corp.	0	0	0	1,040,614	0	1,040,614
Total Direct Costs	5,129,525	1,604,002	6,733,527	3,549,445	1,500,000	11,782,972
Indirect Program Costs						
Environmental Conservation				1,754,116	0	1,754,116
Health				97,795	0	97,795
Economic Development				18,998	0	18,998
Environmental Facilities Corp.				0	0	0
Total Indirect Costs				1,870,909	0	1,870,909
Total Operating Costs ..	5,129,525	1,604,002	6,733,527	5,420,354	1,500,000	13,653,881

ASSUMPTIONS:

Environmental Conservation:

Personal Service expenditures reflect actual carry-in from 1994-95 plus 12 month projected expenditures for 66 positions carried over from 1994-95 and 3 month projected expenditures for 42 direct positions to be filled during the current fiscal year.

Funding for 11 positions from SFY 1994-95 and 8 positions from SFY 1995-96 that are assigned to the Division of Regulatory Services and other support offices is shown under the Indirect Program costs heading.

Nonpersonal service expenditures reflect actual carry-in from 1994-95 projected 12 month disbursements against 1995-96 appropriations (88% of planned in 12 month period).

Capital expenditures assume 100% of planned amount.

Environmental Facilities Corporation

Nonpersonal service expenditures reflect actual carry-in from 1994-95 plus projected 12 month disbursements against 1995-96 appropriations. (88% of planned in 12 month period).

Fringe Benefits/Indirect:

Fringe benefits for all agencies are calculated at 31.27% of personal service

Indirect costs for Environmental Conservation and Health are calculated at 29.85% of personal service and fringe benefits.

Indirect costs for Economic development are 4.71% of personal service.

FIGURE 3:
1996-97 OPERATING PERMIT ESTIMATED COSTS

Category	Personal Service	Fringe Benefits	Subtotal	Nonpersonal Service	Capital	Total
Direct Program Costs						
Environmental						
Conservation	5,210,708	1,629,388	6,840,096	1,929,032	1,000,000	9,809,128
Health	249,579	78,043	327,622	75,312	0	402,934
Economic						
Development	399,366	124,882	524,248	558,296	0	1,082,544
Environmental Facilities Corp.	0	0	0	1,000,000	0	1,000,000
Total Direct Costs	5,859,653	1,832,313	7,691,966	3,602,640	1,000,000	12,294,606
Indirect Program Costs						
Environmental Conservation				2,041,769	0	2,041,769
Health				97,795	0	97,769
Economic Development				156,488	0	156,488
Environmental Facilities Corp				0	0	0
Total Indirect Costs				2,296,052	0	2,296,052
Total Operating Costs ...	5,859,653	1,832,313	7,691,966	5,898,692	1,000,000	14,590,658

ASSUMPTIONS:

Planned expenditures for all agencies reflect projected carry-in amounts against 1995-96 appropriations plus 99% of requested personal service and 88% of non-personal service appropriations.

Capital expenditures are estimated at 1,000,000.

FRINGE BENEFITS/INDIRECT:

Fringe benefits for all agencies are calculated at 31.27% of personal service.

Indirect costs for all agencies are calculated at 29.85% of personal service and fringe benefits.

STATE FISCAL YEAR 1994/95

DETAILS AND PROJECTIONS

The NYSCACA requires DEC to report the number of Operating Permit applications on which final action was taken in the previous fiscal year with details on average review time per permit, number of person hours spent per permit and the number of complete permit applications filed. Since the State did not have a federally approved OPP in effect in SFY 1994/95, no Title V permits were reviewed or issued and actual data on average review time per permit is not available. However, the Department has projected, to the extent possible, the minimum number of permit reviews that will be necessary to implement the program over the next five years. These are reflected in Figure 4.

FIGURE 4:
PROJECTED NUMBER OF PERMITS
SUBJECT TO REVIEW IN ORDER TO IMPLEMENT TITLE V

Permit Type	Permits to be reviewed over the next 5 years	Average Review Time* (days/permit)
Existing major facilities	876	40
Nox and VOC Reasonable Achievable Technological Cont. (RACT) permit modifications	200	15
Title V General Permits	150	10
New source review (Title I) includes PSD reviews, netting/trading permit modifications	100	80
Known MACT (Section 112) sources	150**	30
Capping out of Title V and RACT	9650***	1

* This time represents estimated technical review time by Division of Air staff only. Specific permit applications could take considerably more or less time depending on the size and complexity of the facility. Also the review time does not include that required by Division of Regulatory Affairs to process and issue permits.

** The numbers in the table are estimates of the effort required to review permits for six categories of sources for which MACT standards have been adopted by EPA. There are 174 categories for which MACT standards are ultimately required to be developed. As new MACT standards are promulgated there will be a significant increase in both the number of facilities that require permits and the effort necessary to review those permits.

*** This includes the approximately 6000 New York City sources that will need modifications to their permits in order to cap out of Title V.

OTHER INVOLVED AGENCIES

The NYSCACA does not specifically require that the activities of other involved agencies be reported. However, the Department of Health, Department of Economic Development and the Environmental Facilities Corporation were asked to report so that the direct costs of the fiscal portion of this report could be determined. Expenditures reported by those agencies have been included in this report. Their submissions to DEC are included as appendices to this report.

The Environmental Finance Center is part of the Coastal and Environmental Policy Program (CEPP) and is hosted by the Maryland Sea Grant College.

About CEPP

The Coastal and Environmental Policy Program is a non-degree granting program composed of the University of Maryland Sea Grant Program, the School of Public Affairs, the College of Agriculture, the School of Law, and the Center For Environmental and Estuarine Studies. CEPP provides informational, educational and research policy analysis and technical problem-solving assistance.

About Sea Grant

The National Sea Grant Program encourages wise stewardship of our marine resources through research, education, outreach and technology transfer. Maryland Sea Grant is one of twenty-nine Sea Grant programs across the country — part of a national partnership supported jointly by state and federal funds, from the National Oceanic and Atmospheric Administration.

About the EFC

With support from the U.S. Environmental Protection Agency (EPA) and the Maryland Sea Grant College Program, the Environmental Finance Center (EFC) was created to train, provide assistance and act in an advisory capacity to state and local governments on issues related to environmental finance.

The Center promotes a comprehensive and integrative look at environmental finance from a strategic management perspective that suggests that sound environmental practices encompass a broad spectrum of activities. Activities such as needs assessments, issue prioritization, identification of relevant environmental regulations and compliance issues, development of capital facilities plans, identification of revenue sources, and community participation are precursors to securing funding that form part of the EFC's holistic approach.

To find out more about the Environmental Finance Center visit our web page: <http://www.mdsg.umd.edu/MDSG/EFC/index.html>

TITLE V OF THE CLEAN AIR ACT

One of the most important benefits of the new Title V operating permits program of the Clean Air Act is that the program itself will ensure that adequate resources are available for its administration. By collecting fees from stationary air pollution sources in exchange for permits which regulate levels of emissions, states and localities can achieve a number of desired goals:

- Use revenues generated by those regulated to monitor, enforce, and report on stationary air emissions
- Create incentives for those sources to reduce emissions by forcing permit holders to internalize the costs of emitting air pollutants
- Begin to track air pollution control requirements and performance so it becomes easier to manage programs across media, such as air, water, and land

If revenues generated from a program go to support other state efforts, then not only will the program suffer from lack of resources, but those paying the permit fees will not receive the level of service that they are paying for.

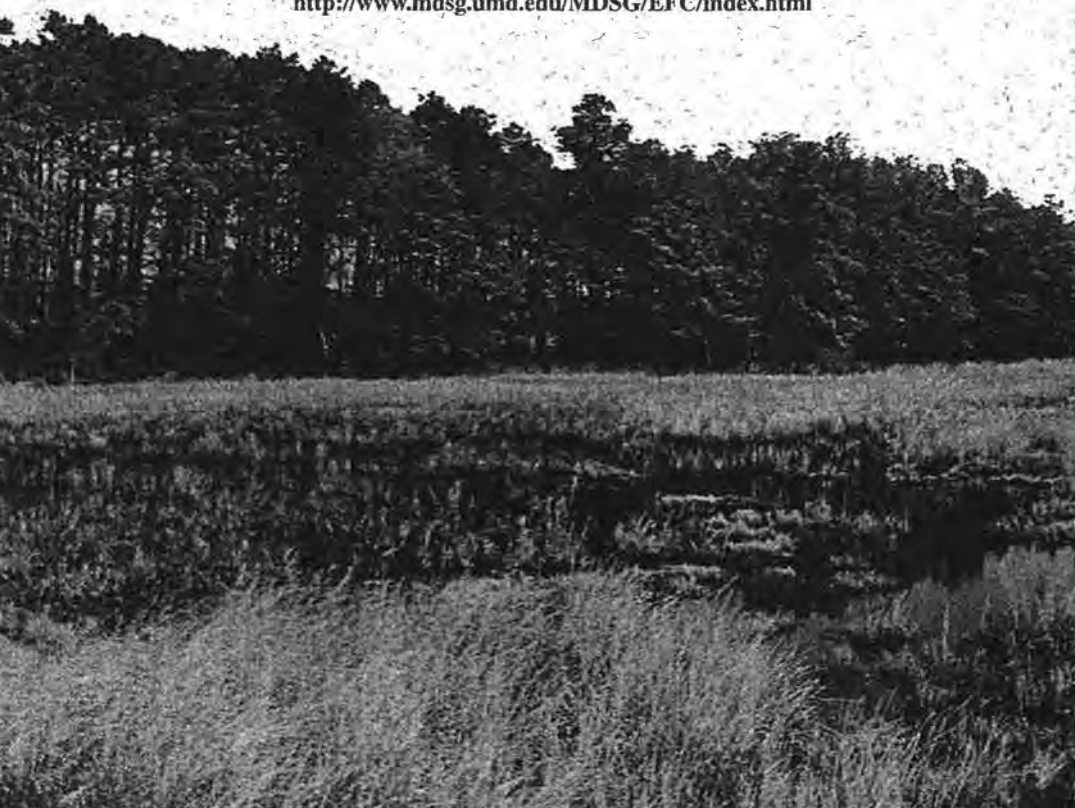
This handbook identifies ways a state or local air program agency can collect, segregate, and account for Title V fees so that they are not commingled with other efforts.



ISSUES IN ENVIRONMENTAL FINANCE



Environmental Finance Center ■ University of Maryland System
<http://www.mdsg.umd.edu/MDSG/EFC/index.html>



Appendix F. 2021 State Review Framework



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION IX
75 Hawthorne Street
San Francisco, CA 94105

Marci Henson, Director
Department of Environment and Sustainability
4701 W. Russell Rd, Suite 200
Las Vegas, Nevada 89118

Dear Director Henson:

Enclosed is the final report presenting the results of the review EPA Region 9 conducted in 2020 of the Clark County Department of Environment and Sustainability's (DES) Clean Air Act Stationary Source compliance and enforcement programs. EPA is conducting similar reviews in every state, implementing Round 4 of the State Review Framework (SRF 4) jointly developed by EPA and the Environmental Council of the States.

For purposes of this SRF review, EPA evaluated DES's inspection, enforcement, and related data management activity for federal fiscal year 2019 (augmented with data from FY2018). A preliminary draft SRF 4 report was provided to you for comment in October 2020. We have revised the draft report and its recommendations to include your comments. We will now post this final document on EPA's public SRF website and will check in with DES periodically regarding progress toward meeting the recommendations included in the reports. These and other SRF reports can be accessed through the following public link:

<http://www2.epa.gov/compliance/state-review-framework-compliance-and-enforcement-performance>.

We wish to thank you and your staff and managers who accommodated and assisted us in conducting this review. We look forward to working with you in the months ahead to implement the recommendations.

Sincerely,

Amy C. Miller-Bowen, Director
Enforcement and Compliance Assurance Division
U.S. Environmental Protection Agency, Region 9

CC: Greg Lovato, NDEP

Enclosure

Appendix G. Clark County DES Record Retention Schedule

NEVADA LOCAL GOVERNMENT RECORDS RETENTION SCHEDULE

☐ Original Filing

☒ Amended Filing

Date: 10/24/2012

Page 1 of 7

Government: **Clark County**

Department: DEM – Air Quality

Address: 4701 W Russell Road, Suite 200

City, State Zip: Las Vegas, NV 89118

Common and Administrative Records

LRDA No.	RECORD TITLE and Description	TOTAL RETENTION	Media	Vital	REMARKS
2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
	ASSOCIATION FILES Records of employee memberships in professional associations.	SUP	HC		
2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	AU	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	FY + 5 Years	HC EL		
2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
	CLUB RIDE RECORDS Program designed to promote carpooling and ride sharing. Includes Covered Parking Log, Club Ride Registration Form, Club Ride Carpool Registration Form, etc.	ACT	HC EL		

Retention Abbreviations: **ACT**-Active, **AU**-Administratively Useful, **CY**-Calendar Year end, **EXP**-Expiration, **FY**-Fiscal Year end, **LA**-Life of Asset, **SUP**-Until Superseded, **TERM**-Termination

Media Abbreviations: **EL**- Electronic (magnetic/optical/etc.) **HC**- Hard Copy (paper/mylar/etc.), **MI**-Microform, **OT**-Other (specify)

Government: Clark County			DEM – Air Quality		Page 2 of 7
LRDA No.	RECORD TITLE and Description	TOTAL RETENTION	Media	Vital	REMARKS
2007-0055	COMPLAINTS Document communications with Public and Regulated Community in regard to potential violations of Air Quality Regulations.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	EXP + 1 Year	HC		Security Destruction, see notes.
2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	EXP + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	AU	HC		
2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	AU	HC EL		
2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	TERM + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
	EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	LA + 3 Years	HC		
2007-0078	KEY AND KEYCARD RECORDS Documents issuance of keycards to agency staff to enable access to agency buildings and sites. Records may include but are not limited to key inventories, key issue forms, key replacement records, and key disposal records.	ACT + 3 Years	HC EL		Security Destruction, see notes.
	LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	SUP	HC EL		
2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	FY + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Retention Abbreviations: ACT -Active, AU -Administratively Useful, CY -Calendar Yearend, EXP -Expiration, FY -Fiscal Yearend, LA -Life of Asset, SUP -Until Superseded, TERM -Termination			Media Abbreviations: EL - Electronic (magnetic/optical/etc.) HC - Hard Copy (paper/mylar/etc.), MI -Microform, OT -Other (specify)		

Government: Clark County			DEM – Air Quality		Page <u>3</u> of 7
LRDA No.	RECORD TITLE and Description	TOTAL RETENTION	Media	Vital	REMARKS
2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	AU	HC		
2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	EXP + 6 Years, OR SUP + 6 Years	HC EL		NRS 11.190 (1)(b)
2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	AU	HC		
2007-1360	TELECOMMUNICATION SYSTEM MANAGEMENT RECORDS Documents creation, modification, and disposition of telecommunications systems. May include equipment records, Federal Communications Commission records, repair order forms, system planning records, telecommunications maintenance contracts and service agreements, service orders, related correspondence, and similar documents.	EXP + 6 Years	HC EL		
2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	FY + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	FY + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
2007-0079	VEHICLE MAINTENANCE & REPAIR RECORDS Documents maintenance & repairs of owned or leased vehicles. Records used to provide maintenance & repair history.	LA + 3 Years	HC		
2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	FY + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

Records where Department is Responsible for Official Record Copy

LRDA No.	RECORD TITLE and Description	TOTAL RETENTION	Media	Vital	REMARKS
AQ13-0001	AIR QUALITY AMBIENT MONITORING DATA Ambient Air Quality Data. Includes Gaseous Data, Particulate Data PM-10 and PM-2.5, Meteorological Data, Quality Control Check Data.	PERMANENT	HC EL		
AQ13-0002	EMISSION INVENTORY STUDIES AND REPORTS Reports are designed to support criteria pollutant studies, plans, and/or state implementation plans authored by Air Quality Planning or Mobile Sources Section and, in many instances, are geared towards specific point sources.	PERMANENT	HC EL		
AQ13-0003	ENFORCEMENT PROGRAM DOCUMENTS Documents related to the issuance of a Notice of Violation (NOV) and resolution of enforcement action. Includes Notice of Violation (NOV) & evidence documents, HO Meeting books, NOV Response Form, NOV Tracking, Hearing Officer (HO) agendas, NOV Monthly summary, HO annotated agendas, AQMS Enforcement database, HO Orders, HO waivers, stipulations, amended NOVs, HO Invoices, NOV Files, photos, penalty matrices, finals, history, HO Member files, HO audio or video records, HO Penalty Payment Plans, HO Stipulation files, NOV Log.	Resolution + 20 Years See: Note	HC EL		NOTE: Retain landmark cases permanently. (Retention based on <i>EPA Records Schedule 207</i>)
2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports, correspondence, and related documents.	Grant Closure + 3 Fiscal Years OR Retention period required by granting authority, whichever longer	HC EL		NRS 239.110 Security Destruction, see notes.
2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues.	PERMANENT	HC EL		
AQ13-0004	LOG, VEHICLE Vehicle Check In/Out Log, Vehicle Maintenance Log, Vehicle Mileage/ Inspection Log, Fuel Pin Log	AU	EL		
2007-0846	MEETING RECORDS, DEPARTMENTS AND COMMITTEES Documents actions and discussion transpiring at department and committee meetings.	1 Year	HC EL		

Government: Clark County			DEM – Air Quality		Page 5 of 7
LRDA No.	RECORD TITLE and Description	TOTAL RETENTION	Media	Vital	REMARKS
2007-0107	MEETING RECORDS, PM10 AND OZONE WORKING GROUPS Official record of proceedings of regularly scheduled, special and emergency meetings. Includes: Date/time/meeting place, Members present/absent, Substance of matters proposed, discussed or decided, votes taken, citizens who appeared, & related records	PERMANENT See: NOTE	HC EL		NOTE: Retain permanently, OR retain for 5 Years from date of meeting AND transfer records to a facility described in NAC 239.850 (1)(b), for continued public access & archival preservation
2007-0107	MEETING RECORDS, TECHNICAL ADVISORY COMMITTEE AND WILDLIFE ADVISORY BOARD Original minutes of public and closed meetings, agendas, transcripts, attachments and exhibits, correspondence related to the meetings, announcements, proof of postings, proof of certified mailings, and similar materials.	PERMANENT See: NOTE	HC EL		NOTE: Retain permanently, OR retain for 5 Years from date of meeting AND transfer records to a facility described in NAC 239.850 (1)(b), for continued public access & archival preservation
AQ13-0005	MODELING DATA - AIR QUALITY PLANNING, STATE IMPLEMENTATION PLAN (SIP) Modeling Section Data are designed to support criteria pollutant studies, plans, and/or state implementation plans authored by Air Quality Planning or Mobile Sources Section.	SUP + 5 Years OR Withdrawn + 5 Years	EL		
AQ13-0006	RECORDS, STATIONARY SOURCE PROGRAM Records pertaining to stationary sites emitting air pollutants. Includes applications, permits, inspections, enforcement corrective action orders (CAO), notices of violation (NOV) and compliance hearing records, performance tests, emission inventories, complaints, compliance certifications, reports, ownership change records, correspondence, and other, related records. Stationary source modeling data for air quality planning. Includes major, minor and Title V sources.	Site Closure + 20 Years See: Note	HC EL		NRS445B.500 (Retention based on <i>EPA Records Schedule 207</i>) NOTE: Retain landmark cases permanently.
AQ13-0007	RECORDS, FUGITIVE SOURCE PROGRAM Permit issued to construction company for control of dust emission during construction cycle. All enforcement, reporting and correspondence records including application, dust mitigation plan, owner's designee form, site map and permittee request to close, etc.	SUP + 5 Years OR Withdrawn + 5 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
AQ13-0008	REGULATIONS, AIR QUALITY Development, implementation, and distribution of Clark County Air Quality Regulations. Includes Regulation Workshops & support documents, Ordinances, BCC Agenda items, Proposed regulations, SIP regulation submittals, Approved regulations, Amended regulations, Regulation subscriptions list & invoices, Archived regulation database.	PERMANENT	HC EL		

Government: Clark County			DEM – Air Quality		Page <u>6</u> of 7
LRDA No.	RECORD TITLE and Description	TOTAL RETENTION	Media	Vital	REMARKS
AQ13-0009	STATE IMPLEMENTATION PLANS AND SUPPORTING STUDIES Under the authority granted by the Governor of the State of Nevada, the Clark County Board of Commissioners is responsible for the preparation of State Implementation Plans for nonattainment areas within Clark County to attain NAAQS at the earliest practicable date. EPA is the final approving authority for SIPs, and once approved, SIPs are federally enforceable rules. Includes Las Vegas Air Quality Implementation Plan, Clark County, Nevada, Air Quality Implementation Plan, Las Vegas Valley, Clark County, Nevada, Air Quality Implementation Plan, Las Vegas Valley, Clark County, Nevada, Particulate Matter, Air Quality Implementation Plan, Las Vegas Valley, SIP for Las Vegas Valley, Providing BACM and BACT to Improve Air Quality, Moderate Area Air Quality Implementation Plan and Addendum, Attainment Demonstration Plan, Las Vegas Valley Nonattainment Area, State Implementation Plan, Milestone Achievement Report (MAR), and other, similar Plans.	SUP + 5 Years OR Withdrawn + 5 Years	HC EL		Includes air quality planning studies
AQ13-0010	AIR QUALITY MONITORING QUALITY SYSTEM RECORDS Records unique to Quality System such as annual network plan, annual data certification, five year network assessment, acceptance testing documents, quality assurance audits, logbooks, corrective action request, instrument records, quality control verification and calibration records, etc.	SUP + Audit Clearance OR Withdrawn + Audit Clearance	HC EL		

NOTES:

Security Destruction: Records may contain confidential, proprietary, sensitive, restricted or HIPAA information & *MUST* be destroyed/permanently deleted in a secure manner that prevents further retrieval, recovery or reconstruction in any way.

Retention Abbreviation Explanations:

ACT – Active. These materials should be retained as long as they are in active use. It is left to the user to make that determination.

AU – Administratively Useful. This record should be retained *ONLY* as long as the user believes it has value. If a duplicate or copy, it must *NEVER* be retained longer than the official record copy.

CY – Calendar Year End. The record should be retained through at least the end of the calendar year end, plus any additional time specified. Example: CE + 2 Years, means the record must be retained for two years after the end of the current calendar year.

EXP – Expiration. The record should be retained until some triggering event occurs, such as the expiration of a contract. Example: EXP + 6 Years means that the record must be retained for 6 years after the contract expires, Other examples include treatment is completed, expiration of licenses, etc.

FY – Fiscal Year End. The record should be retained through at least the end of the fiscal year end, plus any additional time specified. Example: FE + 2 Years, means the record must be retained for two years after the end of the current fiscal year.

LA – Life of Asset. The record should be retained until the asset is no longer present or owned by the county.

SUP – Superseded. The record should be retained until it is replaced by a newer version.

TERM – Termination. The record should be retained until some triggering event occurs, such as the termination of employment, termination of services being provided, etc. Example: TERM + 6 Years means that the record should be retained for 6 years after the terminating event occurs.

Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Administrative Services	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Administrative Services	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Administrative Services	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Administrative Services	2007-1641	AGENDA NON-PACKET MATERIAL Correspondence and information used in the preparation of meeting agendas but is NOT included in the agenda packet	3 Years			
Administrative Services	2007-0257	APPLICATIONS & RESUMES FOR APPOINTIVE POSITIONS, PERSONS NOT APPOINTED Applications and/or resumes submitted by individuals seeking appointive positions, who were not appointed and may contain, but is not limited to, name, address, phone or contact number, social security number, job skills, employment history, education and similar documents.	3 Years	HC		Security Destruction, see notes.
Administrative Services	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Administrative Services		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Administrative Services	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Administrative Services	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Administrative Services	2007-0136	BITE REPORTS Documents investigations of animal bites. This series may include case number, information on person bitten, incident information, treatment given, animal type, results of investigation, correspondence and similar documents.	2 Years	HC		Security Destruction, see notes.
Administrative Services	2007-1553	BOARD AND COMMISSION VOLUNTEER INTEREST FORMS Documents requests to be a volunteer on a local government board or commission. Includes: Name/contact information, Title of the board or commission, Category of interest, Conflict of interest statement, Related correspondence, and similar information	Applicant interest is no longer expressed, OR contact can no longer be made + 1 Year	HC EL		Security Destruction, see notes.
Administrative Services	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Administrative Services	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Administrative Services	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Administrative Services	2007-1243b	COMMITTEE RECORDS, AD HOC (Not a Public Body) Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. These types of committees are usually formed for a specific and often temporary function, usually on an informal basis. Includes Agendas, Minutes, Reports, Working Documents.	3 Years	HC EL		
Administrative Services	2007-1243a	COMMITTEE RECORDS, AD HOC (Public Body) Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. i.e. - Recorder's Advisory Committee (RAC)	PERMANENT	EL		NRS 241.015 (3)
Administrative Services	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Administrative Services	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Administrative Services	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) <i>Contracts/agreements for Non-Capital products and services.</i>	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Administrative Services	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Administrative Services	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Administrative Services	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Administrative Services	2007-1449	DISASTERS AND EMERGENCIES – FINANCIAL RECORDS Documents emergency management program expenses related to disaster or emergency relief. Includes application for assistance, copy of declaration of emergency or disaster, preliminary damage assessments, financial status reports, request for advance forms, detailed cost reports, financial statements, copies of grant documents, cash transaction reports, reports of expenditures, reimbursement forms, quarterly reports, final expenditure reports submitted to Nevada Division of Emergency Management and/or US	Closure + 3 Years	HC EL		
Administrative Services	2007-0295	EMERGENCY PREPAREDNESS DOCUMENTS Plans to restore & maintain necessary business operations, protect public, & to safeguard vital records during emergency situations. May include hazard analysis records, first response procedures, emergency operations plans, incident response plans, disaster management & recovery plans, vital record plans, damage assessment plans, post disaster evaluation procedures, correspondence & related documents.	Until Superseded + Retain one (1) copy of superseded documents permanently for historical purposes.	HC EL		Security Destruction, see notes.
Administrative Services	2007-1290	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES <i>Listings of current employees</i>	Until Superseded	EL		Security Destruction, see notes.
Administrative Services	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Administrative Services		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Administrative Services	2007-0926	FACILITY USE SCHEDULES Schedules for use of facilities.	1 Year	HC EL		
Administrative Services	2007-0059	GRANT FISCAL RECORDS Documents the awarding of funds from federal government, state government, private organizations, private benefactors, and similar sources. Accounting reports, expenditure reports, audit reports, monitoring reports, copies of purchase orders, warrants, warrant registers, vouchers.	Submission of final expenditure report + 3 Fiscal Years, OR Granting authority requirement, whichever longer	HC EL		
Administrative Services	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	Expiration + 3 Fiscal Years, OR Retention period required by grantor, whichever longer	HC EL		NRS 239.110 Security Destruction, see notes. Review for historical value

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Administrative Services	2007-0300	INCIDENT RECORDS – DISASTERS AND EMERGENCIES Documents extent and impact of natural or manmade disasters and emergency incidents and actions taken by local government in response to such incidents.	PERMANENT	HC EL		
Administrative Services	2007-0186b	INVESTIGATIONS, CODE VIOLATION – NO VIOLATION Investigations of suspected property maintenance code violations and may include but is not limited to photographs, on-site inspection notes, copies of ordinances, violation notices, orders to appear, correction notices, proof of correction, correspondence and related documents.	1 Year	EL		Security Destruction, see notes.
Administrative Services	2007-0186a	INVESTIGATIONS, CODE VIOLATION – VIOLATION Investigations of suspected property maintenance code violations and may include but is not limited to photographs, on-site inspection notes, copies of ordinances, violation notices, orders to appear, correction notices, proof of correction, correspondence and related documents.	Closure + 3 Years	EL		Security Destruction, see notes.
Administrative Services	2007-0078	KEY AND KEYCARD RECORDS Documents issuance of keycards to agency staff to enable access to agency buildings and sites. Records may include but are not limited to key inventories, key issue forms, key replacement records, and key disposal records.	Active + 3 Years	HC EL		Security Destruction, see notes.
Administrative Services	2007-0317	LABOR NEGOTIATION RECORDS Article 28 & 31, Hearings & Arbitrations, Negotiations, General Subject matters, Unemployment claim forms, discipline removals, Collective Bargaining Agreements from other jurisdictions, labor team reports, union bank hours, various unit collective bargaining agreements, interlocals, MPS & Mplan, testing files, misc negotiations.	Expiration + 5 Years	HC		Security Destruction, see notes.
Administrative Services		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Administrative Services	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues.	PERMANENT	HC EL		
Administrative Services	2007-0034	LEGISLATIVE RELATIONS RECORDS Used to review and/or plan a local government's position on impacting legislative actions. This series may include bill review and tracking forms, opinion requests, bill tracking reports, copies of pending or approved legislation, notes, memorandum, related correspondence and similar documentation. Information in this series may also be used in lobbying efforts and recommending legislative changes.	Administratively Useful	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Administrative Services	2007-1659	LOBBYIST FORM Document lobbyist and lobbyist employer activities. This series may include expenditure reports, registration statements, supplementary registration statements, termination records, guidelines, related correspondence and similar documents.	5 Years	HC		
Administrative Services	2007-1008	LOG, TELEPHONE Listing or log of telephone calls received on Department lines & similar telephone activity reports.	90 Days	HC EL		
Administrative Services	2007-1557	LOGS, CODE ENFORCEMENT INSPECTIONS Logs kept by Code Enforcement Officers detailing various inspections of potential property maintenance code violations.	Calendar Yearend + 1 Year	EL		
Administrative Services	2007-1452	MEDICAL RECORDS, ANIMAL CONTROL Documents the medical history of animals in the care of animal control. Includes Veterinarian bills, Rabies test results, Microchip information, animal's past medical history, medical treatment records or logs, vaccination history, lab test notes and results, quarantine information.	3 Years	HC EL		Security Destruction, see notes.
Administrative Services	2007-0065	MEETING NOTIFICATION LISTS Listings kept of persons who, within the previous two years, have requested advance notification of all meetings or meetings with specific content.	Until Superseded	HC EL		
Administrative Services	2007-0109	MEETING RECORDINGS Recordings of proceedings of regularly scheduled, special, and emergency meetings and may also be used to transcribe, verify and correct minutes of public meetings. Written minutes may be taken from these recordings, transcribed, corrected as needed, and presented to meeting body for approval.	Transcription + 1 Year	EL		
Administrative Services	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Administrative Services	2007-1533	MEETING RECORDS, BOARDS, COMMISSIONS, COUNCILS, AND STANDING COMMITTEES Original minutes of public and closed meetings, Agendas, Transcripts, Attachments and exhibits, Correspondence related to the meetings, Announcements, Proof of postings, Proof of certified mailings, and similar materials.	PERMANENT	HC EL		
Administrative Services	2007-0846	MEETING RECORDS, DEPARTMENTS AND COMMITTEES Documents actions and discussion transpiring at department and committee meetings.	1 Year	HC EL		
Administrative Services	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Administrative Services	2007-0988	PARKING PERMITS, EMPLOYEE Documents application for and issuance of employee parking permits.	Expiration	HC EL		
Administrative Services	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Administrative Services	2007-0142	PET IMPOUND RECORDS Administers and documents records of all animals received by animal control. Includes description of animal, medical and/or shot records, release information, final disposition	Closure + 2 Years	EL		
Administrative Services	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Administrative Services	2007-0013	PROCLAMATIONS Special recognition of local government events, activities, and/or persons.	PERMANENT	HC EL		
Administrative Services	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC EL		
Administrative Services	2007-0039	PROPOSED LEGISLATION RECORDS Records created for purpose of proposing legislation. May contain, but is not limited to, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, correspondence, & other information documenting the proposed legislation	Administratively Useful	HC EL		
Administrative Services	2007-1240	PUBLICATIONS Newsletters, pamphlets, annual or statistical reports, studies, leaflets and similar material produced by or for county or any of its departments, subdivisions, or programs for distribution to public	See NOTE	HC		NRS 378.150, NRS 378.150 - 378.210, NOTE: Send 6 copies of each to Nevada State Library and Archives - State Publications
Administrative Services	2007-1380	RABIES VACCINATION CERTIFICATE RECORDS Documents certificates of rabies vaccinations performed by veterinarians. The certificate may include name and address of owner of animal, a description of animal, including name, age, sex, breed, color and weight, date vaccination was administered, product name of vaccine used, the lot number of vaccine, date animal is due for revaccination based on duration of immunity provided by vaccine (according to its label), number of the rabies vaccination tags issued, name, address and license number of veterinarian, signature of veterinarian who administered vaccine, and related documents.	3 Years	HC EL		Security Destruction, see notes.
Administrative Services	2007-0297	RECORDS AND REPORTS OF SAFETY COMMITTEES Documents safety committees established to promote a safe work environment for employees.	3 Years	HC EL		
Administrative Services	2007-0296	RECORDS OF EMERGENCY TRAINING EXERCISES Documents emergency training exercises performed on a regular or special basis by local governments and/or emergency management departments	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Administrative Services	2007-0068	RECORDS OF EXTERNAL GROUPS AND AGENCIES Records provided to local governments for courtesy or informational purposes from associations, organizations, groups & agencies that are not part of local government but which have some form of association or relationship with local government.	Administratively Useful	HC EL		
Administrative Services	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Administrative Services	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Administrative Services	2007-0145	REPORTS OF DEAD OR INJURED ANIMALS Documents reports of dead or injured animals picked up and/or treated by animal control. Includes information on type of animal, owner's name and address (if known), location, type of injury, location of capture if a wild animal, action taken, treatment, disposition, associated costs.	2 Years	HC EL		Security Destruction, see notes.
Administrative Services		REQUESTS FOR SERVICES RELATING TO INDIGENT DEFENSE Requests by contract attorneys providing indigent defense for services that will require payment by Office of Appointed Counsel, a newly created office in County Manager's Office. These contract attorneys provide indigent defense when Public Defender's Office has a conflict. Examples for requested services include, social workers, investigators, expert witnesses, and travel requests. Charges must be approved by Office of Appointed	3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Administrative Services	2007-1242	SPECIAL BOARDS, COMMISSIONS, COUNCILS, COMMITTEES, OFFICES AND TASK FORCE RECORDS Document governmental administration, activities, and history of specially organized committees, boards, councils, offices and task forces. These entities are usually organized or appointed to address specific problems or situations, and not intended to carry on activity beyond a final report or activity. The purpose of these special entities may involve advising, investigating, planning, recommending, compiling, summarizing and similar activities.	PERMANENT OR See NOTE	HC EL		NOTE: Retain records for a minimum period of 5 calendar years from meeting date AND transfer to one of the facilities described in NAC 239.850 (1)(b).
Administrative Services	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Administrative Services	2007-0047	STRATEGIC PLAN FILES Develop and maintain the department's mission, goals and performance measures. Activity Reports, Performance Measures	Until Superseded + 3 Years	EL		Security Destruction, see notes. Review for historical value

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Administrative Services	2007-1005	STUDIES Studies performed by outside consultants or in-house staff. <u>Feasibility Studies, Consultant Reports</u>	PERMANENT	HC EL		
Administrative Services	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Administrative Services		SUPERVISOR PERFORMANCE ASSESSMENTS Assessments of supervisors done by employees.	3 Years	HC EL		NAC 239.165 (1) (2) Security Destruction, see notes.
Administrative Services	2007-1414	SUPPORTIVE AGENCY FILES Used to keep informed about activities of other agencies of similar function (other states, national and international organizations, etc.). The files may contain correspondence, brochures, pamphlets, announcements, notes, informational sheets on federal/state / and /or private organizations, copies of reports, handbooks, guides and similar materials.	Administratively Useful	HC EL		
Administrative Services	2007-0076	SURVEYS, POLLS, AND QUESTIONNAIRES Document county department opinion on various issues, actions, and concerns. <u>Surveys, polls, questionnaires, summaries, abstracts</u>	Administratively Useful	HC		Review for historical value
Administrative Services	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Administrative Services	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include <u>HIPAA information</u>	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Administrative Services	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Administrative Services	2007-0146	VIOLATION NOTICES TO ANIMAL OWNERS Documents violation notices issued to animal owners for infractions of local ordinances (not having a license, allowing pet to run at large, no rabies vaccinations, annoyance, etc.). This series may contain case number, reason for action, license number, owner's name and address, violation, ordinance number, date and time, correspondence,	Closure + 2 Years	HC		Security Destruction, see notes.
Air Quality and Environmental	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC & EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Air Quality and Environmental	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities	2 Years	HC & EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Air Quality and Environmental	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC & EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Air Quality and Environmental		ADAPTIVE MANAGEMENT PROGRAM RECORDS Documents related to the subject of AMP. Includes examples of programs, adaptive management science plan, literature, interview notes, projects.	Administratively Useful	HC & EL		
Air Quality and Environmental		AIR QUALITY MONITORING DATA Ambient Air Quality Data. Includes Gaseous Data, Particulate Data PM-10 and PM-2.5, Meteorological Data, Quality Control Check Data.	PERMANENT	HC & EL		
Air Quality and Environmental	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Air Quality and Environmental		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Until Superseded	HC		
Air Quality and Environmental	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC & EL		NRS 354.624, NAC 239.165 (1)(2)
Air Quality and Environmental	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC & EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Air Quality and Environmental		BLM PROJECT RECORDS Project records involving the federal Bureau of Land Management. Includes Application for Federal Assistance Form 424, project activity and reporting records.	Expiration of Project + 3 Years	HC & EL		43 CFR 12.82, 43 CFR 1880
Air Quality and Environmental	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC & EL		
Air Quality and Environmental	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Air Quality and Environmental	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC & EL		
Air Quality and Environmental		CARBON MONOXIDE STUDIES – MOBILE SOURCES SECTION STATE IMPLEMENTATION PLAN (SIP) Includes Las Vegas Air Quality Implementation Plan, Clark County, Air Quality Implementation Plan, Clark County, Air Quality Implementation Plan, Clark County, Carbon Monoxide Air Quality Implementation Plan, Carbon Monoxide Air Quality Implementation Plan, CO State Implementation Plan, CO Implementation Plan Revision, CO Redesignation Request and Maintenance Plan and	Until Superseded + 5 Years OR Withdrawn + 5 Years	HC & EL		
Air Quality and Environmental		CLUB RIDE RECORDS Program designed to promote carpooling and ride sharing. Includes Covered Parking Log, Club Ride Registration Form, Club Ride Carpool Registration Form, etc.	Active	HC & EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Air Quality and Environmental	2007-0055	COMPLAINTS Document communications with Public and Regulated Community in regard to potential violations of Air Quality Regulations	Disposition + 3 Years	HC & EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2)Security Destruction, see notes.
Air Quality and Environmental		COMPLIANCE RECORDS, ASBESTOS Records related to notifications of asbestos renovation/demolition projects, inspection reports, and compliant investigations. Includes Asbestos Notifications, Site inspections, Corrective Action Orders, Complaints, Site asbestos inspections, Notification log	Active + 6 Years	HC & EL		
Air Quality and Environmental		CONTRACT/PROJECT PRE-AWARD RECORDS Documents gathered from agencies before award of contract/project. Can include certificate of liability insurance, conditions for funding, conflict of interest forms, contract request form, curriculum vitae, FD 6, FD 6 approval letter, goal statements, ILA draft, letter from purchasing requesting agency submittal of insurance (professional services only), proposal draft for project, resumes, risk management plan, SNPLMA Financial assistance agreement, scope of work, and work authorization form.	Termination of Project or Contract	HC & EL		
Air Quality and Environmental	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Air Quality and Environmental	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Air Quality and Environmental	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Air Quality and Environmental	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC & EL		
Air Quality and Environmental	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC & EL		
Air Quality and Environmental		EMISSION INVENTORY STUDIES AND REPORTS Reports are designed to support criteria pollutant studies, plans, and/or state implementation plans authored by Air Quality Planning or Mobile Sources Section and, in many instances, are geared towards specific point sources	PERMANENT	HC & EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Air Quality and Environmental		EMISSION REDUCTION PROGRAM RECORDS LINKED TO STATE IMPLEMENTATION PLAN (SIP) The Mobile Sources Section develops programs designed to reduce harmful emissions from Carbon Monoxide, Ozone, PM10, PM2.5, VOC, Nitrogen Oxide, Carbon Dioxide, HAPs, etc. The program may be included in a State Implementation Plan as an emissions reductions component. The programs include a variety of documents, including grant requests to federal, state, and regional entities, reports/studies, Board of County Commissioner's agenda items, etc.	Until Superseded + 5 Years OR Withdrawn + 5 Years	HC & EL		
Air Quality and Environmental		EMISSION REDUCTION PROGRAM RECORDS, NOT LINKED TO STATE IMPLEMENTATION PLAN (SIP) The Mobile Sources Section develops programs designed to reduce harmful emissions from Carbon Monoxide, Ozone, PM10, PM2.5, VOC, Nitrogen Oxide, Carbon Dioxide, HAPs, etc. The program may be included in a State Implementation Plan as an emissions reductions component. The programs include a variety of documents, including grant requests to federal, state, and regional entities, reports/studies, Board of County Commissioner's agenda items, etc.	Expiration of Program + 5 Years	HC & EL		
Air Quality and Environmental	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Air Quality and Environmental		ENFORCEMENT ACTION NOT RELATED TO PERMITS Documents related to the issuance of a Notice of Violation (NOV) and resolution of enforcement action. Includes Notice of Violation (NOV) & evidence documents, HO Meeting books, NOV Response Form, NOV Tracking, Hearing Officer (HO) agendas, NOV Monthly summary, HO annotated agendas, AQMS Enforcement database, HO Orders, HO waivers, stipulations, amended NOV's, HO Invoices, NOV Files, photos, penalty matrices, finals, history, HO Member files, HO audio or video records, HO Penalty Payment Plans, HO Stipulation files, NOV Log.	Resolution + 20 Years See NOTE	HC & EL		NOTE: Retain landmark cases permanently. (Retention based on <i>EPA Records Schedule 207</i>)
Air Quality and Environmental		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Air Quality and Environmental		GEOGRAPHICAL INFORMATION SYSTEM DATA This series includes archive documents, materials and data of issues and subjects related to department. It may include but not limited to inventory and archival information located on the Clark County depository drives and office location	Until Superseded	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Air Quality and Environmental	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	Grant Closure + 3 Fiscal Years OR Retention period required by granting authority, whichever longer	HC & EL		NRS 239.110Security Destruction, see notes.
Air Quality and Environmental	2007-0078	KEY AND KEYCARD RECORDS Documents issuance of keycards to agency staff to enable access to agency buildings and sites. Records may include but are not limited to key inventories, key issue forms, key replacement records, and key disposal records.	Active + 3 Years	HC & EL		Security Destruction, see notes.
Air Quality and Environmental		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC & EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2)Security Destruction, see notes.
Air Quality and Environmental	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues	PERMANENT	HC & EL		
Air Quality and Environmental		LOG, VEHICLE Vehicle Check In/Out Log, Vehicle Maintenance Log, Vehicle Mileage/ Inspection Log, Fuel Pin Log	Administratively Useful	EL		
Air Quality and Environmental	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC & EL		NRS 11.190 (3)(d)
Air Quality and Environmental	2007-0846	MEETING RECORDS, DEPARTMENTS AND COMMITTEES Documents actions and discussion transpiring at department and committee meetings.	1 Year	HC & EL		
Air Quality and Environmental	2007-0107	MEETING RECORDS, PM10 AND OZONE WORKING GROUPS Official record of proceedings of regularly scheduled, special and emergency meetings. Includes: Date/time/meeting place, Members present/absent, Substance of matters proposed, discussed or decided, votes taken, citizens who appeared, & related records	PERMANENT See NOTE	HC & EL		NOTE: Retain permanently, OR retain for 5 Years from date of meeting AND transfer records to a facility described in NAC 239.850 (1)(b), for continued public access & archival preservation
Air Quality and Environmental	2007-0107	MEETING RECORDS, TECHNICAL ADVISORY COMMITTEE AND WILDLIFE ADVISORY BOARD Original minutes of public and closed meetings, agendas, transcripts, attachments and exhibits, correspondence related to the meetings, announcements, proof of postings, proof of certified mailings, and similar materials	PERMANENT See NOTE	HC & EL		NOTE: Retain permanently, OR retain for 5 Years from date of meeting AND transfer records to a facility described in NAC 239.850 (1)(b), for continued public access & archival preservation

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Air Quality and Environmental		MODELING DATA - AIR QUALITY PLANNING, STATE IMPLEMENTATION PLAN (SIP) Modeling Section Data are designed to support criteria pollutant studies, plans, and/or state implementation plans authored by Air Quality Planning or Mobile Sources Section.	Until Superseded + 5 Years OR Withdrawn + 5 Years	EL		
Air Quality and Environmental		NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM (NPDES) STORMWATER PROGRAM RECORDS Discharge of stormwater into the Las Vegas Wash is regulated by a National Pollution Discharge Elimination Permit issued by State of Nevada. The Las Vegas Valley NPDES permit (Permit) authorizes Clark County, Clark County Regional Flood Control (CCRFCFCD), the cities of Henderson, Las Vegas & North Las Vegas (Committee), to discharge stormwater and urban runoff to the Las Vegas Wash. Includes MS4 Interlocal Agreement with Co-permittees, Municipal Separate Storm Sewer System (MS4) Permit, Las Vegas Valley	Expiration + 10 Years	HC & EL		40 CFR Part 122, 123(Retention based on EPA Records Schedule 210)
Air Quality and Environmental	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC & EL		
Air Quality and Environmental		OZONE REPORTS AND STUDIES, PM10, AND PM 2.5 Studies and reports in support of SIP and/or programmatic functions tied to SIP/Maintenance Plan	Until Superseded + 5 Years OR Withdrawn + 5 Years	HC & EL		
Air Quality and Environmental	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC & EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d)Security Destruction, see notes.
Air Quality and Environmental		PERMIT FILES, STATIONARY SOURCE Records pertaining to stationary sites emitting air pollutants. Includes applications, permits, inspections, enforcement corrective action orders (CAO), notices of violation (NOV) and compliance hearing records, performance tests, emission inventories, complaints, compliance certifications, reports, ownership change records, correspondence, and other, related records. Stationary source modeling data for air quality planning. Includes major, minor and Title V sources.	Site Closure + 20 Years See NOTE	HC & EL		NRS445B.500(Retention based on EPA Records Schedule 207) NOTE: Retain landmark cases permanently.
Air Quality and Environmental		PERMIT RECORDS, AIR QUALITY - DUST CONTROL Permit issued to construction company for control of dust emission during construction cycle. All enforcement, reporting and correspondence records including application, dust mitigation plan, owner's designee form, site map and permittee request to close, etc.	Until Superseded + 5 Years OR Withdrawn + 5 Years	HC & EL		NRS 205.4617, NAC 239.165 (1) (2)Security Destruction, see notes.
Air Quality and Environmental	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Air Quality and Environmental		PLANS, CONSERVATION MANAGEMENT This series includes archive documents and materials of issues and subjects related to MSHCP permit. It may include Boulder City Conservation Easement, Muddy River, Meadow Valley Wash, Virgin River, Rare Plants, Spring Mountains NRS Landscape Assessment, Mesquite Acacia, and Desert Wildlife Management Areas. Water quality management plans. Archive documents and materials of issues and subjects related to MSHCP permit. And all land disturbance records.	Until Superseded + 6 Years OR Withdrawn + 6 Years	HC & EL		
Air Quality and Environmental		PLANS, WATER QUALITY MANAGEMENT The Federal Water Pollution Control Act (Clean Water Act) Amendments of 1972 and 1977 required the control of all sources of water pollution in meeting the goals of the Act. The Clark County Board of County Commissioners (BCC) was designated as the Area Wide Water Quality Management Planning organization within Clark County. The BCC designated Clark County Department of Air Quality and Environmental Management as the agency to manage and administer planning. Includes South County Plan and Amendments, Northeast Plan and Amendments, Las Vegas Valley Plan and Amendment, Rural Plan [Northwest] and Amendments, Laughlin Plan and Amendments.	Until Superseded + 6 Years OR Withdrawn + 6 Years	HC & EL		
Air Quality and Environmental	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Air Quality and Environmental		REGULATIONS, AIR QUALITY Development, implementation, and distribution of Clark County Air Quality Regulations. Includes Regulation Workshops & support documents, Ordinances, BCC Agenda items, Proposed regulations, SIP regulation submittals, Approved regulations, Amended regulations, Regulation subscriptions list & invoices, Archived regulation database.	PERMANENT	HC & EL		
Air Quality and Environmental	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC & EL		NRS 11.190 (1)(b)
Air Quality and Environmental		SITE INSPECTION RECORDS - INDUSTRIAL FACILITY STORMWATER NPDES Permit requires several area agencies including Clark County (collectively called the Stormwater Quality Management Committee) to monitor and control pollution discharged into Las Vegas Wash through Best Management Practices (BMPs). Industrial Facility Inspections are required in order to meet requirements of the NPDES permit. Archive documents and materials of issues and subjects related to HCP	NPDES Report issued + 7 Years	HC & EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Air Quality and Environmental		SOUTHERN NEVADA PUBLIC LANDS (SNPLMA) RECORDS Archive documents and materials of issues and subjects related to MSHCP permit. It may include financial assistance agreements, request for reimbursement packets, invoices, proof of payment, correspondence, quarterly progress reports, spreadsheets, financial forms, implementing agreement, direct labor tracking, meeting minutes, and decision documents.	Until Superseded + 6 Years OR Withdrawn + 6 Years	HC & EL		
Air Quality and Environmental	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC & EL		
Air Quality and Environmental		STATE IMPLEMENTATION PLANS (PM10) AND SUPPORTING STUDIES Under the authority granted by the Governor of the State of Nevada, the Clark County Board of Commissioners is responsible for the preparation of State Implementation Plans for nonattainment areas within Clark County to attain NAAQS at the earliest practicable date. EPA is the final approving authority for SIPs, and once approved, SIPs are federally enforceable rules. Includes Las Vegas Air Quality Implementation Plan, Clark County, Nevada, Air Quality Implementation Plan, Las Vegas Valley, Clark County, Nevada, Air Quality Implementation Plan, Las Vegas Valley, Clark County, Nevada, Particulate Matter, Air Quality Implementation Plan, Las Vegas Valley, SIP for Las Vegas Valley, Providing BACM and BACT to Improve Air Quality, Moderate Area Air Quality Implementation Plan and Addendum, Attainment Demonstration Plan, Las Vegas Valley Nonattainment Area, State Implementation Plan, Milestone Achievement Report (MAR), and other similar Plans.	Until Superseded + 5 Years OR Withdrawn + 5 Years	HC & EL		Includes air quality planning studies

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Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Air Quality and Environmental		STATE IMPLEMENTATION PLANS (SIP), TRANSPORTATION CONFORMITY Purpose of Clark County Transportation Conformity Plan is to implement Section 176(c) of the Clean Air Act, regarding conformity of transportation plans, programs, and projects with state implementation plans. To fall within the scope of conformity regulation, transportation plans, programs, and projects must be developed, funded, or approved by the United States Department of Transportation and the Clark County Metropolitan Planning Organization. The Clark County Transportation Conformity Plan is based on Clean Air Act section 176(c)(4)(E), and the transportation conformity regulations at 40 CFR Part 51.390 and Part 93.100-129. The Clark County Transportation Conformity Plan applies to all EPA designated nonattainment and maintenance areas for transportation related criteria pollutants within Clark County, Nevada, now or in the future.	Until Superseded + 5 Years OR Withdrawn + 5 Years	HC & EL		42 U.S.C. 7401, 23 U.S.C. 109(j), 40 CFR Part 51 Subpart T, and 40 CFR Part 93 23 USC, 49 U.S.C. 1601.
Air Quality and Environmental	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Air Quality and Environmental	2007-1360	TELECOMMUNICATION SYSTEM MANAGEMENT RECORDS Documents creation, modification, and disposition of telecommunications systems. May include equipment records, Federal Communications Commission records, repair order forms, system planning records, telecommunications maintenance contracts and service agreements, service orders, related correspondence, and similar documents.	Expiration + 6 Years	HC & EL		
Air Quality and Environmental	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC & EL		29 CFR 516.5, NRS 11.190 (3)(d)Security Destruction, see notes.
Air Quality and Environmental	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC & EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Air Quality and Environmental	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2)Security Destruction, see notes.
Air Quality and Environmental		VACANT LAND RECORDS Monitoring of vacant lands, unpaved parking lots and unpaved roadways. Includes inspections, enforcement records, complaints, and correspondence and other, related records on land parcels	3 Calendar Years			NRS 11.190 (3)(d)
Air Quality and Environmental	2007-0079	VEHICLE MAINTENANCE & REPAIR RECORDS Documents maintenance & repairs of owned or leased vehicles. Records used to provide maintenance & repair history.	Life of Asset + 3 Years	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Assessor		ABATEMENT APPEALS Property tax abatement appeals, including statements, briefs, & decisions	Settlement + 6 years	HC EL		NRS361.4734, NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Assessor		ABATEMENT APPROVAL LETTERS Correspondence from Nevada Council on Economic Development, with abatement approvals	Expiration + 6 Years	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Assessor	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Assessor	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	Calendar Yearend + 2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Assessor	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Assessor	2007-1227	ADDRESS CHANGE FORMS, COMPLETED Forms used to update mailing address for records on secured and unsecured tax roll. Includes letters, assessor's address change forms and treasurer's address change forms	Calendar Yearend + 6 Years	HC EL		Retention comment from Department: "We frequently have to go back and justify why we have changed an address on a parcel. If property is being sold by Treasurer, for special assessments or in some type of litigation the majority of these issues take at a minimum 4 to 5 years for sale process to begin." Security Destruction, see notes.
Assessor	2007-0171	ADDRESSES IN SUBDIVISIONS Lists of site addresses for new subdivisions provided by each city entity	Until Superseded	EL		
Assessor	2007-0756	ANNEXATION RECORDS Annexations of parcels of land. May include plats, studies, resolutions, legal notices, staff memoranda, applications, petitions, title reports, ownership reports, consent letters & protests, related correspondence, & similar documents.	PERMANENT	HC EL		
Assessor	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 months from date of receipt	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Assessor	2007-0082a	APPRAISAL RECORDS, MANUFACTURED HOMES Discovery runs, ownership documents, personal property sale paperwork, DRS, titles, manufactured housing documents, bills of sale, misc transfer documents, Pre-sale research, seizure, pictures, sale documents, notification of mailings, advertising, & documentation of conversations. Used to create, update, verify and bill personal property records for manufactured homes	Until Superseded + 6 Years	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Assessor	2007-0082b	APPRAISAL RECORDS, REAL & PERSONAL PROPERTY - HOTELS All records and documents used to create the appraisal record including building sketch, RAR (residential improvement records), car (commercial improvement records), RAR/CAR cost breakdowns, possessor interest worksheet, leasehold interest worksheet, personal property progress report, residential/commercial appraisal file, financial information, correspondence, land appraisal records, value calculations, hotel reports	Until Superseded + 25 Years	HC EL		Security Destruction, see notes.
Assessor	2007-0082a	APPRAISAL RECORDS, REAL & PERSONAL PROPERTY -OTHER THAN RESORTS/HOTELS All records and documents used to create appraisal record including building sketch, RAR (residential improvement records), car (commercial improvement records), RAR/CAR cost breakdowns, possessor interest worksheet, leasehold interest worksheet, personal property progress report, residential/commercial appraisal file, financial information, correspondence, land appraisal records, value calculations, hotel	Until Superseded + 6 Years	HC EL		Security Destruction, see notes.
Assessor	2007-0083	ASSESSMENT ROLLS AND/OR TAX LISTS Assessment and Tax rolls information including closed roll values, ownership, mailing address, site address, legal description, history of ownership and personal property values	PERMANENT	HC EL MI		NRS 361.310
Assessor	2007-0086	ASSESSOR'S MAPS Maps that show size, shape & boundary of every land parcel in County. Also includes all updates.	PERMANENT	HC EL		NRS 361.189
Assessor		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Assessor		AUTOMATED CLEARINGHOUSE (ACH) DOCUMENTS Review account & routing #, verify signature; review/cancel ACH requests when property ownership changes & review Bank of America confirmation. Includes application, voided check, letter, CICS report, confirmation	6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Assessor	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Assessor	2007-0469	BANKRUPTCY RECORDS Maintain history & review of claims filed with Bankruptcy court(s); maintain a history of collections; & case tracking information, including claim, tax bill, personal property declaration, court documents, printout from court, information sheet from bankruptcy database, letter	Settlement + 6 Years	HC EL		Security Destruction, see notes.
Assessor		BATCH REPORTS Verify that payments posted correctly & audit end of month, end of year, maintain history for annual audit.	Audit Clearance	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Assessor	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. <u>Security Destruction, see notes.</u>
Assessor	2007-0089	BOARD OF EQUALIZATION MEETING & APPEAL RECORDS (<i>Department Copies, official record copy maintained by County Clerk</i>) BOE documents and decisions, and internal working copy of BOE appeal cases	5 Years	HC EL		Security Destruction, see notes.
Assessor	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Assessor	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Assessor	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Assessor		BUSINESS NAME CHANGES Used to update property title and ownership database information, including corporate name changes, letters, notices, etc.	6 Years	EL		
Assessor	2007-1321	BUSINESS PERSONAL PROPERTY STATEMENTS Aircraft and other business personal property declaration & attachments, list of inventory from dealers, lists of inventory from leasing companies, personal property source documents	Fiscal Yearend + 6 Fiscal Years	EL		Statements filed in compliance NRS 361.266, 361.265 and 489.711
Assessor		CHECKING & BALANCING RUNS Runs used to check daily work and balance daily value adjustments.	6 Months	HC		
Assessor		COLLECTION DATABASE Database used to track and generate documents for collection of personal property taxes	Until Superseded	EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Assessor	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Assessor	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere	Expiration + 1 Year	HC		Security Destruction, see notes.
Assessor	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Assessor	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where <u>official record is maintained by another department.</u>	Administratively Useful	HC		
Assessor	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Assessor	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Assessor		COURT ORDERS & AFFIDAVITS, CONFIDENTIAL TAXPAYER Court order authorizing Assessor's Office to block all personal information on property belonging to high profile taxpayers. Includes court order, affidavit for each property, checklists, printouts of information, any changes to existing information, release affidavits, removal of confidential information request.	Active + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Assessor	2007-0076	CUSTOMER COMMENT CARDS History of comments from taxpayers and public.	Administratively Useful	EL		
Assessor	2007-0762	CUSTOMER CREDIT/DEBIT ACCOUNTS Accounts setup by organizations regularly purchasing information from Assessor's office. Account balances are debited, and upon hitting preset points notifications are issued and additional monies are deposited by customers into their accounts.	Audit Clearance	HC EL		Security Destruction, see notes.
Assessor		DAILY BALANCING REPORTS Report for auditing end of month and end of year, as well as maintain history for annual audit.	Audit Clearance	EL		
Assessor	2007-0244	DOCUMENTATION OF COMPUTER SYSTEM & PROGRAMS Instructions and documentation related to certain programs, applications and or systems used by department. Includes installation and setup files.	Until Superseded OR Expiration + 6 Years	EL		
Assessor	2007-0058	EMPLOYEE PERSONNEL FILES (Department copies. Official record copy at Human Resources.) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Assessor		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Assessor		FLEET PRINTOUTS For auditing end of month, end of year and maintain history for annual audit. Verify payments posted correctly.	Audit Clearance	HC EL		
Assessor		LEAVE REQUESTS, EMPLOYEE (Department copies. Official record copy at Human Resources.) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Assessor		LOG, TREASURER ACKNOWLEDGEMENTS Verify that taxpayer payment has been received by County Treasurer	Audit Clearance	HC		
Assessor		LOGS, PROPERTY & EQUIPMENT CHECKOUT Phone check out log, vehicle log. Used to verify checked out items are returned.	1 Year	HC EL		
Assessor		MAPPING REQUESTS, ADMINISTRATIVE CHANGE Request for division, combination, and lease cuts requested by taxpayer.	6 Years	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Assessor	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Assessor	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Assessor	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Assessor		PERMITS, MANUFACTURED HOME MOVING Issued to allow owners of manufactured homes to move the home to a new location.	Expiration + 1 Year	HC		
Assessor	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Assessor		PROBLEM AND COURTESY LETTERS Copies of Assessor generated letters concerning ownership and mapping problems.	1 Year	HC		
Assessor		PROPERTY PARCEL TRANSACTION WORKSHEETS Records used for adding, deleting and changing parcels and recording other information.	Administratively Useful	EL		
Assessor	2007-0517	RECORDED CONVEYANCE DOCUMENTS (<i>Department Copies, official record copy maintained by County Recorder</i>) Deeds/Maps/Surveys documenting property ownership.	Administratively Useful	EL		
Assessor	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Assessor	2007-0339	REFUNDS Request, check copy, CICS printout to support refund payments.	Audit Clearance	HC EL		
Assessor	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Assessor		RETURN CHECK WORKSHEETS Excel worksheet used to track returned checks & amount due.	Until Superseded	HC EL		Security Destruction, see notes.
Assessor		SEGREGATION REPORTS Segregation and other official reports used to provide information as required to State of Nevada	Reported to State + 7 Years	HC EL		NRS 361.390, NAC361.150-152
Assessor		SPECIAL REPORTS AND DATA EXTRACTIONS Report/extract, written request, notes, payment information used to provide information as requested by agencies or citizens.	Administratively Useful	HC EL		
Assessor	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year from date of meeting	HC EL		
Assessor	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Assessor		TAX ABATEMENT CARDS Rental applications, primary owner applications, denial letters, appeals, audits. Affidavits to qualify for 3% tax abatement as owner occupied or as a qualified rental property.	PERMANENT	HC EL		
Assessor	2007-0081	TAX EXEMPTION AFFIDAVITS Information used to determine whether or not an individual or organization qualifies for a tax exemption. Exemption can be used to reduce real property, personal property or DMV taxes. Includes affidavits for personal exemptions, renewal post cards, applications for organizations, renewal applications for low income, back up documentation, fine art exemption affidavit, pollution control affidavits.	3 Fiscal Years	HC EL		Security Destruction, see notes.
Assessor		TAX REBATE APPLICATIONS, SENIOR CITIZENS Applications used for apply for Nevada Senior Tax Rebate/Rental Assistance program. All required information is gathered and analyzed before transferring records to State. Previous year records are often referred to in order to ensure that all necessary documentation has been obtained.	3 Fiscal Years	EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Assessor	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Assessor	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Assessor	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Assessor	2007-1020	WORK ORDERS, VEHICLE One page work order used to verify monthly billings.	Completion + 1 Year	HC EL		
Assessor		WORK SCHEDULE CHANGE REQUESTS Completed by employees and signed by supervisor.	1 Year	HC		
Audit	2007-0046	ACCOUNTING RECORDS (Department Copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Audit	2007-0046	ACCOUNTING RECORDS (Department Copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Audit	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Audit	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Audit	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Audit		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Audit	2007-1256	AUDITS REPORTS, QUALITY ASSURANCE REVIEWS Quality control reviews performed by an agency to check effectiveness of policies & procedures such as office security, training, safety, personnel, customer relations, emergency & similar procedures. Internal Audit Reports, Supporting Working Papers, Correspondence, investigative reports, checklists, copies of documents involved in review or audit, staff reviews, copies of policies & procedures, comparison reports, safety manuals, staff	Fiscal Yearend + 3 Years	HC		Security Destruction, see notes.
Audit	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Audit	2007-0050	BID RECORDS (<i>Department Copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Audit	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department Copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Audit	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Audit	2007-0052	BUDGET, ADOPTED (<i>Department Copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Audit	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Audit	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Audit	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Audit	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Audit	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Audit	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Audit	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Audit		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Audit	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Audit	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Audit	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Audit	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Audit	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Audit	2007-0090	RECEIVING RECORDS AND VENDOR INVOICES Payment of bills for goods & services, including billing statements, receiving reports, shipping documents, expense reimbursements, computer generated reports & printouts, payment authorizations, supportive documentation, related correspondence	Fiscal Yearend + 5 Years	HC		Security Destruction, see notes.
Audit	2007-0069	RECORDS DESTRUCTION CERTIFICATES Documents destruction of records in accordance with approved retention schedules	3 Years	HC		
Audit	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Audit	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Audit	2007-0297	SAFETY COMMITTEE RECORDS AND REPORTS Safety committees established to promote a safe work environment for employees. Safety plans, safety & health training records, safety committee meeting records, vulnerability assessments, Inspection Reports, staff reports, attendance reports.	Fiscal Yearend + 3 Years	EL		
Audit	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Audit	2007-0047	STRATEGIC PLAN FILES Develop and maintain the department's mission, goals and performance measures. Activity Reports, Performance Measures.	Fiscal Yearend + 3 Years	EL		
Audit	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Audit	2007-0076	SURVEYS, POLLS, AND QUESTIONNAIRES Document county department opinion on various issues, actions, and concerns. Surveys, polls, questionnaires, summaries, abstracts.	Administratively Useful	HC		
Audit	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (Department Copies. Official record copy at Human Resources.) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Audit	2007-0330	TRAINING RECORDS, EMPLOYEE (Department Copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Audit	2007-1258	TRAVEL RECORDS (Department Copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Business License	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Business License	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Business License	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Business License	2007-1641	AGENDAS, LIQUOR & GAMING LICENSING (Departmental copies. Official record copy at County Clerk.) Signed Report of Director's approval and/or denial of Liquor & Gaming Licenses, temporary licenses, notifications, withdrawals, change of ownerships and transfer of interests.	3 Years	HC		Security Destruction, see notes.
Business License		APPEAL HEARING RECORDS, BUSINESS LICENSE Records pertaining to hearings on appeals from business license holders or applicants.	Resolution + 1 Year	HC		Clark County Code, 6.04.090; NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Business License	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Business License		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Business License	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Business License	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Business License	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Business License	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Business License	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Business License	2007-0568	BUILDING PLANS & MAPS Locations of service lines in rights-of-way	Life of Asset + 1 year	HC		Security Destruction, see notes.
Business License		BUSINESS LICENSE APPLICATIONS, REJECTED/DENIED Applications for business licenses rejected by County. Includes Nevada Business Registration Form, Business License Supplement, DBA - Fictitious Firm Name, Fire Department Permit Survey Form, Proof of Taxation, Lease, Personal & Financial History, Documentation for Metro Investigation, Related Correspondence	Decision + 1 year	HC		Clark County Code, 6.04.090; NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Business License		BUSINESS LICENSE AUDIT RECORDS Audits undertaken to: 1. Determine whether licensee's activities are licensed in accordance with County Code. 2. Determine whether licensee is remitting gross revenue fees/tax in accordance with County Code. 3. Determine whether Department's permanent record is current and accurately lists all informational items. Includes Billing Letters, Audit Planning Documents, Correspondences, Licensee's financial records & documents, Audit Tax Calculation Templates, Correspondences	Audit Clearance + 7 Years	HC		Clark County Code: 6.08.090, 8.04.240; NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Business License	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Business License	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Business License	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Business License	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Business License	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Business License	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Business License	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Business License		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Business License	2007-0310	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS (<i>Departmental copies. Official record copy at Human Resources.</i>) Regulate granting and monitoring of family leave under Federal Family and Medical Leave Act of 1993 and State Parental Leave Without Pay Bill. Includes leave requests, medical certifications, notice correspondence	Fiscal Yearend + 3 years	HC EL		29 CFR 1630.14 HIPAA information requires Security Destruction, see notes.
Business License	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	Expiration + 3 Fiscal Years, OR Retention period required by grantor, whichever longer	HC		Security Destruction, see notes. Review for historical value
Business License	2007-1166b	INSPECTION RECORDS, CHILD CARE FACILITIES Electronic Record used to conduct inspections on Child Care Facilities Sanswrite program. Includes inspection module for child care agents, location, inspection status of location, list of corrective action needed, citation reports, notice of violation reports, investigative reports/citations/notice of violations, etc.	Expiration + 6 Years	HC		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Business License	2007-0224	INVESTIGATIONS, BUSINESS LICENSE COMPLIANCE Report on investigations conducted by Tactical Operations Unit into licensed businesses to ensure compliance, or with respect to a compliant. Includes issue view screen and special agent's note, investigative report, notice of violation issued, citation issued.	Calendar Yearend + 6 Years	HC		Security Destruction, see notes.
Business License	2007-0224	LABOR COMPLIANCE INVESTIGATIONS Maintain all Department Investigations, and track all outside agency investigations for EEOC, NERC, ADA, SEIU/CBA Discipline, FMLA and Department of Labor inquiries	Calendar Yearend + 6 Years	HC EL		Security Destruction, see notes.
Business License		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Business License	2007-0229	LICENSE RECORDS, ADULT ENTERTAINMENT, LIQUOR OR GAMING Adult Entertainment licenses issued & renewed, & may contain application packet, business license forms, copies of state forms, list of requirements, license fee information, proof of payment, related correspondence & similar documents.	Calendar Yearend + 6 years	HC		Security Destruction, see notes.
Business License	2007-0221	LICENSE RECORDS, BUSINESS Business licenses issued & renewed. May contain application packet, application for change of business license, business license/registration forms, list of requirements, copies of completed forms from licensee, license fee information, proof of payment, audited financial statements, related correspondence, & similar documents.	1 year	HC		Security Destruction, see notes.
Business License	2007-0231	LICENSES OR PERMITS, TEMPORARY To apply for permit to serve/sell alcohol at a special event, or charitable function. Includes liquor caterer business license, alcohol awareness training exp. date, liquor license number, applicant's name and phone number, date (s) and time(s) of event, event sponsor, location of event, description of event, liquor caterer supervisor, name(s) of employees(s), employee work card number.	Expiration + 1 Year	HC		Security Destruction, see notes.
Business License		LOG, MEDIA FILMING PERMIT APPLICATIONS To track approved/denied/cancelled movie and television filming permit applications by month. Includes information from film permit application, hold harmless indemnification agreement, certificate of insurance (liability) inspections	Resolution + 1 year	HC		NRS 11.90 (3)(d)
Business License	2007-0107	MEETING RECORDS, ADMINISTRATIVE OVERSIGHT COMMITTEE Agendas and Minutes	PERMANENT	HC EL		
Business License	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Business License	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Business License	2007-0227a	OUT OF BUSINESS FILES - <u>HISTORICAL</u> Licensing files for businesses that have gone out of business or are no longer doing business in Nevada. May contain out of business reports, copies of business license applications, copies of renewal forms, license fee information, audit reports, amendments to licenses (if any), related correspondence & similar documents for businesses of historical significance to community.	PERMANENT	HC		
Business License	2007-0227b	OUT OF BUSINESS FILES – <u>NOT HISTORICAL</u> Licensing files for businesses that have gone out of business or are no longer doing business in Nevada. May contain out of business reports, copies of business license applications, copies of renewal forms, license fee information, audit reports, amendments to licenses (if any), related correspondence & similar documents for businesses not of historical significance to community.	Expiration + 1 year	HC		NOTE: other out of business files are filed with business licenses and are retained for closure of business/expiration of license + 1 Year. Security Destruction, see notes.
Business License	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Business License	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Business License	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC		
Business License	2007-0325	RECRUITMENT FILES (<i>Departmental copies. Official record copy at Human Resources.</i>) Notifications, letters, certification lists, employment offer letters, salary schedules.	Active + 3 years	HC EL		Security Destruction, see notes.
Business License	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Business License	2007-1316	REFUND RECORDS Documents credits or refunds to patients for overpayment. May include amount of overage, cause of overage, written request for refund, and related correspondence.	Fiscal Yearend + 3 Years	HC		Security Destruction, see notes.
Business License	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Business License	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Business License	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Business License	2007-0198	SURETY BOND RECORDS A bond is used as a contractual promise by licensee to abide by the provisions set by County Code. In the event that licensee fails to adhere to its promises, surety/bonding company must pay penal sum indicated on bond agreement.	Expiration + 1 Year	HC		Security Destruction, see notes.
Business License	2007-0076	SURVEYS, POLLS, AND QUESTIONNAIRES Document county department opinion on various issues, actions, and concerns. <u>Surveys, polls, questionnaires, summaries, abstracts.</u>	Administratively Useful	HC		Review for historical value
Business License	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Business License	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Business License	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Business License	2007-0079	VEHICLE MAINTENANCE & REPAIR RECORDS Documents maintenance & repairs of owned or leased vehicles. Records used to provide maintenance & repair history.	Life of Asset + 3 Years	HC		
Business License		WORK CARD APPEALS Reports prepared to approve or deny liquor, gaming or other license at Board meetings. May contain location history, ownership information, descriptions of areas of concerns by Dept of Business License, notifications of various types, LVMPD reports, density drawing, photos of establishment, investigative conference, notice of violations issued, citations issued. Used to document appeals for denial, suspension or revocation of an LVMPD work card.	Resolution + 1 Year	HC		Clark County Code: 6.10.050, 8.24.050; NRS 205.4617, NAC 239.165 (1) (2)
Citizen Review Board	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). <u>Official record copy at Comptroller.</u>	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Citizen Review Board	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Citizen Review Board	2007-1558b	ACTIVITY REPORTS, MONTHLY <u>Monthly</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Citizen Review Board	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) <u>Official record copy at Human Resources.</u>	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Citizen Review Board		APPOINTMENT BOOKS, CALENDARS Appointment information in books, calendars, computer calendaring programs or in Personal Digital Assistants (PDA's)	Calendar Yearend + 1 Year	HC EL		
Citizen Review Board		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Citizen Review Board	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Citizen Review Board	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Citizen Review Board	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk	Fiscal Yearend + 5 Years	HC EL		
Citizen Review Board	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Citizen Review Board	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Citizen Review Board	2007-0055	CITIZEN COMPLAINTS & INVESTIGATIONS Investigations into complaints by citizens against Metro police officers and may include complaint, copies of court documents, photographs, investigation reports and related correspondence.	Resolution + 3 Years	HC		NRS 289.387(10), Clark County Code 2.62.100 (l), NAC 239.165 (1) (2). Security Destruction, see notes.
Citizen Review Board	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Citizen Review Board	2007-1660	CONTINUING EDUCATION/TRAINING PROGRAM RECORDS Documents continuing education requires for professional license renewal, including training course workshop documentation, accreditation notices, correspondence, etc.	Expiration + 3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Citizen Review Board	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Citizen Review Board	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Citizen Review Board	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Citizen Review Board	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Citizen Review Board	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Citizen Review Board	2007-0224	CRIMINAL BACKGROUND FILE Criminal background checks on potential citizen volunteer board members	Calendar Yearend + 6 Years	HC EL		Clark County Code 2.62.040(6)(c), NAC 239.165 (1) (2). Security Destruction, see notes.
Citizen Review Board	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2) Transfer to Human Resources for consolidation into official Personnel Record.
Citizen Review Board		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Citizen Review Board	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include FMLA information. Official record copy at Human Resources	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Citizen Review Board		LEGAL FILES, AGENCY COPY Documents used by agency director for pending legal action and may include copies of court documents, memos and similar types of documents	Administratively Useful, MAX 6 Years	HC EL		Clark County Code 2.62.100 (l), NAC 239.165 (1) (2). Security Destruction, see notes.
Citizen Review Board		LOGS, WORK CONTROL Logs used to control or track work status, including status reports, telephone logs, work index logs, master worksheet index, statistical logs, etc.	1 Year	HC EL		
Citizen Review Board		MASTER WORKSHEET INDEX		HC EL		
Citizen Review Board	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
Citizen Review Board	2007-0107	MEETING RECORDS, CITIZEN REVIEW BOARD Minutes of open/closed meetings, agendas, correspondence related to meetings and posting material.	PERMANENT See NOTE	HC EL		NOTE: Retain permanently, OR retain for 5 Years AND transfer records to a facility described in NAC 239.850 (1)(b), for continued public access & archival preservation
Citizen Review Board		MEMBERSHIP APPLICATIONS, CITIZEN REVIEW BOARD Applications, background checks and related correspondence from persons seeking membership on the CRB	3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), Clark County Code 2.62.040 (6) (c), (g). Security Destruction, see notes.
Citizen Review Board		NEWSPAPER CLIPPING FILES Newspaper clippings, pamphlets and similar material and is generally included as "non-records "	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Citizen Review Board	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Citizen Review Board	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Citizen Review Board	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Citizen Review Board	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Citizen Review Board	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Citizen Review Board	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Citizen Review Board	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Citizen Review Board	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Citizen Review Board	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Citizen Review Board	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Clerk	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Clerk	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Clerk	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Clerk	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Clerk		ARTICLES OF INCORPORATION For businesses in Clark County during years 2000-2002. Includes articles of incorporation and index cards.	10 Years from date of filing See NOTE	HC EL MI		Also on file at NV Secretary of State.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Clerk		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Clerk	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Clerk	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Clerk	2007-0394	BONDS AND OATHS OF NOTARY PUBLICS Documents oaths and bonds of Notaries Public showing names of principals and sureties amount of bond, date executed and conditions of obligation.	Active	HC EL		Also on file at NV Secretary of State.
Clerk	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Clerk	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Clerk	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Clerk	2007-1688a	BUSINESS FICTITIOUS NAME CERTIFICATES - REGISTER Register of certificates filed with county clerk by a natural person, an artificial person required to make annual filings with Secretary of State to retain its good standing, a general partnership, or a trust who wish to conduct business under an assumed or fictitious name.	PERMANENT	HC EL		Also on file at NV Secretary of State.
Clerk	2007-1688b	BUSINESS FICTITIOUS NAME CERTIFICATES Documents certificates filed with the county clerk by a natural person, an artificial person required to make annual filings with the Secretary of State to retain its good standing, a general partnership, or a trust who wish to conduct business under an assumed or fictitious name.	Expiration + 6 Years	HC EL MI		Also on file at NV Secretary of State.
Clerk	2007-0396	CERTIFICATES, MINISTERS AUTHORIZED TO PERFORM MARRIAGES Certificates of permission for ministers authorized to perform marriages.	Active + 5 Years OR Revoked + 5 Years	HC EL		Security Destruction, see notes.
Clerk	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Clerk	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Clerk	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Clerk	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Clerk	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Clerk	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Clerk	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Clerk		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Clerk	2007-0403	FEE BOOK Fees collected by County Clerk's office in accordance with state law.	PERMANENT	HC EL MI		
Clerk	2007-0404	FILINGS OF ALL RECORDS REQUIRED TO BE FILED WITH COUNTY CLERK Records required or permitted by law to be filed with County Clerk not included in other records classifications. May include tax rolls filed annually by Assessor, budgets filed by entities other than Clark County and Clark County Redevelopment Agency, legal documents pertaining to lawsuits including documents served on board, County, Clerk, etc., lobbyist registrations including annual registration forms, sign-in logs, and contact information, air quality regulations including amendments to regulations, official reports filed monthly by elected officials, copies of oaths of office for elected officials & original oaths for board appointments, blanket bonds for public/elected officials filed by Risk Management, Nevada Administrative Code booklet, miscellaneous correspondence to County Commission, Board Chair, and/or Clerk on various issues, claims paid reports filed by County Treasurer	PERMANENT	HC EL MI		
Clerk	2007-0407	FINANCIAL DISCLOSURE LIST Signed statements submitted annually by each public officer required to file a statement of financial disclosure.	1 Year	HC EL		NOTE: On or before December 1 of each year list is submitted electronically by County Clerk to Commission on Ethics to Secretary of State.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Clerk		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Clerk	2007-0383	LEGAL NOTICES Documents compliance with state laws requiring public notice of governmental activities. May include affidavits of publication, certificates of mailing, affidavits of posting, public hearing notices, other required public or legal notices and similar documents.	PERMANENT	HC EL		
Clerk	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues.	PERMANENT	HC EL		
Clerk		LOGS, DAILY OPERATING Date and replacement amendment logs, log of documents sent to county recorder, log of applicants denied a marriage license, system backdated log, amendment locator log, ceremony logs, memos, vault inventory list, archival number assignment log, tracking and editing log, marriage certificates, mail log, amendment log, etc.	2 Years	HC EL		
Clerk	2007-0411	MARRIAGE LICENSE RECORDS Marriage Licenses, Marriage Affidavits, Old Journal Index, Affidavits for Replacement Marriage Certificates	PERMANENT	HC EL MI		
Clerk	2007-0109	MEETING RECORDINGS Recordings of proceedings of regularly scheduled, special, and emergency meetings and may also be used to transcribe, verify and correct minutes of public meetings. Written minutes may be taken from these recordings, transcribed, corrected as needed, and presented to meeting body for approval.	Approval of Minutes + 1 Year	EL		
Clerk	2007-0412	MEETING RECORDS, ALL BOARDS, COMMISSIONS, COMMITTEES, AND COUNCILS Record of actions taken by Board of County Commissioners, also sitting in their various capacities; and other appointed boards. Includes Minutes of County Commission meetings, including those in which Board serves in other capacities such as Zoning Board, Liquor & Gaming Licensing Board, Board of Trustees for University Medical Center and Clark County Water Reclamation District, Clark County Redevelopment Agency, Kyle Canyon Water District, Clark County Sanitation District, Debt Management Commission, Moapa Valley Fire District, Air Quality Management, Mt. Charleston Fire Protection District, and Big Bend Water District. Miscellaneous/obsolete boards include Airport Committee, Metro Police Fiscal Affairs, Flood Control, Desert Water District, Clark County Highway Commission, Fire District, Mesquite Sanitation District, Overton Sanitation District, and Local Government Annexation Commission. Index books pertain to agenda items before the Board of County Commissioners. Zoning	PERMANENT, OR 5 Years & transfer records to one of facilities described in NOTE.	HC EL MI		NOTE: Retain Permanently, or retain for a minimum period of 5 calendar years from date of meeting & transfer records to one of the facilities described in NAC 239.850 (1)(b)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Clerk	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Clerk	2007-1680	MEETING RECORDS, BOARD OF EQUALIZATION Records of the agendas and actions of the Clark County Board of Equalization. Includes affidavits of mining claims, affidavits of publication, affidavits of posting, board agendas, logs of audio recordings of hearings, decision letters to petitioners, notices of decision from state BOE, transmittal letters to state with certification of copies, annual notices of BOE hearings, notifications of hearing date from assessor's office to petitioners and USPS manifest, petitions for review of assessed valuation and supporting documents	PERMANENT	HC EL MI		
Clerk	2007-1678	ORDINANCES AND REGULATIONS, BOARDS & COMMISSIONS Ordinances adopted by Board of County Commissioners, ordinances/regulations adopted by Liquor and Gaming Licensing Board, working copies of ordinances, affidavits of publication with transmittal, agenda items, reference documents, ordinance/completion logs.	PERMANENT	HC EL MI		
Clerk	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Clerk		PASSPORT TRANSMITTALS Information regarding each passport application sent to US Passport Agency.	1 Year	HC		Security Destruction, see notes.
Clerk	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Clerk	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Clerk	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Clerk	2007-1316	REFUND RECORDS Documents credits or refunds for overpayment. May include amount of overage, cause of overage, written request for refund, and related correspondence.	Fiscal Yearend + 3 Years	HC EL		Security Destruction, see notes.
Clerk	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Clerk	2007-0421	RESOURCES AND EXPENDITURES, QUARTERLY REPORT Statement of receipts and expenditures of three months next preceding, and accounts allowed. May include financial reports, expenditure summary, copy of newspaper in which report was published and related records	Fiscal Yearend + 3 Years	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Clerk	2007-0391	REVENUE BOND RECORDS Authorization to finance municipal improvements through bonded indebtedness and implementation of government bond issues. "Official Statement, general obligation (limited tax). includes preliminary bond documents, transcript of proceedings, miscellaneous retired bonds, agenda items, etc.	Bonds Retired + 10 Years	HC EL		
Clerk		SPECIAL IMPROVEMENT DISTRICT APPROVALS Record of various steps of approval concerning special improvement districts. Includes maps/plans, agenda items and supporting documents, verbatim transcripts, correspondence, protest/support letters, petitions, memorandums with attached signature documents.	PERMANENT	HC EL		
Clerk	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Clerk	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Clerk	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Clerk	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Clerk	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Clerk	2007-1630	ZONING RECORDS Record of applications concerning land use and supporting documents including maps that are heard by the County Commissioners at zoning meetings; applications that are provided by current planning which may not be heard by the board; and final action notices. includes applications, location maps attached to agenda items, zone change maps, land use maps/plans, correspondence, notices of final action, agenda items, and verbatim transcripts. Applications include those for zone changes, variances, use permits, extensions of time, design review, vacations and	PERMANENT	HC EL MI		
Comprehensive Planning	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Comprehensive Planning	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Comprehensive Planning	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Comprehensive Planning	2007-1641	AGENDA NON-PACKET MATERIAL Correspondence and information used in the preparation of meeting agendas but is NOT included in the agenda packet.	3 Years			
Comprehensive Planning	2007-1638	AGENDAS, ANNOTATED Summary document listing all items discussed during public meetings & action taken on those items.	Calendar Yearend + 1 Year	HC EL		
Comprehensive Planning	2007-1639	AGENDAS-OFFICIAL/FINAL Planning Commission meeting agenda and any backup material submitted prior to or during the meeting. This series is often included as part of the meeting minutes.	PERMANENT	EL		
Comprehensive Planning	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (Department copies. Official record copy at Human Resources.)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Comprehensive Planning	2007-1272	APPLICATIONS AND RESUMES, NOT HIRED Applications and/or resumes submitted by individuals seeking employment, transfer or promotion who were not hired.	Closure + 2 Years	HC		Security Destruction, see notes.
Comprehensive Planning	2007-1292	APPLICATIONS AND RESUMES, UNSOLICITED Applications or resumes received for which no position has been announced.	6 Months	HC EL		Security Destruction, see notes.
Comprehensive Planning	2007-1207	ARCHITECTURAL DESIGN REVIEW RECORDS Architectural review of structures. Includes Application, legal description, justification letters, staff comments, property ownership documents, disclosure forms, agenda sheet/map, agenda log amendments, notifications, plans, minutes, notice of final action, correspondence.	PERMANENT	HC EL		Security Destruction, see notes.
Comprehensive Planning		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Comprehensive Planning	2007-0049	AUDIT REPORTS (office copies. Official record copy maintained by IS – Audit Department.) Audits/studies performed by various outside parties regarding performance and/or financial viability of department, includes feasibility studies, audit findings, etc.	Until Superseded + 1 Fiscal Year	HC EL		
Comprehensive Planning	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Comprehensive Planning	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Comprehensive Planning	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Comprehensive Planning	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Comprehensive Planning	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Comprehensive Planning	2007-1237	CENSUS REPORTS Population figures and other demographic information gathered by the U.S. Bureau of Census.	Administratively Useful	EL		
Comprehensive Planning	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Comprehensive Planning		COMPREHENSIVE PLAN (<i>Departmental copy. Official record copy retained permanently by County Clerk.</i>) Comprehensive, long-term general plans for physical development of county or region as required by state law. Includes community design, conservation plans, economic plans, historical properties preservation plans, housing plans, land use plans, population plans, public buildings plans, public services and facilities, recreation plans, rural neighborhood preservation plans, transit plans, transportation plans, and similar plans and reports which relate to physical development of Clark County.	Until Superseded	HC EL		
Comprehensive Planning	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Comprehensive Planning	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Comprehensive Planning	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Comprehensive Planning	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Comprehensive Planning	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Comprehensive Planning	2007-0433	DAILY CASH AND RECEIPTS REPORTS Daily cash transactions and may contain receipts, cashier's daily reports, cash balance reports, transmittal reports, and related documents. Includes QC/PC daily transactions, main cashier deposits, credit card transmittals, customer svc deposits, batch reports, receipt copies.	Audit Clearance	HC EL		
Comprehensive Planning	2007-0307	ELIGIBILITY LISTS, EMPLOYEE Lists and similar records of eligible applicants for employment positions. These types of lists are often used to set up applicant interviews as part of the employee selection process.	Calendar Yearend + 2 Years	HC EL		Security Destruction, see notes.
Comprehensive Planning	2007-1290	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Listings of current employees	Until Superseded	EL		Security Destruction, see notes.
Comprehensive Planning	2007-1276	EMPLOYEE HANDBOOKS Guidelines created to explain the internal operations, policies, and procedures of the agency to a new employee.	Until Superseded + 6 Years	HC EL		
Comprehensive Planning	2007-0058	EMPLOYEE PERSONNEL FILES (Department copies. Official record copy at Human Resources.) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Comprehensive Planning		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Comprehensive Planning	2007-0310	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Regulate the granting and monitoring of family leave under the Federal Family and Medical Leave Act of 1993 and the State Parental Leave Without Pay Bill. Includes Leave Requests, Medical Certifications, Notice Correspondence.	Fiscal Yearend + 3 Years	HC EL		29 CFR 1630.14 HIPAA information requires Security Destruction, see notes.
Comprehensive Planning	2007-0440	FIXED ASSETS AND INVENTORY RECORDS Document and administer process of updating and reconciling an inventory of fixed assets in department's possession. May contain fixed asset inventories, copies of purchase orders and other fiscal records, monthly or annual property reports, copies of other property records, memos, correspondence, inventory journals and related documents.	Until Superseded + 5 Years	HC EL		
Comprehensive Planning	2007-1520	FUND TRANSFER RECORDS Documents moneys transferred from one fund to another showing date, amount transferred, name of fund, purpose, and balance, including Fund Transfer, Back-up Documentation, etc.	Audit Clearance	HC		
Comprehensive Planning	2007-0059	GRANT FISCAL RECORDS Documents the awarding of funds from federal government, state government, private organizations, private benefactors, and similar sources. Accounting reports, expenditure reports, audit reports, monitoring reports, copies of purchase orders, warrants, warrant registers, vouchers.	Submission of final expenditure report + 3 Fiscal Years, OR Granting authority requirement, whichever longer.	HC EL		Review for Historical Value

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Comprehensive Planning	2007-0033	HISTORY FILES Records that document history of an agency, department, division or other governmental body, and is usually used as an informational source for governmental entity & public.	PERMANENT	HC EL		
Comprehensive Planning	2007-1720	INVENTORY RECORDS, IT ASSETS IT inventories that are created & maintained in accordance with policies, standards & procedures. Includes general information on hardware and user, user-defined fields, installed files, file information, asset information, hardware, installed programs, software titles	Until Superseded + 3 Years	EL		
Comprehensive Planning		LAND USE APPLICATIONS, ADMINISTRATIVE Application, legal description, justification letters, staff comments, property ownership documents, disclosure forms, agenda sheet/map, agenda log amendments, notifications, plans, minutes, notice of final action, correspondence	PERMANENT	HC EL		Title 30, Clark County Unified Development Code.
Comprehensive Planning		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Comprehensive Planning	2007-0383	LEGAL NOTICES Documents compliance with state laws requiring public notice of governmental activities. May include, but is not limited to, Affidavits of Publication, Certificates of Mailing, Affidavits of Posting, public hearing notices, other required public or legal notices and similar documents	PERMANENT	HC EL		Security Destruction, see notes.
Comprehensive Planning	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues	PERMANENT	HC EL		
Comprehensive Planning	2007-0034	LEGISLATIVE RELATIONS RECORDS Used to review and/or plan a local government's position on impacting legislative actions. This series may include bill review and tracking forms, opinion requests, bill tracking reports, copies of pending or approved legislation, notes, memorandum, related correspondence and similar documentation. Information in this series may also be used in lobbying efforts and recommending legislative changes.	Administratively Useful	EL		
Comprehensive Planning	2007-0983	MAPS, PLANS, AND DRAWINGS Various maps, aerials, and drawings which may pertain to zoning, soil, land use, utilities, water supplies, road and bridge construction and repair, water mains, sewer lines, sewer line connections, fire hydrants, sewer district boundaries, valve locations, and similar engineering and construction related projects	PERMANENT	EL		
Comprehensive Planning	2007-1215	MAPS, TENTATIVE Tentative maps. May include review files, inspection reports, copies of surveys, various studies and analysis, approvals, bond and fee documents, receipts, transmittals, project correspondence, and related documents	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Comprehensive Planning	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS <i>(Department copies. Official record copy at County Clerk.)</i> Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Comprehensive Planning	2007-1533	MEETING RECORDS, BOARDS, COMMISSIONS, COUNCILS, AND STANDING COMMITTEES Original minutes of public and closed meetings, Agendas, Transcripts, Attachments and exhibits, Correspondence related to the meetings, Announcements, Proof of postings, Proof of certified mailings, and similar materials.	PERMANENT	HC EL		
Comprehensive Planning	2007-0412	MEETING RECORDS, YUCCA MOUNTAIN ADVISORY COMMITTEE Official record of proceedings of regularly scheduled, special and emergency meetings. Includes minutes for Yucca Mountain Advisory Committee. Can include date, time, and meeting place, attendance sheets, members present and absent, correspondence, the substance of all matters proposed, discussed, or decided, related records, votes taken, names of citizens who appeared and the substance in brief of their testimony, minutes, agenda packets, supporting documents, exhibits, audio/video	PERMANENT OR Time specified by Nuclear Regulatory Commission	HC EL		
Comprehensive Planning	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Comprehensive Planning	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Comprehensive Planning	2007-1525a	PERMITS, TEMPORARY USE, APPROVED Approvals or denials of temporary use permits to use land for a specific purpose not to exceed a specified number of days. May contain, but is not limited to, justification letters, copy of deeds, site plans, approval or denial letters, related correspondence, and similar documents.	Expiration + 6 Years	HC EL		Security Destruction, see notes.
Comprehensive Planning	2007-1525b	PERMITS, TEMPORARY USE, DENIED OR REJECTED Approvals or denials of temporary use permits to use land for a specific purpose not to exceed a specified number of days. May contain, but is not limited to, justification letters, copy of deeds, site plans, approval or denial letters, related correspondence, and similar documents.	Active + 3 Years	HC EL		Security Destruction, see notes.
Comprehensive Planning	2007-1421	PERMITS, USE Conditional or special use permits. May include application requesting use of land for specific purpose, justification letter, deed, site plans, elevations, landscape plans, final approval letter, notice of final action, related correspondence and similar documents.	PERMANENT	HC EL		
Comprehensive Planning	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Comprehensive Planning	2007-1206	PROPERTY ANNEXATION RECORDS Annexations of parcels of land. Including plats, studies, resolutions, legal notices, memos, applications, petitions, ownership reports, title reports, correspondence.	PERMANENT	HC EL		
Comprehensive Planning	2007-1218	PROPERTY VACATION RECORDS Vacation or abandonment of previously dedicated streets, public rights-of-way, or easements. Includes notifications, tentative map copies, proof of recording, title, correspondence, application, legal description, justification letter, staff comments, property ownership documents, disclosure forms, agenda sheet/map, agenda log amendments, notifications, plans, minutes, notice of final action.	PERMANENT	HC EL		
Comprehensive Planning		RECRUITMENT FILES (Departmental copies. Official Record Copy at Human Resources.) Notifications, letters, certification lists. Employment Offer Letters. Salary schedules.	Administratively Useful	EL		Security Destruction, see notes.
Comprehensive Planning	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Comprehensive Planning	2007-1316	REFUND RECORDS Documents credits or refunds to patients for overpayment. May include amount of overage, cause of overage, written request for refund, and related correspondence.	Fiscal Yearend + 3 Years	HC EL		Security Destruction, see notes.
Comprehensive Planning	2007-0942	REGIONAL PLANNING RECORDS Documents the development, review and/or amendment of regional plans in accordance with state law.	PERMANENT	HC EL		
Comprehensive Planning	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Comprehensive Planning	2007-0297	SAFETY COMMITTEE RECORDS AND REPORTS Safety committees established to promote a safe work environment for employees. This series may include safety plans, policies and procedures, safety and health training records, safety committee meeting records, vulnerability assessments, reports on inspections conducted by safety officers, staff reports, attendance reports, correspondence and related documents.	3 Years	HC EL		
Comprehensive Planning	2007-1280	SIGNATURE AUTHORIZATIONS FILE Used to authorize, assign authority, and verify approval of various governmental actions.	Expiration + 5 Fiscal Years	HC		Security Destruction, see notes.
Comprehensive Planning	2007-1245	SOFTWARE LICENSES Licensure & implementation of computer software applications. May include, but is not limited to, permitted uses, right & restrictions warrant.	Expiration + 6 Years	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Comprehensive Planning	2007-1242	SPECIAL BOARDS, COMMISSIONS, COUNCILS, COMMITTEES, OFFICES AND TASK FORCE RECORDS Document governmental administration, activities, and history of specially organized committees, boards, councils, offices and task forces. These entities are usually organized or appointed to address specific problems or situations, and not intended to carry on activity beyond a final report or activity. The purpose of these special entities may involve advising, investigating, planning, recommending, compiling, summarizing and similar activities.	PERMANENT OR See NOTE	HC EL		NOTE: Retain records for a minimum period of 5 calendar years from meeting date AND transfer to one of the facilities described in NAC 239.850 (1)(b).
Comprehensive Planning	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Comprehensive Planning	2007-0047	STRATEGIC PLAN FILES Develop and maintain the department's mission, goals and performance measures. Activity Reports, Performance Measures	Until Superseded + 3 Years	EL		Security Destruction, see notes. Review for historical value
Comprehensive Planning	2007-1213	STREET NAME CHANGE RECORDS Assignment and alteration of street names, and similar records that provide official control of the naming and numbering of streets and roads. Includes Application, legal description, justification letter, staff comments, property ownership documents, disclosure forms, agenda sheet/map, agenda log amendments, notifications, plans, minutes, notice of final application, correspondence	PERMANENT	HC EL		
Comprehensive Planning	2007-1005	STUDIES Studies performed by outside consultants or in-house staff. <i>Feasibility Studies, Consultant Reports</i>	PERMANENT	HC EL		
Comprehensive Planning	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Comprehensive Planning	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Comprehensive Planning	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Comprehensive Planning	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Comprehensive Planning	2007-1419	VARIANCE, WAIVER OF CONDITIONS Approval of minor adjustments (variances/waivers) of more than 10% of code standard. May include application, justification letter, deed, site plans, elevation, landscape plans, final approval letter, notice of final action, blue lines that have obtained approval / denial from a decision making body, related correspondence and similar documents.	PERMANENT	HC EL		
Comprehensive Planning	2007-1309	VENDOR CODE REQUESTS Information used to request vendor code numbers for vendors not currently listed as providing goods or services to county. Information may include vendor name, address, phone number, contact name, assigned vendor number, and related documents.	Until Superseded	HC EL		Security Destruction, see notes.
Comprehensive Planning	2007-1630	ZONING CHANGE RECORDS Zoning, rezoning, classification changes and similar actions. May include, but are not limited to, applications, petitions, plans, photographs, letters of intent, change requests, maps (aerial, parcel, tentative, final) surveys, staff reports, waivers, amendments, adjustments, restrictions, copies of ordinances and regulations, policy statements, appeals, final action records, certified mail receipts, related forms and reports, memorandum, correspondence, and similar documents.	PERMANENT	HC EL		
Constable - Henderson	2007-1712b	ACCIDENT REPORTS <u>NOT</u> RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Henderson	2007-1712a	ACCIDENT REPORTS RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	Settlement + 3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Henderson	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). <i>Official record copy at Comptroller</i>	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Henderson	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Constable - Henderson	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Henderson	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Henderson		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Constable - Henderson	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Constable - Henderson	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Constable - Henderson	2007-0762	BILLINGS FOR SERVICE Billing and collection of monies for services provided.	Audit Clearance	HC EL		
Constable - Henderson	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk	Fiscal Yearend + 5 Years	HC EL		
Constable - Henderson	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Constable - Henderson	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Constable - Henderson	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Henderson	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Constable - Henderson	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Constable - Henderson	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Constable - Henderson	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Constable - Henderson	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Henderson	2007-0334	DOCKETS Documents individual court cases and may contain entries on papers files, court actions, judgments, and similar documents. Includes Judgments, Evictions, Garnishments, Wage information, Subpoenas, Cash drawers, Property Liens	See Supreme Court Guidelines	EL		
Constable - Henderson	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Constable - Henderson		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Constable - Henderson	2007-1247	GARNISHMENTS Documentation of requests and court orders served on the local government to withhold the wages of employees for garnishments, tax levies, support payments and other reasons.	Calendar Yearend + 6 Fiscal Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Henderson	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Henderson	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
Constable - Henderson	2007-0339	MISTAKES AND REFUNDS Documents credits or refunds for the overpayment of fees	Audit Clearance	EL		
Constable - Henderson	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Constable - Henderson	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Constable - Henderson	2007-1230	PERFORMANCE EVALUATIONS, REPORTS, AND RESPONSE Documents the job performance of classified employees and may contain, but is not limited to, copy of work performance standards, performance evaluations, employee response, appeals or hearing records, correspondence, and related documents	Calendar Yearend + 3 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes. Eric, this is the wrong LRDA #. These are usually kept with the Personnel File, so I don't know if it's really a Dept. copy.
Constable - Henderson	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Constable - Henderson	2007-0336	RECORD OF EVICTIONS Documents eviction proceedings and may contain execution affidavit, tenant affidavit, order, copies of court documents, date notice served, summary notice, date of eviction, related correspondence, and similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Henderson	2007-0337	RECORD OF NOTICES OF EVICTIONS Receipt and service or return of eviction notices. Includes Execution Affidavit, Tenant Affidavit, Orders, Copies of Court Documents, date notice served, summary notice, date of eviction, related correspondence.	Execution + 90 Days	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Henderson	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Constable - Henderson	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Constable - Henderson	2007-0456	REVENUE LEDGERS Financial history of source of office's income.	PERMANENT	HC		
Constable - Henderson	2007-0341	REVOCATION FILES Revocation and/or forfeiture of bail and may include, but is not limited to, legal notices, receipts, related correspondence & similar documents.	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Henderson	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Constable - Henderson	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Constable - Henderson	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Constable - Henderson	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Henderson	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Henderson	2007-0342	UNSERVED PAPERS Court related documents which for various reasons were unable to be served. Includes garnishments, summons, subpoenas, small claims.	90 Days	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Las Vegas	2007-1712b	ACCIDENT REPORTS NOT RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Las Vegas	2007-1712a	ACCIDENT REPORTS RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and related documents .	Settlement + 3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Las Vegas	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). <u>Official record copy at Comptroller</u> .	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Las Vegas	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Constable - Las Vegas	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Constable - Las Vegas	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) <u>Official record copy at Human Resources.</u>	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Las Vegas		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Constable - Las Vegas	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Constable - Las Vegas	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. <u>Official record copy at Purchasing.</u>	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Constable - Las Vegas	2007-0762	BILLINGS FOR SERVICE Billing and collection of monies for services provided.	Audit Clearance	HC EL		
Constable - Las Vegas	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. <u>Official record copy at County Clerk</u> .	Fiscal Yearend + 5 Years	HC EL		
Constable - Las Vegas	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Constable - Las Vegas	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. <u>Official record copy at Comptroller.</u>	Audit Clearance + 1 Year	HC EL		
Constable - Las Vegas	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Las Vegas	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Constable - Las Vegas	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Constable - Las Vegas	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Constable - Las Vegas	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Constable - Las Vegas	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Constable - Las Vegas	2007-0334	DOCKETS Documents individual court cases and may contain entries on papers files, court actions, judgments, and similar documents. Includes Judgments, Evictions, Garnishments, Wage information, Subpoenas, Cash drawers, Property Liens.	See Supreme Court Guidelines	EL		
Constable - Las Vegas	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Constable - Las Vegas		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Constable - Las Vegas	2007-1247	GARNISHMENTS Documentation of requests and court orders served on the local government to withhold the wages of employees for garnishments, tax levies, support payments and other reasons.	Calendar Yearend + 6 Fiscal Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Las Vegas	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Las Vegas	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
Constable - Las Vegas	2007-0339	MISTAKES AND REFUNDS Documents credits or refunds for the overpayment of fees.	Audit Clearance	EL		
Constable - Las Vegas	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Las Vegas	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Constable - Las Vegas	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Constable - Las Vegas	2007-0336	RECORD OF EVICTIONS Documents eviction proceedings and may contain execution affidavit, tenant affidavit, order, copies of court documents, date notice served, summary notice, date of eviction, related correspondence, and similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Las Vegas	2007-0337	RECORD OF NOTICES OF EVICTIONS Receipt and service or return of eviction notices. Includes Execution Affidavit, Tenant Affidavit, Orders, Copies of Court Documents, date notice served, summary notice, date of eviction, related correspondence.	Execution + 90 Days	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Las Vegas	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Constable - Las Vegas	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Constable - Las Vegas	2007-0456	REVENUE LEDGERS Financial history of source of office's income.	PERMANENT	HC		
Constable - Las Vegas	2007-0341	REVOCATION FILES Revocation and/or forfeiture of bail and may include, but is not limited to, legal notices, receipts, related correspondence & similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Las Vegas	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
Constable - Las Vegas	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Constable - Las Vegas	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Constable - Las Vegas	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Las Vegas	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Las Vegas	2007-0342	UNSERVED PAPERS Court related documents which for various reasons were unable to be served. Includes garnishments, summons, subpoenas, small claims.	90 Days	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Laughlin	2007-1712b	ACCIDENT REPORTS NOT RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Laughlin	2007-1712a	ACCIDENT REPORTS RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	Settlement + 3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Laughlin	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Laughlin	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Constable - Laughlin	2007-1558	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Constable - Laughlin	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Laughlin		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Constable - Laughlin	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Constable - Laughlin	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Constable - Laughlin	2007-0762	BILLINGS FOR SERVICE Billing and collection of monies for services provided.	Audit Clearance	HC EL		
Constable - Laughlin	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Constable - Laughlin	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Laughlin	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Constable - Laughlin	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Laughlin	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Constable - Laughlin	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Constable - Laughlin	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Constable - Laughlin	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Constable - Laughlin	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Constable - Laughlin	2007-0334	DOCKETS Documents individual court cases and may contain entries on papers files, court actions, judgments, and similar documents. Includes Judgments, Evictions, Garnishments, Wage information, Subpoenas, Cash drawers, Property Liens.	See Supreme Court Guidelines	EL		
Constable - Laughlin	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Constable - Laughlin		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Constable - Laughlin	2007-1247	GARNISHMENTS Documentation of requests and court orders served on the local government to withhold the wages of employees for garnishments, tax levies, support payments and other reasons.	Calendar Yearend + 6 Fiscal Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Laughlin	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Laughlin	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
Constable - Laughlin	2007-0339	MISTAKES AND REFUNDS Documents credits or refunds for the overpayment of fees	Audit Clearance	EL		
Constable - Laughlin	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Constable - Laughlin	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Constable - Laughlin	2007-1230	PERFORMANCE EVALUATIONS, REPORTS, AND RESPONSE Documents the job performance of classified employees and may contain, but is not limited to, copy of work performance standards, performance evaluations, employee response, appeals or hearing records, correspondence, and related documents	Calendar Yearend + 3 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes. Eric, this is the wrong LRDA #. These are usually kept with the Personnel File, so I don't know if it's really a Dept. copy.
Constable - Laughlin	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Constable - Laughlin	2007-0336	RECORD OF EVICTIONS Documents eviction proceedings and may contain execution affidavit, tenant affidavit, order, copies of court documents, date notice served, summary notice, date of eviction, related correspondence, and similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Laughlin	2007-0337	RECORD OF NOTICES OF EVICTIONS Receipt and service or return of eviction notices. Includes Execution Affidavit, Tenant Affidavit, Orders, Copies of Court Documents, date notice served, summary notice, date of eviction, related correspondence.	Execution + 90 Days	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Laughlin	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Constable - Laughlin	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Constable - Laughlin	2007-0456	REVENUE LEDGERS Financial history of source of office's income.	PERMANENT	HC		
Constable - Laughlin	2007-0341	REVOCATION FILES Revocation and/or forfeiture of bail and may include, but is not limited to, legal notices, receipts, related correspondence & similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - Laughlin	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		

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Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - Laughlin	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Constable - Laughlin	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Constable - Laughlin	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Laughlin	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - Laughlin	2007-0342	UNSERVED PAPERS Court related documents which for various reasons were unable to be served. Includes garnishments, summons, subpoenas, small claims.	90 Days	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - North Las Vegas	2007-1712b	ACCIDENT REPORTS NOT RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - North Las Vegas	2007-1712a	ACCIDENT REPORTS RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	Settlement + 3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - North Las Vegas	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - North Las Vegas	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Constable - North Las Vegas	2007-1558	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Constable - North Las Vegas	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - North Las Vegas		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - North Las Vegas	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Constable - North Las Vegas	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Constable - North Las Vegas	2007-0762	BILLINGS FOR SERVICE Billing and collection of monies for services provided.	Audit Clearance	HC EL		
Constable - North Las Vegas	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Constable - North Las Vegas	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Constable - North Las Vegas	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Constable - North Las Vegas	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - North Las Vegas	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Constable - North Las Vegas	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Constable - North Las Vegas	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Constable - North Las Vegas	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Constable - North Las Vegas	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Constable - North Las Vegas	2007-0334	DOCKETS Documents individual court cases and may contain entries on papers files, court actions, judgments, and similar documents. Includes Judgments, Evictions, Garnishments, Wage information, Subpoenas, Cash drawers, Property Liens.	See Supreme Court Guidelines	EL		

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Constable - North Las Vegas	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Constable - North Las Vegas		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Constable - North Las Vegas	2007-1247	GARNISHMENTS Documentation of requests and court orders served on the local government to withhold the wages of employees for garnishments, tax levies, support payments and other reasons.	Calendar Yearend + 6 Fiscal Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - North Las Vegas	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - North Las Vegas	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
Constable - North Las Vegas	2007-0339	MISTAKES AND REFUNDS Documents credits or refunds for the overpayment of fees	Audit Clearance	EL		
Constable - North Las Vegas	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Constable - North Las Vegas	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Constable - North Las Vegas	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Constable - North Las Vegas	2007-0336	RECORD OF EVICTIONS Documents eviction proceedings and may contain execution affidavit, tenant affidavit, order, copies of court documents, date notice served, summary notice, date of eviction, related correspondence, and similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - North Las Vegas	2007-0337	RECORD OF NOTICES OF EVICTIONS Receipt and service or return of eviction notices. Includes Execution Affidavit, Tenant Affidavit, Orders, Copies of Court Documents, date notice served, summary notice, date of eviction, related correspondence.	Execution + 90 Days	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - North Las Vegas	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Constable - North Las Vegas	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Constable - North Las Vegas	2007-0456	REVENUE LEDGERS Financial history of source of office's income.	PERMANENT	HC		
Constable - North Las Vegas	2007-0341	REVOCATION FILES Revocation and/or forfeiture of bail and may include, but is not limited to, legal notices, receipts, related correspondence & similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Constable - North Las Vegas	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
Constable - North Las Vegas	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Constable - North Las Vegas	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Constable - North Las Vegas	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - North Las Vegas	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Constable - North Las Vegas	2007-0342	UNSERVED PAPERS Court related documents which for various reasons were unable to be served. Includes garnishments, summons, subpoenas, small claims	90 Days	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Coroner	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Coroner	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Coroner	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Coroner	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Coroner		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Coroner	2007-0355	AUTOPSY RECORDS Examination of an individual's remains to determine cause of death.	PERMANENT	HC MI		
Coroner	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Coroner	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. <u>Security Destruction, see notes.</u>
Coroner	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Coroner	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Coroner	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Coroner	2007-0356	CASE FILES Documents investigations into the manner and cause of an individual's death. May include preliminary report of death, report of death, identification records, notification of family records, autopsy authorizations, autopsy waiver requests, reports of field investigations, body diagrams, copies of police reports, copies of medical records, copies of fire department or EMS reports, copies of hospital reports, examination records, consultation reports, accident reconstruction reports, laboratory requests, laboratory reports and results, autopsy reports, subpoenas and other material relating to a proceeding of a court, evidence logs, evidence receipts, photographic evidence, receipts for personal property, authorizations to release a body to next of kin or mortuary, worksheets, checklists, certificate of death, and related correspondence.	PERMANENT	HC EL MI		
Coroner	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Coroner	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Coroner	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Coroner	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where <u>official record is maintained by another department.</u>	Administratively Useful	HC		
Coroner	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		

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Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Coroner	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Coroner	2007-0664	DEATH CERTIFICATES Original certificate of death for all deaths occurring in county.	PERMANENT	HC EL MI		Record also maintained by both Health Department Vital Statistics and State of Nevada Electronic Death Registration System (EDRS)
Coroner	2007-1485	DECEDENT PERSONAL PROPERTY RECORDS Inventory of money and/or personal property which may have been found on or about a deceased individual. Includes receipt log, list of property, investigator's receipt, release of property form .	Delivery to County Treasurer + 3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Coroner	2007-0357	DEPUTIES' APPOINTMENTS AND OATHS Documents the appointment and oath of office of deputies and doctors appointed by coroners.	Termination	HC		NRS 259.040
Coroner	2007-0295	DISASTER RECOVERY PLAN Plans to maintain necessary business operations, protect the public, and to safeguard vital records during emergency situations. Hazard analysis records, first response procedures, emergency operations plans, incident response plans, disaster management and recovery plans, vital record plans, damage assessment plans, post disaster evaluation procedures, correspondence and related documents.	Until Superseded + Retain one (1) copy of superseded plan permanently for historical purposes.	HC EL		NRS 239C.250, NAC 239.165 (1)(2) Security Destruction, see notes.
Coroner	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Coroner		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Coroner	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	Expiration + 3 Fiscal Years, OR Retention period required by grantor, whichever longer	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes. Review for historical value
Coroner	2007-0064	HAZARDOUS MATERIAL SAFETY FILE This record series is used to provide information on hazardous materials stored, manufactured or used by agency as part of Hazard Communication Program. This series includes material safety data sheets (MSDS) and a listing of hazardous material in workplace.	Product no Longer in Workplace + 30 Years	HC		29CFR 1910.1020, 29CFR 1910.1200

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Coroner	2007-0033	HISTORY FILES Records that document history of an agency, department, division or other governmental body, and is usually used as an informational source for governmental entity & public.	PERMANENT	HC EL		
Coroner	2007-0358	INQUESTS Documents inquiries of violent or sudden deaths. This series may contain reports of facts, report of circumstances, medical evidence, investigative reports, professional reports (autopsy, toxicology, x-ray laboratory reports, etc.), consultation reports, witness statements, subpoenas, hearing testimony, findings, verdict, recordings, District Attorney correspondence, court documents, jury notes, forms, reports, other related correspondence, and similar documents.	PERMANENT	HC EL		
Coroner	2007-0078	KEY AND KEYCARD RECORDS Documents issuance of keycards to agency staff to enable access to agency buildings and sites. Records may include but are not limited to key inventories, key issue forms, key replacement records, and key disposal records.	Active + 3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Coroner	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Coroner	2007-0063	MAILING AND DISTRIBUTION LISTS Lists of names and addresses compiled for various mailings, such as billings, notifications, community outreach, and other administrative purposes. media telephone directory (contact information for Media)	Calendar Yearend + 1 Year	HC EL		
Coroner	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Coroner	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Coroner	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Coroner	2007-0655	PERMITS, BURIAL TRANSIT Permits issued in accordance with state law and regulation. Permits indicate name of cemetery, mausoleum, columbarium or other place of burial where human remains will be interred, inurned or buried	Calendar Yearend + 1 Year	HC EL MI		
Coroner	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Coroner	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC		
Coroner	2007-0039	PROPOSED LEGISLATION RECORDS Records created by governmental agencies for purpose of proposing legislation. This series may contain research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, correspondence, and other information documenting proposed legislation.	Administratively Useful	HC EL		
Coroner	2007-1240	PUBLICATIONS Newsletters, pamphlets, annual or statistical reports, studies, leaflets and similar material produced by or for county or any of its departments, subdivisions, or programs for distribution to public.	See NOTE	HC		NRS 378.150, NRS 378.150 - 378.210, NOTE: Send 6 copies of each to Nevada State Library and Archives - State Publications
Coroner	2007-1559a	PUBLICITY FILES AND PRESS RELEASES, HISTORICAL Publicity files/press releases issued by coroner. This series may contain originals or copies of press releases, publicity files, audio and/or video recordings, informational flyers, notes, charts, graphs, correspondence, and related documents.	PERMANENT	HC EL		
Coroner	2007-1559b	PUBLICITY FILES AND PRESS RELEASES, NOT HISTORICAL Publicity files/press releases issued by coroner. This series may contain originals or copies of press releases, publicity files, audio and/or video recordings, informational flyers, notes, charts, graphs, correspondence, and related documents.	Administratively Useful	HC EL		
Coroner	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Coroner	2007-0359	REGISTER OF CASES Register, report, or log of deaths investigated and/or autopsies performed.	PERMANENT	HC EL		
Coroner	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Coroner	2007-1280	SIGNATURE AUTHORIZATIONS FILE Used to authorize, assign authority, and verify approval of various governmental actions.	Expiration + 5 Fiscal Years	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Coroner	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Coroner	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Coroner	2007-1281	SUMMONS & SUBPOENAS Documents received by individuals in their official capacity as local government employees, requiring their appearance at a specified place, date and time. Summons and subpoenas are issued by agencies granted this power under law. May include state and federal courts, boards, commissions, offices, etc. Documents contain a statement of authority for summons or subpoena, reasons for required appearance, date, time and place. Documents are signed and dated and may be delivered by mail or by an officer of summoning institution.	Closure + 1 Year	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Coroner	2007-1414	SUPPORTIVE AGENCY FILES Used to keep informed about activities of other agencies of similar function (other states, national and international organizations, etc.). May contain correspondence, brochures, pamphlets, announcements, notes, informational sheets on federal/state and /or private organizations, copies of reports, handbooks, guides and similar materials.	Administratively Useful	HC EL		
Coroner	2007-0076	SURVEYS, POLLS, AND QUESTIONNAIRES Document county department opinion on various issues, actions, and concerns. <u>Surveys polls questionnaires summaries abstracts</u>	Administratively Useful	HC		Review for historical value
Coroner	2007-1254	TECHNICAL REFERENCE FILES Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are used for reference and information but are not <u>public records</u>	Administratively Useful	HC EL		
Coroner	2007-1360	TELECOMMUNICATION SYSTEM MANAGEMENT RECORDS Documents creation, modification, and disposition of telecommunications systems. May include equipment records, Federal Communications Commission records, repair order forms, system planning records, telecommunications maintenance contracts and service agreements, service orders, related correspondence, and <u>similar documents</u>	Expiration + 6 Years	HC EL		
Coroner	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE <i>(Department copies. Official record copy at Human Resources.)</i> Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA <u>information</u>	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Coroner	2007-0330	TRAINING RECORDS, EMPLOYEE <i>(Department copies. Official record copy at Human Resources.)</i> Documentation and verification of individual employee training activities. May include <u>HIPAA information</u>	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Coroner	2007-1258	TRAVEL RECORDS <i>(Department copies. Official record copy at Comptroller.)</i> Requests, authorizations, reimbursements, and other <u>records related to employee travel.</u>	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Coroner	2007-0079	VEHICLE MAINTENANCE & REPAIR RECORDS Documents maintenance & repairs of owned or leased vehicles. Records used to provide maintenance & repair history.	Life of Asset + 3 Years	HC		
Development Services	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Development Services	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Development Services	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Development Services	2007-0171	ADDRESS RECORDS Residential and building addresses on subdivided land, these records relate to street dedications, the assignment and alteration of street names and house numbers, and similar records that provide official control of the naming and numbering of streets and roads. Includes: Address Lists, Address Maps, Certificate of Amendments, Address Changes	Until Superseded	EL		
Development Services	2007-1638	AGENDAS, ANNOTATED Summary document listing all the items discussed during public meetings and the action taken on those items	Calendar Yearend + 1 Year	EL		
Development Services	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Development Services	2007-0179	APPLICATIONS FOR TEMPORARY PLACEMENT OF TRAILER Documents application process for temporary placement of trailers for use as temporary living quarters during construction of a single family dwelling or as a contractor's on-site construction office	Calendar Yearend + 1 Year	EL		
Development Services		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Development Services	2007-1328	AUDIT TRAIL RECORDS Data produced during formation of database used to validate master file database during a process cycle. Defines: user that makes change, Date & Time of change, Type of change, Name of file and program. Job that processed data	3 Data Backup Cycles	EL		
Development Services	2007-0241	BACKUP OF COMPUTER FILES MADE FOR SECURITY Security backup of files stored on networks within the County & are retained for file damaged or deleted data. Includes: User Objects, Libraries, files, programs, journals, and hardware objects, security configuration, etc.	6 Months	EL		
Development Services	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Development Services	2007-0967	BARRICADE PLANS Approved and denied applications and plans to install access and traffic barricades.	Denial, Superseded or Removed + 3 Years	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. <u>Security Destruction, see notes.</u>
Development Services	2007-1553	BOARD AND COMMISSION VOLUNTEER INTEREST FORMS Documents requests to be a volunteer on a local government board or commission. Includes: Name/contact information, Title of the board or commission, Category of interest, Conflict of interest statement, Related correspondence, and similar information.	Applicant interest is no longer expressed or contact can no longer be made + 1 Year	HC EL		Security Destruction, see notes.
Development Services	2007-0182	BOOKKEEPING RECORDS Documents and administers monetary transactions within the PAC and Civil Administrative areas. Billings for services, Revenue received from payment of fees, Revenue from sales of code books, Revenue reports, Invoices, Inspection Receipts, Supportive documentation, Notes, Correspondence, Related documents, Refund requests	Audit Clearance	HC EL		Security Destruction, see notes.
Development Services	2007-1420	BOUNDARY LINE ADJUSTMENT FILES This records series supports a process that moves the ownership line, NOT the platted line. Includes: Application, Right of Way Map, Assessor Parcel Map, Original Submitted Plan, Beneficiary Statement, Plan, Corporate Information, Revised Plan, Deed, Legal Description, Letters, Title Report, Survey Document, <u>Waiver Maps</u>	PERMANENT	EL		NOTE: All maps are recorded documents in the County Recorder's office.
Development Services	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Development Services	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Development Services	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Development Services	2007-1576	BUILDING & SAFETY CODE INTERPRETATIONS Interpretations of Building & Fire Safety Codes approved by Building Official. May include back-up material clarifying interpretation. Includes: Code, Manuals, ICBO Reports, Noise Reduction, FAA, Code Books, IRC Code Books, Administrative Code Books, NEC Code Books, IBC Code Books	PERMANENT	HC EL		
Development Services	2007-1412	BUILDING INSPECTION RECORDS On-site building or residential inspections, used to determine compliance of building construction, electrical plumbing, mechanical and other systems with adopted building codes, and all other building standards adopted by Clark County. This series may contain inspection requests, information on owner, location of property, location of structure, type of construction, copy of applicable codes, statement of restrictions, daily inspection logs, inspector's notes and remarks, code violation reports, correction reports, inspectors signature, correspondence and related documents. This series includes periodic, special, and final inspections.	Life of Asset	EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-1329	CATALOGED LIST OF DATA TAPES/DISKS System reports that show all tapes, and or disks holding data for departments. Including name and location of tape or disk.	Until Superseded	EL		
Development Services	2007-1237	CENSUS REPORTS This record series contains population figures and other information gathered by the U.S. Bureau of Census. Includes: Census Form C-404, Report for Apartments/Condos with 1-2 Units, Report for Apartments/Condos with 3-4 Units, Report for Apartments/Condos with 5 or more Units, Summary of Building Permits	18 Months	EL		
Development Services	2007-1243	COMMITTEE RECORDS, AD HOC Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. i.e. - Building Enterprise Fund Advisory Committee (BEFAC).	PERMANENT	EL		NRS 241.015 (3)
Development Services	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Development Services	2007-1350	COMPUTER USAGE FILES Event Logs created to monitor computer activity. Level, Date and Time, Source, Event ID and Task Category	Administratively Useful	EL		
Development Services	2007-0971	CONSTRUCTION TEST RESULTS Documents results of construction and construction materials testing.	Completion + 12 Years	EL		
Development Services	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Development Services	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Development Services	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Development Services	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Development Services	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Development Services	2007-1674	CORRESPONDENCE, PROJECT Correspondence related to a specific case or project.	Completion + 10 Years	EL		File correspondence in project file.
Development Services	2007-1588	DEMOLITION RECORDS Records relating to demolition and clearance from property of buildings deemed unfit for occupancy and condemned.	Completion + 3 Years	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-0008	DIRECTIVES OF MANAGER Executive orders, Bulletins and advisories, Directives, Policy statements, Notes on policy and procedures, Related correspondence. Similar documents	PERMANENT	HC EL		
Development Services	2007-0244	DOCUMENTATION OF COMPUTER SYSTEM & PROGRAMS Instructions and documentation related to certain programs, applications and or systems used by department. Includes: Installation and setup files	Until Superseded OR Expiration + 6 Years	EL		
Development Services	2007-1290	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Listings of current employees	Until Superseded	EL		Security Destruction, see notes.
Development Services	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Development Services		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Development Services	2007-0190	FIRE & LIFE SAFETY RECORDS Necessary code requirements & operational restrictions placed upon a building or structure. Comprised of building systems intended to alert or protect occupants of fire dangers and other related perils. These systems help to preserve life and property by protecting a building or facility against fire hazards. These systems include smoke control systems, fire alarm detection and notification systems, fire sprinkler systems, and building construction design to protect occupants in the event of a fire.	PERMANENT	EL		
Development Services	2007-0033	HISTORY FILES Records that document history of an agency, department, division or other governmental body, and is usually used as an informational source for governmental entity & public	PERMANENT	HC EL		
Development Services	2007-0192	INSPECTION REPORTS, DAMAGE Inspection reports of buildings/structures damaged by fire, water and other means & may contain inspection report, owner/occupier information, related correspondence, & similar documents	Life of Asset	EL		
Development Services	2007-0194	INSPECTION REPORTS, MOBILE HOME PARKS Inspection reports of mobile home parks and may contain, inspection report, owner/occupier information, related correspondence, similar documents	2 Years	EL		
Development Services	2007-1720	INVENTORY RECORDS, IT ASSETS IT inventories that are created & maintained in accordance with policies, standards & procedures. Includes general information on hardware and user, user-defined fields, installed files, file information, asset information, hardware, installed programs, software titles	Until Superseded + 3 Years	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-0186b	INVESTIGATIONS, CODE VIOLATION – NO VIOLATION Investigations of suspected property maintenance code violations and may include but is not limited to photographs, on-site inspection notes, copies of ordinances, violation notices, orders to appear, correction notices, proof of correction, correspondence and related documents.	1 Year	EL		Security Destruction, see notes.
Development Services	2007-0186a	INVESTIGATIONS, CODE VIOLATION – VIOLATION Investigations of suspected property maintenance code violations and may include but is not limited to photographs, on-site inspection notes, copies of ordinances, violation notices, orders to appear, correction notices, proof of correction, correspondence and related documents.	Closure + 3 Years	EL		Security Destruction, see notes.
Development Services	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Development Services	2007-1717	LEGAL NOTICES Documents compliance with state laws requiring public notice of governmental activities.	PERMANENT	HC EL		
Development Services	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues.	PERMANENT	HC EL		
Development Services	2007-1339	LOG, SOFTWARE MAINTENANCE Summary of program activity for developing and or maintaining system applications	Calendar Yearend + 1 Year	EL		
Development Services	2007-1362	LOGS & REPORTS, COMPUTER HELP DESK Documents requests for technical assistance & responses from users to requests, as well as collect information on use of computer equipment for program delivery, security, or other purposes. Includes: Summary, work order number, type, category, priority, technician assigned, date assigned, date due, description, resolution and attachments	1 Year	EL		
Development Services	2007-1557	LOGS, CODE ENFORCEMENT INSPECTIONS Logs kept by Code Enforcement Officers detailing various inspections of potential property maintenance code violations.	CY + 1 Year	EL		
Development Services	2007-1727	LOGS, COMPUTER ACCESS Information relating to employee name, date & time of access. Data also indicates employee title and location in department. Any network connectivity and a journal used when technical staff accesses computer.	CY + 3 Years	EL		Security Destruction, see notes.
Development Services	2007-0063	MAILING & DISTRIBUTION LISTS Lists of names and addresses compiled for various mailings.	Until Superseded	HC EL		
Development Services	2007-0983	MAPS, PLANS, AND DRAWINGS Offsite maps, blueprints, & drawings pertaining to zoning, soil, land use, utilities, water supplies, road & bridge construction & repair, water mains, sewer lines, sewer line connections, fire hydrants, sewer district boundaries, valve locations, & similar engineering & construction related projects	PERMANENT	EL		
Development Services	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-0107	MEETING RECORDS, BOARDS, COMMISSIONS, COMMITTEES AND COUNCILS Official record of proceedings of regularly scheduled, special and emergency meetings. (BEFAC). Includes: Date/time/meeting place, Members present/absent, Substance of matters proposed, discussed or decided, Votes taken, Citizens who appeared, Related records	PERMANENT	HC EL		
Development Services	2007-1533	MEETING RECORDS, BOARDS, COMMISSIONS, COUNCILS, AND STANDING COMMITTEES (<i>Department Copies, official record copy maintained by County Clerk</i>) Original minutes of public and closed meetings, Agendas, Transcripts, Attachments and exhibits, Correspondence related to the meetings, Announcements, Proof of postings, Proof of certified mailings, and similar material	Administratively Useful	HC EL		
Development Services	2007-0281	MEMBERSHIP LISTS OF BOARDS AND COMMISSIONS Membership of boards, commissions, councils, and similar organized bodies.	PERMANENT	HC EL		
Development Services	2007-1301	MISSION STATEMENT Mission statement of department and its divisions, sections, offices and branches, listing goals and objectives	Until Superseded	HC EL		Review for historic value.
Development Services	2007-0197	MOVED BUILDING RECORDS Documents related to buildings which have been moved, including permit application, related documentation	Calendar Yearend + 2 Years	EL		
Development Services	2007-0010	NOTICES OF PUBLIC HEARING The posting of notices of public hearings.	PERMANENT	HC EL		
Development Services	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Development Services	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Development Services	2007-1570	PERMITS – BUILDING, APPLICATIONS Applications from property owners or contractors to erect new structures or to make alterations to existing structures. May include: Building Application, Electrical Application, Plumbing Application, Mechanical Application, Change of Contractor, Checklist, Ownership Documents, Permits Issued by Other Entities, Receipts Issued by Other Entities, Tortoise Mitigation Fee, Permission Letters, Change of Ownership, Request for Refunds, Transportation Tax Fee, Park Tax	Calendar Yearend + 1 Year	EL		Approved applications become part of permit file. Security Destruction, see notes.
Development Services	2007-1571	PERMITS – BUILDING, CANCELLED Building permits which have been cancelled for any reason	1 Year	EL		
Development Services	2007-1587a	PERMITS – BUILDING, COMMERCIAL & PUBLIC, MASTER Official copy of issued building permit, Certificate of Occupancy, and all permit related information including but not limited to name of contractor, location of work, contractor licensing information and scope of work performed. May also contain permit site plans, subcontractor information, owner builder exemption statement, related correspondence and similar documents	PERMANENT	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-1587b	PERMITS - BUILDING, RESIDENTIAL STRUCTURES, MASTER Official copy of issued building permit, Certificate of Occupancy, and all permit related information including but not limited to name of contractor, location of work, contractor licensing information and scope of work performed. May also contain permit site plans, subcontractor information, owner builder exemption statement, related correspondence and similar documents	PERMANENT	EL		
Development Services	2007-1572d	PERMITS - DESIGN & CONSTRUCTION FILE, COMMERCIAL OR PUBLIC, CANCELED Structural files for any building not classified as "Group R" in International Building Code & any structure on or related to subject property. Structural file consists of tests & calculations directly related to structural integrity or technical components of structure. may contain code modification requests, field density testing reports, field submitted structural tests & structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, correspondence from geotechnical engineer, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations, related correspondence, & similar documents. May also include: air balance, pad certification, alternative method, post construction certification, calculations- electrical, mechanical, structural, energy, quality assurance agreement final reports, cement mix, quality assurance agreement contract, drainage certificate,	1 Year	EL		Security Destruction, see notes.
Development Services	2007-1572c	PERMITS - DESIGN & CONSTRUCTION FILE, COMMERCIAL OR PUBLIC, EXPIRED Structural files for any building not classified as "Group R" in International Building Code & any structure on or related to subject property. Structural file consists of tests & calculations directly related to structural integrity or technical components of structure. may contain code modification requests, field density testing reports, field submitted structural tests & structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, correspondence from geotechnical engineer, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations, related correspondence, & similar documents. May also include: air balance, pad certification, alternative method, post construction certification, calculations- electrical, mechanical, structural, energy, quality assurance agreement final reports, cement mix, quality assurance agreement contract, drainage certificate,	Expiration + 3 Years	EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-1572b	PERMITS - DESIGN & CONSTRUCTION FILE, COMMERCIAL OR PUBLIC, FINAL-<u>DISASTER</u> Structural files for any building not classified as "Group R" in International Building Code & any structure on or related to subject property. Structural file consists of tests & calculations directly related to structural integrity or technical components of structure. may contain code modification requests, field density testing reports, field submitted structural tests & structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, correspondence from geotechnical engineer, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations, related correspondence, & similar documents. May also include: air balance, pad certification, alternative method, post construction certification, calculations- electrical, mechanical, structural, energy, quality assurance agreement final reports, cement mix, quality assurance agreement contract, drainage certificate, earth	Disaster + 6 Years	EL		Security Destruction, see notes.
Development Services	2007-1572a	PERMITS - DESIGN & CONSTRUCTION FILE, COMMERCIAL OR PUBLIC, FINAL-<u>NO DISASTER</u> Structural files for any building not classified as "Group R" in International Building Code & any structure on or related to subject property. Structural file consists of tests & calculations directly related to structural integrity or technical components of structure. may contain code modification requests, field density testing reports, field submitted structural tests & structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, correspondence from geotechnical engineer, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations, related correspondence, & similar documents. May also include: air balance, pad certification, alternative method, post construction certification, calculations-electrical, mechanical, structural, energy, quality assurance agreement final reports, cement mix, quality assurance agreement contract,	LA	EL		Security Destruction, see notes.
Development Services	2007-1573d	PERMITS - DESIGN & CONSTRUCTION FILE, RESIDENTIAL, CANCELLED Structural files for any building classified as "Group R" in International Building Code (not including hotels, motels, & high-rise structures), & any structure on or related to subject property. Structural file consists of tests & calculations directly related to structural integrity or technical components of structure. may contain code modification requests, field density testing reports, field submitted structural tests & structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, correspondence from geotechnical engineer, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations, related correspondence, & similar documents. May also include: alternate methods, post construction certification, structural calculations, quality assurance agreement final report, cement mix, quality assurance agreement contract, drainage certification, revisions, earthquake report, geote	1 Year	EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-1573e	PERMITS - DESIGN & CONSTRUCTION FILE, RESIDENTIAL, DESTROYED Structural files for any building classified as "Group R" in International Building Code (not including hotels, motels, & high-rise structures), & any structure on or related to subject property. Structural file consists of tests & calculations directly related to structural integrity or technical components of structure. may contain code modification requests, field density testing reports, field submitted structural tests & structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, correspondence from geotechnical engineer, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations, related correspondence, & similar documents. May also include: alternate methods, post construction certification, structural calculations, quality assurance agreement final report, cement mix, quality assurance agreement contract, drainage certification, revisions, earthquake report, geote	Life of Asset	EL		Security Destruction, see notes.
Development Services	2007-1573c	PERMITS - DESIGN & CONSTRUCTION FILE, RESIDENTIAL, EXPIRED Structural files for any building classified as "Group R" in International Building Code (not including hotels, motels, & high-rise structures), & any structure on or related to subject property. Structural file consists of tests & calculations directly related to structural integrity or technical components of structure. may contain code modification requests, field density testing reports, field submitted structural tests & structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, correspondence from geotechnical engineer, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations, related correspondence, & similar documents. May also include: alternate methods, post construction certification, structural calculations, quality assurance agreement final report, cement mix, quality assurance agreement contract, drainage certification, revisions, earthquake report, geotechnical rep	Expiration + 3 Years	EL		Security Destruction, see notes.
Development Services	2007-1573b	PERMITS - DESIGN & CONSTRUCTION FILE, RESIDENTIAL, FINAL – DISASTER Structural files for any building classified as "Group R" in International Building Code (not including hotels, motels, & high-rise structures), & any structure on or related to subject property. Structural file consists of tests & calculations directly related to structural integrity or technical components of structure. may contain code modification requests, field density testing reports, field submitted structural tests & structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, correspondence from geotechnical engineer, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations, related correspondence, & similar documents. May also include: alternate methods, post construction certification, structural calculations, quality assurance agreement final report, cement mix, quality assurance agreement contract, drainage certification,	LA OR Disaster + 6 Years, whichever longer	EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-1573a	PERMITS - DESIGN & CONSTRUCTION FILE, RESIDENTIAL, FINAL – NO DISASTER Structural files for any building classified as “Group R” in International Building Code (not including hotels, motels, & high-rise structures), & any structure on or related to subject property. Structural file consists of tests & calculations directly related to structural integrity or technical components of structure. may contain code modification requests, field density testing reports, field submitted structural tests & structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, correspondence from geotechnical engineer, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations, related correspondence, & similar documents. May also include: alternate methods, post construction certification, structural calculations, quality assurance agreement final report, cement mix, quality assurance agreement contract, drainage certification,	Life of Asset	EL		Security Destruction, see notes.
Development Services	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Development Services	2007-1589	PHOTOGRAPHS, AERIAL Color and black and white photographs and negatives documenting topographical and physical features of a specific area at a specific date and time. Information often includes date, location, frame sequence numbers, and other descriptive information. This series is often used for planning and land management purposes.	PERMANENT	EL		
Development Services	2007-203	PLANS, CHECKERS, (RECORDS OF PERSONS REVIEWING PLANS & BLUEPRINTS) Plan review process & may contain copies of maps, plans, blueprints, specifications, application for permit, internal forms, related correspondence, & similar documents.	Calendar Yearend + 3 Years	EL		Security Destruction, see notes.
Development Services	2007-205a	PLANS, COMMERCIAL AND PUBLIC - DISASTER Maps, plans, blueprints, specifications & similar documents submitted with applications for building & construction permits. Includes plans for any structure not classified as “Group R” in the International Building Code, & any structure on or related to the subject property.	Disaster + 6 Years	HC EL		Security Destruction, see notes.
Development Services	2007-205b	PLANS, COMMERCIAL AND PUBLIC – NO DISASTER Maps, plans, blueprints, specifications & similar documents submitted with applications for building & construction permits. Includes plans for any structure not classified as “Group R” in the International Building Code, & any structure on or related to the subject property.	Life of Asset	HC EL		Security Destruction, see notes.
Development Services	2007-206	PLANS, RESIDENTIAL BUILDING Maps, plans, blueprints, specifications & similar documents submitted with applications for building & construction permits. Includes plans for any building classified as “Group R” in the International Building Code (not including hotels, motels, & any high-rise structure), & any structure on or related to the subject property.	Life of Asset	EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-207	PLOT PLANS Scale drawings of property that shows the size & configuration of the property & the size & location of manmade features which currently exist on the property and is usually used when seeking permits to make physical changes to the property	Certificate of Occupancy Issued + 25 Years	EL		Security Destruction, see notes.
Development Services	2007-0067	PROPERTY AND EQUIPMENT, RECORDS AND INVENTORIES Copies of purchase orders, Descriptions of items, Manufacture's model and serial number, Memos/Correspondence, Other related records	Until Superseded + 1 Year	HC EL		
Development Services	2007-0011	PUBLIC HEARING RECORDS Records of hearings conducted as part of regulatory process and/or hearings on proposed rules and changes, and conclusions reached.	PERMANENT	EL		
Development Services	2007-0991	PUBLIC WORKS PROJECT FILES Documents Public Works Projects. Files may contain copies of bid documents, award and endorsements records, applications and permits, contractor's bonds, preconstruction engineering reports, structural design calculations, specifications, plan check files, lab testing reports, utility and land surveys, notice to proceed, weekly status reports, inspector memos and reports, evaluations, construction field meeting reports, progress schedules, change orders/proposals, variances, easement and rights of-way documents, project orders, copies of plans; maps; blueprints; profiles; and as-built drawings, requests for information, guarantees, notice of completion, certificate of occupancy, copies of accounting records, photographs, memos, various forms and reports, related correspondence, and similar documents.	PERMANENT	EL		
Development Services	2007-1256	QUALITY ASSURANCE REVIEW AUDITS & REPORTS Quality control reviews performed by an agency to check the effectiveness of policies and procedures [such as office security, training, safety, personnel, customer relations, emergency and similar procedures. May include: Non Technical Review Forms, Technical Review Forms, Random Staff Planscheck Audits, investigative reports, checklists, copies of documents involved in, staff reviews, copies of policies & procedures, comparison reports, copies of safety manuals, copies of staff training documentation, regular and final reports	Calendar Yearend + 3 Years	EL		Security Destruction, see notes.
Development Services	2007-1470a	REASONABLE ACCOMMODATION RECORDS, EMPLOYEE HIRED Requests for "reasonable accommodation" in the work place. This includes information regarding medical and mental condition, history and work-related restrictions of an employee or applicant as permitted by the Americans with Disabilities Act.	Administratively Useful	HC		Security Destruction, see notes. 29 CFR 1630.14
Development Services	2007-1470b	REASONABLE ACCOMMODATION RECORDS, PERSON NOT HIRED Requests for "reasonable accommodation" in the work place. This includes information regarding medical and mental condition, history and work-related restrictions of an employee or applicant as permitted by the Americans with Disabilities Act.	Administratively Useful	HC		Security Destruction, see notes. 29 CFR 1630.14

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-0109	RECORDINGS OF MEETINGS Recordings of proceedings of regularly scheduled, special, and emergency meetings and may also be used to transcribe, verify and correct minutes of public meetings. Written minutes may be taken from these recordings, transcribed, corrected as needed, and presented to meeting body for approval.	1 Year	EL		
Development Services	2007-0069	RECORDS DESTRUCTION CERTIFICATES Documentation of destruction of records in accordance with approved retention schedules.	3 Years	HC		
Development Services	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Development Services	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Development Services	2007-1344	SCHEDULING RECORDS, COMPUTER RUNS Scheduled computer runs includes running daily reports, request and other successful data runs.	1 Year	EL		
Development Services	2007-1368	SECURITY EVALUATIONS, IT Information concerning computer systems security and protection against unauthorized access, disclosure, or modification of data & protection against loss of data due to security breaches.	Calendar Yearend + 3 Years	HC EL		Security Destruction, see notes.
Development Services	2007-1349	SECURITY RECORDS, COMPUTER SYSTEMS Records used to control or monitor security of system and data. Includes systems event logs, network monitor management tools, intrusion detection logs, firewall logs, auditing logs and other security logs.	Until Superseded + 6 Years	EL		Security Destruction, see notes.
Development Services	2007-1280	SIGNATURE AUTHORIZATIONS FILE Used to authorize, assign authority, and verify approval of various governmental actions.	Expiration + 5 Fiscal Years	HC		
Development Services	2007-1245	SOFTWARE LICENSES Licensure & implementation of computer software applications. May include, but is not limited to, permitted uses, rights & restrictions warrant.	Expiration + 6 Years	EL		
Development Services	2007-1347	SOURCE CODE / PROGRAM LISTINGS Instructions from a computer program code which generates system language used to operate an automated information system. Users log in to an interface which regenerates or translates using an automated system to mainframe or operating system.	Until Superseded + 3 Data Backup Cycles	EL		
Development Services	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Development Services	2007-1005	STUDIES Studies performed by outside consultants or in-house staff. These types of studies apply, but are not limited to, hydrology, environmental impact, flood control, transportation, traffic engineering, feasibility, growth, neighborhood, studies documenting long range forecasts and projections, and similar documents. Also includes Traffic Impact Analysis, Traffic Impact Plans, Queuing Analysis, Pedestrian Analysis, Development Agreement, Technical Review Letters, Drainage Studies, Drainage Plans, LOMR, CLOMR.	PERMANENT	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Development Services	2007-1006	SUBDIVISION FILES Documents that developers meet accepted standards for design & construction of Public Works portion of subdivision development, such as streets, street lights, sidewalks, curbs & gutters, utilities, storm drainage, & fire protection. May include copies of tentative maps, review files, inspection reports, applications for deferral of off-site improvements, copies of surveys, various studies & analysis, off-site data sheets, bond & fee documents, receipts, copies of documents from planning commission & governing body, transmittals, final map, project correspondence, & related documents.	Subdivision Completion + 5 Years, OR Bond Released + 5 Years	EL		Security Destruction, see notes.
Development Services	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Development Services	2007-1281	SUMMONS & SUBPOENAS Documents received by individuals in their official capacity as local government employees, requiring their appearance at a specified place, date and time. Summons and subpoenas are issued by agencies granted this power under law. May include state and federal courts, boards, commissions, offices, etc. Documents contain a statement of authority for summons or subpoena, reasons for required appearance, date, time and place. Documents are signed and dated and may be delivered by mail or by an officer of summoning institution.	Closure + 1 Year	EL		
Development Services	2007-0076	SURVEYS, POLLS, & QUESTIONNAIRES Document public and personnel opinions on various issues, actions, and concerns	Administratively Useful	HC		
Development Services	2007-0174	TEMPORARY POWER SERVICE RECORDS Records documenting the providing of temporary electric power service. May include application for service, fee schedule, receipts, related correspondence, similar documents	Termination + 1 Year	EL		
Development Services	2007-0219	TEMPORARY POWER, REQUESTS FOR Requests for temporary power usually for construction, special event and similar activities.	Calendar Yearend + 1 Year	EL		Requests granted are transferred to Temporary Power Service Records
Development Services	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Development Services	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Development Services	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
District Attorney	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Attorney	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
District Attorney	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
District Attorney	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
District Attorney		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
District Attorney		ATTORNEY BILLINGS, DISCOVERY Billings for copying criminal discovery records to outside counsel. Invoices created by DA Finance Staff using the SAP salary records / Excel; SAP invoice generated; check received by agency and deposited by DA accounts receivable staff. Includes signed discovery request form, monthly account billing, payment receipts, associated documentation (late payments), communication logs.	Audit Clearance + 1 Year	HC EL		
District Attorney		BAD CHECK RECORDS Record of bank and other financial records of Bad Check Unit. Includes bank account records, deposits, receipts	3 Years	HC EL		NRS205.130, NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
District Attorney	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
District Attorney	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
District Attorney	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
District Attorney	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
District Attorney	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Attorney	2007-1393	CASE FILES, CHILD SUPPORT Case files for child support establishment and enforcement. Files are maintained for each non-custodial parent - one for each custodial parent associated with that non-custodial parent and each separate court docket. Includes new case applications, birth certificates, pleadings, orders, medical insurance information, letters, motions and responses, attorney/case manager work product, case history, employment information, investigative/locate information, affidavits, financial / payment records/audits, discovery requests, audio / video / DVD/CD materials, photos, copies of SSN cards/ID information, voluntary statements, correspondence - in & out, out-of-state case information.	3 Years AFTER submission of report to NV Division of Welfare & Supportive Services. See NOTE	HC EL		NOTE: Central office of Support Enforcement, Division of Welfare & Supportive Services is office of record for this series. Security Destruction, see notes.
District Attorney	2007-1400	CASE FILES, CIVIL FORFEITURE AND ASSET SEIZURE (<i>Department Copies. Official copies of filed documents are maintained by Court.</i>) Record of cases involving seizure of assets for civil forfeiture. Includes Police Reports, Attorney Work Product, Legal Pleadings/Notices, Court documents, Correspondence, Case History Notes, Descriptions / pictures of seized property and/or cash, Related documents, SCOPE/NCIC, SSN, Evidence, Criminal	Disposition + 6 Years	HC EL		Security Destruction, see notes.
District Attorney	2007-0155	CASE FILES, CIVIL LITIGATION INVOLVING COUNTY (<i>Department Copies. Official copies of filed documents are maintained by Court.</i>) Cases filed by County Civil Division or Cases brought against County/ County Agencies/Employees/METRO being defended by Civil Division. Civil Division represents all County agencies and Board of County Commissioners, and as otherwise required by law.	Disposition + 6 Years	HC EL		Security Destruction, see notes.
District Attorney	2007-0156	CASE FILES, CIVIL RIGHTS (<i>Department Copies. Official copies of filed documents are maintained by District Court.</i>) Case files maintained in relation to discrimination complaints made against County. Records may include complaint, complainant personal information, reports, exhibits, withdrawal notices, copies of decisions, hearing & meeting records, correspondence & related	Disposition + 6 Years	HC EL		Security Destruction, see notes.
District Attorney	2007-1391	CASE FILES, CRIMINAL – APPEALED (<i>Department Copies. Official copies of filed documents are maintained by District Court, NV Supreme Court or federal court.</i>) Documents criminal cases on appeal. Includes Notice of appeal, applicable case file, pleadings, transcripts, attorney work product, orders, memos, correspondence.	Disposition + 3 Years	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Attorney	2007-1389	CASE FILES, CRIMINAL - DENIED Correspondence between attorney's office & an outside investigative agency (usually police departments) concerning inability to prosecute cases based on a lack of evidence. These documents are usually generated in response to police investigations & consist mainly of correspondence & case descriptions.	Administratively Useful	HC EL		Security Destruction, see notes.
District Attorney	2008-1758	CASE FILES, CRIMINAL - DOMESTIC VIOLENCE (<i>Department Copies. Official copies of filed documents are maintained by District Court.</i>) Record of domestic violence felony cases prosecuted by District Attorney. Includes case submission packet, police reports, evidence, complaint, other pleadings, attorney work product, photos, CD / DVD / tapes, subpoena, investigative records, orders, witness list, SCOPE/NCIC, SSN, correspondence.	Disposition + 7 Years	HC EL		NRS 200.485, NRS 33.018, NRS 11.190 (1)(a), NAC 239.165 (1)(2) Security Destruction, see notes.
District Attorney	2007-1384	CASE FILES, CRIMINAL - HOMICIDE (AND OTHER MAJOR CRIMES) (<i>Department Copies. Official copies of filed documents are maintained by District Court.</i>) Record of homicide and other major crimes prosecuted by District Attorney. Includes Submittal Packet, Police Reports, Complaint, Indictment, Other Pleadings, Evidence, Attorney Work Product, Investigative Reports, Photos, CD/DVD/tapes/transcripts, subpoenas, orders, witness lists, SCOPE/NCIC/other criminal history, SSN, Case History Sheet.	PERMANENT	HC EL		
District Attorney	2007-1498	CASE FILES, CRIMINAL GROSS MISDEMEANOR Record of all gross misdemeanor cases prosecuted by District Attorney's Office. Includes case submittal, police reports, evidence, SCOPE/NCIC, SSN, complaints, information, other pleadings, witness lists, subpoenas, attorney work product, investigation work product, photos, CD/DVD/Tapes.	Disposition + 6 Years	HC EL		Security Destruction, see notes.
District Attorney	2008-1757	CASE FILES, FELONY- DRIVING UNDER THE INFLUENCE (DUI) (<i>Department Copies. Official copies of filed documents are maintained by District Court.</i>) Felony driving under the influence cases prosecuted by District Attorney's office. May contain information pertaining to case number, defendant's name, social security number, date of birth, charge, dates of indictment and arraignment, plea, bond amount, trial date, verdict, and sentence. May also contain copies of police reports, complaints, investigation records, offense reports, witness lists, subpoenas, photographs, attorneys' notes, correspondence, and related documents.	Disposition + 7 Years	HC EL		NRS 484.3792, NRS 11.190 (1)(a), NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Attorney	2008-1753	CASE FILES, FUGITIVES FROM JUSTICE (OTHER JURISDICTIONS) Information on subjects who have outstanding warrants in jurisdictions outside Nevada. Case file may include copies of police reports, copy of warrant, photographs, identification hearing record, copy of extradition request, correspondence and related documents	Disposition + 30 Days	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
District Attorney	2007-1401	CASE FILES, JUVENILE (<i>Department Copies. Official copies of filed documents are maintained by District Court.</i>) Cases in which District Attorney is a party & may include incident reports, copies of law enforcement reports, copies of investigation reports, citations, complaints, referrals, psychological evaluations, juvenile counselor case summaries & recommendations, juvenile social histories, attorney case notes, opinions, court petitions, orders, motions, affidavits, answers, agreements, stipulations, confessions, witness statements, criminal records of the accused, copies of court documents, dispositions, verdicts, correspondence, & other supporting documents relative to case.	Juvenile reaches age of 18 + 6 Years	HC EL		Security Destruction, see notes.
District Attorney	2007-1685	CASE FILES, JUVENILE SEX OFFENDER (<i>Department Copies. Official copies of filed documents are maintained by District Court.</i>) Record of juvenile sex offender case files prosecuted by Juvenile Division. Includes case history, petitions, motions, orders, other pleadings, criminal history, juvenile history, juvenile justice services reports, medical & psychological reports, submittal documents from law enforcement, affidavits, voluntary statements, transcripts from interviews, child protective services records, detention intake documents, UNITY documents, family history information, attorney work product, SCOPE/NCIC	Lifetime of individual (if known) OR Until presumed dead at age 100, whichever sooner, OR 10 Years after it is known offender leaves jurisdiction.	HC EL		Security Destruction, see notes.
District Attorney	2008-1764	CASE FILES, MISDEMEANOR- DRIVING UNDER THE INFLUENCE (DUI) (<i>Department Copies. Official copies of filed documents are maintained by District Court.</i>) Misdemeanor driving under the influence cases prosecuted by District Attorney's office. May contain information pertaining to case number, defendant's name, social security number, date of birth, charge, dates of indictment and arraignment, plea, bond amount, trial date, verdict, and sentence. May also contain copies of police reports, complaints, investigation records, offense reports, witness lists, subpoenas, photographs, attorneys' notes, correspondence, and related	Disposition + 30 Days	HC EL		NRS 484.3792, NRS 11.190 (1)(a), NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Attorney	2007-1394	CHILD SUPPORT REPORTS Reports generated by NOMADS processes to administer and monitor Child Support Enforcement Program. includes case transfer reports, case distribution reports, statistical reports, warrant (check) reports, financial reports, FIDM reports, central registry activity reports, obligation/establishment reports, enforcement reports, health insurance reports	FY + 3 Years OR 3 Years from date report submitted to NV Division of Welfare & Supportive Services. See Note.	HC EL		NOTE: Review for historical value before disposal. Security Destruction, see notes.
District Attorney	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
District Attorney	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere	Expiration + 1 Year	HC		Security Destruction, see notes.
District Attorney	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
District Attorney	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
District Attorney	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
District Attorney	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
District Attorney	2007-1387	CRIMINAL CASE FILES - MISDEMEANORS (EXCEPT DOMESTIC VIOLENCE & DUI) (<i>Department Copies. Official copies of filed documents are maintained by Justice Court.</i>) Record of all misdemeanor cases prosecuted by District Attorney's Office. Includes case submittal, police reports, evidence, SCOPE / NCIC, SSN, complaints, information, other pleadings, witness lists, subpoenas, attorney work product, investigation work product, SCOPE / NCIC, SSN, complaints, information, other pleadings, witness lists, subpoenas, attorney work product, investigation work product,	Disposition + 3 Years	HC EL		Security Destruction, see notes.
District Attorney	2007-1383	CRIMINAL CASES - FELONIES (EXCEPT DOMESTIC VIOLENCE & DUI) (<i>Department Copies. Official copies of filed documents are maintained by District Court.</i>) Record of felony cases prosecuted by District Attorney. Includes submittal packet, police reports, complaint, indictment, other pleadings, evidence, attorney work product, investigative reports, photos, CD / DVD / tapes/transcripts, subpoena, orders, witness list, SCOPE / NCIC, SSN, complaints, information, other pleadings, witness lists, subpoenas, attorney work product, investigation work product,	Disposition + 10 Years	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Attorney	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
District Attorney		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
District Attorney	2008-1754	FRAUDULENT CHECK DIVERSION PROGRAM FILES Contracts or agreements between District Attorney's office and defendants wanting to pay back bad checks. May contain information pertaining to program contract notes, copy of restitution agreements, receipts, admission statement, correspondence, and related documents.	No-issue memo generated + 2 Fiscal Years	HC EL		NRS 205.130 to 205.134, NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2) Security Destruction, see notes.
District Attorney	2007-1402	GRAND JURY RECORDS Grand Jury Transcripts, Reports, Investigative Documents, Affidavits, Witness statements, Evidence/Exhibits, Presentment/Indictment information, Defendant personal information, True bill/no true bill, minutes, Empanelment documents, calendar – District Court & Justice Court.	Report Received + 6 Years	HC EL		Security Destruction, see notes.
District Attorney	2007-0059	GRANT FISCAL RECORDS Documents awarding of funds from federal government, state government, private organizations, private benefactors, and similar sources. Accounting reports, expenditure reports, audit reports, monitoring reports, copies of purchase orders, warrants, warrant registers, vouchers.	Submission of final expenditure report + 3 Fiscal Years OR Granting authority requirement, whichever longer.	HC EL		
District Attorney	2007-0331	INTERN FILES To provide later requested documentation from outside agencies & employers for internship verification. Includes DA Internship form, background waiver, include photo, internship agreement, I-9 Form, drivers license, social security card, final evaluations.	Termination + 3 Years	EL		Security Destruction, see notes.
District Attorney		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
District Attorney	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues.	PERMANENT	HC EL		
District Attorney	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
District Attorney	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Attorney	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
District Attorney	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
District Attorney	2007-0325	RECRUITMENT FILES (<i>Departmental copies. Official Record Copy at Human Resources.</i>) Notifications, letters, certification lists. Employment Offer Letters. Salary schedules.	Administratively Useful	EL		Security Destruction, see notes.
District Attorney	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
District Attorney	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
District Attorney	2007-1403	SEXUAL ASSAULT COMPENSATION BILLING FILES Compensation for victims of sexual assault for medical/psychological treatment; record maintained on each victim who makes application. Includes application, police report, approval letter, bills, record of payment.	Disposition + 3 Years	HC EL		Security Destruction, see notes.
District Attorney	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
District Attorney	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
District Attorney	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
District Attorney	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
District Attorney	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
District Attorney		WORK FILES FOR CONTRACTS/AGREEMENTS Pre-execution reviews of contracts/agreements entered into or awarded by County. Includes Drafts of contracts/agreements, Copies of final contract/agreements, Notes, Copies of Statutes/Case law.	Administratively Useful	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
District Court	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Court	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <i>Periodic</i> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
District Court	2007-1558a	ACTIVITY REPORTS, ANNUAL <i>Annual</i> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
District Court		ADMINISTRATIVE ORDERS FROM SUPREME COURT Issued by Chief Justice	PERMANENT	HC EL		
District Court	SCRS-21	ADMINISTRATOR BOND RECORDS Clerk's record of bonds posted by people appointed administrators of estates.	Expiration + 6 Years			NRS 142.020(2)
District Court	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
District Court		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
District Court	SCRS-07	BAIL BOND REGISTER Register containing information on bail bonds posted with court.	Most recent exoneration or forfeiture + 6 Years			NRS 178.542
District Court	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
District Court	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
District Court	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
District Court	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
District Court	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
District Court	SCRS-09	CASE FILE INDEXES Index and finding aid to various types of case files. Usually links names of parties to case numbers.	PERMANENT	HC EL		
District Court	SCRS-01	CASE FILES, CIVIL All paper items filed with District Court pertaining to a specific case. Folder contains official record of case, and can include printed minutes, supporting documentation, exhibits, etc.	PERMANENT	HC EL		NRS 239.110
District Court	SCRS-01	CASE FILES, CRIMINAL All paper items filed with District Court pertaining to a specific case. Folder contains official record of case, and can include printed minutes, supporting documentation, exhibits, search warrant, pin register (wiretap), etc.	PERMANENT	HC EL MI		NRS 239.110

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Court	SCRS-01	CASE FILES, FAMILY MATTERS All paper items filed with District Court pertaining to a specific case. Folder contains official record of case, and can include printed minutes, supporting documentation, exhibits, etc.	PERMANENT	HC EL		NRS 239.110
District Court	SCRS-01	CASE FILES, PROBATE All paper items filed with District Court pertaining to a specific case. Folder contains official record of case, and can include printed minutes, supporting documentation, exhibits, wills, etc.	PERMANENT	HC EL		NRS 239.110
District Court	2007-0055	COMPLAINTS General complaints regarding Court or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
District Court	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by Court, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
District Court	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
District Court	2007-1230	CONVENIENCE COPIES Board minutes, ordinances, resolutions, purchase orders, requisitions and other copies where official record is maintained by another department .	Administratively Useful	HC		
District Court	SCRS-15	CORONER'S INQUESTS Transcripts of testimony given at coroner's inquests.	PERMANENT			NRS 259.120
District Court	2007-0055	CORRESPONDENCE Correspondence with court concerning suggestions or requesting advice.	Resolution + 3 Years	HC EL		NRS 239.110
District Court	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Court is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
District Court	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
District Court	SCRS-11	COURT CALENDARS Day by day listing of cases before the court.	90 Days			NRS 178.592
District Court	SCRS-17	COVER SHEET, CIVIL CASES Information sheet on types of civil cases filed with court.	Until information transferred to Administrative Office of Courts	HC EL MI		NRS 3.275
District Court	SCRS-03	DOCKET, JUDGEMENT Register containing information on monetary judgments and judgment creditors and debtors.	PERMANENT	HC EL MI		NRS 17.150
District Court	SCRS-02	DOCKET, REGISTER OF ACTIONS Register listing court actions and papers filed for court cases.	PERMANENT	HC EL		NRS 3.280

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District Court	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
District Court		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
District Court	2007-0712	EQUIPMENT INSPECTION AND MAINTENANCE RECORDS Maintenance, service, and repair of equipment/instruments used to conduct procedures.	Life of Asset	HC EL		
District Court	SCRS-06	FEE BOOK/REGISTER Clerk's fee book listing fees collected, for what purpose, with dates and amounts listed.	Audit Clearance	HC MI		NRS 19.080
District Court	SCRS-27-29	FINANCE TRUST ACCOUNT RECORDS Documents and receipts related to transaction to/from Trust Account.	Audit Clearance	HC EL		NRS 354.624
District Court	2007-0440	FIXED ASSETS AND INVENTORY RECORDS Document and administer process of updating and reconciling an inventory of fixed assets in department's possession. May contain fixed asset inventories, copies of purchase orders and other fiscal records, monthly or annual property reports, copies of other property records, memos, correspondence, inventory journals and related documents.	Until Superseded + 5 Years	HC EL		NRS 239.110
District Court	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	Expiration + 3 Fiscal Years, OR Retention period required by grantor, whichever longer	HC EL		NRS 239.110
District Court	SCRS-22	GUARDIANSHIP BONDS Bond posted by a guardian for faithful performance of the guardianship.	Discharge of Guardianship + 3 Years			NRS 159.069, NRS 159.071
District Court	SCRS-13	INDEXES Various types of indexes not otherwise listed on this retention schedule.	Same retention period as records indexed.			
District Court	SCRS-30	JURY LISTS List of persons eligible for jury duty from which juries are drawn.	Until Superseded			NRS 6.050(2)
District Court		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Court	2007-0034	LEGISLATIVE RELATIONS RECORDS Used to review and/or plan a local government's position on the impact of proposed and approved legislative enactments. This series may include bill review and tracking, opinion requests, copies of pending or approved legislation, notes, memorandum, related correspondence and similar documentation. Information in this series may also be used in lobbying efforts and recommending legislative changes.	Administratively Useful	EL		
District Court	2007-1727	LOGS, COMPUTER ACCESS Information relating to employee name, date & time of access. Data also indicates employee title and location in department. Any network connectivity and a journal used when technical staff accesses computer.	Calendar Yearend + 3 Years	EL		Security Destruction, see notes.
District Court	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
District Court	SCRS-	MEETING RECORDS, JUDGES	PERMANENT			
District Court	2007-1359	MICROFILM QUALITY CONTROL RECORDS Documents that microfilm produced by or for governmental entities is in compliance with applicable specifications. Records may include microfilmed records lists, microfilm reel indexes, related correspondence, & similar documents	PERMANENT	HC		NRS 239.051(2)
District Court	SCRS 12, 14	NATURALIZATION RECORDS Various types of naturalization records, such as: petitions, applications, declaration of intention, reports to the Immigration and Naturalization Service, etc. Includes index to naturalizations	PERMANENT			
District Court	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
District Court	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
District Court	SCRS-23	PAYROLL RECORDS, CRIMINAL WITNESS Expense information for travel and time costs of witnesses in criminal cases.	Audit Clearance			NRS 50.225, NRS 354.624
District Court	SCRS-24	PAYROLL RECORDS, JURY Record of money owed to people for jury duty.	Audit Clearance			NRS 60.160, NRS 354.624
District Court	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
District Court	2007-0057	POLICIES & PROCEDURES, COURT Official record of policies and procedures of court.	Until Superseded + 6 Years, OR Expiration + 6 Years	HC EL		NRS 11.190 (1)(b)
District Court		PRESENTATIONS Presentations given by Court personnel.	Administratively Useful	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Court	SCRS-25	RECEIPTS Copies of receipts given for fines and fees collected.	Audit Clearance			
District Court	SCRS-18a	RECORD OF PROCEEDINGS, CIVIL Sound recording or court reporter's shorthand record of court proceedings.	Until transcript prepared; OR Case closed AND appeal period expired			NRS 34.800 Security Destruction, see notes.
District Court	SCRS-18b	RECORD OF PROCEEDINGS, CRIMINAL Sound recording or court reporter's shorthand record of court proceedings.	Until transcript prepared; OR Case closed + 6 Years			NRS 34.800 Security Destruction, see notes.
District Court	2007-0069	RECORDS DESTRUCTION CERTIFICATES Documentation of destruction of records after microfilming in accordance with approved retention schedules	3 Years	HC		NRS 239.110
District Court	2007-0073	RECORDS RETENTION SCHEDULE Listing of department records and mandated retention periods.	Until Superseded + 6 Years	HC EL		
District Court	2007-0325a	RECRUITMENT FILES, HIRED Medical, pre-employment, physical exam, backgrounds, medical separation, bilingual testing, misc dept correspondence, fingerprinting/ criminal correspondence, advertising correspondence, recruitment archive list, lawsuits for recruitments, merit personnel updates, contracts expired- union, training correspondence, division budget information/ correspondence, scopes, special project documentation, disciplinary actions, applications and resumes, EEO reports, eligibility list, employee licenses/ certificates, employment examination records, inactive recruitment files, promotion records, search committee files	Transfer to Employee Master File	HC		
District Court	2007-0325b	RECRUITMENT FILES, NOT HIRED May include any/all of the following: medical, pre-employment, physical exam, backgrounds, medical separation, bilingual testing, misc. dept correspondence, fingerprinting /criminal correspondence, advertising correspondence, recruitment archive list, lawsuits for recruitments, merit personnel updates, contracts expired- union, training correspondence, division budget information/ correspondence, scopes, special project documentation, disciplinary actions, applications and resumes, EEO reports, eligibility list, employee licenses/ certificates, employment examination records, search	Active + 3 Years	HC		Security Destruction, see notes.
District Court	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
District Court	SCRS-16	ROLL OF ATTORNEYS List of attorneys and counselors of court.	Until Superseded	HC EL		NV Supreme Court Rule 41
District Court	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
District Court	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
District Court	2007-0368	SUPPLY ORDER RECORDS May contain supply requests, supply inventories, packing slips, receiving reports, copies of delivery receipts, copies of requisitions, requisition log, copies of purchase orders, inventory control forms, sign-out sheets, correspondence & related documents.	Audit Clearance + 1 Year	HC EL		
District Court	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
District Court	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
District Court	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
District Court		USJR REPORTS AND STATISTICS Reports and statistics required to be reported to Nevada Supreme Court	PERMANENT	HC EL		
District Court	SCRS-19, 20	WILLS Last will and testament received by clerk before and after death of testator.	PERMANENT	HC		NRS 136.050
Elections	2007-0526	ABSENTEE VOTER RECORDS Documents casting & accounting of absentee ballots. Includes absentee ballot request, absentee roster, absentee voter information, records date ballot issued, received, return ballot envelope, precinct, ballot style, party, absentee status, mailing address.	Election Close + 22 Months	HC EL		Security Destruction, see notes.
Elections	2007-0542	ABSTRACT OF VOTES CAST Summary report of election results submitted to the Secretary of State.	PERMANENT	HC EL		Record also on file at Nevada Secretary of State.
Elections	2007-1712b	ACCIDENT REPORTS NOT RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	3 Years	HC		Security Destruction, see notes.
Elections	2007-1712a	ACCIDENT REPORTS RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	Settlement + 3 Years	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Elections	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Elections	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Elections	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Elections	2007-1346	APPLICATION DEVELOPMENT PROJECT FILES All system design, development, implementation and planning documentation for voting/election software.	Completion + 3 Years	HC EL		Security Destruction, see notes.
Elections	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Elections		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Elections	2007-0529	BALLOTS AND BALLOT RECEIPTS Official list showing all candidates, ballot issues & ballot questions upon which an eligible elector is entitled to vote at an election.	Election Close + 22 Months	HC		
Elections	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Elections	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Elections	2007-0762	BILLINGS FOR SERVICE Billing and collection of monies for services provided.	Audit Clearance	HC EL		
Elections	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Elections	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Elections	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Elections	2007-1710	BURGLARY AND/OR VANDALISM, REPORTS OF Burglary and/or vandalism of local government equipment and/or property & may contain, but is not limited to, police reports, damage reports, witness statements, insurance information, related correspondence & similar documents.	Calendar Yearend + 3 Years	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Elections	2007-1329	CATALOGED LIST Computer listings that show all tapes, cartridges, and/or disks holding data and/or software files for the agency -- including security backup. Information contained on the list includes the name of the tape, cartridge or disk, what files are on it & where it is located.	Administratively Useful	EL		
Elections	2007-0531	CHALLENGE LISTS Form furnished election board officers to be used in making a record of all challenges.	Election Close + 22 Months	HC		
Elections	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Elections	2007-1540	COMPLAINTS, ELECTION Complaints alleging violations of voting rights in accordance with state & federal law. Includes written complaint, complaint contact information form (listing the name, address, phone number of complainant, subject, review notes, copies of financial documents, copies of medical records, copies of off devices.	Election Close + 22 Months	HC		Security Destruction, see notes.
Elections	2007-1701	COMPUTER PROGRAMS, CERTIFIED VOTING SYSTEMS Certified copies of computer programs submitted to Secretary of State. Before any election where a mechanical voting system is to be used county or city clerk prepares a computer program on cards, tape or other material suitable for use with computer or counting device to be employed for counting votes cast.	Election Close + 22 Months	HC EL		NRS 293B.130
Elections	2007-0054	CONTRACTS & AGREEMENTS (Department Copies) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Elections	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Elections	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Elections	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Elections	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Elections	2007-1345	DATA DOCUMENTATION Records created during development or modification to automated systems, & are necessary to access, retrieve, manipulate & interpret data. May include, but is not limited to, information on data element dictionary, file layout, code book or table, & other records that explain the meaning, purpose, structure, logical relationships, & origin of data elements (sometimes known as metadata)	Life of Asset + 3 Years	HC EL		
Elections	2007-0533	DECLARATIONS OF CANDIDACY Candidate's intention to either run for office or withdraw from an election. May contain, but is not limited to, date of declaration, name of candidate, candidate filing forms, fair campaign practices acknowledgement form, campaign contribution & expense forms, candidate withdrawal forms, written challenge forms, related correspondence, & similar	Election Close + 22 Months	HC		
Elections	2007-1328	ELECTION AUDIT TRAIL FILES Audit logs that are kept for the WinEDS Tabulation system. Database is created by SQL Server that records all transactions against election databases.	3 Backup Cycles	EL		
Elections	2007-1542	ELECTION COST REIMBURSEMENT RECORDS Reimbursements to counties for costs related to cardstock for ballots & publication of constitutional amendments & statewide measures.	Election Close + 22 Months	HC		NAC 293.200 & NRS 293B.210, NRS 293.253 & NAC 293.071
Elections	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Elections		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Elections	2007-1531	FREIGHT RECORDS Receipts of miscellaneous equipment and supplies received on order by department.	Fiscal Yearend + 3 Years	HC		Security Destruction, see notes.
Elections	2007-0033	HISTORY FILES Records that document history of an agency, department, division or other governmental body, and is usually used as an informational source for governmental entity & public.	PERMANENT	HC EL		
Elections	2007-1279	INCIDENT REPORTS Security events.	Calendar Yearend + 5 Years	HC EL		Security Destruction, see notes.
Elections	2007-1720	INVENTORY RECORDS, IT ASSETS IT inventories that are created & maintained in accordance with policies, standards & procedures. Includes general information on hardware and user, user-defined fields, installed files, file information, asset information, hardware, installed programs, software titles	Until Superseded + 3 Years	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Elections	2007-0078	KEY AND KEYCARD RECORDS Documents issuance of keycards to agency staff to enable access to agency buildings and sites. Records may include but are not limited to key inventories, key issue forms, key replacement records, and key disposal records.	Active + 3 Years	HC EL		Security Destruction, see notes.
Elections	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Elections	2007-0534	LISTS OF OFFICIAL CANDIDATES Lists official candidates for an election & includes name of candidate, party affiliation (if applicable), office sought, term of office, & similar data.	PERMANENT	HC EL		
Elections	2007-1008	LOG, TELEPHONE Listing or log of telephone calls received on Department Voter lines & similar telephone activity reports.	90 Days	HC EL		
Elections	2007-1727	LOGS, COMPUTER ACCESS Information relating to employee name, date & time of access. Data also indicates employee title and location in department. Any network connectivity and a journal used when technical staff accesses computer.	Calendar Yearend + 3 Years	EL		Security Destruction, see notes.
Elections	2007-0537	MAPS, PRECINCT Documents the establishment, abolishment, alteration & consolidation of election precincts.	Until Superseded + 4 Years	HC EL		NRS 293.205
Elections	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
Elections	2007-1359	MICROFILM QUALITY CONTROL RECORDS Documents that microfilm produced by or for governmental entities complies with applicable specifications. Records in may include but are not limited to microfilmed records lists, microfilm reel indexes, related correspondence, & similar documents.	PERMANENT	HC		NRS 239.051(2)
Elections	2007-1301	MISSION STATEMENT Mission statement of an agency & its divisions, sections, offices & branches listing goals & objectives of agency.	Until Superseded	HC EL		
Elections	2007-0541	OFFICIAL ELECTION RETURNS Documents total number of votes cast & vote percentage per candidate (or per proposition or question) by precinct/county.	PERMANENT	HC		
Elections	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Elections	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Elections	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Elections	2007-1545	PLANS, BALLOT SECURITY Submittal by county & city clerks, & approval by Secretary of State, of plans for security of ballots.	Election Close + 22 Months	HC EL		NRS 293.3594 & NAC 293B.040 Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Elections	2007-1370	PLANS, IT CONTINGENCY contingency plan for Tabulation environment in event of a disaster and/or relocation of election results processing off-site	Until Superseded + 3 Years	HC EL		Security Destruction, see notes.
Elections	2007-1543	PLANS, PROCEDURE FOR ELECTION OBSERVERS Submittal by county clerks, & approval by Secretary of State, of plans for accommodation of observers of election proceedings.	Election Close + 22 Months	HC EL		NRS 293B.354
Elections	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC EL		
Elections	2007-0039	PROPOSED LEGISLATION RECORDS Records created for purpose of proposing legislation. May contain, but is not limited to, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, correspondence, & other information documenting the proposed legislation.	Administratively Useful	HC EL		
Elections	2007-1240	PUBLICATIONS Newsletters, pamphlets, annual or statistical reports, studies, leaflets and similar material produced by or for county or any of its departments, subdivisions, or programs for distribution to public	See NOTE	HC		NRS 378.150, NRS 378.150 - 378.210, NOTE: Send 6 copies of each to Nevada State Library and Archives - State Publications
Elections	2007-1559b	PUBLICITY FILES AND PRESS RELEASES, <u>NOT HISTORICAL</u> Publicity files/press releases issued by coroner. This series may contain originals or copies of press releases, publicity files, audio and/or video recordings, informational flyers, notes, charts, graphs, correspondence, and related documents.	Administratively Useful	HC EL		
Elections	2007-0297	RECORDS AND REPORTS OF SAFETY COMMITTEES Safety committees established to promote a safe work environment for employees. Safety plans, safety & health training records, safety committee meeting records, vulnerability assessments, Inspection Reports, staff reports, attendance reports	Fiscal Yearend + 3 Years	HC EL		
Elections	2007-0069	RECORDS DESTRUCTION CERTIFICATES Documentation of destruction of records in accordance with approved retention schedules.	3 Years	HC		
Elections	2007-0544	RECORDS OF ELECTION BOARD OFFICERS Documents actions of election board officers in accordance with state law & regulation	Election Close + 22 Months	EL		
Elections	2007-0070	RECORDS OF MAILINGS Documentation of mailing dates, content of mailings, and addressees for mailing sent by local government for various purposes	2 Years	HC		NVRA (National Voter Registration Act of 1993) requires us to keep mailings and records of mailings for 2 years.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Elections	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Elections	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Elections	2007-0547	ROSTERS OF REGISTERED VOTERS AND POLL BOOKS Lists of eligible registered voters in precinct for a particular election, & is used to record voting history of voters who vote in election.	Election Close + 22 Months	HC EL		
Elections	2007-1544	SAMPLE BALLOTS Sample ballots for primary and general elections.	Election Close + 22 Months	HC		
Elections	2007-1245	SOFTWARE LICENSES Licensure & implementation of computer software programs by local government. May include permitted uses, rights & restrictions, warranty information, liability statement, & laws governing product.	Expiration + 6 Years	HC		
Elections	2007-0041a	SPECIAL EVENT RECORDS, HISTORICAL EVENT Vendors, participants, co-sponsors' information and participation records and activities.	PERMANENT	HC EL		
Elections	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Elections	2007-0047	STRATEGIC PLAN FILES Develop and maintain the department's mission, goals and performance measures. Activity Reports, Performance Measures.	Until Superseded + 3 Years	EL		Security Destruction, see notes.
Elections	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Elections	2007-1281	SUMMONS & SUBPOENAS Documents received by individuals in their official capacity as local government employees, requiring their appearance at a specified place, date and time. Summons and subpoenas are issued by agencies granted this power under law. May include state and federal courts, boards, commissions, offices, etc. Documents contain a statement of authority for summons or subpoena, reasons for required appearance, date, time and place. Documents are signed and dated and may be delivered by mail or by an officer of summoning institution.	Closure + 1 Year	HC		Security Destruction, see notes.
Elections	2007-1254	TECHNICAL REFERENCE FILES Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are used for reference and information but are not public records.	Administratively Useful	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Elections	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Elections	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Elections	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Elections	2007-0072	UNDELIVERABLE MAILING RECORDS Mailings (excluding Mail Ballots) sent by local government that were returned as undeliverable.	1 Year	HC EL		
Elections	2007-0079	VEHICLE MAINTENANCE & REPAIR RECORDS Documents maintenance & repairs of owned or leased vehicles. Records used to provide maintenance & repair history.	Life of Asset + 3 Years	HC		
Elections	2007-0528	VOTER REGISTRATION RECORDS Registration or cancellation of registration of eligible voters. Includes application to register to vote & cancellations, voter's personal information, registration affidavits & cancellations, felony notifications, cancellation notices from county clerk, re-registration records, voter's history of election voted in and how ballot was cast, voter history of changes, voter identification number.	Active + 3 Years	HC EL		42 U.S.C. NRS 293.537, NRS 293.5002, NRS 293.530, NRS 293.503, NRS 293.675, NRS 293C.525, NRS 293C.535, NAC 293.165(1) Security Destruction, see notes.
Elections	2007-0080	WARRANTIES Manufacturer's/vendor's warranties to replace and/or repair defective equipment.	Expiration + 1 Year	HC		
Family Services	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Family Services	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Family Services	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Family Services	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Family Services		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services	2007-0304	BACKGROUND CHECK RECORDS, CPS PLACEMENT May include fingerprint cards, CANS, SCOPE, CTRACK, LRMS, NCJIS, NCIC, police reports, court dispositions, emails & similar documents, fingerprinting/criminal correspondence, CJIS/NCJIS log, UNITY documents, facsimile	Completion + 3 Years	EL		Security Destruction, see notes.
Family Services		BACKGROUND CHECK RECORDS, LICENSING (ADOPTION, ICPC, FOSTER CARE, GROUP HOME) May include fingerprint cards, CANS, SCOPE, CTRACK, LRMS, NCJIS, NCIC, police reports, court dispositions, emails & similar documents, fingerprinting/criminal correspondence, CJIS/NCJIS log, UNITY documents, facsimile	Expiration + 16 years	EL		Security Destruction, see notes.
Family Services		BACKGROUND CHECK RECORDS, OTHER May include fingerprint cards, CANS, SCOPE, CTRACK, LRMS, NCJIS, NCIC, police reports, court dispositions, emails & similar documents, fingerprinting/criminal correspondence, CJIS/NCJIS log, UNITY documents, facsimile	Completion + 16 Years	EL		Security Destruction, see notes.
Family Services	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Family Services	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Family Services	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Family Services	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Family Services	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Family Services	2007-1195	CASE FILES, ADOPTION Document and administer the activities concerning child custody cases involving adoption proceedings. Includes documentation on child protective services, law enforcement, child welfare services, court proceedings, adoption services, and related correspondence.	After receipt of adoption decree and Verification of file content, transfer to Nevada DCES	HC EL MI		NRS Chapter 127 and NAC Chapter 127
Family Services		CASE FILES, CIVIL Civil cases to which county is a party. May contain affidavits / applications, motions, orders / stipulations, judgments, complaints / confessions, satisfactions, writs, answers, petition for sealing, memo of cost, attorney fees / notifications, remands, appeals/appeal bonds, court appearances/hearings, bankruptcy notifications, transfers, court minutes, counterclaims, certification in support, various notices/ stipulations. Official copy maintained by District Attorney	Administratively Useful	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services		CASE FILES, FAMILY AND YOUTH SUPPORT PROGRAM Documents administration and care given through family homemaker and youth support programs. Includes case narrative, homemaker referral forms, service data and statistics sheets, social services application copies, case reporting and home visitation forms, notes and memos, related correspondence and similar documents.	Closure + 3 Years	HC EL		NRS 432B.290, NRS 11.190(3)(d), NAC 239.165 (1)(2). HIPAA information requires Security Destruction, see notes.
Family Services	2007-1430b	CASE FILES, NEGLECTED OR ABUSED CHILD - CLINICAL ASSESSMENT – <u>NO SEXUAL ABUSE</u> Documentation regarding clinical services and/or assessments provided to abused or neglected children who may receive counseling services or therapy, or are considered requiring a higher level of care placement. Includes identifying data on child, source of referral, reason for referral, family assessment, reporting forms (including alleged perpetrator and possible witnesses), notification of parent documents, summaries of contacts, case plan, criteria for closure and documentation of services provided, psychological, psychiatric and developmental reports, copies of school records, copies of mental health treatment records and offense specific reports, placement request and disclosure, placement movement form, placement efforts form, and similar documents.	Closure + 5 Years	HC EL		NRS 11.215, NRS 629.051, NRS 432B.280, NRS 432B.290, NAC 239.165 (1)(2) HIPAA information requires Security Destruction, see notes.
Family Services	2007-1430a	CASE FILES, NEGLECTED OR ABUSED CHILD - CLINICAL ASSESSMENT – <u>SEXUAL ABUSE</u> Documentation regarding clinical services and/or assessments provided to abused or neglected children who may receive counseling services or therapy, or are considered requiring a higher level of care placement. Includes identifying data on child, source of referral, reason for referral, family assessment, reporting forms (including alleged perpetrator and possible witnesses), notification of parent documents, summaries of contacts, case plan, criteria for closure and documentation of services provided, psychological, psychiatric and developmental reports, copies of school records, copies of mental health treatment records and offense specific reports, placement request and disclosure, placement movement form, placement efforts form, and similar documents.	Eighteenth Birthday of Child + 10 Years	HC EL		NRS 11.215, NRS 629.051, NRS 432B.280, NRS 432B.290, NAC 239.165 (1)(2) HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services	2007-1716b	CASE FILES, NEGLECTED OR ABUSED CHILD - MEDICAL ASSESSMENT – <u>NO SEXUAL ABUSE</u> Continuous documentation in providing services for neglected or abused children residing on the Child Haven Campus in the following cottages: Agassi, Alchu, Nork, Howard, Bigelow & MGM/Mirage. Includes initial medical screening, nursing notes, physician's orders, monthly statistical report, promise to pay letters (pharmacies), information sheet for hospital records, placement criteria for medically fragile children, neonatal drug-withdrawal scoring system, daily sick call record, medical follow up at time of release, medical history for foster placement, orientation of registered nurse, medical sign off sheet, staff instructions (special medical issues), infant monitor event log, SVN breathing treatments, diabetic medical information, preparation of baby formula, seizure information and activity record	Closure + 5 Years	HC EL		NRS: 11.215, NRS629.051, NRS 432B.280, NRS 239.165 (1)(2) HIPAA information requires Security Destruction, see notes.
Family Services	2007-1716a	CASE FILES, NEGLECTED OR ABUSED CHILD - MEDICAL ASSESSMENT – <u>SEXUAL ABUSE</u> Continuous documentation in providing services for neglected or abused children residing on the Child Haven Campus in the following cottages: Agassi, Alchu, Nork, Howard, Bigelow & MGM/Mirage. Includes initial medical screening, nursing notes, physician's orders, monthly statistical report, promise to pay letters (pharmacies), information sheet for hospital records, placement criteria for medically fragile children, neonatal drug-withdrawal scoring system, daily sick call record, medical follow up at time of release, medical history for foster placement, orientation of registered nurse, medical sign off sheet, staff instructions (special medical issues), infant monitor event log, SVN breathing treatments, diabetic medical information, preparation of baby formula, seizure information and activity record	Eighteenth Birthday of Child + 10 Years	HC EL		NRS: 11.215, NRS629.051, NRS 432B.280, NRS 239.165 (1)(2) HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services	2007-1636	CASE FILES, NEGLECTED, ABUSED OR DELINQUENT CHILD - <u>CHILD FATALITY</u> Documents case where a child died. These files contain documentation in providing services, including protective custody, for neglected and abused children. Includes identifying data on child, summaries of contacts, source of referral, case plan, reason for referral, criteria for closure, social work activity & family assessment, documentation of services provided, Complaint & other court documents, Psychological psychiatric & developmental reports, referral, copies of school records, reporting forms (including alleged perpetrator & possible witnesses), copies of health care provider records, copies of court records, copies of mental health records & offensive specific reports, investigation documents, Files may also contain a copy of death certificate, notification of parent documents, other associated documents.	Closure + 50 Years	HC EL MI		NRS 432B.280 to NRS 432B.290, NAC 239.165 (1)(2)
Family Services	2008-1751	CASE FILES, NEGLECTED, ABUSED OR DELINQUENT CHILD - FAMILY PRESERVATION, <u>EVIDENCE OF SEXUAL ABUSE</u> Documentation in providing services for neglected, abused or delinquent children. The files show identifying data on child, source of referral, reason for referral, social work activity and family assessment. Includes application for services, Intake Authorization (Informed Consent, Release, HIPPA Form), referral, records/evaluations, DFS dispositional reports, data (NCFAS A-E, NCFAS), chart checklist, progress notes/client contact, NCFAS Family Assessment, Genogram, Case staffing forms, optional assessment tools, timeline, sequence, and Ecomap, treatment plan (NCFAS), discharge Forms/reports, NCFAS Treatment Summary, client services logs, case closure forms, and	Closure + 50 years	HC EL		NRS 432B.280 to NRS 432B.290, NRS 11.215, NAC 239.165 (1)(2) HIPAA information requires Security Destruction, see notes.
Family Services	2008-1750	CASE FILES, NEGLECTED, ABUSED OR DELINQUENT CHILD - FAMILY PRESERVATION, <u>NO EVIDENCE OF SEXUAL ABUSE</u> Documentation in providing services for neglected, abused or delinquent children. The files show identifying data on child, source of referral, reason for referral, social work activity and family assessment. Includes application for services, Intake Authorization (Informed Consent, Release, HIPPA Form), referral, records/evaluations, DFS dispositional reports, data (NCFAS A-E, NCFAS), chart checklist, progress notes/client contact, NCFAS Family Assessment, Genogram, Case staffing forms, optional assessment tools, timeline, sequence, and Ecomap, treatment plan (NCFAS), discharge Forms/reports, NCFAS Treatment Summary, client services logs, case closure forms, and similar documents.	Closure + 3 Years	HC EL		NRS 432B.280 to NRS 432B.290, NRS 11.215, NAC 239.165 (1)(2) HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services	2007-1431	CASE FILES, NEGLECTED, ABUSED OR DELINQUENT CHILD - <u>NOT PLACED IN PROTECTIVE CUSTODY AND NOT SEXUALLY ABUSED</u> Documents and administers case files which have determined that a waiver of a full investigation is required (NRS 432B.320; the child is not in need of protection (NRS 432B.370); the child needs protection but is not in immediate danger (NRS 432B.240); or the child has been placed voluntarily by a parent or guardian (NRS 432B.360). Includes identifying data on child, source of referral, reason for referral, social work activity, family assessment, initial complaint, reporting forms (including alleged perpetrator and possible witnesses), clinical assessments, investigation documents, copies of court records, notification of parent documents, summaries of contacts, case plan, criteria for closure, documentation of services provided, history files.	Closure + 3 Years	HC EL		NRS 432B.280 to NRS 432B.290, NRS 11.215, NAC 239.165 (1)(2) HIPAA information requires Security Destruction, see notes.
Family Services	2007-1433	CASE FILES, NEGLECTED, ABUSED OR DELINQUENT CHILD - <u>SEXUAL ABUSE CASES AND/OR CASES THAT HAVE BEEN REFERRED TO A DISTRICT ATTORNEY FOR CRIMINAL PROSECUTION</u> Case files referred to a District Attorney for criminal prosecution (NRS 432B.380) or documents sexual abuse (NRS 11.215). Files contain current & continuous documentation in providing services, including protective custody, for neglected & abused children. May include, but is not limited to, identifying data on child, source of referral, reason for referral, social work activity, family assessment, initial complaint, referrals, reporting forms (including alleged perpetrator & possible witnesses), clinical assessments, temporary Medicaid certificates, investigation documents, copies of court records, notification of parent documents, summaries of contacts, case plan, criteria for closure, documentation of services provided & history files.	Closure + 50 Years	HC EL		HIPAA information requires Security Destruction, see notes.
Family Services	2007-1432	CASE RECORD: NEGLECTED, ABUSED OR DELINQUENT CHILD - <u>PLACED IN PROTECTIVE CUSTODY AND NOT SEXUALLY ABUSED</u> Case files where child has been placed in protective custody (NRS 432B.390). These files contain current & continuous documentation in providing services, including protective custody, for neglected, abused or delinquent children. May include, but is not limited to, identifying data on child, source of referral, reason for referral, social work activity, family assessment., initial complaint, referrals, reporting forms (including alleged perpetrator & possible witnesses), clinical assessments, temporary Medicaid certificates, investigation documents, copies of court records, notification of parent documents, summaries of contacts, case plan, criteria for closure, documentation of services provided & history	Closure + 6 Years	HC EL		HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services		CHILD FATALITY DATABASE Data collection regarding child deaths to develop an understanding of causes and incidence of those deaths, and to track auditing and compliance deadlines.	Until Superseded	EL		
Family Services		CLOSED INVESTIGATION SUMMARIES Summary of all closed allegations regarding subject minor. Document will also include child's name, DOB, requestor information, address of legal guardian or requestor information, investigation open and closing dates, disposition, and caseworker's name. A release form must be filled out and signed. Release form contains method of release, address, contact numbers, name of child(ren) in question, AKA, DOB, and date of birth.	3 Months	HC		Security Destruction, see notes.
Family Services	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Family Services	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	EL		Security Destruction, see notes.
Family Services	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	EL		
Family Services	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Family Services	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Family Services		COURT CALENDARS: PC 72HR, PC REVIEW, AND COURT DOCKETS Verify, retrieve, and reference court hearing dates, notes, disposition, and future hearing dates. Court clerks provide a copy of relevant court calendars so that data may be entered into UNITY by Records Unit. Official record copies maintained by courts.	90 Days	HC		
Family Services	2007-1714	ELIGIBILITY FILES, FOSTER CARE & CHILD CARE Administers, documents and controls the determination of eligibility and payment of benefits of Foster Care and Child Care programs. Includes eligibility documentation and forms, budget worksheets, approval notices, applications, referrals, related correspondence, and similar documents.	3 Fiscal Years	HC EL		45 CFR 74.53, NRS 11.190(3)(d), NRS 422.290, NAC 239.165(1)(2) HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services		EMPLOYEE DISCIPLINARY ACTIONS Files are created for each DFS employee who receives discipline; i.e., documented oral warning, admonishment, written reprimand, final written warning, to document disciplinary actions issued. Includes discipline document, investigative records/findings, employee's reply, witness statements, meetings, notes, incident reports .	Pursuant to SEIU labor agreement	HC EL		Security Destruction, see notes.
Family Services	2007-0837	EMPLOYEE LICENSES / CERTIFICATES Licenses/certificates issued to employees by professional, educational, regulatory, or other agencies. These types of licenses/certificates are normally occupation specific (EMS, Peace Officer, Firefighter, Social Worker, Nurses, Engineers & similar professions) & are usually required as a condition of employment.	Expiration + 3 Years	HC EL		Security Destruction, see notes.
Family Services	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Family Services		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Family Services	2007-0310	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Regulate the granting and monitoring of family leave under the Federal Family and Medical Leave Act of 1993 and the State Parental Leave Without Pay Bill. Includes Leave Requests, Medical Certifications, Notice, Correspondence .	Fiscal Yearend + 3 Years	HC EL		29 CFR 1630.14 HIPAA information requires Security Destruction, see notes.
Family Services		FILE INVENTORY & RECORDS MANAGEMENT DATABASE Access database used to track files and records received and/or duplicated by Quality Assurance and Improvement Unit as a result of litigation and/or child fatality requests for information and documentation. Information includes, category, litigation name, UNITY case name and number, identification of relevant child, file name, file type, source person, source unit, date file was received, whether a duplicate was requested and by whom, date duplicate provided, and relevant notes.	Until Superseded	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services		FOSTER CARE RECRUITMENT AND TRAINING RECORDS Documents recruitment efforts for identifying eligible foster parents, as well as, data compiled regarding inquiries received, recruitment fairs and activities in community, and foster care training activities, materials and information. Includes orientation schedule, training logs, advertisements and announcements, applicant lists, inquiry packet, adoption recruitment information, Parenting Project training schedule and contact information, foster care rates, licensing clinic information, pre-licensing registration form, foster care and kinship information, 6 step process, resources, frequently asked questions, and other relevant documents.	3 Calendar Years	HC EL		Security Destruction, see notes. HIPAA information requires Security Destruction, see notes. NRS 11.190 (3)(d)
Family Services	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	Expiration + 3 Fiscal Years, OR Retention period required by grantor, whichever longer	HC EL		Security Destruction, see notes. Review for historical value
Family Services		ICPC ADMINISTRATION FILES Documents the functions of the ICPC (Interstate Compact on the Placement of Children) Division Office for placing children from another state into facilities, foster homes, with relatives or non-offending parents, adoptions both Public agency and Private agency and independent/specific adoptions or guardianship in Nevada, or sending Nevada children to other states as per NRS 127.330. Includes ICPC Form 100A "Interstate Compact on the Placement of Children Request", ICPC Form 100B", transmittal sheets, checklist, staffing notes, related correspondence, log book, and similar documentation	Closure + 1 Year	HC EL		
Family Services		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services		LICENSING FILES, FOSTER CARE Administers and documents individual / families licensed to provide foster care and provides historical documentation of the performance of licensed foster parents. Includes license application, home study reports, proof of training, copies of licenses, case notes, waivers and approvals, child protective services reports, licensing complaints, home inspection forms, pet inoculation documentation, references, forms, child abuse and neglect system checks, health records, TB test results, arrest and conviction declaration, divorce decrees and marriage license, auto and home insurance documentation, correspondence, and other relevant documentation.	Expiration + 16 Years	HC EL		Legal citations: NRS Chapter 424, NAC Chapter 424, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
Family Services		LICENSING/PLACEMENT DATABASE Access database used for purposes of documenting and tracking licensed, pending, and closed foster care facilities. Information includes, but is not limited to, licenses and placement availability relating to licensed foster homes, and placement availability and resource lists.	Until Superseded	EL		
Family Services		LOG, ADOPTION RETENTION To track adoption cases which have been sanitized and sent to Nevada DCFS.	Administratively Useful	EL		
Family Services		LOG, ARCHIVED FILES Tracking files processed for archiving through business centers.	3 years from the disposition of the record	EL		
Family Services		LOG, BIRTH CERTIFICATES To log and track original birth certificates and Social Security Cards received. Includes correspondence, identity documents, immunization records, copies of social security cards	Closure of Case	HC EL		
Family Services		LOG, CERTIFIED MAIL To track Certified Mail that has been sent out on behalf of DES	3 Years	EL		
Family Services		LOG, CLOSED CASES Log closed cases processed by the business centers.	Until Superseded	EL		
Family Services		LOG, INVESTIGATIONS Used for investigations and placements. Includes Name of subject, Case Number, Requesting Worker, etc.	5 Years	EL		
Family Services		LOG, RECORDS REQUESTS Entries showing type of request, requestor information (Subpoenas-District Attorney, Judge, Law enforcement, Private Attorney, Public Defender, Private Citizen, Out-of-State, In-House Microfilm, and outside agencies), date on which information was provided, District Attorney drop off/pick up dates, person(s) who is subject of information, delivery method to requestor, additional notes, brief description of information/documentation provided, and clerical information.	6 Years	HC EL		Security Destruction, see notes.
Family Services		LOG, TASK ASSIGNMENT Log of tasks completed by each business center support staff.	Administratively Useful	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services		LOG, VEHICLE Log to verify checked out items are returned	Administratively Useful	EL		
Family Services		MEDICAL RECORDS, NEGLECTED OR ABUSED CHILD Documentation in providing services for neglected or abused children in out-of-home placement through Department of Family Services. Includes doctor visits, dental visits, records regarding hospital admissions for surgery and/or treatment, lab tests performed, immunizations, physical and occupational therapy, medical diagnosis and similar documents	Eighteenth Birthday of Child + 7 Years	HC EL		NRS 11.215, NRS 629.051, NRS 432B.280, NRS 432B.290, NAC 239.165 (1)(2) HIPAA information requires Security Destruction, see notes.
Family Services	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Family Services	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Family Services	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Family Services	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Family Services	2007-0014	PROPERTY AND EQUIPMENT INVENTORY Documents process of updating and recording inventory of capital assets owned or operated by county. Copies of purchase orders, monthly property reports, descriptions of items, manufacturer's model and serial number, fiscal reports related to original cost, value reports, commodity codes	Until Superseded + 5 Years	HC EL		
Family Services	2007-1256	QUALITY ASSURANCE REVIEW AUDITS AND REPORTS Reports run for management, administration and field practice staff for purposes of administration and practice evaluation and change. These records include but are not limited to data clean-up, field performance, licensing, recruitment, retention, county presentations and case reviews. Annual Reports - Trended data for agency performance, Board of County Commissioners - Reports on agency performance, Case Review - Quantitative and Qualitative reviews of agency performance, Community Development Grants, Data Clean Up, Hotline Reports, Child Protective Services Management, Foster Care Management Reports, Requests for Information Database - Tracking of data requests from agency, State Information Management Services Reports, Media Requests - Trended data for purposes of media requests, Information Technology Reports - specific to supply inventory and business systems	Fiscal Yearend + 3 Years	HC EL		Security Destruction, see notes.
Family Services	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Family Services	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Family Services	2007-1280	SIGNATURE AUTHORIZATIONS FILE Used to authorize, assign authority, and verify approval of various governmental actions.	Expiration + 5 Fiscal Years	HC		Security Destruction, see notes.
Family Services	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Family Services	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Family Services	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Family Services	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Family Services	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Family Services	2007-1424	WORKERS' COMPENSATION FILES - AGENCY COPY Document employee injuries and occupational illnesses. Includes employee identifying info, accident/incident report, workers comp claim forms, physician disability statements, notice of acceptance of claim, payroll documentation. Official record copy at Risk Management.	State requirement is Three (3) calendar years from the closure, resolution or cancellation of the claim or case. Family Services policy is to retain until employee Termination.	HC		HIPAA information requires Security Destruction, see notes.
Family Services		WRITS Active writs are sent to DA, court clerks, and caseworker.	Active	HC		
Finance - Accounts Payable	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). <i>Official record copy at Comptroller.</i>	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Accounts Payable	2007-1235	ACCOUNTS PAYABLE FILES Invoices presented from vendors for services performed or goods received, supporting documentation, billing statements, related correspondence, expense reimbursements, copies of checks, original invoices, copies of bids and contracts, computer generated reports, payment, computer printouts, receipts	Fiscal Yearend + 6 Years	HC EL		Security Destruction, see notes.
Finance - Accounts Payable	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Accounts Payable	2007-1558a	ACTIVITY REPORTS, MONTHLY <u>Monthly</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Accounts Payable	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Accounts Payable		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Accounts Payable	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Accounts Payable	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - Accounts Payable	2007-0427	BOND PAYABLE RECORDS Bonds issued & redeemed & may contain, but is not limited to, information on coupon number, amount of bond, date bond issued, date of bond redemption, purpose of bond & to whom bond was issued.	Expiration + 10 Years	HC EL		
Finance - Accounts Payable	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Finance - Accounts Payable	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Finance - Accounts Payable	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Budget Office.	Audit Clearance + 1 Year	HC EL		
Finance - Accounts Payable	2007-0429	CHECK REGISTERS Check registers for accounts payable checks cut to vendors.	Fiscal Yearend + 6 Years	HC EL		
Finance - Accounts Payable	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Accounts Payable	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Finance - Accounts Payable	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Finance - Accounts Payable	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Accounts Payable	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements .	PERMANENT	HC EL		
Finance - Accounts Payable	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes .	Administratively Useful	HC EL		
Finance - Accounts Payable	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2) Transfer to Human Resources Department for consolidation into official Personnel Record .
Finance - Accounts Payable	2007-0450	EMPLOYMENT TAX RECORDS 1099 forms and files for vendor payments through Accounts Payable .	Tax Paid + 4 Years	HC EL		Security Destruction, see notes.
Finance - Accounts Payable		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Finance - Accounts Payable	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources .	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Accounts Payable	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Accounts Payable	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts .	Until Superseded	HC EL		
Finance - Accounts Payable	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Accounts Payable	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department .	Audit Clearance	HC		NRS 354.624
Finance - Accounts Payable	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity .	Administratively Useful	HC		
Finance - Accounts Payable	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information .	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Finance - Accounts Payable	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings and other internal meetings .	1 Year	HC EL		
Finance - Accounts Payable	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere .	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Accounts Payable	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Accounts Payable	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Accounts Payable	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Accounts Payable		VENDOR CHANGE LOG LISTINGS To track and identify changes made to vendor master records in SAP Accounts Payable.	Until Superseded + 1 Year	HC EL		Security Destruction, see notes.
Finance - Automotive	2007-1712b	ACCIDENT REPORTS NOT RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	3 Years	HC		Security Destruction, see notes.
Finance - Automotive	2007-1712a	ACCIDENT REPORTS RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	Settlement + 3 Years	HC		Security Destruction, see notes.
Finance - Automotive	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Automotive	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Automotive	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Automotive	2007-1592	ALTERNATIVE FUEL VEHICLE RECORDS Monthly reports to State Department of Conservation & Natural Resources.	3 Fiscal Years	EL		NAC 486A.180
Finance - Automotive	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Automotive		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Automotive	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Automotive	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - Automotive	2007-0362	BID SPECIFICATIONS Specific terms & conditions of bidding opportunities for goods or services with the county.	Fiscal Yearend + 1 Year	HC EL		
Finance - Automotive	2007-0261	BIDS FOR CONTRACTS RFPs, Responses to RFPs, committee minutes, score sheets, letters of interest, pertaining to goods or professional services.	Cancellation + 7 Years, OR Expiration + 7 Years	HC EL		Security Destruction, see notes.
Finance - Automotive	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Finance - Automotive	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Finance - Automotive	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Finance - Automotive	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Automotive		CONTRACT APPEALS (Department Copies. Official record copy in Purchasing.) Notices of appeal and acknowledgments, specifications, bid documents, contract copies, change orders and amendments, exhibits, correspondence, documents received from parties, hearing records, final decisions.	Administratively Useful	HC EL		
Finance - Automotive	2007-0054	CONTRACTS & AGREEMENTS (Department copies) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Finance - Automotive	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Finance - Automotive	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Automotive	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Automotive	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Finance - Automotive	2007-1290	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES <i>Listings of current employees</i>	Until Superseded	EL		Security Destruction, see notes.
Finance - Automotive		EMPLOYEE PERSONAL IDENTIFICATION NUMBERS (PINS) List of all employee PIN numbers are filed electronically by department showing each employee and their assigned PIN number for fueling county vehicles/equipment.	Termination + 2 Years	EL		Security Destruction, see notes.
Finance - Automotive	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - Automotive		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Finance - Automotive	2007-0310	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Regulate the granting and monitoring of family leave under the Federal Family and Medical Leave Act of 1993 and the State Parental Leave Without Pay Bill. Includes leave requests, medical certifications, notice correspondence.	Fiscal Yearend + 3 Years	HC EL		29 CFR 1630.14 HIPAA information requires Security Destruction, see notes.
Finance - Automotive	2007-0440	FIXED ASSETS AND INVENTORY RECORDS Document and administer process of updating and reconciling an inventory of fixed assets in department's possession. May contain fixed asset inventories, copies of purchase orders and other fiscal records, monthly or annual property reports, copies of other property records, memos, correspondence, inventory journals and related documents.	Until Superseded + 5 Years	HC EL		
Finance - Automotive	2007-0246	FORMS, BLANK MASTER COPIES Paper and electronic format masters for various forms.	Until Superseded	HC EL		
Finance - Automotive	2007-1594	FUEL SUMMARY REPORTS Daily, weekly, or monthly fuel disbursements. Information may include, but are not limited to, type of fuel dispersed, pump locations, meter or stick readings, gallons delivered, and total gallons consumed. This series may also indicate oil and antifreeze disbursement.	3 Years from the date of the report.	HC EL		
Finance - Automotive		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Automotive	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Automotive	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Automotive	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Automotive		PERMITS, RED AND AMBER LIGHTS A record of any county vehicle issued a red light/amber light permit is kept listing the approval of each permit, the paperwork documentation to DMV for application for each permit, and the received permits from DMV.	Expiration + 1 Year	HC		NRS 484.579, NRS 484.789
Finance - Automotive	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Automotive	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC EL		
Finance - Automotive	2007-0073	RECORDS RETENTION SCHEDULE Listing of all record series in legal custody of a local government, and retention established to satisfy administrative, fiscal, legal and historical requirements for each record series, and has been approved by those necessary within the organization and NV State Library and Archives Administrator.	Until Superseded + 6 Years	HC EL		
Finance - Automotive	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Finance - Automotive	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Finance - Automotive	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Finance - Automotive	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Automotive	2007-0368	SUPPLY INVENTORY RECORDS Supply inventories and requests and may contain, but is not limited to, supply requests, supply inventories, packing slips, receiving reports, copies of delivery receipts, copies of requisitions, requisition logs, copies of purchase orders, inventory control forms, sign out sheets, correspondence and related documents.	Audit Clearance + 1 Year	HC EL		
Finance - Automotive	2007-1341	SYSTEM ERROR REPORTS Reports produced to detect errors or potential errors within a system. Files may consist of paper printouts and/or on-line reports. Reports may run on a regular or specific basis.	Until Superseded	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Automotive	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Automotive	2007-0877	TRAFFIC CITATIONS Citations issued by law enforcement to drivers of public vehicles. This series usually includes date, time, location of violation, nature of offense, drivers name, address, occupation, state licensed, license number, vehicles license number, state, make of vehicle, violation code, citation number, officers name, and signature of person receiving citation.	2 Years from the date of issuance	HC		
Finance - Automotive	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Automotive	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Automotive	2007-0361	VEHICLE ASSIGNMENT RECORDS Assignment of purchased and/or leased vehicles to an agency. May include, but is not limited to, vehicle description, agency request forms, budget account information, terms & conditions, correspondence & related documents.	Until Superseded	EL		
Finance - Automotive	2007-0079	VEHICLE MAINTENANCE & REPAIR RECORDS Documents maintenance & repairs of owned or leased vehicles. Records used to provide maintenance & repair history.	Life of Asset + 3 Years	HC		
Finance - Automotive		VEHICLE MASTER FILES Created for every piece of equipment purchased through automotive for various Clark County departments. The vehicle/equipment files contain all the paperwork pertaining to the purchase and ownership of each vehicle/equipment, vehicle/equipment registration, and all other paperwork pertaining to each unit right through the auction and disposition paperwork at time of replacement and disposal.	Life of Asset + 10 Years	HC		
Finance - Automotive		VEHICLE WORK ORDER TRACKING RECORDS Information on work being done to any particular vehicle in automotive shop.	Closure	HC		
Finance - Automotive	2007-1309	VENDOR CODE REQUESTS Information used to request vendor code numbers for vendors not currently listed as providing goods or services to county. Information may include vendor name, address, phone number, contact name, assigned vendor number, and related documents.	Until Superseded	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Automotive	2007-0378	VENDOR/CONTRACTOR FILES Files validating competencies and TB results and other pertinent health information on vendors who are present at UMC on a regular basis. Includes Contractor Application, TB Results, Performance Evaluations, Competencies, Licensure, Vaccine History, Peer References, Background Check Info, Drug Screen Results, Resume	Calendar Yearend + 3 Years	HC EL		Security Destruction, see notes.
Finance - Budget Services	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Budget Services	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Budget Services	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Budget Services	2007-1639	AGENDAS-OFFICIAL/FINAL Planning Commission meeting agenda and any backup material submitted prior to or during the meeting. This series is often included as part of the meeting minutes.	PERMANENT	EL		
Finance - Budget Services	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Budget Services		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Budget Services	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Budget Services	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - Budget Services	2007-0427	BOND REGISTERS AND RECORDS Listing of bonds issued & redeemed & may contain, but is not limited to, information on coupon number, amount of bond, date bond issued, date of bond redemption, purpose of bond & to whom bond was issued.	Expiration + 10 Years	HC EL		
Finance - Budget Services	2007-0004	BUDGET REPORTS, ANNUAL Documents the final annual financial plan for a governmental entity. Includes financial summaries, spending plans, copy of certified final budget, budget message, affidavit of proof of publication of notice of public hearing, minutes, agendas, exhibits, staff reports.	PERMANENT	HC EL		
Finance - Budget Services	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL MI		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Budget Services	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Finance - Budget Services	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at County Clerk.) Copies of adopted budgets.</i>	Audit Clearance + 1 Year	HC EL		
Finance - Budget Services	2007-0009	CAPITAL IMPROVEMENT PLAN Planning of projects for the physical improvement or new construction of buildings, parks, structures, warehouses, communication & utility facilities and similar local government owned or controlled facilities.	PERMANENT	HC EL		
Finance - Budget Services		CAPITAL IMPROVEMENT PLAN REQUESTS Capital requests by submitted by departments to Budget office to be considered for funding.	Fiscal Yearend + 2 Years	HC EL		
Finance - Budget Services	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Budget Services	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies)</i> For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Finance - Budget Services	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Finance - Budget Services	2007-0328	CONTRACTS, UNION Contractual agreements between UMC & bargaining units, it may also be used for labor relations planning. May contain union contracts & amendments, tentative agreements, arbitrator's recommendations, negotiation work notes, management counter proposals, negotiation updates, newspaper clippings, press releases, research background material, employee classification printouts, minutes, sound recordings, exhibits & reports of meetings, correspondence & related records.	Expiration + 6 Fiscal Years, OR For period required by contract or agreement, whichever longer	HC		Security Destruction, see notes.
Finance - Budget Services	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Budget Services	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Finance - Budget Services	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Budget Services	2007-1665	CREDIT CARD TRAVEL PROGRAM RECORDS Documents payment of money owed to local governmental entity by credit/debit card or electronic transfers of money. This series may contain records documenting type of charge, payment amount, credit/debit card information, copies of bills, bank statements, computer printouts, receipts, related correspondence and similar documents.	Audit Clearance	HC EL		
Finance - Budget Services	2007-0008	DIRECTIVES OF MANAGER Executive orders, Bulletins and advisories, Directives, Policy statements, Notes on policy and procedures. Related correspondence. Similar documents.	PERMANENT	HC EL		
Finance - Budget Services	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - Budget Services		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Finance - Budget Services	2007-0477	GAMING REVENUE REPORTS Documents gaming and room tax proceeds distributed to fair and recreation boards and convention authorities/bureaus to promote convention and tourism business.	Fiscal Yearend + 3 Years	HC EL		
Finance - Budget Services	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	Expiration + 3 Fiscal Years, OR Retention period required by grantor, whichever longer	HC EL		NRS 239.110 Security Destruction, see notes. Review for historical value
Finance - Budget Services	2007-0443	INDEBTEDNESS REPORT Itemized report submitted to Department of Taxation documenting outstanding indebtedness of county	3 Fiscal Years	HC EL		
Finance - Budget Services	2007-0012	LABOR NEGOTIATION RECORDS Negotiations between governing body or governing body's representative & employee representatives. May include contracts, reports, negotiation notes, letters of agreement, arbitration findings, cost analyses, minutes, audio/video recordings, related correspondence & similar records.	PERMANENT	HC EL		
Finance - Budget Services	2007-0409	LEASES Leases, subleases, assignments of leases, and memoranda of leases for property or equipment which county leases. Series usually shows name and addresses of lesser and lessee, description of property or equipment, rent or lease cost, purpose for which property may be used, conditions or terms, renewal documents, memorandums, supporting documentation, related correspondence, and similar documents.	Expiration + 6 Years, See NOTE	HC		NOTE: Budget Office was responsible for County leases. As of July 2006, leases are now handled by Real Property Management. Current files were transferred to RPM at that time. Existing files are closed leases and correspondence.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Budget Services		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Budget Services	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues.	PERMANENT	HC EL		
Finance - Budget Services	2007-0034	LEGISLATIVE RELATIONS RECORDS Used to review and/or plan a local government's position on impacting legislative actions. This series may include bill review and tracking forms, opinion requests, bill tracking reports, copies of pending or approved legislation, notes, memorandum, related correspondence and similar documentation. Information in this series may also be used in lobbying efforts and recommending legislative changes.	Administratively Useful	EL		
Finance - Budget Services	2007-1659	LOBBYIST FORM Document lobbyist and lobbyist employer activities. This series may include expenditure reports, registration statements, supplementary registration statements, termination records, guidelines, related correspondence and similar documents.	5 Years	HC		
Finance - Budget Services	2007-1008	LOG, TELEPHONE Listing or log of telephone calls received on Department Voter lines & similar telephone activity reports.	90 Days	HC EL		
Finance - Budget Services	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Budget Services	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - Budget Services	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Budget Services	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Budget Services	2007-0323	POSITION REPORTS Information on staffing levels, vacancies, and filled positions.	2 Years	HC		
Finance - Budget Services	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Records of all displays, items for storage, collections, and artifacts. May include original donation or purchase information, valuation, history of item.	Until Superseded + 5 Fiscal Years	HC EL		
Finance - Budget Services	2007-0015	QUARTERLY ECONOMIC SURVEY Statement of receipts and expenditures of three months next preceding, and accounts allowed. This series may include financial reports, expenditure summary, copy of newspaper in which report was published, and related records.	Fiscal Yearend + 3 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Budget Services	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Finance - Budget Services	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Finance - Budget Services	2007-1514	REVENUE PROJECTION REPORTS Revenue projection from Nevada Taxation Department for local governments. This record series documents receipt and administration of revenue sharing funds. Records may include affidavits of publication, claim reports, project records, revenue and expenditure summaries, status reports, audit reports, supporting documentation and related records.	Fiscal Yearend + 6 Years	HC		
Finance - Budget Services	2007-0041a	SPECIAL EVENT RECORDS, HISTORICAL EVENT Vendors, participants, co-sponsors' information and participation records and activities.	PERMANENT	HC EL		
Finance - Budget Services	2007-0041b	SPECIAL EVENT RECORDS, NOT HISTORICAL EVENT Vendors, participants, co-sponsors' information and participation records and activities.	Fiscal Yearend + 2 Years	HC EL		
Finance - Budget Services	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Finance - Budget Services	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Budget Services	2007-0368	SUPPLY MANAGEMENT RECORDS Supply inventories & requests & may contain supply requests, supply inventories, packing slips, receiving reports, copies of delivery receipts, copies of requisitions, requisition log, copies of purchase orders, inventory control forms, sign-out sheets, correspondence & related documents.	Audit Clearance + 1 Year	HC EL		
Finance - Budget Services	2007-0083	TAX RATES Official record of assessments on all properties in county.	PERMANENT	HC EL		
Finance - Budget Services	2007-1254	TECHNICAL REFERENCE FILES Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are used for reference and information but are not public records.	Administratively Useful	HC EL		
Finance - Budget Services	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Budget Services	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Budget Services	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Budget Services	2007-0047	VOLUNTARY SEPARATION PROGRAM (STRATEGIC REALIGNMENT PROGRAM) Documents detailed plans (methods) for accomplishing program goals. Includes department summaries, departmental requests, spreadsheets, supporting documents, correspondence	Until Superseded + 3 Years	HC EL		
Finance - Central Services	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Central Services	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Central Services	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Central Services	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Central Services		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Central Services	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Central Services	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - Central Services	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Finance - Central Services	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Finance - Central Services	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Finance - Central Services	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Central Services	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Finance - Central Services	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Finance - Central Services	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Central Services	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Finance - Central Services	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Finance - Central Services	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - Central Services		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Finance - Central Services		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Central Services	2001-0036	MAIL DELIVERY CONFIRMATIONS Track and verify Accountable mail delivery and receipt.	3 Years	EL		
Finance - Central Services		MAIL SERVICES REQUEST Track and verify departmental mailing requests.	1 Year	HC EL		
Finance - Central Services	2004-0283	MAILING STATEMENTS Track and verify mailings from postage accounts, business reply mail accounts, USPS, UPS and FedEx	3 Years	HC		
Finance - Central Services	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Central Services	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - Central Services	2006-0295	PACKING SLIPS Used to verify receipt of materials ordered from vendors.	3 Years	HC		
Finance - Central Services	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Central Services	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Central Services		PRINT SERVICES REQUESTS Requests sent from departments requesting printing service.	3 Years	HC EL		
Finance - Central Services	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Finance - Central Services	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Finance - Central Services	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Finance - Central Services	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Central Services	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Central Services	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Central Services	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Civil Bureau	2007-0046	ACCOUNTING RECORDS (Department Copies) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Civil Bureau	2007-1558	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Civil Bureau	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Civil Bureau	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (Department Copies) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Civil Bureau		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Civil Bureau	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Civil Bureau	2007-0050	BID RECORDS (Department Copies) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Civil Bureau	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Finance - Civil Bureau	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Finance - Civil Bureau	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Finance - Civil Bureau	2007-1403	CASE FILES, VICTIM ASSISTANCE Documentation of assistance efforts provided to crime victims by governmental agencies. This series may include duplicates of police reports and court documents as well as attorneys notes, interview notes, correspondence, and victim assistance referrals. In addition, file may contain victim's personal information, hearing notices, victim's impact statement, restitution statements, copies of medical reports, crime compensation application, restitution payment records, written notification requests, copies of protection orders, records documenting state action, and additional supporting documentation.	Disposition + 3 Years	HC		Security Destruction, see notes.
Finance - Civil Bureau	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Civil Bureau	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Finance - Civil Bureau	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Finance - Civil Bureau	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Civil Bureau	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Finance - Civil Bureau	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Finance - Civil Bureau	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Civil Bureau		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Finance - Civil Bureau	2007-1247	GARNISHMENTS Documentation of requests and court orders served on the local government to withhold the wages of employees for garnishments, tax levies, support payments and other reasons.	Closure + 6 Years	HC		Security Destruction, see notes.
Finance - Civil Bureau	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Civil Bureau	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Civil Bureau	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - Civil Bureau	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Civil Bureau	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Civil Bureau	2007-0852	PROCESSES, CIVIL CASES (<i>Department Copies. Originals are returned to issuing Court for retention and disposition.</i>) Documents writs, orders, notices, and other civil process issued by a court or other legally authorized agency or individual to be executed, posted, or published by law enforcement. Includes Summons, Complaints, Joint Preliminary Injunctions, Declarations, Notices, Motions, Petitions, Injunctions, Mechanic Liens, Subpoenas, Notice of Attachment, Notice of Execution, Notice of Hearing, Answers, Affidavit Claiming Exemption, Letters, Liens, Conditional Lock and Seal, Affidavit of Small Claims (With Order Waiving Fees), Third Party Claim.	1 Year	HC		Security Destruction, see notes.
Finance - Civil Bureau	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Finance - Civil Bureau	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Finance - Civil Bureau	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Civil Bureau	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Civil Bureau	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Civil Bureau	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Civil Bureau	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Civil Bureau	2007-0882	WARRANTS (<i>Department Copies. Originals are returned to issuing Court for retention and disposition.</i>) Written orders of the court. This series may include informational documents related to wanted person, teletypes, subpoena or summons, and other records relevant to service of warrants. Warrant information usually includes date, court, judge's name, individual's name and date of birth, charge, and related information.	Served, executed, recalled, or cancelled by court	HC		Security Destruction, see notes.
Finance - Civil Bureau	2007-0169	WRITS Writs issued from a court or other legally authorized agency or individual. This series may contain, but is not limited to, writs, notices, orders, and similar documents, proof of service, proof of publication, proof of execution, date received, date served, by whom served, how served, date returned, title and number of case, recipient information, correspondence, and related documents. Includes Writ of Execution, Writ of Possession, Writ of Restitution, Writ of	Active + 3 Years	HC		Security Destruction, see notes.
Finance - Community Resources	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Community Resources	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Community Resources	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Community Resources	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Community Resources	2007-1272	APPLICATIONS AND RESUMES, NOT HIRED Applications and/or resumes submitted by individuals seeking employment, transfer, or promotion who were not hired.	Closure + 2 Years	HC		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Community Resources	2007-1292	APPLICATIONS AND RESUMES, UNSOLICITED Applications or resumes received for which no position has been announced.	6 Months	HC EL		Security Destruction, see notes.
Finance - Community Resources	2007-0303	APPLICATIONS AND RESUMES-HIRED Applications and/or resumes submitted to agencies by individuals seeking employment, transfer, or promotion.	Transfer to Master Personnel File	HC		
Finance - Community Resources		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Community Resources	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Community Resources	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - Community Resources	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Finance - Community Resources	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Finance - Community Resources	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Finance - Community Resources	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Community Resources	2007-0054	CONTRACTS & AGREEMENTS (Department copies) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Finance - Community Resources	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Finance - Community Resources	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Community Resources	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Finance - Community Resources	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Community Resources	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - Community Resources		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Finance - Community Resources	2007-0059	GRANT FISCAL RECORDS Documents the awarding of funds from federal government, state government, private organizations, private benefactors, and similar sources. Accounting reports, expenditure reports, audit reports, monitoring reports, copies of purchase orders, warrants, warrant registers, vouchers.	Submission of final expenditure report + 3 Fiscal Years, OR Granting authority requirement, whichever longer.	HC EL		
Finance - Community Resources	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	Expiration + 3 Fiscal Years, OR Retention period required by grantor, whichever longer	HC EL		Security Destruction, see notes. Review for historical value
Finance - Community Resources	2007-0716	GRANT RECORDS, FEDERAL - REAL PROPERTY AND EQUIPMENT Document real property and equipment purchased with funds from federal grants. Includes equipment records (purchase documentation, user manuals, property ID documentation, etc.), disposition records (sales, transfers or discarding records).	Life of Asset + 3 Fiscal Years OR Granting authority requirement, whichever longer.	HC		Review for historical value
Finance - Community Resources		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Community Resources	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues	PERMANENT	HC EL		
Finance - Community Resources	2007-0063	MAILING AND DISTRIBUTION LISTS Lists of names and addresses compiled for various mailings, such as billings, notifications, community outreach, and other administrative purposes. Media Telephone Directory (contact information for the Media)	Calendar Yearend + 1 Year	HC EL		
Finance - Community Resources	2007-0109	MEETING RECORDINGS Recordings of proceedings of regularly scheduled, special, and emergency meetings and may also be used to transcribe, verify and correct minutes of public meetings. Written minutes may be taken from these recordings, transcribed, corrected as needed, and presented to meeting body for approval.	Transcription + 1 Year	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Community Resources	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS <i>(Department copies. Official record copy at County Clerk.)</i> Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Community Resources	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - Community Resources	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Community Resources	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Community Resources	2007-1532	POSTAL TRACKING RECORDS Documents transactions with US Postal Service, Fedex, etc., concerning letter and parcel post-type postal services.	Fiscal Yearend + 3 Years	HC		
Finance - Community Resources	2007-014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. May contain copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC EL		
Finance - Community Resources	2007-0070	RECORDS OF MAILINGS Documentation of mailing dates, content of mailings, and addressees for mailing sent by local government for various purposes.	1 Year	HC		
Finance - Community Resources	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Finance - Community Resources	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Finance - Community Resources	2007-1242	SPECIAL BOARDS, COMMISSIONS, COUNCILS, COMMITTEES, OFFICES AND TASK FORCE RECORDS Document governmental administration, activities, and history of specially organized committees, boards, councils, offices and task forces. These entities are usually organized or appointed to address specific problems or situations, and not intended to carry on activity beyond a final report or activity. The purpose of these special entities may involve advising, investigating, planning, recommending, compiling, summarizing and similar activities.	PERMANENT OR See NOTE	HC EL		NOTE: Retain records for a minimum period of 5 calendar years from meeting date AND transfer to one of the facilities described in NAC 239.850 (1)(b).
Finance - Community Resources	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Community Resources	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Community Resources	2007-1254	TECHNICAL REFERENCE FILES Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are used for reference and information but are not public records	Administratively Useful	HC EL		
Finance - Community Resources	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Community Resources	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Community Resources	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Community Resources	2007-0080	WARRANTIES Manufacturer's/vendor's warranties to replace and/or repair defective equipment.	Expiration + 1 Year	HC		
Finance - Comptroller	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Comptroller	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Comptroller	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Comptroller	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Comptroller		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Comptroller	2007-1280	AUTHORIZED SIGNATURE FORMS - FISCAL DIRECTIVE 13 ATTACHMENT A Authorize, assign authority, and verify approval of various governmental actions. The files contain authorization date, employee name, employee position, signature sample, and the signature and name of the person approving authorization	Fiscal Yearend + 5 Years	HC		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Finance - Comptroller	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Comptroller	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Comptroller	2007-0427	BOND REGISTERS AND RECORDS Listing of bonds issued & redeemed & may contain, but is not limited to, information on coupon number, amount of bond, date bond issued, date of bond redemption, purpose of bond & to whom bond was issued.	Expiration + 10 Years	HC EL		
Finance - Comptroller	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Finance - Comptroller	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Finance - Comptroller	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Finance - Comptroller	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Comptroller	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Finance - Comptroller	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Finance - Comptroller	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Comptroller	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Finance - Comptroller	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Finance - Comptroller	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - Comptroller		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Comptroller	2007-0016	FINANCIAL REPORTS, ANNUAL Documents annual financial condition of county. May contain revenue statements, expenditure statements, statements of proposed expenditures, fund balance reports, cash balance reports, components of assessed value, debt schedules, various forms, & other information that the Committee on Local Government Finance determines to be appropriate for determining the financial status of a local government.	3 Fiscal Years after report submitted to NV Department of Taxation AND Summary report published in general circulation newspaper	EL		Security Destruction, see notes.
Finance - Comptroller	2007-0442	GENERAL LEDGER Series of financial ledgers providing a final year to date summary of accounting data and a permanent audit trail for all fiscal receipts and disbursement transactions affecting local government funds and accounts, including expenditures and receipts from all revenue sources, both public and private.	PERMANENT	HC EL		
Finance - Comptroller	2007-0059	GRANT FISCAL RECORDS Documents the awarding of funds from federal government, state government, private organizations, private benefactors, and similar sources. Accounting reports, expenditure reports, audit reports, monitoring reports, copies of purchase orders, warrants, warrant registers, vouchers.	Submission of final expenditure report + 3 Fiscal Years, OR Granting authority requirement, whichever longer	HC EL		
Finance - Comptroller	2007-0443	INDEBTEDNESS REPORT, ANNUAL Report submitted to Department of Taxation documenting outstanding indebtedness of a governmental entity.	Submission to NV Department of Taxation + 3 Fiscal Years	HC EL		
Finance - Comptroller	2007-0446	JOURNAL ENTRIES Detailing accounts to be charged and credited. Used to make fund transfers, adjustments, and corrections to accounting records. Includes information on account number, amount debited, amount credited, account description, and reason for journal entry.	Fiscal Yearend + 6 Years	HC EL		
Finance - Comptroller		JOURNAL ENTRIES, BONDS Detailing accounts to be charged and credited. Used to make fund transfers, adjustments, and corrections to accounting records. Includes information on account number, amount debited, amount credited, account description, and reason for journal entry.	Expiration + 10 Years	HC EL		
Finance - Comptroller		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Comptroller	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Comptroller	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Comptroller	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	FY + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Comptroller	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Comptroller	2007-0014	PROPERTY AND EQUIPMENT INVENTORY Documents process of updating and recording inventory of capital assets owned or operated by county. Copies of purchase orders, monthly property reports, descriptions of items, manufacturer's model and serial number, fiscal reports related to original cost, value reports, accommodations	Until Superseded + 5 Years	HC EL		
Finance - Comptroller	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Finance - Comptroller	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Finance - Comptroller	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Finance - Comptroller	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Comptroller	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Comptroller	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Comptroller	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Comptroller	2007-1318	TRIAL BALANCE REPORTS Detailed listing of accounting transactions and may be used in balancing the General Ledger. Includes information on dates, account numbers, names, transaction codes, fund balances, bank accounts, balance sheets, income statements, month to date balances, year to date balances, and similar documents	Audit Clearance	HC EL		
Finance - Comptroller	2007-0464	UNCLAIMED PROPERTY RECORDS Documents the reporting by holders of abandoned accounts in accordance with NRS Chapter 120A. Various completed forms, reports required by State Treasurer, supportive documentation, associated correspondence	Transfer to NV State Treasurer + 7 Years	HC EL		NRS 120A.145, NRS 120A. 560, NRS 120S.700 Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Detention Services	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Detention Services	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Detention Services	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Detention Services	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Detention Services		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Detention Services	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Detention Services	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - Detention Services	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Finance - Detention Services	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Finance - Detention Services	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Finance - Detention Services	2007-0568	BUILDING PLANS (<i>Department Copies. Official record copy at Real Property Management.</i>) Copies of building plans for court expansion. It may include blueprints, engineering drawings, specifications, photographs, maps and drawings for related construction project.	Administratively Useful	HC EL		Security Destruction, see notes.
Finance - Detention Services	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Detention Services	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Detention Services	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Finance - Detention Services	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Detention Services	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Finance - Detention Services	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Finance - Detention Services	2007-0058	EMPLOYEE PERSONNEL FILES (Department Copies) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - Detention Services		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Finance - Detention Services	2007-1241	LEAVE REQUESTS, EMPLOYEE (Department Copies) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Detention Services	2007-0648	MAPS AND PLANS OF WATER SYSTEMS Maps, plans, blueprints, and similar records. This series is useful for locating fire hydrants, water mains, connections, valve locations and other water supplies used during fire emergency responses	Until Superseded	HC EL		Security Destruction, see notes.
Finance - Detention Services	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department Copies) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Detention Services	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - Detention Services	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Detention Services	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Detention Services	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Detention Services	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Finance - Detention Services	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Finance - Detention Services	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Detention Services	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Detention Services	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Detention Services	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Finance 3412	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Finance 3412	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Finance 3412	2007-1558	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Finance 3412	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Finance 3412		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Finance 3412	2007-5	AUDIT REPORTS Audits/studies performed by various outside parties regarding feasibility and/or financial viability of department, includes feasibility studies, audit findings, etc.	PERMANENT	HC EL		
Finance - Finance 3412	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Finance 3412	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Finance 3412	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Finance - Finance 3412	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Finance - Finance 3412	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Finance - Finance 3412	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Finance 3412	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Finance - Finance 3412	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Finance - Finance 3412	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Finance 3412	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Finance - Finance 3412	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Finance - Finance 3412	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - Finance 3412		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Finance - Finance 3412	2007-0012	LABOR NEGOTIATION RECORDS Negotiations between governing body or governing body's representative & employee representatives. May include contracts, reports, negotiation notes, letters of agreement, arbitration findings, cost analyses, minutes, audio/video recordings, related correspondence & similar records.	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Finance 3412	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Finance 3412	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Finance 3412	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - Finance 3412	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Finance 3412	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Finance 3412	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC EL		
Finance - Finance 3412	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Finance - Finance 3412	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Finance - Finance 3412	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Finance - Finance 3412	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Finance 3412	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Finance 3412	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Finance 3412	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Personnel / Payroll	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Personnel / Payroll	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Personnel / Payroll	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Personnel / Payroll		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Personnel / Payroll	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Personnel / Payroll	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Finance - Personnel / Payroll	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Finance - Personnel / Payroll	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Finance - Personnel / Payroll	2007-0311	CASE FILES, EMPLOYEE GRIEVANCES Grievances or complaints filed by current employees, terminated employees, applicants, or private citizens regarding employment practices. May include, but is not limited to, complaints, investigation reports, interview documentation, witness statements, background information, supporting papers, summary of action taken, audio/video recordings, related correspondence, & summary of	Settlement + 3 Years	HC EL		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Personnel / Payroll	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Personnel / Payroll	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Finance - Personnel / Payroll	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Finance - Personnel / Payroll	2007-1259	DIRECT DEPOSIT AUTHORIZATIONS Documents authorizations to deposit employee payroll earnings into employee bank accounts through direct deposit.	Termination, cancellation or change of authorization + 3 Years	HC		29 CFR 516.5, NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1298	DISCIPLINARY ACTION RECORDS Document employee disciplinary actions, including any appealed to a hearings officer or hearings board involving suspension, demotion, termination, involuntary transfers and/or whistleblower complaints.	Settlement + 3 Years	HC EL MI		NRS 281.645 Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1296	DONATED LEAVE PROGRAM RECORDS Documents the receipt and donation of leave for medical emergencies. Includes leave donation forms, recipient applications, agency approvals or denials, medical or physician certifications, leave donation records, leave transfer records, payroll notification records, payroll reports, copies of time and attendance sheets, leave program termination records, correspondence and related documents.	Fiscal Yearend + 3 Years	HC EL		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0321a	EMPLOYEE MASTER PERSONNEL FILES, DOCUMENTING EMPLOYMENT HISTORY Records which document employment history, including, but not limited to, salary history & longevity documents, classification & salary records, etc.	Termination + 30 Years	HC MI		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Personnel / Payroll	2007-0321b	EMPLOYEE MASTER PERSONNEL FILES, OTHER Records which DO NOT document employment history, including job applications, credential files, background checks, notice of appointment documents, personnel transaction records, payroll withholding information, leave summary records, employee development documents, employee performance documents, training documents, disciplinary actions, copies of licenses or certificates, exit interview records, computer printouts, personnel action forms, correspondence & similar documents related to an individual's	Termination + 3 Years	HC		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - Personnel / Payroll	2007-0450	EMPLOYMENT TAX RECORDS Report collection, distribution, deposit, and transmittal of federal income taxes. Records may include 1099's, W-2's, W-9's, employers' quarterly federal tax return (941, 941E), tax deposit coupon (8109), & similar completed forms	Tax year in which taxes are due + 4 Years, OR date tax paid + 4 Years, whichever later	HC EL		
Finance - Personnel / Payroll		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Finance - Personnel / Payroll	2007-0310	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Regulate the granting and monitoring of family leave under the Federal Family and Medical Leave Act of 1993 and the State Parental Leave Without Pay Bill. Includes Leave Requests, Medical Certifications, Notice Correspondence	Fiscal Yearend + 3 Years	HC EL		29 CFR 1630.14 HIPAA information requires Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1247	GARNISHMENTS Documentation of requests and court orders served on local government to withhold wages of employees for garnishments, tax levies, support payments and other reasons.	Fiscal Yearend + 6 Years	HC		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0329	I-9 FORMS, COMPLETED Document verification of employment eligibility in accordance with Immigration Reform and Control Act of 1986 as found in. May contain US Department of Justice Immigration and Naturalization form I-9, passport and/ or other identifiers, and associated documents	3 Years, OR Termination + 1 Year, whichever later	HC		USC Title 8 section 1324a Security Destruction, see notes.
Finance - Personnel / Payroll		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Personnel / Payroll	2007-1445	NEVADA UNEMPLOYMENT INSURANCE RECORDS Documents compliance with Unemployment Compensation Law and regulations adopted by Employment Security Division of Department of Employment, Training and Rehabilitation	Calendar Yearend + 4 Years	HC EL		NRS Chapter 612 Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - Personnel / Payroll	2007-0318	PAY RESOLUTIONS FOR MANAGEMENT AND CLASSIFIED EMPLOYEES Documents the determination of compensation for management and classified employees. Includes salary surveys, job evaluations, compensation schedules, correspondence and related documentation	3 years from the date of the record.	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1686a	PAYROLL DEDUCTION INPUT DOCUMENTS Document and administer deductions to employee's payroll. Includes all forms used to input information into system for a payroll deduction, including authorization forms for deductions, including garnishments, tax levies, child support orders, education garnishment, bankruptcy orders, auxiliary deductions, accounts receivable reductions, deferred compensation loans.	Cancellation, Until Superseded, or Termination, as applicable + 3 Fiscal Years	HC		29 CFR 516 (c), NRS 239B.030, NRS 205.4617, NRS 11.190 (3)(d), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0451b	PAYROLL REGISTERS OR REPORTS, <u>NON YEAR END</u> Documents pay and benefits earned by UMC employees, including Deduction Registers, Payroll Register, Leave Status Reports, Check Reconciliation Register, Processing Status, Direct Deposit Register, PERS Reports	Fiscal Yearend + 6 Years	HC EL		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0451a	PAYROLL REGISTERS OR REPORTS, <u>YEAR END</u> Documents pay and benefits earned by UMC employees, including Deduction Registers, Payroll Register, Leave Status Reports, Check Reconciliation Register, Processing Status, Direct Deposit Register, PERS Reports	Calendar Yearend + 60 Years	HC EL		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0066	PAYROLL REPORTS / PRINTOUTS (OFFICE COPIES) Documents and verifies staff payroll activities. Includes copies of internal computer printouts, longevity documents, time and attendance reports, time sheets, leave forms, ledgers, payroll deduction forms and related documents, audits, emails, OBRA withdrawal forms	1 Fiscal Yearend	HC EL		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1297b	PERSONNEL FILES, TEMPORARY AND SEASONAL EMPLOYEES, EMPLOYED LESS THAN 1 YEAR Documents employment history of temporary and seasonal employees. These employees are usually hired to perform specific tasks or projects, and length of employment is usually for a limited duration.	Termination + 3 Years	HC EL		Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Personnel / Payroll	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Personnel / Payroll	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Finance - Personnel / Payroll	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Finance - Personnel / Payroll	2007-0455	RETIREMENT AND DEDUCTION REPORTS, PUBLIC EMPLOYEES RETIREMENT SYSTEM (PERS) Documents deductions and payments made towards employee retirement benefits to Public Employees Retirement System (PERS). Includes retirement contributions reports, employer paid contribution reports, copies of payroll deduction forms, deduction input documents, employer subsidiary transaction listings, monthly reports, transmittals, forms, correspondence, and related documents.	Fiscal Yearend + 6 Years	HC EL		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0326	SALARY ACTIONS Documents actions which effect an individual's pay, grade or classification.	3 Years	HC EL		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1280	SIGNATURE AUTHORIZATIONS FILE Used to authorize, assign authority, and verify approval of various governmental actions	Expiration + 5 Fiscal Years	HC		Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Finance - Personnel / Payroll	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Personnel / Payroll	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Personnel / Payroll	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Personnel / Payroll	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Purchasing	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Purchasing	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Purchasing	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Purchasing	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Purchasing		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Purchasing	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Purchasing	2007-0261	BID RECORDS Publicizing, evaluation, & awarding of quoted bids to vendors & other individuals or organizations, & provides recorded evidence of accepted & rejected bids. May include requests to bid, requests for proposals (RFP), bid exemption documents, bid specifications, bid estimates, bid & quote lists, notices of bid opening & award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid registers, related correspondence, & similar records.	Execution of Contract + 7 Years	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - Purchasing	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Finance - Purchasing	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Finance - Purchasing	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Finance - Purchasing	2007-1521	CERTIFIED PAYROLL REPORTS, CONTRACTOR Reports from contractors & subcontractors of public works projects documenting compliance with NV law & regulation. May include certified payroll reports, compliance statements, investigative reports, verifications, nonperformance payroll reports, applicable forms, related correspondence, & similar documents.	Settlement + 3 Years	HC EL		NRS 338.010 to 338.090 & NAC 338.005 to 338.125, NRS 338.070 Security Destruction, see notes.
Finance - Purchasing	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Purchasing	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Finance - Purchasing	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Finance - Purchasing	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Purchasing	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Finance - Purchasing	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Finance - Purchasing	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - Purchasing		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Finance - Purchasing		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Purchasing	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Purchasing	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - Purchasing	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Purchasing	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Purchasing	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Purchasing	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Finance - Purchasing	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Finance - Purchasing	2007-0371	REQUISITIONS & PURCHASE ORDERS Documents request and purchase of goods and services. This series may include requisition forms, supply orders, orders from stock, purchase orders, purchase order log books, records documenting voided or cancelled purchase orders, cost specifications, authorizations, vendor information, shipping instructions, unit of issue, description of goods/services ordered, unit price, extended price, blanket orders, running orders, purchasing agent signature, billing and budget account information, correspondence and related records.	Audit Clearance + 1 Year	HC EL		Security Destruction, see notes.
Finance - Purchasing	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Finance - Purchasing	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Purchasing	2007-0368	SUPPLY MANAGEMENT RECORDS Supply inventories & requests & may contain supply requests, supply inventories, packing slips, receiving reports, copies of delivery receipts, copies of requisitions, requisition log, copies of purchase orders, inventory control forms, sign-out sheets, correspondence & related documents.	Audit Clearance + 1 Year	HC EL		
Finance - Purchasing	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Purchasing	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Purchasing	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Purchasing	2007-0379	VENDOR MASTER LIST Master list of vendors providing goods and services to County. May include vendor name, address, phone number, fax number, e-mail address, product and service information, vendor identification number, tax ID number, contact name, and related information.	Until Superseded	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Purchasing	2007-0378	VENDOR/CONTRACTOR FILES Vendors providing goods & services to governmental entities. May include, but is not limited to, name of vendor or company, name of contact or agent, address, telephone & fax numbers, e-mail & web site address, description of goods & services provided, vendor and/or tax ID number, vendor evaluation forms, information on past performance, price lists, correspondence & similar documents.	Calendar Yearend + 3 Years	HC EL		Security Destruction, see notes.
Finance - Risk Management	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Risk Management	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Risk Management	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - Risk Management	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Risk Management		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - Risk Management	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - Risk Management	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - Risk Management	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Finance - Risk Management	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Finance - Risk Management	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Finance - Risk Management	2007-0061	CLAIM FILES, INSURANCE Claims filed against County. These include personal injury, property damage, motor vehicle accident, false arrest, and others. Records include reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents.	Disposition + 3 Fiscal Years	HC		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Risk Management	2007-1424	CLAIM FILES, WORKERS' COMPENSATION - AGENCY COPY Recording and reporting of occupational injuries and illnesses. May include employee name, social security number, employers report of industrial injury or occupational disease, workers' compensation claim forms, reports from health care providers, copies of OSHA reports and forms, written determinations, ratings performed by any physician or chiropractor, copies of bills and payment vouchers, records of all compensation paid to injured employee and all payments made to any other person in connection with claim, copies of payroll documents, legal correspondence, communication log, review or appeal documents, and any other forms or correspondence which pertain to claim. Includes C-1, C-3 & D-2 forms, temporary total disability payments and logs, permanent total disability payments and logs, medical payments and logs, medical records, employee leave forms, legal correspondence, return to work files, Bank of America register, article 31/28 - fire fighters vocational rehab logs, physicals, exit	Closure + 3 Years	HC EL		HIPAA information requires Security Destruction, see notes. NAC 616C.088
Finance - Risk Management	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Risk Management	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere	Expiration + 1 Year	HC		Security Destruction, see notes.
Finance - Risk Management	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Finance - Risk Management	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - Risk Management	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Finance - Risk Management	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Finance - Risk Management	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Risk Management		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Finance - Risk Management	2007-1469	FITNESS FOR DUTY FILES (<i>Department Copies. Official record copy at Human Resources.</i>) Document actions taken when an evaluation is done to determine an employee's ability to perform essential functions of job due to physical, mental, or emotional disorders. This may include incident reports, essential functions forms, certifications from health care providers, copies of medical records, copies of leave forms, copies of payroll reports, related correspondence and similar documents.	Closure	HC		HIPAA information requires Security Destruction, see notes.
Finance - Risk Management	2007-0440	FIXED ASSETS AND INVENTORY RECORDS Document and administer process of updating and reconciling an inventory of fixed assets in department's possession. May contain fixed asset inventories, copies of purchase orders and other fiscal records, monthly or annual property reports, copies of other property records, memos, correspondence, inventory journals and related documents.	Until Superseded + 5 Years	HC EL		
Finance - Risk Management	2007-0064	HAZARDOUS MATERIAL SAFETY FILE This record series is used to provide information on hazardous materials stored, manufacturer or used by agency as part of Hazard Communication Program. This series includes material safety data sheets (MSDS) and a listing of hazardous material in workplace.	Product no Longer in Workplace + 30 Years	HC		29CFR 1910.1020, 29CFR 1910.1200
Finance - Risk Management	2007-0062	INSURANCE POLICIES Terms & conditions of insurance policies between local government & insurers. Types of insurance may include liability, property, motor vehicle, flood, & others. Records include policies, endorsements, rate change notices, agent of record, related correspondence & similar documents.	PERMANENT	HC		
Finance - Risk Management		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Risk Management	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - Risk Management	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - Risk Management	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	FY + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - Risk Management	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - Risk Management	2007-0314	PLAN RECORDS, GROUP HEALTH AND LIFE INSURANCE Documents group insurance policies offered by a local government as part of the employee benefits program. Includes plan document, enrollment forms, birth/death certificates, marriage certificates, full-time student status, change forms, beneficiary forms, court documents, CORPA notification	Plan Expired and Final Benefits Paid + 6 Years	HC EL		
Finance - Risk Management	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Finance - Risk Management	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Finance - Risk Management	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
Finance - Risk Management	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - Risk Management	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - Risk Management	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - Risk Management	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - SAP/ERP	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - SAP/ERP	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - SAP/ERP	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Finance - SAP/ERP	2007-1346	APPLICATION DEVELOPMENT PROJECT FILES IBM specifications and documentations related to SAP-ERP Core Financial and HCM Systems	Completion + 3 Years			
Finance - SAP/ERP	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - SAP/ERP		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Finance - SAP/ERP	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Finance - SAP/ERP	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Finance - SAP/ERP	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Finance - SAP/ERP	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Finance - SAP/ERP	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Finance - SAP/ERP	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - SAP/ERP	2007-0054	CONTRACTS & AGREEMENTS (Department copies) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Finance - SAP/ERP	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Finance - SAP/ERP	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Finance - SAP/ERP	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Finance - SAP/ERP	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Finance - SAP/ERP	2007-0244	DOCUMENTATION OF COMPUTER SYSTEM & PROGRAMS Instructions and documentation related to certain programs, applications and or systems used by department. Includes APPLIX Attachmate records, HCM documentation, SAP Ascendant records, and SAP support center master catalog of system files.	Until Superseded OR Expiration + 6 Years	EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - SAP/ERP	2007-1725	EMPLOYEE IT ACCESS CONTROL AND SECURITY FILES Authorizations to make user access changes for HR on SAP system and related database.	Three (3) calendar years from the end of the calendar year in which the form was modified or the employees' access rights were	EL		Security Destruction, see notes.
Finance - SAP/ERP	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Finance - SAP/ERP		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Finance - SAP/ERP		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - SAP/ERP	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Finance - SAP/ERP	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Finance - SAP/ERP	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Finance - SAP/ERP	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Finance - SAP/ERP	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Finance - SAP/ERP	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Finance - SAP/ERP	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Finance - SAP/ERP	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Finance - SAP/ERP	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Finance - SAP/ERP	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Finance - SAP/ERP	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Fire Department	2007-0549b	ACCIDENT REPORTS, NOT RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	3 Years	HC		Security Destruction, see notes.
Fire Department	2007-0549a	ACCIDENT REPORTS, RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	Settlement + 3 Years	HC		Security Destruction, see notes.
Fire Department	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Fire Department	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Fire Department	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Fire Department		AGAINST MEDICAL ADVICE RECORDS Records documenting refusal by patient of treatment/transport by EMS and/or other first responders.	6 Years from receipt of the record	HC		NAC 239.165 (1) (2), 45CFR164.501, NRS & NAC 450B HIPAA information requires Security Destruction, see notes.
Fire Department	2007-1495	ALARM SYSTEM FILES Documents inspection and testing of individual fire alarm systems. Includes permits, installation records, construction documents, diagrams, specifications, certifications, record of completion, inspection records, site information, building code reports, instructions, system testing records, system monitoring records, service agreements, maintenance and service reports,	Life of Asset	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Fire Department	2007-0558b	APPARATUS AND EQUIPMENT RECORDS Document and administer management of apparatus and equipment in possession of fire department. May contain description of item, make and model, operating instructions, identification or license numbers, registrations, owner's manual, location of item, inspection reports, maintenance schedules, maintenance and repair reports, repair history, copies of work orders, test records (ladder, hose, air packs), test result reports, cost summaries, data sheets, inventory control records, accounting documents, control logs or lists, vendor information, photographs, correspondence and related documents.	Life of Asset + 3 Years	HC		
Fire Department	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Fire Department		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Fire Department	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Fire Department	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Fire Department	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Fire Department	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Fire Department	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Fire Department	2007-0567a	BUILDING CONSTRUCTION INSPECTION RECORDS Documents inspection of commercial buildings, public buildings, structures, child care facilities, long-term care facilities, warehouses, parks, & similar facilities by fire departmental personnel for fire hazards, conformity with fire codes & regulations, & for other reasons permitted by state law/regulation or local policy. May include inspection reports, cumulative inspection history, violation notices, citations, documents verifying that violation has been corrected, re-inspection forms & reports, notes, memos, photos, correspondence & related documents.	12 Years from date of inspection	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Fire Department	2007-1588	BUILDING DEMOLITION RECORDS Records relating to demolition and clearance of buildings deemed unfit for occupancy and condemned, and may include demolition orders, inspection reports, notices to property owners, correspondence, and any related court documents.	3 Calendar Years from date of demolition	EL		
Fire Department	2007-0567b	BUILDING FIRE CODE INSPECTION RECORDS, ANNUAL Documents inspection of commercial buildings, public buildings, structures, child care facilities, long-term care facilities, warehouses, parks, & similar facilities by fire departmental personnel for fire hazards, conformity with fire codes & regulations, & for other reasons permitted by state law/regulation or local policy. May include inspection reports, cumulative inspection history, violation notices, citations, documents verifying that violation has been corrected, re-inspection forms & reports, notes, memos, photos, correspondence & related documents.	State requirement is five (5) calendar years from the date of the inspection. Department policy is to retain records for Life of Asset	HC		
Fire Department	2007-0568	BUILDING PLANS, COMMERCIAL STRUCTURES Copies of building plans for public and/or commercial buildings and structures. Includes blueprints, engineering drawings, as built drawings, specifications, grounds (landscape) drawings, photographs.	Life of Asset	EL		NRS 239C.090 (Homeland Security Act), NAC 239.165 (1)(2) Security Destruction, see notes.
Fire Department	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Fire Department	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Fire Department	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Fire Department	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Fire Department	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Fire Department	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Fire Department	2007-0571b	DISPATCH RECORDINGS, RESULTING IN LEGAL ACTION Audio recordings of incoming emergency calls, fire and emergency dispatches, radio activity, and 911 calls.	Disposition	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Fire Department	2007-0571a	DISPATCH RECORDINGS, RESULTING IN NO LEGAL ACTION Audio recordings of incoming emergency calls, fire and emergency dispatches, radio activity, and 911 calls.	60 Days	EL		
Fire Department	2007-0555	EMERGENCY INCIDENT RECORDS Documents services provided by fire or emergency medical services (EMS) personnel to sick or injured people.	Calendar Yearend + 6 Years	EL		HIPAA information requires Security Destruction, see notes.
Fire Department	2007-0058	EMPLOYEE PERSONNEL FILES (Department copies. Official record copy at Human Resources.) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Fire Department	2007-0555	EMS RUNS, RURAL MEDICAL Reports of medical runs that took place in rural locations.	Calendar Yearend + 6 Years	HC EL		Security Destruction, see notes.
Fire Department		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Fire Department	2007-1233	EXPOSURE REPORTS Reports completed when a fire fighter is exposed to toxic fumes, smoke, or chemicals during performance of duty. It is used to verify exposure in case of illness. May include employee's name, position, station, address where injury occurred, name and type of occupancy, date and time of exposure, incident number, description of exposure, duration of exposure, symptoms present, copies of medical reports, date and signature of employee, and date and signature of supervisor.	Termination + 30 Years	HC		HIPAA information requires Security Destruction, see notes.
Fire Department	2007-1467	FALSE ALARM REPORTS Information pertaining to false alarms, outcries, or reports of fire. These reports may include date and time of report, location, any identifying characteristics of caller, number of responding units, and time it was identified as a false report.	2 Years	HC EL		
Fire Department	2007-0190	FIRE AND LIFE SAFETY FILES Records which document all necessary code requirements and operational restrictions placed upon a building or structure.	PERMANENT	HC EL		
Fire Department	2007-0583	FIRE CODES Documents fire codes and supplements to such codes, adopted by ordinance for local government.	PERMANENT See NOTE	HC EL		NOTE: Fire codes are used to inspect buildings; department needs access to all codes indefinitely, as a building is inspected to the code in effect at the time of its construction.
Fire Department	2007-0586a	FIRE HYDRANT RECORDS, FLOW CARDS Documents location, installation, inspection, maintenance, repair, & replacement of fire hydrants. May include fire flow rate, main size, water available & related documents.	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Fire Department	2007-0586b	FIRE HYDRANT RECORDS, OTHER THAN FLOW CARDS Documents location, installation, inspection, maintenance, repair, & replacement of fire hydrants. May include installation records, location, hydrant number, type (2 way, 3 way), lateral size, height from ground, inspection reports, condition, maintenance & repair records, pressure test results, damage reports, removal & replacement records, notes & remarks, & related documents.	Life of Asset + 2 Years	HC EL		
Fire Department	2007-0597b	FIRE INVESTIGATION RECORDS, CRIMINAL ACTION Documents investigations conducted by fire department personnel to determine cause, origin, and circumstances of fires or fire related incidents. May contain investigation notes and reports, lab reports, casualty reports, damage reports, run reports, interviews, witness statements, transcripts, copies of police reports, suspect information, copy of arrest report, evidence log, court documents, insurance reports, vehicle records, photographs, audio-visual tapes, newspaper clippings, findings, determinations, disposition, final or summary report, correspondence, and similar records.	Disposition of Case + 6 Years	HC EL		Security Destruction, see notes.
Fire Department	2007-0597a	FIRE INVESTIGATION RECORDS, <u>NO</u> CRIMINAL ACTION Documents investigations conducted by fire department personnel to determine cause, origin, and circumstances of fires or fire related incidents. May contain investigation notes and reports, lab reports, casualty reports, damage reports, run reports, interviews, witness statements, transcripts, copies of police reports, suspect information, copy of arrest report, evidence log, court documents, insurance reports, vehicle records, photographs, audio-visual tapes, newspaper clippings, findings, determinations, disposition, final or summary report, correspondence, and similar records.	Closure + 6 Years	HC EL		Security Destruction, see notes.
Fire Department	2007-1475	FIRE PREVENTION EDUCATION PROGRAMS Documents and administers fire prevention education programs and similar outreach programs provided to public by fire departments. Includes program descriptions, instructional materials, enrollment and attendance records, reports, speeches, handouts, brochures, video, posters, pamphlets.	Expiration + 1 Year	HC EL		
Fire Department	2007-1480b	INCIDENT REPORTS, HAZARDOUS MATERIALS INVESTIGATIONS Investigation of hazardous material accidents or incidents including releases. Includes incident reports, reports of personnel involved, cause reports, emergency response reports, clean-up operations reports, decontamination reports.	Termination + 30 Years	HC		29CFR1910.1020, NAC 239.165 (1) (2), 45CFR164.501, 45CFR164.528 HIPAA information requires Security Destruction, see notes.
Fire Department		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Fire Department	2007-1557	LOG, DAILY CODE ENFORCEMENT INSPECTIONS Logs kept by Code Enforcement Officers detailing various inspections of potential property maintenance code violations.	Calendar Yearend + 1 Year	EL		
Fire Department	2007-1555	LOGS, DAILY BUILDING INSPECTORS Logs kept by inspectors of information relating to daily building code inspections.	Calendar Yearend + 1 Year	HC EL		
Fire Department	2007-1479	LOGS, DISPATCH Logs maintained by emergency dispatch units. Log usually contains name of dispatcher, date and time call received, type of call (phone, radio, in-person) complainant name, address / phone number, nature of call, units dispatched, time dispatched, action taken, and related data.	1 Year	EL		
Fire Department	2007-0648	MAPS AND PLANS, WATER SYSTEMS Maps, plans, blueprints, & similar records. Useful for locating fire hydrants, water mains, connections, valve locations & other water supplies used during fire emergency responses.	Until Superseded	EL		Security Destruction, see notes
Fire Department	2007-1466	MEDICAL FILES, FIREFIGHTER Individual firefighter's work related medical history. Includes name, personal information, medical and/or physical examination records (pre-employment, pre-assignment, required tests, X-rays, records of significant health or disability limitations related to job assignments, documentation of work related injuries or illnesses, hearing test records, hazard exposure records, injury reports, first aid incident records, physical examination statements, medical release authorizations, signed consent forms.	Death + 6 Years	EL		45 CFR 164.530 (j)(2), NRS 616C.052, NRS 617.135, NRS 617.454 to 617.457, NRS 617.485, NRS 616A.400, NAC Chapter 617, NAC 239.165 (1)(2) Note: Hazard exposure records document exposure to hazardous conditions such as chemicals, toxic substances, blood-borne pathogens, biological agents, bacteria, virus, fungus, radiation, noise, dust, heat, cold, vibration, repetitive motion, or other dangerous conditions. HIPAA information requires Security Destruction, see notes.
Fire Department	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Fire Department	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Fire Department	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Fire Department	2007-0554	PERMITS, AMBULANCE OPERATING Documents application for and receipt or denial of operating permits in accordance with state law and regulation.	Expiration + 2 Years	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Fire Department	2007-1572	PERMITS, DESIGN AND CONSTRUCTION, COMMERCIAL OR PUBLIC STRUCTURES Structural files for any building not classified as "Group R" in International Building Code, and any structure on, or related to, subject property. Structural file consists of tests and calculations directly related to structural integrity or technical components of structure. Includes code modification requests, field density testing reports, field submitted structural tests and structural info from inspection, final grading reports, finished floor elevation certificates, geotechnical reports, pad certification reports, post tension stressing certificate, special inspection (QAA) reports, structural calculations, structural checklist, truss calculations	Life of Asset	HC EL		Security Destruction, see notes.
Fire Department	2007-1468	PERMITS, EXPLOSIVES STORAGE AND USE Documents issuance of permits authorizing manufacture, possession, storage, sale, display, use, or disposal of explosives for construction and demolition projects, fireworks, theatrical pyrotechnics, and other applications. Information includes name and address of permitted, license information (if applicable), location of use, amount and type of explosives used, conditions, emergency response procedures, and related information.	Expiration + 5 Years	EL		
Fire Department	2007-0728	PERMITS, NARCOTICS Include permits for usage, storage, inventory for all narcotics handled by fire department.	Expiration	HC		Security Destruction, see notes.
Fire Department		PERMITS, SPECIAL USE OR EVENT Documents operational, construction, and special event /use permits issued by fire departments. Includes permit application, site review reports, plan review reports, copies of inspection reports, code reviews, special requirement reports, copy of applicable certificates, copy of permit, fee payment records. These permits are often for recurring events such as CES where program layouts and permits are different every year; therefore, there is no significant carryover of information from	Expiration + 60 Days	HC EL		Security Destruction, see notes.
Fire Department	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Fire Department	2007-0205b	PLANS FOR COMMERCIAL AND PUBLIC STRUCTURES, DISASTER Maps, plans, blueprints, specifications and similar documents submitted with applications for building and construction permits. This series includes plans for any structure not classified as "Group R" in International Building Code, and any structure on or related to subject property.	Disaster + 6 Years	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Fire Department	2007-0205a	PLANS FOR COMMERCIAL AND PUBLIC STRUCTURES, NO DISASTER Maps, plans, blueprints, specifications and similar documents submitted with applications for building and construction permits. This series includes plans for any structure not classified as "Group R" in International Building Code, and any structure on or related to subject property.	Life of Asset	HC EL		Security Destruction, see notes.
Fire Department	2007-0203	PLANS, CHECKERS, RECORDS OF PERSONS REVIEWING PLANS AND BLUEPRINTS Documents the plan review process. Includes copies of maps, plans, blueprints, specifications, application for permit, internal forms.	Calendar Yearend + 3 Years	EL		Security Destruction, see notes.
Fire Department	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Fire Department	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Fire Department	2007-1491	REPORTS OF DRILLS Documents results of drills performed to instruct individuals in appropriate procedures to be followed in event of an emergency.	2 Years	HC EL		Security Destruction, see notes.
Fire Department	2007-0734	REPORTS TO DRUG ENFORCEMENT ADMINISTRATION RE: THEFT / LOSS OF CONTROLLED SUBSTANCES Reports to Drug Enforcement Administration (DEA) of any theft or significant loss of controlled substances.	2 Years	HC EL		Security Destruction, see notes.
Fire Department	2007-0643	SCHOOL MASTER FILES School plans and may contain plans, blueprints, as built drawings, schematics, calculations and specifications, photographs, associated correspondence, and related documents.	Life of Asset	EL		Security Destruction, see notes.
Fire Department	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Fire Department	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Fire Department	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Fire Department	2007-0629	TRAINING FILES, INDIVIDUAL EMPLOYEE Documents and administers employee development and training. This series may contain employee name, badge or ID number, training bulletins, request for training forms, training plans, training exercises, test scores, training certificates, training history, documentation of continuing education, records documenting completion of mandatory training requirements, fire academy reports and records, course outlines, courses taken, copies of course material, attendance records, proficiency tests, certificates, training evaluations, reports detailing training needs, records authorizing and administering the granting of educational leave, training summaries, logs, lists, reports, photos, forms, related correspondence and similar records.	Termination + 5 Years	HC EL		A copy of employee's development & training information should be sent to employee & new agency upon transfer. Security Destruction, see notes.
Fire Department	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Fire Department	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Human Resources	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Human Resources	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Human Resources	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Human Resources	2007-0302b	ALCOHOL AND DRUG TESTING RECORDS, <u>NEGATIVE RESULTS</u> Employee Assistance Program Case files(Required), correspondence documents-including faxes and notes, Employee Assistance Program Case Files (Voluntary), Lab reports, Assessment Instruments, Actual Written Assessments, Follow up evaluations, Testing Schedules, Return to duty forms, Release of information forms, Employee Intake forms. This is mandated documentation by DOT, compliance with standards of Employee Assistance Professionals Association, also with Substance Abuse Prevention and Treatment Agency (SAPTA) and the State of Nevada.	1 Year	HC		Although may contain "protected health information" as defined by HIPAA (Health Insurance Portability & Accountability Act, 42 U.S.C. § 1320d et seq.), these records are considered to be "employment records" under 45 CFR 164.501 definition of "protected health information" #2 (iii), & are exempt from HIPAA access & retention requirements.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Human Resources	2007-0302a	ALCOHOL AND DRUG TESTING RECORDS, POSITIVE RESULTS Employee Assistance Program Case files (Required), correspondence documents-including faxes and notes, Employee Assistance Program Case Files (Voluntary), Last Chance Agreements, Lab reports, Assessment Instruments, Actual Written Assessments, Follow up evaluations, Testing Schedules, Return to duty forms, Disciplinary Documents, Release of information forms, Employee Intake forms. This is mandated documentation by DOT, compliance with standards of Employee Assistance Professionals Association, also with Substance Abuse Prevention and Treatment Agency (SAPTA) and the State of Nevada.	5 Years	HC		Although may contain "protected health information" as defined by HIPAA (Health Insurance Portability & Accountability Act, 42 U.S.C. § 1320d et seq.), these records are considered to be "employment records" under 45 CFR 164.501 definition of "protected health information" #2 (iii), & are exempt from HIPAA access & retention requirements. Security Destruction, see notes.
Human Resources	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Human Resources		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Human Resources	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Human Resources	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Human Resources	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Human Resources	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Human Resources	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Human Resources	2007-0155	CASE FILES, CIVIL LITIGATION INVOLVING COUNTY (<i>Department Copies. Official copies of filed documents are maintained by Court.</i>) Cases filed by County Civil Division or Cases brought against County/ County Agencies/Employees/METRO being defended by Civil Division. Civil Division represents all County agencies and Board of County Commissioners, and as otherwise required by law.	Disposition + 6 Years	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Human Resources	2007-0311	CASE FILES, EMPLOYEE GRIEVANCES Grievances or complaints filed by current employees, terminated employees, applicants, or private citizens regarding employment practices. May include, but is not limited to, complaints, investigation reports, interview documentation, witness statements, background information, supporting papers, summary of action taken, audio/video recordings, related correspondence, & summary of	Settlement + 3 Years	HC EL		Security Destruction, see notes.
Human Resources	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Human Resources	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Human Resources	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Human Resources	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Human Resources	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Human Resources	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Human Resources	2007-1375	EMPLOYEE DEVELOPMENT & TRAINING RECORDS attendance validation, class rosters, evaluations, and related records	Five (5) calendar years from the transfer, separation, retirement, or termination of an employee	HC		Security Destruction, see notes.
Human Resources	2007-0321a	EMPLOYEE MASTER PERSONNEL FILES, DOCUMENTING EMPLOYMENT HISTORY Records which document employment history, including, but not limited to, salary history & longevity documents, classification & salary records, etc.	Termination + 30 Years	HC		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Human Resources	2007-0321b	EMPLOYEE MASTER PERSONNEL FILES, OTHER Records which DO NOT document employment history, including job applications, credential files, background checks, notice of appointment documents, personnel transaction records, payroll withholding information, leave summary records, employee development documents, employee performance documents, training documents, disciplinary actions, copies of licenses or certificates, exit interview records, computer printouts, personnel action forms, correspondence & similar documents related to an individual's	Termination + 3 Years	HC		Security Destruction, see notes.
Human Resources	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Human Resources		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Human Resources	2007-0310	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Regulate the granting and monitoring of family leave under the Federal Family and Medical Leave Act of 1993 and the State Parental Leave Without Pay Bill. Includes Leave Requests, Medical Certifications, Notice Correspondence.	Fiscal Yearend + 3 Years	HC EL		29 CFR 1630.14 HIPAA information requires Security Destruction, see notes.
Human Resources	2007-0317	LABOR NEGOTIATION RECORDS Article 28 & 31, SEIU Hearings & Arbitrations, Parks Negotiations, IAFF Hearings & Arbitrations, General Subject matters, Unemployment claim forms, discipline removals, Collective Bargaining Agreements from other jurisdictions, Prosecutor's negotiations, sheriff civil negotiations, labor team reports, union bank hours, various unit Collective Bargaining Agreements, interlocals, MPS & Mplan, DAIA negotiations, SA Testing Files, Misc Negotiations.	Expiration + 5 Years	HC		Security Destruction, see notes.
Human Resources		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Human Resources	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Human Resources	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Human Resources	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Human Resources	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Human Resources	2007-0325a	RECRUITMENT FILES, HIRED Medical, Pre-employment, Physical exam, Backgrounds, Medical Separation, Bilingual Testing, Misc dept correspondence, Fingerprinting/ Criminal Correspondence, Advertising correspondence, Recruitment archive list, lawsuits for recruitments, merit personnel updates, contracts expired- union, Training Correspondence, division budget information/ correspondence, Scopes, special project documentation, Disciplinary Actions, Applications and Resumes-Hired & Not Hired, EEO reports, Eligibility List, Employee Licenses/ Certificates, Employment Examination Records, Inactive recruitment files, promotion records, search committee files	Transfer to Employee Master File	HC		
Human Resources	2007-0325b	RECRUITMENT FILES, NOT HIRED Medical, Pre-employment, Physical exam, Backgrounds, Medical Separation, Bilingual Testing, Misc dept correspondence, Fingerprinting/ Criminal Correspondence, Advertising correspondence, Recruitment archive list, lawsuits for recruitments, merit personnel updates, contracts expired- union, Training Correspondence, division budget information/ correspondence, Scopes, special project documentation, Disciplinary Actions, Applications and Resumes-Hired & Not Hired, EEO reports, Eligibility List, Employee Licenses/ Certificates, Employment Examination Records, Inactive recruitment files, promotion records, search committee files	Active + 3 Years	HC		Security Destruction, see notes.
Human Resources	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Human Resources	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Human Resources	2007-1382	SALARY AND WAGE SCHEDULES Salary Surveys, Union contracts, Reclassifications, Certification pay, Incentive time hours, Salary structures, SOP-standard operating procedures, Job Audits & Classifications	Until Superseded + 6 Years	HC EL		Review for historical value
Human Resources	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Human Resources	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Human Resources	2007-1294	SUBSTANCE ABUSE CASE RECORDS, MANDATORY Evaluations & treatment of employees who must complete rehabilitation program recommended by evaluation as a condition of continued employment. Records include appointment records, agreements, employee/family personal information, release of information forms, assessment records, counseling & consultation records, referral information, treatment plans, problem solving plans, plan implementation records, supervisory documentation, treatment disposition records, correspondence, & related documents.	Completion of Program + 6 Years	HC EL		Security Destruction, see notes.
Human Resources	2007-1295	SUBSTANCE ABUSE CASE RECORDS, VOLUNTARY Voluntary referral & treatment of employees and/or employee family members in agency sponsored assistance programs. Records include, appointment records, employee family member personal information, release of information forms, assessment records, informational materials, counseling & consultation records, referral information, treatment plans, supervisory documentation, problem solving plans, plan implementation records, correspondence, & related documents.	Expiration + 6 Years	HC EL		Security Destruction, see notes.
Human Resources	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Information Technology	2007-1728	ACCESS CONTROL REVIEWS AND AUDIT TRAILS Audits of policies & procedures created to control access to system applications and/or data by an agency. Includes security & access control logs, firewall traffic log, reviews of security & access control logs, logging procedures reviews, lists of user access rights & user ID's, computer log reviews, security audit/review reports with	Audit Clearance + 3 Years	EL		NRS 239C.210, NRS 11.190 (1)(b) Security Destruction, see notes.
Information Technology	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Information Technology	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Information Technology	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Information Technology	2007-1722	ADMINISTRATIVE DATABASES Databases that support administrative or housekeeping functions such as those used for purposes of filing, keeping track of equipment and/or supplies, calendaring & similar non-programmatic activities for Oracle, Main Frame, IBM, Unix, Windows, Web Applications	Administratively Useful	EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Information Technology	2007-1346	APPLICATION DEVELOPMENT PROJECT FILES All system design, development, implementation and planning documentation for voting/election software.	Completion + 3 Years	HC EL		Security Destruction, see notes.
Information Technology	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (Department copies. Official record copy at Human Resources.)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Information Technology		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Information Technology	2007-1337	AUDIT REPORTS, DATABASE RESTRUCTURE Computer printouts created when files are being restructured. This record series is used to verify successful completion of the process.	Administratively Useful	HC EL		
Information Technology	2007-1328	AUDIT TRAIL RECORDS Data produced during formation of database used to validate master file database during a process cycle. Defines: user that makes change, Date & Time of change, Type of change, Name of file and program, Job that processed data.	3 Data Backup Cycles	EL		
Information Technology	2007-0241	BACKUP OF COMPUTER FILES MADE FOR SECURITY Security backup of files stored on networks within the County & are retained for file damaged or deleted data. Includes: User Objects, Libraries, files, programs, journals, and hardware objects, security configuration, etc.	6 Months	EL		
Information Technology	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Information Technology	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Information Technology	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Information Technology	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Information Technology	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Information Technology	2007-1329	CATALOGED LIST OF DATA TAPES/DISKS System reports that show all tapes, and or disks holding data for departments. Including name and location of tape or disk.	Until Superseded	EL		
Information Technology	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Information Technology	2007-1350	COMPUTER USAGE FILES Event Logs created to monitor computer activity. Level, Date and Time, Source, Event ID and Task Category	Administratively Useful	EL		
Information Technology	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Information Technology	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Information Technology	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Information Technology	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Information Technology	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Information Technology	2007-1345	DATA DOCUMENTATION Records created during development or modification to automated systems, & are necessary to access, retrieve, manipulate & interpret data. May include, but is not limited to, information on data element dictionary, file layout, code book or table, & other records that explain the meaning, purpose, structure, logical relationships, & origin of data elements (sometimes known as <i>metadata</i>)	Life of Asset + 3 Years	EL		
Information Technology	2007-1330	DATABASE STATISTICS Computer listings that show utilization of disk files, & overall disk space utilization which provides index information on number of files/tables. (Capacity compared with used /available space on disks)	Administratively Useful	EL		
Information Technology	2007-0244	DOCUMENTATION OF COMPUTER SYSTEM & PROGRAMS Instructions and documentation related to certain programs, applications and or systems used by department. Includes: <i>Installation and setup files</i>	Until Superseded + 6 Years OR Expiration + 6 Years	EL		Security Destruction, see notes.
Information Technology	2007-1725	EMPLOYEE IT ACCESS CONTROL AND SECURITY FILES Authorizations to make user access changes for HR on SAP system	Calendar Yearend + 3 Years	EL		Security Destruction, see notes.
Information Technology	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Information Technology		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Information Technology	2007-1341	ERROR REPORTS Reports produced to detect errors or potential errors within computer systems. Files may consist of paper printouts and/or on-line reports. Reports may be run on a regular or special basis.	Until Superseded	HC EL		
Information Technology	2007-1331	INDEXES AND FINDING AIDS Indexes, lists, registers, & other finding aids usually used to provide access to master files.	Administratively Useful	HC EL		
Information Technology	2007-1363	INVENTORIES OF CIRCUITS Automated or paper records containing information on network circuits used by the local government including circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit.	Expiration + 3 Years	EL		NRS 11.190 (3)(d)
Information Technology	2007-1335	JOB LIBRARIES Computer listings which show the complete current contents of the object program library.	Administratively Useful	EL		
Information Technology		LEAVE REQUESTS, EMPLOYEE (Department copies. Official record copy at Human Resources.) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Information Technology	2007-1729	LOG, PRODUCTION JOB SUBMITTAL Used as a history of non-automated batch job requirements. The record lists programs and/or hardware that will be affected by running of requested job. Used to check on what order jobs are run on system.	30 Days	HC EL		
Information Technology	2007-1339	LOG, SOFTWARE MAINTENANCE Summary of program activity for developing and or maintaining system applications.	Calendar Yearend + 1 Year	EL		
Information Technology	2007-1362	LOGS & REPORTS, COMPUTER HELP DESK Documents requests for technical assistance & responses from users to requests, as well as collect information on use of computer equipment for program delivery, security, or other purposes. Includes: Summary, work order number, type, category, priority, technician assigned, Date assigned, date due, description, resolution and attachments.	1 Year	EL		
Information Technology	2007-1365	LOGS, INTERNET SERVICES Electronic files or automated logs created to monitor access and use of services provided via Internet. Information in this series may also be used to document system audits, system security audits, create summary reports, and other purposes.	Audit Clearance	EL		
Information Technology	2007-0246	MASTER COPIES OF FORMS Documents current paper and electronic format masters for various forms. Includes sample forms, drafts, revisions, form logs or listings, proposals, authorizations, illustrations.	Until Superseded	EL		
Information Technology	2007-1333	MASTER FILES Electronic records that replace in whole or in part, hard copy records that have been scheduled through approved records retention schedule and contain same information as scheduled records.	Expiration+ of minimum retention period for hard copy of file	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Information Technology	2007-1334	MASTER FILES, SUMMARIES Electronic records that replace in whole or in part, hard copy records that have been scheduled through approved records retention schedule and contain same information as scheduled records	Expiration of minimum retention period for hard copy of file	EL		
Information Technology	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Information Technology	2007-1364	NETWORK OR CIRCUIT INSTALLATION AND SERVICE FILES Requests to service provider for data communication service, installation, or repair & response to request. Includes work orders, work schedules, building or circuitry diagrams	Completion + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NRS 239C.120, NAC 239.165 (1)(2) Security Destruction, see notes.
Information Technology	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Information Technology	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Information Technology	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Information Technology	2007-1370	PLANS, IT CONTINGENCY Contingency plan for Tabulation environment in event of a disaster and/or relocation of election results processing off-site.	Until Superseded + 3 Years	HC EL		Security Destruction, see notes.
Information Technology	2007-1723	PLANS, IT SECURITY Evaluations on security of computer systems concerning protection against unauthorized access, disclosure, or modification of data & protection against loss of data due to security breaches & /or sabotage. Includes initial security evaluation, periodic evaluations, special evaluations, system upgrade & modification documents, security logs & reports.	Until Superseded + 6 Years	HC EL		NRS 239C.210, NRS 11.190 (1)(b) Security Destruction, see notes.
Information Technology	2007-1361	PLANS, OPERATING SYSTEM AND HARDWARE CONVERSION Replacement of equipment or computer operating systems due to hardware / software obsolescence or maintenance, & should be part of regular migration or conversion schedule built into design of system.	3 Years	HC EL		
Information Technology	2007-1356	PRINTOUTS, PRINT FILES, OR MASTER FILE EXTRACTS Files containing only information extracted from a master file or database when original information remains on master file or database.	Administratively Useful	HC EL		
Information Technology	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Information Technology	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Information Technology	2007-1726	REVIEWS, REPORTS AND LOGS, IT SECURITY Audits of policies & procedures created to control physical access to IT systems, controls over environmental functions within computer facilities, reports of security breaches & suspicious activities. Includes authorized visitor log, physical security reviews, environmental controls reviews, Annual Internal Compliance Reviews, Security Breach Reports, Reports of Suspicious Activities, Reports of Suspected Violations, checklists, reports to management.	Audit Clearance + 3 Years	HC EL		NRS 239C.210, NRS 11.190 (1)(b) Security Destruction, see notes.
Information Technology	2007-1344	SCHEDULING RECORDS, COMPUTER RUNS Scheduled computer runs includes running daily reports, request and other successful data runs	1 Year	EL		
Information Technology	2007-1368	SECURITY EVALUATIONS, IT Information concerning computer systems security and protection against unauthorized access, disclosure, or modification of data & protection against loss of data due to security breaches	Calendar Yearend + 3 Years	HC EL		Security Destruction, see notes.
Information Technology	2007-1349	SECURITY RECORDS, COMPUTER SYSTEMS Records used to control or monitor security of system and data. Includes systems event logs, network monitor management tools, intrusion detection logs, firewall logs, auditing logs and other security logs.	Until Superseded + 6 Years	EL		Security Destruction, see notes.
Information Technology	2007-1245	SOFTWARE LICENSES Licensure & implementation of computer software programs by local government. May include permitted uses, rights & restrictions, warranty information, liability statement, & laws governing product	Expiration + 6 Years	HC EL		
Information Technology	2007-1351	SOFTWARE REVIEW FILES Review & recommendation of software for local government use. Includes vendor information, manuals, software reviews	Expiration + 3 Years	HC EL		
Information Technology	2007-1347	SOURCE CODE / PROGRAM LISTINGS Instructions from a computer program code which generates system language used to operate an automated information system. Users log in to an interface which regenerates or translates using an automated system to mainframe or operating system	Until Superseded + 3 Data Backup Cycles	EL		
Information Technology	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
Information Technology	2007-0249	STANDARDS FOR USERS OF COMPUTER EQUIPMENT Standards for use of computer equipment & may include but is not limited to documentation on defined computer policies & guidelines, user handbooks, e-mail policies, & related documents.	Until Superseded	HC EL		
Information Technology	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Information Technology	2007-1369	SYSTEM USER MASTER LIST, IT Creation, maintenance & management of IT system user access rights. The master list usually consists of an on-line electronic file containing user names, user ID codes, access rights & privileges (to data, applications, communications & other system devices) & similar documents.	Until Superseded	EL		Security Destruction, see notes.
Information Technology	2007-1332	TEST FILES Temporary electronic records created to test system performance. Files may be on line, disk, or computer magnetic tape <u>and includes related documentation</u> .	Administratively Useful	HC EL		
Information Technology	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Information Technology	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include <u>HIPAA information</u> .	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Information Technology	2007-1336	TRANSACTION FILES Records used to create or update master files. Files may be online, disk, or computer magnetic tape, and the <u>record series includes related documentation</u> .	Administratively Useful	HC EL		
Information Technology	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other <u>records related to employee travel</u> .	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Information Technology	2007-1721	VOLATILE SOFTWARE MODIFICATIONS File copy of original system software modules that have been modified. It is kept as a backup to newly modified systems in case problems arise after <u>modification</u> .	Administratively Useful	HC EL		NRS 239C.210, NRS 239B.040 Security Destruction, see notes.
Information Technology	2007-1353	WORK OR INTERMEDIATE FILES Records used to facilitate processing of a specific job or run, or used to create, update, modify, transfer, manipulate, or sort data within an automated system when all transactions are captured in a master file, valid transaction file or database, in cases where file is not required to provide an audit trail.	Expiration	HC EL		
Justice Court - Henderson	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). <u>Official record copy at Comptroller.</u>	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Henderson	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports <u>delineating department activities</u> .	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Justice Court - Henderson	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports <u>delineating department activities</u> .	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Justice Court - Henderson		ADMINISTRATIVE ORDERS FROM SUPREME COURT <u>Issued by Chief Justice</u>	PERMANENT	HC EL		

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Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Henderson	SCRS-28	AFFIDAVIT, PROBABLE CAUSE Affidavit filed for preliminary examination. May have arrest report attached. Includes Probable cause affidavit, Arrest report, Temporary custody record, <i>Custody stat slip after completed</i>	2 Years OR Affidavit filed with District Court	HC EL		Supreme Court Retention Schedule (SCRS), item #28. NRS 205.4617, NAC 239.165 (1)(2). Security Destruction, see notes.
Justice Court - Henderson	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Henderson	2007-0303	APPLICATIONS AND RESUMES, HIRED Applications and/or resumes submitted to agencies by individuals seeking employment, transfer, or promotion.	Transfer to master personnel file	HC		Security Destruction, see notes.
Justice Court - Henderson	2007-1273	APPLICATIONS AND RESUMES, NOT HIRED Applications and/or resumes submitted to agencies by individuals seeking employment transfer, or promotion who were not hired	Closure + 2 Years	HC		Security Destruction, see notes.
Justice Court - Henderson		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Justice Court - Henderson	2007-0790	BAIL BOND REGISTER Register containing information on bail bonds posted with court (Qualifying Powers of Agents and Bond Co.) Bail Bond Register summarizes data that is also found on actual bail bond which is kept in case file. Some information will also appear on receipt that is generated for transaction.	Exoneration or Forfeiture + 6 Years	EL		NRS 178.544
Justice Court - Henderson	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Justice Court - Henderson	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Justice Court - Henderson	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk	Fiscal Yearend + 5 Years	HC EL		
Justice Court - Henderson	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Justice Court - Henderson	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Justice Court - Henderson	2007-0568	BUILDING PLANS (<i>Department Copies</i>) Official record copy at Real Property Management. Copies of building plans for court expansion. It may include blueprints, engineering drawings, specifications, photographs, maps and drawings for related construction project.	Administratively Useful	HC EL		
Justice Court - Henderson	SCRS-14	CALENDARS/AGENDAS, JUSTICE COURT Day by day listing of cases to be heard, specifying department.	90 Days	HC		SCRS, item #14 NRS 178.592

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Henderson	2007-0155	CASE FILES, CIVIL May contain affidavits / applications, motions, orders / stipulations, judgments, complaints / confessions, satisfactions, writs, answers, petition for sealing, memo of cost, attorney fees / notifications, remands, appeals/appeal bonds, court appearances/hearings, bankruptcy notifications, transfers, court minutes, counterclaims, certification in support, various notices/ stipulations.	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	SCRS-33	CASE FILES, COMMUNITY SERVICE Documentation on persons doing community service in lieu of serving time in jail or paying a fine. Includes referrals and completion reports.	Completion + 2 Years	HC EL		SCRS, item #33 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	2007-1387	CASE FILES, CRIMINAL MISDEMEANOR Misdemeanor cases prosecuted by District Attorney's office.	Disposition + 6 Years	HC		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	2007-1499	CASE FILES, DRIVING UNDER THE INFLUENCE Case file for DUI cases. May contain citation, blood alcohol test results, plea, judgment, dockets, receipts, community service referrals, completion records, arrest reports, temporary custody reports, bench warrants, admonishment of rights, motions, citation / complaint, bail bonds, custody release, o/r paperwork, orders, minutes, serve slips	Disposition + 7 Years	HC EL		NRS 48 4.3792, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	2007-1383	CASE FILES, FELONY Felony cases filed & prosecuted by District Attorney's office. May contain complaint / citation, admonishment of rights, motion, orders, payment receipt, bail bonds, custody release, o/r paperwork, toxicology reports, plea, judgment, docket, blood alcohol test results, completion records, community service referrals, arrest reports, temporary custody records, minutes, etc.	Disposition + 10 Years	HC EL		Retain cases determined by District Attorney to be of historical significance permanently. NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	2007-1498	CASE FILES, GROSS MISDEMEANOR Case files document gross misdemeanor cases filed & prosecuted by District Attorney's office. May contain case number, defendant's name, social security number, date of birth, charge, indictment & arraignment dates, plea, bond amount, trial date, verdict, & sentence. May also contain copies of police reports, complaints, investigation records, DUI documents, citations, offense reports, motions, witness lists, subpoenas, FBI reports, photographs, exhibits, attorneys' notes, correspondence, & related documents.	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	SCRS-09	CASE FILES, SMALL CLAIMS Case file of small claims actions. May contain affidavit and order, return of service, motions, judgments, etc. includes complaints, motions, writs / garnishments, orders / stipulations, formal objections, certified mail receipt, answers, bankruptcy notification, bench warrants, appeals, court appearance dates, security cost bonds / receipts / nsf, judgments, court minutes, evidence, affidavits, correspondence, counterclaim	Disposition + 6 Years	HC EL		SCRS, item #9 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Henderson	2007-0877	CASE FILES, TRAFFIC Case file for traffic cases. May contain citations, motions, orders, judgments, receipts, docket, minutes, referrals, payment receipts, bail bonds, blood alcohol test results, plea, completion records, arrest warrants, bench warrants, custody release, temporary custody records, admonishment of rights, o/r non-work, court cases	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	SCRS-42	CASE HISTORY & CASE PROCEEDINGS RECORDS, MISCELLANEOUS Various types of records (usually on an electronic data base) used to keep track of individual court case history, activity, and disposition (minute sheet)	Disposition + 6 Years	EL		SCRS, item #42 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	SCRS-17	CITATIONS, UNABLE TO LOCATE Citations that were issued but defendant could not be located.	5 Years	HC EL		SCRS, item #17 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	SCRS-04	CITATIONS, UNCONTESTED Citations issued for misdemeanor and traffic offenses where there was no court action other than initial appearance and disposition	Closure + 2 Years	HC EL		SCRS, item #4 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Henderson	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Justice Court - Henderson	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Justice Court - Henderson	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Justice Court - Henderson	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Justice Court - Henderson	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Justice Court - Henderson		COURT ADMINISTRATIVE ORDERS	PERMANENT	HC EL		
Justice Court - Henderson		CRIMINAL WITNESS PAYROLL	Audit Clearance	HC EL		Security Destruction, see notes.
Justice Court - Henderson	2007-1389	DENIALS/NO CHARGES FILED File on persons arrested or cited, but against whom the D.A. declines to file charges. Also letter from D.A. asserting such	3 Years	HC EL		SCRS, item #34 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Henderson	2007-1298	DISCIPLINARY ACTIONS (<i>Department Copies</i>) Official record copy at Human Resources.	Termination + 1 Year	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	2007-0334	DOCKETS, CIVIL, CRIMINAL, SMALL CLAIMS, MISCELLANEOUS Docket containing entries on papers filed, court actions, judgments, etc. in cases. Includes judgments, party information, judgment amounts / balance, attorney fees / name, court costs, affidavits, judgments for and/or against, filing fees, applications filed, court dates / hearings, claim amount, memo of cost, case status, presiding judge, case number	10 Years	HC EL		Dockets created before 1940 can be disposed of only with advice and consent of Division of Archives and Records. NRS 4.230, NRS 178.606, JCRCP 84
Justice Court - Henderson	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Justice Court - Henderson		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Justice Court - Henderson	SCRS-23a	EVICCTIONS SUMMARY, UNCONTESTED Landlord's affidavit, order to remove tenant. Includes Evictions Notices / Complaint Orders.	Issuance of Order + 2 Years	HC EL		SCRS, item #23a
Justice Court - Henderson	SCRS-24	EXECUTIONS, JUDGMENT Attachment of assets or wages as a result of a judgment. Includes writ / garnishment.	Disposition + 6 Years	HC EL		SCRS, item #24 NRS 70.010, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	SCRS-29	EXTRADITIONS Documentation on extradition proceedings. May contain complaint for warrant, probable cause affidavit, warrant, and consent and waiver. Includes Complaint for warrant, Probable cause affidavit, Warrant, Consent, Waiver, Jail paperwork (fugitive).	Completion + 6 Years	HC EL		SCRS, item #29 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson		FEE BOOKS Contains entries that detail title of matter, proceeding or action, and fees charged therein.	Audit Clearance	HC EL		NRS 4.090
Justice Court - Henderson	2007-1039	FEES, REQUESTS FOR PAYMENT Payment requests & may include overdue notices, requests for payment, receipts, related correspondence & similar documents.	Settlement + 1 Fiscal Year	HC EL		
Justice Court - Henderson	SCRS-18, 20, 22	INDEXES TO CASE FILES, DOCKETS & MISCELLANEOUS Indexes to case files, citations, dockets, and miscellaneous.	Until Superseded	EL		SCRS, item #18,20,22 NRS 4.250
Justice Court - Henderson	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Henderson		LOG, CITATIONS	Audit Clearance	EL		
Justice Court - Henderson	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
Justice Court - Henderson		MEETING RECORDS, JUDGES	PERMANENT	HC EL		

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Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Henderson	SCRS-26	NOTICE OF INTENT TO ISSUE WARRANT Letter sent to warn defendants who have failed to appear or pay fines that an arrest warrant will be issued.	90 Days	EL		SCRS, item #26 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Justice Court - Henderson	SCRS-27	OWN RECOGNIZANCE RECORDS Documentation on defendants released from jail on their own recognizance or whose bail has been modified.	Disposition	HC		SCRS, item #27 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	2007-1461	PARKING CITATIONS Citations for infractions of parking code.	Disposition + 2 Years	HC EL		
Justice Court - Henderson	SCRS-30	PARTIAL/INSTALLMENT PAYMENT RECORDS Documentation on fines, fees, and other debts owed to court and being paid in installments.	Completion of Payment + 2 Years	HC EL		SCRS, item #30 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Henderson	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Justice Court - Henderson	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Justice Court - Henderson	2007-0067	PROPERTY EQUIPMENT, RECORDS AND INVENTORIES Documents property and equipment records and inventories. Includes PO copies, property reports, description of items, inventory listings.	Life of Asset + 1 Year	HC EL		
Justice Court - Henderson		PUBLICATIONS, ISSUED BY OTHER DEPARTMENTS OR ORGANIZATIONS Newsletters, magazines, pamphlets, statistical reports.	Administratively Useful	HC		
Justice Court - Henderson	SCRS-40	RECEIPTS DEPOSITED WITH TREASURER Deposit receipt for monies deposited with County Treasurer.	Audit Clearance	HC		SCRS, item #40 NRS 354.624
Justice Court - Henderson	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Justice Court - Henderson	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Justice Court - Henderson	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Justice Court - Henderson	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Justice Court - Henderson	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (Department Copies) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.

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Justice Court - Henderson	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at <u>Human Resources</u> .	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Henderson	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to <u>employee travel</u> . Official record copy at <u>Comptroller</u> .	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Henderson		USJR REPORTS AND STATISTICS Reports and statistics required to be reported to Nevada Supreme Court	PERMANENT	HC EL		
Justice Court - Las Vegas	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). Official record copy at <u>Comptroller</u> .	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Las Vegas	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Justice Court - Las Vegas	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Justice Court - Las Vegas	SCRS-28	AFFIDAVIT, PROBABLE CAUSE Affidavit filed for preliminary examination. May have arrest report attached. Includes Probable cause affidavit, Arrest report, Temporary custody record, <u>Custody stat slip after completed</u>	2 Years OR Affidavit filed with District Court	HC EL		Supreme Court Retention Schedule (SCRS), item #28. NRS 205.4617, NAC 239.165 (1)(2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at <u>Human Resources</u> .	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Las Vegas	2007-0303	APPLICATIONS AND RESUMES, HIRED Applications and/or resumes submitted to agencies by individuals seeking employment, <u>transfer or promotion</u>	Transfer to master personnel file	HC		Security Destruction, see notes.
Justice Court - Las Vegas	2007-1273	APPLICATIONS AND RESUMES, NOT HIRED Applications and/or resumes submitted to agencies by individuals seeking <u>employment transfer or promotion who were not hired</u>	Closure + 2 Years	HC		Security Destruction, see notes.
Justice Court - Las Vegas		ASSOCIATION FILES Records of employee memberships in <u>government and professional associations</u> .	Administratively Useful	HC		
Justice Court - Las Vegas	2007-0790	BAIL BOND REGISTER Register containing information on bail bonds posted with court (Qualifying Powers of Agents and Bond Co.) Bail Bond Register summarizes data that is also found on actual bail bond which is kept in case file. Some information will also appear on receipt that is generated for transaction.	Exoneration or Forfeiture + 6 Years	EL		NRS 178.544
Justice Court - Las Vegas	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a <u>banking relationship</u> .	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Justice Court - Las Vegas	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.

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Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Las Vegas	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk	Fiscal Yearend + 5 Years	HC EL		
Justice Court - Las Vegas	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Justice Court - Las Vegas	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Justice Court - Las Vegas	2007-0568	BUILDING PLANS (<i>Department Copies</i>) Official record copy at Real Property Management. Copies of building plans for court expansion. It may include blueprints, engineering drawings, specifications, photographs, maps and drawings for related construction project.	Administratively Useful	HC EL		
Justice Court - Las Vegas	SCRS-14	CALENDARS/AGENDAS, JUSTICE COURT Day by day listing of cases to be heard, specifying department.	90 Days	HC		SCRS, item #14 NRS 178.592
Justice Court - Las Vegas	2007-0155	CASE FILES, CIVIL May contain affidavits / applications, motions, orders / stipulations, judgments, complaints / confessions, satisfactions, writs, answers, petition for sealing, memo of cost, attorney fees / notifications, remands, appeals/appeal bonds, court appearances/hearings, bankruptcy notifications, transfers, court minutes, counterclaims, certification in support, various notices/ stipulations.	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	SCRS-33	CASE FILES, COMMUNITY SERVICE Documentation on persons doing community service in lieu of serving time in jail or paying a fine. Includes referrals and completion reports	Completion + 2 Years	HC EL		SCRS, item #33 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-1387	CASE FILES, CRIMINAL MISDEMEANOR Misdemeanor cases prosecuted by District Attorney's office.	Disposition + 6 Years	HC		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-1499	CASE FILES, DRIVING UNDER THE INFLUENCE Case file for DUI cases. May contain citation, blood alcohol test results, plea, judgment, dockets, receipts, community service referrals, completion records, arrest reports, temporary custody reports, bench warrants, admonishment of rights, motions, citation / complaint, bail bonds, custody release, o/r paperwork, orders, minutes, serve slips	Disposition + 7 Years	HC EL		NRS 48 4.3792, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-1383	CASE FILES, FELONY Felony cases filed & prosecuted by District Attorney's office. May contain complaint / citation, admonishment of rights, motion, orders, payment receipt, bail bonds, custody release, o/r paperwork, toxicology reports, plea, judgment, docket, blood alcohol test results, completion records, community service referrals, arrest reports, temporary custody records, minutes, serve slips	Disposition + 10 Years	HC EL		Retain cases determined by District Attorney to be of historical significance permanently. NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Las Vegas	2007-1498	CASE FILES, GROSS MISDEMEANOR Case files document gross misdemeanor cases filed & prosecuted by District Attorney's office. May contain case number, defendant's name, social security number, date of birth, charge, indictment & arraignment dates, plea, bond amount, trial date, verdict, & sentence. May also contain copies of police reports, complaints, investigation records, DUI documents, citations, offense reports, motions, witness lists, subpoenas, FBI reports, photographs, exhibits, attorneys' notes, correspondence, & related documents.	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	SCRS-09	CASE FILES, SMALL CLAIMS Case file of small claims actions. May contain affidavit and order, return of service, motions, judgments, etc. includes complaints, motions, writs / garnishments, orders / stipulations, formal objections, certified mail receipt, answers, bankruptcy notification, bench warrants, appeals, court appearance dates, security cost bonds / receipts / nsf, judgments, court minutes, evidence, affidavits, correspondence, counterclaim	Disposition + 6 Years	HC EL		SCRS, item #9 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-0877	CASE FILES, TRAFFIC Case file for traffic cases. May contain citations, motions, orders, judgments, receipts, docket, minutes, referrals, payment receipts, bail bonds, blood alcohol test results, plea, completion records, arrest warrants, bench warrants, custody release, temporary custody records, admonishment of rights, o/r	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	SCRS-42	CASE HISTORY & CASE PROCEEDINGS RECORDS, MISCELLANEOUS Various types of records (usually on an electronic data base) used to keep track of individual court case history, activity, and disposition (minute sheet)	Disposition + 6 Years	EL		SCRS, item #42 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	SCRS-17	CITATIONS, UNABLE TO LOCATE Citations that were issued but defendant could not be located.	5 Years	HC EL		SCRS, item #17 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	SCRS-04	CITATIONS, UNCONTESTED Citations issued for misdemeanor and traffic offenses where there was no court action other than initial appearance and disposition	Closure + 2 Years	HC EL		SCRS, item #4 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Las Vegas	2007-0054	CONTRACTS & AGREEMENTS (Department Copies) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Las Vegas	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Justice Court - Las Vegas	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Justice Court - Las Vegas	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Justice Court - Las Vegas	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Justice Court - Las Vegas		COURT ADMINISTRATIVE ORDERS	PERMANENT	HC EL		
Justice Court - Las Vegas		CRIMINAL WITNESS PAYROLL	Audit Clearance	HC EL		Security Destruction, see notes.
Justice Court - Las Vegas	2007-1389	DENIALS/NO CHARGES FILED File on persons arrested or cited, but against whom the D.A. declines to file charges. Also letter from D.A. asserting such	3 Years	HC EL		SCRS, item #34 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-1298	DISCIPLINARY ACTIONS (<i>Department Copies</i>) Official record copy at Human Resources.	Termination + 1 Year	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-0334	DOCKETS, CIVIL, CRIMINAL, SMALL CLAIMS, MISCELLANEOUS Docket containing entries on papers filed, court actions, judgments, etc. in cases. Includes judgments, party information, judgment amounts / balance, attorney fees / name, court costs, affidavits, judgments for and/or against, filing fees, applications filed, court dates / hearings, claim amount, memo of cost, case status, presiding judge, case number	10 Years	HC EL		Dockets created before 1940 can be disposed of only with advice and consent of Division of Archives and Records. NRS 4.230, NRS 178.606, JCRCP 84
Justice Court - Las Vegas	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Justice Court - Las Vegas		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Justice Court - Las Vegas	SCRS-23a	EVICCTIONS SUMMARY, UNCONTESTED Landlord's affidavit, order to remove tenant. Includes Evictions Notices / Complaint Orders.	Issuance of Order + 2 Years	HC EL		SCRS, item #23a
Justice Court - Las Vegas	SCRS-24	EXECUTIONS, JUDGMENT Attachment of assets or wages as a result of a judgment. Includes writ / garnishment.	Disposition + 6 Years	HC EL		SCRS, item #24 NRS 70.010, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Las Vegas	SCRS-29	EXTRADITIONS Documentation on extradition proceedings. May contain complaint for warrant, probable cause affidavit, warrant, and consent and waiver. Includes Complaint for warrant, Probable cause affidavit, Warrant, Consent, Waiver, Jail paperwork (fugitive).	Completion + 6 Years	HC EL		SCRS, item #29 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas		FEE BOOKS Contains entries that detail title of matter, proceeding or action, and fees charged therein.	Audit Clearance	HC EL		NRS 4.090
Justice Court - Las Vegas	2007-1039	FEES, REQUESTS FOR PAYMENT Payment requests & may include overdue notices, requests for payment, receipts, related correspondence & similar documents.	Settlement + 1 Fiscal Year	HC EL		
Justice Court - Las Vegas	SCRS-18, 20, 22	INDEXES TO CASE FILES, DOCKETS & MISCELLANEOUS Indexes to case files, citations, dockets, and miscellaneous.	Until Superseded	EL		SCRS, item #18,20,22 NRS 4.250
Justice Court - Las Vegas	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Las Vegas		LOG, CITATIONS	Audit Clearance	EL		
Justice Court - Las Vegas	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
Justice Court - Las Vegas		MEETING RECORDS, JUDGES	PERMANENT	HC EL		
Justice Court - Las Vegas	SCRS-26	NOTICE OF INTENT TO ISSUE WARRANT Letter sent to warn defendants who have failed to appear or pay fines that an arrest warrant will be issued.	90 Days	EL		SCRS, item #26 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Justice Court - Las Vegas	SCRS-27	OWN RECOGNIZANCE RECORDS Documentation on defendants released from jail on their own recognizance or whose bail has been modified.	Disposition	HC		SCRS, item #27 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-1461	PARKING CITATIONS Citations for infractions of parking code.	Disposition + 2 Years	HC EL		
Justice Court - Las Vegas	SCRS-30	PARTIAL/INSTALLMENT PAYMENT RECORDS Documentation on fines, fees, and other debts owed to court and being paid in installments.	Completion of Payment + 2 Years	HC EL		SCRS, item #30 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Justice Court - Las Vegas	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Justice Court - Las Vegas	2007-0067	PROPERTY EQUIPMENT, RECORDS AND INVENTORIES Documents property and equipment records and inventories. Includes PO copies, property reports, description of items, inventory listings.	Life of Asset + 1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Las Vegas		PUBLICATIONS, ISSUED BY OTHER DEPARTMENTS OR ORGANIZATIONS Newsletters, magazines, pamphlets, statistical reports	Administratively Useful	HC		
Justice Court - Las Vegas	SCRS-40	RECEIPTS DEPOSITED WITH TREASURER Deposit receipt for monies deposited with County Treasurer.	Audit Clearance	HC		SCRS, item #40 NRS 354.624
Justice Court - Las Vegas	2007-0165	RECEIPTS FOR CRIMINAL REPORTS Payment & cost of purchasing copies of criminal reports.	Audit Clearance	HC EL		NRS 354.624
Justice Court - Las Vegas	SCRS-36	RECEIPTS, DAILY Copy of receipts issued for payments.	Audit Clearance	HC EL		SCRS, item #36
Justice Court - Las Vegas	2007-0336	RECORD OF EVICTIONS Eviction proceedings & may contain execution affidavit, tenant affidavit, order, copies of court documents, date notice served, summary notice, date of eviction, related correspondence & similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	SCRS-07	RECORD OF PROCEEDINGS Written documents, sound recordings or court reporter's shorthand record of court proceedings.	30 days after appeal period, OR 30 days after final disposition in district court.	HC		SCRS, item #7
Justice Court - Las Vegas	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Justice Court - Las Vegas	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Justice Court - Las Vegas	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
Justice Court - Las Vegas	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Justice Court - Las Vegas	SCRS-31	TEMPORARY PROTECTIVE ORDERS (TPO) Stalking/Harm to Minors/Workplace Harassment Protective Orders issued in cases. Includes Application, Orders, Confidential Sheet, Motions, Correspondence, Court Minutes, Appeals, Receipts (criminal).	Disposition + 2 Years	HC EL		SCRS, item #31 NRS 33.020, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Justice Court - Las Vegas	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Las Vegas	SCRS-06	TRANSCRIPTS, PRELIMINARY HEARING Transcripts of preliminary examination for cases to be bound over to district court.	2 Years, OR Transcript filed with District Court	HC EL		SCRS, item #6 NRS 171.198, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. <u>Official record copy at Comptroller.</u>	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Las Vegas		USJR REPORTS AND STATISTICS Reports and statistics required to be reported to Nevada Supreme Court	PERMANENT	HC EL		
Justice Court - Las Vegas	SCRS-16	WARRANTS, ARREST - SERVED	3 years after arrest	HC EL		SCRS, item #16. Security Destruction, see notes.
Justice Court - Las Vegas	SCRS-15	WARRANTS, ARREST - UNSERVED Warrants that were issued but were never served.	5 Years	HC EL		SCRS, item #15. NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Las Vegas	SCRS-18	WARRANTS, SEARCH Issued by court.	Expiration + 2 Years	HC		SCRS, item #18
Justice Court - North Las Vegas	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). <u>Official record copy at Comptroller.</u>	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Justice Court - North Las Vegas	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Justice Court - North Las Vegas	SCRS-28	AFFIDAVIT, PROBABLE CAUSE Affidavit filed for preliminary examination. May have arrest report attached. Includes Probable cause affidavit, Arrest report, Temporary custody record, <u>Custody stat slip after completed</u>	2 Years OR Affidavit filed with District Court	HC EL		Supreme Court Retention Schedule (SCRS), item #28. NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0303	APPLICATIONS AND RESUMES, HIRED Applications and/or resumes submitted to agencies by individuals seeking employment, transfer, or promotion.	Transfer to master personnel file	HC		Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1273	APPLICATIONS AND RESUMES, NOT HIRED Applications and/or resumes submitted to agencies by individuals seeking employment, transfer, or promotion who were not hired	Closure + 2 Years	HC		Security Destruction, see notes.
Justice Court - North Las Vegas		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Justice Court - North Las Vegas	2007-0790	BAIL BOND REGISTER Register containing information on bail bonds posted with court (Qualifying Powers of Agents and Bond Co.) Bail Bond Register summarizes data that is also found on actual bail bond which is kept in case file. Some information will also appear on receipt that is generated for transaction.	Exoneration or Forfeiture + 6 Years	EL		NRS 178.544

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - North Las Vegas	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Justice Court - North Las Vegas	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Justice Court - North Las Vegas	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Justice Court - North Las Vegas	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Justice Court - North Las Vegas	2007-0568	BUILDING PLANS (<i>Department Copies</i>) Official record copy at Real Property Management. Copies of building plans for court expansion. It may include blueprints, engineering drawings, specifications, photographs, maps and drawings for related construction project.	Administratively Useful	HC EL		
Justice Court - North Las Vegas	SCRS-14	CALENDARS/AGENDAS, JUSTICE COURT Day by day listing of cases to be heard, specifying department.	90 Days	HC		SCRS, item #14 NRS 178.592
Justice Court - North Las Vegas	2007-0155	CASE FILES, CIVIL May contain affidavits / applications, motions, orders / stipulations, judgments, complaints / confessions, satisfactions, writs, answers, petition for sealing, memo of cost, attorney fees / notifications, remands, appeals/appeal bonds, court appearances/hearings, bankruptcy notifications, transfers, court minutes, counterclaims, certification in support, various notices/ stipulations.	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	SCRS-33	CASE FILES, COMMUNITY SERVICE Documentation on persons doing community service in lieu of serving time in jail or paying a fine. Includes referrals and completion reports.	Completion + 2 Years	HC EL		SCRS, item #33 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1387	CASE FILES, CRIMINAL MISDEMEANOR Misdemeanor cases prosecuted by District Attorney's office.	Disposition + 6 Years	HC		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1499	CASE FILES, DRIVING UNDER THE INFLUENCE Case file for DUI cases. May contain citation, blood alcohol test results, plea, judgment, dockets, receipts, community service referrals, completion records, arrest reports, temporary custody reports, bench warrants, admonishment of rights, motions, citation / complaint, bail bonds, custody release, o/r paperwork, orders, minutes, serve slips	Disposition + 7 Years	HC EL		NRS 48 4.3792, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - North Las Vegas	2007-1383	CASE FILES, FELONY Felony cases filed & prosecuted by District Attorney's office. May contain complaint / citation, admonishment of rights, motion, orders, payment receipt, bail bonds, custody release, o/r paperwork, toxicology reports, plea, judgment, docket, blood alcohol test results, completion records, community service referrals, arrest reports, temporary custody records, minutes, completion	Disposition + 10 Years	HC EL		Retain cases determined by District Attorney to be of historical significance permanently. NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1498	CASE FILES, GROSS MISDEMEANOR Case files document gross misdemeanor cases filed & prosecuted by District Attorney's office. May contain case number, defendant's name, social security number, date of birth, charge, indictment & arraignment dates, plea, bond amount, trial date, verdict, & sentence. May also contain copies of police reports, complaints, investigation records, DUI documents, citations, offense reports, motions, witness lists, subpoenas, FBI reports, photographs, exhibits, attorneys' notes, correspondence, & related documents.	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	SCRS-09	CASE FILES, SMALL CLAIMS Case file of small claims actions. May contain affidavit and order, return of service, motions, judgments, etc. includes complaints, motions, writs / garnishments, orders / stipulations, formal objections, certified mail receipt, answers, bankruptcy notification, bench warrants, appeals, court appearance dates, security cost bonds / receipts / nsf, judgments, court minutes, evidence, affidavits, correspondence, counterclaim	Disposition + 6 Years	HC EL		SCRS, item #9 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0877	CASE FILES, TRAFFIC Case file for traffic cases. May contain citations, motions, orders, judgments, receipts, docket, minutes, referrals, payment receipts, bail bonds, blood alcohol test results, plea, completion records, arrest warrants, bench warrants, custody release, temporary custody records, admonishment of rights, o/r paperwork, court dates	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	SCRS-42	CASE HISTORY & CASE PROCEEDINGS RECORDS, MISCELLANEOUS Various types of records (usually on an electronic data base) used to keep track of individual court case history activity and disposition (minute sheet)	Disposition + 6 Years	EL		SCRS, item #42 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	SCRS-17	CITATIONS, UNABLE TO LOCATE Citations that were issued but defendant could not be located.	5 Years	HC EL		SCRS, item #17 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	SCRS-04	CITATIONS, UNCONTESTED Citations issued for misdemeanor and traffic offenses where there was no court action other than initial appearance and disposition	Closure + 2 Years	HC EL		SCRS, item #4 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - North Las Vegas	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Justice Court - North Las Vegas	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Justice Court - North Las Vegas	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Justice Court - North Las Vegas		COURT ADMINISTRATIVE ORDERS	PERMANENT	HC EL		
Justice Court - North Las Vegas		CRIMINAL WITNESS PAYROLL	Audit Clearance	HC EL		Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1389	DENIALS/NO CHARGES FILED File on persons arrested or cited, but against whom the D.A. declines to file charges. Also letter from D.A. asserting such.	3 Years	HC EL		SCRS, item #34 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1298	DISCIPLINARY ACTIONS (<i>Department Copies</i>) Official record copy at Human Resources.	Termination + 1 Year	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0334	DOCKETS, CIVIL, CRIMINAL, SMALL CLAIMS, MISCELLANEOUS Docket containing entries on papers filed, court actions, judgments, etc. in cases. Includes judgments, party information, judgment amounts / balance, attorney fees / name, court costs, affidavits, judgments for and/or against, filing fees, applications filed, court dates / hearings, claim amount, memo of cost, case status, presiding judge, case number	10 Years	HC EL		Dockets created before 1940 can be disposed of only with advice and consent of Division of Archives and Records. NRS 4.230, NRS 178.606, JCRCP 84
Justice Court - North Las Vegas	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - North Las Vegas		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Justice Court - North Las Vegas	SCRS-23a	EVICCTIONS SUMMARY, UNCONTESTED Landlord's affidavit, order to remove tenant. Includes Evictions Notices / Complaint Orders.	Issuance of Order + 2 Years	HC EL		SCRS, item #23a
Justice Court - North Las Vegas	SCRS-24	EXECUTIONS, JUDGMENT Attachment of assets or wages as a result of a judgment. Includes writ / garnishment.	Disposition + 6 Years	HC EL		SCRS, item #24 NRS 70.010, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	SCRS-29	EXTRADITIONS Documentation on extradition proceedings. May contain complaint for warrant, probable cause affidavit, warrant, and consent and waiver. Includes Complaint for warrant, Probable cause affidavit, Warrant, Consent, Waiver, Jail paperwork (fugitive).	Completion + 6 Years	HC EL		SCRS, item #29 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas		FEE BOOKS Contains entries that detail title of matter, proceeding or action, and fees charged therein.	Audit Clearance	HC EL		NRS 4.090
Justice Court - North Las Vegas	2007-1039	FEES, REQUESTS FOR PAYMENT Payment requests & may include overdue notices, requests for payment, receipts, related correspondence & similar documents.	Settlement + 1 Fiscal Year	HC EL		
Justice Court - North Las Vegas	SCRS-18, 20, 22	INDEXES TO CASE FILES, DOCKETS & MISCELLANEOUS Indexes to case files, citations, dockets, and miscellaneous.	Until Superseded	EL		SCRS, item #18,20,22 NRS 4.250
Justice Court - North Las Vegas	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - North Las Vegas		LOG, CITATIONS	Audit Clearance	EL		
Justice Court - North Las Vegas	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
Justice Court - North Las Vegas		MEETING RECORDS, JUDGES	PERMANENT	HC EL		
Justice Court - North Las Vegas	SCRS-26	NOTICE OF INTENT TO ISSUE WARRANT Letter sent to warn defendants who have failed to appear or pay fines that an arrest warrant will be issued	90 Days	EL		SCRS, item #26 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Justice Court - North Las Vegas	SCRS-27	OWN RECOGNIZANCE RECORDS Documentation on defendants released from jail on their own recognizance or whose bail has been modified	Disposition	HC		SCRS, item #27 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1461	PARKING CITATIONS Citations for infractions of parking code.	Disposition + 2 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - North Las Vegas	SCRS-30	PARTIAL/INSTALLMENT PAYMENT RECORDS Documentation on fines, fees, and other debts owed to court and being paid in installments	Completion of Payment + 2 Years	HC EL		SCRS, item #30 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Justice Court - North Las Vegas	2007-0067	PROPERTY EQUIPMENT, RECORDS AND INVENTORIES Documents property and equipment records and inventories. Includes PO copies, property reports, description of items, inventory listings.	Life of Asset + 1 Year	HC EL		
Justice Court - North Las Vegas		PUBLICATIONS, ISSUED BY OTHER DEPARTMENTS OR ORGANIZATIONS Newsletters, magazines, pamphlets, statistical reports	Administratively Useful	HC		
Justice Court - North Las Vegas	SCRS-40	RECEIPTS DEPOSITED WITH TREASURER Deposit receipt for monies deposited with County Treasurer.	Audit Clearance	HC		SCRS, item #40 NRS 354.624
Justice Court - North Las Vegas	2007-0165	RECEIPTS FOR CRIMINAL REPORTS Payment & cost of purchasing copies of criminal reports.	Audit Clearance	HC EL		NRS 354.624
Justice Court - North Las Vegas	SCRS-36	RECEIPTS, DAILY Copy of receipts issued for payments.	Audit Clearance	HC EL		SCRS, item #36
Justice Court - North Las Vegas	2007-0336	RECORD OF EVICTIONS Eviction proceedings & may contain execution affidavit, tenant affidavit, order, copies of court documents, date notice served, summary notice, date of eviction, related correspondence, & similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - North Las Vegas	SCRS-07	RECORD OF PROCEEDINGS Written documents, sound recordings or court reporter's shorthand record of court proceedings.	30 days after appeal period, OR 30 days after final disposition in district court.	HC		SCRS, item #7
Justice Court - North Las Vegas	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Justice Court - North Las Vegas	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
Justice Court - North Las Vegas	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - North Las Vegas	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Justice Court - North Las Vegas	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - North Las Vegas	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Outlying	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Outlying	2007-1558a	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Justice Court - Outlying	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Justice Court - Outlying	SCRS-28	AFFIDAVIT, PROBABLE CAUSE Affidavit filed for preliminary examination. May have arrest report attached. Includes Probable cause affidavit, Arrest report, Temporary custody record, <u>Custody stat slip after completed</u>	2 Years OR Affidavit filed with District Court	HC EL		Supreme Court Retention Schedule (SCRS), item #28. NRS 205.4617, NAC 239.165 (1)(2). Security Destruction, see notes.
Justice Court - Outlying	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Outlying	2007-0303	APPLICATIONS AND RESUMES, HIRED Applications and/or resumes submitted to agencies by individuals seeking employment, <u>transfer, or promotion</u> .	Transfer to master personnel file	HC		Security Destruction, see notes.
Justice Court - Outlying	2007-1273	APPLICATIONS AND RESUMES, NOT HIRED Applications and/or resumes submitted to agencies by individuals seeking employment, <u>transfer, or promotion who were not hired</u>	Closure + 2 Years	HC		Security Destruction, see notes.
Justice Court - Outlying		ASSOCIATION FILES Records of employee memberships in <u>government and professional associations</u> .	Administratively Useful	HC		
Justice Court - Outlying	2007-0790	BAIL BOND REGISTER Register containing information on bail bonds posted with court (Qualifying Powers of Agents and Bond Co.) Bail Bond Register summarizes data that is also found on actual bail bond which is kept in case file. Some information will also appear on receipt that is generated for transaction.	Exoneration or Forfeiture + 6 Years	EL		NRS 178.544
Justice Court - Outlying	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a <u>banking relationship</u> .	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Outlying	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. <u>Security Destruction, see notes.</u>
Justice Court - Outlying	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk	Fiscal Yearend + 5 Years	HC EL		
Justice Court - Outlying	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Justice Court - Outlying	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. <u>Official record copy at Comptroller.</u>	Audit Clearance + 1 Year	HC EL		
Justice Court - Outlying	2007-0568	BUILDING PLANS (<i>Department Copies</i>) Official record copy at Real Property Management. Copies of building plans for court expansion. It may include blueprints, engineering drawings, specifications, photographs, maps and drawings for related construction project	Administratively Useful	HC EL		
Justice Court - Outlying	SCRS-14	CALENDARS/AGENDAS, JUSTICE COURT Day by day listing of cases to be heard, specifying department.	90 Days	HC		SCRS, item #14 NRS 178.592
Justice Court - Outlying	2007-0155	CASE FILES, CIVIL May contain affidavits / applications, motions, orders / stipulations, judgments, complaints / confessions, satisfactions, writs, answers, petition for sealing, memo of cost, attorney fees / notifications, remands, appeals/appeal bonds, court appearances/hearings, bankruptcy notifications, transfers, court minutes, counterclaims, certification in support, various notices/ stipulations	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	SCRS-33	CASE FILES, COMMUNITY SERVICE Documentation on persons doing community service in lieu of serving time in jail or paying a fine. Includes referrals and completion reports	Completion + 2 Years	HC EL		SCRS, item #33 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-1387	CASE FILES, CRIMINAL MISDEMEANOR Misdemeanor cases prosecuted by District Attorney's office.	Disposition + 6 Years	HC		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-1499	CASE FILES, DRIVING UNDER THE INFLUENCE Case file for DUI cases. May contain citation, blood alcohol test results, plea, judgment, dockets, receipts, community service referrals, completion records, arrest reports, temporary custody reports, bench warrants, admonishment of rights, motions, citation / complaint, bail bonds, custody release, o/r paperwork, orders, minutes, serve slips	Disposition + 7 Years	HC EL		NRS 48 4.3792, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-1383	CASE FILES, FELONY Felony cases filed & prosecuted by District Attorney's office. May contain complaint / citation, admonishment of rights, motion, orders, payment receipt, bail bonds, custody release, o/r paperwork, toxicology reports, plea, judgment, docket, blood alcohol test results, completion records, community service referrals, arrest reports, temporary custody records, minutes,	Disposition + 10 Years	HC EL		Retain cases determined by District Attorney to be of historical significance permanently. NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Outlying	2007-1498	CASE FILES, GROSS MISDEMEANOR Case files document gross misdemeanor cases filed & prosecuted by District Attorney's office. May contain case number, defendant's name, social security number, date of birth, charge, indictment & arraignment dates, plea, bond amount, trial date, verdict, & sentence. May also contain copies of police reports, complaints, investigation records, DUI documents, citations, offense reports, motions, witness lists, subpoenas, FBI reports, photographs, exhibits, attorneys' notes, correspondence, & related documents.	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	SCRS-09	CASE FILES, SMALL CLAIMS Case file of small claims actions. May contain affidavit and order, return of service, motions, judgments, etc. includes complaints, motions, writs / garnishments, orders / stipulations, formal objections, certified mail receipt, answers, bankruptcy notification, bench warrants, appeals, court appearance dates, security cost bonds / receipts / nsf, judgments, court minutes, evidence, affidavits, correspondence, counterclaim	Disposition + 6 Years	HC EL		SCRS, item #9 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-0877	CASE FILES, TRAFFIC Case file for traffic cases. May contain citations, motions, orders, judgments, receipts, docket, minutes, referrals, payment receipts, bail bonds, blood alcohol test results, plea, completion records, arrest warrants, bench warrants, custody release, temporary custody records, admonishment of rights, o/r	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	SCRS-42	CASE HISTORY & CASE PROCEEDINGS RECORDS, MISCELLANEOUS Various types of records (usually on an electronic data base) used to keep track of individual court case history, activity, and disposition (minute sheet)	Disposition + 6 Years	EL		SCRS, item #42 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	SCRS-17	CITATIONS, UNABLE TO LOCATE Citations that were issued but defendant could not be located.	5 Years	HC EL		SCRS, item #17 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	SCRS-04	CITATIONS, UNCONTESTED Citations issued for misdemeanor and traffic offenses where there was no court action other than initial appearance and disposition	Closure + 2 Years	HC EL		SCRS, item #4 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Outlying	2007-0054	CONTRACTS & AGREEMENTS (Department Copies) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Outlying	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Justice Court - Outlying	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Justice Court - Outlying	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Justice Court - Outlying	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Justice Court - Outlying		COURT ADMINISTRATIVE ORDERS	PERMANENT	HC EL		
Justice Court - Outlying		CRIMINAL WITNESS PAYROLL	Audit Clearance	HC EL		Security Destruction, see notes.
Justice Court - Outlying	2007-1389	DENIALS/NO CHARGES FILED File on persons arrested or cited, but against whom the D.A. declines to file charges. Also letter from D.A. asserting such	3 Years	HC EL		SCRS, item #34 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-1298	DISCIPLINARY ACTIONS (<i>Department Copies</i>) Official record copy at Human Resources.	Termination + 1 Year	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-0334	DOCKETS, CIVIL, CRIMINAL, SMALL CLAIMS, MISCELLANEOUS Docket containing entries on papers filed, court actions, judgments, etc. in cases. Includes judgments, party information, judgment amounts / balance, attorney fees / name, court costs, affidavits, judgments for and/or against, filing fees, applications filed, court dates / hearings, claim amount, memo of cost, case status, presiding judge, case number	10 Years	HC EL		Dockets created before 1940 can be disposed of only with advice and consent of Division of Archives and Records. NRS 4.230, NRS 178.606, JCRCP 84
Justice Court - Outlying	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
Justice Court - Outlying		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Justice Court - Outlying	SCRS-23a	EVICCTIONS SUMMARY, UNCONTESTED Landlord's affidavit, order to remove tenant. Includes Evictions Notices / Complaint Orders.	Issuance of Order + 2 Years	HC EL		SCRS, item #23a
Justice Court - Outlying	SCRS-24	EXECUTIONS, JUDGMENT Attachment of assets or wages as a result of a judgment. Includes writ / garnishment.	Disposition + 6 Years	HC EL		SCRS, item #24 NRS 70.010, NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Outlying	SCRS-29	EXTRADITIONS Documentation on extradition proceedings. May contain complaint for warrant, probable cause affidavit, warrant, and consent and waiver. Includes Complaint for warrant, Probable cause affidavit, Warrant, Consent, Waiver, Jail paperwork (fugitive).	Completion + 6 Years	HC EL		SCRS, item #29 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying		FEE BOOKS Contains entries that detail title of matter, proceeding or action, and fees charged therein.	Audit Clearance	HC EL		NRS 4.090
Justice Court - Outlying	2007-1039	FEES, REQUESTS FOR PAYMENT Payment requests & may include overdue notices, requests for payment, receipts, related correspondence & similar documents.	Settlement + 1 Fiscal Year	HC EL		
Justice Court - Outlying	SCRS-18, 20, 22	INDEXES TO CASE FILES, DOCKETS & MISCELLANEOUS Indexes to case files, citations, dockets, and miscellaneous.	Until Superseded	EL		SCRS, item #18,20,22 NRS 4.250
Justice Court - Outlying	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Outlying		LOG, CITATIONS	Audit Clearance	EL		
Justice Court - Outlying	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
Justice Court - Outlying		MEETING RECORDS, JUDGES	PERMANENT	HC EL		
Justice Court - Outlying	SCRS-26	NOTICE OF INTENT TO ISSUE WARRANT Letter sent to warn defendants who have failed to appear or pay fines that an arrest warrant will be issued.	90 Days	EL		SCRS, item #26 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Justice Court - Outlying	SCRS-27	OWN RECOGNIZANCE RECORDS Documentation on defendants released from jail on their own recognizance or whose bail has been modified.	Disposition	HC		SCRS, item #27 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-1461	PARKING CITATIONS Citations for infractions of parking code.	Disposition + 2 Years	HC EL		
Justice Court - Outlying	SCRS-30	PARTIAL/INSTALLMENT PAYMENT RECORDS Documentation on fines, fees, and other debts owed to court and being paid in installments.	Completion of Payment + 2 Years	HC EL		SCRS, item #30 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Justice Court - Outlying	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Justice Court - Outlying	2007-0067	PROPERTY EQUIPMENT, RECORDS AND INVENTORIES Documents property and equipment records and inventories. Includes PO copies, property reports, description of items, inventory listings.	Life of Asset + 1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Justice Court - Outlying		PUBLICATIONS, ISSUED BY OTHER DEPARTMENTS OR ORGANIZATIONS Newsletters, magazines, pamphlets, statistical reports	Administratively Useful	HC		
Justice Court - Outlying	SCRS-40	RECEIPTS DEPOSITED WITH TREASURER Deposit receipt for monies deposited with County Treasurer.	Audit Clearance	HC		SCRS, item #40 NRS 354.624
Justice Court - Outlying	2007-0165	RECEIPTS FOR CRIMINAL REPORTS Payment & cost of purchasing copies of criminal reports.	Audit Clearance	HC EL		NRS 354.624
Justice Court - Outlying	SCRS-36	RECEIPTS, DAILY Copy of receipts issued for payments.	Audit Clearance	HC EL		SCRS, item #36
Justice Court - Outlying	2007-0336	RECORD OF EVICTIONS Eviction proceedings & may contain execution affidavit, tenant affidavit, order, copies of court documents, date notice served, summary notice, date of eviction, related correspondence & similar documents	Calendar Yearend + 6 Years	EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Justice Court - Outlying	SCRS-07	RECORD OF PROCEEDINGS Written documents, sound recordings or court reporter's shorthand record of court proceedings.	30 days after appeal period, OR 30 days after final disposition in district court.	HC		SCRS, item #7
Justice Court - Outlying	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Justice Court - Outlying	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Justice Court - Outlying	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
Justice Court - Outlying	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Justice Court - Outlying	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Justice Court - Outlying	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Justice Court - Outlying	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Juvenile Justice	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Juvenile Justice	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Juvenile Justice	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Juvenile Justice		AGING REPORTS To keep track of youth in detention. Includes youth names, court status.	Until Superseded	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		ALTERNATIVE LIVING FILES Placement information for juveniles. Includes Court order, court minutes, Medicaid application, Financial statement, placement verification, release of information.	Termination	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Juvenile Justice		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Juvenile Justice		AUTHORIZATIONS FOR EMERGENCY PLACEMENT Back-up paperwork for emergency placement.	Termination	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice	2007-0304	BACKGROUND CHECK RECORDS May include fingerprint cards, CANS, SCOPE, CTRACK, NCJIS, NCIC, police reports, court dispositions, emails & similar documents, fingerprinting/criminal correspondence, CJIS/NCJIS log, UNITY documents, facsimile.	Completion + 3 Years	HC EL		Security Destruction, see notes.
Juvenile Justice	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Juvenile Justice	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Juvenile Justice		BIRTH/DEATH CERTIFICATES (<i>copies</i>) Hard copy requests for birth/death certificates by Juvenile Probation officers for official purposes. Includes email request from JPO, subject information, application, cover letter, copy of driver's license / identification badge, copy of court order, authorization to mail, copy of check for fee, copy of birth/death certificate, log of certificates received/picked	3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Juvenile Justice	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Juvenile Justice	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Juvenile Justice	2007-0153	CALENDAR OF CASES, JUVENILE Day by day listing of cases to be heard, specifying department.	30 Days	HC		NRS 178.592
Juvenile Justice	2007-1401	CASE FILES, JUVENILE Cases in which Department is a party & may include incident reports, copies of law enforcement reports, copies of investigation reports, citations, complaints, referrals, psychological evaluations, juvenile counselor case summaries & recommendations, juvenile social histories, attorney case notes, opinions, court petitions, orders, motions, affidavits, answers, agreements, stipulations, confessions, witness statements, criminal records of the accused, copies of court documents, dispositions, verdicts, correspondence, & other supporting documents relative to	State requirement = Age of Majority + 6 Years Department policy is PERMANENT	HC EL		Security Destruction, see notes.
Juvenile Justice		CASE PLANS Information pertaining to conditions / requirements for probation and client demographics. Includes client name, address, phone, terms of probation, requirements, parental information	Case Closed	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		CASES FILES, HOLD OPEN Return agreement, receive summary, citation or arrest affidavit, case id, open date, incident report, parent form, picture ID, SAARP form, priority response, intake date, caseworker	Case Closed	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		CLIENT PLACEMENT LIST Juvenile personal information, placement date, expected release date, actual release date, unit, officer, Medicaid info, placement - in/out of state, funding source, release conditions, diagnosis, reason for placement	Until Superseded	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		COMMUNITY/SCHOOL NOTIFICATION FILES Comply with State Laws in notifying community and schools. Includes copy of community notification, law enforcement info, copy of school notification	Case Closed + 3 Years	HC EL		NRS 179D.475, NRS 62F.220, NRS11.190 (3)(a), 45CFR164.501, NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Juvenile Justice		CONFERENCE AND TRAINING ROOM RESERVATION RECORDS Record of requests/confirmations of reservations for Conference and training rooms.	1 Year	HC EL		
Juvenile Justice	2007-0054	CONTRACTS & AGREEMENTS (Department copies) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Juvenile Justice	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Juvenile Justice	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Juvenile Justice	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Juvenile Justice	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Juvenile Justice	2007-0433	DAILY CASH AND RECEIPTS REPORTS Daily cash transactions and may contain receipts, cashier's daily reports, cash balance reports, transmittal reports, and related documents. Includes QC/PC daily transactions, Main Cashier deposits, Credit Card transmittals, Customer Svc Deposits, Batch reports, Receipt copies.	Audit Clearance	HC EL		
Juvenile Justice	2007-1298	DISCIPLINARY ACTION RECORDS Files are created for each DJJS employee who receives discipline; i.e., documented oral warning, admonishment, written reprimand, final written warning, to document disciplinary actions issued.	Settlement + 3 Years	HC EL		NRS 281.645 Security Destruction, see notes.
Juvenile Justice		EMERGENCY CONTACT INFORMATION Information regarding contacts for DJJS personnel and outside agencies contact persons.	Until Superseded	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice	2007-0058	EMPLOYEE PERSONNEL FILES (Department copies. Official record copy at Human Resources.) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Juvenile Justice	2007-0332	EMPLOYEE RECOGNITION PROGRAM RECORDS Document Employee of the Quarter and Year nominees and recipients.	2 Years	HC		
Juvenile Justice	2007-1238	EMPLOYEE SUGGESTION FORMS Documents "employee suggestions", "good ideas", "action needed" and similar agency programs.	Administratively Useful	HC EL		
Juvenile Justice		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Juvenile Justice		ERC YOUTH REFERRAL LIST Staff uses this referral sheet as an information resource for youth to determine youth's needs via probation and contact information.	1 Year	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		FACILITY INSPECTION RECORDS Health Department Inspection Records.	1 Year	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Juvenile Justice	2007-1469	FITNESS FOR DUTY FILES (<i>Department Copies. Official record copy at Human Resources.</i>) Document actions taken when an evaluation is done to determine an employee's ability to perform essential functions of job due to physical, mental, or emotional disorders. This may include incident reports, essential functions forms, certifications from health care providers, copies of medical records, copies of leave forms, copies of payroll reports, related correspondence and similar documents.	Closure	HC		HIPAA information requires Security Destruction, see notes.
Juvenile Justice		FOOD SERVICE COUNT SHEETS Tracking daily meal counts for staff and youth	3 Years	HC EL		
Juvenile Justice	2007-1568	GIFT AND DONATION RECORDS Gifts & donations to DJJS. May contain donor information, copies of wills, bequest documents, endowment documents, trust documents, acknowledgement letters, award guidelines, records documenting conditions or restraints of gift or contribution, letters & agreements of gift, copy of gift disclosure, donation forms, donation lists, deeds, related correspondence & similar documents.	PERMANENT	HC EL		
Juvenile Justice	2007-0059	GRANT FISCAL RECORDS Documents the awarding of funds from federal government, state government, private organizations, private benefactors, and similar sources. Accounting reports, expenditure reports, audit reports, monitoring reports, copies of purchase orders, warrants, warrant registers, vouchers.	Submission of final expenditure report + 3 Fiscal Years, OR Granting authority requirement, whichever longer	HC EL		
Juvenile Justice	2007-1649	GRANT RECORDS - PROPOSALS, REPORTS, & RESULTS Grants applied for and received from federal and state governments, private organizations, private benefactors, and other sources; includes correspondence, application and supporting documentation, project proposal, project plans, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports and similar records.	Closure + 3 Years, OR Retention period required by grantor, whichever longer	HC EL		Review for historical value
Juvenile Justice		INTERNAL REPORTING FINANCIAL WORKSHEETS Track expenditures, revenue requested, revenue received, revenue due and shortages. Includes Salary savings, monthly food expenditures by site, total food expenditures by vendor, total food/non-food costs.	Audit Clearance	HC EL		
Juvenile Justice		INTERSTATE COMPACT FILES (ICOJ) Documentation tracking interstate transfer of juveniles, including case information, reports, court orders, progress reports	Case Closed	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		JUVENILE DETENTION ALTERNATIVE INITIATIVE (JDAI) FILES Includes survey, strategies, graphs, reports, charts.	3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Juvenile Justice		JUVENILE DETENTION STATISTICAL REPORTS Statistical information relating to the detention of youth, including Admissions Logs, bed sheets, faith based forms, incident reports, kitchen shift logs, overrides, unit shift logs.	3 Years	HC EL		
Juvenile Justice		JUVENILE SEX OFFENDER TIER ASSESSMENTS To assign tier level to juvenile sex offenders as required by law. Includes assessment worksheet, misc documents.	Termination of Supervision + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 197D.475, NRS 11.190 (1)(a) Security Destruction, see notes.
Juvenile Justice	2007-0836	LIABILITY RELEASE FORMS Liability release forms required for participation in various programs offered by local governmental departments. Usually consists of event specific liability forms, participant information, contact information, signature of participant or parent/legal guardian, emergency contact information, & similar information.	2 Years	HC EL		Security Destruction, see notes.
Juvenile Justice		LIST OF INSTRUCTORS AND BIOGRAPHICAL INFORMATION Information on instructors for the department including instructor biography, test/answer keys, inventory, forms, instructor resumes, contact numbers, interoffice presentation.	Until Superseded	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		LISTS OF COMMUNITY PROVIDERS List of referrals, placements and treatment providers	Until Superseded	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		LOG, DISCARDED MEDICATIONS Tracking disposal of medications	5 Years	HC		NRS 205.4617, NAC 239.165 (1) (2) NAC 639.050 Security Destruction, see notes.
Juvenile Justice		LOG, DISTRICT ATTORNEY DENIAL Statistics and casework in which D.A. denies filing a formal petition with court. D.A. uses a rating system and they do not meet criteria. However, other services may be provided to youth.	5 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		LOG, ERC DAILY Record details youth's name, probation officer assigned, court date, etc. File is used to keep an accurate record of youth's information on a day to day basis while at E.R.C.	Termination of Supervision	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		LOG, MAYSII SCREENING Record of youth who have completed Maysi screening.	3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.501 Security Destruction, see notes.
Juvenile Justice		LOG, PROBATION FILES TRACKING Sign out book used for tracking files and reference materials	3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		LOG, RETURN AGREEMENT Records of youth being taken out of detention or interviewed by detectives.	3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		LOG, SCOPE Used to obtain information on adult records or outstanding juvenile warrants. Includes Name/DOB of subjects, criminal history, arrests/warrants.	3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Juvenile Justice	2007-1362	LOGS & REPORTS, COMPUTER HELP DESK Documents requests for technical assistance & responses from users to requests, as well as collect information on use of computer equipment for program delivery, security, or other purposes. Includes: Summary, work order number, type, category, priority, technician assigned, Date assigned, date due, description, resolution and attachments.	1 Year	EL		
Juvenile Justice		LOGS, ADMISSION Information on booking/admitting youth.	1 Year	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		LOGS, SHIFT Maintain unit/staffing information	1 Year	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		LOGS, VISITATION Records of youth visits	2 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Juvenile Justice	2007-0846	MEETING RECORDS, DORM Documents actions and discussion transpiring at department and committee meetings.	1 Year	HC EL		
Juvenile Justice		MENU RECORDS Record of menus of meals served to youth.	1 Year	HC EL		
Juvenile Justice		MUGSHOT PHOTOGRAPHS Photo of youth at time of booking. Often used for photo lineups to identify youth.	Juvenile reaches age of 21	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		NARC SLIPS Document used to provide notice and/or reset a court date. Internal use only.	Administratively Useful	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		NATIONAL SCHOOL LUNCH PROGRAM CLAIMS Monthly school breakfast/lunch program claims for federal reimbursement. Includes Daily total youth population, Detention daily population report, Detention meal record, SMYC meal record, Mealsum, NEP-Ricci Monthly claim, Revenue worksheet.	Submission of final expenditure report + 3 Fiscal Years, OR Granting authority requirement, whichever longer	HC EL		
Juvenile Justice	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Juvenile Justice	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Juvenile Justice		PERFORMANCE BASED STANDARDS REPORTS Records/correspondence for PBS reporting months. Program monitors goals, outcome measures, expected practices and policies of facilities worldwide	2 Years	HC EL		
Juvenile Justice		PERMITS, EQUIPMENT Permits for various types of equipment including boilers, health district, radio station license, septic tanks, water, underground storage, fishing	Life of Asset	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Juvenile Justice	2007-1297b	PERSONNEL FILES, TEMPORARY AND SEASONAL EMPLOYEES, EMPLOYED LESS THAN 1 YEAR Documents employment history of temporary and seasonal employees. These employees are usually hired to perform specific tasks or projects, and length of employment is usually for a limited duration.	Termination + 3 Years	HC EL		Security Destruction, see notes.
Juvenile Justice	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Juvenile Justice	2007-0323	POSITION REPORTS Information on staffing levels, vacancies, and filled positions.	2 Years	HC		
Juvenile Justice		PROBATION FIELD BOOKS Used for tracking cases while traveling. Includes youth information, caseplans, case notes.	Termination of Supervision	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		PROGRAM ATTENDANCE/COMPLETION RECORDS Records of youth's attending and completing program services.	1 Year	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		PROGRAM RECORDS, SMYC FORESTRY This is a yearly agenda for SMYC Summer Forestry program and agreements between USFS and Nevada Partners. Includes orientation letter, overnighter proposal, justification, staff training, parent meeting, youth safety school, exams, permission slips, equipment logs, hand/power tools inventory.	Expiration + 4 Years	HC EL		
Juvenile Justice		PROJECT FILES For construction and other projects involving DJJS facilities and properties.	Completion + 10 Years	HC EL		
Juvenile Justice	2007-0067	PROPERTY AND EQUIPMENT INVENTORY RECORDS Records of all displays, items for storage, collections, and artifacts. May include original donation or purchase information, valuation, history of item	Until Superseded + 1 Fiscal Yearend	HC EL		
Juvenile Justice	2007-0090	RECEIVING RECORDS AND VENDOR INVOICES Payment of bills for goods & services, including billing statements, receiving reports, shipping documents, expense reimbursements, computer generated reports & printouts, payment authorizations, supportive documentation, related correspondence	Fiscal Yearend + 5 Years	HC		Security Destruction, see notes.
Juvenile Justice	2007-0068	RECORDS OF EXTERNAL GROUPS AND AGENCIES Records provided to local governments for courtesy or informational purposes from associations, organizations, groups & agencies that are not part of local government but which have some form of association or relationship with local government.	Administratively Useful	HC EL		
Juvenile Justice	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Juvenile Justice	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Juvenile Justice		SCOPE REPORTS, DEPARTMENT COPY (<i>Official Record copy at Las Vegas Metro Police Department</i>) Report of all entries, deletions and inquiries made on SCOPE system.	3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		SHIFT BID INFORMATION Records pertaining to which locations and shifts that classified employees bid on.	Expiration of Contract	HC EL		
Juvenile Justice		SPECIAL LEAVE REQUESTS, YOUTHS IN CUSTODY Maintain documentation of leave requests for youth. Includes special leave requests, approval/denial, weekend violations.	3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Juvenile Justice	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Juvenile Justice		SUBSTANCE ABUSE ASSESSMENT REFERRAL PROGRAM RECORDS Youth referral forms, stat reports, training materials, misc documents.	6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 62E.620, NRS 11.190 (1)(a) Security Destruction, see notes.
Juvenile Justice		SUICIDE MONITORING FORMS For temporary use as needed when Guard One system is down.	3 Months	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		TEMPERATURE MONITORING RECORDS Track temperature of buildings, freezers and refrigerators.	1 Year	HC EL		
Juvenile Justice	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Juvenile Justice	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Juvenile Justice	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Juvenile Justice		TRUANCY COURT RECORDS Record for truancy court case, including truancy citation, truancy petition, parent form, return agreement, attendance monitoring sheets, community service log, weekly court minutes.	Case Closed	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		USDA FOOD PRODUCT RECALL RECORDS Recall notices.	Administratively Useful	HC EL		
Juvenile Justice		USDA ORDERS Monthly food ordering from USDA.	Audit Clearance	HC EL		
Juvenile Justice	2007-0880	VEHICLE MAINTENANCE AND REPAIR RECORDS Maintenance and repair history of vehicles used by department.	Life of Asset + 3 Years	HC		
Juvenile Justice		WORK SCHEDULE RECORDS Track and maintain shift scheduling for staff	1 Year	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Juvenile Justice		YOUTH COUNSELING RECORDS Information and attendance of youth's attending counseling sessions. Includes informational sheet, referral forms, attendance rosters.	Termination	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Juvenile Justice		YOUTH GRIEVANCE RECORDS Documentation of youth grievances.	Disposition + 3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Law Library	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Law Library	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Law Library	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Law Library	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Law Library		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Law Library	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Law Library	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Law Library	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Law Library	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Law Library	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Law Library	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Law Library	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Law Library	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Law Library	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Law Library	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Law Library	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Law Library	2007-1311	DEPOSITS Record of incoming revenue from fines and other sources.	Audit Clearance	HC EL		
Law Library	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Law Library		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Law Library	2007-1279	INCIDENT REPORTS Security events.	Cclandar Yearend + 5 Years	HC EL		Security Destruction, see notes.
Law Library		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Law Library	2007-0893	LIBRARY CATALOG Records identifying & describing books & other materials in library collection.	Until Superseded	EL		
Law Library	2007-1586a	LIBRARY REPORTS, ANNUAL Statistical & narrative reports documenting collection, registration, circulation, lost books, & other library activities. May include, but is not limited to, various reports such as circulation statistics by category, books reserved, photocopies made, overdue notices mailed, borrowers registered, copies of budget status reports, expenditure reports, attendance reports, reports documenting new activities & services, related correspondence, & similar information.	PERMANENT	EL		Security Destruction, see notes.
Law Library	2007-1586b	LIBRARY REPORTS, NOT ANNUAL Statistical & narrative reports documenting collection, registration, circulation, lost books, & other library activities. May include, but is not limited to, various reports such as circulation statistics by category, books reserved, photocopies made, overdue notices mailed, borrowers registered, copies of budget status reports, expenditure reports, attendance reports, reports documenting new activities & services, related correspondence, & similar information.	2 Years	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Law Library	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Law Library	2007-1558	OPERATING STATISTICAL RECORDS NON-ANNUAL Performance measurement and reporting.	Calendar Yearend + 2 Years	HC EL		
Law Library	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Law Library	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Law Library	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Law Library	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Law Library	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Law Library	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Law Library	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Law Library	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Law Library	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Law Library	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Office of Diversity	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Office of Diversity	2007-1558	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Office of Diversity	2007-1558a	ACTIVITY REPORTS, MONTHLY Monthly operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Office of Diversity	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Office of Diversity		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Office of Diversity	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Office of Diversity	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Office of Diversity	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Office of Diversity	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Office of Diversity	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Office of Diversity	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Office of Diversity	2007-1323	COMPLAINTS, EMPLOYMENT DISCRIMINATION, SEXUAL HARASSMENT Investigations into alleged discrimination and/or sexual harassment. Contains copies of discrimination and sexual harassment policies and acknowledgement forms, discrimination or sexual harassment complaint/intake forms, investigation questions, plans of action for investigations, investigation documents, witness statements, personnel records, form letters / correspondence inclusive of determination letters, subpoenas, litigation documents, and analytical reports/findings.	5 Calendar Years from the end of the calendar year in which the investigation was closed. If the governmental entity is notified of a pending claim at either the Nevada Equal Rights Commission, the Equal Employment Opportunity Commission, or that an action is pending in court, the case files involved must be retained until the final disposition of the charge or action or for the 5 Calendar Year period, whichever is longer.	HC EL		NRS 233.160, Title VII of the Civil Rights Act of 1964 as Amended, Age Discrimination in Employment Act, Americans With Disabilities Act of 1990, and Pregnancy Act of 1967 Security Destruction, see notes.
Office of Diversity	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Office of Diversity	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Office of Diversity	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Office of Diversity	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Office of Diversity	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Office of Diversity	2007-1690	EEO REPORTS Reports required by the State Nevada Equal Rights Commission [NERC] and the Federal Equal Employment Opportunity Commission [EEOC], in accordance with NRS 233.160 and 29 CFR 1602, respectively. EE0-4 Summary Sheet, Agency Function List, Staff Demographics	3 Years	HC MI		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Office of Diversity	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2) Transfer to Human Resources Department for consolidation into official Personnel Record.
Office of Diversity		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Office of Diversity		LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Office of Diversity	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
Office of Diversity	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Office of Diversity	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Office of Diversity	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Office of Diversity	2007-1470	REASONABLE ACCOMMODATION RECORDS Requests for "reasonable accommodation" in the work place. This includes information regarding the medical and mental condition, history and work-related restrictions of an employee or applicant as permitted by the Americans with Disabilities Act. Self-evaluations, copies of medical records, certifications from health care providers, documents relating to work related accommodations, including formal requests for accommodations, responses, and related supportive documentation, related correspondence, similar documents and reports.	Termination + 4 Years	HC EL		Security Destruction, see notes.
Office of Diversity	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Office of Diversity	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Office of Diversity	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Office of Diversity	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Office of Diversity	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Office of Diversity	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Office of Diversity	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Parks and Recreation	2007-0920a	ACCIDENTS REPORTS, RESULTING IN PERSONAL INJURY OR DEATH, LEGAL ACTION Accident reports that result in an injury for customers registered in programs or hurt on county property or during county program or event	Disposition + 6 Years	HC EL		HIPAA information requires Security Destruction, see notes.
Parks and Recreation	2007-0920b	ACCIDENTS REPORTS, RESULTING IN PERSONAL INJURY OR DEATH, NO LEGAL ACTION Accident reports that result in an injury for customers registered in programs or hurt on county property or during county program or event	Calendar Yearend + 3 Years	HC EL		HIPAA information requires Security Destruction, see notes.
Parks and Recreation	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Parks and Recreation	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Parks and Recreation	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Parks and Recreation	2007-0903	APPLICATION TO BECOME PARK COMMISSIONER Application from individual to become a PRAC member	Active + 2 Years	HC		Security Destruction, see notes.
Parks and Recreation	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Parks and Recreation		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Parks and Recreation	2007-0049	AUDIT REPORTS (<i>office copies</i>) Audits/studies performed by various outside parties regarding feasibility and/or financial viability of department, includes feasibility studies, audit findings, etc.	Until Superseded + 1 Fiscal Year	HC EL		
Parks and Recreation	2007-1280	AUTHORIZATION AND SECURITY FORMS Used to authorize, assign authority, and verify approval of various governmental actions.	Expiration + 5 Fiscal Years	HC		Security Destruction, see notes.
Parks and Recreation	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Parks and Recreation	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Parks and Recreation	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Parks and Recreation	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Parks and Recreation	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Parks and Recreation	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Parks and Recreation	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Parks and Recreation	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Parks and Recreation	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Parks and Recreation	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Parks and Recreation	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Parks and Recreation	2007-0224	CRIMINAL BACKGROUND FILE Criminal background checks on potential citizen volunteer board members	Calendar Yearend + 6 Years	HC EL		Security Destruction, see notes.
Parks and Recreation	2007-1298	DISCIPLINARY ACTIONS (<i>Department Copies</i>) Official record copy at Human Resources.	Termination + 1 Year	HC EL		Security Destruction, see notes.
Parks and Recreation	2007-0837	EMPLOYEE LICENSES / CERTIFICATES Licenses/certificates issued to employees by professional, educational, regulatory, or other agencies. These types of licenses/certificates are normally occupation specific (EMS, Peace Officer, Firefighter, Social Worker, Nurses, Engineers & similar professions) & are usually required as a condition of employment.	Expiration + 3 Years	HC EL		Security Destruction, see notes.
Parks and Recreation	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Parks and Recreation		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Parks and Recreation	2007-0906	FACILITY CONSTRUCTION/PLANNING PROPOSED OR COMPLETED New construction or modifications either planned or performed to new or existing park locations or areas. May contain artist rendering, blueprints, maps, as built, design files, projects. Includes maps, plans, project overview, RPM estimate, RPM project request, costs, artist drawings.	Termination + 6 Years	HC EL		Security Destruction, see notes.
Parks and Recreation	2007-0922	FACILITY SIGN IN SHEETS Documentation for open gym, Rectrek. Includes Sign In Sheets. Attendance logs.	Expiration + 1 Year	HC		
Parks and Recreation	2007-0926	Facility Use Schedules Schedules for use of Park facilities.	1 Year	HC EL		
Parks and Recreation	2007-0310	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Regulate the granting and monitoring of family leave under the Federal Family and Medical Leave Act of 1993 and the State Parental Leave Without Pay Bill. Includes Leave Requests, Medical Certifications, Notice Correspondence.	Fiscal Yearend + 3 Years	HC EL		29 CFR 1630.14 Security Destruction, see notes.
Parks and Recreation	2007- 1649	GRANT RECORDS - PROPOSALS, REPORTS, & RESULTS Grants applied for and received from federal and state governments, private organizations, private benefactors, and other sources; includes correspondence, application and supporting documentation, project proposal, project plans, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports and similar records.	Closure + 3 Years, OR Retention period required by grantor, whichever longer. See NOTE			NOTE: Review for historical value.
Parks and Recreation	2007-1279	INCIDENT REPORTS Security events.	Calendar Yearend + 5 Years	HC EL		Security Destruction, see notes.
Parks and Recreation		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Parks and Recreation	2007-0361	LOG, VEHICLE Check out of pooled vehicles information - miles in, miles out.	Until Superseded	HC		
Parks and Recreation		MAINTENANCE WORK ORDERS Work order form with input from worker as to resolution, materials used, hours of staff time.	Closure + 1 Year	HC EL		
Parks and Recreation	2007-0109	MEETING RECORDINGS Recordings of proceedings of regularly scheduled, special, and emergency meetings and may also be used to transcribe, verify and correct minutes of public meetings. Written minutes may be taken from these recordings, transcribed, corrected as needed, and presented to meeting body for approval.	1 Year	EL		Recordings <u>must</u> be transcribed into written minutes. NRS 241.035, NRS 241.030
Parks and Recreation	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Parks and Recreation		MUSEUM PROPERTY AND EQUIPMENT INVENTORY RECORDS Records of all displays, items for storage, collections, and artifacts. May include original donation or purchase information, valuation, history of item.	PERMANENT	HC EL		
Parks and Recreation	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Parks and Recreation	2007-0923	PAYMENT RECORD, PROGRAM PARTICIPANTS Documentation concerning payment by individuals or groups for various programs, classes, events for park events.	Audit Clearance	HC EL		Security Destruction, see notes.
Parks and Recreation	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Parks and Recreation	2007-0919	PERMITS, PARK OR FACILITY USE Permits needed to put on event or rental of park facilities. Can include letter of permission from Director, health permit, fire dept. business license and any other needed permit or permission for event.	Audit Clearance + 1 Fiscal Year	HC EL		
Parks and Recreation	2007-0897	PETTY CASH RECORDS Petty cash activity for agency. May include requests & authorizations to establish petty cash funds, logs or ledgers, statements, requests for disbursements, copies of receipts & invoices, & similar documents.	Audit Clearance	HC		
Parks and Recreation	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Parks and Recreation	2007-0786b	PROGRAM ACTIVITY REPORTS, NOT ANNUAL Both pre and post activity reports for various programs at centers.	Calendar Yearend + 2 Years	HC EL		
Parks and Recreation	2007-0921	PROGRAM DESCRIPTIONS Listing of available programs with times sessions and fees. Also list requirements of program participants. May have lesson information, instructor, handouts, pamphlets and other supporting documents.	Expiration	HC EL		
Parks and Recreation	2007-0925	PROGRAM ENROLLMENT & ATTENDANCE RECORDS Records of program offerings attendance, sign in sheets, revenues, expenses, enrollment materials, insurance, and possibly birth certificates.	Completion + 5 Years	HC EL		Security Destruction, see notes.
Parks and Recreation	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC EL		
Parks and Recreation	2007-1240	PUBLICATIONS Newsletters, pamphlets, annual or statistical reports, studies, leaflets and similar material produced by or for county or any of its departments, subdivisions, or programs for distribution to public.	See NOTE	HC		NRS 378.150, NRS 378.150 - 378.210, NOTE: Send 6 copies of each to Nevada State Library and Archives - State Publications

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Parks and Recreation	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Parks and Recreation	2007-1316	REFUND RECORDS Documents credits or refunds to patients for overpayment. May include amount of overage, cause of overage, written request for refund, and related correspondence.	Fiscal Yearend + 3 Years	HC EL		Security Destruction, see notes.
Parks and Recreation	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Parks and Recreation	2007-0904	RENTAL RECORDS, PARK FACILITY OR EQUIPMENT Client information to rent Parks facility or equipment.	Audit Clearance	EL		
Parks and Recreation		SCHOLARSHIP APPLICATIONS Applications for client discount on class fees.	2 Years	HC		
Parks and Recreation	2007-0041a	SPECIAL EVENT RECORDS, HISTORICAL EVENT Vendors, participants, co-sponsors' information and participation records and activities.	PERMANENT	HC EL		
Parks and Recreation	2007-0041b	SPECIAL EVENT RECORDS, NOT HISTORICAL EVENT Vendors, participants, co-sponsors' information and participation records and activities.	Fiscal Yearend + 2 Years	HC EL		
Parks and Recreation	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Parks and Recreation	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Parks and Recreation	2007-0076	SURVEYS, POLLS, AND QUESTIONNAIRES Document county department opinion on various issues, actions, and concerns. <i>Surveys, polls, questionnaires, summaries, abstracts.</i>	Administratively Useful	HC		
Parks and Recreation	2007-1673a	SWIMMING POOL FINANCIAL RECORDS Records regarding swimming pool financial operations.	Audit Clearance	HC EL		
Parks and Recreation	2007-1673b	SWIMMING POOL OPERATING RECORDS Documents operation of local government operated swimming pools. May include but is not limited water quality test & analysis reports, incident reports, inspection & maintenance requests & reports, attendance counts, correspondence & similar documents.	Calendar Yearend + 3 Years	HC EL		
Parks and Recreation	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Parks and Recreation	2007-0330	TRAINING RECORDS, EMPLOYEE <i>(Department copies. Official record copy at Human Resources.)</i> Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Parks and Recreation	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Parks and Recreation	2007-0331	VOLUNTEER SERVICE RECORDS Documents work performed by citizens without compensation for their services. Includes applications, job descriptions, training documents, orientation records, workman's compensation records, volunteer processing check list, time records, monitoring records, & letters of recommendation	Termination + 3 Years	HC EL		Security Destruction, see notes.
Parks and Recreation	2007-0927	WAIVERS OF LIABILITY Signed by users of park facilities.	2 Years	HC EL		Security Destruction, see notes.
Parks and Recreation	2007-1424	WORKER'S COMPENSATION FILES Document employees' injuries, occupational illnesses and structured return to work conditions and OSHA reporting. Employer's report of injury, compensation form, legal correspondence, reports from health providers, return to work conditions	Closure + 3 Years	HC EL		Security Destruction, see notes.
Public Administrator		ACCESS CODE RECORDS Codes to facilities and systems used by employees. Includes building alarm codes, Mission system access codes	Until Superseded + 3 Years	HC		NRS 11.190 (3)(d)
Public Administrator	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Administrator	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Public Administrator	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Public Administrator	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Administrator		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Public Administrator	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Public Administrator	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Public Administrator	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Public Administrator	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		

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Public Administrator	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Public Administrator		COLLECTED FEE RECORDS Fees collected from decedent estates paid to Public Administrator. Fees are remitted to County Treasurer.	Fiscal Yearend + 3 Years	HC EL		
Public Administrator	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Public Administrator	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Public Administrator	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Public Administrator	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Public Administrator	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Public Administrator	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Public Administrator	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Public Administrator		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Public Administrator		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Administrator	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Public Administrator	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Administrator	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Public Administrator	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Public Administrator	2007-0946	PROBATE CASE FILES Case files for decedents consisting of personal, financial and legal documents required to Probate estates of individuals. Investigator Reports, Legal documents, Inventory forms, correspondence, death certificates, wills/trusts, bank statements, vehicle documents, real property information, photographs, tax returns/correspondence.	Final Settlement + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Public Administrator	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Public Administrator	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Public Administrator	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Public Administrator	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Public Administrator	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Public Administrator	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Public Administrator	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Communications	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Communications	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Public Communications	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

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Public Communications	2007-1638	AGENDAS, ANNOTATED Summary document listing all items discussed during public meetings & action taken on those items. <i>Is not the official/final agenda.</i>	Calendar Yearend + 1 Year	HC EL		
Public Communications	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (Department copies. Official record copy at Human Resources.)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Communications		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Public Communications	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Public Communications	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Public Communications	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Public Communications	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Public Communications	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Public Communications	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Public Communications	2007-0054	CONTRACTS & AGREEMENTS (Department copies) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Public Communications	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Public Communications	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Public Communications	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Public Communications	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		

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Public Communications	2007-0295	DISASTER RECOVERY PLAN Plans to maintain necessary business operations, protect the public, and to safeguard vital records during emergency situations. Hazard analysis records, first response procedures, emergency operations plans, incident response plans, disaster management and recovery plans, vital record plans, damage assessment plans, post disaster evaluation procedures, correspondence and related documents.	Until Superseded See NOTE	HC EL		NOTE: Retain one copy of superseded plan permanently for historical purposes
Public Communications	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Public Communications		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Public Communications		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Communications	2007-0063	MAILING AND DISTRIBUTION LISTS Lists of names and addresses compiled for various mailings, such as billings, notifications, community outreach, and other administrative purposes. Media Telephone Directory (contact information for the Media)	Calendar Yearend + 1 Year	HC EL		
Public Communications	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Public Communications	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Public Communications	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Public Communications	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Public Communications	2007-0440	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC		

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Public Communications	2007-1559a	PUBLICITY FILES AND PRESS RELEASES, <u>HISTORICAL</u> This series consists of non-routine or historically significant publicity files/press releases issued by department. This series may contain originals or copies of press releases, publicity files, audio and/or video recordings, public access television channel content, website content, informational flyers, notes, charts, graphs, correspondence, and related documents.	PERMANENT	HC EL		
Public Communications	2007-1559b	PUBLICITY FILES AND PRESS RELEASES, <u>NOT HISTORICAL</u> Publicity files/press releases issued by department. This series may contain originals or copies of press releases, publicity files, audio and/or video recordings, informational flyers, notes, charts, graphs, correspondence, and related documents.	Administratively Useful	HC EL		
Public Communications	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Public Communications	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Public Communications	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Public Communications	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Public Communications	2007-1008	TELEPHONE LOGS Listing or log of telephone calls made and similar telephone activity reports.	90 Days	HC EL		State requirement is 90 days. Department policy is to retain for 2 years as a reference tool due to nature of department.
Public Communications	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Public Communications	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Public Communications	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Defender	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Defender	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Public Defender	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Public Defender	2007-1722	ADMINISTRATIVE DATABASES Databases that support administrative or housekeeping functions such as those used for purposes of filing, keeping track of equipment and/or supplies, calendaring & similar non-programmatic activities.	Administratively Useful	EL		Security Destruction, see notes.
Public Defender	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Defender		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Public Defender	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Public Defender	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Public Defender	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Public Defender	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Public Defender	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Public Defender	2007-0153	CALENDARS/AGENDAS, COURT Day by day listing of cases to be heard, specifying department.	30 Days	HC		NRS 178.592
Public Defender		CASE FILES, ADULT CRIMINAL (Where Life in Prison or Death Penalty is a Potential Sentence) Category A felony cases where death sentence or life in prison is a potential sentence under statutes and capital cases.	Life of Defendant	HC EL		Required for potential post conviction litigation, as has been previously experienced by Clark County Public Defender's Office. Security Destruction, see notes.
Public Defender	2007-0948	CASE FILES, ADULT CRIMINAL Records and documents collected from outside sources to be used to defend clients charged with a criminal case. Includes pleadings, transcripts, case history, witness statements, police reports, correspondence, attorney notes, pre-sentence reports.	Resolution + 7 Years, See NOTE	HC EL		NOTE: For cases where Public Defender withdrew or other legal counsel was appointed: Transfer all related records to appointed legal counsel. A HC and EL remain with the CCPD.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Defender		CASE FILES, ADULT DRUG, DUI, EARLY RELEASE AND MENTAL HEALTH COURT (SPECIALTY COURTS) Drug court and mental health case are created from Public defender and private attorney criminal cases. Includes Court reports from Choices Inc., case history sheets, court petition/order, jail sanctions, scope, attorney work product, guilty plea agreements, negotiations, court notes, e-mails, affidavits, medical reports, police reports, witness	Disposition + 2 Years			Security Destruction, see notes.
Public Defender	2007-1406	CASE FILES, CRIMINAL APPEALS Record is created from trial files to be used to proceed to Nevada Supreme Court from District Court upon judgement of conviction. Includes pleadings, record on appeal, correspondence, research, attorney notes/memos.	Disposition + 7 Years	HC EL		Files are kept until new attorney is appointed; then everything turned over to new attorney. We retain original of work products. If a capital case, we keep a convenience copy of everything except pleadings and transcripts. Security Destruction, see notes.
Public Defender	2007-1401	CASE FILES, JUVENILE DELINQUENCY Case files are summarized and duplicated by district attorney and forwarded to Public Defender for defense purposes. Social workers and investigators keep separate work files within their area. Includes pleadings, request for prosecution, juvenile history, case history, motions and responses, orders, pre-sentence reports.	Juvenile reaches age of 18 + 6 Years	HC EL		Security Destruction, see notes.
Public Defender		CASE FILES, MERGE RECORDS REQUEST Requests to merge name and case records, when client has more than one entry in Justware system. Includes E-mails requesting merge, generated IT logs and supporting documentation	1 Year	HC EL		Security Destruction, see notes.
Public Defender	2007-0860	CASE FILES, RECORD SEALED BY COURT Orders/Documents for cases sealed by a court of record in accordance with state and federal laws. This series contains petition notice, affidavits, copy of criminal history, copies of court documents, signed order of court sealing the records, computer printouts, and related documents	Same retention period as equivalent non-sealed record, unless directed otherwise by court	HC EL		Security Destruction, see notes.
Public Defender	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Public Defender	2007-1660	CONTINUING EDUCATION/TRAINING PROGRAM RECORDS Documents continuing education requirements for professional license renewal, including training course workshop documentation, accreditation notices, correspondence, etc.	Expiration + 3 Years	HC EL		Security Destruction, see notes.
Public Defender	2007-0054	CONTRACTS & AGREEMENTS (Department copies) For products and services administered by an agency, where the official record copy is maintained elsewhere	Expiration + 1 Year	HC		Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Defender	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) <i>Contracts/agreements for Non-Capital products and services.</i>	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Public Defender	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Public Defender	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Public Defender	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Public Defender	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Public Defender	2007-0332	EMPLOYEE RECOGNITION PROGRAM RECORDS Document Employee of the Quarter and Year nominees and recipients.	2 Years	HC		
Public Defender		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Public Defender	2007-1341	ERROR REPORTS Reports produced to detect errors or potential errors within computer systems. Files may consist of paper printouts and/or on-line reports. Reports may be run on a regular or special basis.	Until Superseded	HC EL		
Public Defender	2007-0062	INSURANCE POLICIES Terms & conditions of insurance policies between local government & insurers. Types of insurance may include liability, property, motor vehicle, flood, & others. Records include policies, endorsements, rate change notices, agent of record, related correspondence & similar documents.	Expiration + 6 Years	HC		
Public Defender		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Defender	2007-1659	LOBBYIST FORM Document lobbyist and lobbyist employer activities. This series may include expenditure reports, registration statements, supplementary registration statements, termination records, guidelines, related correspondence and similar documents.	5 Years	HC		
Public Defender		LOG, DAILY WORKLOAD STATISTICS Statistics for employees daily work product. Determine daily, monthly and yearly statistic on office workload.	1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Defender		LOG, OFFSITE RECORDS STORAGE ACTIVITY Track files requested and delivered from RMS storage; clerks, attorneys, secretaries, runners, investigators, social workers. Log contains; case number/name, time/date requested, requested/delivered person and date.	1 Year	HC EL		
Public Defender	2007-0859	LOG, PAROLE/PROBATION DISSEMINATION The documents/reports disseminate information of an individual's criminal history. This log contains an entry reflecting day Public Defenders office received pre-sentence report. Includes date information was provided; person who is subject of information; and a brief description of information provided.	Calendar Yearend + 1 Year	HC EL		Security Destruction, see notes.
Public Defender	2007-1727	LOGS, COMPUTER ACCESS Information relating to employee name, date & time of access. Data also indicates employee title and location in department. Any network connectivity and a journal used when technical staff accesses computer.	Calendar Yearend + 3 Years	EL		Security Destruction, see notes.
Public Defender	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Public Defender	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Public Defender	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Public Defender	2007-1297b	PERSONNEL FILES, TEMPORARY AND SEASONAL EMPLOYEES, EMPLOYED LESS THAN 1 YEAR Documents employment history of temporary and seasonal employees. These employees are usually hired to perform specific tasks or projects, and length of employment is usually for a limited duration.	Termination + 3 Years	HC EL		Security Destruction, see notes.
Public Defender	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Public Defender	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Records of all displays, items for storage, collections, and artifacts. May include original donation or purchase information, valuation, history of item.	Until Superseded + 5 Fiscal Years	HC EL		
Public Defender	2007-1559a	PUBLICITY FILES AND PRESS RELEASES, HISTORICAL Publicity files/press releases issued by coroner. This series may contain originals or copies of press releases, publicity files, audio and/or video recordings, informational flyers, notes, charts, graphs, correspondence, and related documents.	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Defender	2007-1559b	PUBLICITY FILES AND PRESS RELEASES, NOT HISTORICAL Publicity files/press releases issued by coroner. This series may contain originals or copies of press releases, publicity files, audio and/or video recordings, informational flyers, notes, charts, graphs, correspondence, and related documents.	Administratively Useful	HC EL		
Public Defender	2007-0070	RECORDS OF MAILINGS Documentation of mailing dates, content of mailings, and addressees for mailing sent by local government for various purposes.	Calendar Yearend + 1 Year	HC		
Public Defender	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Public Defender	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Public Defender		SOCIAL WORK FILES (Department Copies) Documents social work referral on legal cases. Includes referral by attorney, release of information, medical, psychiatric, school, work, substance abuse, CPS, jail, and criminal records, substance abuse, psychiatric and any other evaluations, case notes.	Disposition + 7 Years	HC EL		NOTE: Doctors offices and other agencies have official records. Evaluations and records are summarized in JustWare.
Public Defender	2007-1245	SOFTWARE LICENSES Licensure & implementation of computer software programs by local government. May include permitted uses, rights & restrictions, warranty information, liability statement, & laws governing product.	Expiration + 6 Years	HC		
Public Defender	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Public Defender	2007-0047	STRATEGIC PLAN FILES Develop and maintain the department's mission, goals and performance measures. Activity reports, performance measures.	Until Superseded + 3 Years	EL		Security Destruction, see notes. Review for historical value
Public Defender	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Public Defender	2007-1414	SUPPORTIVE AGENCY FILES Used to keep informed about activities of other agencies of similar function (other states, national and international organizations, etc.). Files may contain correspondence, brochures, pamphlets, announcements, notes, information sheets on federal/state/and/or private organizations, copies of reports, handbooks, guides and similar materials.	Administratively Useful	HC EL		
Public Defender	2007-1254	TECHNICAL REFERENCE FILES Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are used for reference and information but are not public records.	Administratively Useful	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Defender	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Public Defender	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Public Defender	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Defender	2007-0072	UNDELIVERABLE MAILING RECORDS Mailings sent by county that were returned as undeliverable.	Calendar Yearend + 1 Year	HC		
Public Guardian	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Guardian	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Public Guardian	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Public Guardian	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Guardian		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Public Guardian	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Public Guardian	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Public Guardian	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Public Guardian	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Public Guardian	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Public Guardian		BUILDING CONSTRUCTION RECORDS (<i>Department Copies. Official record copy at Real Property Management Department.</i>) Architectural design and construction records.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Guardian		CLIENT FINANCIAL RECORDS Financial records for clients and/or wards of Public Guardian's and Public Administrator's Offices. Records include check requests, invoices, statements, check registers, balance sheets, cancelled checks, stop pay forms, stale date check reports, representative payee reports, and positive pay reports, impound forms and burial forms, Account receivable records including but not limited to, daily deposit reports, ACH reports, check reconciliation reports, burial and impound account forms, monthly bank and investment statements, interest apportionment report, monthly bank reconciliation reports, administrative records including daily exception reports, fraudulent check files, investment/checking fund transfer files, and IRS 4804-interest filing	Transaction Date + 7 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.179. Security Destruction, see notes.
Public Guardian		CLIENT/WARD CASE FILES, PUBLIC GUARDIAN & REPRESENTATIVE PAYEE Case Management records for clients and wards consisting of personal, financial, medical, legal documents required to manage the individual and/or individual's property. Referral information, correspondence, case documentation including but not limited to; financial, medical, personal information, court documents, case activity fee information, case notes, copies of medical records., Originals of wills, birth/marriage certificates, car titles, life insurance policies, receipts, medical insurance cards, ID cards and wage stubs.	Closure + 7 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), NRS159.179. Security Destruction, see notes.
Public Guardian		CLIENT/WARD FEES PAID Public Guardian fees paid to County Treasurer. Fee records include reports and request for refund forms relating to fees remitted to Treasurer's Office.	Transaction Date + 7 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Public Guardian		CLIENT/WARD PROPERTY INVENTORY RECORDS Inventories of client/ward property managed by Public Guardian and Public Administrators' offices, including personal property inventories, vehicle inventories, work orders and inventory sheets.	Transaction Date + 7 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 159.085. Security Destruction, see notes.
Public Guardian	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Public Guardian	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Public Guardian	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Guardian	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Public Guardian	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Public Guardian	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Public Guardian	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Public Guardian		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Public Guardian	2007-1648	GRANT FISCAL RECORDS Documentation for State of Nevada, DAS, including application, budget, notification of award, agenda item, grant appropriation form, correspondence, timesheets, spreadsheets, salary/benefit reports, request for funds, financial reports, client information, and service reports.	Grant Closure + 3 Fiscal Years, OR retention period required by granting authority, whichever longer	HC EL		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Public Guardian	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Guardian	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Public Guardian	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Public Guardian	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Public Guardian	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Public Guardian	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Public Guardian	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Guardian	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Public Guardian	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Public Guardian	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Public Guardian	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Public Guardian	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Guardian		WARD/CLIENT PERSONAL PROPERTY LIQUIDATION RECORDS Documentation of the inventory, sales and proceeds of ward's personal property liquidated on E-bay and at public auction.	Transaction Date + 7 Years	HC		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
Public Works	2007-1591	ACCEPTANCE LETTERS Letters from local government entities to external agencies and developers accepting responsibilities for future maintenance and mgmt of public infrastructure. Includes traffic management, construction management, administration, maintenance mgmt, maps and blue prints.	PERMANENT	HC EL		
Public Works	2007-1712b	ACCIDENT REPORTS NOT RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	3 Years	HC		Security Destruction, see notes.
Public Works	2007-1712a	ACCIDENT REPORTS RESULTING IN LEGAL ACTION OR DAMAGE Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	Settlement + 3 Years	HC		Security Destruction, see notes.
Public Works	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Public Works	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Public Works	2007-1722	ADMINISTRATIVE DATABASES Databases that support administrative or housekeeping functions such as those used for purposes of filing, keeping track of equipment and/or supplies, calendaring & similar non-programmatic activities.	Administratively Useful	EL		Security Destruction, see notes.
Public Works	2007-1589	AERIAL PHOTOGRAPHS Photographs documenting topographical & physical features of a specific area at a specific date and time. Used for planning and other documentation needs.	PERMANENT	HC EL		
Public Works	2007-1639	AGENDAS - OFFICIAL/FINAL Meeting agenda & any backup material submitted prior to or during meeting is often included as part of meeting minutes. Includes agenda items, respective back-up documentation, back-up contracts.	PERMANENT	HC EL		
Public Works	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Works		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Public Works	2007-0049	AUDIT REPORTS (<i>Department copies. Official record copy at Auditor's Office.</i>) Audits/studies performed by various outside parties regarding performance and/or financial viability of department. Includes feasibility studies, audit findings, etc.	Until Superseded + 1 Fiscal Year	HC EL		
Public Works	2007-1328	AUDIT TRAIL RECORDS Data produced during formation of database used to validate master file database during a process cycle. Defines: user that makes change, Date & Time of change, Type of change, Name of file and program, Job that processed data.	3 Data Backup Cycles	EL		
Public Works	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Public Works	2007-0967	BARRICADE PLANS Approved and denied applications and plans to install access and traffic barricades.	Denial, Superseded or Removed + 3 Years	EL		
Public Works	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Public Works	2007-0427	BOND REGISTERS AND RECORDS Listing of bonds issued & redeemed & may contain, but is not limited to, information on coupon number, amount of bond, date bond issued, date of bond redemption, purpose of bond & to whom bond was issued.	Expiration + 10 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-1590	BRIDGE AND CULVERT FILES Documents relating to construction and repair of bridges as well as culverts. Records may include plans, drawings, blueprints of substructure and, superstructure, project specifications for materials, types of construction, cost estimates, and similar documents.	PERMANENT	HCEL		
Public Works	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
Public Works	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Public Works	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Public Works	2007-0311	CASE FILES, EMPLOYEE GRIEVANCES Grievances or complaints filed by current employees, terminated employees, applicants, or private citizens regarding employment practices. May include, but is not limited to, complaints, investigation reports, interview documentation, witness statements, background information, supporting papers, summary of action taken, audio/video recordings, related correspondence, & summary of	Settlement + 3 Years	HC EL		Security Destruction, see notes.
Public Works	2007-1521	CERTIFIED PAYROLL REPORTS, CONTRACTOR Reports from contractors & subcontractors of public works projects documenting compliance with NV law & regulation. May include certified payroll reports, compliance statements, investigative reports, verifications, nonperformance payroll reports, applicable forms, related correspondence, & similar documents.	Settlement + 3 Years	HC EL		NRS 338.010 to 338.090 & NAC 338.005 to 338.125, NRS 338.070 Security Destruction, see notes.
Public Works	2007-0061	CLAIM FILES, INSURANCE Claims filed against County. These include personal injury, property damage, motor vehicle accident, false arrest, and others. Records include reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents.	Disposition + 3 Fiscal Years	HC		Security Destruction, see notes.
Public Works	2007-0431	CLAIMS AGAINST COUNTY Claims on a governmental entity for goods & services provided.	Settlement + 3 Years	HC EL		Security Destruction, see notes.
Public Works	2007-1547	CLAIMS AGAINST OTHERS This record series documents claims by county against public and insurance companies for recovery of costs for damage to governmental property. Includes repair estimates, police reports, statements, correspondence, work orders, memos, insurance info letters, invoices, dunning notice, photos, summaries.	Settlement + 6 Years OR 1 Fiscal Year after written off as uncollectible	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-0030	COMMUNITY HISTORIES Narrative histories of the community prepared for special events, reference & other informational purposes	PERMANENT	HC		
Public Works	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Public Works	2007-1323	COMPLAINTS, EMPLOYMENT DISCRIMINATION, SEXUAL HARASSMENT Investigations into alleged discrimination and/or sexual harassment. Contains copies of discrimination and sexual harassment policies and acknowledgement forms, discrimination or sexual harassment complaint/intake forms, investigation questions, plans of action for investigations, investigation documents, witness statements, personnel records, form letters / correspondence inclusive of determination letters, subpoenas, litigation documents, and analytical reports/findings.	5 Calendar Years from the end of the calendar year in which the investigation was closed. If the governmental entity is notified of a pending claim at either the Nevada Equal Rights Commission, the Equal Employment Opportunity Commission, or that an action is pending in court, the case files involved must be retained until the final disposition of the charge or action or for the 5 Calendar Year period, whichever is longer.	HC EL		NRS 233.160, Title VII of the Civil Rights Act of 1964 as Amended, Age Discrimination in Employment Act, Americans With Disabilities Act of 1990, and Pregnancy Act of 1967 Security Destruction, see notes.
Public Works	2007-0971	CONSTRUCTION TEST RESULTS Documents results of construction and construction materials testing.	Completion + 12 Years	EL		
Public Works	2007-1660	CONTINUING EDUCATION/TRAINING PROGRAM RECORDS Documents continuing education requires for professional license renewal, including training course workshop documentation, accreditation notices, correspondence, etc.	Expiration + 3 Years	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-1249	CONTRACTS & AGREEMENTS - CAPITAL IMPROVEMENT PROJECTS Records may include official contract, lease or agreement, amendments, exhibits, addenda, legal records, contract review records, specifications, bids awarded, copies of payments, receipts, supporting documents used in managing the contract, correspondence and re-platted documents.	Expiration + 12 Fiscal Years	HC EL		Security Destruction, see notes.
Public Works	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Public Works	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Public Works	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Public Works	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Public Works	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Public Works	2007-1674	CORRESPONDENCE, PROJECT Correspondence related to a specific case or project.	Completion + 10 Years	EL		File correspondence in project file.
Public Works	2007-0768	COVENANTS, RESTRICTIONS AND AMENDMENTS Copies of covenants, conditions, & restrictions & any amendments to them.	PERMANENT	HC EL		
Public Works	2007-0433	DAILY CASH AND RECEIPTS REPORTS Daily cash transactions and may contain receipts, cashier's daily reports, cash balance reports, transmittal reports, and related documents. Includes QC/PC daily transactions, Main Cashier deposits, Credit Card transmittals, Customer Svc Deposits, Batch reports, Receipt copies.	Audit Clearance	HC EL		
Public Works	2007-1345	DATA DOCUMENTATION Records created during development or modification to automated systems, & are necessary to access, retrieve, manipulate & interpret data. May include information on data element dictionary, file layout, code book or table, & other records that explain the meaning, purpose, structure, logical relationships, & origin of data elements (sometimes known as <i>data dictionaries</i>).	Life of Asset + 3 Years	HC EL		
Public Works	2007-0008	DIRECTIVES OF MANAGER Executive orders, Bulletins and advisories, Directives, Policy statements, Notes on policy and procedures. Related correspondence. Similar documents.	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-0974	DISASTER/DAMAGE REPORT Metro accident field investigations documenting extent & impact of natural or manmade disasters & emergency incidents & actions taken by public works departments in response to such incidents.	PERMANENT	HC EL		
Public Works	2007-1308	DISBURSEMENT RECORDS Disbursement of office supplies, commodities, parts, & other consumable materials.	Audit Clearance + 1 Year	HC		
Public Works	2007-0709	DRAINS, LOCATIONS & MAINTENANCE Documents locations of storm and similar types of drains used for flood control.	PERMANENT	HC EL		
Public Works	2007-0773	EASEMENTS Copies of legal instruments allowing right-of-way to make limited use of private property	PERMANENT	HC EL		
Public Works	2007-1290	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Listings of current employees	Until Superseded	EL		Security Destruction, see notes.
Public Works	2007-1276	EMPLOYEE HANDBOOKS Guidelines created to explain the internal operations, policies, and procedures of the agency to a new employee	Until Superseded + 6 Years	HC EL		
Public Works	2007-0837	EMPLOYEE LICENSES / CERTIFICATES Licenses/certificates issued to employees by professional, educational, regulatory, or other agencies. These types of licenses/certificates are normally occupation specific (EMS, peace officer, firefighter, social worker, nurses, engineers & similar professions) & are usually required as a condition of employment.	Expiration + 3 Years	HC EL		Security Destruction, see notes.
Public Works	2007-0058	EMPLOYEE PERSONNEL FILES (Department copies. Official record copy at Human Resources.) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Public Works		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Public Works	2007-1234	EXCESS, LOST AND STOLEN PROPERTY FILES Property in custody of county which has been lost, stolen, exchanged, or declared excess.	Calendar Yearend + 3 Years	HC		
Public Works	2007-0716	FEDERAL GRANT RECORDS, REAL PROPERTY AND EQUIPMENT Document real property & equipment purchased with funds from federal grants.	Life of Asset + 3 Fiscal Years OR Retention period required by grantor, whichever longer.	HC EL		Review for historical value
Public Works	2007-1039	FEES, REQUESTS FOR PAYMENT Payment requests & may include overdue notices, requests for payment, receipts, related correspondence & similar documents	Settlement + 1 Fiscal Year	HC EL		
Public Works		FIELD BOOKS Record of history of activities done by survey field crews pertaining to civil projects, land boundaries, horizontal and vertical controls	PERMANENT	HC MI		NRS 255.110(d)3

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-0976	FIELD REPORTS, ON-SITE INSPECTIONS: COMMERCIAL & PUBLIC Commercial/public building or structure inspections & is used to determine compliance of building construction, electrical, plumbing, mechanical & other systems with UBC & other building standards adopted by county.	Completion + 6 Years	HC		Security Destruction, see notes.
Public Works	2007-1325	FIRST AID RECORDS Single treatment & any follow up visit for purpose of observation of minor scratches, cuts, burns, splinters & other injuries which do not ordinarily require medical care. Such treatment & any follow up visit for purpose of observation are considered first aid, even if treatment or visit is provided by a health care provider.	Calendar Yearend + 1 Year	HC EL		NAC 618.5506
Public Works	2007-1531	FREIGHT RECORDS Receipts of miscellaneous equipment and supplies received on order by department.	Fiscal Yearend + 3 Years	HC		Security Destruction, see notes.
Public Works	2007-0064	HAZARDOUS MATERIAL SAFETY FILE This record series is used to provide information on hazardous materials stored, manufactured or used by the agency as part of the Hazard Communication Program. This series includes material safety data sheets (MSDS) and a listing of hazardous material in the workplace.	30 Years	HC		
Public Works	2007-0980	HIGHWAY/ROAD MAINTENANCE SCHEDULES Highway/road maintenance schedules which document starting date & projected date of completion for routine maintenance & repair, pavement marking, snow & ice removal, & similar maintenance or repair activities.	Until Superseded + 1 Year	HC		
Public Works	2007-0033	HISTORY FILES Records that document history of an agency, department, division or other governmental body, and is usually used as an informational source for governmental entity & public.	PERMANENT	HC EL		
Public Works	2007-1331	INDEXES AND FINDING AIDS Indexes, lists, registers, & other finding aids usually used to provide access to master files.	Administratively Useful	HC EL		
Public Works	2007-1355	INPUT DOCUMENTS Documents created solely for computer input.	Active	HC EL		
Public Works		INSURANCE POLICIES, CONTRACTOR Copies of insurance coverage provided by contractors required as condition of contract.	Expiration	HC		
Public Works	2007-0078	KEY AND KEYCARD RECORDS Documents issuance of keycards to agency staff to enable access to agency buildings and sites. Records may include but are not limited to key inventories, key issue forms, key replacement records, and key disposal records.	Active + 3 Years	HC EL		Security Destruction, see notes.
Public Works		LEAVE REQUESTS, EMPLOYEE (Department copies. Official record copy at Human Resources.) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-0383	LEGAL NOTICES Documents compliance with state laws requiring public notice of governmental activities. May include affidavits of publication, certificates of mailing, affidavits of posting, public hearing notices, other required public or legal notices and similar documents.	PERMANENT	HC EL		
Public Works	2007-1008	LOG, TELEPHONE Listing or log of telephone calls received on Department Voter lines & similar telephone activity reports.	6 Months	HC EL		
Public Works	2007-0063	MAILING AND DISTRIBUTION LISTS Lists of names and addresses compiled for various mailings, such as billings, notifications, community outreach, and other administrative purposes. media telephone directory (contact information for Media)	Calendar Yearend + 1 Year	HC EL		
Public Works	2007-0770	MAPS Depicting locations of lots & blocks, annexations, easements, property lines, zoning boundaries, & similar classifications.	PERMANENT	HC EL		
Public Works	2007-0983	MAPS, PLANS, AND DRAWINGS Offsite maps, blueprints, & drawings pertaining to zoning, soil, land use, utilities, water supplies, road & bridge construction & repair, water mains, sewer lines, sewer line connections, fire hydrants, sewer district boundaries, valve locations, & similar engineering & construction related projects.	PERMANENT	HC EL		
Public Works	2007-0984	MASTER PLAN & AMENDMENTS Present & projected needs of local government for water, sewer, storm drainage, flood control, streets, utilities, bikeways & other systems. Records may include but are not limited to reports, evaluations, cost analyses, plans, maps and drawings, correspondence and related documents.	PERMANENT	HC		
Public Works	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Public Works		MEETING RECORDS, BOARDS, COMMISSIONS, COUNCILS, AND STANDING COMMITTEES (<i>Department Copies, official record copy maintained by County Clerk</i>) Original minutes of public and closed meetings, Agendas, Transcripts, Attachments and exhibits, Correspondence related to the meetings, Announcements, Proof of postings, Proof of certified mailings, and similar material.	Administratively Useful	HC EL		
Public Works	2007-0010	NOTICES OF PUBLIC HEARING Posted notices of public hearings.	PERMANENT	HC EL		
Public Works	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Public Works	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-1004	PERMIT, STRUCTURE HAS BEEN MOVED Records related to structures which have been moved.	2 Years	HC EL		
Public Works	2007-0989	PERMITS, INDUSTRIAL WASTE Logbooks, registers, or comparable documents providing a record of industrial waste discharge permits issued by a local government or any of its departments or subdivisions	PERMANENT	HC		
Public Works	2007-1700	PERSONAL PROTECTIVE EQUIPMENT (PPE) RECORDS Acquisition of specialized safety devices & clothing for employees working in hazardous situations.	Life of Asset + 3 Years	HC EL		
Public Works	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Public Works	2007-1532	POSTAL TRACKING RECORDS Documents transactions with US Postal Service, FedEx, etc., concerning letter and parcel post-type postal services	Fiscal Yearend + 3 Years	HC		
Public Works	2007-1346	PROJECT FILES, APPLICATION DEVELOPMENT Records created & used in development, redesign, or modification of an automated system or application	Life of Asset + 3 Years	HC EL		
Public Works	2007-0995	PROJECT FILES, EXTERNAL AGENCY/DEVELOPER Projects initiated & administered by external agencies/developers such as NDOT, Army Corps of Engineers, NV Division of EPA & similar agencies. Files may contain requests for comment, responses, records documenting project need, letters of support, copies of plans, blueprints & drawings, related correspondence & similar documents.	Completion + 10 Years	HC		Security Destruction, see notes.
Public Works	2007-0991	PROJECT FILES, PUBLIC WORKS Documents public works projects. Files may contain copies of bid documents, award and endorsements records, applications and permits, contractor's bonds, preconstruction engineering reports, structural design calculations, specifications, plan check files, lab testing reports, utility and land surveys, notice to proceed, weekly status reports, inspector memos and reports, evaluations, construction field meeting reports, progress schedules, change orders/proposals, variances, easement and rights of-way documents, project orders, copies of plans; maps; blueprints; profiles; and as-built drawings, requests for information, guarantees, notice of completion, certificate of occupancy, copies of accounting records, photographs, memos, various forms and reports, related correspondence, and similar documents.	PERMANENT	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-0453	PROJECT LEDGERS Documents financial transactions and accounting functions related to capital improvements and permanent assets of county. These types of ledgers may include information on financial receipts and expenditures for design, engineering, construction, repair and/or major maintenance of local government owned or operated buildings, facilities, roadways, utilities, public works and other infrastructure.	PERMANENT	EL		
Public Works	2007-0011	PUBLIC HEARING RECORDS Records of hearings conducted as part of regulatory process and/or hearings on proposed rules and changes, and conclusions reached.	PERMANENT	EL		
Public Works	2007-1240	PUBLICATIONS Newsletters, pamphlets, annual or statistical reports, studies, leaflets and similar material produced by or for county or any of its departments, subdivisions, or programs for distribution to public.	See Note	HC		NRS 378.150, NRS 378.150 - 378.210, NOTE: Send 6 copies of each to Nevada State Library and Archives - State Publications
Public Works	2007-1559a	PUBLICITY FILES AND PRESS RELEASES, <u>HISTORICAL</u> Publicity files/press releases issued by coroner. This series may contain originals or copies of press releases, publicity files, audio and/or video recordings, informational flyers, notes, charts, graphs, correspondence, and related documents.	PERMANENT	HC EL		
Public Works	2007-1559b	PUBLICITY FILES AND PRESS RELEASES, <u>NOT HISTORICAL</u> Publicity files/press releases issued by coroner. This series may contain originals or copies of press releases, publicity files, audio and/or video recordings, informational flyers, notes, charts, graphs, correspondence, and related documents.	Administratively Useful	HC EL		
Public Works	2007-0777	REAPPORTIONMENTS Documents changes in boundaries of improvement districts due to merger, consolidation, dissolution and similar actions.	PERMANENT	HC EL		
Public Works	2007-0070	RECORDS OF MAILINGS Documentation of mailing dates, content of mailings, and addressees for mailing sent by local government for various purposes.	1 Year	HC		
Public Works	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Public Works	2007-1316	REFUND RECORDS Documents credits or refunds for overpayment. May include amount of overage, cause of overage, written request for refund, and related correspondence.	Fiscal Yearend + 3 Years	HC EL		Security Destruction, see notes.
Public Works	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-1522	SIGN AND ROAD MARKING RECORDS Planning, installation, and scheduled as well as unscheduled maintenance and repair of signs and other road or street markings.	Life of Asset + 3 Years	EL		
Public Works	2007-1347	SOURCE CODE / PROGRAM LISTINGS Instructions from a computer program code which generates system language used to operate an automated information system. Users log in to an interface which regenerates or translates using an automated system to mainframe or operating system	Until Superseded + 3 Data Backup Cycles	EL		
Public Works	2007-0999	SPECIFICATIONS For structures and equipment that public works departments are responsible for constructing, maintaining or repairing	PERMANENT	HC EL		
Public Works	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Public Works	2007-1000b	STREETLIGHT MAINTENANCE & REPAIR RECORDS Planning, installation, scheduled & unscheduled maintenance & repair of streetlights. May include planning reports, installation reports, schematics & drawings, maintenance & repair reports, correspondence & related documents	3 Years	HC EL		
Public Works	2007-1000a	STREETLIGHT PLANNING & INSTALLATION RECORDS Planning, installation, scheduled & unscheduled maintenance & repair of street lights & may include planning reports, installation reports, schematics & drawings, maintenance & repair reports, correspondence & related documents	Life of Asset	HC EL		
Public Works	2007-1005	STUDIES Studies performed by outside consultants or in-house staff. Feasibility Studies, Consultant Reports	PERMANENT	HC EL		
Public Works	2007-1006	SUBDIVISION FILES Documents that developers meet accepted standards for design & construction of Public Works portion of subdivision development, such as streets, street lights, sidewalks, curbs & gutters, utilities, storm drainage, & fire protection. May include copies of tentative maps, review files, inspection reports, applications for deferral of off-site improvements, copies of surveys, various studies & analysis, off-site data sheets, bond & fee documents, receipts, copies of documents from planning commission & governing body, transmittals, final map, project correspondence, & related documents.	Subdivision Completion + 5 Years, OR Bond Released + 5 Years	EL		Security Destruction, see notes.
Public Works	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Public Works	2007-0377	SURPLUS GOODS DISPOSITION RECORDS May include check, invoice, record of sale, inventory, list of items sold.	Fiscal Yearend + 3 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Public Works	2007-1009	TENTATIVE SUBDIVISION FILES Documents tentative or proposed subdivisions & may include maps, review files, inspection reports, copies of surveys, various studies & analysis, bond & fee documents, receipts, copies of documents, receipts, governing body, transmittals, project correspondence & related documents.	Closure + 5 Years	HC EL		
Public Works	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Public Works	2007-1524	TRAFFIC SIGNAL RECORDS Documents planning and installation of county traffic signals. May include, but is not limited to construction schematics and drawings as well as construction related correspondence and documents.	Life of Asset	EL		
Public Works	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Public Works	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Public Works	2007-1429	TREE AND PLANT FILES Documents planting, trimming, inspection & removal of trees & shrubs along public streets, roads, sidewalks & other public areas.	Completion + 2 Years	HC EL		
Public Works	2007-0464	UNCLAIMED PROPERTY REPORT Documents the reporting by holders of abandoned accounts in accordance with NRS Chapter 120A. Various completed forms, reports required by State Treasurer, supportive documentation, associated correspondence	Abandoned property report is filed with NV State Treasurer + 7 Calendar Years	HC EL		
Public Works	2007-0072	UNDELIVERABLE MAILING RECORDS Mailings sent by county that were returned as undeliverable.	1 Year	HC EL		
Public Works	2007-1019	WATER RIGHTS RECORDS Documents water rights and may contain maps, construction documents, certificates of appropriation, deeds of conveyance, notices of application, court documents, related correspondence and, similar documents.	PERMANENT	HC EL		
Real Property Management - Administration	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Administration	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Real Property Management - Administration	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Administration	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Administration		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Real Property Management - Administration	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Real Property Management - Administration	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Real Property Management - Administration	2007-0762	BILLINGS FOR SERVICE Billing and collection of monies for services provided.	Audit Clearance	HC EL		Security Destruction, see notes.
Real Property Management - Administration	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Administratively Useful	HC EL		
Real Property Management - Administration	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Real Property Management - Administration	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Real Property Management - Administration	2007-1300	CASE FILES, VENDOR PERFORMANCE Documents problems or special cases involving purchasing of commodities or services. Records may include documentation of vendors and contractors who have failed to meet terms and specifications of purchasing contracts or who have failed to deliver commodities or services in a timely manner	Closure + 3 Years	HC EL		Security Destruction, see notes.
Real Property Management - Administration	2007-1243b	COMMITTEE RECORDS, AD HOC (Not a Public Body) Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. These types of committees are usually formed for a specific and often temporary function, usually on an informal basis. Includes Agendas, Minutes, Reports, Working Papers, Correspondence	3 Years	HC EL		
Real Property Management - Administration	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Administration	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Administration	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Real Property Management - Administration	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Real Property Management - Administration	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Real Property Management - Administration	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Real Property Management - Administration	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Real Property Management - Administration	2007-0332	EMPLOYEE RECOGNITION PROGRAM RECORDS Document Employee of the Quarter and Year nominees and recipients.	2 Years	HC		
Real Property Management - Administration		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Real Property Management - Administration	2007-1039	FEES, REQUESTS FOR PAYMENT Payment requests & may include overdue notices, requests for payment, receipts, related correspondence & similar documents.	Settlement + 1 Fiscal Year	HC EL		
Real Property Management - Administration	2007-0440	FIXED ASSET AND INVENTORY RECORDS Document and administer process of updating and reconciling an inventory of fixed assets in department's possession. May contain fixed asset inventories, copies of purchase orders and other fiscal records, monthly or annual property reports, copies of other property records, memos, correspondence, inventory journals and related documents.	Until Superseded + 5 Years	HC EL		NRS 239.110
Real Property Management - Administration	2007-1331	INDEXES AND FINDING AIDS Indexes, lists, registers, & other finding aids usually used to provide access to master files.	Administratively Useful	HC EL		
Real Property Management - Administration		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Administration	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	Administratively Useful	HC EL		NRS 11.190 (3)(d)
Real Property Management - Administration	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Administration	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Administration	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Real Property Management - Administration	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain, but is not limited to, copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC EL		
Real Property Management - Administration	2007-0297	RECORDS AND REPORTS OF SAFETY COMMITTEES Safety committees established to promote a safe work environment for employees. Safety plans, safety & health training records, safety committee meeting records, vulnerability assessments, Inspection Reports, staff reports, attendance reports	Fiscal Yearend + 3 Years	EL		
Real Property Management - Administration	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Real Property Management - Administration	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Real Property Management - Administration	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Real Property Management - Administration	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Real Property Management - Administration	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Administration	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Administration	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Real Property Management - Administration	2007-0378	VENDOR/CONTRACTOR FILES Vendors providing goods & services to governmental entities. May include, but is not limited to, name of vendor or company, name of contact or agent, address, telephone & fax numbers, e-mail & web site address, description of goods & services provided, vendor and/or tax ID number, vendor evaluation forms, information on past performance, price lists, correspondence & similar documents.	Calendar Yearend + 3 Years	HC EL		Security Destruction, see notes.
Real Property Management - Administration	2007-1424	WORKER'S COMPENSATION FILES, DEPARTMENT COPY Document employees' injuries, occupational illnesses and structured return to work conditions and OSHA reporting. Employer's report of injury, compensation form, legal correspondence, reports from health providers, return to work conditions.	Closure + 3 Years	HC EL		HIPAA information requires Security Destruction, see notes.
Real Property Management - Design & Construction	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Design & Construction	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Real Property Management - Design & Construction	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Real Property Management - Design & Construction	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Design & Construction		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Real Property Management - Design & Construction	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Real Property Management - Design & Construction	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Real Property Management - Design & Construction	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Administratively Useful	HC EL		
Real Property Management - Design & Construction	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Real Property Management - Design & Construction	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Design & Construction	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Design & Construction	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Real Property Management - Design & Construction	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Real Property Management - Design & Construction	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Real Property Management - Design & Construction	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Real Property Management - Design & Construction	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Real Property Management - Design & Construction	2007-0991	DESIGN AND CONSTRUCTION PROJECT FILES Documents Design & Construction Projects. Files contain copies of bid documents, award and endorsements records, applications and permits, contractor's bonds, preconstruction engineering reports, structural design calculations, specifications, plan check files, lab testing reports, utility and land surveys, notice to proceed, weekly status reports, inspector memos and reports, evaluations, construction field meeting reports, progress schedules, change orders/proposals, variances, easement and rights of-way documents, project orders, copies of plans; maps; blueprints; profiles; and as-built drawings, requests for information, guarantees, notice of completion, certificate of occupancy, copies of accounting records, photographs, memos, various forms and reports, related correspondence, and similar documents.	PERMANENT	EL		
Real Property Management - Design & Construction	2007-0837	EMPLOYEE LICENSES / CERTIFICATES Licenses/certificates issued to employees by professional, educational, regulatory, or other agencies. These types of licenses/certificates are normally occupation specific (EMS, Peace Officer, Firefighter, Social Worker, Nurses, Engineers & similar professions) & are usually required as a condition of employment.	Expiration + 3 Years OR Termination of Employment	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Design & Construction	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Real Property Management - Design & Construction		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Real Property Management - Design & Construction		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Design & Construction	2007-0983	MAPS, PLANS, AND DRAWINGS Offsite maps, blueprints, & drawings pertaining to zoning, soil, land use, utilities, water supplies, road & bridge construction & repair, water mains, sewer lines, sewer line connections, fire hydrants, sewer district boundaries, valve locations, & similar engineering & construction related projects.	PERMANENT	HC EL MF		
Real Property Management - Design & Construction	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Real Property Management - Design & Construction	2007-1609	OPERATION AND MAINTENANCE MANUALS Operation and maintenance manuals for public buildings, park structures, communication towers, road and paving improvements and other related construction projects.	Life of Asset	HC EL		
Real Property Management - Design & Construction	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Real Property Management - Design & Construction	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Design & Construction	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Real Property Management - Design & Construction		PLANNING RECORDS, FACILITY Request from various departments to modify or construct an area in its location. Includes space planning request form, floor plans, estimates, drawings, photos, and minutes.	Closure + 3 Years	HC EL		
Real Property Management - Design & Construction		PLANNING RECORDS, FINANCIAL IMPACT Committee represented by Assistant County Managers and Finance who assess fiscal impact of county projects before they are presented to BCC. Documents presented to committee sustain differential of project budget amount. Includes maps, drawings, cost estimates, correspondence, cost projection, and work orders.	Expiration of Project	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Design & Construction	2007-1240	PUBLICATIONS Newsletters, pamphlets, annual or statistical reports, studies, leaflets and similar material produced by or for county or any of its departments, subdivisions, or programs for distribution to public .	See NOTE	HC		NRS 378.150, NRS 378.150 - 378.210, NOTE: Send 6 copies of each to Nevada State Library and Archives - State Publications
Real Property Management - Design & Construction	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity .	Administratively Useful	HC		
Real Property Management - Design & Construction	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information .	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Real Property Management - Design & Construction	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings .	1 Year	HC EL		
Real Property Management - Design & Construction	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere .	Administratively Useful	HC		
Real Property Management - Design & Construction	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Design & Construction	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information .	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Design & Construction	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel .	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Design & Construction	2007-1020	WORK ORDERS Service Request from various departments to modify space or construction of County building.	Completion of Project	HC EL		
Real Property Management - Facilities	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Facilities	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities .	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Real Property Management - Facilities	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Real Property Management - Facilities	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Facilities		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Facilities	2007-1606	BACKFLOW TEST RECORDS Record of tests performed on backflow preventers protecting potable water systems.	Calendar Yearend + 10 Years	HC EL		
Real Property Management - Facilities	2007-0304	BACKGROUND CHECK RECORDS May include badging application forms, fingerprint cards, CANS, SCOPE, CTRACK, NCJIS, NCIC, police reports, court dispositions, emails & similar documents, fingerprinting/criminal correspondence, CJIS/NCJIS log, UNITY documents, facsimile	Completion + 3 Years	HC EL		Security Destruction, see notes.
Real Property Management - Facilities	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Real Property Management - Facilities	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Real Property Management - Facilities	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Real Property Management - Facilities	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Real Property Management - Facilities	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Real Property Management - Facilities	2007-0934	BUILDING EMERGENCY EQUIPMENT RECORDS Document building equipment location, type, emergency shut off, blue prints, etc. Includes photos, floor plans, equipment lists, building / facility location	Life of Asset	HC EL		Security Destruction, see notes.
Real Property Management - Facilities	2007-1710	BURGLARY AND/OR VANDALISM, REPORTS OF Burglary and/or vandalism of local government equipment and/or property & may contain, but is not limited to, police reports, damage reports, witness statements, insurance information, related correspondence & similar documents	Calendar Yearend + 3 Years	HC EL		Security Destruction, see notes.
Real Property Management - Facilities		CHILLED WATER, HEATING WATER AND COOLING TOWER WATER TESTS Monthly test of Chilled Water, Heating Water and Cooling Tower Water Test	6 Years	HC EL		
Real Property Management - Facilities	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Facilities	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere	Expiration + 1 Year	HC		Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Facilities	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Real Property Management - Facilities	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Real Property Management - Facilities	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Real Property Management - Facilities	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Real Property Management - Facilities	2007-0256	EMPLOYEE CELL PHONE & RADIO DATABASE Track and maintain employee issued phones / radios. Staff uses data to download user information into individual employee phones.	Until Superseded	EL		Security Destruction, see notes.
Real Property Management - Facilities	2007-1290	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Division call back lists for emergency repairs after hours.	Until Superseded	EL		Security Destruction, see notes.
Real Property Management - Facilities	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Real Property Management - Facilities		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Real Property Management - Facilities	2007-1579	FACILITY INSPECTION RECORDS Documents periodic inspections of facilities to check for damage & recommend repairs & maintenance. Records often include inspection worksheets or checklists, maintenance request forms, photos, maintenance & repair reports, correspondence & related documents.	6 Years	HC EL		
Real Property Management - Facilities		FACILITY PERMITS, OSHA REQUIRED Nevada Department of Business and Industry, OSHA Division requires that equipment such as boilers / pressure vessels are inspected and certified bi-annually; elevators are inspected and certified annually.	Life of Asset	HC EL		
Real Property Management - Facilities		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Facilities	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Facilities	2007-0846	MEETING RECORDS, DEPARTMENTS AND COMMITTEES Documents actions and discussion at department and committee meetings.	1 Year	HC EL		
Real Property Management - Facilities		METALLURGIST ANNUAL REPORT Evaluate structure integrity of poles in County buildings and facilities	3 Years	HC EL		
Real Property Management - Facilities	2007-1609	OPERATION AND MAINTENANCE MANUALS Operation and maintenance manuals for public buildings, park structures, communication towers, road and paving improvements and other related construction projects.	Life of Asset	HC EL		
Real Property Management - Facilities	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Real Property Management - Facilities	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Facilities	2007-1613	PERMIT, GROUND WATER DISCHARGE Required by Nevada EPA to operate Spring Mountain Youth Camp Sewage Treatment Plant. Includes Ground Water Discharge Permit, Affluent Quarterly Test Record	Expiration + 6 Years	HC EL		
Real Property Management - Facilities		PERMITS, HOT WORK To prevent fires during welding and other related 'hot work' in enclosed spaces.	1 Year	HC EL		
Real Property Management - Facilities	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Real Property Management - Facilities	2007-1054	POTABLE WATER WELL TEST RECORDS Water samples taken from potable water sources for bacteriological tests. Information includes location, collection date, person taking samples, sample type, analysis date, laboratory name, person performing analysis, analytical method used, & results of analysis.	5 Years	HC EL		
Real Property Management - Facilities	2007-0014	PROPERTY AND EQUIPMENT INVENTORY RECORDS Property and equipment records and inventories. This series may contain copies of purchase orders, monthly property reports, descriptions of items, manufacture's model and serial number, fiscal reports related to original cost, value, commodity codes, memos, correspondence and other related records.	Until Superseded + 5 Fiscal Years	HC EL		
Real Property Management - Facilities	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Real Property Management - Facilities	2007-1425	REFRIGERANT COMPLIANCE RECORDS To maintain a record of refrigerant use, storage, and disposal. Includes refrigerant service record, refrigerant audit form, HVAC equipment inventory form, refrigerant purchase form, contractor refrigerant certification, vendor generated annual audit for refrigerant compliance program	3 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Facilities	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Real Property Management - Facilities	2007-0975	SAP - MAINTENANCE MANAGEMENT MODULE Contains building equipment inventory, work order, maintenance schedules, and reports.	Life of Asset	EL		
Real Property Management - Facilities	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Real Property Management - Facilities	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Real Property Management - Facilities	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Facilities	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Facilities	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Facilities	2007-1424	WORKERS' COMPENSATION FILES, DEPARTMENT COPY Document employees' injuries, occupational illnesses and structured return to work conditions and OSHA reporting. Employer's report of injury, compensation form, legal correspondence, reports from health providers, return to work conditions.	Closure + 3 Years	HC EL		HIPAA information requires Security Destruction, see notes.
Real Property Management - Housekeeping	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Housekeeping	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Real Property Management - Housekeeping	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Real Property Management - Housekeeping	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Housekeeping		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Housekeeping	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Real Property Management - Housekeeping	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Real Property Management - Housekeeping		BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Administratively Useful	HC EL		
Real Property Management - Housekeeping	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Real Property Management - Housekeeping	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Real Property Management - Housekeeping	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Housekeeping	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Real Property Management - Housekeeping	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Real Property Management - Housekeeping	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Real Property Management - Housekeeping	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Real Property Management - Housekeeping	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Real Property Management - Housekeeping	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Real Property Management - Housekeeping		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Housekeeping		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Housekeeping	2007-1008	LOG, TELEPHONE Listing or log of telephone calls received on Department lines & similar telephone activity reports.	30 Days	HC EL		
Real Property Management - Housekeeping		MATERIAL SAFETY DATA SHEETS (<i>Department copies. Official record copy is at IS – Finance - Automotive.</i>) Includes material safety data sheets (MSDS) and a listing of hazardous material in the workplace	Active	HC		
Real Property Management - Housekeeping		MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	Administratively Useful	HC EL		NRS 11.190 (3)(d)
Real Property Management - Housekeeping	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Real Property Management - Housekeeping	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Housekeeping	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Real Property Management - Housekeeping	2007-0297	RECORDS AND REPORTS OF SAFETY COMMITTEES Safety committees established to promote a safe work environment for employees. Safety plans, safety & health training records, safety committee meeting records, vulnerability assessments, Inspection Reports, staff reports, attendance reports	Fiscal Yearend + 3 Years	EL		
Real Property Management - Housekeeping	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
Real Property Management - Housekeeping	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Real Property Management - Housekeeping	2007-0721	SELF-INSPECTION PROGRAM RECORDS Daily and/or monthly inspections that show conditions found, and all corrective actions taken. Includes Emails, memos, letters, spreadsheets, inspection forms, compliance reports, logbooks, complaint forms.	1 Year	HC EL		
Real Property Management - Housekeeping	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Real Property Management - Housekeeping	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Housekeeping	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Housekeeping	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include <u>HIPAA information</u> .	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Housekeeping	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Real Property Management - Property Acquisition	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Real Property Management - Property Acquisition	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Property Acquisition		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Real Property Management - Property Acquisition	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Real Property Management - Property Acquisition	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Administratively Useful	HC EL		
Real Property Management - Property Acquisition	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Real Property Management - Property Acquisition	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Property Acquisition		BUREAU OF LAND MANAGEMENT (BLM) LEASE/RESERVATION REQUESTS Land development requests to develop park, metro/fire stations, etc. Initiate request to BLM to lease land for a number of years. Once development has been completed, BLM may grant a patent. Includes Legal Description, Dedications, Right of Ways, BLM Application, Grant.	Expiration of Lease/Patent granted by BLM + 6 Years	HC EL		Review for historical value
Real Property Management - Property Acquisition	2007-1722	COMBINED AIRPORT LOG - DATABASE Databases that support administrative or housekeeping functions such as those used for purposes of filing, keeping track of equipment and/or supplies, calendaring & similar non-programmatic activities for Oracle, Main Frame, IBM, Unix, Windows, Web Applications. In this instance used to keep all incoming assignments logged, assigned, accounted for, maintain deadlines and to close out completed assignments	Administratively Useful	EL		Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Real Property Management - Property Acquisition	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
Real Property Management - Property Acquisition	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
Real Property Management - Property Acquisition	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Real Property Management - Property Acquisition		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Property Acquisition	2007-0084	ESCROW CONFIRMATION REPORT (aka CLOSING PACKAGE) Reports to document changes of property ownership to title and/or mortgage companies. Includes copy of recorded documents, preliminary title report, copy of escrow instructions, copy of any agreements, copy of IRS forms etc, and closing statement.	1 Fiscal Year	HC EL		
Real Property Management - Property Acquisition	2007-0409	LEASE AGREEMENTS Leases, subleases, assignments of leases, and memoranda of leases for property or equipment which county leases. Series usually shows name and addresses of lessor and lessee, description of property or equipment, rent or lease cost, purpose for which property may be used, conditions or terms, renewal documents, memorandums, supporting documentation, related correspondence, and similar documents.	Expiration + 6 Years	HC		
Real Property Management - Property Acquisition		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-0383	LEGAL NOTICES Documents compliance with state laws requiring public notice of governmental activities. May include affidavits of publication, certificates of mailing, affidavits of posting, public hearing notices, other required public or legal notices and similar documents.	PERMANENT	HC EL		
Real Property Management - Property Acquisition	2007-0063	MAILING AND DISTRIBUTION LISTS Lists of names and addresses compiled for various mailings, such as billings, notifications, community outreach, and other administrative purposes.	Calendar Yearend + 1 Year	HC EL		
Real Property Management - Property Acquisition	2007-0770	MAPS Depicting locations of lots & blocks, annexations, easements, property lines, zoning boundaries, & similar classifications.	PERMANENT	HC EL		
Real Property Management - Property Acquisition	2007-0246	MASTER COPIES OF FORMS Documents current paper and electronic format masters for various forms. Includes sample forms, drafts, revisions, form logs or listings, proposals, authorizations, illustrations.	Until Superseded	HC EL		
Real Property Management - Property Acquisition	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	Administratively Useful	HC EL		NRS 11.190 (3)(d)
Real Property Management - Property Acquisition	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Real Property Management - Property Acquisition	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Real Property Management - Property Acquisition	2007-0970	PROPERTY ACQUISITION RECORDS Property appraisals, property acquisition negotiations, property acquisition agreements, copies of right of way acquisition, copy of deed, correspondence/reports, legal descriptions/exhibits, title reports, escrow documents, aerial maps, owner information, resolution of intent to sell at public auction, agenda, posting of publications, and public information materials.	PERMANENT	HC EL		
Real Property Management - Property Acquisition	2007-1240	PUBLICATIONS Newsletters, pamphlets, annual or statistical reports, studies, leaflets and similar material produced by or for county or any departments, subdivisions, or programs for distribution to public.	See NOTE	HC		NRS 378.150, NRS 378.150 - 378.210, NOTE: Send 6 copies of each to Nevada State Library and Archives - State Publications
Real Property Management - Property Acquisition	2007-0070	RECORDS OF MAILINGS Documentation of mailing dates, content of mailings, and addressees for mailing sent by local government for various purposes.	Calendar Yearend + 1 Year	HC		
Real Property Management - Property Acquisition	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Real Property Management - Property Acquisition	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Real Property Management - Property Acquisition	2007-0944	RESOLUTIONS Formal statement of a decision. Document created for BCC to approve terms for a specific project. Includes maps of area and legal descriptions.	PERMANENT	HC EL		
Real Property Management - Property Acquisition	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Real Property Management - Property Acquisition	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Real Property Management - Property Acquisition	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Real Property Management - Property Acquisition	2007-0072	UNDELIVERABLE MAILING RECORDS Mailings sent by county that were returned as undeliverable.	Calendar Yearend + 1 Year	HC EL		
Real Property Management - Property Acquisition	2007-1020	WORK ORDERS Service Request from various departments to modify space or construction of County building.	Closeout + 1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Recorder	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Recorder	2007-1558	ACTIVITY REPORTS, ANNUAL <i>Annual</i> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Recorder	2007-1558a	ACTIVITY REPORTS, MONTHLY <i>Monthly</i> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Recorder	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Recorder		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Recorder	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Recorder	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Recorder	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Recorder	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Recorder	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Recorder	2007-1243a	COMMITTEE RECORDS, AD HOC (Public Body) Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. i.e. - Recorder's Advisory Committee (RAC)	PERMANENT	EL		
Recorder	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Recorder	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Recorder	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Recorder	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Recorder	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Recorder	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Recorder	2007-0076	CUSTOMER COMMENT CARD Comment Cards, Response Letters. Maintain history of comments from customers	1 Year	HC		
Recorder	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2) Transfer to Human Resources Department for consolidation into official Personnel Record.
Recorder		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Recorder	2007-0497	GENERAL RECEIVING/FEE RECORDS Documents the collection of real property transfer taxes. Audit files w / supporting documentation, Revenue reports, Correction documents for RPTT and non-RPTT, Finance and payroll records, Escheatment account bank statements and reconciliations, Audit reports of exempt recordings & valuation recordings, RPTT case files of audits with pending hearings, RPTT case files of audits with hearing determination, Hearing case files with position statements, Supporting documentation, RPTT Refund Ledger, Copies of recorded document, Refund requests	PERMANENT	HC EL MF		
Recorder		LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Recorder	2007-1115	LEGAL OPINIONS Formal opinions rendered by Office of the Attorney General, District Attorney's office, or other legal counsel. Opinions document rationale for local government policies & help maintain consistency in related issues. Information usually includes date, department requesting opinion, & text of the opinion	PERMANENT	HC		
Recorder	2007-0983	MAPS Original copy of recorded Mining Maps, Parcel Maps, Plat Maps, Land, Local Government & Miscellaneous Maps, Survey Maps, etc.	PERMANENT	HC EL MF		Maps are scanned. Digital copies maintained in DTS TrakRecord, Kovis System and on microfilm.
Recorder	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
Recorder	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Recorder	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll systems.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Recorder	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Recorder	2007-0016	RECONCILIATION SHEETS Documents daily, monthly, quarterly and end of year reconciliation process. DTS - Employee Balancing Reports, Monthly Commissioners Report, Excel Spreadsheet, Supporting Documentation, Imprest Accounts Records, Month End Batch Report, Daily Balancing Report.	3 Fiscal Years, see remark	HC EL		3 Fiscal Years AFTER report submitted to Nevada Department of Taxation, AND summary report published in a general circulation newspaper in county in which local government is situated.
Recorder	2007-0517	RECORDED DOCUMENTS Official record copy of all documents recorded in County Recorder's Office, including Deeds, Trust Deeds, Mortgages, Certificates of Marriage, Mining Records, Military Discharge Papers, Mining Maps, Parcel Maps, Plat Maps, Land, Local Government & Misc Maps, Survey Maps, etc.	PERMANENT	HC EL MF		Except for maps, original documents returned to owner and do not remain in the custody of Recorder.
Recorder	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Recorder	2007-1316	REFUND RECORDS Documents credits or refunds to taxpayers for overpayment of real property transfer taxes or recording fees, including, account name and number, property location, tax ID number, amount of overage, cause of overage, written request for refund, and related correspondence.	Fiscal Yearend + 3 Years			Security Destruction, see notes.
Recorder	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Recorder	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Recorder	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Recorder	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Recorder	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Recorder	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Redevelopment Agency	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Redevelopment Agency	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Redevelopment Agency	2007-1558a	ACTIVITY REPORTS, MONTHLY <u>Monthly</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Redevelopment Agency	2007-1641	AGENDA NON-PACKET MATERIAL Correspondence and information used in the preparation of meeting agendas but is NOT included in the agenda packet.	3 Years			
Redevelopment Agency	2007-1639	AGENDAS-OFFICIAL/FINAL Planning Commission meeting agenda and any backup material submitted prior to or during the meeting. This series is often included as part of the meeting minutes.	PERMANENT			
Redevelopment Agency	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Redevelopment Agency		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Redevelopment Agency	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Redevelopment Agency	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Redevelopment Agency	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
Redevelopment Agency	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Redevelopment Agency	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
Redevelopment Agency	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Redevelopment Agency	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
Redevelopment Agency	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Redevelopment Agency	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Redevelopment Agency	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Redevelopment Agency	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Redevelopment Agency	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2) Transfer to Human Resources for consolidation into official Personnel Record.
Redevelopment Agency		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
Redevelopment Agency	2007- 1649	GRANT RECORDS - PROPOSALS, REPORTS, & RESULTS Grants applied for and received from federal and state governments, private organizations, private benefactors, and other sources; includes correspondence, application and supporting documentation, project proposal, project plans, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports and similar records.	Closure + 3 Years, OR Retention period required by granting authority, whichever longer			
Redevelopment Agency		LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Redevelopment Agency	2007-755	LEGAL NOTICES Public notice of governmental activities, including affidavits of publication, certificates of mailing, affidavits of posting, public hearing notices, other required public or legal notices and similar documents.	PERMANENT			
Redevelopment Agency	2007-1115	LEGAL OPINIONS Formal opinions rendered by an attorney's office for various departments or the governing body. Documents rationale for policy decisions and maintains consistency in related issues.	PERMANENT			
Redevelopment Agency	2007-0770	MAPS Maps of property for redevelopment, depicting lots and blocks, annexations, easements, property lines, zoning boundaries, and similar classifications.	PERMANENT			NOTE: Per department, these maps are used for reference purposes and are frequently updated.
Redevelopment Agency	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
Redevelopment Agency	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Redevelopment Agency	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Redevelopment Agency	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Redevelopment Agency	2007-0082	REAL PROPERTY APPRAISAL RECORDS Appraisal and assessment records for real property under control of Redevelopment Agency. Includes taxpayers' names, property address, lot number, legal description, acreage, assessed valuations for land & improvements, and factoring worksheets.	Until Superseded + 6 Years			Security Destruction, see notes.
Redevelopment Agency	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Redevelopment Agency	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
Redevelopment Agency	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Redevelopment Agency	2007-1005	STUDIES Studies performed by outside consultants or in-house staff, including hydrology, environmental impact, flood control, transportation, traffic engineering, feasibility, growth, neighborhood, studies documenting long range forecasts and projections and similar documents.	PERMANENT			Security Destruction, see notes.
Redevelopment Agency	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Redevelopment Agency	2007-1254	TECHNICAL REFERENCE FILES Non-record copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are used for reference and information but are not public records.	Administratively Useful			
Redevelopment Agency	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Redevelopment Agency	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Redevelopment Agency	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Social Services		ACCIDENT REPORTS (<i>Department copies. Official record copy at Finance Department, Automotive Division</i>) Vehicle accidents involving departmental personnel while on duty. Reports may contain type of accident, narrative reports regarding facts and circumstances of accident, witnesses, property damage, injury reports, copies of medical treatment reports, vehicle damage reports, photos, notes, police accidents reports, and other related documents.	Settlement	HC		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Social Services	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Social Services	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Social Services	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Social Services	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Social Services		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Social Services	2007-1256	AUDIT REPORTS, QUALITY ASSURANCE REVIEW Quality control reviews performed by an agency to check effectiveness of policies and procedures [such as office security, training, safety, personnel, customer relations, emergency and similar procedures]. State Department Licensure Surveys/Findings, State Department Licensure Responses, etc.	Calendar Yearend + 3 Years	HC EL		
Social Services	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Social Services	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Social Services	2007-0426	BILLS FOR CARE OF INDIGENT PERSONS Documents cost of services provided to indigent persons, including bills for hospital charges, hospital charges, type of care provided, bill payment info, physician charges, ambulance bills	Final Payment + 3 Fiscal Years	HC EL		Security Destruction, see notes.
Social Services	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Social Services	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
Social Services	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Social Services	2007-1645	CASE FILES, ADULT PROTECTIVE SERVICES Reports of adult abuse, neglect, or exploitation, including intake info, social/health assessments, case findings, case worker assigned, disposition, correspondence, victim data	Closure + 3 Years	HC EL		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Social Services	2007-1164	CASE FILES, CLIENT Case files for clients applying for and/or receiving assistance from CCSS. Services often include assessment of client's needs, evaluation of client's ability to meet his/her needs, crisis intervention, home evaluations, follow-up services, and referrals to other programs and community resources. This series may include applications for assistance or services, eligibility forms, requests for information, client personal information, interview reports, case histories, family histories, court orders, disclosure of information forms, copies of medical reports, certifications, authorizations, referrals, dispositions, case worker logs or registers, summary reports, related forms, notes, memorandums, correspondence, and similar documents.	Last Service + 6 Years	EL		Security Destruction, see notes.
Social Services	2007-0027	CEMETERY RECORDS Administration information on county owned crypts for cremations and burial, including names, grave location, and client information.	PERMANENT	HC		
Social Services	2007-0029	CITIZEN AWARDS Awards given to citizens in honor of contribution.	2 Years	HC		
Social Services	2007-1642	CLIENT FILES, HOMEMAKER PROGRAM Administration and care given through Homemaker Programs. Files may contain case narrative, homemaker service agreements, homemaker service assignment reports, service data sheets, social services notice of decision, social services application, authorizations, case reporting forms, social/health assessments, liability releases, adult protective services reports, income verifications, payment authorization requests, notes and memos, related correspondence and similar documents.	Closure + 3 Years	EL		Security Destruction, see notes.
Social Services		CLIENT FILES, PROJECT REACH Track and maintain information on clients who accessed services for utility assistance program. Used for intake and determining client eligibility, including client's personal information, copy of driver's license, proof of income, award letter, pay stubs, bank statements.	Last Service + 3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Social Services		CLIENT REFERRAL RECORDS, HOMEMAKER PROGRAM Track clients that have been referred for service and their current status, including client identifying info, when request was made for service, referring agency, case worker assigned, pay source, screening info.	Active	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Social Services	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Social Services	2007-1286	CONTINUATION OF BENEFITS (COBRA) RECORDS Cobra registration and payment for client's COBRA coverage, including bill payment info, client identifying info, correspondence, invoices.	Last Service + 6 Years	EL		
Social Services	2007-1660	CONTINUING EDUCATION/TRAINING PROGRAM RECORDS Documents continuing education requires for professional license renewal, including training course workshop documentation, accreditation notices, correspondence, etc.	Expiration + 3 Years	HC EL		Security Destruction, see notes.
Social Services	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Social Services	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Social Services	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Social Services	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Social Services	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Social Services	2007-0837	EMPLOYEE LICENSES / CERTIFICATES Licenses/certificates issued to employees by professional, educational, regulatory, or other agencies. These types of licenses/certificates are normally occupation specific (EMS, Peace Officer, Firefighter, Social Worker, Nurses, Engineers & similar professions) & are usually required as a condition of employment.	Expiration + 3 Years	HC EL		Security Destruction, see notes.
Social Services	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Social Services	2007-0332	EMPLOYEE RECOGNITION PROGRAM RECORDS Document Employee of the Quarter and Year nominees and recipients.	2 Years	HC		
Social Services		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Social Services	2007-0440	FIXED ASSET AND INVENTORY RECORDS Document and administer process of updating and reconciling an inventory of fixed assets in department's possession. May contain fixed asset inventories, copies of purchase orders and other fiscal records, monthly or annual property reports, copies of other property records, memos, correspondence, inventory journals and related documents.	Until Superseded + 5 Years	HC EL		NRS 239.110
Social Services	2007-0059	GRANT FISCAL RECORDS Documents the awarding of funds from federal government, state government, private organizations, private benefactors, and similar sources. Accounting reports, expenditure reports, audit reports, monitoring reports, copies of purchase orders, warrants, warrant registers, vouchers.	Submission of final expenditure report + 3 Fiscal Years OR Granting authority requirement, whichever longer	HC EL		
Social Services	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	EXP + 3 Fiscal Years OR Retention period required by grantor, whichever longer	HC EL		NRS 239.110 Security Destruction, see notes. Review for historical value
Social Services	2007-1178	HOSPITAL BILLS - ACCEPTED FOR PAYMENT Documents cost for services provided to indigent or low income individuals, and may contain types of care provided, individual receiving service, bills for various charges relating to medical care during hospital stay, bill payment info and other related correspondence. Includes Economic Assistance Case Files	Last Service + 3 Years	EL		Security Destruction, see notes.
Social Services		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Social Services		LEGAL OPINIONS (<i>Department copies. Official record copy at District Attorney's Office</i>) Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues.	Administratively Useful	HC EL		
Social Services	2007-0034	LEGISLATIVE RELATIONS RECORDS Used to review and/or plan a local government's position on impacting legislative actions. This series may include bill review and tracking forms, opinion requests, bill tracking reports, copies of pending or approved legislation, notes, memorandum, related correspondence and similar documentation. Information in this series may also be used in lobbying efforts and recommending legislative changes.	Administratively Useful	EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Social Services	2007-0063	MAILING AND DISTRIBUTION LISTS Lists of names and addresses compiled for various mailings, such as billings, notifications, community outreach, and other administrative purposes. Media Telephone Directory (contact information for the Media)	Calendar Yearend + 1 Year	HC EL		
Social Services	2007-0109	MEETING RECORDINGS Recordings of proceedings of regularly scheduled, special, and emergency meetings and may also be used to transcribe, verify and correct minutes of public meetings. Written minutes may be taken from these recordings, transcribed, corrected as needed, and presented to meeting body for approval.	Transcription + 1 Year	EL		
Social Services	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Social Services	2007-0107	MEETING RECORDS, BOARDS, COMMISSIONS, COMMITTEES AND COUNCILS Official record of proceedings of regularly scheduled, special and emergency meetings. (BEFAC). Includes: Date/time/meeting place, Members present/absent, Substance of matters proposed, discussed or decided, Votes taken, Citizens who appeared, Related records	PERMANENT	HC EL		
Social Services		NOTICES OF PUBLIC HEARING (Department copies. Official record copy at County Clerk.) Posted notices of public hearings.	Administratively Useful	HC EL		
Social Services	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Social Services	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Social Services	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Social Services	2007-0323	POSITION REPORTS Information on staffing levels, vacancies, and filled positions.	2 Years	HC		
Social Services		PUBLIC HEARING RECORDS (Department copies. Official record copy at County Clerk.) Records of hearings conducted as part of regulatory process and/or hearings on proposed rules and changes, and conclusions reached	Administratively Useful	EL		
Social Services	2007-0073	RECORDS RETENTION SCHEDULE Listing of department records and mandated retention periods.	Until Superseded + 6 Years	HC		
Social Services	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Social Services	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Social Services	2007-1279	SECURITY RECORDS Security program information for Clark County Social Service- includes incident reports and contract security guard information	Calendar Yearend + 5 Years	HC EL		Security Destruction, see notes.
Social Services		SIGNATURE AUTHORIZATIONS FILE (<i>Department copies. Official record copy at Finance Department</i>) Used to authorize, assign authority, and verify approval of various governmental actions	Expiration	HC		Security Destruction, see notes.
Social Services	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
Social Services	2007-0047	STRATEGIC PLAN FILES Develop and maintain the department's mission, goals and performance measures. Activity Reports, Performance Measures.	Until Superseded + 3 Years	EL		Security Destruction, see notes. Review for historical value
Social Services	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Social Services	2007-0076	SURVEYS, ANNUAL HHHA/AHC Annual quality assurance surveys for clients receiving homemaker services, home health aide agencies whom CCSS contracts, and home health aides employed by CCSS	Administratively Useful	HC		Review for historical value
Social Services	2007-0076	SURVEYS, POLLS, AND QUESTIONNAIRES Document county department opinion on various issues, actions, and concerns. Surveys, polls, questionnaires, summaries, abstracts	Administratively Useful	HC		Review for historical value
Social Services		TELECOMMUNICATION SYSTEM MANAGEMENT RECORDS (<i>Department copies. Official record copy at IT</i>) Documents creation, modification, and disposition of telecommunications systems. May include equipment records, Federal Communications Commission records, repair order forms, system planning records, telecommunications maintenance contracts and service agreements, service orders, related correspondence, and	Administratively Useful	HC EL		
Social Services	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Social Services	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Social Services	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Social Services		VEHICLE MAINTENANCE & REPAIR RECORDS (Department copies. Official record copy at Finance Department, Automotive Division) Documents maintenance & repairs of owned or leased vehicles. Records used to provide maintenance & repair history.	Life of Asset	HC		
Social Services	2007-0331	VOLUNTEER SERVICE RECORDS Documents work performed by citizens without compensation for their services. Includes applications, job descriptions, training documents, orientation records, workman's compensation records, volunteer processing check list, time records, monitoring records, & letters of recommendation.	Termination + 3 Years	HC EL		Security Destruction, see notes.
Special Public Defender	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Special Public Defender	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Special Public Defender	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Special Public Defender	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (Department copies. Official record copy at Human Resources.)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Special Public Defender		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Special Public Defender	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Special Public Defender	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Special Public Defender	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Special Public Defender	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Special Public Defender	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Special Public Defender	2007-1406	CASE FILES, CIVIL FAMILY APPEALS Record is created from abuse/neglect file and termination of parental rights file combined on one record transmitted to Nevada Supreme Court upon termination of parental rights. Includes: Pleadings filed in abuse/neglect case, Pleadings filed in termination of parental rights file, Research, Client case plan compliance documents, DFS Case notes, Expert evaluations, Transcripts. This record is created from existing case files to create a record to be transmitted to Nevada Supreme Court and to all parties to the action. When case is decided by Nevada Supreme Court, the record is sent back to District Court Clerk.	Termination + 7 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Special Public Defender	2007-0155	CASE FILES, CIVIL FAMILY Record created from various state agencies, District Court and client to be used to represent indigent parents charged with abuse/neglect or if state is seeking to terminate parental rights. Includes client intake document, release of information, pleadings/motions/court filings, DFS case notes, attorney notes / memos, correspondence, case history, case minutes, case plan compliance documents, medical records, police reports, school records, collateral domestic case filings. Pleadings and transcripts are maintained by District Court Clerk; DFS Case notes and discovery are kept by District Attorney; Police Reports are kept by Metro. Notes, Correspondence, psychological reports, reports of investigation, client intakes, attorney notes and memos are all original	Settlement +7 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
Special Public Defender	2007-1406a	CASE FILES, CRIMINAL CASES – <u>Non</u> CAPITAL Record is created from trial files to be used to proceed to Nevada Supreme Court from District Court upon judgment of conviction. Includes: pleadings, record on appeal, correspondence, research, attorney notes/memos.	Termination + 7 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes. Files are kept until new attorney is appointed; then everything turned over to new attorney. We retain original of work products. If capital case, we keep a convenience copy of everything except pleadings and transcripts.
Special Public Defender	2007-1406b	CASE FILES, CRIMINALCASES - CAPITAL Record is created from trial files to be used to proceed to Nevada Supreme Court from District Court upon judgment of conviction. Includes: pleadings, record on appeal, correspondence, research, attorney notes/memos.	TERM of IMPRISONMENT OR Death of Client	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes. Files are kept until new attorney is appointed; then everything turned over to new attorney. We retain original of work products. If capital case, we keep a convenience copy of everything except pleadings and transcripts.
Special Public Defender	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Special Public Defender	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Special Public Defender	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Special Public Defender	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Special Public Defender	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Special Public Defender	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Special Public Defender	2007-0058	EMPLOYEE PERSONNEL FILES (Department copies. Official record copy at Human Resources.) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Special Public Defender		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Special Public Defender		LEAVE REQUESTS, EMPLOYEE (Department copies. Official record copy at Human Resources.) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Special Public Defender	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Special Public Defender	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Special Public Defender	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Special Public Defender	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Special Public Defender	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Special Public Defender	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Special Public Defender	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Special Public Defender	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Special Public Defender	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Special Public Defender	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include <u>HIPAA information</u> .	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Special Public Defender	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Treasurer	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Treasurer	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Treasurer	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Treasurer	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Treasurer	2007-0468	ASSESSORS RECORDS/FILE MAINTENANCE Adjustment to real property assessed values which directly affects real property tax amounts. Information is used to recalculate new tax amounts.	Fiscal Yearend + 6 Fiscal Years	HC EL		Security Destruction, see notes.
Treasurer		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Treasurer	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Treasurer	2007-0469	BANKRUPTCY RECORDS Maintain history & review claims filed with the Bankruptcy court(s); maintain a history of collections; & maintain current and history of case tracking information, including claim, tax bill, personal property declaration, court documents, print out from court, info sheet from bankruptcy database, letter, etc.	Settlement + 6 Years	HC EL		Security Destruction, see notes.
Treasurer	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Treasurer	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Treasurer	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Treasurer	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Treasurer	2007-0431	CLAIMS AGAINST COUNTY Claims against county for goods & services provided.	Settlement + 3 Years	HC EL		Security Destruction, see notes.
Treasurer	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Treasurer	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Treasurer	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Treasurer	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
Treasurer	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Treasurer	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Treasurer	2007-0433	DAILY CASH AND RECEIPTS REPORTS Daily cash transactions and may contain receipts, cashier's daily reports, cash balance reports, transmittal reports, and related documents. Includes daily transactions, main cashier deposits, credit card transmittals, customer svc deposits, batch reports, receipt copies.	Audit Clearance	HC EL		
Treasurer	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Treasurer		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Treasurer	2007-0444	INVESTMENT RECORDS Documents and administers investment accounts. Documentation to support the daily investment activity for various accounts. May include daily cash investment activity, investment filing backup, Lotus investment ledger, Simpro investment ledger/investment register, internal disbursement & invest report, custodian statements, etc.	Fiscal Yearend + 6 Fiscal Years	HC		
Treasurer	2007-0446	JOURNAL ENTRIES Detailing accounts to be charged and credited. Used to make fund transfers, adjustments, and corrections to accounting records. Includes information on account number, amount debited, amount credited, account description, and reason for journal entry.	Fiscal Yearend + 6 Fiscal Years	HC EL		
Treasurer		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Treasurer	2007-1666a	LIENS AND RELEASES - TAX Documents liens filed for non-payment of taxes in accordance with state/federal law. May contain notice of lien, refilling form, certificate of release, certificate of subordination, correction notices, certificate of non-attachment, certificate of revocation & reinstatement, certificate of withdrawal, copies of court documents, related correspondence & similar	Filing + 10 Years	HC EL		
Treasurer	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
Treasurer	2007-1533	MEETING RECORDS, BOARDS, COMMISSIONS, COUNCILS, AND STANDING COMMITTEES Original minutes of public and closed meetings, agendas, transcripts, attachments and exhibits, correspondence related to the meetings, announcements, proof of postings, proof of certified mailings, and similar materials	PERMANENT	HC EL		
Treasurer	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Treasurer	2007-0449	PAYROLL FILES Document and administer payroll of employees. Time records, direct deposit reports, payroll registers, payroll corrections	Fiscal Yearend + 3 Fiscal Years	HC		Security Destruction, see notes.
Treasurer	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
Treasurer	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Treasurer	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Treasurer	2007-1316	REFUND RECORDS Documents credits or refunds for overpayment. May include amount of overage, cause of overage, written request for refund, and related correspondence.	Fiscal Yearend + 3 Years	HC EL		Security Destruction, see notes.
Treasurer	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Treasurer	2007-0521	RETURNED CHECKS Checks received in payment of various government matters (taxes, SID's, invoices) and has been returned unpaid by a financial institution. This record series documents attempts to collect monies for non-negotiable (usually insufficient funds) checks received for payment to agency accounts.	Written off or Deemed Uncollectable + 3 Fiscal Years	HC EL		Security Destruction, see notes.
Treasurer	2007-0998	SPECIAL ASSESSMENT DISTRICT RECORDS Files on public works projects related to redevelopment projects requiring extraordinary maintenance, repair and improvement. Includes billing registers, file maintenance, notice of parcel split & conformed copies, assessment no longer billed, end of month and year reports, detail list of 60-120 day letters, AMG collection report, specials to be	Fiscal Yearend + 5 Fiscal Years	HC EL		Security Destruction, see notes.
Treasurer	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Treasurer	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Treasurer	2007-0457	TAX BILLS Individual tax bills mailed yearly to each property owner or property mortgage holder, seeking payment of property taxes. Documentation for real property tax parcel sent annually to homeowner or mortgage company. Includes assessment no longer being billed, special assessment billing register.	Fiscal Yearend + 3 Fiscal Years	HC EL		Security Destruction, see notes.
Treasurer	2007-0458	TAX NOTICES Informational notices published in newspapers or posted in public places, specifying dates property taxes are due, & penalties for delinquency	Administratively Useful See NOTE	HC		NOTE: It is recommended these records not be retained longer than three years.
Treasurer	2007-1319	TAX PROTEST LETTERS Notification from tax payer protesting payment of real property tax. This record series documents taxes paid under protest by a taxpayer.	Settlement + 6 Years	HC EL		
Treasurer	2007-0461	TAX REDEMPTION CERTIFICATES Certificates document property description, amount of delinquent taxes due, year of assessment, name of property owner or taxpayer, various taxes, penalties, interest, & other costs added to property, & a statement documenting period of redemption	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Treasurer	2007-0459	TAX ROLLS Documents official record of assessments, tax levied, and changes to the tax roll on properties. Includes Tax Roll Fiche End of Year-Current, 1st, 2nd, end of month tax roll current year.	PERMANENT	HC EL MI		
Treasurer	2007-0462	TAX SALES REPORTS Documents filed to confirm that delinquent real property tax notification was sent. May include applications, applicable forms, supporting documentation and related correspondence. Also used in event of a dispute regarding delinquent notification process. These reports document the sale of property for delinquent taxes. Includes affidavits, tax delinquent letters, delinquent rolls, trustee tax roll, certified mailings, reconveyance packets, reconveyance receipts, and trustee sale folders.	PERMANENT	HC EL		
Treasurer	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Treasurer	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
Treasurer	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Treasurer	2007-0464	UNCLAIMED PROPERTY REPORTS Documents reporting by holders of abandoned accounts in accordance with NRS Chapter 120A. This record series may contain various completed forms and reports as required by State Treasurer (Administrator of Unclaimed Property), supporting documentation, associated correspondence, and similar material.	Seven (7) calendar years from the date the abandoned property report is filed with the State Treasurer.	HC EL		Security Destruction, see notes. NRS 120A.700, NRS 120A.145, NRS 120A.560, NAC 239.165 (1)(2)
UMC - Administration	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). <i>Official record copy at Comptroller.</i>	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Administration	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Administration	2007-1558a	ACTIVITY REPORTS, MONTHLY <u>Monthly</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Administration	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Administration		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Administration	2007-0049	AUDIT REPORTS, EXTERNAL (<i>office copies</i>) Audits/studies performed by various outside parties regarding feasibility and/or financial viability of Hospital, includes feasibility studies, audit findings, etc.	Until Superseded + 1 Fiscal Year	HC EL		
UMC - Administration	2007-1256	AUDIT REPORTS, QUALITY ASSURANCE REVIEW Quality control reviews performed by an agency to check effectiveness of policies and procedures [such as office security, training, safety, personnel, customer relations, emergency and similar procedures]. JCAHO Survey Findings, JCAHO Survey Responses, State Department Licensure Surveys/Findings, State Department Licensure Responses.	Calendar Yearend + 3 Years	HC EL		
UMC - Administration	2007-0094	AUDIT REPORTS, SPECIAL Special, not annual, reports prepared by external auditors examining and verifying UMC's financial activities or the financial activities of a fund, department or other component of UMC. Includes OIG Audits & Responses, CMS Audits & Responses.	Fiscal Yearend + 3 Years	HC EL		
UMC - Administration	2007-0005	AUDIT, ANNUAL FINANCIAL Documents the annual financial condition of a local governmental entity; includes audited financials, auditor comments & findings.	PERMANENT	HC		Official record copy may be included in Board of County Commissioners' meeting minutes. If so, UMC copy need not be retained permanently.
UMC - Administration	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Administration	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Administration	2007-0261	BIDS FOR CONTRACTS RFPs, Responses to RFPs, Committee Minutes, Score Sheets, Letters of Interest, pertaining to professional (physician) patient services.	Cancellation + 7 Years, OR Expiration + 7 Years	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Administration	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk.	Fiscal Yearend + 5 Years	HC EL		
UMC - Administration	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Administration	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
UMC - Administration	2007-1243	COMMITTEE RECORDS, AD HOC Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. These types of committees are usually formed for a specific and often temporary function, usually on an informal basis. Includes Agendas, Minutes, Reports, Working Papers, Correspondence.	3 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Administration	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Administration	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
UMC - Administration	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
UMC - Administration	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Administration	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Administration	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Administration	2007-0008	DIRECTIVES OF MANAGER Executive orders, Bulletins and advisories, Directives, Policy statements, Notes on policy and procedures. Related correspondence. Similar documents.	PERMANENT	HC EL		
UMC - Administration	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Administration	2007-1238	EMPLOYEE SUGGESTION FORMS Documents "employee suggestions", "good ideas", "action needed" and similar agency programs.	Administratively Useful	HC EL		
UMC - Administration		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
UMC - Administration	2007-0033	HISTORY FILES Records that document history of an agency, department, division or other governmental body, and is usually used as an informational source for governmental entity & public.	PERMANENT	HC EL		
UMC - Administration		LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Administration	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues.	PERMANENT	HC EL		May contain HIPAA information. Security Destruction, see notes.
UMC - Administration	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Administration	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Administration	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Administration	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Administration	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Administration	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
UMC - Administration	2007-0391	REVENUE BOND RECORDS Authorization to finance municipal improvements through bonded indebtedness and implementation of government bond issues. "Official Statement, General Obligation (limited Tax) Hospital Improvement and Refunding Bonds (Additionally Secured With Pledged Gross Revenues."	Bonds Retired + 10 Years	HC EL		
UMC - Administration	2007-1280	SIGNATURE AUTHORIZATIONS FILE Used to authorize, assign authority, and verify approval of various governmental actions.	Expiration + 5 Fiscal Years	HC		
UMC - Administration	2007-1242	SPECIAL BOARDS, COMMISSIONS, COUNCILS, COMMITTEES, OFFICES AND TASK FORCE RECORDS Document governmental administration, activities, and history of specially organized committees, boards, councils, offices and task forces. These entities are usually organized or appointed to address specific problems or situations, and not intended to carry on activity beyond a final report or activity. The purpose of these special entities may involve advising, investigating, planning, recommending, compiling, summarizing and similar activities.	Permanent OR See Note	HC EL		NOTE: Retain records for a minimum period of 5 calendar years from meeting date AND transfer to one of the facilities described in NAC 239.850 (1)(b).
UMC - Administration	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Administration	2007-0047	STRATEGIC PLAN FILES Develop and maintain the department's mission, goals and performance measures. Activity Reports, Performance Measures	Fiscal Yearend + 3 Years	EL		
UMC - Administration	2007-1005	STUDIES Studies performed by outside consultants or in-house staff. Feasibility Studies, Consultant Reports	PERMANENT	HC EL		
UMC - Administration	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Administration	2007-1281	SUMMONS & SUBPOENAS Documents received by individuals in their official capacity as local government employees, requiring their appearance at a specified place, date and time. Summons and subpoenas are issued by agencies granted this power under law. May include state and federal courts, boards, commissions, offices, etc. Documents contain a statement of authority for summons or subpoena, reasons for required appearance, date, time and place. Documents are signed and dated and may be delivered by mail or by an officer of summoning institution.	Closure + 1 Year	HC		
UMC - Administration	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Administration	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Administration	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Budget & Financial Planning	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Budget & Financial Planning	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Budget & Financial Planning		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Budget & Financial Planning	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Budget & Financial Planning	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-0004	BUDGET - FINAL ANNUAL Final annual financial plan for University Medical Center. Final FTE Worksheet, Final Operating Worksheet, Capital Equipment Worksheet, F-1 & F-2, Departmental Budgets	PERMANENT	HC EL		
UMC - Budget & Financial Planning	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
UMC - Budget & Financial Planning	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Budget & Financial Planning	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Budget & Financial Planning	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Budget & Financial Planning	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Budget & Financial Planning	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Budget & Financial Planning	2007-1725	EMPLOYEE IT ACCESS CONTROL AND SECURITY FILES Authorizations to make user access changes for HR on SAP system	Calendar Yearend + 3 Years	EL		NRS 239C.210, NAC 239.165 (1) (2). Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Budget & Financial Planning	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Budget & Financial Planning	2007-0450	EMPLOYMENT TAX RECORDS Report collection, distribution, deposit, and transmittal of federal income taxes. Records may include 1099's, W-2's), W-9's, employers' quarterly federal tax return (941, 941E), tax deposit coupon (8109), & similar completed forms.	Tax year in which taxes are due + 4 Years, OR date tax paid + 4 Years, whichever later	HC EL		
UMC - Budget & Financial Planning		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Budget & Financial Planning	2007-1520	FUND TRANSFER RECORDS Documents moneys transferred from one fund to another showing date, amount transferred, name of fund, purpose, and balance, including Fund Transfer, Back-up Documentation, etc.	Audit Clearance	HC		
UMC - Budget & Financial Planning		LEAVE REQUESTS, EMPLOYEE May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Budget & Financial Planning	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Budget & Financial Planning	2007-0452	PAYROLL ADMINISTRATIVE REPORTS Reports, statistical studies, and other records designed and used for budget preparation, projections, workload and personnel management, research, and general reference, including Payroll Registers, Payroll Deduction Reports, Employee Time Reports, Tax Reports, PERS	Fiscal Yearend + 3 Years	HC EL MF		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-1686	PAYROLL DEDUCTION INPUT DOCUMENTS Document and administer deductions to employee's payroll. Includes all forms used to input information into system for a payroll deduction, including authorization forms for deductions, including Garnishments, Tax Levies, Child Support Orders, Education Garnishment, Bankruptcy Orders, Auxiliary Deductions, Accounts Receivable Reductions, Deferred Compensation Loans	Cancellation, Until Superseded, or Termination, as applicable + 3 Fiscal Years	HC		
UMC - Budget & Financial Planning	2007-0449	PAYROLL FILES Document and administer payroll of UMC employees. Time Records, Direct Deposit Reports, Payroll Registers, Payroll Corrections	Fiscal Yearend + 3 Years			29CFR516.5, 29CFR516.6
UMC - Budget & Financial Planning	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Budget & Financial Planning	2007-0451b	PAYROLL REGISTERS OR REPORTS, <u>NON YEAR END</u> Documents pay and benefits earned by UMC employees, including Deduction Registers, Payroll Register, Leave Status Reports, Check Reconciliation Register, Processing Status, Direct Deposit Register, PERS Reports	Fiscal Yearend + 6 Years			NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-0451a	PAYROLL REGISTERS OR REPORTS, <u>YEAR END</u> Documents pay and benefits earned by UMC employees, including Deduction Registers, Payroll Register, Leave Status Reports, Check Reconciliation Register, Processing Status, Direct Deposit Register, PERS Reports	Calendar Yearend + 60 Years			NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Budget & Financial Planning	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Budget & Financial Planning	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Budget & Financial Planning	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
UMC - Budget & Financial Planning	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Budget & Financial Planning	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Budget & Financial Planning	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). <u>Official record copy at Comptroller.</u>	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Compliance & HIPAA	2007-1558a	ACTIVITY REPORTS, MONTHLY <u>Monthly</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Compliance & HIPAA	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Compliance & HIPAA		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Compliance & HIPAA	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Compliance & HIPAA	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk	Fiscal Yearend + 5 Years	HC EL		
UMC - Compliance & HIPAA	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
UMC - Compliance & HIPAA	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
UMC - Compliance & HIPAA	2007-0055	COMPLAINTS, GENERAL General complaints about/against department or its employees. May include complainant name, address, & phone number, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records	Resolution + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Compliance & HIPAA		COMPLIANCE AUDIT RECORDS Document investigations and outcomes based on complaints and audits. Document education related to Compliance and HIPAA. Includes Database of complaints, Memos and reports, Policies and procedures, HIPAA ESC presentations and minutes, Articles and newsletters, Annual mandatory training programs, Compliance handbook, Compliance manual, Hybrid entity decision memos, OIG Correspondence, Copies of documents involved in investigations and audits	7 Years	HC EL		45CFR.306, 45CFR 310 (a), 45CFR 164.530 (j) (2), NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Compliance & HIPAA		COMPLIANCE AUDIT WORKPAPERS Workpapers, internal agency reports, spreadsheets, copies of accounting records, related correspondence & similar records	7 Years	HC EL		Used to review and prepare follow on audits. NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services, and Business Associate Agreements .	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		

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Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Compliance & HIPAA	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Compliance & HIPAA	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Compliance & HIPAA	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include FMLA information. Official record copy at Human Resources.	Termination + 1 Year See NOTE	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). NOTE: Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Compliance & HIPAA		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
UMC - Compliance & HIPAA	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include FMLA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Compliance & HIPAA		ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded + 7 Years	HC EL		7 Year period to meet compliance requirements
UMC - Compliance & HIPAA	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Compliance & HIPAA	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Compliance & HIPAA	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
UMC - Compliance & HIPAA		SELF-MONITORING & EXTERNAL AUDIT RECORDS, COMPLIANCE Document self-monitoring activities and outcomes conducted for compliance. Document education content and attendance related to Compliance and HIPAA. Documents external audits and outcomes.	Until Superseded + 7 Years	HC EL		45CFR.306, 45CFR 310 (a), 45CFR 164.530 (j) (2), NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year See NOTE	HC EL		NOTE: See LRDA 2007-0330 if meeting content is related to training or inservice education for corporate compliance or HIPAA

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Compliance & HIPAA	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Compliance & HIPAA	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information. <i>Official record copy at Human Resources</i>	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-0330	TRAINING RECORDS, EMPLOYEE - GENERAL Documentation and verification of individual employee training activities.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Compliance & HIPAA		TRAINING RECORDS, EMPLOYEE – HIPAA OR CORPORATE COMPLIANCE EVIDENCE Documentation and verification of individual employee training activities. Program content related to Corporate Compliance and HIPAA	Fiscal Yearend + 6 Years	HC EL		OIG Compliance Guidance Security Destruction, see notes.
UMC - Compliance & HIPAA	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. <i>Official record copy at Comptroller</i>	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-0046	ACCOUNTING RECORDS (<i>Department Copies</i>) Document financial transactions and accounting functions (including A/P and A/R). <i>Official record copy at Comptroller</i>	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-1558	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Fiscal Services - Eligibility Financial Services	2007-1558a	ACTIVITY REPORTS, MONTHLY <u>Monthly</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Fiscal Services - Eligibility Financial Services	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) <i>Official record copy at Human Resources.</i>	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services		APPLICATIONS FOR UNDOCUMENTED ALIENS Original Application, Identification, copy, I.N.S. Documents	6 Years	HC		45CFR160.103, 45CFR106.501 (1) (i), 45CFR164.528 (a), NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Fiscal Services - Eligibility Financial Services	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Fiscal Services - Eligibility Financial Services	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. <i>Official record copy at Purchasing.</i>	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. <i>Official record copy at County Clerk.</i>	Fiscal Yearend + 5 Years	HC EL		
UMC - Fiscal Services - Eligibility Financial Services	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		

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Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Fiscal Services - Eligibility Financial Services	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
UMC - Fiscal Services - Eligibility Financial Services		CHARGE OFF RECORDS Records used to determine whether to charge off unpaid patient charges. Includes patient demographics, credit report (copy), property assessment (copy), management approval signatures etc.	6 Years	HC		NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Fiscal Services - Eligibility Financial Services	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Fiscal Services - Eligibility Financial Services	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Fiscal Services - Eligibility Financial Services	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Fiscal Services - Eligibility Financial Services		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Fiscal Services - Eligibility Financial Services		FINANCIAL ASSISTANCE PACKETS Clark County social service application, certified birth certificate, welfare application, certified death certificate, public guardian application, bank statements, length of disability, pay stubs, legal/trust document (copy), drivers license copy, nursing home notes, credit reports, discharge notes, police reports, copy, agency requests for information, insurance documentation, notice of decisions, medical record(s), H&P copy	6 Years			45CFR160.103, 45CFR164.528 (a), NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Fiscal Services - Eligibility Financial Services	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Fiscal Services - Eligibility Financial Services	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Fiscal Services - Eligibility Financial Services	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Fiscal Services - Eligibility Financial Services	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information	EXP + 6 Years, OR SUP + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings and other internal meetings	1 Year	HC EL		
UMC - Fiscal Services - Eligibility Financial Services	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Fiscal Services - Eligibility Financial Services	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Fiscal Services - Eligibility Financial Services	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Fiscal Services - Eligibility Financial Services	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. <u>Official record copy at Comptroller</u>	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-0090	ACCOUNTS PAYABLE Payment of bills for goods & services, including billing statements, receiving reports, shipping documents, expense reimbursements, computer generated reports & printouts, payment authorizations, supportive documentation, related correspondence	Fiscal Yearend + 6 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.528, 45CFR164.501 May contain HIPAA information. Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - General Accounting & Accounts Payable	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - General Accounting & Accounts Payable	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - General Accounting & Accounts Payable		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - General Accounting & Accounts Payable	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - General Accounting & Accounts Payable	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
UMC - General Accounting & Accounts Payable	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
UMC - General Accounting & Accounts Payable	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - General Accounting & Accounts Payable		CHAMPUS PASS THROUGH REIMBURSEMENT REQUESTS Official report for requesting reimbursement passthrough from CHAMPUS. Includes copy of official report and workpapers	10 Years	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - General Accounting & Accounts Payable		COLLECTION AGENCY PAYMENTS Records of collection agency payments including the patient payment and the amount of the collection agency fees. Includes remittance advices, reconciliations, copies of agency checks, agency monthly summaries	7 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), 44CFR164.501 May contain HIPAA information. Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - General Accounting & Accounts Payable	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - General Accounting & Accounts Payable	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - General Accounting & Accounts Payable	2007-0433	DAILY CASH AND RECEIPTS REPORTS Daily cash transactions and may contain receipts, cashier's daily reports, cash balance reports, transmittal reports, and related documents. Includes QC/PC daily transactions, Main Cashier deposits, Credit Card transmittals, Customer Svc Deposits, Batch reports, Receipt copies.	Audit Clearance + 3 Years	HC EL		User feels a longer time is advisable - at least audit + 3 years. They have previously had to refer to these records to research theft allegations.
UMC - General Accounting & Accounts Payable	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - General Accounting & Accounts Payable	2007-0450	EMPLOYMENT TAX RECORDS Report collection, distribution, deposit, and transmittal of federal income taxes. Records may include 1099's, W-2's, W-9's, employers' quarterly federal tax return (941, 941E), tax deposit coupon (8109), & similar completed forms.	Tax year in which taxes are due + 4 Years, OR date tax paid + 4 Years, whichever later	HC EL		
UMC - General Accounting & Accounts Payable		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - General Accounting & Accounts Payable	2007-0060	GRANT RECORDS Documents application for and awarding of funds from federal government, state government, and private organizations, private benefactors, and similar sources. This series may include application and supporting documentation, project proposal, project plans and objectives, award notification, grant related contracts and/or agreements, equipment inventories, statistical reports, monitoring reports, summary reports,	Expiration + 3 Fiscal Years, OR Retention period required by grantor, whichever longer	HC EL		NRS 239.110 Security Destruction, see notes. Review for historical value
UMC - General Accounting & Accounts Payable	2007-0446	JOURNAL ENTRIES Detailing accounts to be charged and credited. Used to make fund transfers, adjustments, and corrections to accounting records. Includes information on account number, amount debited, amount credited, account description, and reason for journal entry .	Fiscal Yearend + 6 Years	HC EL		
UMC - General Accounting & Accounts Payable	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - General Accounting & Accounts Payable		MEDICARE APPEALS AND REOPENING FILES Support claims for reimbursement under dispute. Includes position papers, letters and supporting documents .	Resolution + 2 Years	HC		
UMC - General Accounting & Accounts Payable		MEDICARE COST REPORTS Report is filed annually reports costs and revenues for hospital. Information from report used to set reimbursement rates for Hosnital and Reegion .	15 Years	HC EL		
UMC - General Accounting & Accounts Payable	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets .	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - General Accounting & Accounts Payable	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - General Accounting & Accounts Payable		PATIENT REFUNDS Credits or refunds to clients for overpayment of services. Information may include account name and number, tax ID number, amount of overage, cause of overage, written request for credit or refund, copy of receipts, related correspondence, and similar documents .	Fiscal Yearend + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.528, 48CFR164.501 May contain HIPAA information. Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - General Accounting & Accounts Payable	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity .	Administratively Useful	HC		
UMC - General Accounting & Accounts Payable	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information .	Expiration + 6 Years, OR Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - General Accounting & Accounts Payable	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - General Accounting & Accounts Payable		STUDIES, UNCOMPENSATED MEDICAID COST Required by State Medicaid - used to calculate DISH payments. Includes workpapers, system reports and patient detail.	5 Years	EL		
UMC - General Accounting & Accounts Payable	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere .	Administratively Useful	HC		
UMC - General Accounting & Accounts Payable	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - General Accounting & Accounts Payable	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Health Information Management	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Health Information Management	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Health Information Management	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Health Information Management	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (Department copies. Official record copy at Human Resources.)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Health Information Management		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Health Information Management	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Health Information Management	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Health Information Management	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Health Information Management	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Health Information Management	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Health Information Management	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Health Information Management	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Health Information Management	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Health Information Management	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Health Information Management	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Health Information Management	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Health Information Management	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Health Information Management		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Health Information Management		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Health Information Management	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Health Information Management	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Health Information Management	2007-0725	PATIENT CHARTS, INPATIENT AND OUTPATIENT Records of patient treatment in all areas of hospital. Includes fetal strips, obstetrical care, emergency care, inpatient, ambulatory and observation treatment, etc.	State requirement is date of receipt or production of record + 6 Calendar Years. UMC policy is Termination of service + 25 Years	HC EL MI		NOTE: UMC is a research hospital and, as a result, is requesting a retention period of Termination of service + 25 Years. 45CFR164.501, NRS 205.4617, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
UMC - Health Information Management	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Health Information Management	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Health Information Management	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
UMC - Health Information Management	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Health Information Management	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
UMC - Health Information Management	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Health Information Management	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Health Information Management	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Health Information Management	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Human Resources	2007-0046	ACCOUNTING RECORDS (Department Copies) Document financial transactions and accounting functions (including A/P and A/R). Official record copy at Comptroller.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Human Resources	2007-1558	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Human Resources	2007-1558a	ACTIVITY REPORTS, MONTHLY Monthly operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Human Resources	2007-1691	AMERICANS WITH DISABILITIES COMPLIANCE RECORDS This record series is used to administer Affirmative Action Plans. Includes Requests for accommodation, self evaluations, essential function forms, copies of medical records, certifications from health care providers, Related correspondence and similar documentation.	Calendar Yearend + 3 Years	HC EL		29CFR 1608 and NRS 613.310 to 613.435 Security Destruction, see notes.
UMC - Human Resources	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department Copies</i>) Official record copy at Human Resources.	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Human Resources		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Human Resources	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Human Resources	2007-0050	BID RECORDS (<i>Department Copies</i>) Bids for supplies, equipment and/or services. Official record copy at Purchasing.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Human Resources	2007-0003	BUDGET REQUEST, ANNUAL Budget requests presented to Board of County Commissioners. Official record copy at County Clerk	Fiscal Yearend + 5 Years	HC EL		
UMC - Human Resources	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Human Resources	2007-0052	BUDGET, ADOPTED (<i>Department Copies</i>) Copies of adopted budgets. Official record copy at Comptroller.	Audit Clearance + 1 Year	HC EL		
UMC - Human Resources	2007-0311	CASE FILES, EMPLOYEE GRIEVANCES Grievances or complaints filed by current employees, terminated employees, applicants, or private citizens regarding employment practices. May include, but is not limited to, complaints, investigation reports, interview documentation, witness statements, background information, supporting papers, summary of action taken, audio/video recordings, related correspondence, & summary of	Settlement + 3 Years	HC EL		Security Destruction, see notes.
UMC - Human Resources	2007-1661	CASE FILES, EMPLOYEE GRIEVANCES, RECORD ON JUDICIAL REVIEW Grievance files or appeals of disciplinary actions where court action has been initiated. May contain, but is not limited to, copies of documents found in the grievance file, copies of documents within the appeals file, copies of hearing files, court documents, correspondence & related documents.	Settlement + 6 Years	HC EL		Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Human Resources	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Human Resources	2007-0054	CONTRACTS & AGREEMENTS (<i>Department Copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere. May include HIPAA information.	Expiration + 1 Year	HC		HIPAA information requires Security Destruction, see notes.
UMC - Human Resources	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services. May include HIPAA information.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
UMC - Human Resources	2007-0328	CONTRACTS, UNION Contractual agreements between UMC & bargaining units, it may also be used for labor relations planning. May contain union contracts & amendments, tentative agreements, arbitrator's recommendations, negotiation work notes, management counter proposals, negotiation updates, newspaper clippings, press releases, research background material, employee classification printouts, minutes, sound recordings, exhibits & reports of meetings, correspondence & related records.	Expiration + 6 Fiscal Years, OR For period required by contract or agreement, whichever longer	HC		Security Destruction, see notes.
UMC - Human Resources	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Human Resources	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how agency is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Human Resources	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Human Resources	2007-1295	EMPLOYEE ASSISTANCE PROGRAM RECORDS To provide assistance to UMC employees and their families with personal and work-related problems that may affect job performance. Includes Confidentiality Record, General patient information record.	Completion + 6 Years	HC		Security Destruction, see notes.
UMC - Human Resources	2007-0321a	EMPLOYEE MASTER PERSONNEL FILES, DOCUMENTING EMPLOYMENT HISTORY Records which document employment history, including, but not limited to, salary history & longevity documents, classification & salary records, etc.	Termination + 30 Years	HC		Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Human Resources	2007-0321b	EMPLOYEE MASTER PERSONNEL FILES, OTHER Records which DO NOT document employment history, including job applications, credential files, background checks, notice of appointment documents, personnel transaction records, payroll withholding information, leave summary records, employee development documents, employee performance documents, training documents, disciplinary actions, copies of licenses or certificates, exit interview records, computer printouts, personnel action forms, correspondence & similar documents related to an individual's	Termination + 3 Years	HC		Security Destruction, see notes.
UMC - Human Resources	2007-1236b	EMPLOYEE MEDICAL RECORDS, EMPLOYED LESS THAN ONE YEAR To insure a safe environment for patients, employees and visitors. Includes Health Records, Lab Results, Physical Fit Testing document, Chest X-Rays, Risk Assessment for Blood/Air Pathogens, Return To Work Notes, Needlestick/Body Fluid Exposure forms and follow up, Modified/Light Duty documents, Physician Orders, Vaccinations	Termination See NOTE	HC EL		NOTE: Records are to be offered to employee upon termination. Security Destruction, see notes.
UMC - Human Resources	2007-1236a	EMPLOYEE MEDICAL RECORDS, EMPLOYED OVER ONE YEAR To insure a safe environment for patients, employees and visitors. Includes Health Records, Lab Results, Physical Fit Testing document, Chest X-Rays, Risk Assessment for Blood/Air Pathogens, Return To Work Notes, Needlestick/Body Fluid Exposure forms and follow up, Modified/Light Duty documents, Physician Orders, Vaccinations	Calendar Yearend + 6 Years	HC EL		Security Destruction, see notes.
UMC - Human Resources	2007-1289	EMPLOYEE MEDICAL RECORDS, HAZARD EXPOSURE RECORDS Exposure to hazardous conditions such as chemicals, toxic substances, blood-borne pathogens, biological agents, bacteria, virus, fungus, radiation, noise, dust, heat, cold, vibration, repetitive motion, or other dangerous work related conditions. Records may include hearing test records, radiation measurement records, blood test or other laboratory results, incident reports, first-aid records, X-rays, work station air sampling reports, biological monitoring results, correspondence & similar documents.	Termination + 30 Years	HC EL		Security Destruction, see notes.
UMC - Human Resources	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department Copies</i>) Administrative copy of master personnel file. May include HIPAA information. Official record copy at Human Resources.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Human Resources		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Human Resources	2007-0310	FAMILY MEDICAL LEAVE ACT (FMLA) RECORDS Regulate the granting and monitoring of family leave under the Federal Family and Medical Leave Act of 1993 and the State Parental Leave Without Pay Bill. Includes Leave Requests, Medical Certifications, Notice Correspondence.	Fiscal Yearend + 3 Years	HC EL		29 CFR 1630.14 Security Destruction, see notes.
UMC - Human Resources	2007-329	I-9 FORMS, COMPLETED Document verification of employment eligibility in accordance with Immigration Reform and Control Act of 1986 as found in. May contain US Department of Justice Immigration and Naturalization form I-9, passport and/ or other identifiers, and associated documents.	3 Years, OR Termination + 1 Year, whichever later	HC EL		USC Title 8 section 1324a Security Destruction, see notes.
UMC - Human Resources	2007-0317	LABOR NEGOTIATION RECORDS SEIU Hearings & Arbitrations, General Subject matters, Unemployment claim forms, discipline removals, Collective Bargaining Agreements from other jurisdictions, labor team reports, union bank hours, various unit Collective Bargaining Agreements, interlocals, MPS & Mplan.	Expiration + 5 Years	HC		Security Destruction, see notes.
UMC - Human Resources		LEAVE REQUESTS, EMPLOYEE (<i>Department Copies</i>) May include HIPAA information. Official record copy at Human Resources.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Human Resources	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department Copies</i>) Submissions for inclusion into Board meeting packets. Official record copy at County Clerk.	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Human Resources	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Human Resources	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Human Resources	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Human Resources	2007-0314	PLAN RECORDS, GROUP HEALTH AND LIFE INSURANCE Documents group insurance policies offered by a local government as part of the employee benefits program. Includes plan document, enrollment forms, birth/death certificates, marriage certificates, full-time student status, change forms, beneficiary forms, court documents, COBRA notification.	Termination + 6 Years	HC EL		Security Destruction, see notes.
UMC - Human Resources	2007-1381	RECLASSIFICATION AND COMPENSATION RECORDS Studies and surveys conducted to gather comparative salary information for employment positions in comparable organizations or review specific individual daily work assignments and or classification group to ascertain they are working within parameters of their classification range in salary and duties, creation of new or modified job descriptions.	Calendar Yearend + 2 Years	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Human Resources	2007-0325a	RECRUITMENT FILES, HIRED Medical, Pre-employment, Physical exam, Backgrounds, Medical Separation, Bilingual Testing, Misc dept correspondence, Fingerprinting/ Criminal Correspondence, Advertising correspondence, Recruitment archive list, lawsuits for recruitments, merit personnel updates, contracts expired- union, Training Correspondence, division budget information/ correspondence, Scopes, special project documentation, Disciplinary Actions, Applications and Resumes-Hired & Not Hired, EEO reports, Eligibility List, Employee Licenses/ Certificates, Employment Examination Records, Inactive recruitment files, promotion records, search committee files	Transfer to Employee Master File	HC		
UMC - Human Resources	2007-0325b	RECRUITMENT FILES, NOT HIRED Medical, Pre-employment, Physical exam, Backgrounds, Medical Separation, Bilingual Testing, Misc dept correspondence, Fingerprinting/ Criminal Correspondence, Advertising correspondence, Recruitment archive list, lawsuits for recruitments, merit personnel updates, contracts expired- union, Training Correspondence, division budget information/ correspondence, Scopes, special project documentation, Disciplinary Actions, Applications and Resumes-Hired & Not Hired, EEO reports, Eligibility List, Employee Licenses/ Certificates, Employment Examination Records, Inactive recruitment files, promotion records, search committee files	Active + 3 Years	HC		Security Destruction, see notes.
UMC - Human Resources	2007-1471	RECRUITMENT FILES, PRE-EMPLOYMENT MEDICAL SCREENINGS Pre-employment medical inquiries in accordance with 29 CFR 1630.14 (ADA). The files may contain, but are not limited to, medical questionnaire (medical history) forms, medical release authorizations, signed consent forms, physical fitness exams & reports, blood work results, results of medical exams by a health care provider, copy of the essential functions form, copies of job description, related correspondence & similar documents.	Closure + 3 Years	HC EL		Security Destruction, see notes.
UMC - Human Resources	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Human Resources	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include HIPAA information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b) HIPAA information requires Security Destruction, see notes.
UMC - Human Resources	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
UMC - Human Resources	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Human Resources	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department Copies</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include HIPAA information. Official record copy at Human Resources	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Human Resources	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department Copies</i>) Documentation and verification of individual employee training activities. May include HIPAA information. Official record copy at Department of Education and/or Human Resources	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Human Resources	2007-1258	TRAVEL RECORDS (<i>Department Copies</i>) Requests, authorizations, reimbursements, and other records related to employee travel. Official record copy at Comptroller	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Human Resources	2007-378	VENDOR/CONTRACTOR FILES Files validating competencies and TB results and other pertinent health information on vendors who are present at UMC on a regular basis. Includes Contractor Application, TB Results, Performance Evaluations, Competencies, Licensure, Vaccine History, Peer References, Background Check Info, Drug Screen Results, Resume	Calendar Yearend + 3 Years	HC EL		Security Destruction, see notes.
UMC - Human Resources	2007-0331	VOLUNTEER SERVICE RECORDS Documents work performed by citizens without compensation for their services. Includes applications, job descriptions, training documents, orientation records, workman's compensation records, volunteer processing check list, time records, monitoring records, letters of recommendation	Termination + 3 Years	HC EL		Security Destruction, see notes.
UMC - Human Resources	2007-1424	WORKER'S COMPENSATION FILES Document employees' injuries, occupational illnesses and structured return to work conditions and OSHA reporting. Employer's report of injury, compensation form, legal correspondence, reports from health providers, return to work conditions	Closure + 3 Years	HC EL		Security Destruction, see notes.
UMC - Infection Control	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Infection Control	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Infection Control	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Infection Control	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Infection Control		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Infection Control	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Infection Control	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Infection Control	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
UMC - Infection Control	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Infection Control	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Infection Control	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Infection Control	2007-0054	CONTRACTS & AGREEMENTS (Department copies) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Infection Control	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Infection Control	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Infection Control	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Infection Control	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Infection Control	2007-0058	EMPLOYEE PERSONNEL FILES (Department copies. Official record copy at Human Resources.) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Infection Control		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Infection Control	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Infection Control	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Infection Control	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Infection Control	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Infection Control	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Infection Control	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Infection Control	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Infection Control	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - Infection Control	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Infection Control		SURVEILLANCE, EXTRACTED DATA Data extracted from surveillance records, used for trend analysis and other purposes.	Calendar Yearend + 6 Years	EL		45CFR164.530 Contains HIPAA information. Security Destruction, see notes.
UMC - Infection Control	2007-1578	SURVEILLANCE, RECORDS Documents that identify selected infection types and follow them for a period of time. Includes: MRSA, MDR, SSI, VAPS, CLRI, UDRI, Outbreaks, Clusters, Antibiotic Stewardship, EBLs pneumonia, Hand Hygiene, worksheets.	Calendar Yearend + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) 45CFR164.530, 45CFR164.528 Contains HIPAA information. Security Destruction, see notes.
UMC - Infection Control	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Infection Control	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Infection Control	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Information Systems	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Information Systems	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Information Systems	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Information Systems	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Information Systems		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Information Systems	2007-0241	BACKUP OF COMPUTER FILES MADE FOR SECURITY Security backup of files stored on networks within the County & are retained for file damaged or deleted data. Includes: User Objects, Libraries, files, programs, journals, and hardware objects, security configuration, etc.	6 Months	EL		
UMC - Information Systems	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Information Systems	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Information Systems	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
UMC - Information Systems	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Information Systems	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Information Systems	2007-1329	CATALOGED LIST OF DATA TAPES/DISKS System reports that show all tapes, and or disks holding data for departments. Including name and location of tape or disk.	Until Superseded	EL		
UMC - Information Systems	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Information Systems	2007-1350	COMPUTER USAGE FILES Event Logs created to monitor computer activity. Level, Date and Time, Source, Event ID and Task Category	Administratively Useful	EL		
UMC - Information Systems	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Information Systems	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Information Systems	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Information Systems	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
UMC - Information Systems	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
UMC - Information Systems	2007-1330	DATABASE STATISTICS Computer listings that show utilization of disk files, & overall disk space utilization which provides index information on number of files/tables. (Capacity compared with used /available space on disks)	Administratively Useful	EL		
UMC - Information Systems	2007-0244	DOCUMENTATION OF COMPUTER SYSTEM & PROGRAMS Instructions and documentation related to certain programs, applications and or systems used by department. Includes: Installation and setup files	Until Superseded OR Expiration + 6 Years	EL		Security Destruction, see notes.
UMC - Information Systems	2007-1290	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Listings of current employees	Until Superseded	EL		Security Destruction, see notes.
UMC - Information Systems	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Information Systems		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Information Systems	2007-1341	ERROR REPORTS, SYSTEM Reports produced to detect errors or potential errors within computer systems. Files may consist of paper printouts and/or on-line reports. Reports may be run on a regular or special basis	Until Superseded	HC EL		
UMC - Information Systems	2007-1720	INVENTORY RECORDS, IT ASSETS IT inventories that are created & maintained in accordance with policies, standards & procedures. Includes general information on hardware and user, user-defined fields, installed files, file information, asset information, hardware, installed programs, software titles	Until Superseded + 3 Years	EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Information Systems		IT EMPLOYEE ACCESS CONTROL AND SECURITY AWARENESS FILES Information Security Agreements signed by all users of UMC information technology resources	Expiration + 6 Years	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Information Systems		IT PROJECT MANAGEMENT RECORDS Records may include contracts, proposals, statement of work, amendments, exhibits, addenda items, legal records, contract review records, specifications, bids awarded, purchasing documents, packing lists, supporting documents used in managing project, correspondence and related documents	Completion + 2 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Information Systems		LEAVE REQUESTS, EMPLOYEE (Department copies. Official record copy at Human Resources.) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Information Systems	2007-1729	LOG, PRODUCTION JOB SUBMITTAL Used as a history of non-automated batch job requirements. The record lists programs and/or hardware that will be affected by running of requested job. Used to check on what order jobs are run on system.	30 Days	HC EL		
UMC - Information Systems	2007-1362	LOGS & REPORTS, COMPUTER HELP DESK Documents requests for technical assistance & responses from users to requests, as well as collect information on use of computer equipment for program delivery, security, or other purposes. Includes: Summary, work order number, type, category, priority, technician assigned, Date assigned, date due, description, resolution and attachments.	1 Year	EL		
UMC - Information Systems	2007-1365	LOGS, INTERNET SERVICES Electronic files or automated logs created to monitor access and use of services provided via Internet. Information in this series may also be used to document system audits, system security audits, create summary reports, and other purposes	Audit Clearance	EL		
UMC - Information Systems		LOGS, INVENTORY Records to track inventory of telecommunications equipment. Reporting of each device, usage, and user allocation. Includes Cellular Report, Pager Report, Pay phone Report	Administratively Useful	HC		
UMC - Information Systems	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Information Systems	2007-1364	NETWORK OR CIRCUIT INSTALLATION AND SERVICE FILES Requests to service provider for data communication service, installation, or repair & response to request. Includes work orders, work schedules, building or circuitry diagrams	Completion + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NRS 239C.120, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Information Systems	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Information Systems	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Information Systems	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Information Systems	2007-1723	PLANS, IT SECURITY Evaluations on security of computer systems concerning protection against unauthorized access, disclosure, or modification of data & protection against loss of data due to security breaches & /or sabotage. Includes initial security evaluation, periodic evaluations, special evaluations, system upgrade & modification documents, security logs & reports.	Until Superseded + 6 Years	HC EL		NRS 239C.210, NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Information Systems	2007-1361	PLANS, OPERATING SYSTEM AND HARDWARE CONVERSION Replacement of equipment or computer operating systems due to hardware / software obsolescence or maintenance, & should be part of regular migration or conversion schedule built into design of system.	3 Years	HC EL		
UMC - Information Systems	2007-1356	PRINTOUTS, PRINT FILES, OR MASTER FILE EXTRACTS Files containing only information extracted from a master file or database when original information remains on master file or database.	Administratively Useful	HC EL		
UMC - Information Systems	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Information Systems	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Information Systems	2007-1726	REVIEWS, REPORTS AND LOGS, IT SECURITY Audits of policies & procedures created to control physical access to IT systems, controls over environmental functions within computer facilities, reports of security breaches & suspicious activities. Includes authorized visitor log, physical security reviews, environmental controls reviews, Annual Internal Compliance Reviews, Security Breach Reports, Reports of Suspicious Activities, Reports of Suspected Violations, checklists, reports to management.		HC EL		NRS 239C.210, NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Information Systems	2007-1344	SCHEDULING RECORDS, COMPUTER RUNS Scheduled computer runs includes running daily reports, request and other successful data runs.	1 Year	EL		
UMC - Information Systems	2007-1349	SECURITY RECORDS, COMPUTER SYSTEMS Records used to control or monitor security of system and data. Includes systems event logs, network monitor management tools, intrusion detection logs, firewall logs, auditing logs and other security logs.	Until Superseded + 6 Years	EL		Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Information Systems	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - Information Systems	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Information Systems		TELEPHONE REPORTS Documents call activity, revenues, long distance authorizations, audits, traffic and rate table analysis.	Administratively Useful	HC		
UMC - Information Systems	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Information Systems	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Information Systems	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Materials Management & Contracts	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Materials Management & Contracts	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (Department copies. Official record copy at Human Resources.)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Materials Management & Contracts		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Materials Management & Contracts	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Materials Management & Contracts	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
UMC - Materials Management & Contracts	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Materials Management & Contracts	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Materials Management & Contracts	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Materials Management & Contracts	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Materials Management & Contracts	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Materials Management & Contracts	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1)(2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Materials Management & Contracts		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
UMC - Materials Management & Contracts	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Materials Management & Contracts	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Materials Management & Contracts	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Materials Management & Contracts	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Materials Management & Contracts	2007-0371	PURCHASE ORDERS/REQUISITIONS, NON SURGICAL IMPLANT ITEMS Purchase orders, purchase requisitions, vendor invoices for goods and services, not including for devices surgically implanted into patients.	Audit Clearance + 1 Year	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Materials Management & Contracts		PURCHASE ORDERS/REQUISITIONS, SURGICAL IMPLANT ITEMS Purchase orders, purchase requisitions, vendor invoices for devices surgically implanted into patients.	10 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.530 Contains HIPAA information. Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-1302	RECEIVING RECORDS Packing slips, manifests outbound shipping records and other records documenting receipt of goods & services. Used for back up information for Received Purchase Orders.	Audit Clearance + 1 Year	HC		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Materials Management & Contracts	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Materials Management & Contracts	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - Materials Management & Contracts	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Materials Management & Contracts	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Materials Management & Contracts	2007-0079	VEHICLE MAINTENANCE & REPAIR RECORDS Documents maintenance & repairs of owned or leased vehicles. Records used to provide maintenance & repair history.	Life of Asset + 3 Years	HC		
UMC - Medical Staff	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Medical Staff	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Medical Staff	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Medical Staff	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Medical Staff		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Medical Staff	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Medical Staff	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Medical Staff	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
UMC - Medical Staff	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Medical Staff	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Medical Staff		CASE FILES, PHYSICIAN PRIVILEGES Notes and dictations required for physicians to obtain or maintain privileges. Some documentation provided is from other hospitals.	Expiration of Privileges + 5 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) 45CFR164.501 Security Destruction, see notes.
UMC - Medical Staff	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Medical Staff	2007-0701	CONSTITUTION AND BYLAWS Bylaws, Rules and Regulations, Credentials Manual, Fair Hearing Plan, Officers & Ores Manual and Allied Health Manual.	PERMANENT	HC EL		
UMC - Medical Staff	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Medical Staff	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Medical Staff	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Medical Staff	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Board of Trustees memos that include all credentialing actions and bylaws revisions.	PERMANENT	HC EL		
UMC - Medical Staff	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
UMC - Medical Staff	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
UMC - Medical Staff		CREDENTIALING RECORDS - PHYSICIANS, ALLIED HEALTH PROVIDERS, AND OBSERVERS Credentialing paperwork for all physicians and allied health staff; includes verifications, databank, OIG, license verification, peer references, TB tests, and training	PERMANENT	HC EL		NRS 205.4617, NAC 239.165 (1) (2) 45CFR164.501, 45CFR164.528 Security Destruction, see notes.
UMC - Medical Staff	2007-0008	DIRECTIVES OF MANAGER Executive orders, Bulletins and advisories, Directives, Policy statements, Notes on policy and procedures. Related correspondence. Similar documents	PERMANENT	HC EL		
UMC - Medical Staff		ELECTION RECORDS, DEPARTMENT Election materials for department elections, Chief of Staff, Vice-Chief of Staff, Secretary/Treasurer, and Member at Large positions.	2 Years	HC EL		
UMC - Medical Staff	2007-0058	EMPLOYEE PERSONNEL FILES (Department copies. Official record copy at Human Resources.) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Medical Staff		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Medical Staff	2007-0312	FAIR HEARING RECORDS, PHYSICIANS Hearing materials, transcripts, correspondence related to Fair Hearings requested by physicians.	PERMANENT	HC EL		NRS 205.4617, NAC 239.165 (1) (2) 45CFR164.501, 45CFR164.528 Security Destruction, see notes.
UMC - Medical Staff		HIPAA ACKNOWLEDGEMENTS BY HEALTH CARE PROVIDERS Signed acknowledgements by physicians to ensure HIPAA compliance	Termination + 6 Years	HC EL		NAC 239.165 (1) (2), 45CFR164.316, 45CFR164.501 Security Destruction, see notes.
UMC - Medical Staff		LEAVE REQUESTS, EMPLOYEE (Department copies. Official record copy at Human Resources.) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Medical Staff	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Medical Staff	2007-1243	MEETING RECORDS, DEPARTMENTS AND COMMITTEES Documents actions and discussion transpiring at department and committee meetings. Allied Health Practice, Ambulatory Care, Anesthesia, Burn Care, Cancer Control, Credentials Committee, Emergency Department, Family Practice, General Staff, Hand Department, Medical Staff Meetings, Medicine, Neurosurgery, Ob/Gyn, Orthopaedic Department, Pathology, Pediatrics, Surgery, Radiology	Permanent OR Retain for 5 Calendar Years from date of meeting and transfer records to a facility described in NAC 239.850 (1)(b) for continued public access and archival	HC EL		The determination on whether an ad hoc committee is a "Public Body" and subject to the open meeting law should be made by your agency legal counsel.
UMC - Medical Staff	2007-0107	MEETING RECORDS, INSTITUTIONAL REVIEW BOARD IRB Meeting Minutes, IRB Protocols	PERMANENT	HC EL		
UMC - Medical Staff	2007-0107	MEETING RECORDS, MEDICAL EXECUTIVE COMMITTEE MEC minutes, agendas, other departmental minutes, and correspondence related to the Medical Executive Committee meetings	PERMANENT	HC EL		
UMC - Medical Staff	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Medical Staff	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Medical Staff	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Medical Staff		PHYSICIAN ON-CALL SCHEDULES Lists physicians on call for the hospital for each specialty: Surgery Department, Burn Care, Emergency Department, Hand Department, Neonatal/Nursery, Medicine Department, Neurosurgery Department, Orthopaedic Department	10 Years	HC EL		NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Medical Staff	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity	Administratively Useful	HC		
UMC - Medical Staff	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Medical Staff	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - Medical Staff	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Medical Staff	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Medical Staff	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Medical Staff	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Pathology / Laboratory	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Pathology / Laboratory	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pathology / Laboratory		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Pathology / Laboratory	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Pathology / Laboratory	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0692	BLOOD BANK RECORDS Donor information, processing records, storage and distribution records, compatibility testing reports, quality control records, transfusion reaction reports and complaints, and general records.	6 Years, OR 6 Months after expiration date for individual product, whichever longer. See NOTE.	EL		NRS 205.4617, NAC 239.165 (1) (2), NRS 460.030, 45CFR164.528, 48CFR164.501 NOTE: When no expiration date exists, records must be retained Permanently. Contains HIPAA information. Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
UMC - Pathology / Laboratory	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Pathology / Laboratory	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Pathology / Laboratory	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0244	COMPUTER VALIDATIONS To test a new program and validate that it functions appropriately and fits the needs of the laboratory. Includes departmental screen prints of software validation, Printed patient charts, lab orders and results, billing audits, Medical device interface, Foreign system interface validations	Life of Asset + 6 Years	HC		45CFR164.310, NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.528, 48CFR164.501 Contains HIPAA information. Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Pathology / Laboratory		CORONER'S DISCLOSURE SHEET Document to request deceased patient's lab specimens and/or results.	2 Years	HC		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.528, 45CFR164.501, 45CFR164.512(g) Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
UMC - Pathology / Laboratory	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Pathology / Laboratory	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Pathology / Laboratory		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Pathology / Laboratory	2007-0064	HAZARDOUS MATERIAL SAFETY FILE This record series is used to provide information on hazardous materials stored, manufactured or used by the agency as part of the Hazard Communication Program. This series includes material safety data sheets (MSDS) and a listing of hazardous material in the workplace.	30 Years	HC		29CFR1910 .1020

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Pathology / Laboratory	2007-1667	HEALTH INFORMATION DISCLOSURE FILES Document disclosure and/or denial of access to patient medical records in custody of local government owned or operated hospitals or medical facilities in accordance with state and federal law. Includes Patient request for laboratory confidential information, federal and state forms, release of information forms, requests for confidential information, requests to amend records, denials, appeals, copies of medical records, investigative reports, determinations	6 Years	HC		45CFR160.103, 45CFR165.310(d), 45CFR164.530(c) Contains HIPAA information Security Destruction, see notes.
UMC - Pathology / Laboratory		LAB TEST ORDER REQUISITIONS Allows physicians to order laboratory tests.	2 Years	HC EL		42CFR493.1105 NRS 205.4617, NAC 239.165 (1) (2). Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-1484	LABORATORY EQUIPMENT REPAIR AND MAINTENANCE RECORDS Maintenance, service, and repair of equipment/instruments used to conduct toxicology, histology, and similar procedures.	Life of Asset + 3 Years	HC EL		42CFR493.1105
UMC - Pathology / Laboratory		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Pathology / Laboratory	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Pathology / Laboratory		PATIENT LABORATORY TEST RECORDS, <u>ANATOMIC PATHOLOGY</u> To inform the physician and other health care providers of a patient's laboratory results for diagnostic purposes.	10 Years after date of reporting	HC EL		42CFR493.1105 NRS 205.4617, NAC 239.165 (1) (2). 45CFR164.528, 45CFR164.501 Contains HIPAA information. Security Destruction, see notes.
UMC - Pathology / Laboratory		PATIENT LABORATORY TEST RECORDS, <u>OTHER</u> To inform the physician and other health care providers of a patient's laboratory results for diagnostic purposes.	6 Years after date of reporting	HC EL		42CFR493.1105 NRS 205.4617, NAC 239.165 (1) (2). 45CFR164.528, 45CFR164.501 Contains HIPAA information. Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Pathology / Laboratory		QUALITY CONTROL DOCUMENTATION To record the Quality Control activities performed by the lab to insure laboratory testing is accurate and precise. Includes temperature logs, QC of department lab tests	2 Years	HC EL		42CFR493.1105

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Pathology / Laboratory	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Pathology / Laboratory	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Pathology / Laboratory	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - Pathology / Laboratory	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Pathology / Laboratory	2007-1281	SUMMONS & SUBPOENAS Documents received by individuals in their official capacity as local government employees, requiring their appearance at a specified place, date and time. To request patient information and actual specimens for legal purposes. Attorney letter of request for tissue blocks, Attorney request for slides, Attorney request for patient results, subpoena for patient records.	Closure + 1 Year	HC		
UMC - Pathology / Laboratory	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pathology / Laboratory	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Patient Accounting	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Patient Accounting	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Patient Accounting	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Patient Accounting	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Patient Accounting		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Patient Accounting	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Patient Accounting	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Patient Accounting	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
UMC - Patient Accounting	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Patient Accounting	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Patient Accounting	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Patient Accounting	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Patient Accounting	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Patient Accounting	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Patient Accounting	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Patient Accounting	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Patient Accounting	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Patient Accounting		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Patient Accounting	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Patient Accounting	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Patient Accounting		MONTHLY PATIENT ACCOUNTING FINANCIAL REPORTS These reports are used intra-departmentally for analysis, fiscal reporting, trend tracking, identification of appropriate payment from payors, identification of over/underpayment on accounts, assignment of special projects, discrepancy tracking, appropriate action/billing from vendors, and other job functions relating to monitoring of accounts.	Audit Clearance	HC EL		NRS 205.4617, NAC 239.165 (1) (2), 48CFR164.501 Security Destruction, see notes
UMC - Patient Accounting	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Patient Accounting	2007-0722	PATIENT ACCOUNT BILLING RECORDS Submission of claims to appropriate payors such as, but not limited to Commercial, Managed Care, Clark County Social Services, Victims of Crime, Medicare, Medicaid (in-state & out of state) Worker's Comp, Tri-Care, Veterans Administration, Indian Health Service, Champva, Indigent Accident Fund, Women's Health Connection & Other for services rendered. EOB's and R/A's are used to show how a claim was processed and how payment is received.	Settlement + 6 Fiscal Years OR Written off + 6 Fiscal Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.528, 48CFR164.501 Contains HIPAA information. Security Destruction, see notes.
UMC - Patient Accounting	2007-0722	PATIENT ACCOUNT DISPUTE RECORDS All correspondence used as a form of communication for account resolution, between UMC the patient, vendor, insurance company, agency, attorneys, physicians and staff. Includes Incoming Mail (Patient, Insurance, Vendor), Outgoing Mail (Patient, Insurance, Vendor), Appeals, Written Correspondence, Settlement Letters, Notice of Default, Batch Cover Sheet, Fax Cover Sheet, Emails, Green Cards, Certified Mail, Balance Inquires, Faxes, Legal Correspondence, Patient Complaints, etc.	Settlement + 6 Fiscal Years OR Written off + 6 Fiscal Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.528, 48CFR164.501 Contains HIPAA information. Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Patient Accounting	2007-0722	PATIENT ACCOUNT LEGAL FILES Records used to resolve patient account balances where there is an alternate pay source other than a health insurance carrier. All records are subject to production of documents in discovery process in event litigation arises. Includes bankruptcy files, custodian of records, pleadings, subpoenas, depositions & notice of depositions, memorandums - D.A., interpleader actions, liability liens, lien/special lien releases, logs, property liens, collection notices, notice of intent to lien real property, probate, creditors' claims, foreclosure notices, release & satisfactions, filing fee check requests, reduction requests, checks, title company / attorney demands	Settlement + 6 Fiscal Years OR Written off + 6 Fiscal Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.528, 48CFR164.501 Contains HIPAA information. Security Destruction, see notes.
UMC - Patient Accounting	2007-1316	PATIENT REFUND RECORDS Documents credits or refunds to patients for overpayment. May include amount of overage, cause of overage, written request for refund, and related correspondence.	Fiscal Yearend + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.528, 48CFR164.501 May contain HIPAA information. Security Destruction, see notes. General Accounting -A/P also contains this record, so the retention periods need to match.
UMC - Patient Accounting	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Patient Accounting	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Patient Accounting	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Patient Accounting	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Patient Accounting	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
UMC - Patient Accounting	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Patient Accounting	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Patient Accounting	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Patient Accounting	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.)</i> Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pharmacy	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.)</i> Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pharmacy	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Pharmacy	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Pharmacy	2007-0732	ANNUAL INSPECTION RECORDS – NEVADA STATE BOARD OF PHARMACY Results of annual inspections.	2 Years after the date of issue.	HC		NAC639.025 Official copy on file at Nevada State Board of Pharmacy.
UMC - Pharmacy	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.)</i>	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pharmacy		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Pharmacy	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Pharmacy	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.)</i> Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Pharmacy	2007-0722	BILLING RECORDS, PATIENT ACCOUNTS Submission of claims to appropriate payors such as, but not limited to Commercial, Managed Care, Clark County Social Services, Victims of Crime, Medicare, Medicaid (in-state & out of state) Worker's Comp, Tri-Care, Veterans Administration, Indian Health Service, Champva, Indigent Accident Fund, Women's Health Connection & Other for services rendered. EOB's and R/A's are used to show how a claim was processed and how payment is received.	Settlement + 6 Fiscal Years OR Written off + 6 Fiscal Years	EL		NRS 205.4617, NAC 239.165 (1) (2) 45CFR164.501, 45CFR164.528 Contains HIPAA information. Security Destruction, see notes.
UMC - Pharmacy	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.)</i> Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
UMC - Pharmacy	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
UMC - Pharmacy	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.)</i> Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Pharmacy	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pharmacy		COMPLIANCE REPORTING Pharmacy tracking of corporate compliance pertaining to department.	2 years	EL		NRS 205.4617, NAC 239.165 (1) (2) 45CFR164.501, NAC 639.505 Security Destruction, see notes.
UMC - Pharmacy	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Pharmacy	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Pharmacy	2007-0730	CONTROLLED SUBSTANCES TRACKING RECORDS Tracking of controlled substances through Pyxis and CII safe. CSAR sheets for downtime procedures. Reconciliation reports for anesthesia. Includes delivery sign sheets, Pyxis vs CII safe reconciliations, CSAR sheets, PCA documentation of administration, all station events for controlled substances, discrepancy resolution for CII safe.	2 Years	HC EL		21CFR1304.04, 21CFR1304.11, 21CFR1304.21, NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.501, 45CFR164.528 Security Destruction, see notes.
UMC - Pharmacy	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Pharmacy	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Pharmacy	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Pharmacy		DAILY STATISTICAL AND REVENUE REPORTS Monitors daily statistics and revenue sent from Mediware WORx to Siemens system.	Administratively Useful	HC EL		
UMC - Pharmacy	2007-0295	EMERGENCY PREPAREDNESS DOCUMENTS Plans to restore & maintain necessary business operations, protect public, & to safeguard vital records during emergency situations. May include hazard analysis records, first response procedures, emergency operations plans, incident response plans, disaster management & recovery plans, vital record plans, damage assessment plans, post disaster evaluation procedures, correspondence & related documents.	Until Superseded See NOTE	HC EL		NRS239C.250, NAC 239.165 (1) (2) NOTE: Retain one copy of superseded plans permanently for historical purposes. Security Destruction, see notes.
UMC - Pharmacy	2007-1290	EMPLOYEE DIRECTORIES, ROSTERS OR INDEXES Listings of current employees	Until Superseded	EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Pharmacy	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Pharmacy		EMPLOYEE WORK SCHEDULES	2 Years	HC		
UMC - Pharmacy		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Pharmacy		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pharmacy	2007-0837	LICENSES / CERTIFICATES, EMPLOYEE Licenses/certificates issued to employees by professional, educational, regulatory, or other agencies. These types of licenses/certificates are normally occupation specific (EMS, Peace Officer, Firefighter, Social Worker, Nurses, Engineers & similar professions) & are usually required as a condition of employment.	Expiration + 3 Years	HC		NRS 205.4617, NAC 239.165 (1) (2) NRS639.180 Security Destruction, see notes.
UMC - Pharmacy		LICENSES, DEA AND PHARMACY Current licenses granted to pharmacy from state and federal regulatory agencies.	Expiration	HC		NRS 205.4617, NAC 239.165 (1) (2), NRS639.180, NRS639.233 Security Destruction, see notes.
UMC - Pharmacy		LOGS, REFRIGERATOR Logs monitoring of refrigerator temperatures for medication storage.	3 Years	HC EL		
UMC - Pharmacy	2007-0733	LOGS, REPACKAGING OF MEDICATIONS Log documenting repackaging of controlled substance or dangerous drugs by pharmacy	2 Years	EL		NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Pharmacy		MEDICATION RECEIPT AND DISTRIBUTION RECORDS FOR INVESTIGATIONAL STUDIES Records of patients on investigational studies. Includes Patient medications, Patient lab results, etc.	Duration of Study	HC EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.501, 45CFR164.528 May contain HIPAA information. Security Destruction, see notes.
UMC - Pharmacy	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Pharmacy	2007-0731	NARCOTICS DESTRUCTION FORMS Destruction of controlled substances in accordance with state & federal law & may contain forms, reports, proof of destruction statements, correspondence, & related documents	2 Years	HC		NAC 239.165 (1) (2), 21CFR1304.33 Security Destruction, see notes.
UMC - Pharmacy	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Pharmacy		PARENTERAL NUTRITION RECORDS List of medications for both in-patient and ambulatory patients, and records of patient's parenteral nutrition.	2 years	EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.501, 45CFR164.528, NAC639.682, NRS 639.236, NRS 2358 May contain HIPAA information. Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Pharmacy		PATIENT MEDICATION PROFILES, INPATIENT List of medications for in-patients.	2 Years	EL		NOTE: hard copy maintained 25 years by HIM as part of patient chart. NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.501, 45CFR164.528, NAC639.682, NRS 639.2358, NRS 639.236 May contain HIPAA information. Security Destruction, see notes.
UMC - Pharmacy		PATIENT MEDICATION PROFILES, OUTPATIENT List of medications for out-patients.	3 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.501, 45CFR164.528, NAC639.682 May contain HIPAA information. Security Destruction, see notes.
UMC - Pharmacy		PATIENT ORDERS In Pyxis Connect system.	3 Months See NOTE	EL		NOTE: hard copy maintained 25 years by HIM as part of patient chart. NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.501, 45CFR164.528 Contains HIPAA information. Security Destruction, see notes.
UMC - Pharmacy	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Pharmacy	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Pharmacy		PRESCRIPTIONS For patient medications.	Last Refill + 2 Years	HC EL		NRS639.236, NRS639.238, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Pharmacy	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Pharmacy	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Pharmacy	2007-0734	REPORTS TO DRUG ENFORCEMENT ADMINISTRATION (DEA) RE: THEFT / LOSS OF CONTROLLED SUBSTANCES Reports to Drug Enforcement Administration (DEA) of any theft or significant loss of controlled substances.	2 Years	HC		NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Pharmacy	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - Pharmacy	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Pharmacy	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Pharmacy	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pharmacy	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Pharmacy		USP 797 DOCUMENTATION Documentation of compliance with USP 797 standards. Includes laminar flow hood certification, employee sterile technique testing, environment testing, terminal cleaning.	2 Years	EL		
UMC - Public Safety - Environmental	2007-0920	ACCIDENT REPORTS Accidents involving persons on hospital property; may or may not result in injury or death.	Calendar Yearend + 3 Years	HC		Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Public Safety - Environmental	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Public Safety - Environmental	2007-0651	AIR POLLUTION - INVENTORY OF EMISSIONS This series is a comprehensive listing, by source, of air pollutant emissions associated with a specific geographic area for a specific time interval.	PERMANENT	HC		
UMC - Public Safety - Environmental	2007-0677	AIR QUALITY COMPLIANCE REPORTING Documents compliance with federal and state law to monitor and collect ambient air quality data for pollutants deemed to be harmful by US Environmental Protection Agency. Includes Statistical reports documenting ambient air quality.	PERMANENT	HC		
UMC - Public Safety - Environmental	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Environmental		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Public Safety - Environmental	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Public Safety - Environmental	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Environmental	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
UMC - Public Safety - Environmental	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
UMC - Public Safety - Environmental	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Public Safety - Environmental	2007-1243b	COMMITTEE RECORDS, AD HOC (Not a Public Body) Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. These types of committees are usually formed for a specific and often temporary function, usually on an informal basis. Includes Agendas, Minutes, Reports, Working Papers, Correspondence	3 Years	HC EL		NOTE: The determination on whether an ad hoc committee is a "Public Body" & subject to open meeting law should be made by agency legal counsel.
UMC - Public Safety - Environmental	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Public Safety - Environmental	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
UMC - Public Safety - Environmental	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
UMC - Public Safety - Environmental	2007-1233	EMPLOYEE EXPOSURE REPORTS Reports completed when an employee is exposed to any hazardous materials.	Termination + 30 Years	HC		45CFR164.501, 45CFR164.528, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Environmental		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Public Safety - Environmental	2007-1703	EXPOSURE CONTROL RECORDS Documents exposure control activities designed to eliminate or minimize employee exposure to blood or other potentially infectious materials in accordance with OSHA standards.	Calendar Yearend + 3 Years	HC		NOTE: In accordance with 29 CFR 1910.1030 (c)(C)(iv) Exposure Control Plans must be reviewed & updated annually & whenever necessary to reflect new or modified tasks & procedures which affect occupational exposure & to reflect new or revised employee positions with occupational exposure. NAC 239.165 (1)(2), 45CFR164.501 HIPAA information requires Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-1475	FIRE PREVENTION EDUCATION PROGRAMS Documents and administers fire prevention education programs and similar outreach programs provided to employees.	Expiration + 1 Year	HC		
UMC - Public Safety - Environmental	2007-0600b	FIRE REPORTS, NOT ARSON/MINOR Reports and other records documenting fires and fire related incidents.	6 Years	HC		
UMC - Public Safety - Environmental	2007-0581	HAZARDOUS MATERIAL REFERENCE GUIDE Reference guide developed by State Fire Marshal in cooperation with local fire departments for use by state and local personnel responding to accidents and incidents involving hazardous materials.	Until Superseded	HC		
UMC - Public Safety - Environmental	2007-1480b	INCIDENT REPORTS, HAZARDOUS MATERIALS Investigation of hazardous material accidents or incidents including releases. May include incident reports, reports of personnel involved, cause reports, emergency response reports, clean-up operations reports, decontamination reports, follow-up reports, name & address of responsible party, correspondence, & related documentation.	30 years	HC		
UMC - Public Safety - Environmental	2007-0669	INSPECTION REPORTS, PUBLIC HEALTH Demonstrate compliance with public health laws in accordance with state law and regulation.	Calendar Yearend + 6 Years	HC		
UMC - Public Safety - Environmental		LEAVE REQUESTS, EMPLOYEE (Department copies. Official record copy at Human Resources.) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-0064	MATERIAL SAFETY DATA SHEETS For products and materials in use at the hospital.	30 Years	HC		29CFR1910.1200
UMC - Public Safety - Environmental	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Environmental	2007-0671	NOTICES OF VIOLATION Citations and notices of violation issued by health departments.	5 Years	HC		
UMC - Public Safety - Environmental	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Public Safety - Environmental	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-1482	PERMITS, HAZARDOUS MATERIAL STORAGE Permits for storage of hazardous materials and hazardous materials issued in accordance with state law/local ordinance.	Expiration + 5 Years	HC		
UMC - Public Safety - Environmental	2007-1444	PERMITS, SOLID WASTE - Denied, Incomplete or Withdrawn Applications never finalized for facilities that store, treat and/or dispose of solid materials in accordance with federal and state law and regulation.	Calendar Yearend + 3 Years	HC		
UMC - Public Safety - Environmental	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Public Safety - Environmental	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Public Safety - Environmental	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Public Safety - Environmental	2007-1491	REPORTS OF DRILLS Results of drills performed to instruct individuals in appropriate procedures to be followed in the event of an emergency.	2 Years	HC		
UMC - Public Safety - Environmental	2007-0721	SECURITY AND SAFETY INSPECTION RECORDS Inspection of hospital property for security, damage, preventive maintenance and other purposes.	Until Superseded + 1 Year	HC		
UMC - Public Safety - Environmental	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - Public Safety - Environmental	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Public Safety - Environmental	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Public Safety - Environmental	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Environmental	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Public Safety - Security	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Public Safety - Security	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Security		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Public Safety - Security	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Public Safety - Security	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Public Safety - Security	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
UMC - Public Safety - Security	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
UMC - Public Safety - Security	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Security	2007-1243	COMMITTEE RECORDS, AD HOC Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. i.e. - Building Enterprise Fund Advisory Committee (BEFAC);	If the ad hoc committee falls under the definition of a "Public Body" as described in NRS 241.015 (3) retain this series Permanently; or retain for a minimum period of five (5) calendar years from the date of the meeting and transfer the records to one of the facilities described in NAC 239.850 (1)(b), for continued public access and archival preservation. If the ad hoc committee does not fall under the definition of a "Public Body" retain this series for three (3) calendar years from the date of the record.	EL		The determination on whether a ad hoc committee is a "Public Body" and subject to the open meeting law should be made by your agency legal counsel.
UMC - Public Safety - Security	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Public Safety - Security	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Public Safety - Security	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Security	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Public Safety - Security	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Public Safety - Security	2007-0786b	DEPARTMENT OFFICER & SHIFT REPORTS, NOT ANNUAL Documents individual officer, shift, and other activity reports usually filed on a daily, weekly, or monthly basis. This series applies to various duties such as dispatch, confinement, investigation, and patrol.	Calendar Yearend + 2 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-1635	DISPATCH RECORDS Printouts or transmission logs maintained by emergency dispatch units. This series usually contains name of dispatcher, date and time call received, type of call (phone, radio, in-person) complainant name, address, phone number, nature of call, units dispatched, time dispatched, action taken, and related data.	1 Year	EL		
UMC - Public Safety - Security	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Public Safety - Security		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Public Safety - Security	2007-0817	FIREARMS QUALIFICATION RECORDS Firearm proficiency and qualification by individual law enforcement officers.	3 Years	EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-0816	FIREARMS REGISTRATION AND INVENTORY RECORDS Registration and inventory of firearms and weapons of law enforcement agencies.	Life of Asset + 3 Years	EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-1731	INCIDENT REPORTS Information from investigation of an incident through to an arrest (if one made). May include investigation files, case narrative, investigative notes, arrest information, copy of coroner's report, copy of autopsy report, victim information, witness statements, fingerprint cards, exhibits & evidence, crime lab requests & results, photos, recordings, diagrams, complaint reports, field notes, officer notes, background material, contact information, NCIC reports, suspect information, suspect statement, criminal history information, search warrants, line-ups, arrest & booking records, subpoenas & prosecution reports, copies of court documents, bulletins, teletypes, news releases, disposition, correspondence & related records.	Closure + 85 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Security	2007-0835	INCIDENT REPORTS, JUVENILE Information from investigation of an incident through to an arrest (if one made). May include investigation files, case narrative, investigative notes, arrest information, copy of coroner's report, copy of autopsy report, victim information, witness statements, fingerprint cards, exhibits & evidence, crime lab requests & results, photos, recordings, diagrams, complaint reports, field notes, officer notes, background material, contact information, NCIC reports, suspect information, suspect statement, criminal history information, search warrants, line-ups, arrest & booking records, subpoenas & prosecution reports, copies of court documents, bulletins, teletypes, news releases, disposition, correspondence & related records.	PERMANENT	HC EL		NOTE: Record sealed at age 24 or prior by court order.
UMC - Public Safety - Security	2007-1385	INSPECTION REPORT, EVIDENCE VAULT Inspection and inventory of evidence vaults, and includes spot checks and inspections.	Until Superseded + 3 Years	HC EL		
UMC - Public Safety - Security	2007-0788	INTERNAL AFFAIRS INVESTIGATION RECORDS Administrative investigations of peace officers. Includes complaint, cause statements, hearing records, transcript of interviews, officer's reply, audio and/or visual recordings, polygraph records, findings and recommendations.	Resolution + 3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-1457	INTERROGATION REPORTS Reports written by peace officer related to individuals (including gangs), events, or vehicles for which the officer <i>does not have probable cause</i> for enforcement. Information usually includes name and address of person contacted, physical description of person or vehicle, officer's name, location of contact, date and time, witnesses, reason for contact, correspondence, and related data.	1 Year	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-1454	LAW ENFORCEMENT BULLETINS Bulletins, circulars and similar records received from federal, state, and local law enforcement agencies, containing descriptions and photographs of wanted individuals, missing persons, or stolen property.	Administratively Useful	HC EL		Reference copies received from law enforcement agencies. NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-0796	LOG BOOK, CASE ASSIGNMENTS Documents case assignments to investigators	Calendar Yearend + 3 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-0747	LOGS, SECURITY Logs or reports which document activities of hospital security guards and/or security systems.	1 Year	HC EL		NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Security	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Public Safety - Security	2007-1461	PARKING CITATIONS ISSUED Tickets issued for meter violations and other parking infractions. Information may include date, time, license of vehicle, make and model year of vehicle, officer's name, place of violation, type of violation, ticket number, and similar information.	2 Years	EL		NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Public Safety - Security	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Public Safety - Security	2007-1506	PHOTOGRAPHS, LAW ENFORCEMENT Photographic images (stills, prints, negatives, slides, etc.) of crime scenes, accidents, domestic violence, property damage, property & similar photographs.	Same period as applicable incident / crime report	HC EL		NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Public Safety - Security	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Public Safety - Security	2007-1459	SPECIAL WATCH RECORDS Special and vacation watches performed by law enforcement at request of residents, business owners, and public.	Cancellation of the watch.	HC EL		Security Destruction, see notes.
UMC - Public Safety - Security	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - Public Safety - Security	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Public Safety - Security	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Public Safety - Security	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-0871	TRAINING RECORDS, LAW ENFORCEMENT Documents law enforcement employee development and training.	Termination + 5 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Public Safety - Security	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Security	2007-0880	VEHICLE MAINTENANCE AND REPAIR RECORDS Maintenance and repair history of vehicles used by law enforcement.	Life of Asset + 3 Years	HC		
UMC - Public Safety - Security	2007-0883	WEAPON DISCHARGE REPORTS Documents investigation of weapon discharges by law enforcement officers while in line of duty.	For reports resulting in disciplinary action-three (3) calendar years and add summary report to personnel file. For reports not resulting in disciplinary action three (3) calendar years from the date of	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes. These records may be destroyed earlier upon the order of a court of record, upon order of the law enforcement agency or through a labor agreement.
UMC - Public Safety - Transportation	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Transportation	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Public Safety - Transportation	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Public Safety - Transportation	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Transportation		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Public Safety - Transportation	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Public Safety - Transportation	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Public Safety - Transportation	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
UMC - Public Safety - Transportation	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
UMC - Public Safety - Transportation	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Transportation	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Transportation	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Public Safety - Transportation	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Public Safety - Transportation	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Public Safety - Transportation	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
UMC - Public Safety - Transportation	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Public Safety - Transportation	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Public Safety - Transportation		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset	HC		
UMC - Public Safety - Transportation	2007-1241	LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Transportation	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Public Safety - Transportation	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Public Safety - Transportation		PATIENT TRANSPORT SYSTEM RECORDS Data compiled to track all movement of patients, visitors, equipment, blood and specimens done by Central Transportation	3 Years	EL		NRS 205.4617, NAC 239.165 (1) (2), 45CFR164.501, Security Destruction, see notes.
UMC - Public Safety - Transportation	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Public Safety - Transportation	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Public Safety - Transportation	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Public Safety - Transportation	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Public Safety - Transportation	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
UMC - Public Safety - Transportation	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Public Safety - Transportation	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Public Safety - Transportation	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Public Safety - Transportation	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Radiology Services	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Radiology Services	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY <u>Periodic</u> operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Radiology Services	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Radiology Services	2007-0687	ANNUAL REPORTS TO HOSPITAL BOARD Reports, documenting various hospital program activities & accomplishments for previous year & may include statistics, narratives, graphs, diagrams, tabulations, correspondence & similar documents	PERMANENT	HC EL		
UMC - Radiology Services	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Radiology Services		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Radiology Services	2007-1256	AUDITS, PATIENT Reports documenting exams done on patients with reports and list of changes. Data may contain confidential, sensitive PHI	6 Years	HC EL		NAC 239.165 (1) (2), 45CFR164.501, 45CFR164.528 HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
UMC - Radiology Services	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Radiology Services	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners.	Fiscal Yearend + 5 Years	HC EL		
UMC - Radiology Services	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
UMC - Radiology Services	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Radiology Services	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Radiology Services	2007-0054	CONTRACTS & AGREEMENTS (Department copies) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Radiology Services	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Radiology Services	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Radiology Services	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		
UMC - Radiology Services	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes	Administratively Useful	HC EL		
UMC - Radiology Services	2007-0705a	DEPARTMENTAL REPORTS, ANNUAL Document various hospital department activities & accomplishments for the previous year & may include statistics, narratives, graphs, diagrams, tabulations, correspondence & similar documents	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Radiology Services	2007-0705b	DEPARTMENTAL REPORTS, NOT ANNUAL Reports document various hospital department activities & accomplishments & may include statistics, narratives, graphs, diagrams, tabulations, correspondence & similar documents	Audit Clearance	HC EL		
UMC - Radiology Services	2007-0058	EMPLOYEE PERSONNEL FILES (Department copies. Official record copy at Human Resources.) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Radiology Services	2007-1484	EQUIPMENT CALIBRATION AND TESTING RECORDS Reports, communications, documentation, compliance reports, work practice controls, supporting documentation & related correspondence	Life of Asset + 3 Years	HC EL		NAC459.712
UMC - Radiology Services	2007-0711	EQUIPMENT DEPRECIATION RECORDS Depreciation of hospital equipment. Includes cost reports, depreciation reports, etc.	Life of Asset + 3 Fiscal Years	HC		
UMC - Radiology Services		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Radiology Services	2007-0712	EQUIPMENT INSPECTION AND MAINTENANCE RECORDS Maintenance, service, and repair of equipment/instruments used to conduct procedures.	Life of Asset	HC EL		
UMC - Radiology Services	2007-0713	EQUIPMENT INVENTORIES Inventories of hospital equipment	Until Superseded	HC		
UMC - Radiology Services	2007-0714	EQUIPMENT LOCATION RECORDS Documents physical location of hospital equipment	Until Superseded	HC EL		
UMC - Radiology Services	2007-1703	EXPOSURE CONTROL RECORDS Activities designed to eliminate or minimize employee exposure to blood or other potentially infectious materials in accordance with OSHA standards. Files may contain, exposure control plans, exposure determination documentation, communication of hazards documentation, employee exposure training records, compliance reports, work practice controls, housekeeping records, informational reports, supporting documentation & related correspondence.	Calendar Yearend + 3 Years, See NOTE	HC EL		NOTE: In accordance with 29 CFR 1910.1030 (c) (C)(iv) Exposure Control Plans must be reviewed & updated annually & whenever necessary to reflect new or modified tasks & procedures which affect occupational exposure. NAC 239.165 (1) (2), 45CFR164.501 HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services	2007-1667	HEALTH INFORMATION DISCLOSURE RECORDS Disclosure and /or denial of access to patient medical records in the custody of local government owned or operated hospitals or medical facilities in accordance with state and Federal law. Includes amended records, denials, appeals, copies of medical records, investigative reports, determinations	Calendar Yearend + 6 Years	HC EL		45CFR164.501, 45CFR164.524, 5CFR164.528, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Radiology Services		HIPAA SAFE RECORDS Personal information is handled securely and confidentially. Access to personal information is limited to only those who need to know that information to provide support services to our patients. These persons are trained on importance of safeguarding this information and must comply with our procedures and applicable laws. Strict physical, electronic and procedural security standards are employed to protect personal information. This system is used to document who has requested health information.	6 Years	HC EL		45CFR164.316, 45CFR164.308, 5CFR164.501, 45CFR164.528, 45CFR164.530, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services	2007-1578	INFECTION CONTROL RECORDS Reports used in identifying, investigating & controlling infections & communicable diseases of patients & hospital personnel	Calendar Yearend + 6 Years	HC EL		45CFR164.501, 45CFR164.528, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services		LEAD APRON EXAMINATION RECORDS All lead aprons in the Hospital sent to Imaging Services Department to be examined and tested to assure that they provide proper protection to employees, physicians and patients	Life of Asset + 4 Years	EL		NRS41A.097
UMC - Radiology Services		LEAVE REQUESTS, EMPLOYEE (Department copies. Official record copy at Human Resources.) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Radiology Services		LOGS, DAILY PATIENT Written record of all patients done daily with exams and the physician that has ordered the test.	2 Years	HC		
UMC - Radiology Services	2007-0740	MAMMOGRAMS AND RELATED DOCUMENTS May include but is not limited to patient information, x-ray film, provider care information, radiologist's interpretation of film, & summary of results	Until Superseded + 5 Years OR 10 Years, IF no subsequent mammogram	HC EL		45CFR164.501, 45CFR164.528, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services	2007-0718	MEDICAL INFORMATION INDEXES Multiple indexes: physician's index, master patient index, operative index, dialogistic disease index & similar indexes.	Calendar Yearend + 6 Years	HC EL		45CFR164.501, 45CFR164.528, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Radiology Services	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Radiology Services	2007-0722	PATIENT ACCOUNTING RECORDS Patient account for Radiology & may include but is not limited to insurance information, payment information, correspondence & similar documents.	Settlement + 6 FY OR Written off + 6 Fiscal Years	HC EL		45CFR164.501, 45CFR164.528, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services	2007-0686	PATIENT APPOINTMENT SCHEDULES Scheduling of patient appointments for various treatments.	Calendar Yearend + 1 Year	EL		45CFR164.501, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Radiology Services	2007-0725	PATIENT MEDICAL RECORDS, INPATIENT AND OUTPATIENT Records of patient treatment in all areas of the hospital. Includes fetal strips, obstetrical care, emergency care, inpatient treatment, etc.	Termination + 25 Years	HC EL MI		NOTE: UMC is a research hospital and, as a result, is requesting a retention period of Termination of service + 25 Years. 45CFR164.501, 45CFR164.528, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Radiology Services		PATIENT TREATMENT SCHEDULE, ORDERS SYSTEM Systems used to get information to the departments to get procedures done on patients. Patient information is transmitted from department to department through orders; reports and images can be sent by computer. Includes Special procedures, Diagnostic x-ray, ultrasound, nuclear medicine, MRI, Cat Scan, mammography. Novious, AS-400, SpeechQ, Rtas, & PACS are systems used to assist with patient care.	6 Years	HC EL		45CFR164.501, 45CFR164.528, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Radiology Services	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Radiology Services	2007-0737	RADIOISOTOPES - RECEIPT, TRANSFER, USE, STORAGE, DELIVERY, DISPOSAL & OVEREXPOSURE REPORTS <i>Track radioisotopes from receipt through disposal</i>	Transfer / Disposal + 3 Years	HC		
UMC - Radiology Services		RADIOLOGICAL EXPOSURE CONTROL FILM BADGES Monitor exposure to radiation. Each Technician, Radiologist, Tech Aid, nursing staff is provided film badges to wear. These are collected monthly, shipped for examination and an exposure report is issued.	Termination + 30 Years	HC EL		29CFR1910.1020, 45CFR164.501, 45CFR164.528, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services		RADIOLOGICAL HEALTH CERTIFICATES Certificates are retained in a file with in Imaging Service Department as well as displayed on portable imaging equipment & in each of the Imaging Services Imaging rooms in each modality.	Expiration + 2 Years	HC EL		In accordance with requirements of Radiological Health Administrative code 450, State of Nevada
UMC - Radiology Services	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Radiology Services	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Radiology Services		SHARPS INJURY SHEET Documents injuries from contaminated "sharps". Sheet contains information on how incident took place, what instrument was used and all who were involved & other related information.	State requirement is to retain for Five (5) calendar years from the end of the calendar years to which the record pertains. Department policy is to retain for Termination + 6 Years	HC		29 CFR 1904.8, 45CFR164.501, 45CFR164.528, NAC 239.165 (1) (2) HIPAA information requires Security Destruction, see notes.
UMC - Radiology Services	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
UMC - Radiology Services	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Radiology Services	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Radiology Services	2007-0330	TRAINING RECORDS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Radiology Services	2007-1258	TRAVEL RECORDS (<i>Department copies. Official record copy at Comptroller.</i>) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Risk Management	2007-0046	ACCOUNTING RECORDS (<i>Department copies. Official record copy at UMC Financial Services – Accounting & Accounts Payable.</i>) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable).	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Risk Management	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Risk Management	2007-1558a	ACTIVITY REPORTS, ANNUAL <u>Annual</u> operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
UMC - Risk Management	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (<i>Department copies. Official record copy at Human Resources.</i>)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Risk Management		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
UMC - Risk Management	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship.	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Risk Management	2007-0050	BID RECORDS (<i>Department copies. Official record copy at Purchasing.</i>) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
UMC - Risk Management	2007-0003	BUDGET REQUEST, ANNUAL (<i>Department copies. Official record copy at County Clerk.</i>) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
UMC - Risk Management	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests	Audit Clearance	HC		
UMC - Risk Management	2007-0052	BUDGET, ADOPTED (<i>Department copies. Official record copy at Budget Financial Services.</i>) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
UMC - Risk Management	2007-0061	CLAIMS & INQUIRIES INVOLVING UMC Claims brought against UMC/Care Centers/Employees prior to formal litigation, being handled and/or managed by Risk Management. May involve patients, family members, visitors, government agency, or regulation bodies. These claims and/or inquiries may be denied or accepted and settled pre-litigation. Includes: attorney work product, research, correspondence - outgoing and incoming, E-mail, memos, invoices, billings, photos, witness statements, incident reports.	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Risk Management	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Disposition + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Risk Management		CONTRACT & AGREEMENT REVIEW FILES Department periodically reviews proposed and current contracts / agreements / memoranda of understanding entered into by UMC. Includes contract / agreement drafts and final, memorandum of understanding drafts and final, related correspondence, E-mails, and notes, etc.	Active	HC EL		NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Risk Management	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
UMC - Risk Management	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
UMC - Risk Management	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		
UMC - Risk Management	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Risk Management	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
UMC - Risk Management	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
UMC - Risk Management		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
UMC - Risk Management	2007-0062	INSURANCE POLICIES Records evidencing coverage of auto, property, EPLI, and flood insurance for UMC's Main Campus and/or Care Centers.	Expiration + 6 Years	HC EL		
UMC - Risk Management	2007-0331	INTERN/EXTERN FILES Risk Management intern/extern qualifications and/or evaluations. Includes: resumes, evaluations, statements of interest.	Termination + 3 Years	EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Risk Management		LEAVE REQUESTS, EMPLOYEE (<i>Department copies. Official record copy at Human Resources.</i>) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Risk Management	2007-0155	LITIGATION FILES Civil Lawsuits Involving UMC, Care Centers, and/or Employees. Cases filed in district and federal court against UMC/Care Centers / Employees being defended or managed by UMC Risk Management Department. Includes: pleadings, audio/video materials, attorney work product, research, related correspondence and emails - incoming and outgoing, memos, invoices/billings, witness statements, motions, responses, and exhibits, depositions, discovery requests and responses, trial memoranda and statements, hearing transcripts,	Disposition + 6 Years	HC EL		NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Risk Management	2007-1391	LITIGATION FILES, APPEALS State district or federal cases on appeal, including pleadings, applicable case file, notice of appeal, order of appellate court, related correspondence, memos, email, transcripts, attorney work product.	Disposition + 3 Years	HC EL		Original documents may be filed with the court or provided to other parties to the appeal. NRS 205.4617, NAC 239.165 (1) (2) Security Destruction, see notes.
UMC - Risk Management		LOSS RUNS Loss Runs are provided to auditor yearly, folded into other data provided by Controller, and used by auditors to prepare UMC's annual audit.	Fiscal Yearend + 3 Years			
UMC - Risk Management	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (<i>Department copies. Official record copy at County Clerk.</i>) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
UMC - Risk Management	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
UMC - Risk Management	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
UMC - Risk Management	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
UMC - Risk Management		PRODUCT RECALL RECORDS Manufacturer recall notices and response forms for products purchased and used by UMC.	6 Years	HC EL		
UMC - Risk Management	2007- 1254	REFERENCE FILES Periodic reports used solely for reference and information; these documents are not considered to be part of the office records	Administratively Useful			
UMC - Risk Management	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
UMC - Risk Management	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
UMC - Risk Management	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings	1 Year	HC EL		
UMC - Risk Management	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
UMC - Risk Management	2007-0155	THIRD PARTY SUBPOENAS AND NOTICES OF DEPOSITION These are for non-UMC litigated matters. These matters involve situations where UMC/the deponent is not a party to the action. They do not incur expenses or involve creation of a claim file	Closure + 1 Year	HC EL		
UMC - Risk Management	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
UMC - Risk Management	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.
UMC - Risk Management	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Water Reclamation	2007-0046	ACCOUNTING RECORDS (Department copies. Official record copy at Comptroller.) Document financial transactions and accounting functions (including Accounts Payable and Accounts Receivable)	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2) Security Destruction, see notes.
Water Reclamation	2007-1558b	ACTIVITY AND OPERATING REPORTS, WEEKLY / MONTHLY Periodic operating, statistical or financial reports detailing department activities.	2 Years	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)
Water Reclamation	2007-1558a	ACTIVITY REPORTS, ANNUAL Annual operating, statistical or financial reports detailing department activities.	PERMANENT	HC EL		NRS 239C.090, NRS 239C.210, NAC 239.165 (1)(2)

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Water Reclamation	2007-1592	ALTERNATE FUEL VEHICLE RECORDS Monthly reports to State Department of Conservation & Natural Resources.	3 Fiscal Years	HC EL		NAC 486A.180
Water Reclamation		ANALYST IDC Certificates of competence for analyst, required for a Lab permit	PERMANENT	HC EL		
Water Reclamation	2007-1654	ANNUAL STATEMENT TO STATE CONTROLLER Annual statement submitted to State Controller showing indebtedness of the agency, the amount of cash in agency, a careful estimate of value of all property owned by agency, aggregate value of real & personal property in agency.	5 Fiscal Years	HC EL		
Water Reclamation		ANNUAL/QUARTERLY REPORTS (COPIES) Synopsis of both POTW and Industrial Users. Original reports go to State of Nevada Dept. of Environmental Health. Copies also sent to USEPA Region 9	5 Years	HC EL		NAC 445A.256
Water Reclamation	2007-1292	APPLICATIONS & RESUMES, UNSOLICITED (Department copies. Official record copy at Human Resources.)	6 Months	HC		NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Water Reclamation		ASSOCIATION FILES Records of employee memberships in government and professional associations.	Administratively Useful	HC		
Water Reclamation	2007-1318	BALANCE SHEETS Report shows the assets, liabilities and fund balance of each fund. Printed monthly and at fiscal year end.	Audit Clearance	HC EL		
Water Reclamation	2007-1311	BANKING RECORDS Bank statements, deposit slips, cancelled checks, bank reconciliations, and similar records that document a banking relationship	Audit Clearance	HC EL		NRS 354.624, NAC 239.165 (1)(2)
Water Reclamation	2007-0050	BID RECORDS (Department copies. Official record copy at Purchasing.) Bids for supplies, equipment and/or services.	Administratively Useful	HC EL		17 USC sec.501 or trade secret 15 USC sec 5308 laws. NRS 332.061 defines the confidentiality of these types of records. Security Destruction, see notes.
Water Reclamation	2007-0003	BUDGET REQUEST, ANNUAL (Department copies. Official record copy at County Clerk.) Budget requests presented to Board of County Commissioners	Fiscal Yearend + 5 Years	HC EL		
Water Reclamation	2007-0053	BUDGET WORKPAPERS Used to assist in the preparation, review, and decision-making processes for department budget requests.	Audit Clearance	HC		
Water Reclamation	2007-0052	BUDGET, ADOPTED (Department copies. Official record copy at Budget Financial Services.) Copies of adopted budgets.	Audit Clearance + 1 Year	HC EL		
Water Reclamation	2007-0155	CASE FILES, CIVIL LITIGATION INVOLVING DISTRICT (Department Copies. Official copies of filed documents are maintained by Court.) Cases filed by County Civil Division or Cases brought against County/ County Agencies/Employees/METRO being defended by Civil Division. Civil Division represents all County agencies and Board of County Commissioners, and as otherwise required by law.	Disposition + 6 Years	HC EL		Security Destruction, see notes.

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Water Reclamation		CERTIFICATES OF INSURANCE Insurance information received from any vendors that are coming on site for maintenance or service agreements.	Expiration + 1 year	HC EL		
Water Reclamation	2007-1617	CHAIN OF CUSTODY RECORD Records tracing samples from collection through analysis.	5 Years	HC EL		
Water Reclamation	2007-0061	CLAIM FILES, INSURANCE Claims filed against County. These include personal injury, property damage, motor vehicle accident, false arrest, and others. Records include reports, photographs, summaries, reviews, notices, audio and videotapes, transcriptions of recorded statements, memoranda, correspondence, and related documents.	Disposition + 3 Fiscal Years	HC		Security Destruction, see notes.
Water Reclamation	2007-1547	CLAIMS AGAINST OTHERS This record series documents claims by county against public and insurance companies for recovery of costs for damage to governmental property. Includes repair estimates, police reports, statements, correspondence, work orders, memos, insurance info letters, invoices, dunning notice, photos, summaries.	Settlement + 6 Years OR 1 Fiscal Year after written off as uncollectible	HC EL		Security Destruction, see notes.
Water Reclamation	2007-1243b	COMMITTEE RECORDS, AD HOC (Not a Public Body) Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. These types of committees are usually formed for a specific and often temporary function, usually on an informal basis. Includes Agendas, Minutes, Reports, Working Documents, Correspondence.	3 Years	HC EL		
Water Reclamation	2007-1243a	COMMITTEE RECORDS, AD HOC (Public Body) Documents establishment, organization, membership, policies, activities, and accomplishments of ad hoc (internal, interagency, advisory, etc.) committees. i.e. - Recorder's Advisory Committee.	PERMANENT	EL		NRS 241.015 (3)
Water Reclamation	2007-0055	COMPLAINTS General complaints regarding department or its employees. May include name, address, & phone number of complainant, description of complaint, name of person responding to complaint, resolution of complaint, correspondence & related records. Includes electronic mail that communicates above.	Settlement + 3 Years	HC EL		NRS 11.190 (3)(d), NRS 11.190 (4)(e), NAC 239.165 (1)(2) Security Destruction, see notes.
Water Reclamation	2007-0054	CONTRACTS & AGREEMENTS (<i>Department copies</i>) For products and services administered by an agency, where the official record copy is maintained elsewhere.	Expiration + 1 Year	HC		Security Destruction, see notes.
Water Reclamation	2007-0474	CONTRACTS & AGREEMENTS (Official Record Copies) Contracts/agreements for Non-Capital products and services.	Expiration + 6 Years	HC		NRS 11.190 (1)(b) Security Destruction, see notes.
Water Reclamation	2007-1230	CONVENIENCE COPIES Board Minutes, Ordinances, Resolutions, Purchase Orders, Requisitions and other copies where official record is maintained by another department.	Administratively Useful	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Water Reclamation	2007-0007	CORRESPONDENCE, ADMINISTRATIVE Records not duplicated elsewhere that document how Department is organized, how it functions, and its patterns of action, policies, procedures, and achievements.	PERMANENT	HC EL		
Water Reclamation	2007-0056	CORRESPONDENCE, GENERAL & INQUIRIES Routine communications received or sent, that generally serves informational purposes.	Administratively Useful	HC EL		
Water Reclamation	2007-1036	COSTS OF CONSTRUCTION, ESTIMATED Documents estimated construction costs of proposed sanitation projects.	Termination + 3 Years	HC EL		
Water Reclamation		CUSTOMER TICKETS (CALL BEFORE YOU DIG) Tickets faxes and field marked.	6 Years	HC EL		NRS 455.110, NRS 455.115
Water Reclamation	2007-0433	DAILY CASH AND RECEIPTS REPORTS Daily cash transactions and may contain receipts, cashier's daily reports, cash balance reports, transmittal reports, and related documents. Includes QC/PC daily transactions, Main Cashier deposits, Credit Card transmittals, Customer Svc Deposits, Batch reports, Receipt copies.	Audit Clearance	HC EL		
Water Reclamation	2007-0433	DAILY CASH AND RECEIPTS REPORTS Daily cash transactions and may contain receipts, cashier's daily reports, cash balance reports, transmittal reports, and related documents. Includes QC/PC daily transactions, Main Cashier deposits, Credit Card transmittals, Customer Svc Deposits, Batch reports, Receipt copies.	Audit Clearance	HC EL		
Water Reclamation	2007-0712	DAILY INSPECTION, PHASE I & II FUEL Storage Forms, mandatory daily inspection records	Life of Asset	HC EL		
Water Reclamation	2007-0991	DESIGN AND CONSTRUCTION PROJECT FILES Documents design & construction projects. Files may contain copies of bid documents, award and endorsements records, applications and permits, contractor's bonds, preconstruction engineering reports, structural design calculations, specifications, plan check files, lab testing reports, utility and land surveys, notice to proceed, weekly status reports, inspector memos and reports, evaluations, construction field meeting reports, progress schedules, change orders/proposals, variances, easement and rights of-way documents, project orders, copies of plans; maps; blueprints; profiles; and as-built drawings, requests for information, guarantees, notice of completion, certificate of occupancy, copies of accounting records, photographs, memos, various forms and reports, related correspondence, and similar documents.	PERMANENT	EL		
Water Reclamation	2007-1018	DISCHARGE MONITORING REPORTS (DMR) A federally mandated form to report NPDES data to state.	12 Years	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Water Reclamation	2007-1038	DRAWINGS / BLUEPRINTS / MAPS / MYLARS / SPECIFICATIONS OF DISTRICT FACILITIES Plant system plans, drawings, blueprints, maps, mylars, and specification books.	PERMANENT	HC EL		
Water Reclamation	2007-0773	EASEMENTS Copies of legal instruments allowing right-of-way to make limited use of private property	PERMANENT	HC EL		
Water Reclamation		ELEVATOR PERMITS Permits for elevators.	Expiration + 6 Years	HC		NRS 455C.100, NAC 455C.140
Water Reclamation	2007-0058	EMPLOYEE PERSONNEL FILES (<i>Department copies. Official record copy at Human Resources.</i>) Administrative copy of master personnel file. May include FMLA information.	Termination + 1 Year	HC		NRS 239B.030, NRS 205.4617, NAC 239.165 (1) (2). Transfer to Human Resources for consolidation into official Personnel Record.
Water Reclamation	2007-0450	EMPLOYMENT TAX RECORDS Report collection, distribution, deposit, and transmittal of federal income taxes. Records may include 1099's, W-2's), W-9's, employers' quarterly federal tax return (941, 941E), tax deposit coupon (8109), & similar completed forms	Tax year in which taxes are due + 4 Years, OR date tax paid + 4 Years, whichever later	HC EL		
Water Reclamation		EQUIPMENT FILES Manuals, operating instructions, maintenance information, warranties, etc., for equipment purchased for department use or administered by department for public use.	Life of Asset + 3 Years	HC		
Water Reclamation	2007-1234	EXCESS, LOST AND STOLEN PROPERTY FILES Property in custody of county which has been lost, stolen, exchanged, or declared excess.	Calendar Yearend + 3 Years	HC		
Water Reclamation		FINANCING FILES Bond registers and records including short-term financing.	PERMANENT	HC EL		
Water Reclamation	2007-0261	FORMAL BID/RFP FILE Includes all documents need for a formal bid, i.e., bid, proposal, bids received etc.	Cancellation + 7 Years OR Expiration + 7 Years	HC EL		
Water Reclamation		FUEL PUMP LEAK TEST Annual mandatory test record	3 Years	HC EL		
Water Reclamation	2007-0442	GENERAL LEDGER Report run monthly and at year-end showing - fund, account number and description, reference number, transaction source and description and amounts (debit/credit/net).	PERMANENT	HC EL		
Water Reclamation	2007-0064	HAZARDOUS MATERIAL SAFETY FILE This record series is used to provide information on hazardous materials stored, manufactured or used by agency as part of Hazard Communication Program. This series includes material safety data sheets (MSDS) and a listing of hazardous material in workplace.	30 Years	HC		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Water Reclamation	2007-0669	INSPECTION REPORTS Used to review plans for compliance with public health laws in accordance with state law & regulation. Files may include blueprints, plans, maps, public notices, letters of approval or denial, complaints & investigation reports, copies of construction & occupancy permits, equipment standards, fee documents, hearing documentation, related correspondence & similar documents.	6 Years	HC EL		
Water Reclamation	2007-1040	INSPECTION REQUESTS, CONTRACTOR Requests from contractors for scheduled inspections	Completion + 3 Years	HC EL		
Water Reclamation	2007-0314	INSURANCE PLANS/PREMIUM FILES Insurance plan documents of benefits and premiums paid by employee.	Termination + 6 Years	HC EL		
Water Reclamation	2007-0062	INSURANCE POLICIES Terms & conditions of insurance policies between local government & insurers. Types of insurance may include liability, property, motor vehicle, flood, & others. Records include policies, endorsements, rate change notices, agent of record, related correspondence & similar documents.	Expiration + 6 Years	HC		
Water Reclamation	2007-0091	INVOICES - ACCOUNTS RECEIVABLE Invoices generated by Water Reclamation District business centers. Includes back-up billing information	Calendar Yearend + 5 Years	HC EL		
Water Reclamation	2007-0446	JOURNAL ENTRIES Internal forms used to post items to general ledger.	Fiscal Yearend + 6 Fiscal Years	HC EL		
Water Reclamation		LABORATORY BENCHSHEETS Original signed source document for bench work.	10 Years	HC EL		40CFR141.33
Water Reclamation	2007-1615	LABORATORY CERTIFICATION RECORDS Laboratory assessments & certification program reviews & may contain checklists, corrective action reports, final reports, certificates, proficiency testing (PT) study results, correspondence & related documents	6 Years OR Until next certificate data audit is complete, whichever longer	HC EL		
Water Reclamation	2007-1484	LABORATORY EQUIPMENT REPAIR AND MAINTENANCE RECORDS Maintenance, service, and repair of equipment/instruments used to conduct toxicology, histology, and similar procedures	Life of Asset + 3 Years	HC EL		
Water Reclamation		LATERALS Original copy of tie-in to District sewer system	PERMANENT	HC EL		
Water Reclamation		LEAVE REQUESTS, EMPLOYEE (Department copies. Official record copy at Human Resources.) May include FMLA information.	1 Year	HC EL		NRS 11.190 (3)(d), NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Water Reclamation	2007-0383	LEGAL NOTICES Documents compliance with state laws requiring public notice of governmental activities. May include affidavits of publication, certificates of mailing, affidavits of posting, public hearing notices, other required public or legal notices and similar documents	PERMANENT	HC EL		

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Water Reclamation	2007-1115	LEGAL OPINIONS Formal opinions rendered by Attorney General's office, District Attorney's office or other legal counsel. Opinions document rationale for local government policies and help maintain consistency in related issues.	PERMANENT	HC EL		
Water Reclamation	2007-1666b	LIENS AND RELEASES - MERCHANDISE OR SERVICES (COPIES) Documents liens filed for non-payment of taxes, services or merchandise in accordance with state/federal law. May contain notice of lien, refilling form, certificate of release, certificate of subordination, correction notices, certificate of non-attachment, certificate of revocation & reinstatement, certificate of withdrawal, copies of court documents, related correspondence & similar	Final Payment or Action + 6 Years	HC EL		
Water Reclamation		LOGS, DAILY OPERATING Daily operator logs with entries of operation, process and equipment failures and repairs.	2 Years	HC EL		
Water Reclamation	2007-1042	MAINTENANCE RECORDS (PLANT) Record of preventative and corrective maintenance work orders (CMMS).	Life of Asset + 3 Years	HC EL		
Water Reclamation	2007-1641	MEETING RECORDS, BOARD OF COUNTY COMMISSIONERS (Department copies. Official record copy at County Clerk.) Submissions for inclusion into Board meeting packets.	3 Years	HC EL		NRS 11.190 (3)(d)
Water Reclamation	2007-1533	MEETING RECORDS, BOARDS, COMMISSIONS, COUNCILS, AND STANDING COMMITTEES Original minutes of public and closed meetings, agendas, resolutions transcripts, attachments and exhibits, correspondence related to the meetings, announcements, proof of postings, proof of certified mailings, and similar materials.	PERMANENT	HC EL		
Water Reclamation		NOTICES OF VIOLATION (NOV's) Correspondence notifying of a discharge violation.	Settlement + 6 Years	HC EL		
Water Reclamation	2007-1620	NPDES ANNUAL REPORT A report to NDEP consisting of several requirements listed in NPDES permit.	Expiration + 5 Years	HC EL		
Water Reclamation		ODOR CONTROL Studies, memos and/or reports pertaining to odor control.	5 Years	HC EL		
Water Reclamation	2007-1609	OPERATION AND MAINTENANCE MANUALS Operation and maintenance manuals for public buildings, park structures, communication towers, road and paving improvements and other related construction projects.	Life of Asset	HC EL		
Water Reclamation	2007-0285	ORGANIZATIONAL CHARTS Department and organizational unit organization charts.	Until Superseded	HC EL		
Water Reclamation		OVERSIZE DEVELOPER REIMBURSEMENT FILE District reimbursements to developers for oversizing sewer lines.	Completion + 10 Years	HC EL		
Water Reclamation	2007-0449	PAYROLL INPUT DOCUMENTS Document and administer entry of employee time and attendance data into payroll system.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5(a), 29 CFR 516.6(a), NRS 608.115, NRS 11.190 (3)(d) Security Destruction, see notes.

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Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Water Reclamation	2007-1620	PERMIT, NATIONAL POLLUTION DISCHARGE ELIMINATION SYSTEM (NPDES) Application & Permits under Clean Water Act allowing discharge of specific pollutants under controlled conditions. May contain, but is not limited to, applications, permits, modifications, compliance reports, influent & effluent reports, chemical analysis reports, water flow records, test & recording reports, compliance schedules, inspection reports, related correspondence & similar documents.	Expiration + 5 Years	HC EL		
Water Reclamation	2007-1613	PERMITS Permits issued by Nevada Division of Environmental Protection and/or other regulatory body to discharge effluent. <u>Duration of permit is fixed & does not exceed 5 years</u>	Expiration + 6 Years	HC EL		
Water Reclamation		PERMITS, SDA Permits issued to allow connection to sewer system	Expiration + 6 Years	HC EL		NAC 444.784
Water Reclamation	2007-0897	PETTY CASH RECORDS Record and track reimbursements of minor purchases by staff for the benefit of department.	Audit Clearance	HC		NRS 354.624
Water Reclamation		PRETREATMENT QUARTERLY PRIORITY Pollutant Sampling Results. NPDES required testing that is contracted to private labs.	3 Years	HC EL		NAC 445A.251
Water Reclamation	2007-0995	PROJECT FILES, EXTERNAL AGENCY/DEVELOPER Projects initiated & administered by external agencies/developers such as NDOT, Army Corps of Engineers, NV Division of EPA & similar agencies. Files may contain requests for comment, responses, records documenting project need, letters of support, copies of plans, blueprints & drawings, related correspondence & similar documents.	Completion + 10 Years	HC		Security Destruction, see notes.
Water Reclamation	2007-1696	PROJECT REPORTS (PLANNING/DESIGN) Studies and Pre-Design Reports prepared by consultants	PERMANENT	HC EL		
Water Reclamation		PURCHASE ORDER POSTING AUDIT TRAIL Report shows vendor ID, invoice date, due date, invoice description, amount and account number. Used to balance purchase orders. Printed daily.	Audit Clearance	HC EL		
Water Reclamation	2007-1256	QUALITY ASSURANCE REVIEW AUDITS AND REPORTS Quality control reviews performed by an agency to check effectiveness of policies & procedures such as office security, training, safety, personnel, customer relations, emergency & similar procedures. Internal audit reports, supporting working papers, correspondence, investigative reports, checklists, copies of documents involved in review or audit, staff reviews, copies of policies & procedures, comparison reports, safety manuals, staff	Fiscal Yearend + 3 Years	HC		Security Destruction, see notes.
Water Reclamation	2007-0069	RECORDS DESTRUCTION CERTIFICATES Documentation of destruction of records in accordance with approved retention schedules	3 Years	HC		NRS 239.110

Media Abbreviations: EL-Electronic (magnetic/optical/etc.); HC-Hard Copy (paper/mylar/etc.); MI-Microform; OT-Other (specify)

Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Water Reclamation	2007-0073	RECORDS RETENTION SCHEDULE Listing of department records and mandated retention periods.	Until Superseded + 6 Years	HC		
Water Reclamation	2007-1254	REFERENCE FILES General information regarding products, methods and materials that may be used by the department. Not specific to any project or activity.	Administratively Useful	HC		
Water Reclamation	2007-1425	REFRIGERANT MANAGEMENT Records specified by federal government of changes to refrigerant components (hazardous materials).	3 Years	HC EL		
Water Reclamation	2007-0057	REGULATIONS, POLICIES & PROCEDURES, DEPARTMENT Document methods for accomplishing functions and activities assigned to department. May include Compliance information.	Expiration + 6 Years, OR Until Superseded + 6 Years	HC EL		NRS 11.190 (1)(b)
Water Reclamation	2007-1620	REPORTS (FLOW AND EFFLUENT) Influent flow, effluent flow, and effluent laboratory data used for discharge permit reporting.	Expiration + 5 Years	HC EL		
Water Reclamation		REQUESTS FOR QUOTATIONS (RFQ's) Quotes received for commodities.	7 Years	HC EL		
Water Reclamation		REVENUE/EXPENDITURE FINANCIAL STATEMENTS, ANNUAL Report showing revenues and expenditures along with budget and encumbrances for all funds. Printed at fiscal year end.	PERMANENT	HC EL		
Water Reclamation	2007-0080	ROOF WARRANTIES Warranty information on roofs.	Expiration + 1 Year	HC EL		
Water Reclamation	2007-1617	SAMPLE TAGS Original tags initialed by sampler.	5 Years	HC EL		
Water Reclamation		SAMPLING DATA (DISCHARGERS) Documents performance of industrial users.	5 Years	HC EL		
Water Reclamation		SAMPLING DATA (POTW) Documents performance of POTW.	PERMANENT	HC EL		
Water Reclamation		SDA'S AND APPLICATIONS Applications for connection to sewer svstem.	PERMANENT	HC EL		NAC 444.784
Water Reclamation	2007-0846	STAFF MEETING RECORDS Documents actions and activities taking place at internal staff meetings, team meetings, managers meetings, and other internal meetings.	1 Year	HC EL		
Water Reclamation	2007-1005	STUDIES Studies performed by outside consultants or in-house staff. Feasibility Studies, Consultant Reports.	PERMANENT	HC EL		
Water Reclamation	2007-0075	SUBJECT FILES Copies of correspondence where official record copy is filed elsewhere.	Administratively Useful	HC		
Water Reclamation	2007-0048	TIME & ATTENDANCE RECORDS, EMPLOYEE Documents hours worked and leave hours accrued or taken by employees on a daily, weekly, or monthly basis. May include FMLA information.	Fiscal Yearend + 3 Years	HC EL		29 CFR 516.5, NRS 11.190 (3)(d) Security Destruction, see notes.
Water Reclamation	2007-0330	TRAINING RECORDS, EMPLOYEE (Department copies. Official record copy at Human Resources.) Documentation and verification of individual employee training activities. May include HIPAA information.	Fiscal Yearend + 3 Years	HC EL		NAC 239.165 (1)(2) Security Destruction, see notes.

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Clark County Records Retention Schedules
March 2009

Department	LRDA	Record Title & Description	Total Retention	Media	Vital	Remarks
Water Reclamation		TRANSMITTAL TO RETURN SHOP DRAWINGS District construction shop drawings for developer collection lines.	Administratively Useful	HC EL		
Water Reclamation	2007-1258	TRAVEL RECORDS (Department copies. Official record copy at Comptroller.) Requests, authorizations, reimbursements, and other records related to employee travel.	Fiscal Yearend + 3 Years	HC		NRS 11.190 (3)(d), NRS 354.624, NRS 239B.030, NAC 239.165 (1)(2) Security Destruction, see notes.
Water Reclamation	2007-0079	VEHICLE MAINTENANCE HISTORY Detailed records of usage and service.	Life of Asset	HC EL		
Water Reclamation		VEHICLE TITLE AND REGISTRATION RECORDS Titles to district vehicles and vehicle registration information.	Life of Asset + 6 Years	HC EL		
Water Reclamation	2007-0294	VENDOR FILE LISTING Report printed at fiscal yearend shows vendor ID/name/address/phone number along with tax ID number and comments.	Until Superseded	HC EL		
Water Reclamation	2007-0379	VENDOR MASTER LIST Master list of vendors providing goods and services to County. May include vendor name, address, phone number, fax number, e-mail address, product and service information, vendor identification number, tax ID number, contact name, and related information.	Until Superseded	HC EL		
Water Reclamation	2007-0433	VENDOR PAYMENTS REPORT Report printed quarterly shows vendor id/name, payment description (i.e. invoice), check/eft number, payment date and amount.	Audit Clearance	HC EL		
Water Reclamation		WATER QUALITY STANDARDS Water quality standards for Las Vegas Wash and Lake Mead.	PERMANENT	HC EL		
Water Reclamation	2007-1620	WHOLE EFFLUENT TOXICITY TESTING Reports from contractors for chronic and acute toxicity testing.	Expiration + 5 Years	HC EL		
Water Reclamation		YEAR END WORKPAPERS Year end workpapers prepared in order to close books for fiscal year. Some schedules are also used by outside auditors.	Audit Clearance	HC EL		