

CCA RECORD RETENTION SCHEDULE

Facility Name	
Effective Date	

The facility will adhere to the Standard CCA Retention Period as indicated below unless contractual, legal, or regulatory requirements dictate otherwise. When requirements cause the retention period to be shorter than the CCA Retention Period, the CCA Retention Period will be used unless contractual, legal, or regulatory requirements prohibit extending the retention period. Audio/video records will be maintained in accordance with the related record category. Pelco recordings will be maintained in accordance with the practical limit of storage hardware or up to three (3) years.

Type of Record	Standard CCA Retention Period	Retention Period Extended or Shortened to (Due to contractual, legal, or regulatory requirements)	Reason for Extending or Shortening CCA Retention Period (Cite contract section, law, or regulation)
FACILITY RECORDS: OPERATIONAL RECORDS			
Shift Reports	3 Years		
Staffing Reports	3 Years		
Daily Reports	3 Years		
Post Assignments	3 Years		
Other Reports Regarding Daily Staffing	3 Years		
Vehicle Logs	3 Years from date of last entry		
Security Inspection Reports	3 Years		
Security Inspection Logs	3 Years from date of last entry		
Tool Control Logs	3 Years from date of last entry		
Post Order Logs	3 Years from date of last entry		
Key Control Logs	3 Years from date of last entry		
Receiving and Discharging Logs	3 Years from date of last entry		
Other Logs	3 Years from date of last entry		
Inmate/Resident Drug Testing Forms	3 Years		
Inmate/Resident Personal Property Loss Forms	3 Years		
Inmate/Resident Population Counts	3 Years		
Inmate/Resident Grievance Forms	3 Years		
Restraint Reports	3 Years		
Segregation Confinement Records	3 Years		
Disciplinary Records	3 Years		
Inmate/Resident Diet Orders	3 Years		
Security Equipment, Return of Equipment; Receipt Noting Return	3 Year		
Board of Hearing Officer Reports of Activities in Disciplinary Procedures	3 Years		
Other Similar Facility Operational Records	3 Years		
FACILITY RECORDS: FACILITY ACCOUNTING RECORDS			
Commissary Sales Records	6 Years		
Inmate/Resident Purchase Order Forms <i>NOTE: Hard copy forms completed by inmates/residents need only be retained</i>	6 Years		

CCA RECORD RETENTION SCHEDULE

Type of Record	Standard CCA Retention Period	Retention Period Extended or Shortened to (Due to contractual, legal, or regulatory requirements)	Reason for Extending or Shortening CCA Retention Period (Cite contract section, law, or regulation)
<i>for one (1) year if itemized information pertaining to the purchase is included in an electronic system.</i>			
Inmate/Resident Ledger Sheets	6 Years		
FACILITY RECORDS: INMATE/RESIDENT FILES			
Inmate/Resident Files	3 Years from the time of transfer or release		
Records of Withheld Correspondence for Inmates/Residents	3 Years		
Material or publications withheld from inmates/residents including the decision to deny the materials and any appeal (to include all corresponding forms/documentation)	6 Months following the appeal response unless otherwise indicated by the inmate/resident		
Clinical Files (i.e. Addictions Treatment)	5 Years		
FACILITY RECORDS: INMATE MEDICAL FILES			
Original Inmate/Resident Medical File	3 Years from the time of transfer or release		
FACILITY RECORDS: MAINTENANCE AND ARCHITECTURAL FILES			
As-Built and Shop Drawings	Permanent		
Initial Building Inspections and Fire Marshal Reports	Permanent		
Maintenance Reports	3 Years		
Sanitation Reports	3 Years		
Security Inspection Reports	3 Years		
Safety Documents for Personal Injuries	7 Years		
Facility Maintenance Work Requests	3 Years		
Other Reports Regarding Maintenance Checks	3 Years		
Logs of weekly inspections of fuel storage tanks.	3 Years from date of last entry		
Written performance claims by manufacturer of leak detection system.	5 Years from installation of leak detection system		
Equipment warranties	Life of warranty		
Fuel tank sampling results	3 Years		
Fuel tank tightness test results	Until next test date		
Records of calibration, maintenance, and repair of leak detection equipment including schedules of same.	5 Years from date of installation or 5 Years from last entry, whichever is longer		
Maintenance, repair, calibration or modification of lead detection system or storage	3 Years beyond the life of the fuel storage tank		
Registration, reports, and correspondence made to or from federal, state, or local agencies	Permanent		
Records of annual or other inspections conducted by manufacturers, trained professionals, or other persons	3 Years beyond the life of the fuel storage tank		
Copies of UST or AST Manuals and Contingency Spill Plans and	3 Years beyond the life of the fuel storage		

CCA RECORD RETENTION SCHEDULE

Type of Record	Standard CCA Retention Period	Retention Period Extended or Shortened to (Due to contractual, legal, or regulatory requirements)	Reason for Extending or Shortening CCA Retention Period (Cite contract section, law, or regulation)
Modifications	tank		
Records documenting any leak or abatement thereof	Permanent		
FACILITY RECORDS: FIRE/SAFETY AND OSHA REPORTS			
Fire Marshall Reports/ Inspections, Safety inspection Reports, Physical Plant inspections	3 Years or until replaced by subsequent report or inspection, whichever is longer		
Vendor Receipts documenting disposal of hazardous waste	7 Years		
Records relating to occupational illness and injuries to include First Report of Injury form	5 Years following the year to which they relate		
OSHA 300 Logs and Summaries	5 Years following the year to which they relate		
OSHA 101 Supplemental Records of Occupational Injury	5 Years following the year to which they relate		
Records of employee exposure to Bloodborne pathogens related to medical records and analyses	30 Years from last date of employment		
Records of employee vaccinations under Bloodborne Pathogen Plan	5 Years from termination of employment		
Records of training under Bloodborne Pathogen Plan	5 Years from termination of employment		
Annual fire or safety inspection reports	7 Years		
FACILITY RECORDS: COMMERCIAL MOTOR VEHICLE RECORDS			
Records related to registration, use, and maintenance of Commercial Motor Vehicles	3 Years		
FACILITY RECORDS: TRAINING FILES			
Individual Training File	3 Years from termination of employment		
Training Lesson Plans and Rosters	3 Years		
Monthly Training Report	3 Years		
FACILITY RECORDS: DETECTION CANINE DOCUMENTS			
Daily Service Dog Training and Evaluation Report	3 Years		
Narcotic Dog Daily Activity Report	3 Years		
Dates, times, and locations of all training session for the canine	3 Years		
Dates of completion of basic obedience training for the canine	3 Years		
Copies of all current certifications for the canine	3 Years		
Current tags and vaccinations for the canine	3 Years		
Reports, logs, and training records	3 Years		

CCA RECORD RETENTION SCHEDULE

Type of Record	Standard CCA Retention Period	Retention Period Extended or Shortened to (Due to contractual, legal, or regulatory requirements)	Reason for Extending or Shortening CCA Retention Period (Cite contract section, law, or regulation)
including the number of plants and finds for the dog, medical services to the dog, food purchased for and used by the dog, narcotics used for training the dog, detection activities, and all other activities involving the dog			
FACILITY RECORDS: AUDIT AND/OR ACCREDITATION FILES			
ACA and NCCHC Accreditation Documentation	6 Years from date of last entry		
Correspondence relating to audits by contracting or state/local agencies	Duration of the contract or 6 Years, whichever is longest		
FACILITY RECORDS: MISCELLANEOUS FACILITY FILES			
Records/files that do not fit into any of the above mentioned categories for Facility Records	3 Years		
INCIDENT REPORTING			
5-1 Incident Reports (Includes entire incident packet – Non-PREA)	3 Years		
5-1 Incident Reports (Includes entire incident packet – PREA)	10 Years		
Aggregated PREA Sexual Abuse Data	10 Years		
PREA INVESTIGATIONS			
PREA investigation files and written reports to be retained as long as the alleged abuser is incarcerated or employed plus five years	5 Years after inmate release or post-employment of alleged abuser		
CODE OF CONDUCT & PERSONNEL RECORDS			
Code of Conduct Acknowledgment Documents (to include any facility supplements)	6 Years from termination of employment		
Personnel files on each terminated employee which contains the name, address, date of birth, occupation, rate of pay, and compensation earned each week	3 Years from termination of employment		
Violations and Corrective Action (Problem Solving Notice)	3 Years from termination of employment		
Employee Grievances not associated with litigation or agency complaints	3 Years from termination of employment		
Personnel records of terminated employees who have filed agency complaints or lawsuits that are still pending	5 Years following close of case		
Records relating to hiring, promotion, demotion, transfer, and termination, including applications, resumes, selection for training, layoff, recall or discharge	3 Years from termination of employment		
Job Orders (Given to an employment agency to recruit personnel)	3 Years from date of recruiting or referral		

CCA RECORD RETENTION SCHEDULE

Type of Record	Standard CCA Retention Period	Retention Period Extended or Shortened to (Due to contractual, legal, or regulatory requirements)	Reason for Extending or Shortening CCA Retention Period (Cite contract section, law, or regulation)
Testing Materials (Completed by an applicant)	3 Years from termination of employment		
Job applications, applicant flow log, internal and external job posting, and any notices relating to job openings, or training programs – for those hired	3 Years from termination of employment		
Job applications, applicant flow log, internal and external job posting, and any notices relating to job openings, or training programs – for those <u>not</u> hired	2 Years following receipt of resume or application or employment interview, whichever is later		
Applicant flow logs for present and previous Affirmative Action Program years	2 Years from date created or personnel action, whichever is later		
W-4	8 Years		
Employee Leave and Attendance Record	3 Years from termination of employment		
Payroll Status Change Forms	3 Years from termination of employment		
ESOP and/or 401K Documents	3 Years from termination of employment		
Performance Appraisals	3 Years from termination of employment		
Insurance registration and claim forms	3 Years from termination of employment		
All correspondence related to employment	3 Years from termination of employment		
Medical records of employees	30 Years from last date of employment for employees exposed to toxic substance or bloodborne pathogen; 3 Years from last date of employment for all others		
PAYROLL RECORDS			
Time Records (Includes all basic time and earning cards/sheets, wage rate tables, straight time and overtime compensation, date of payment, birth date, sex, home address, and occupation)	5 Years		
Shift rosters or any work time schedules	3 Years		
Compensation records to show	State and local tax		

CCA RECORD RETENTION SCHEDULE

Type of Record	Standard CCA Retention Period	Retention Period Extended or Shortened to (Due to contractual, legal, or regulatory requirements)	Reason for Extending or Shortening CCA Retention Period (Cite contract section, law, or regulation)
compliance with FICA, FUTA, and income tax withholdings such as records of employment taxes and social security numbers, addresses, and occupation of employees	returns – permanent; other records 7 Years		
Records of employee and employer contribution and payments under CCA's retirement plan	6 Years following termination or expiration of plan		
Summary of records of contributions, years of service and benefits	6 Years following termination or expiration of plan		
JOB TRAINING PARTNERSHIP ACT (JTPA) FILES			
JTPA-funded participant record including adequate time and attendance records	3 Years following the annual expenditure report containing the final expenditures charged to the program year's allotment was submitted to the Labor Department		
WORKERS' COMPENSATION FILES			
Workers Compensation Files	3 Years from date of last employment		
INSURANCE AND BENEFITS RECORDS			
Insurance Policies	Permanent		
Benefit Plan Records and Group Disability Records	6 Years from termination or expiration of plan		
ACCOUNTING FILES/RECORDS			
Auditor Reports	Permanent		
Bank Deposit Slips and Statement	6 Years		
Cancelled Checks (General and Payroll)	6 Years		
Cancelled Checks (Tax Related)	Permanent		
Cash Disbursements Journal	Permanent		
Cash Receipts Journal	Permanent		
Contracts-Purchase and Sales	6 Years		
Credit Memos	6 Years		
Depreciation Records	Permanent		
Employee Expense Reports	6 Years		
Employee Payroll Records	6 Years		
Annual Financial Statements	Permanent		
Interim Financial Statements	3 Years		
General Journal	Permanent		
General Ledger	Permanent		
Inventory Lists	6 Years		
Invoices	6 Years		
Payroll Journal	6 Years		
Pension/Profit Sharing Records	Permanent		
IRS Approval Letter	Permanent		
Associated Ledgers and Generals	Permanent		

CCA RECORD RETENTION SCHEDULE

Type of Record	Standard CCA Retention Period	Retention Period Extended or Shortened to (Due to contractual, legal, or regulatory requirements)	Reason for Extending or Shortening CCA Retention Period (Cite contract section, law, or regulation)
Purchase Journal	Permanent		
Subsidiary Ledgers (Accounts Payable, Receivable, etc.)	6 Years		
Timecard and Daily Time Reports	3 Years		
Tax Returns and Cancelled Checks	Permanent		
Sales and Use Tax Returns	Permanent		
Payroll Tax Returns	6 Years		
Pension/Profit Sharing Informational Returns	Permanent		
FICA	6 Years		
Withholding Income Tax	6 Years		
Purchasing Records and Vending Information	6 Years		
ATF form 3310.4	5 Years from the date of disposition		
ATF Form 4473	20 Years from the date of disposition		
Notes and underlying documents for FSC tax reporting	6 Years		
RECORDS/FILES: POLICY AND PROCEDURE ARCHIVES			
CCA FSC and Facility Policy and Procedure archives	Permanent		
FSC MISCELLANEOUS			
Articles of incorporation, corporate bylaws, and corporate meeting minutes	Permanent		
Capital stocks and bond records	Permanent		
General Contracts	3 Years after expiration		
Contracts relating to inmate/resident transportation	3 Years after expiration		
Real Estate - Contracts, Active Leases, and Included Records	Permanent		
Real Estate - Expired Leases, and Included Records	6 Years after expiration of lease		
Real Estate - PSA's, Current or Sold Property	Permanent		
Real Estate - Documentation/Correspondence related to the purchase of the property; Zoning, Warranty Deed, Surveys, Site Plans, Topo Docs, Maps of the Property	Permanent		
Real Estate - Environmental Files- Geo Reports, ESA, Mitigation	Permanent		
Real Estate - Design documents, drawings, or related correspondence	Permanent		
Real Estate - General Construction Docs; Progress Reports, Photos, Punch Lists, Certificates of Substantial Completion, Certificate of Occupancy	Permanent		
Real Estate - Contractor/Architect's Payment Bonds, Performance Bonds, Insurance Certificates, Proposals	5 Years after performance, project, or payment is		

CCA RECORD RETENTION SCHEDULE

Type of Record	Standard CCA Retention Period	Retention Period Extended or Shortened to (Due to contractual, legal, or regulatory requirements)	Reason for Extending or Shortening CCA Retention Period (Cite contract section, law, or regulation)
	complete		
Real Estate - Architects/ Contractor's Contract, ASI's, Amendments, Change Orders, Related Contract Documents	3 Years after expiration of Contract Term or warranty, whichever is longer		
Facility Management Contracts	Permanent		
Closed litigation files	5 Years after close of case		
Closed EEOC files	5 Years after close of case		
Legal correspondence with facilities on day-to-day operations	6 Years		
Legal correspondence with facilities relating to any item requiring permanent retention	Permanent		
Closed Department of Labor audit documentation	6 Years		
Closed OFCCP audit documentation	6 Years		
Drawings, blueprints, specifications relating to CCA facilities and facility contracts	Permanent		
Proposals and RFP's regardless if a contract was awarded. If a state has reinstated a proposal that has been archived in long-term storage, this proposal or RFP will be retrieved and stored according to the reinstatement date	3 Years		
Upon award of a management agreement, marketing files pertaining to that project	Permanent		
Marketing files pertaining to contracts not awarded	3 Years		
Files maintained at FSC related to the awarding of facility management contracts; including initial staffing documentation	Life of the Contract		
Files maintained at FSC related to day-to-day operations of the facilities, such as correspondence with contracting agencies	3 Years from date of correspondence		
Files maintained by FSC Inmate Programs Department relating to day-to-day facility operations	5 Years		
Records stored in an employee's work area on the date of the employee's termination from employment, which are either personal in nature or are duplicates of records retained by another custodian	6 Years from termination of employment		
Original footage used in marketing videos	3 Years		