
DSS Policy Bulletin #2019-005

(Replaces DSS-PB-2019-002)

Date: July 12, 2019

DISTRIBUTION: DSS/HRA/DHS VENDORS

**RECORD RETENTION AND PROTECTION OF CLIENT INFORMATION
FOR CONTRACTED PERSONNEL**

■ **REVISION**

This policy bulletin is being revised to add a reference to the DHS Client Confidentiality and Data Protection ([12-150](#)) specifically for DHS contractors.

■ **INTRODUCTION**

The purpose of this policy bulletin is to inform all Department of Social Services (DSS), Human Resources Administration (HRA) and Department of Homeless Services (DHS) vendors of their obligations as related to document retention and protection of HRA and DHS client Personally Identifiable Information (PII).

■ **POLICY**

Record Retention

Contractors must create, maintain and retain all books, records, documents, and any other evidence relevant to their Agreement, including but not limited to: documentation supporting the provision of services to clients, programmatic operations, and evidence of all direct and indirect costs of any nature expended in the performance of their Agreement with DSS/HRA/DHS, for six years after the final payment or expiration or termination of their Agreement, or for a period otherwise prescribed by Law, whichever is later. In addition, if any litigation, claim, or audit concerning their Agreement has commenced before the expiration of the six-year period, the books, records, documents, and other evidence must be retained until the completion of such litigation, claim, or audit. At expiration of the six years or at the termination of such litigation, claim or audit, the contractor must notify DSS/HRA/DHS prior to destruction of any records. DSS/HRA/DHS may request the contractor to retain the records until the records can be retrieved by the City, if the City so desires.

Any books, records, documents, and other evidence that are created in an electronic format in the regular course of business may be retained in an electronic format. Any books, records, documents, or other evidence that are created in the regular course of business as a paper copy may be retained in an electronic format provided that they satisfy the requirements of N.Y. Civil Practice Law and Rules (“CPLR”) 4539(b), including the requirement that the reproduction is created in a manner “which does not permit additions, deletions, or changes without leaving a record of such additions, deletions, or changes.”

Personally Identifiable Information (PII)

Identifying Information collected and maintained by contractors in the course of providing services to DSS/HRA/DHS clients must be held as confidential and adequately safeguarded at all times. Identifying Information means any information obtained by contractors on behalf of DSS/HRA/DHS that may be used on its own or with other information to identify or locate an individual. Such information includes, but is not limited to, name, date of birth, SSN, sexual orientation, gender identity, race, eligibility for or receipt of public assistance or city services such as those provided by DSS/HRA/DHS, employment status, domestic violence history, shelter and housing history, substance use and/or alcohol use treatment history, employer information, current and previous home and work addresses, contact information such as phone number and email address, and any scheduled appointments with the contractor or DSS/HRA/DHS. Identifying Information may be collected directly from clients or DSS/HRA/DHS and may be contained in DSS/HRA/DHS or contractor electronic systems, files, and records, or paper or other media.

Any unauthorized disclosure of identifying information is harmful to our clients. It also harms both DSS/HRA/DHS and its contractors by causing the public to lose trust in their ability to protect such information. Improper disclosure of Identifying Information is often a violation of the law and can lead to financial liability for both DSS/HRA/DHS and contractors. For these reasons, access to and use of Identifying Information must be limited to the purposes set forth within each contractor’s respective Agreement with DSS/HRA/DHS. Prior to using and/or disclosing identifying information for any purpose outside the scope of their respective agreements, contractors must seek approval from the program. The program will review the request and forward to the DSS Office of Legal Affairs (OLA) with a recommendation and for OLA to review and approve prior to responding to the contractor. After the contract term, contractors should contact OLA directly at, friedlandl@dss.nyc.gov to receive approval. Contractors are further required to limit access to such information to authorized employees who require access to Identifying Information as part of their job responsibilities. Contractors are required to ensure that their employees remain aware of their continued duty to maintain the confidentiality of such information.

Additionally, contractors must use appropriate administrative, physical, and technical safeguards to prevent the misuse or unauthorized disclosure of any Identifying

Information, and pursuant to the terms of their Agreements, must notify DSS/HRA/DHS in the event of any unauthorized disclosure of Identifying Information.

■ REQUIRED ACTION

All contractors must adhere to the record retention time frames mentioned in the Policy section above and as identified in their specific contract with DSS/HRA/DHS.

All contractors are responsible for safeguarding the PII of the clients to whom HRA and/or DHS provide services and must comply with the DSS Confidentiality Policy as if they were employees of DSS. Guidelines for safeguarding the PII of HRA and/or DHS clients include, but are not limited to:

- Staff should be aware of the visibility of confidential data or information on their desks, computer screens and throughout their work areas. Confidential information should not be left unattended on staff desks or in other unsecured areas of the office.
- Employees should not discuss any confidential matter with anyone either in person or on the telephone unless the employee is acting in conjunction with his/her job requirements or is specifically authorized by his/her supervisor.
- When copying and scanning documents from a client file, staff should take only necessary documents to the copier/scanner. The remainder of the materials should be kept in the file folder and the file folder placed in a secure location.

All contractors are also required to comply with the DSS Data Security Incident Procedure as if they were DSS employees. A data security incident occurs when confidential information is disclosed to a third party without authorization, whether the disclosure is intentional or accidental. Examples of possible data security incidents include, but are not limited to:

- Loss, theft or improper disposal of hard copy documents that contain confidential and personally identifiable information, which relate to HRA and/or DHS clients.
- Misdirection of emails and faxes containing confidential information that are sent to unintended parties.
- Suspected instances of computer hacking.
- Unauthorized copying of confidential Agency information to personal electronic devices, such as routers, thumb drives, etc.
- Release of confidential information in response to a fraudulent email or telephone call.

All contractors must adhere to the record retention time frames mentioned in the Policy section above and as identified in their specific contract/agreement with DSS/HRA/DHS. In addition, the contractor recognizes that the Department is under a legal obligation to comply with the record retention schedule established by the Department of Record and Information Services (DORIS). This particularly applies to records in the contractor's possession that are deemed under the contract to be owned by the Department, for example client records. The contractor shall not destroy any such records unless it has obtained prior approval from the Department even in the event that it is determined the Department already has copies of the records in question.

If a contractor is closing their operations, they must inform their DSS/HRA/DHS contract/program contact for further guidance on the potential transfer of materials for retention after the closing.

Effective Immediately

ATTACHMENTS:

DSS Confidentiality Policy

DSS Data Security Incident Procedure

DHS Client Confidentiality and Data Protection Policy

HRA Records Retention Schedule Approved by DORIS

NYC Supplemental Records Retention and Disposition Schedule

CONFIDENTIALITY POLICY

TO: Distribution I Through IX

FROM: Steven Banks
Commissioner

I. INTRODUCTION

The following agency-wide confidentiality policy applies to all of the New York City Department of Social Services (DSS) staff which includes the Human Resources Administration (HRA) and the Department of Homeless Services (DHS).

In addition, each Program and Administrative area is responsible for developing specific confidentiality procedures related to the nature of the work it performs and the particular issues that may arise as a result of this work. These procedures will be reviewed by the Office of Legal Affairs prior to issuance and annually to ensure consistency with overall Agency policy and with individual offices that may have overlapping program responsibilities.

This policy and relevant area-specific confidentiality procedures will be given to each new employee and discussed during orientation.

This policy is to be used as a general guidance on confidentiality issues. However, DSS staff who have questions about whether information is confidential and/or to whom it may be disclosed are advised to consult their supervisors or the HRA Chief Data Privacy Officer.

Definition of Confidentiality

A confidential document is defined as a document that contains any information that is private, or not for public dissemination. For purposes of this policy, information is considered confidential when a federal, state, or local law or regulation, or directive, memorandum, judicial decree, order, stipulation, settlement or some type of pre-existing agreement deems it confidential. Most Agency records and all client records are confidential.

Federal, state, and local privacy statutes apply to the release of, and/or sharing of, certain demographic information including, but not limited to, social security numbers, addresses, financial and marital and health insurance status.

Confidentiality laws and regulations also govern the use and disclosure of the following types of information:

- 1) an individual's health, including mental health, status or treatment history;
- 2) an individual's HIV status;
- 3) that the individual has been diagnosed or treated for substance and/or alcohol use;
- 4) domestic violence history, address information for survivors of domestic violence, and location of domestic violence emergency residential programs;
- 5) that a particular individual has applied for, has received or currently is a recipient of public assistance, food stamps, Medicaid or other public assistance benefits;
- 6) immigration status;
- 7) an individual's involvement with child welfare services;
- 8) any case specific information related to enforcement of child support obligations or the establishment of paternity;
- 9) ID NYC applicant/recipient information; and/or
- 10) Information concerning an applicant for or recipient of adult protective services.

A data security incident occurs when confidential information is disclosed to a third party without authorization, whether the disclosure is intentional or accidental. In some cases, a data security incident may be considered a breach. Whether a disclosure constitutes a breach is a legal determination to be made by the DSS Office of Legal Affairs. In the event of a suspected unauthorized disclosure of confidential information, DSS staff should immediately report the incident to their supervisors, and refer to the DSS Data Security Incident Procedure: What to Do in the Event of an Unauthorized Disclosure and Breach Prevention Measure, Procedure No. 17-09, September 14, 2017, for further guidance.

Disclosing confidential information is harmful to DSS's clients. It also harms the Agency by causing the public to lose trust in the Agency's ability to protect confidential information. Improper disclosure of confidential information is often a violation of the law, and can lead to financial liability for the Agency.

Additionally, any employee who improperly or illegally discloses confidential information may be subject to civil fines, a private lawsuit or a criminal prosecution, and may also be subject to employee discipline or discharge. Employees and other staff are advised that the improper disclosure of confidential information will be deemed to be outside the employee's official duties and the City of New York may refuse to legally defend or indemnify any employee found guilty or liable for violation of the confidentiality or privacy laws.

DSS staff authorized to have access to confidential information, who may have questions about disclosing confidential information, are advised to contact the DSS Chief Data Privacy Officer in the Office of Legal Affairs.

II. PROGRAM AND ADMINISTRATIVE PROCEDURE GUIDELINES

Individual Program or Administrative confidentiality procedures will vary depending upon the nature of the work of the unit. The following are some of the issues that should be addressed in area specific procedures:

- Removal of identifying information from emails, faxes, letterhead, return addresses, caller ID information, or voice-mails that may inadvertently disclose information about a client.
- Handling confidential files/information at staff desks or work stations.
- Handling confidential files/information when making copies.
- Developing/implementing security procedures for storing electronic and non-electronic confidential files.
- Handling personnel files that contain medical notes or other confidential information.

- Determining to whom staff may disclose information concerning clients, and the types of information that may be released.
- Determining the appropriate staff to handle confidential information.
- Establishing procedures to limit access to confidential information by non-permanent employees, such as temporary workers, consultants and interns.
- Referring requests for confidential information or records to the appropriate DSS office.
- Destruction of records.
- Authorizing staff to take work home or to other locations.
- Loss, theft or improper disposal of Agency equipment, i.e mobile devices, Agency issued cell phones, CDS, thumb drives, portable devices, desktop computers, laptops, photocopiers, fax machines.
- Misdirection of emails and faxes containing confidential information sent to unintended parties.
- Electronic transmission of client confidential information and/or protected health information through secure methods such as encryption or File Transfer Protocol.

III. CONFIDENTIALITY ISSUES CONCERNING CLIENT INFORMATION

In addition to the instructions contained in the specific Administrative/Program policies, the following apply to all DSS staff:

Working with Client Files

DSS Staff are prohibited from accessing, reviewing, or working on case records pertaining to themselves, relatives, friends or acquaintances. If a staff member realizes that a case assigned to him/her involves him/herself, a relative, friend, or acquaintance, the staff member must advise the supervisor immediately, so that the case can be reassigned.

Staff should be aware of the visibility of confidential data or information on their desks, computer screens and throughout their work areas. Confidential information should not be left unattended on staff desks or in other unsecured areas of the office. When staff exit their work areas, they must take every precaution not to leave any confidential information where it may be visible or accessible.

Staff should log-off or lock their computer terminals when they are away from their workstations in order to ensure that no unauthorized person accesses information or performs unauthorized work from their computers.

Staff should avoid taking work home, especially client-related documents, unless it is the standard business practice of the assigned unit or permission is obtained from supervisors. Staff who are authorized to take work home (or e-mail electronic documents to their computer at home) are responsible for ensuring family members or other individuals do not view the documents. Staff should avoid using non-Agency issued equipment, personal email accounts and/or cloud based computing services to access confidential work related materials. Staff should avoid printing hard copies of documents from their home computers, and remain mindful of confidentiality issues at all times when taking work from the office.

HIPAA Rules

Under the federal Health Insurance Portability and Accountability Act (HIPAA) regulations, the Agency and its employees must ensure the privacy and security of all protected health information created, maintained, received or transmitted by the Agency. The term "protected health information" means information which (1) is created or received by HRA/DSS in its role as a administrator of the New York State Medicaid program.; (2) relates to the health condition of an individual, the provision of health care to an individual, or the payment for the provision of health care to an individual; and (3) identifies the individual or provides a reasonable basis to believe it can be used to identify an individual. In general, an employee may not use or disclose protected health information pertaining to a client of H R A / DSS except as permitted or required by HIPAA. For more information about HIPAA requirements and restrictions, please see the HRA HIPAA Privacy Policy and Forms Manual, available on HRA eDocs.

Releasing or Disclosing Information Concerning Clients

New York State laws authorize the dissemination of certain confidential information to appropriate parties for specified purposes. Additionally, certain information may be shared with states and agencies that provide similar assistance, in order to prevent duplication and fraud. To ensure clients are receiving appropriate services for which they legally qualify, the Agency may ask other people to confirm the information a client has already submitted to the Agency.

However, the authority to disclose confidential information in specific instances is limited to staff who are designated to handle this function as part of their job responsibilities. Those program areas which routinely have access to client information, including the Family Independence Administration, (FIA), the Medical Insurance and Community Services Administration (MICSA), the Home Care Services Program, the Office of Domestic Violence and Emergency Intervention Services (ODVEIS), the HIV/AIDS Services Administration (HASA), the Investigation, Revenue and Enforcement Administration (IREA), the IDNYC Program, Customized Assistance Services (CAS) and the Department of Homeless Services (DHS), will address confidentiality measures and the disclosure of information specific to their programs in their particular procedures.

Staff Communications

Staff members are prohibited from discussing clients and/or their cases in the presence of others not involved in the cases, and should be especially careful in public areas including elevators, restrooms and waiting areas.

Employees should not discuss any confidential matter with anyone either in person or on the telephone unless the employee is acting in conjunction with his/her job requirements or is specifically authorized by his/her supervisor. Moreover, discussions involving confidential information should be held in as private an area as possible, and in a volume so only those authorized to participate in the conversation can hear what is being discussed. If an employee has any question as to whether an individual is entitled to information, supervisory staff should be consulted before the information is disclosed.

DSS locations shall post signs to remind employees that information acquired during the course of work is not to be shared with other persons unless specifically authorized in writing or by their supervisor. The signs will also explain that disclosure of confidential information to unauthorized persons violates the law and DSS policy.

**IV. CONFIDENTIALITY CONCERNS WHEN DEALING WITH OUTSIDE
REQUESTS FOR INFORMATION**

Disclosing Client Information

Staff members who receive requests for confidential documents and information from applicants, recipients, relatives, law enforcement agencies, governmental agencies, or other entities must be cautioned that the disclosure by this Agency of confidential documents and information is subject both to legal restrictions and to Agency policies regarding the release of such information. Staff should review the email directive from Commissioner Steven Banks, dated March 3, 2017, regarding Confidentiality of Client Information.

In general, DSS's policy prohibits staff from disclosing confidential information to anyone outside the Agency, or to any DSS employee whose duties do not require such disclosure, without a valid consent and/or authorization from the client. Any questions about the validity of written consents and/or authorizations or the disclosure of confidential client information in the absence of valid consent shall be directed to the DSS Chief Data Privacy Officer.

Staff members are prohibited from disclosing on social media client information and other types of confidential and sensitive Agency information. Staff should refer to Informational No. 1-02-13, dated July 10, 2013 for additional information on employee use of social media.

Any DSS employee who is uncertain about whether or not documents or information are confidential should seek guidance from the DSS Chief Data Privacy Officer in the Office of Legal Affairs. Additionally, any DSS employee who is uncertain whether or not it is in the scope of another DSS employee's responsibilities to have access to certain confidential information should seek assistance from his or her supervisor before disclosing the information.

Disclosing Staff Information

General information including staff names, titles, office addresses, and office telephone numbers may be disclosed. Other information regarding staff may not be shared. However, in some instances when sharing such staff information might also affect client information, the staff information should not be shared. For example, the location of DHS shelters and facilities housing survivors of domestic violence or HASA clients should never be disclosed.

Staff members who are unsure about disclosing information to a caller should consult with their supervisor or refer the caller to the DSS Chief Data Privacy Officer or the Agency FOIL Officer. Staff members who have a reason to question the motive of the caller's request for the information should refer to the Commissioner's March 3, 2017 email directive regarding requests for confidential information, and should discuss the call with their supervisor prior to providing the caller with any information. Staff members who have specific reasons for not wanting their information disclosed should inform their supervisor in advance.

Personnel who have the responsibility for handling requests from outside offices should adhere to the following procedures:

Requests from a client or his or her attorney or authorized representative (with an appropriate release form) for the client's case file or concerning a Fair Hearing shall be handled in the following manner:

- Requests for Evidence Packet/Rivera Requests:

Evidence Packets are directed to the Fair Hearing Administration for MICSA, IREA, FIA and HASA in accordance with Policy Bulletin 05-136-OPE.

- Requests for MICSA/HCSP client case files:

Requests for MICSA/HCSP client case records shall be directed to the HIPAA unit within the Office of Program Accountability Support.

- Requests for FIA case files:

Requests for cash assistance and SNAP records shall be made in accordance with 10-64 OPE.

- Requests for DHS case files:

Requests for DHS case files shall be directed to DHS Records Access within the Office of Legal Affairs.

Requests for Information

- Requests from appropriate law enforcement officers for information in a fraud, criminal or fleeing felon investigation, seeking to identify a person who is a recipient of DSS benefits or services should be referred promptly to:

Bureau of Fraud Investigations
250 Church St 3rd Floor
New York, NY 10013
929-252-2129

- Requests related to an audit from any agency, including the NYC and NYS Comptroller's Offices, should be referred promptly to:

Bureau of Audit Coordination
150 Greenwich Street, 41st Floor
New York, NY 10007
929-221-7063

- Requests for information received from any member of the press or media should be directed to:

Office of Communication and Marketing
150 Greenwich Street, 42nd Floor
New York, NY 1007
212-331-6200

- Requests for information related to litigation, service of subpoenas, and legal questions should be referred to:

Office of Legal Affairs
150 Greenwich Street, 38th Floor
New York, NY 1007
Data Privacy inquiries: 929-221-6535
Subpoenas: 929-221-6556

DSS frequently receives routine requests for confidential information from various entities. Routine data requests include requests for information about clients that occur in the normal course of Agency business, which include requests made pursuant to judicial subpoenas, authorizations, research proposals and court orders. All such requests, including any requests made to HRA or DHS providers/vendors are, and should continue to be, processed through the DSS Office of Legal Affairs.

Non-routine requests for confidential information, including for purposes unrelated to serving the needs of HRA and DHS clients or for purposes outside the scope of official Agency business, should be promptly referred to the DSS General Counsel.

- Constituent requests should be directed to:

Office of Constituent Services
150 Greenwich Street 35th Floor
New York, NY 10007
212-331-4640

- FOIL requests for public, non-confidential data should be referred to:

Freedom of Information Law (FOIL) Officer
150 Greenwich Street 38th Floor
New York, NY 10007
929-221-6556
Email: FOIL@DSS.nyc.gov

- Requests for information from third parties about child support matters should be directed to:

Office of Child Support Enforcement—Office of the Deputy Commissioner
150 Greenwich Street, 40th Floor
New York, NY 10007
929-221-4587

- Requests for information from a union official should be directed to:

Office of Labor Relations
Deputy Commissioner of DSS Labor Relations
150 Greenwich Street, 31st Floor
New York, NY 10007
929-221-5674

- Requests for information from elected officials or their staff, and requests for information from federal, state and other city agency officials should be directed to:

Office of Communication and Marketing
Office of Legislative Affairs
150 Greenwich Street, 42nd Floor
New York, NY 1007
212-331-6200

- Requests for Agency historical data or information should be referred to:

DSS McMillan Library, Office of Evaluation & Research
150 Greenwich Street 36th Floor
New York, NY 10007

DSS's Office of Communications and Marketing has been designated as the Agency's principal office of communication with the media and the public. No employee, except an employee designated by that office or by the Commissioner may present himself or herself as expressing the policies or views of the Agency. An employee who receives an inquiry from the media should refer the inquiry to this office.

Any employee who intends to make a statement in his/her personal capacity to the media, a government agency, a private organization or through social media, must make clear that his/her comments are not official, and represent only his/her personal opinion and not the views or policies of DSS or the City of New York. Any such personal statement made to the media, etc. must be made on the employee's non-working time and not through the use of DSS equipment. The content of these communications shall not contain any information deemed confidential. Please refer to Executive Order No. 686, dated October 21, 2003, for further information regarding the Agency's Press Policy.

Confidentiality Protocol for Researchers

DSS receives numerous requests from outside organizations and individuals for assistance with research projects and studies on subjects related to DSS and its clients. Executive Order No. 679, Approval of External Research Requests and Contracted Research Studies, dated April 16, 2002, addresses issues concerning client confidentiality as related to research projects.

V. CONFIDENTIALITY ISSUES CONCERNING THE USE OF E-MAIL

Staff Responsibilities Concerning the Use of E-mail

All e-mail users must take responsibility for the security and integrity of e-mail transmissions. Staff must take all reasonable precautions to ensure that unauthorized individuals do not have access to the information on the staff member's e-mail system. Official DSS business should be communicated via Agency issued e-mails and staff should not use personal e-mails for these types of correspondence. These precautions include safeguarding passwords and changing them periodically. Guidelines for staff use of e-mail are contained in DSS E-Mail Policy, Procedure No. 07-06, March 22, 2007.

Staff should be cautious when including confidential information in e-mail correspondence. E-mail records, once opened, become irrevocable. They create an electronic record that NYC authorities may make available to the public pursuant to the Open Records Act. Staff should also be aware that anything that they write in an e-mail message may be forwarded by the recipient/addressee of the e-mail to others, without the sender's control, approval or knowledge. When sending such e-mails, staff should use encryption software and follow the appropriate protocols with respect to sending encrypted e-mails, where appropriate. Social Security numbers should never be included in the subject line of an e-mail. Before sending large electronic files containing confidential information via e-mail, staff should consult with MIS and/or the OLA Chief Data Privacy Officer to determine what is the most appropriate and secure method for such e-mail transmissions.

Staff should maintain their passwords in a secure location known only to them and should not share them with others.

The following is an example of standard disclaimer language that should be placed at the end of an e-mail containing confidential information:

"This e-mail communication, and any attachments, may contain confidential and privileged information for the exclusive use of the recipient(s) named above. If you are not an intended recipient, or the employee or agent responsible to deliver it to an intended recipient, you are hereby notified that you have received this communication in error and that any review, disclosure, dissemination, distribution or copying of it or its contents is prohibited. If you have received this communication in error, please notify me immediately by replying to this message and delete this communication from your computer. Thank you."

Remote User Security

To help guard against confidential information being transmitted over the Internet without the knowledge or consent of a remote user, it is recommended that a personal firewall be used on any computer system that will communicate with DSS computer systems. In addition, with assistance from MIS all remote users must install and maintain an up to date anti-virus program approved by DSS.

VI. GUIDELINES FOR REPRODUCING PRINTED CONFIDENTIAL MATERIALS

Staff who photocopy and scan confidential information should adhere to the following guidelines to ensure that they maintain the confidentiality of the documents being reproduced:

- When copying and scanning documents from a client or staff file, staff should take only necessary documents to the copier/scanner. The remainder of the materials should be kept in the file folder and the file folder placed in a secure location.
- The copier/scanner should not be left unattended while the transmittal is in progress.
- Staff should clear or re-set the copy machine memory after each use.
- Paper jams should be taken care of immediately so paper with possible confidential information is not left in the scanner/copier. If the problem cannot be immediately resolved, a supervisor should be notified.
- Unusable copies that contain confidential information should be shredded.

VII. CONFIDENTIALITY GUIDELINES WHEN USING THE FAX MACHINE

When staff members send or receive a fax containing confidential information they should adhere to the following:

- The time/date/origination stamp that appears at the top of each fax sent from a location should not include the name of the RC if it would indicate to recipients the confidential nature of a client's involvement with DSS. The time/date/origination stamp and the fax cover sheet should indicate only that the document has been sent from DSS, and the telephone number of the sending machine or of such business other entity or individual.
- The cover sheet of a fax containing confidential information should clearly indicate that the information is confidential and intended only for the individual to whom the fax is addressed.
- Whenever practicable, prior to transmitting a fax containing confidential information, staff should call the recipient of the fax to make him/her aware that the fax is being sent.
- A fax containing confidential information should be removed from the fax machine promptly.
- The memory function should not be used to send a fax containing confidential information at a later time. If the recipient's fax machine is busy, clear the memory and send the fax at a later time.
- The fax machine should be checked at periodic intervals throughout the day to ensure confidential material is not left at the fax machine.
- All fax documents should be distributed promptly to the appropriate parties.

VIII. CONFIDENTIALITY GUIDELINES FOR DESTROYING CONFIDENTIAL MATERIALS

When it is no longer necessary to retain paper documents that contain confidential information, these documents must be properly destroyed. Staff should not dispose of documents containing confidential information in bulk, in Agency recycling bins, dumpsters, or any other public receptacles. Staff shall place confidential documents ready for destruction in locked shredding bins located at each program site. Procedure 05-03, Destroying Printed DSS Confidential and Non-Confidential Documents (Non-Records) explains the process. This process adheres to the retention schedules that have been established by the Department of Records and Information Services (DORIS).

IX. CONFIDENTIALITY GUIDELINES CONCERNING CONSULTANTS AND TEMPORARY EMPLOYEES

All Consultants (or temporary employees) shall be required to receive training about DSS's confidentiality policy and sign agreements to:

- Adhere to the requirements of this policy, and the confidentiality policies developed in the program/administrative areas in which they are assigned or otherwise perform work.
- Take all measures that are necessary in order to maintain and protect the confidentiality of the information received while performing their job responsibilities.
- Use the information received only for the performance of the duties assigned.
- Upon the request of DSS or upon completion or termination of their services, return to, or destroy, as may be directed by DSS, all copies of any information, in whatever form such information may exist in their possession.

X. CONFIDENTIALITY ISSUES CONCERNING CONTRACTS

All DSS contracts contain clauses addressing the confidentiality of client information. In addition, programmatic contracts contain specific confidentiality provisions. Some examples of contracts with specific confidentiality requirements include domestic violence, HIV and AIDS Services, WeCARE and drug treatment program contracts. Contract documents and related documentation are confidential prior to registration with the Comptroller's Office. Upon registration, the release of contract documents is subject to the Freedom of Information Law (FOIL) procedure. Requests for the release of registered contracts should be forwarded to the FOIL Officer.

Classification: 02

Effective: Immediately

***DATA SECURITY INCIDENT PROCEDURE: WHAT TO DO IN
THE EVENT OF AN UNAUTHORIZED DISCLOSURE AND
BREACH PREVENTION MEASURE***

To: All Staff
From: Steven Banks
Commissioner

I. INTRODUCTION

This procedure provides guidance on how to respond to data security incidents when the security of confidential or protected information may have been compromised. This procedure is directed to all NYC Department of Social Services (DSS) employees, including employees of the NYC Human Resources Administration (HRA), the NYC Department of Homeless Services (DHS), and DSS shared services.

II. GENERAL INFORMATION

All DSS employees, consultants, contractors and vendors must protect the confidentiality of individually identifying information obtained from DSS applicants/recipients and employees.

III. EXAMPLES OF DATA SECURITY INCIDENTS

A data security incident occurs when confidential information is disclosed to a third party without authorization, whether the disclosure is intentional or accidental. Examples of possible data security incidents include, but are not limited to:

- Loss, theft or improper disposal of Agency Equipment, including BlackBerrys, Agency issued cell phones, CDs, thumb drives, portable devices, desktop computers, laptops, photocopiers, fax machines.
- Loss, theft or improper disposal of Employee-owned devices used for agency purposes (“Bring Your Own Device” or “BYOD”).
- Loss, theft or improper disposal of hard copy documents that contain confidential and personally identifiable information. Individually identifiable information may relate to employees and clients.
- Misdirection of emails and faxes containing confidential information that are sent to unintended parties.
- Suspected instances of computer hacking.

- Release of confidential information in response to a fraudulent email or telephone call.
- Disclosure of confidential information to the internet or any social media sites.
- Unauthorized copying of confidential Agency information to personal electronic devices, such as routers, thumb drives, etc.
- Improper use or disclosure of confidential information obtained from city or state-owned databases such as WMS, HRA OneViewer, etc.

IV. WHEN IS A DATA SECURITY INCIDENT CONSIDERED A BREACH?

- Not all unauthorized disclosures constitute a breach of data security.
- Whether a disclosure constitutes a breach is a legal determination based on the facts and circumstances and applicable law.
- Given the comprehensive response that is required when there is an actual breach, do not refer to a data security incident as a breach in oral or written communications until the DSS Chief Data Privacy Officer and the Office of Legal Affairs makes their legal determination. Otherwise, reference in a communication to a breach that is not an actual breach may trigger an unnecessary agency response.
- Report any possible data security incidents to the DSS Chief Data Privacy Officer immediately, so a determination can be made and corrective steps, if necessary, can be taken immediately.
- If a data security incident involves the unauthorized access, use, or disclosure of Protected Health Information (PHI) (see Section V below), the Office of Legal Affairs will determine whether a breach has occurred under the Health Insurance Portability and Accountability Act (HIPAA), and whether additional obligations apply.

V. WHAT IS CONFIDENTIAL INFORMATION?

Examples of confidential information include, but are not limited to:

- An individual's name (first name or first initial and last name)
- Telephone number
- Address
- Social Security Numbers
- Client Case Numbers
- Benefit Information
- Benefit Coverage dates
- Individually Identifying Substance Use Treatment Records
- Individually Identifying Domestic Violence Records
- Office of Child Support Enforcement Records
- Adult Protective Services Records
- SDX data
- Supplemental Nutrition Assistance Program (SNAP) benefit data

- Cash Assistance benefit data
- Reasonably identifiable HIV-AIDS related information
- Date of Birth
- Driver’s License Number
- Non-Driver Photo ID card number
- Bank account information
- Income and/or credit history
- Personal identification number
- Tax return
- Asset statement
- Passport number
- Birth Certificate
- Mother’s maiden name
- Computer system password
- Electronic signature or unique biometric data such as a fingerprint, voice print, and photographic facial images
- Citizenship or immigration status, or ethnic or religious information
- Account number, security code, access code or password allowing access or use of an individual’s financial/credit and/or debit account
- IDNYC information
- Reasonable Accommodation information
- Individual disability status
- Protected Health Information, including:
 - Medicaid records
 - All individually identifiable demographic data maintained by HRA’s Medical Assistance program, Medical Insurance and Community Services Administration (MICA), Home Care Services Program (HCSP) and Business Associates, including CIN Number or medical record number
 - Any other health, medical or mental health information

VI. DETECTION—What Steps Must Be Taken Upon Discovery of an Unauthorized Disclosure?

- If a data security incident occurs, the first step is to immediately report the incident to your supervisor. Your supervisor must notify the Chief Data Privacy Officer of the incident (see Section X below for the Chief Data Privacy Officer’s contact information).
- The DSS division in which the incident took place (the “affected division”) must complete an incident report. A copy of the Data Security Incident Form (DSS-2) is attached to this Protocol as Appendix “A.”
- Individuals completing the form are asked to describe the nature of the incident—how the disclosure was discovered, the type of information disclosed, the number of records involved and the number of individuals affected.

- At first, you may not have all the information the form asks you to complete. The affected division may need to conduct interviews with the involved parties during the fact gathering process.
- The Chief Data Privacy Officer will advise you if you have questions regarding completion of the Data Security Incident Form (DSS-2).
- The Chief Data Privacy Officer will review the facts connected with the unauthorized disclosure and will determine whether the incident meets the legal definition of a data breach.
- Determining whether the data security incident is considered a breach is decided on a case-by-case basis and requires a comprehensive analysis of the facts surrounding the incident.

VII. MITIGATION OF HARM

If it is determined by the Chief Data Privacy Officer that a breach has occurred, the employees within the affected division will be advised as to certain steps that must be taken to mitigate (or minimize) the risk of harm.

VIII. ESCALATION

1) WHO ELSE NEEDS TO KNOW?

- i) The Chief Data Privacy Officer will decide who else needs to be made aware of the suspected unauthorized disclosure and will notify the individual(s).
- ii) People involved in the detection of the disclosure or who are responsible for the incident should expect to complete the Data Security Incident Form (DSS-2) and may be questioned by other authorities, i.e. law enforcement, NYC Department of Investigation (DOI) depending on the situation.

2) BREACH NOTIFICATION

The DSS Chief Data Privacy Officer will determine if breach notification to the affected individuals and/or oversight/law enforcement authorities is required by law.

IX. BREACH PREVENTION

Below are some examples of breach prevention measures:

- Routine confidentiality training for DSS employees with access to client and employee records containing individually identifying information.
- Implementation of safeguard measures to protect electronic and physical data and providing guidance on the proper disposal of physical data and equipment.
- Consultation with the Agency's Office of Data Security Management for safeguarding and transmitting confidential electronic data.

X. CONTACT INFORMATION

DSS employees must notify Lauren Friedland, the DSS Chief Data Privacy Officer, at 929-221-6535 or friedlandl@hra.nyc.gov, immediately upon the discovery of a data security incident to determine what, if any, corrective steps must be taken.

APPENDIX

- Data Security Incident Form (DSS-2) (Appendix A)



Department of
Social Services

Data Security Incident Form

Form completed by: _____ Date: _____

1) Unauthorized disclosure reported? <input type="checkbox"/> YES <input type="checkbox"/> NO If "Yes", date disclosure reported: _____		Unauthorized disclosure discovered? <input type="checkbox"/> YES <input type="checkbox"/> NO If "Yes", date disclosure discovered: _____	
2) Disclosure reported or discovered by: _____ (name) _____ (title) _____ (division/unit)		Unauthorized disclosure was made by: _____ (name) _____ (title) _____ (division/unit)	
3) Data last in possession of:		4) Disclosure intentional? <input type="checkbox"/> YES <input type="checkbox"/> NO Disclosure inadvertent? <input type="checkbox"/> YES <input type="checkbox"/> NO	
5) Form of data: (example: electronic file, paper)		6) Data Source: (example: name of database[s])	
7) Describe all locations data resided/stored: (example: thumb drive, cloud storage, email)			
8) How was data disclosed? (example: lost, stolen, inadvertently transmitted)			
9) Was data retrieved by/disclosed to another?		10) Who retrieved/ received data (If known)?	
11) Number of records involved:	12) Number of people affected by disclosure:	13) Are affected parties aware of disclosure? <input type="checkbox"/> YES <input type="checkbox"/> NO	
14) Data transported via internet? <input type="checkbox"/> YES <input type="checkbox"/> NO	15) Data successfully expunged/ removed after discovery of disclosure? <input type="checkbox"/> YES <input type="checkbox"/> NO	16) Data still discoverable? <input type="checkbox"/> YES <input type="checkbox"/> NO	
17) Harm from disclosure reported? <input type="checkbox"/> YES <input type="checkbox"/> NO If YES, describe:			
18) Describe all types of information disclosed (example: name, SSN, Cash Assistance status)			
19) Reason for data use:			
20) Describe remediation/ mitigation efforts:			
21) Please briefly describe the events surrounding the unauthorized disclosure (include any additional helpful information to the investigation)			

OFFICE OF LEGAL AFFAIRS (OLA) INTERNAL USE ONLY

Data Security Incident Form

OLA Investigator: _____ Date: _____

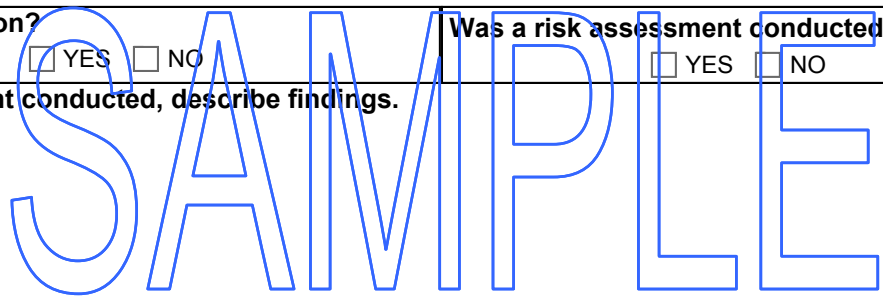
Applicable laws/statutes:

Does HRA have an MOU, data sharing agreement, or contract with the discloser? YES NO

If an MOU, data sharing agreement or contract exists, does it include provisions on how the data should be disclosed and protected? If "Yes", describe. YES NO

Breach notification? YES NO | Was a risk assessment conducted?* YES NO

If risk assessment conducted, describe findings.



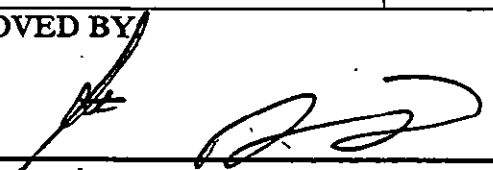
Next Steps:

Recommendations:

*Necessary if disclosure does not constitute breach.

CITY OF NEW YORK
DEPARTMENT OF HOMELESS SERVICES

PROCEDURE NO. 12-150

SUBJECT: DHS Client Confidentiality and Data Protection Policy	APPLICABLE TO: All DHS Employees, All DHS Shelter Providers, DHS Outreach, Homebase, and Drop-in Providers	ISSUED: November 25, 2011
ADMINISTERED BY: Office of Legal Affairs Office of Information Technology	APPROVED BY:  Seth Diamond Commissioner	

I. **INTRODUCTION:**

A. **Background:**

1. DHS provides temporary housing assistance (THA), a public assistance benefit. DHS also administers programs designed to prevent homelessness when possible, provide re-housing support, and deliver services to those who experience street homelessness. In order to carry out its mission, DHS and its providers collect and share client information. The collection and communication of client information between DHS and its providers facilitates the administration of THA and other programs and services administered by DHS.
2. DHS may disclose such information to third parties in furtherance of the administration of THA and for the coordination of other DHS programs. At times, DHS may be required to disclose such information to third parties in other cases (e.g., Court Ordered subpoena). In these situations, it is imperative to ensure that the disclosure is appropriate and that information is disseminated in a controlled manner in accordance with the applicable law.
3. This document is the Client Confidentiality and Data Protection Policy ("Policy") for the New York City Department of Homeless Services ("DHS"). This Policy provides standards and guidelines for the use, disclosure and security of DHS Client information.

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B. Scope:

1. This Policy applies to all devices, applications, systems and files which contain Confidential Information.
2. Additionally, this Policy applies to all records made and retained by DHS.

C. Applicable Law and Policies:

1. This Policy is governed by the applicable Federal, State and Local laws, including but not limited to the New York Social Services Law and its implementing regulations and the New York City Administrative Code. See SSL § 136, 18 N.Y.C.R.R. § 357, and 10 N.Y.C. Admin. Code §501-03.
2. Additionally, this Policy incorporates by reference:
 - a. DHS Procedure No. 11-006: Equipment Use Policy/ Discoverability of Email and Voicemail (Appendix A);
 - b. DHS' Wireless Device Policy;
 - c. The New York City Department of Records and Information Services ("DORIS") Records Retention Schedule for DHS; and
 - d. The NYC- Dept. of Information and Telecommunication's User Responsibilities Policy (Appendix B).

D. Key Definitions:

1. For purposes of this Policy the term "Client" refers to an individual or family residing in the DHS Shelter system and recipients of services delivered by programs administered by DHS (e.g., Homebase, Outreach or Drop-in services).
2. The term "Provider" refers to an agent who administers a program or delivers client services on behalf of DHS.
3. The term "Confidential Information" refers to the following Client information:
 - a. Name,
 - b. Date-of-birth,
 - c. Social Security Number, DHS Shelter placement,
 - d. Address,
 - e. Medical,
 - f. Public Assistance Case or Client Identification Number,
 - g. PA, SSI, SSD or other benefit and entitlement information, or
 - h. any other type of information obtained in the course of administering a DHS program; or
 - i. DHS Case or Housing Assistance (HA) Number used in combination with a-i above.

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4. The term "Record" refers to any paper or electronic file or document which contains Confidential Information.
5. For purposes of this policy, the term encryption refers to the process of transforming information in order to make such information unreadable to anyone except those possessing special knowledge or a key.

II. PRIVACY AND CONFIDENTIALITY

A. Ownership and Use of Confidential Information:

1. DHS employees and Providers may only collect or use Confidential Information to perform functions, activities, or services directly related to the administration of DHS programs.
2. Access to Confidential Information shall be restricted to those employees who need such information to perform their official duties in connection with the administration of DHS programs.
3. DHS owns all Confidential Information collected by its employees and Providers. DHS owns all Records created and maintained in connection with the administration of DHS programs.

B. Disclosure of Client Information:

1. Permitted Disclosures:

- a. Section 136 of the New York Social Services Law and 18 N.Y.C.R.R. Part 357 prohibits the disclosure of Confidential Information with limited exceptions.
- b. This Policy prohibits a DHS employee or Provider from disclosing Confidential Information or any other DHS Record to a third party without the approval of Legal unless such information is being released pursuant to
 - i. a supervisor or manager to whom you report or staff member within your organization and in order to perform activities directly related to the administration of a case;
 - ii. for Providers, a member of DHS Executive, Program, Policy and Prevention, Finance, Audit or Legal staff;
 - iii. an existing contract, data-match or data exchange agreement;
 - iv. a routine response to an Oversight agency such as OTDA (e.g., DHS' response to OTDA Shelter Inspection Reports). *Routine responses do not include response to External audits. Responses to External audits must be coordinated with DHS' Audit Director and Legal.*
 - v. a study approved by the DHS Institutional Review Board (IRB);

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- c. The above prohibition, contained in Section II.B. applies to requests for information pursuant to the Freedom of Information Law ("FOIL"); Administrative or Judicial subpoenas; Federal, State and Local Law Enforcement officers; and Court-Ordered discovery. DHS employees should refer such requests made by non-providers and other third parties to Legal.
- d. Providers who receive requests for Confidential Information should notify DHS Program staff. Questions regarding the disclosure of Confidential Information should be directed to Legal at 212.361.7996.
- e. DHS employees shall provide Legal with agreements for data-matches or data-exchanges for review before such agreements are executed.

2. Mandatory Reporters:

Nothing in this Policy prevents a DHS employee or Provider from reporting known or suspected instances of physical or mental injury; sexual abuse, contact or exploitation; or negligent or maltreatment of a child to the appropriate agency or officials.

3. De-identified Information:

This Policy does not prohibit the release of de-identified information for Data Exchanges/Matches or Program Evaluations with an agent of DHS or a Federal, State, and Local government agency. De-identified Information does not contain the following Client information:

- a. Name,
- b. Social Security Number,
- c. Address,
- d. Shelter Placement or Address,
- e. HRA or Social Security Client Identification Number, or
- f. PA Case Number.

4. Employee Discipline:

- a. The unauthorized use or disclosure of Confidential Information may result in any and all of the following:
 - i. the loss or use or limitations on the use of office and technology resources;
 - ii. financial liability for the cost of such use;
 - iii. disciplinary and other adverse employment actions, up to and including the dismissal;
 - iv. civil and/or criminal penalties.

C. Client Requests for Records:

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1. DHS will release Records to the Client or her representative so long as the Client makes her request in writing, which is accompanied by a release that has been signed by the client. See Appendix C: Client Record Release.
2. Before providing Clients with their Records or other files containing Confidential Information, DHS employees and providers shall remove the following items, which should not be retained in Records or Client files:
 - a. Emails issued by DHS staff members,
 - b. Intra-Inter-agency memoranda,
 - c. Rules of Practice,
 - d. Information contained from confidential external sources, or
 - e. Documents marked "draft," "privileged" or "confidential."
3. Requests for Records in connection with Involuntary Transfer/Discharge Hearings, State Fair Hearings or other Administrative or Judicial proceedings should be referred to Legal immediately but no later than 24 hours after the request for such information has been made. Legal will track and respond to such requests.

III. SECURITY

A. General Provisions:

1. Records shall be kept in individual locked files or in rooms that are locked when Records are not in use.
2. When in use, Records shall be maintained in such a manner as to prevent exposure of Confidential Information to anyone other than the authorized party directly, utilizing the Record.
3. DHS employees and Providers shall not remove Records or other information from their places of business without permission from appropriate supervisory staff unless the employee is performing a function which requires the use of such Records outside of the Agency or Provider's place of business and where return of the Records by the close of business of would result in the undue burden on staff.
4. When staff remove Records from their places of business in order to work from home, the Records shall be maintained in a secure location and staff must not disclose the Confidential Information contained in those Records except as permitted by Section II of this Policy.
5. Records shall be transmitted from one location to another in sealed envelopes and a receipt shall be obtained documenting the delivery of said Records.
6. Client interviews shall be conducted at a location and in a manner which maintains privacy and confidentiality.
7. Users who have access to systems containing Confidential Information shall protect and secure their passwords. Users shall not copy Confidential Information on to portable media for personal use, unless this action is authorized by the employee's manager and the media is protected by an encryption method approved by DHS.

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Users shall change their passwords as directed. Users shall not share their passwords.

B. Controls for Paper Documents:

1. DHS shall dispose of Records in accordance with DHS' Record Retention Schedule.
2. Providers shall not dispose of Records without authorization from DHS.
3. Records must be disposed of through confidential means, such as cross cut shredding and pulverizing.
4. Faxes or other printed documents containing Confidential Information shall not be left unattended.
5. Fax machines and printers shall be kept in secure areas.

C. DHS Controls:

1. DHS Systems and Devices:

All DHS systems, applications and devices are secured in accordance with standards and guidelines delineated by the New York City Department of Information Technology and Telecommunications (DoITT) under covered under Citywide Information Security Policies.

D. Provider Controls:

1. Employee Training and Discipline:

Every Provider shall:

- a. Sign an Acknowledgement letter indicating that it has read, understood and agreed to fulfill all of the obligations contained in this Policy (Appendix D: Acknowledgement Letter);
- b. Return the above Acknowledgement letter with an original signature no later than 5 business days from the date of the Acknowledgement letter;
- c. Require each employee to sign an Acknowledgement letter indicating that the employee has read, understood and agreed to fulfill all of the obligations contained in this Policy;
- d. Train its employees and use reasonable measures to ensure compliance with this Policy;
- e. Provide Privacy and Security training to each new employee within 30 days of employment and thereafter provide ongoing reminders of the of the privacy and security safeguards in this Policy;
- f. Maintain Records which include the name of each employee and the date on which she completed the initial Privacy and Security training;

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- g. Retain Employee Acknowledgement letters and training Records for inspection for a period of five years after the completion of training and
- h. Ensure that locations, where Confidential Information is stored and/or processed, are secured by security guards or a monitored alarm system with security cameras 24 hours a day, 7 days a week.
- i. Complete and return to a Security Assessment using a tool designated by DHS by a date specified by DHS.

2. General Computer Security Safeguards:

For systems or devices containing Confidential Information, every Provider shall:

- a. Protect by password, smart phones or other portable telecommunications devices, which users are not permitted to share.
- b. Encrypt laptops or other portable computer devices and media (e.g., USB thumb drives, external hard drives, CDs and DVDs) that process or store Confidential Information using a vendor product that is recognized as an industry leader in meeting the needs for the intended solution. The keys to such encrypted files shall not be included with the transportable media which contains the Confidential Information. That information shall be communicated to by telephone or email to the intended recipient.
- c. Ensure that they download only the minimum necessary amount of Confidential Information to a laptop, external drive, or other portable device when required for current business purposes.
- d. Encrypt emails that contain Confidential Information before such emails are sent.
- e. Ensure that workstations, laptops, and other systems that process and/or store Confidential Information have commercial, anti-virus and Internet Security Software solutions, including but not limited to firewalls, malware, intrusion detection etc. These solutions and must be updated when new versions or releases become available.
- f. Ensure current security patches have been deployed on workstations, laptops, and other systems that process and/or store Confidential Information.
- g. Sanitize hardware through crushing, shredding, incineration, or melting when disposing of hardware (e.g., servers, workstations, mobile devices removable storage etc.), which contains Confidential Information.
- h. Disallow remote access to a DHS application containing Confidential Information without prior authorization from DHS.
- i. Ensure that remote access to any application containing Confidential Information is established via VPN or SSL-VPN only.
- j. Ensure that all remote access is limited to the minimum privileges necessary to complete the task in question.

3. System Security Controls:

All systems which contain Confidential Information and are administered by the Provider or Professional IT service entity hired by the provider shall:

- a. Provide an automatic timeout after no more than 20 minutes of inactivity;
- b. Display a warning banner stating that data is confidential, that system use is for business purposes only and that they agree to such terms by logging into the system;
- c. Require users to login to systems;
- d. Retain a log of successes and authorization of user authentication and authorizations granted;
- e. Retain a log of all data changes and system accesses conducted by all users and at all levels;
- f. Are capable of recording data access for specified users when requested by authorized management personnel;
- g. Retain a log of system changes subject to the review of authorized management personnel;
- h. Use role based access controls (user name and password) for all user authentication which enforces the principle of minimum privileges necessary; and
- i. Encrypt Confidential Information transmitted over networks outside of the City's control using an end-to-end vendor product that is recognized as an industry standard in meeting the needs for the intended solution.

4. Audit Controls:

Providers shall implement the following measures for systems which contain Confidential Information and are administered by the Provider or professional IT service entity hired by Provider:

- a. Conduct an annual system security review using a tool developed or designated by DHS's Office of Information Technology (OIT);
- b. Establish and maintain an automated audit trail, which identifies the user that initiated the request, data and time stamp for each access;
- c. Retain "Read Only" Audit trail logs for two years;
- d. Routinely review system logs for unauthorized access;
- e. Investigate anomalies in system usage; and
- f. Exercise management control and oversight over the authorization of user access.

If a Provider has hired an external entity to perform the functions listed in this section or to manage or administer the Provider's system, network or applications, then the Provider shall supply Legal and OIT with a copy of the contract or written agreement between the Provider and external entity.

IV. NOTIFICATION OF UNAUTHORIZED USE AND DISCLOSURE OF DATA

A. If a DHS employee or Provider discovers that there has an unauthorized use or disclosure of Confidential Information, he/she shall report such incidents by telephone to the DoITT Help Desk 212.692.4357 and have the ticket assigned to DHS OIT as a priority 1 for investigation by OIT and Legal.

B. Initial Reporting Information:

The following information must be collected and provided during initial call:

1. Contact information
2. Physical location of the affected system(s)
3. Date/time of the incident
4. Nature of the data on the system (i.e., whether or not it contained restricted data)
5. Source of the compromise (if known)
6. Type of compromise (if known (i.e., worm, virus, credential compromise, root kit, etc.))
7. Brief description of the incident
8. Any relevant logging information (e.g., intrusion detection logs)

HUMAN RESOURCES ADMINISTRATION

Records Retention Schedule

Approved by

DEPARTMENT OF RECORDS AND INFORMATION SERVICES

(DORIS)

12541 ACCIDENT REPORTS

Consists of Accident Reports, which involved employees, non-employees, and vehicles.
 Inventory Person : AM Inventory Date : 6/8/1989

Retention Period		
Office	Rec.Center	Total
15	0	15Y

Comments:

Retain 6 years in office. MU-1, 16.(627) Page 186

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 00-000 ALL UNITS

12542 BANK RECORDS

Consists of bank deposit slips, bank reconciliations, bank statements, cancelled checks, and checkbook
 Inventory Person : AM Inventory Date : 6/8/1989

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Comments:

MU-1, 1.(263) Page 61

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 00-000 ALL UNITS

12543 CALENDARS AND MINUTES(COPIES)

Consists of copies of Board of Estimate and court calendars, and minutes. Inventory Person : AM
 Inventory Date : 6/8/1989

Retention Period		
Office	Rec.Center	Total
0	0	3

Comments:

MU-1, 18.(18) Page 5

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

12544 GENERAL LEDGERS

Consists of ledgers which shows summary receipts and disbursements from all funds and accounts.

Inventory Person : AM Inventory Date : 6/8/1989

Retention Period

Office Rec.Center Total

	6	0	6
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Comments:

MU-1, 1.(245) Page 65.

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

12545 JOB CLASSIFICATION RECORDS

Consists of Job Control Index Cards(Title Files), position classifications, specifications, and all similar and

Inventory Person : AM Inventory Date : 6/8/1989

Retention Period

Office Rec.Center Total

	6	0	6Y
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Comments:

Retain 6 years in office. NYC General RRS, Item #9915. December 1979.

See MU-1; 5.(389) Page 99

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

12546 JOURNAL ENTRY BOOKS

Consists of journals with detailed entries of transactions. Inventory Person : AM

Inventory Date : 6/8/1989

Retention Period

Office Rec.Center Total

	2	4	6Y
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Comments:

See MU-1, 3.(247) Page 65

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

12547 FORMS CONTROL RECORDS

Input documents, copies of records or forms designed and used solely for data input and control when the data processing unit provides centralized data input services and original records are retained by the

Inventory Date : 6/8/1989

Retention Period
Office Rec.Center Total

2 0 2

Comments:

See MU-1: 10.[687] Page 43

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

17323 FINANCIAL PAYMENT SERIES

Used to document returned and cancelled checks. Consists of Form W-206B - Notice of Checks Cancelled. Arranged chronologically by the date check was returned. Inventory Person : DM

Inventory Date : 4/13/1992

Retention Period

Office Rec.Center Total

2 4 6Y

Comments:

Separate files on an annual basis. Retain files 2 years in office, then transfer to HRA's Information Retrieval Services Storage Area for an additional 4 years. NYS RRDS CO-2, May 1990

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18113 BATCH TRANSMITTALS (PRE-1989)

Used for administrative purposes. Consists of transmittal cover sheets, and Batch transmittal forms

Inventory Person : DM Inventory Date : 11/18/1992

Comments: See MU-1:10.[10] page 2 & 3

Correspondence, and supporting documentation maintained in a subject file (generated or received by a local government), except correspondence that is part of a case file or other record series listed elsewhere on this Schedule:

c. Of no fiscal, legal or administrative value (including letters of transmittal, invitations and cover letters)

Retention Period Of no fiscal, legal or administrative value (including letters of transmittal, invitations and

Office Rec.Center Total

0 0 3Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18127 RESUMES

Used to document information on rejected, accepted, or prospective employees detailing applicants' education and experience. Folders also contain vacancy notices, cover letters, resumes, memoranda and evaluations of prospective employees. Arranged alphabetically by job/position title

Inventory Person : DM Inventory Date : 11/19/1992

Comments:

Separate files on an annual basis. Retain files 3 years in office. Resumes of accepted applicants become part of their Personnel Folders. Dept. of Consumer Affairs/Administrative Services. MU-1, 9.(393) Page Official Date:

Retention Period

Office Rec.Center Total

3 0 3Y

Comments; See MU-1; 9.(393) Page 100

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18184 AGENCY-WIDE ROUTINE COMPUTER OPERATIONS - HARD COP

Internal information record, including but not limited to calendars of appointments, office and travel schedule, memoranda and routing slips, routine internal reports, reviews and plans, used solely to Inventory Person : DM Inventory Date : 12/3/1992

Comments:See MU-1: 18.[18] Page 5

1M = One Month. Retain 1 month in office after the report has been microfilmed. HRA's Agenc Official Date:

Retention Period: 0 after no longer needed

Office Rec.Center Total

0 0 0

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18336 AGENCY-WIDE ROUTINE COMPUTER RPTS - MICROFILM ORIG

Used for reporting and other administrative purposes. Comprises routinely produced computer generated reports prepared by the various programs of the Human Resources Administration to document, review, Inventory Person : DM Inventory Date : 3/1/1992

Comments:

Silver microfilm should be transferred and retained off-site for 6 years. For MICROFILM COPY see record series 18337, for HARD COPY see record seri 18184. Silver original microfilm must be certified

Official Date:

Retention Period

Office Rec.Center Total

6 0 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18337 AGENCY-WIDE ROUTINE COMPUTER RPTS - MICROFILM COPY

Used for reporting and other administrative purposes. Comprises routinely produced computer generated reports prepared by the various programs of the Human Resources Administration to document, review, Inventory Person : DM Inventory Date : 3/1/1993

Comments:

Retain 6 years in office. Silver original should be retained off-site. For HARD COPY see record series 18184, for MICROFILM ORIGINALS see record series 18336.

Official Date:

Retention Period

Office Rec.Center Total

6 0 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18392 BATCH CONTROL LOGS

Daily, weekly, monthly, quarterly or other periodic internal or external report, summary, review,

Inventory Person : DM Inventory Date : 3/10/1993

Comments: See MU-1: 22.[22] Page

CL = Close/last entry of book. Retain 3 years in office after close. Office of the Comptroller/Data Control RRS, July 1988, record series 9685.

Official Date:

Retention Period

6 0 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18418 TIME AND LEAVE CONTROL FILES

Used to document employees requests for leave or absence. Includes hours and days worked. supporting documentation for leave, overtime and jury duty. Arranged alphabetically by employees

Inventory Person : DM Inventory Date : 3/15/1993

Comments: See MU-1, 7(351) Page 69

Separate files on an annual basis. Retain files 6 years in office. Annual Leave Forms are kept with PERSONNEL FOLDERS. See record series 3152, 18125 and 18530. MU-1, 7.(351) Page

Official Date:

Retention Period

Office Rec.Center Total

6 0 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18420 WORK FARE PROGRAMS - TIME RECORDS

Used to record the number of hours worked by welfare recipients assigned to work fare programs. Records are maintained either on Punched Time Cards(Form W-341 or 341A), on School's Letterhea 700-P for participants in the Work Employment Program. Arranged chronologically by paydat

Inventory Person : DM Inventory Date : 3/15/1993

Comments:

Separate files on an annual basis. Retain 4 years in office. Dept. of Sanitation/Administration/Special Projects RRS, February 1988, record series 5711.

Official Date:

Retention Period

Office Rec.Center Total

4 0 4Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18438 CHECKS - NON NEGOTIABLE COPIES

Used as a record of checks paid. Consists of copies(Form W-232E) of checks which include the check number, payee and signator. Arranged alphabetically by check series letter, then numerically by check
Inventory Person : DM Inventory Date : 3/21/1993

Comments:

Note; It is recommended that a list of destroyed unused checks be created and maintained for legal o
MU-1; 2.(264) Page 62. See MU-1; 3.(265)

Official Date:

Retention Period		
Office	Rec.Center	Total

6	0	6Y
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-000 ALL UNITS

18563 CANCELLED CHECKS - MICROFICHE COPIES

Used as a record of checks paid. Consists of microfiche copies of (Form W-232E) of checks which include the check number, payee and signator. Arranged alphabetically by check series letter, then
Inventory Person : DM Inventory Date : 4/22/1993

Comments:

Retain 6 years in office. Store under the required environmental conditions. Office of the
Comptroller/Workers Compensation Unit RRS, November 199

MU-1; 3.(265) Page 62

Official Date:

Retention Period		
Office	Rec.Center	Total

6	0	6Y
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

00-005 ALL PROGRAMS

18118 ACTIVITY AND STATISTICAL REPORTS

Used to compile statistics of daily, weekly and monthly activities, and also to provide data incorporated into Agency reports. Contains reception schedules, activity reports, and caseworker activity report. Report gives the date, unit, worker's and client's names, case number and activity performed. Arranged
Inventory Person : DM Inventory Date : 11/18/1992

Comments:

See MU-1, 22.(22) Page 6

Official Date:

Retention Period		
Office	Rec.Center	Total

6	0	6Y
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12626 ARREST FORMS RECEIPT

Used for verification of arrest forms submitted from shelters. Consists receipts which lists defendant name, arrest number, officer name, location of arrest, date submitted, and signature of staff member in receipt of arrest form. Also includes copies of Receipt of Information Request, and memoranda
Inventory Person : AM Inventory Date : 4/12/1989

Comments:

Retain 6 years in office.

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12627 ARREST LOG BOOKS

Used for reference about arrests that occurred daily City-Wide at HRA locations. Log lists(copy #1) date, time of arrest, location, division, precinct, defendants name, date of birth, male or female, address, arresting officer, Social Security number, assisting officer, arrest number, summons number, charges, return date, log control number, disposition, injuries to officer, date, time, report given by and received by
Inventory Person : AM Inventory Date : 4/12/1989

Comments:

See MU-1; 1.(522) Page 155-156

CL = Closing of log, or date of last entry. Retain in office 5 years after closing. Information can also be

Official Date:

Retention Period		
Office	Rec.Center	Total
5	0	CL+ 5Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12628 LOCATION DAILY INCIDENTS LOGS

Used for monitoring daily incidents at all locations. Lists name of officer, date, tour, time, and incidents and activities throughout the day. Arranged chronologically. Inventory Person : AM
Inventory Date : 5/16/1989

Retention Period		
Office	Rec.Center	Total
5	0	CL+ 5Y

Comments:

CL = Closing of log, or date of last entry. Retain in office 5 years after closing. Informa- tion can also be found in the PSR Sheets & Reports (series #'s 12632 &

12633). Auth: State of Florida General RRS for Law Enforcement BC-2, Item #9:

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12629 DEFENDANTS' ARREST LOGS

Used for reference for information on defendants' arrests or summonses issued. Log lists date, time of arrest, location, division, precinct, defendants name, date of birth, male or female, address, arresting officer, Social Security number, assisting officer, arrest number, summons number, charges, return date, log control number, disposition, injuries to officer, date, time, report given by and received by. Arranged Inventory Person : AM Inventory Date : 4/12/1989

Comments:

CI=Closing of log or date of last entry. Retain in office 4 years after closing. NOTE: In- formation also found in the Arrest Log(series #126 27), & in the Sealed Cases File(series #12634)

Official Date:

Retention Period		
Office	Rec.Center	Total
4	0	CL+ 4Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12630 DIVISION ARREST REPORTS

Used for reference about arrests that occurred. Log lists(copy #3 Division Copy) date, time of arrest, location, division, precinct, defendants' name, date of birth, male or female, address, arresting officer, Social Security number, assisting officer, arrest number, summons number, charges, return date, log control number, disposition, injuries to officer, date, time, report given by and received by. Arranged by Inventory Person : AM Inventory Date : 4/12/1989

Comments:

Retain in office 4 years. Information can also be found in the Arrest Log (series #12627), and in the Sealed Cases File (series #12634).

Official Date:

Retention Period		
Office	Rec.Center	Total
4	0	4Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12631 OFFICERS' ARREST FILE

Contains officers' arrest paperwork pertaining to their arrests, and court appearances. Consists of property clerks invoice, warrants, arrest work- sheet, arraignments/adjournments, arrest report, complaint report, time sheet for court and bookings, etc. and all other workpapers related to arrests. Inventory Person : AM Inventory Date : 4/12/1989

Comments:

Retain 5 years in office. Information can also be found in the Sealed Cases File (Series #12634), and in the Arrest Log(series #12627).

Official Date:

Retention Period		
Office	Rec.Center	Total
5	0	+ 5Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12632 POLICE SERVICE REPORT(PSR) CONTROL SHEETS LOG

Information source which details incidents, which occurred at all borough divisions. Log lists respondent officer/involved client or staff and disposition, shelter location, date, prepared by, number of assaults in progress, number of crowd controls, number of disorderly, number of bomb scares, number of fires, number of maintenance re- quests, number of aided cases, and totals. Arranged by boro command, and Inventory Person : AM Inventory Date : 5/17/1989

Comments:

CL=Closing of log or date of last entry. Retain in office 5 years after closing. NOTE: In- formation also found in the Location Daily Inci- dents Log(series #12628)

Official Date:

Retention Period		
Office	Rec.Center	Total
5	0	CL+ 5Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12633 POLICE SERVICE REQUEST REPORTS

Consists of Police Service Request Form, which lists index number, name of caller, location, telephone number, complaint, date, time, division, disposition, details, officer name and number, and supervisor's signature. Arranged by division, and then chronologically by month and then by PSR Control Numb Inventory Person : AM Inventory Date : 5/20/1989

Comments:

Retain in office for 5 years. Information can be found in the Location Daily Incidents Log (series #12628).

Official Date:

Retention Period		
Office	Rec.Center	Total
5	0	+ 5Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12634 SEALED CASES

Cases contains information about defendants' arrests, court appearances, dispositions, etc. which were sealed by the courts. Arranged Alpha- betically by Defendant's name.

Inventory Person : AM Inventory Date : 4/12/1989

Comments:

CL = Closing of case. Retain in office 10 years after closing. NYC Probation/Family Courts RRS, pg. 70. May 21,

Official Date:

Retention Period		
Office	Rec.Center	Total
10	0	CL+ 10Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

01-000 BUREAU OF SECURITY SERVICES

12635 SUMMONS FILE

Consists of summonses(notice of violations), lists name, address, license or number, date of birth, charges, and scheduled fine. Arranged by division and then chronologically.

Inventory Person : AM Inventory Date : 6/15/1989

Comments:

T=Termination of action. Retain in office 7 years after termination. NYS RRDS No.23-H-2, Item #258

Official Date:

Retention Period		
Office	Rec.Center	Total
7	0	T+ 7Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19654 LEGAL SUBJECT FILE

Used for general reference. Includes general correspondence, appeals to decisions, research materials, Executive Orders and duplicate reports. Arranged alphabetically by subject.

Inventory Person : CPM Inventory Date : 3/31/1995

Comments:

Retain six years in office. Department of Transportation/Office of the General Counsel

MU-1; 1.(45) Page 13

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19655 STATE LEGISLATION IMPACT ASSISTANCE GRANT (SLIAG)

Used to evaluate compliance with SLIAG program guidelines. Contains main folder with copies of workscope and budget and record copy of letter of intent. Also contains chronological folder with record

Inventory Person : CPM Inventory Date : 3/31/1995

Comments:

Retain six years in office. Department for the Aging/Administration/Fiscal RRS, 1988, records series

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19657 STATE LEGALIZATION IMPACT ASSISTANCE GRANT- REGIST

Used to confirm services rendered by community- based organization. Includes intake and eligibil- ity forms with name of the community-based organi- zation, date and signature. Arranged chronologically

Inventory Date : 3/31/1995

Comments: See MU-1, 18.(722) Page 72

Retain one year in office then transfer to the Municipal Records Center for an additional five years.

Department for the Aging/Administration/Fiscal RRS, 1988, records series 5056

Official Date:

Retention Period		
Office	Rec.Center	Total
1	5	6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19658 STATE LEGALIZATION IMPACT ASSISTANCE GRANT (SLIAG)

Originally signed contract used as agency copy of record to document agreement with community-based organization. Includes boilerplate, budget, work- scope, VENDEX affirmation and dated signatures

Inventory Person : CPM Inventory Date : 3/31/1995

Comments:

CL=Close of contract. Retain 6 years in office after the close of contract and then transfer to the Municipal Re- cords Center.Appraise these records for historical significance prior to disposition.

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	CL+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19668 LITERACY GRANT REQUESTS FOR PROPOSAL

Used to document proposals considered for the Adult Literacy Initiative. Includes narrative of proposed program, application for funding, budget summary, population served, correspondence and other

Inventory Person : CPM Inventory Date : 3/31/1995

Comments:

Retain two years in office. Mayor's Office/Deputy Mayor for Public Safety RRS, 1994, records series 17125. Official copy of accepted RFP is transferred to the contract file, records series 19670, this

Official Date:

Retention Period		
Office	Rec.Center	Total
2	0	+ 2Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19670 LITERACY GRANT CONTRACTS

Originally signed contract used as agency copy of record to document agreement with community-based organization. Includes boilerplate, budget, work- scope, VENDEX affirmation and dated signatures

Inventory Person : CPM Inventory Date : 3/31/1995

Comments:

CL=Close of contract. Retain three years in office after the close of contract and then transfer to the Municipal Re- cords Center for an additional 12 years. Law Department memorandum, August 18, 199

Official Date:

Retention Period		
Office	Rec.Center	Total
3	12	CL+ 15Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 02-001 Fiscal/Programs/Legal / All Units
19671 REQUESTS FOR PROPOSAL - DENIED

Used to document proposals considered during the selection process for grantees. May include application for funding, narrative of proposed program, population served, budget summary, correspondence and other supporting documents. Arranged chronologically then alphabetically by proposed
 Inventory Person : CPM Inventory Date : 3/31/1995

Comments:

Retain two years in office. Mayor's Office/Deputy Mayor for Public Safety RRS, 1993, records series 17125. Official copy of accepted RFP is transferred to the contract file.

Official Date:

Retention Period		
Office	Rec.Center	Total
2	0	2Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 02-001 Fiscal/Programs/Legal / All Units
19672 CENTRAL CONTRACT MANAGEMENT FILES

Used to administer the contract management function. Includes workscope documents, site-visit letters, and Vendex contractor performance evaluation. Arranged chronologically then numerically by borough
 Inventory Date : 4/9/1995

Comments:

Retain six years in office. General Provisions Governing Contracts with Contract Agencies Receiving Funds Through the Fiscal Center, Art. 6, Sec. E.

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 02-001 Fiscal/Programs/Legal / All Units
19673 CONTRACT MANAGER'S FILE

Used to monitor and assess contract programs. Includes grant agreement (workscope), budget summary, handwritten notes taken in the field and periodic performance reports. Arranged
 Inventory Person : CPM Inventory Date : 4/7/1995

Comments:

Retain one year in office. See also Central File, records series 19672, this schedule.

Official Date:

Retention Period		
Office	Rec.Center	Total
1	0	1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 02-001 Fiscal/Programs/Legal / All Units
19674 MCKINNEY'S HOMELESS ORIGINAL PROPOSALS

Consists of proposals for homeless care under the McKinney Program. Includes observations and site visit records. Arranged chronologically then alphabetically by agency name.

Inventory Person : CPM Inventory Date : 4/7/1995

Comments:

CL= Close of contract. Retain two years in office after close of contract then transfer to the Municipal Records Center for an additional 13 years. Law Department memorandum, August 18, 1996

Official Date:

Retention Period		
Office	Rec.Center	Total
2	13	CL+ 15Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19675 BUDGET REVIEW FILE - DUPLICATE

Used to determine budgetary allocations of community-based organizations for possible renewal. Includes copies of budget correction, budget modification and infusion, P.S. and O.T.P.S. breakdown and correspondence. Arranged chronologically then numerically by borough, neighborhood development

Inventory Person : CPM Inventory Date : 4/3/1995

Comments:

MU-1; 1.(51) Budget preparation file

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19676 BUDGET FILE

Used for comprehensive reference. Includes a complete set of original and modified final budgets without supporting documents. Arranged chronologically then numerically by borough, neighborhood

Inventory Person : CPM Inventory Date : 4/3/1995

Comments:

Retain six years in office. Department for the Aging/Administration/Fiscal RRS, 1988, records series 5026. For duplicate copy see records series 19675, this schedule. MU-1; 1.(51) Page 6

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19677 AUDIT REPORTS - FISCAL CENTER

Auditing reports provided by a Fiscal Center. Services include payroll, timekeeping and other bookkeeping services for Community Development Agency sponsored community-based organizations. Arranged

Inventory Person : CPM Inventory Date : 4/3/1995

Comments:

See Also MU-1; 2.(346) Page 68

Retain six years in office. General Provisions Governing Contracts with Contract Agencies Receiving Funds Through the Fiscal Center, Art. 6, Sec. E.

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19679 AUDIT REPORTS - DIRECT FUND PROGRAM

Auditing reports provided by various accounting firms for community-based organizations that receive funding from various sources including the Community Development Agency. Audits indicate funds received, expenditures made and equipment inventory. Arranged chronologically then alphabetically by community-based organization. Inventory Person : CPM Inventory Date : 4/3/1995

Comments: See MU-1:1.[260] Page 61

Retain six years in office. General Provisions Governing Contracts with Contract Agencies Receiving Funds Through the Fiscal Center, Art. 6, Sec. E.

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19680 AUDIT FIELD REPORTS

Internal control questionnaire used for program monitoring. Includes such categories as payroll, general accounting, cash receipts/disbursements, income generation and affirmation of tax payment with Inventory Person : CPM Inventory Date : 4/3/1995

Comments: See also MU-1: 1.[260] Page 61

CL= Close of internal audit. Retain one year in office after close of audit then transfer to the Municipal Records Center for an additional nine years. Department for the Aging/Administration/Fisc:

Official Date:

Retention Period		
Office	Rec.Center	Total
1	5	6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19681 FISCAL FILE - PRE-1985

Consists of community-based organization payroll records, tax records for federal/state/city deductions, correspondence and funding schedules of area policy boards/neighborhood development agency. Inventory Person : CPM Inventory Date : 3/4/1995

Comments: See : MU-1:1(51) Page 63

Retain six years in office.

Official Date:

Retention Period
Office Rec.Center Total

6 0 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19682 REVENUE AND EXPENDITURE STATEMENTS - FISCAL CENTER

Computer printouts of the Fiscal Center that provides accounting services for CDA-sponsored community-based organizations. Includes community-based organization budget for fiscal year and ex-Inventory Person : CPM Inventory Date : 4/3/1995

Comments:See MU-1:1(51) Page 63

Retain one year in office. Department for the Aging/Administration/Fiscal RRS, 1988, records series
Official Date:

Retention Period
Office Rec.Center Total

1 5 6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19683 COMMUNITY-BASED ORGANIZATION PERSONNEL FOLDER

For employees of community-based organizations sponsored by the Community Development Agency. Includes W2 forms, health insurance claims of employees and application for employment. Arrange Inventory Person : CPM Inventory Date : 4/3/1995

Comments:See MU-1: 8(371) Page 92

T=Termination of employment. Retain 6 years in office after termination of employment then transfer to the Municipal Records Center for an additional 50 years. Department for the
Official Date:

Retention Period
Office Rec.Center Total

6 50 Permanent

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19684 FREEDOM OF INFORMATION LAW (FOIL) REQUESTS FILE

Used for documentation of FOIL requests received, and followed-up under the Freedom of Information Law. Consists of correspondence regarding the request, response letters from the requestors, copies of checks, copies of information records provided by FOIL, and all other general information regarding Inventory Person : CPM Inventory Date : 3/4/1995

Comments:

CL= Close of case. Retain five years in office after close of case. Department of Transportation/Litigation Support and Records Management/FOIL Unit RRS, 1993, records series 1728
Official Date:

Retention Period
Office Rec.Center Total

5 0 CL+ 5Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19685 DISCIPLINARY HEARING CASE FILES

All documents relating to disciplinary case hearings. Series documents may include:

1) Letters of commendation and/or unsatisfactory performance occurrences, 2) Performance Evaluations (copies), 3) Absence records, 4) Notice of Complaints filed by employee with NYS Division of Human Rights, 5) Case Hearing decision, and 6) Termination notices. Arranged alphabetically by employee name
Inventory Person : CPM Inventory Date : 3/4/1995

Comments:See MU-1: 5(650] Page 22

CL= Close of case. Retain in office ten years after close of case. Department of Transportation/Office of the General Counsel RRS, 1987, records series 5688.

Official Date:

Retention Period

Office Rec.Center Total

10 0 Permanent

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19686 STATE LEGALIZATION IMPACT ASSISTANCE GRANT CONTRAC

Originally signed contract used as agency copy of record to document agreement with community-based organization. Includes boilerplate, budget, work- scope, VENDEX affirmation and dated signatures

Inventory Person : CPM Inventory Date : 3/31/1995

Comments: See MU-1:18 (722) Page 67

Retain three years in office. Department for the Aging RRS/Contract Management Services RRS, 1988, records series 5294. See also original contract, records series 19658, this schedule.

Official Date:

Retention Period

Office Rec.Center Total

6 0 6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19687 LITERACY GRANT CONTRACTS - DUPLICATE

Originally signed contract used as agency copy of record to document agreement with community-based organization. Includes boilerplate, budget, work- scope, VENDEX affirmation and dated signatures

Inventory Person : CPM Inventory Date : 3/31/1995

Comments:See MU-1:2.[6.6]

Retain three years in office. Department for the Aging/Contract Management Service RRS, 1988, records series 5294.

Official Date:

Retention Period

Office Rec.Center Total

3 0 + 6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

02-001 Fiscal/Programs/Legal / All Units

19689 DENIED REQUEST FOR PROPOSAL - DUPLICATE

Used to document proposals considered during the selection process for grantees. May include application for funding, narrative of proposed program, population served, budget summary, correspondence and other supporting documents. Arranged chronologically then alphabetically by proposed Inventory Person : CPM Inventory Date : 3/31/1995

Comments:0 after no longer needed.See Page MU-1:13.[2.46]

Retain two years in office. Mayor's Office/Deputy Mayor for Public Safety RRS, 1993, records series 17125. Official copy of accepted RFP is transferred to the contract file.

Official Date:

Retention Period		
Office	Rec.Center	Total
0	0	0

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

04-001 ALL UNITS / All Units

12011 CLOSED CASE RECORDS (SSC)

Consists of Special Data and Status Record, History Sheet, Report of Suspected Child Abuse or Maltreatment, memoranda, computer reports, Record of Children's Placement, Preliminary Report of Investigation, Court Orders, Maternity Forms, Birth Certificates, Social Security Number, and public Inventory Person : AM Inventory Date : 4/3/1989

Comments:

CL = Closing of case. Retain 10 years in office after closing. NYS RRDS 18-SS-1, Item #289-291; 293-

Official Date:

Retention Period		
Office	Rec.Center	Total
10	0	CL+ 10Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-002 MEDICAL ASSISTANCE PROGRAM

12042 CLOSED MEDICAL CASE RECORDS

Consists of Authorization for Medical Assistance History Sheets, Referral Forms, Medicaid Recertification, Application for Medicaid Assistance, notes, etc. and all other records pertaining to Medical Inventory Person : AM Inventory Date : 4/11/1989

Comments:

CL = Closing of case. Retain 6 years in office after closing. NYS RRDS CO-2, Social Services, item 1e, p. 79.

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	CL+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

12010 INCOME SUPPORT PUBLIC ASSISTANCE CASES

Consists of Master Clearance forms, Case Summary/ Change Report, Notice of Discontinuance of Public Assistance, Request for Case Closing, Medical Reports, Request for Recruitment, copies of Birth Certificates, School Verification, etc. and all other records relating to Income Maintenance cases. Arranged Inventory Person : AM Inventory Date : 4/3/1989

Comments:

CL = Closing of case. Retain in office 6 years after closing. NYS RRDS CO-2, Social Services, item 1e, p. 79.

Retention Period		
Office	Rec.Center	Total
6	0	CL+ 6Y

Official Date:

1/ 6/2006

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

12015 PAYMENTS CORRESPONDENCE

Consists of incoming correspondence regarding vendor statements for payments. Arranged alphabetically by provider name, and then numerically by case #. Inventory Person : AI Inventory Date : 4/6/1989

Retention Period

Office	Rec.Center	Total
7	0	7Y

Comments:

Retain in office for 7 years. NOTE: This record series is directly related to Medical Financial Records(series #12014)

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

16222 SPECIAL AUTHORIZATIONS OR GRANT FORMS (PRE-1985)

An authorization and input document used in the preparation of a check for the recipient to receive monies for special purposes, either on a onetime basis, recurring situations or in emergencies. Forms used were: W661, W664A, W662B, which contain client's identification, purpose of the check, the amount and the number of times check is to be issued and the requesting and authorizing signatures Inventory Person : JK

Comments:

Retain 2 years in office, then TRANSFER TO THE HRA'S INFORMATION RETREIVAL SERVICES STORAGE AREA FOR AN ADDITIONAL 5 YEARS. These forms are now obsolete, since the implementation of ti

Official Date:

Retention Period

Office	Rec.Center	Total
2	5	7Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

16224 PUBLIC ASSISTANCE CHECKS (PRE-1985)

Used for Public Assistance Checks that were never microfilmed. Punched card type checks with differing backgrounds, names and number series, e.g. Recurring Checks, Emergency Assistance Checks and Special Grants. Arranged by type of check, month issued and then in check number
Inventory Person : JK

Comments: See MU-1:6.[22.22]

Retain 7 years in office. After 1984, checks were microfilmed. For hard copy of checks that were microfilmed, see record series 16847, this schedule. For microfilm, see record series 16848
Official Date:

Retention Period		
Office	Rec.Center	Total
7	0	7

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
Div/Dept: 05-004 FAMILY INDEPENDENCE ADMINISTRATION

16225 INCOME MAINTENANCE QUALITY ASSURANCE CASE RECORDS

Used for internal auditing of programs compliance to procedures. Consists of records of internal review of cases randomly selected to verify the accuracy of the records and adherence to procedures. Contains a 29 page worksheet to guide the reviewer (Form W-907SS), Wage Reporting System printouts, letter verifying attendance at school by children, work sheets, letters and other supporting
Inventory Person : JK

Comments: See MU-1:6.[22.22]

CL = Close of review. Retain 2 years in office after close of review, then TRANSFER TO HRA'S INFORMATION RETREIVAL SERVICES STORAGE AREA FOR AN ADDITIONAL 4 YEARS. NYS RR
Official Date:

Retention Period		
Office	Rec.Center	Total
2	4	6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
Div/Dept: 05-004 FAMILY INDEPENDENCE ADMINISTRATION

16227 PUBLIC ASSISTANCE CUMULATIVE PAYROLL (PRE-1980)

Used for Public Assistance Cumulative Payrolls that were never microfilmed. Form contains case number, case name, Income Maintenance Center category, month, codes, dollar amount, number of payments, and the yearly total. Management Information Systems has a report, Ledger Inquiry System, which indicates by case number, how much was paid each month with data from 1979 onward. Filed
Inventory Person : JK

Comments: See MU-1:68.[1.345]

Retain 10 years in office. After 1979, payrolls were microfilmed. For hard copy of payrolls that were microfilmed, see record series 16864, this schedule. For microfiche, see series 16228
Official Date:

Retention Period		
Office	Rec.Center	Total
10	0	10Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
Div/Dept: 05-004 FAMILY INDEPENDENCE ADMINISTRATION

16228 PUBLIC ASSISTANCE CUMULATIVE PAYROLL - MICROFICHE

A microfiche copy of PUBLIC ASSISTANCE CUMULATIVE PAYROLL depicting total payments made to recipients for one year. Form contains case number, case name, Income Maintenance Center category, month, codes, dollar amount, number of payments, and a yearly total. Filed chronologically by paymer
Inventory Person : JK

Comments:See MU-1; 1[345] Page 68

Retain 10 years in office. Rolls began to be microfilmed in 1980. Official copy of microfilm retained by HRA/Bureau of Reconciliation. For hard copy see r.s. 16864. For pre 1980 non microfilmed rolls see r.s
Official Date:

		Retention Period		
		Office	Rec.Center	Total
		10	0	10Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

16230 SIGNED REFERRALS BOOKS (REGISTERS)

Used to log New York City Department of Social Services (NYC/DOSS) employable referrals to New York State Employment Services. Register gives name and social security number of client and agency from
Inventory Person : JK

Comments:See MU-1:3[579] Page 165

CL = Closing/last entry in register. Retain 6 years in office after the last entry in log book. NYS RRDS CO-2, Social Services, item 3, p.80. May 1990

Official Date:

		Retention Period		
		Office	Rec.Center	Total
		6	0	Permanent

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

16231 NON PUBLIC ASSISTANCE FOOD STAMP ACTIVITY REPORTS

Consists of E-4 Series of reports used to compile statistics of daily, weekly and monthly activities and to provide data which is incorporated into other agency reports. Contains reception schedules, activity reports, caseworker reports of daily activity, supervisor's summary of caseworker activities. Report Stamp site identification number, then by date. Inventory Person : JK

Comments:MU-1: 22.[22] Page 6

Retain 2 years in office. Department of Sanitation/All Units RRS, January 1989, record series 5098.

Official Date:

		Retention Period		
		Office	Rec.Center	Total
		2	0	6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

16234 FOOD STAMP DATA ENTRY DOCUMENT - W-677B

Used when entering new cases or changing information on existing cases into the Welfare Management System. Contains case number, client's name, household information, meals on wheels, lodger/boarder information including income and amount of budget also includes the signature of the caseworker, supervisor, data entry and control clerk. The original on which changes are made, remains in the client's Comments:

Retain 2 years in office. For case record, see INCOME MAINTENANCE PUBLIC ASSISTANCE CASES (record series 12010) and NON-PUBLIC ASSISTANCE FOOD STAMP CASES (record series 104)

Official Date:

Retention Period

	Office	Rec.Center	Total
	2	0	2Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

16847 PUBLIC ASSISTANCE CHECKS - HARD COPY (1985-MAR. 1

Used to provide Public Assistance recipients with money. Issued on checks with differing backgrounds, names and number series, e.g. Recurring Checks, Emergency Checks and Special Grants. Arranged by Inventory Person : JK

Comments:MU-1: 3.[265] Page 62

This series is obsolete. In April 1986 it was replaced by ELECTRONIC PAYMENT & FUNDS TRANSFER RECEIPTS, record series 16240, 16845. Checks began to be microfilmed in 1984. For microfilm, s

Official Date:

	Retention Period		
	Office	Rec.Center	Total
	1	0	6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

16848 PUBLIC ASSISTANCE CHECKS - MICROFILM (1985-MAR 198

Used to provide Public Assistance recipients with money. Issued on checks with differing backgrounds, names and number series, e.g Recurring Checks, Emergency Assistance Checks and Special Grants. Arranged by type of check, month issued and then in check number sequence. Checks are microfilmed Inventory Person : JK

Comments:See MU-1: 3[421] Page 107

This series is obsolete. In April 1986 it was replaced by ELECTRONIC PAYMENT & FUNDS TRANSFER RECEIPTS, see record series 16240 and 16845. Checks began to be microfilmed in 1984. Official copy

Official Date:

Retention Period

	Office	Rec.Center	Total
	7	0	7Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

16864 PUBLIC ASSISTANCE CUMULATIVE PAYROLL - HARD COPY (

A computer printout of total payments made to Public Assistance recipients for one year. Form contains case number, case name, Income Maintenance Center category, month, codes, dollar amount, number of payments, and the yearly total. Filed chronologically by payday and then numerically by case number

Inventory Person : DM

Comments:See MU-1: 3[265] Page 62

Retain 1 year in office. Payrolls began to be microfilmed in 1980. For microfiche, see series 16228. For pre-1980 non- microfilmed payrolls, see series 16227

Official Date:

Retention Period		
Office	Rec.Center	Total

1	5	6
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

17334 CLIENTS' PHOTO-IDENTIFICATION CARDS

Returned cards which were used to verify the identity of Public Assistance and non Public Assistance Food Stamp clients who cash checks. A plasticized card which carries client's photograph, signature, name, address and case numbers, also includes an embossed serial number. Arranged by client's
Inventory Person : DM Inventory Date : 4/14/1992

Comments:MU-1: 29[33] Page 7

T = Termination/when card becomes invalid. Retain cards 1 year in office after termination or when the card becomes invalid. Confidential Burning Required. NYS, RRDS CO-2, May 1990, General, Item 33. |

Official Date:

Retention Period		
Office	Rec.Center	Total

1	0	0 after Invalid
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-004 FAMILY INDEPENDENCE ADMINISTRATION

18128 RECONCILIATION (RECON) LEDGERS

A computerized list giving client's "recon" numbers, these are numbers which correspond with those embossed on the Photo ID, and which appear on Electronic Payment Fund Transfer document, and on checks when transacted. The client signs indicating receipt of the ID and corresponding numbers. Handwritten in are the case and center number, client's first and last name & signature. Arranged
Inventory Person : DM Inventory Date : 11/19/1992

Comments:See MU-1: 8[194] Page 38

CL =Close/Last entry in Ledger. Duplicate copies are sent to the Office of Financial Management. For client's Photo IDs see r.s. 17334. Retain 10 years in office after close of/last entry in ledger

Official Date:

Retention Period		
Office	Rec.Center	Total

10	0	10
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-005 MEDICAL ASSISTANCE PROGRAM/ADULT PROTECTIVE SERVICES

23001 CLOSED CLIENT CASE RECORDS

Records and specific forms for referral, assessment, eligibility determination, service planning, reauthorization, applications for benefits related to Social Security, Public Assistance, Eviction prevention, Office of Legal Affairs (Guardian Ad Litem, Community Guardian, NYPD, DA), financie

agency and non-agency services. Letter-sized documents, arranged alphabetically by name and

Comments:See MU-1: 2[419] Page 107

CL=Close of case. Retain for 6 years (in accordance with Medicaid recommendation and justification)
Official Date:

Retention Period		
Office	Rec.Center	Total

2	4	6
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

06-001 OFFICE OF PERSONNEL SERVICES

18264 WEEKLY TIME SHEETS FOR TEMPORARY EMPLOYEES

Used as a source document when constructing the payroll for employees hired through employment contractors or agencies. Consists of the customer's copy of the contractor's forms which includes the times and hours worked by each employee, also includes the supporting time cards. Maintained
Inventory Person : DM Inventory Date : 1/11/1993

Comments:MU-1: 3[366] Page 91

Separate files on an annual basis. Retain files 3 years in office. Dept. of Sanitation/Financial Management & Administration RRS, September 1991, record series 13536

Official Date:

Retention Period		
Office	Rec.Center	Total

3	0	6Y
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

06-002 OFFICE OF PERSONNEL SERVICES

18125 PERSONNEL FOLDERS - UPDATABLE FICHE (POST 1983)

Used to document the work history of HRA's employees and for other administrative and reference purposes. Fiche contains images of applications, appointment letters, evaluations and any other paperwork generated by the Personnel Department regarding an employee. Arranged alphabetically by
Inventory Person : DM Inventory Date : 11/19/1992

Comments:See MU-1: 3[387] Page 98

T = Termination of employment. Separate active folders from terminated ones. For official copy see PERSONNEL FOLDERS - HARD COPY, records series 18530 (retain for 56 years after termination). S

Official Date:

Retention Period		
Office	Rec.Center	Total

10	46	Permanent
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

06-002 OFFICE OF PERSONNEL SERVICES

18393 PERSONNEL FOLDERS - DUPLICATES

Used for reference and other administrative purposes. Consists of duplicate copies of employees' personnel folders. Can include copies of evaluations, requests for personnel action, memoranda, letters of introduction, reprisals or commendation, probation reports, and tasks and standards. May also include requests for leave, copies of time sheets and supervisor's absence control reports. Arranged
Inventory Person : DM Inventory Date : 3/11/1993

Comments:See MU-1: 19[19] Page 5 and 6

T = Termination of employment. After termination of employment retain for 1 year in office. For official copy of PERSONNEL FOLDERS see record series 3152, 18125 and 18393, this schedu
Official Date:

		Retention Period		
		Office	Rec.Center	Total
		0	0	0
		After no longer needed		

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

06-002 OFFICE OF PERSONNEL SERVICES

18400 WEEKLY TIME CONTROL SHEETS

Used to document the hours worked by managerial and non-managerial staff. Consists of form W-347 which records time actually worked, leave usage and overtime earned. Arranged alphabetically by Inventory Person : DM Inventory Date : 3/11/1993

Comments:See MU-1: 3[366] Page 91

Separate files on an annual basis. Retain files 3 years in office. Dept. of Sanitation/Central Timekeeping Unit, RRS

Official Date:

		Retention Period		
		Office	Rec.Center	Total
		6	0	+ 6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

06-002 OFFICE OF PERSONNEL SERVICES

18423 WEEKLY TIME AND LEAVE FILES

Used to document all requests for leave, overtime requests, and explanations for unplanned absences for employees who are required to punch time cards. Filed alphabetically by employee's last name, the Inventory Date : 3/15/1993

Comments:See MU-1: 3[366] Page 91

Separate files on an annual basis. Retain files 3 years in office. Dept. of Sanitation/Timekeeping RRS, March 1990, record series 11979.

Official Date:

		Retention Period		
		Office	Rec.Center	Total
		6	0	6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

06-002 OFFICE OF PERSONNEL SERVICES

18424 PAYROLL CARDS (PRE-1989)

Used to record the salary history for HRA employees. Contains initial salary at the beginning of the year and any adjustments to salary thereafter with explanations as they happened. Ledger notes the social security number, W-4 information, health insurance information, civil service status, pay status including Inventory Person : DM Inventory Date : 3/15/1993

Comments:MU-1: 1[345] Page 68

T = Termination of employment. Retain for 10 years in office after termination date. Transfer to HRA's Records Center for an additional 46 years. Separate active folders from terminated ones

Official Date:

Retention Period

Office Rec.Center Total

55

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

06-002 OFFICE OF PERSONNEL SERVICES

18425 PERSONNEL ADMINISTRATION/SUBJECT FILES

Used for administrative purposes. Consists of correspondence, memoranda, monthly reports, diaries (calendars), and handwritten notes. Legal and letter sized. Arranged alphabetically by subject.

Inventory Person : DM Inventory Date : 3/15/1993

Comments:See MU-1: 6[325] Page 84

Separate files on an annual basis. Retain files 6 years in office. Dept. of Consumer Affairs/Employee Relations RRS, March 1990, record series 12120.

Official Date:

Retention Period

Office Rec.Center Total

6 0 + 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

06-002 OFFICE OF PERSONNEL SERVICES

18437 PAY CHECK DISTRIBUTION CONTROL SHEETS

Used to record checks distributed to personnel. Lists all checks and/or pay stubs printed for current pay period. Report lists pay date and cycle, payment method, payroll number and distribution code, whether Commissioner or regular checks, employee name and ID number. Also includes sign-out sheets covering

Inventory Person : DM Inventory Date : 3/21/1993

Comments:See MU-1 :3[347] Page 68

Retain 3 years in office. Separate files on an annual basis. Dept. of Consumer Affairs/Administrative Services RRS, March 1990, record series 11874.

Official Date:

Retention Period

Office Rec.Center Total

6 0 6

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

06-002 OFFICE OF PERSONNEL SERVICES

18530 PERSONNEL FOLDERS - HARD COPY

Used to document the work history of HRA's employees and for other administrative and reference purposes. Consists of applications, appointment letters, evaluations and any other paperwork generated by the Personnel Dept. regarding an employee. Arranged alphabetically by employee's surname or b

Inventory Date : 4/6/1993

Comments:See MU-1 :[387] Page 98

T = Termination of employment. Separate active folders from terminated ones. Retain folders in office for 10 years after termination date. Transfer to HRA's storage facility for an additional 46 years. See also

Official Date:

Retention Period

		Office	Rec.Center	Total
		10		Permanent

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

09-000 AGENCY FOR CHILD DEVELOPMENT

17324 ADMINISTRATIVE FILES - STATISTICAL RECORDS

Used to document fiscal payments to day care programs for services rendered to children. Contains Automated Claiming Report (Form 147 PL's) which gives control number, month and year of care, also gives child's name, monthly fee, Public Assistance case number and child's date of birth. Arranged by

Comments:See MU-1: 9[866.b] Page 52

Separate files on an annual basis. Retain files 2 years in office, then transfer to the HRA's Information Retrieval Services Storage Area for an additional 4 years. NYS RRDS CO-2, May 1990, Fiscal, Item 12 Official Date:

		Retention Period		
		Office	Rec.Center	Total
		2	4	+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

09-000 AGENCY FOR CHILD DEVELOPMENT

17325 DENTAL FINANCIAL RECORDS

Used to document financial payments, to various dental organizations, for children receiving Day care services. Consists of Dental Claims Detail Report (ACD-145-P4). Arranged alphabetically by name c Inventory Person : DM Inventory Date : 4/13/1992

Comments:See MU-1: [3.460] Page 119

Separate files on an annual basis. Retain files 6 years in office. NYS RRDS CO-2, May 1990, Fiscal, Ite Official Date:

		Retention Period		
		Office	Rec.Center	Total
		6	0	+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

09-000 AGENCY FOR CHILD DEVELOPMENT

17326 DAY CARE CASE FILES

Used to establish eligibility for Day Care Services. Includes the following completed forms - Application for Services (DGS 2560), Day Care Supplement to Application for Services (DGS 2561), Approval for Day Care Eligibility (ACD 67), Day Care Office Record (M904A), Transmittal for New Children (ACD 95), Day Care Center Preference Statement (ACD 85), and Notice of Intent to Discontinue (ACD 1001 Inventory Person : DM Inventory Date : 4/13/1992

Comments:See MU-1: [4.616.b] Page 181

Separate files on an annual basis. Retain files 2 years in office, then transfer to HRA's Information Retrieval Services Storage Area for an additional 4 years. NYS RRDS CO-2, May 1990, Soci Official Date:

		Retention Period		
		Office	Rec.Center	Total
		2	4	+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 09-000 AGENCY FOR CHILD DEVELOPMENT
17327 ATTENDANCE SERIES

Used to document attendance of students in Day care system and to determine billing and charges. Consists of an Automated attendance and fee record - ACD -1 (147). Arranged alphabetically by Day Inventory Person : DM Inventory Date : 4/13/1992

Comments:See MU-1: [12.256] Page 66

Separate files on an annual basis. Retain 2 years in office, then transfer to HRA's Information Retrieval Services Storage area for an additional 4 years.

Official Date:

Retention Period		
Office	Rec.Center	Total
2	4	+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 10-000 BUREAU OF CLIENT FRAUD INVESTIGATION
17328 INVESTIGATIVE FOLDERS - CONCEALED ASSETS (PRE-1986

Used to determine whether client has concealed assets, which were not reported when requesting assistance. Consists of files containing the record of investigations and recommendations for action. M-629), NYS Benefits Ledger Transcript, Bank Clearance Form (M-734), Refund Summary Form (W - 521 Recoup), Investigative letters, and summary of actions taken. Arranged chrono by year of closing, then Inventory Date : 4/13/1992

Comments:See MU-1: [3.212] Page 50

CL = Close of investigation. Retain 2 years in office, then transfer to HRA's Information Retrieval Service: Storage Area for an additional 5 years. Confidential Burning Required. This series is now obsolete

Official Date:

Retention Period		
Office	Rec.Center	Total
Permanent		

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 10-000 BUREAU OF CLIENT FRAUD INVESTIGATION
17329 INVESTIGATIVE FOLDERS - IMMIGRATION & TRANSIT (PRE

Used to verify the legitimacy of immigrants and foreigners requesting welfare. Contains a form letter to foreign consulates requesting verification of information.

May also contain copies of passports, marriage, and/or birth certificates and a record of any public assistance or medical assistance provided. Arranged alphabetically by client's name

Inventory Person : DM Inventory Date : 4/14/1992

Comments:See MU-1: [2.578] Page 165

CL = Close of Investigation. Separate files on an annual basis. Keep closed cases separate. Confidential Burning Required. Current investigations documentation are part of IM PUBLIC ASSISTANCE CASES,

Official Date:

Retention Period		
Office	Rec.Center	Total
Permanent		

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 10-000 BUREAU OF CLIENT FRAUD INVESTIGATION
17330 INVESTIGATIVE FOLDERS - LEGAL/CRIMINAL (PRE-1985)

Used to document the investigation process and recommendation for criminal action for clients who committed fraud and whose cases have been sent to the District Attorney for legal action. Contains documentation of the action and recommendation of the D.A., chronological record of the case, original case records, and other supporting evidence. Arranged chronologically by year, alphabetically by Inventory Person : DM Inventory Date : 4/14/1992

Comments:

CL = Close of investigation/when D.A. makes his determination. Confidential

Burning Required. Keep closed cases separate. This series is now obsolete. Official documents are

Official Date:

Retention Period		
Office	Rec.Center	Total
2	5	CL+ 7Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 10-000 BUREAU OF CLIENT FRAUD INVESTIGATION
17331 INVESTIGATIVE FOLDERS - WELFARE INSPECTOR GENERAL-

Used when conducting investigations that are requested by the NYS/Dept. of Social Services/ Welfare Inspector General(WIG). File contains transcripts of Public Assistance Forms (W-529), investigative letters and replies, copies of case records, birth certificates, leases, Wage Reporting System report data Inventory Date : 4/14/1992

Comments:When any significant problem is encountered: Retention 21 years When no significant problem

CL = Close of investigation/ Retain 2 years in office, then transfer to HRA's Information Retrieval Services Storage Area for an additional 4 years after close of Investigation. Confidential Burning Required

Official Date:

Retention Period		
Office	Rec.Center	Total
3 years and 21 years		

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 10-000 BUREAU OF CLIENT FRAUD INVESTIGATION
17332 INVESTIGATIVE FOLDERS - LEGAL/CIVIL (PRE-1983)

Used to document the investigation process and recommendations for civil action. Contains documentation of the investigation and conclusions. May also contain some information of Investigative Record (Legal or Criminal), Miranda Notice and other investigatory material. Arranged chronologically by Inventory Person : DM Inventory Date : 4/15/1992

Comments:See page MU-1: [3.523] Page 146

CL = Close of Investigation. Retain files 2 years after the completion of the investigation, then transfer to HRA's Information Retrieval Services Storage Area for an additional 5 years

Official Date:

Retention Period		
Office	Rec.Center	Total
2	5	7Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 10-000 BUREAU OF CLIENT FRAUD INVESTIGATION
17333 INVESTIGATIVE FOLDERS (PRE-1981)

Used by HRA field offices to document complaints of impropriety on the part of Welfare recipients. Consists of the records of the investigation and recommendations for action. Folders include Industrial Survey(M-629), NYS Benefits Ledger Transcript, Bank Clearance Form (M-734), Refund Summary Inventory Person : DM Inventory Date : 4/14/1992

Comments: See MU-1: [2.578] Page 165

CL = Close of investigation. Retain files 1 years in office after close of case, then transfer to HRA's Information Retrieval Services Storage area for an additional 5 years.

Official Date:

Retention Period		
Office	Rec.Center	Total
2	5	7Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 11-000 GENERAL COUNSEL/LEGAL AFFAIRS
18114 FREEDOM OF INFORMATION LAW REQUESTS (PRE-1986)

Used to document all Freedom of Information Law (FOIL) requests and the disposition of all such requests. Folders include internal memoranda, letters of requests, copies of response letters, receipts and correspondence. Also includes denied and appealed requests. Arranged chronologically by date of Inventory Date : 11/18/1992

Comments:

Separate files on an annual basis. Retain files 5 years in office. For requests processed after 1985, see Official Date:

Retention Period		
Office	Rec.Center	Total
5	0	5Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 11-000 GENERAL COUNSEL/LEGAL AFFAIRS
18115 FREEDOM OF INFORMATION LAW (FOIL) - DENIED REQUEST

Used to document FOIL requests which were denied but not appealed. Includes internal memoranda, letters of requests, copies of response letters, receipts and correspondence. Arranged chronologically Inventory Person : DM Inventory Date : 11/18/1992

Comments:

Separate files on annual basis. Retain files 5 years in office. For all FOIL requests processed prior to 1986 see record series 18114; for Appealed Requests (POST 1985), see r.s. 18116; for Routine Requests (POST

Official Date:

Retention Period		
Office	Rec.Center	Total
5	0	+ 5Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 11-000 GENERAL COUNSEL/LEGAL AFFAIRS

18116 FREEDOM OF INFORMATION LAW - APPEALED REQUESTS (PO

Used to document the requests, responses and final outcome of Freedom of Information (FOIL) requests which have been denied and the denial appealed. Can include internal memoranda, letters of request or Freedom of Information request form, response letter, receipts and correspondence. Arranged
Inventory Date : 11/17/1992

Comments:

CL = Close/Final disposition of requests. Separate active requests from inactive. Retain 4 years after final disposition of request. For requests processed PRE-1986 see r.s. 18114; for Routine Requests see Official Date:

Retention Period		
Office	Rec.Center	Total
4	0	CL+ 4Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

11-000 GENERAL COUNSEL/LEGAL AFFAIRS

18117 FREEDOM OF INFORMATION LAW - ROUTINE REQUESTS (POS

Used to document Freedom of Information Law (FOIL) requests and dispositions which were handled routinely. Consists of Freedom of Information request forms, response letters, receipts and
Inventory Person : DM Inventory Date : 11/18/1992

Comments:

CL = Close/Final disposition of request Retain files 2 years in office. For all FOIL requests processed PRE-1986 see record series 18114; for Appealed Requests (POST 1985), see record series 18116; for Official Date:

Retention Period		
Office	Rec.Center	Total
2	0	2Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

11-000 GENERAL COUNSEL/LEGAL AFFAIRS

18120 PUBLIC WELFARE LIENS - DISCHARGED

Used for tracking and research purposes. Consists of all records, court papers, correspondence and
Inventory Person : DM Inventory Date : 11/18/1992

Comments:

CL = Close/Satisfaction or Discharge of lien. Separate active liens from inactive. Retain 3 years in office after close, then TRANSFER TO HRA's STORAGE FACILITY FOR AN ADDITIONAL 3 YE/

Official Date:

Retention Period		
Office	Rec.Center	Total
3	3	CL+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

11-000 GENERAL COUNSEL/LEGAL AFFAIRS

18122 QUALITY ASSURANCE RANDOM MOMENT STUDIES

Used for internal self audit by the program, to test for compliance with procedures, eligibility standards, checking accuracy of financial grants and compliance with procedural time frames. Folders consist of a worksheet to guide the reviewer, client appointment letters, budget worksheets, computer printouts and

Inventory Person : DM Inventory Date : 11/18/1992

Comments:

CL = Close of Audit. Keep closed cases separate. Separate files on an annual basis. After close of case retain files 2 years in office THEN TRANSFER TO HRA's STORAGE FACILITY FC

Official Date:

Retention Period		
Office	Rec.Center	Total

2	4	CL+ 6Y
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

12-000 OFFICE OF FINANCIAL MANAGEMENT / Division of Check Reconcillia

18129 MONTHLY COMPOSITE ROLLS - PRINTOUTS (PRE-1981)

Used to document on a monthly basis all checks paid to recipients at individual Income Support Centers. Consists of a computer printout indicating the case number, case name, statistical classifications, distributions of funds, total paid and the check numbers.

Each sheet contains a statistical summary of the detailed

information presented. Arranged chronologically by year. Inventory Person : DM

Inventory Date : 11/19/1992

Comments:

Break files on an annual basis. Retain files 4 years in office, then TRANSFER TO HRA STORAGE FACILITY FOR ADDITIONAL 6 YEARS. This series is obsolete as of 1980.

Official Date:

Retention Period		
Office	Rec.Center	Total

4	6	+ 10Y
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Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

13-000 MANAGEMENT INFORMATION SYSTEMS (MIS)

22999 TELEPHONE EQUIPMENT REQUEST FORMS (TERF)

Form M224K4 used to request telephone equipment and telephone service by HR offices. Arranged numerically by identifying number generated sequentially by unit

Retention Period

Office	Rec.Center	Total
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2	0	2Y
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Comments:

Retain for two (2) years in office.

Official Date:

5/10/2004

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

14-001 OES AUDIT COORDINATION

21805 OES CLIENT FILE

Used to document services provided to clients. Includes OES school letter, childcare provider form, DSS-3575 payment authorization form for special payment. Arranged chronologically

Inventory Date : 7/22/1998

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Comments:

Retain 6 years in office from the date of creation Records are subject to audit. OES = Office of Employment Services. DSS = Department of Social Service:

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

14-001 OES AUDIT COORDINATION

21806 OES ATTENDANCE VERIFICATION ROSTER

Used to varify clients participation in OES program. Includes daily sign in sheet, with provider name

Retention Period		
Office	Rec.Center	Total
6	0	+ 6Y

Comments:

Retain 6 years after creation. NYS RRDS CO-2, 1993, Social Services, item 1[617]e

OES = Office of Employment Services.

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22442 CASE FILES(PA) - HARD COPY

Used to pursue establishment of paternity and support for children who are in receipt of public assistance (PA). Documentation may include but are not limited to: Affidavit of alleged paternity, first contact letter, legal separation documents, stipulation agreement, contact letter to respondent (Specific),and other pertinent document Arranged alphabetical by surname of client. IF RECORD IS NC Inventory Person : YC

Comments:

CL = Closed/Court order and paternity established. Separate closed files from active files by year. Retain files for one (1) year after imaged quality verified. See record series 22584 for imaged

Official Date:

Retention Period		
Office	Rec.Center	Total
1	0	CL+ 1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22444 CASE RECORDS - DATABASE

Used for administrative research/reference case record information. Categories include: Public Assistance (PA), and Support Collection Unit (SCU) cases. Child Support Management (CSMS, dumb terminal) System. Informational categories include: Client Name, Social Security Number, Date of Bir Inventory Person : YC

Comments:

CU = Current. Retain record on current basis. Information is expunged periodically & transferred to microfiche by the State, see RS #22445. See record series 22584 for imaged record. Also see record

Official Date:

Retention Period		
Office	Rec.Center	Total
0	0	CU+ 0Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22445 CASE RECORDS - MICROFICHE

Microfiche of case record contained in CSMS database. Arranged in chronological order and numerically by CSMS case number. Eventually all records will be maintained in the ASSETS system and microfiche will be done away with. Currently, June 2000, disbursed fund information is not microfiched.

Inventory Person : YC

Comments:

Separate record on a yearly basis. Retain for six (6) years. See record series 22584 for imaged record.

Also see record series 22444 for database and record series

22445 for microfiche. Also see record series 22594 for ASSETS a PC based system

Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22446 CASE RECORDS (NON-PA) - HARD COPY

Used to enforce court ordered collection of child support payments (Non-Public Assistance-Non PA).

Documents include: Application For Child Support, Confidential Wage Report, Confidential Employment Report, Birth Certificate, Postal Clearance, Acknowledgement of Paternity, Purged Respondant Remarks Screen, Address Change Requests and Income Execution. Arranged alphabetically by surname. II

Comments:

CL=Closed/Record Imaged & Quality Control Verified Separate closed files from active files by year.

Official Date:

Retention Period		
Office	Rec.Center	Total
1	0	CL+ 1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22447 AUDIT REPORTS -(HARD COPY)

Used to document internal investigations conducted in response to client requests. Documents include:

Letters from respondents and respondent's payment records. Arranged in alphabetical order by surname of respondent. IF RECORD IS NOT IMAGED THEN RETAIN HARD COPIES FOR SIX (6) Y

Inventory Person : YC

Comments:

CL=Closed/Record Image & Quality Control Verified Separate closed files from active files by year. Retain for one (1) yr. after imaged quality verified. See record series 22584 for imaged records. Also see record series 22445 for

Official Date:

Retention Period
Office Rec.Center Total

1 0 CL+ 1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22448 EMPLOYMENT PROGRAM FILES (PRE - 2001)

Used to document employment assistance provided to Non-Custodial Parents, Participant Evaluations.

Retention Period

Office Rec.Center Total

1 0 CL+ 1Y

Comments:

CL=Closed/Record Imaged & Quality Control Verified Separate closed files from active files by year.

Retain file for one (1) yr. after imaged quality verified. See record series 22584 for imaged record. Also

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22454 FORGERY CLAIMS -(HARD COPY)

Used to determine whether claims are valid. Documentation includes: Stop Payments, Forgeries Bank Referrals, Bank Referral Follow-Ups, Affidavits and Client Letters. Arranged in chronological order by IF RECORD IS NOT IMAGED THEN RETAIN HARD COPIES FOR SIX (6) YEARS. Inventory Person : YC

Comments:

CL=Closed/Record Imaged & Quality Control Verified Separate closed files from active files by year.

Retain for one (1) yr. after imaged quality verified. See record series 22584 for imaged records. Also see

Official Date:

Retention Period

Office Rec.Center Total

1 0 CL+ 1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22456 CANCELLED CHECKS (HARD COPY)

Record of undeliverable checks used to resolve conflicts. Arranged in chronological order by date and numerically by check number. IF RECORD IS NOT IMAGED THEN RETAIN HARD COPIES FOR Inventory Person : YC

Retention Period

Office Rec.Center Total

1 0 1Y

Comments:

CL=Closed/Record Imaged & Quality Control Verified Separate closed files from active files by year.

Retain file for one (1) yr. after imaged quality verified. See record series 22584 for imaged record. See

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22457 CANCELLED CHECKS (COMPACT DISK)

Used for reference purposes. Compact Disk (CD) of of all cashed checks. Line items on child support management system (CSMS) database. Account Level Records. Inventory Person : YI

Retention Period

Office Rec.Center Total

6 0 6Y

Comments:

Separate records on a yearly basis. Retain for six (6) years. See record series 22456 for hard copies of cancelled checks. Also see record series 22444 for database.

Official Date:

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22458 COLLECTIONS FILES - DTF

Used for enforcing child support payment through the NYS Dept. of Taxation and Finance. Includes: Correspondence, Photo ID's, Challenge determination, Court Order, Challenge Submission Form, and other pertinent documents. Arranged in alphabetical order by surname of respondent. IF RECORD IS NC Inventory Person : YC

Comments:

CL=Closed/Record Imaged & Quality Control Verified Separate closed files from active files by year. Retain for one (1) year after imaged quality verified. See record series 22584 for imaged records. Also

Official Date:

Retention Period

Office Rec.Center Total

1 0 CL+ 1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22459 COLLECTIONS FILES - DMV

Used for enforcing child support payments through NYS Dept. of Motor Vehicle. Places liens on driver license. Includes: Challenge Determination, Challenge Submission form. Arranged in alphabetical order by surname of respondent. IF RECORD IS NOT IMAGED THEN RETAIN HARD COPIES FOR SIX (6) Y

Comments:

CL=Close/Record Imaged & Quality Control Verified Separate closed files from active files by year. Retain for one (1) year after imaged quality verified. See record series 22584 for imaged records. Also see record series 22444 for

Official Date:

Retention Period

Office Rec.Center Total

1 0 CL+ 1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

24-000 OPERATIONS & ADMINISTRATION

22460 ENFORCEMENT/BANKRUPTCY

Used to investigate client allegations of destitution. Includes: Bankruptcy Letters (B91), Bankruptcy Vacate Notices (B10), and other related documents. Arranged in alphabetical order by surname of respondent. IF RECORD IS NOT IMAGED THEN RETAIN HARD COPIES FOR SIX (6) \

Inventory Person : YC

Comments:
 CL=Closed/Record Imaged & Quality Control Verified Separate closed files from active files by year. Retain files for one (1) yr. after imaged quality verified. See record series 22584 for imaged file. Also see record series 22445 for Microfiche, and
 Official Date:

Retention Period		
Office	Rec.Center	Total
1	0	CL+ 1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:
 24-000 OPERATIONS & ADMINISTRATION

22584 CHILD SUPPORT RECORDS- IMAGED

Imaged Records of Child Supports and Enforcement Documents. Categories Includes: Forgery Claims, Audit Reports, Enforcement/Bankruptcy, Collections (Department of Motor Vehicle and Department of Finance), and other related documents. Arranged in numerical order by case number, alphabetical order
 Inventory Person : YC

Comments:

CL= Closed/Youngest Child Aged 21/Order of Support Terminated/Case Closed Administratively. Separate closed imaged record files from active imaged files. Retain for six (6) years after closing. See
 Official Date:

Retention Period		
Office	Rec.Center	Total
6	0	CL+ 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:
 24-000 OPERATIONS & ADMINISTRATION

22594 AUTOMATED STATE SUPPORT ENFORCEMENT & TRACKING SYS

Personal Computer (PC) based system for child support management. Similar to Child Support Management System (CSMS) database. Informational categories include: Client Name, Social Security Number, Date of Birth, Respondent Number, Case Number, and other pertinent informati
 Inventory Person : YC

Comments:

CU = Current. Retain record on current basis. See record series #22584 for Imaged record. Also see record series #22443 for hard copies. For microfiche of records prior to implementation of ASSETS, see
 Official Date:

Retention Period		
Office	Rec.Center	Total
0	0	CU+ 0Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:
 24-000 OPERATIONS & ADMINISTRATION

22654 ACCOUNTING RECORDS

Used to reconcile, document payments and perform various account analysis. Categories include: Adjustments, Banking reports, payment vouchers, and accounting reports. Documentation may consist of: batch sheets, correspondence, payment voucher requests, copy of check, analysis reports, cash receipt books, stale dated reports, OPA listing, trust and Agency reports, cash receipt transmittals and Comments:

Separate record on a yearly basis. Retain in office/Agency Storage for six (6) years.

Official Date:

Retention Period

Office Rec.Center Total

6 0 6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-005 MEDICAL ASSISTANCE PROGRAM/ADULT PROTECTIVE SERVICES

22961 CLOSED SUBSTANCE ABUSE PROGRESS REPORTS

Consists of printouts from Substance Abuse Tracking and Reporting System (STARS), NYCWAY and WMS, Alcoholism Abuse Treatment Program Progress Reports (W932A), baseline clinical an

Retention Period

Office Rec.Center Total

6 0 6Y

Comments:

Retain for 6 years in the office.

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-008 FAMILY INDEPENDENCE ADMINISTRATION

23117 TURN AROUND DOCUMENTS (TAD)

Records used to maintain the paperwork for the administrators of the Family Independence Administration. The paperwork includes the documents and case records of the job and food stamp 349, WINRO 126/126, WINRO 163, WINRO 269, WINRO 352, WINRO 76, WINRO

659, and 119 control cards. Inventory Person:

Inventory Date:

Comments:

Retain files for 1 year, unless there are cases dealing with client/worker fraud, audits, or lawsuits.

Retention Period

Office Rec.Center Total

1 0 1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

05-008 FAMILY INDEPENDENCE ADMINISTRATION

23119 RENTAL ASSISTANCE UNIT DOCUMENTS

Records used to maintain the paperwork for the administrators of the Rental Assistance Unit. This unit

Inventory Person: Inventory Date:

Comments:

Records confidential under the Welfare Reform Act.

Retention Period

Office Rec.Center Total

1 0 1Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 15-000 OFFICE OF QUALITY ASSURANCE
23081 ERROR ACCOUNTABILITY RECORDS

This division is an internal quality control audit component with the Family Independence Administration (FIA). The documents generated by this office include records from Public Assistance, the Food Stamp program, the W907 series of forms (which are the designated forms for the Office of Eligibility Monitoring).
 Comments:

Confidential records; closed case files. All records are to be secured. All case files and control system records are to be retained for 4 years. For reference purposes, records should be retained on-site for 4

Retention Period

Office	Rec.Center	Total
2	4	6Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 16-000 FINANCE OFFICE
23082 DIRECTIVE #1 INTERNAL AUDIT CONTROL RECORDS

Records used as an internal control device in order to maintain the paperwork for the Bureau of Internal Audit. These records include the Internal Control Checklist (ICC) which covers all of the agency's various divisions, reports containing operational, financial, and compliance-related information, as well as
 Comments:

Two copies of the checklist are to be filed with the Office of the Comptroller and an additional copy to be

Retention Period

Office	Rec.Center	Total
7	0	7Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 17-000 OFFICE OF CHILD CARE
23083 CLOSED CHILD CARE CASE RECORDS

Records used to maintain the paperwork for the administrators of the Transitional Child Care (TCC) unit. These records contain Closed Child Care case files, and Closed Medicaid files. Specifically, these files will contain applications for Transitional Child Care Payments (W-560A), Child Care Provider Application (W-237B), Request for Information from Employer (W-560U), Transitional Medical Assistance (TMA) Benefits Quarterly Report (W-560F), Transitional Medicaid form (W-560X), as well as documentation containing proof of address, proof of income or pay stubs, and letter from doctors verifying disabilities of
 Comments:

Documentation needed to update changes in client's income and child care provider as well as for fair hearings. Two years retention recommended as there are no monies issued after the first year of
 Retention Period

Office	Rec.Center	Total
2	0	2Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 Div/Dept:
 18-000 HIV/AIDS SERVICES ADMINISTRATION (HASA)
23115 CLOSED CLIENT CASE RECORDS

Records used to maintain the paperwork for the administrators of the HIV/AIDS Services Administration. These records contain medical information, case notes, financial records, identification records, housing applications, homemaking applications, client profiles, home care applications, contract files, contract amendments, claims, and payment information as well as general information. Specifically, these files contain Client Update Forms. HASA Response to Immediate Needs/EFS History Forms. Ca
Inventory Person: Inventory Date:

Comments:

Keep on-site for 15 years. Confidentiality of case files required by law.

Retention Period

	Office	Rec.Center	Total
	15	0	15Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

19-000 HOME CARE SERVICES PROGRAM

23116 CLOSED CLIENT CASE RECORDS

Records used to maintain the paperwork for the administrators of the Home Care Services Program. This division is responsible for authorizing the delivery of non-institutional long-term

Inventory Person: Inventory Date:

Comments:

Retain on-site for 15 years. Confidential records.

Retention Period			
	Office	Rec.Center	Total
	15	0	15Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

20-000 MEDICAID TRANSPORTATION DIVISION

23084 MEDICAID INSURANCE & COMMUNITY SERVICES ADMINISTRATION

Records used to maintain the paperwork for the administrators of the Medicaid Insurance & Community Services Administration (MICSA). This division collects reimbursements of transportation fares for Medicaid recipients to cover their travel costs from their homes to health care facilities. These records contain rosters from over 240 New York City-based medical facilities, payment request forms (MAP2078A). Facility Reimbursement Request Adjustment sheet for Mass Transit Expenditure (W-719K

Comments:

In the case of an audit these records need to be retained for 7 years. For reference purposes, records should be retained on-site for two years after their creation. After that time period they should be

APPROVALS

Retention Period

	Office	Rec.Center	Total
	2	5	7Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

21-000 OFFICE OF DOMESTIC VIOLENCE AND EMERGENCY INTERVENTION

23118 DOMESTIC VIOLENCE FILES

The division of the ODVEIS assists people who are victims of domestic violence with housing at shelters. The records they maintain include record case files pertaining to domestic violence; medical assistance program records; income support records; and contracts. Specifically, records maintained by ODVEIS may include documents such as Credibility Assessment Profiles; Waiver Re-Assessment Notification

Re-Assessment Appointment Date; and Release of Client Information. Additionally, these files may include correspondence, client information, and legal documents. Inventory Person

Inventory Date:

Comments:

APPROVALS

Retention Period

	Office	Rec.Center	Total
	2	6	8Y

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

Div/Dept:

22-000 HOME ENERGY ASSISTANCE PROGRAM

23085 HEAP CLIENT CASE FILES

This division assists people of low-income households with their home energy needs. The documents generated by this office include case files, HEAP applications, case history notes (W-25 form), low-income budget worksheets, self-employment forms, legal case records, correspondence and spreadsheets. Specifically, these records could include the Conference & Fair Hearing Information Insert Company/Fuel Vendor (HEAP-8Rev), Notice of Direct Vendor HEAP Payment (HEAP-14Rev), Notice of Home Energy Assistance Program (HEAP) Benefit for 2004-2005 (HEAP-21Rev), 2004-2005 Home Energy Assistance Program Insert (HEAP-23Rev), and Notice to Fuel/Utility Company of HEAP Payment (HEAP-24-Rev).

Comments:

Confidential records; closed case files because of Social Security information as well as other personal information gathered and retained. All records are to be secured. Federal requirements dictate that case

APPROVALS

	Retention Period		
	Office	Rec.Center	Total
	4	7	11Y

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

00-000 ALL UNITS

14554 BATCH CONTROL OF SOURCE DOCUMENTS FILE

Used by the input unit as documentation of documents that are to be entered into the computer system. Consists of Batch Control form that usually indicates the document's origin, type of transaction, number of transactions to be inputted, batch control number, beginning and ending control number, signatures, and copy of the document with change to be entered. Arranged chronologically by year, then by batch number.

Inventory Person : JK Inventory Date : 6/27/1990

Comments:

Retain 2 years in office. Only for processing purposes. Information is entered in the on-line computer

Retention Period

	Office	Rec.Center	Total
	2	0	2Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

02-001 Fiscal/Programs/Legal / All Units

19659 STATE LEGALIZATION IMPACT ASSISTANCE GRANT - EXPEN

Used to monitor compliance preparatory to possible retention of contractual agreement with grantee. Includes Verification with itemization of funding. Arranged chronologically then alphabetically by name of community-based organization
Inventory Person : CPM Inventory Date : 3/31/1995

Comments:

Retain six years in office. Department for the Aging/Administration/Fiscal RRS, 1988, records series

Retention Period

Office Rec.Center Total

6 0 + 6Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

05-002 MEDICAL ASSISTANCE PROGRAM

12014 MEDICAL FINANCIAL RECORDS

Consists of Medical and Health Care Payments (1099's), Hospital Care Authorization and Claim Form, Medical Statements, and Hospital Payments
Inventory Person : AM Inventory Date : 4/6/1989

Retention Period

Office Rec.Center Total

7 0 7Y

Comments:

Retain in office 7 years. NYS RRDS CO-2, Social Services, item 12, p. 80. May 1990.

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

05-004 FAMILY INDEPENDENCE ADMINISTRATION

10486 NON-PUBLIC ASSISTANCE FOOD STAMP CASES

Consists of History Employment Record(W132AA), Notice of Documents Received/Required(W120D), Supervisor's Sign Off Sheet(130W), Single Issuance Form (DSS 3574), Notice of Acceptance/Denial of Expense Benefits(M40K), Clearance Wage Report(W112H), Notice of Intent to Discontinue/Reduce Food Stamp Benefits(W138N), Application(DS
Inventory Person : AM Inventory Date : 8/25/1988

Comments:

CL = Closing of case. Retain in office 6 years after closing. NYS RRDS CO-2, Social Services, item 1e, p.

Retention Period

Office Rec.Center Total

6 0 CL+ 6Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

05-004 FAMILY INDEPENDENCE ADMINISTRATION

16220 FACE TO FACE RECERTIFICATION CASE FILES (PRE-1983)

Used to record actions taken when a client's case was recertified. Contains appointment letter (W-

medical reports and other supporting documentation. Arranged numerically by Face to Face
 Recertification site identification number, then chronologically by year
 Inventory Person : JK

Comments:

CL = Close of case. Retain 2 years in office, then TRANSFER TO HRA'S INFORMATION RETREIVAL
 SERVICES STORAGE AREA FOR AN ADDITION
 4 YEARS. This is an obsolete record series.

Retention Period

Office Rec.Center Total

	2	4	CL+ 6Y
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Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 05-004 FAMILY INDEPENDENCE ADMINISTRATION
16223 SUPPLEMENTARY SOCIAL SECURITY INCOME CASE RECORDS

Used for administrative purposes and consists of the
 case records of persons who requested Supplemental Social Security Income. Case records include
 Application for Public Assistance (W-14), Case History (W-25), budget check list, acceptance or
 rejection letters, case printouts (W-677/777). Arranged numerically by location identification number, then
 Inventory Person : JK

Comments:

CL = Close of case. Retain 2 years in office after close of case, then TRANSFER TO HRA'S
 79

Retention Period

Office Rec.Center Total

	2	4	CL+ 6Y
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Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 05-004 FAMILY INDEPENDENCE ADMINISTRATION
16240 ELECTRONIC PAYMENT FILE TRANSFER RECEIPTS

Microfilm copy of transfer receipts verifying that a
 public assistance recipient has received his/her food stamp and public assistance allotments. Receipt
 shows recipient's name, address, case identification number, dollar allotment and the signature of the
 recipient. Arranged chronologically by month, then numerically by voucher number. Official copy of
 Inventory Person : JK

Comments:

RETAIN 7 YEARS AT HRA'S INFORMATION RETREIVAL SERVICES STORAGE AREA. After April 1984,
 16848). After April 1986 checks were no longer the primary payment document

Retention Period

Office Rec.Center Total

	0	7	+ 7Y
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Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
 05-004 FAMILY INDEPENDENCE ADMINISTRATION
16845 ELECTRONIC PAYMENT FILE TRANSFER RECEIPTS - HARD C

Used as evidence that a recipient has received his/her public assistance and food stamp allotments. The City's copy of this receipt (Form 34203) contains recipient's name, address, case identification number, dollar allotments and recipient's signature
Inventory Person : JK

Comments:

RETAIN 3 YEARS AT HRA'S INFORMATION RETRIEVAL SERVICES STORAGE AREA. After 1984 this series replaced PUBLIC ASSISTANCE CHECKS (series 16224, 16847 and 16848). After 1986 checks were no longer the primary payment document. For ELECTRONIC

Retention Period

	Office	Rec.Center	Total
	0	3	3Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
05-004 FAMILY INDEPENDENCE ADMINISTRATION
23086 RENTAL ASSISTANCE UNIT

Records used to maintain the paperwork for the administrators of the Rental Assistance Unit (RAU). This unit processes approvals or denials on applicant's requests for rental assistance with rent in arrears, new apartment fees, and moving costs. The tyoes of documents generated and retained include proof of income, pay stubs, proof of residency, billing statements, civil housing court documents, court documents, and correspondence. there are five main forms contained within RAU's files: W153Q (RAU approval form). W153T (RAU denial form). W153 workers).

Comments:

Confidential records under the Welfare Reform Act.

Retention Period

	Office	Rec.Center	Total
	1	0	1Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
05-004 FAMILY INDEPENDENCE ADMINISTRATION
23087 TURN AROUND DOCUMENTS

Records used to maintain the paperwork for the administrators of the Family Independence Administration (FIA). The paperwork include the documents and case records of the job and food stamp centers; WINRO 135-136 (application aging reports), WINRO 386 (batch transaction reports), WINRO 349 (outstanding errors), WINRO 125/125 (daily error reports) 352, WINRO 76 (re-certification appointment log), WINRO 659 (unresolved RFI hits), and 119 control

Comments:

Keep records for one year; unless there are cases dealing with client fraud, worker fraud, audits, or lawsuits, there would be no reason to keep the records beyond that time.

Retention Period

	Office	Rec.Center	Total
	1	0	1Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

06-000 OFFICE OF PERSONNEL SERVICES(OPS)

14645 PAYROLL LEDGER CARDS/BOOKS

Used as an annual record of employees' payroll.

Consists of labels with employee name, address, Social Security Number, pension number, distribution gross pay, additional gross, Federal withholdings, FICA, NYS & NYC tax withholdings, other payroll deductions, net pay, and remarks. Arranged annually by employee name

Inventory Person : JK Inventory Date : 7/2/1990

Comments:

T = Termination of employee. Retain in office 56 years after termination. NYC General RRS, Item #9918. December 1979.

Retention Period		
Office	Rec.Center	Total
56	0	T+ 56Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

06-000 OFFICE OF PERSONNEL SERVICES(OPS)

14678 EMPLOYEE PERSONNEL ACTIONS

Inventory Person : JK

Inventory Date : 7/5/1990

Retention Period		
Office	Rec.Center	Total
3	0	+ 3Y

Comments:

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

06-000 OFFICE OF PERSONNEL SERVICES(OPS)

14688 EMPLOYEE EVALUATIONS FILE - COPIES

Used for reference. Consists of various forms utilized

over a period of years in evaluating employee performance. Arranged alphabetically by employee name.

Inventory Person : JK Inventory Date : 7/15/1990

Comments:

Retain in office for 1 year. NOTE: Employee Evaluations are now maintained on up-dateable microfiche. Also, originals are kept in the Employee Personnel Folde

Retention Period		
Office	Rec.Center	Total
1	0	+ 1Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

06-002 OFFICE OF PERSONNEL SERVICES

03152 EMPLOYEE PERSONNEL FOLDERS (PRE-1983)

Used to document the work history of HRA's

employees and for other administrative and reference purposes. Folders contain copies of applications, appointment letters, evaluations, annual leave forms, and any other paperwork generated by the Personnel Department or submitted by the employer regarding an employee. Arranged alphabetically b

Inventory Person : DM Inventory Date : 10/28/1991

Retention Period		
Office	Rec.Center	Total
10	46	T+ 56Y

Comments:

T = Termination of employment. After termination of employment retain 10 years in office, then transfer to HRA Storage Facility for an additional 46 yrs. Folders for employees terminated between 1962-67 are stored at the

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

06-003 Office of Personnel Services

19495 PLANNED ACTION REPORTS - POST AUDIT

Used to document requests for Citywide approval of requests for personnel action and to comply with citywide policies. Includes green form #1, canary form #1A for capital interfund, pink form #1B for tax-levy fund, blue form #2 for other categories of personnel action and copy of approval memoranda. Details include justification and recommendations. Legal size, arranged alphabetically by agency and then chronologically

Inventory Person : CPM Inventory Date : 7/13/1994

Comments:

Retain in office for four years. 'Post Audit' refers to review of action after appointment. Requesting

Retention Period		
Office	Rec.Center	Total
4	0	+ 4Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

06-003 Office of Personnel Services

19496 PLANNED ACTION REPORTS - PRE AUDIT

Used to document requests for Citywide approval of requests for personnel action and to comply with citywide policies. Includes green form #1, canary form #1A for capital interfund, pink form #1B for tax-levy fund, blue form #2 for other categories of personnel action and copy of approval memoranda. Details include justification and recommendations. Legal size, arranged alphabetically by agency and then chronologically.

Inventory Person : CPM Inventory Date : 7/13/1994

Retention Period		
Office	Rec.Center	Total
4	0	+ 4Y

Comments:

Retain in office for four years. 'Pre Audit' refers to review of action before appointment. Requesting agency sends copies to Dept of Personnel-Payroll Audit Division

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF

06-003 Office of Personnel Services

19497 PLANNED ACTION REPORT (DUPLICATES)

Includes duplicates of documents requesting Citywide

approval on personnel actions. Arranged alphabetically by employee name. Inventory Person : CPM
Inventory Date : 7/13/1994

Comments:

Retain two years in office. Office of the Mayor/O.M.B./Administration RRS, 1988, records series 7337.

Retention Period

Office Rec.Center Total

2 0 + 2Y

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
07-001 FOOD STAMPS

14960 AUTHORIZATION TO PURCHASE FILES

Transacted ATPs received the banks, which are used
to pay food stamp recipients. Arranged by chronologically by month and check number. Inventory Person
Retention Period

Office Rec.Center Total

6 0 6Y

Comments:

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
07-001 FOOD STAMPS

17321 AUTHORIZATION TO PURCHASE FOOD STAMPS (ATP'S) (PRE

Used by clients to convert to Food Stamps or to pay
directly for purchases. Consists of transacted ATP's received from the locations which are authorized
to pay program Food Stamps recipients. Arranged chronologically by month of issue, then by check
Inventory Person : DM Inventory Date : 4/13/1992

Retention Period

Office Rec.Center Total

2 4 6Y

Comments:

Retain files 2 years in office, then transfer to HRA's Information Retrieval Services Storage Area for an
additional 4 years. This series is obsolete, in 1986 it was replaced by ELECTRONIC PAYMENT

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
07-001 FOOD STAMPS

22582 NON-PUBLIC ASSISTANCE FOOD STAMP CASES

Retention Period

Office Rec.Center Total

6 0 6Y

Comments:

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
07-001 FOOD STAMPS

22936 GENERAL PROGRAM RECORDS

These are the food stamp case records and contain the rectification applications, otherwise known as the certification record. Arranged: Retention Period

	Office	Rec.Center	Total
	3	0	3Y

Comments:

These cases may be closed for failure to comply with the work requirements and transferred to Work

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
07-001 FOOD STAMPS

22937 WORK REQUIREMENT VIOLATION RECORD

Used to monitor work violations of food stamp

applicant and includes permanent disqualifications for a work requirement violation. Arranged

	Office	Rec.Center	Total
	60	0	60Y

Comments:

These records are to be maintained for the life of the individual, or until he or she reaches age 60

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
07-001 FOOD STAMPS

22938 INTENTIONAL PROGRAM VIOLATION (IPV)

Used as a case record to document claims against

the food stamp recipient. Arranged:

	Office	Rec.Center	Total
	60	0	60Y

Comments:

Retain for the life of the individual or until FCS notifies

State that record is no longer needed.

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
07-001 FOOD STAMPS

22939 ADMINISTRATIVE COST FISCAL RECORDS

Grouped into categories: source data used to

produce reimbursement claims and output documents produced to obtain reimbursement. Arranged:

	Office	Rec.Center	Total
	6	0	6Y

Comments:

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
07-001 FOOD STAMPS

22940 ISSUANCE RECORDS (ELECTRONIC)

Used to document the date the Federal obligation was paid or benefits issued for coupon or electronic benefits system. Arranged: Retention Period

	Office	Rec.Center	Total
	3	0	3Y

Comments:

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
07-001 FOOD STAMPS

22941 CLAIMS RECORD

Used to recover food stamp benefit overpayments.

Arranged:

Retention Period

	Office	Rec.Center	Total
	3	0	3Y

Comments:

Agency:

Div/Dept:

096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
23-000 NYCAPS CENTRAL

24745 EMPLOYEE BENEFIT FILES

Used to generate health benefit contracts which are used for administering municipal employee health insurance program. Includes health care provider,

Comments:

Retain in the office for two years, and then transfer to the Municipal Records Center for an additional Retention Period

	Office	Rec.Center	Total
	2	8	10Y

096 HUMAN RESOURCES ADMINISTRATION, DEP
25-000 IDNYC

26703 IDNYC Case Record

Photo captured and the signature taken on the signature pad at the time of application, scans of the application form; name, address and other information appearing on card; date, time and location of

Retain records for 6 years.

	Office	Rec.Center	Total
	6	0	6Y

096 HUMAN RESOURCES ADMINISTRATION, DEP
25-000 IDNYC

26704 IDNYC Temporary Documents

Scanned background documents and Hardship Waivers: Scans of documents submitted by applicants at time of application for the IDNYC card, including documents showing Proof of Identity and Residency and Caretaker Relationship, including form numbers IDNYC-2 through IDNYC 16, and documents evidencing a name change, as described in section 6-04-6-08 of Chapter 6 of Title 68 of the Rules of the City of New York, as well as veteran designation forms and hardship waiver forms. Electronic case notes: Case specific notes, which may be entered by enrollment specialists, program integrity specialists or quality assurance staff. Handwritten program integrity notes: Handwritten notes of program integrity staff, taken in the course of their evaluation of applications and requests for secondary review. Translation correspondence: Correspondence regarding translations, including copies of identity
Retain until no longer needed

Retention Period		
Office	Rec.Center	Total
0	0	0

096 HUMAN RESOURCES ADMINISTRATION, DEP
25-000 IDNYC

26705 IDNYC Unclaimed Cards

Physical cards that are either not picked up at Enrollment Centers; or returned in the mail to IDNYC as
Retain for 30 days.

Retention Period		
Office	Rec.Center	Total
30 Days	0	30 Days

096 HUMAN RESOURCES ADMINISTRATION, DEP
25-000 IDNYC

26706 IDNYC Logs

Suspected fraud Logs as of 12/20/2016: Records kept in course of investigations of suspected fraud (includes references to specific documents provided by applicants). Secondary Review Logs as of 12/20/2016 Records kept in course of secondary reviews of applications following denial (includes reference to specific documents provided by applicants). Special Sample Outreach Log as of 12/20/2016: Log of document types for which IDNYC is seeking samples (contains applicants' identifying
Retain until no longer needed

Retention Period		
Office	Rec.Center	Total
0	0	0

096 HUMAN RESOURCES ADMINISTRATION, DEP
25-000 IDNYC

26707 IDNYC Appointments

Records of online appointment scheduling system for enrollment sites.
Moved to electronic storage 7 days after date of appointment.
Retained in electronic storage for six (6) years.

Retention Period

Office	Rec.Center	Total
7 Days	6	6 Years + 7 Days

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
Div/Dept:

26-000 GENERAL SUPPORT SERVICES

29356 RIGHT TO KNOW TRAINING RECORDS

Training records, covering training of employees in handling toxic substances. Includes the training manual and Retain for three (3) years. Training is performed on a yearly basis. AUTHORITY: NYS Records Retention and Disposition Schedule, MU-1 (2003), page 94, item 16.[379D]

Retention Period		
Office	Rec.Center	Total
3	0	3Y

Comments:

Retain 3 years in office. MU-1, 16.(379D) Page 94

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
Div/Dept:

26-000 GENERAL SUPPORT SERVICES

29353 FIRE SAFETY RECORDS

Fire safety records. Including but not limited to: Fire safety inspection reports, fire drill reports, fire alarm records, fire inspection and investigation reports fire safety training records.

Retain for three (3) years, or until all violations noted on the report are corrected, whichever is later. AUTHORITY: NYS Records Retention and Disposition Schedule, MU-1 (2003), page 128, item 11.[483]

Retention Period		
Office	Rec.Center	Total
3	0	3Y

Comments:

MU-1, 11.(483) Page 128

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
Div/Dept:

26-000 GENERAL SUPPORT SERVICES

29354 OCCUPATIONAL INJURIES AND ILLNESSES RECORDS

Documentation of workplace injuries and illnesses. Includes the following forms: SH 900 ("Occupational Injury & Illness Log"), SH 900.1 ("Summary of Work Related Injuries & Illnesses"), SH 900.2 ("Occupational Injury & Illness Incident Report"). Also includes: Annual Occupational Injury & Illness Survey, Bureau of Labor Statistics responses, incident summaries sent to the Citywide Office of Occupational Safety & Health.

Retention Period		
Office	Rec.Center	Total
5	0	5Y

Comments:

MU-1, 20.(383) Page 95

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
Div/Dept:

26-000 GENERAL SUPPORT SERVICES

29355 CONSTRUCTION MANAGEMENT DOCUMENTS

Includes: Construction drawings, work orders for construction, and other construction-related documents. Also includes: Detailed construction specifications, receipts and transmittal documents, lists of abutting properties, superseded versions of plans and drawings, routine correspondence, internal notes and memoranda from all files. Appraise these records for historical significance prior to disposition.

Retain for six (6) years after last entry. AUTHORITY: NYS Records Retention and Disposition Schedule, MU-1 (2003), page 20, item 6.[401D]Records with historical value should be retained permanently.

Retention Period		
Office	Rec.Center	Total
6	0	6Y

Comments: MU-1, 6.(401D) Page 20.

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
Div/Dept:

26-000 GENERAL SUPPORT SERVICES
29588 ASBESTOS INSPECTION REPORTS

Consists of documentation about the location of asbestos materials and warnings about it given to employees and the public. Files include: Notice to employees, blueprints, building diagrams, laboratory reports, record of friable material found, result of analysis of friable material sampled, and annual inspection reports.

Retention Period		
Office	Rec.Center	Total
0	40	40Y

Comments:Retain for forty (40) years. AUTHORITY:NYS Records Retention and Disposition Schedule, MU-1 (2003), page 131, item 23.[766A]

Agency: 096 HUMAN RESOURCES ADMINISTRATION, DEPT. OF
Div/Dept:

26-000 HOMELESS PREVENTION ADMINISTRATION
29589 EARLY INTERVENTION OUTREACH SERVICES CORRESPONDENCE

Consists of Adult Protective Services (APS) referrals, Housing Court referrals, Emergency Intervention Outreach Services (EIOS) letters to clients, Marshal Notices, Eviction Notices, and eligibility determination.CL=Close. Retain for seven (7) years after close of case, but not less than nine (9) years.AUTHORITY: NYS Records Retention and Disposition Schedule, MU-1 (2003), page 107, item 2.[419A]

Retention Period		
Office	Rec.Center	Total
0	7	7Y



NYC SUPPLEMENTAL RECORDS RETENTION AND DISPOSITION SCHEDULE

Department of
Records and
Information
Services

November 2017

Introduction

This **Supplemental Records Retention and Disposition Schedule** “Supplemental Retention Schedule” defines the life cycle of all New York City agency records . The Supplemental Retention Schedule has been developed by the Department of Records and Information Services “DORIS,” in consultation with the Law Department .

The purposes of this Schedule are to:

- (1) ensure that records are retained in accordance with their respective administrative, legal and fiscal purposes;
- (2) ensure compliance with all relevant city, state and federal standards;
- (3) ensure that record series with enduring historical and other research value are identified and retained permanently in the New York City Municipal Archives; and
- (4) encourage and facilitate the systematic disposal of obsolete records.

The Supplemental Retention Schedule is largely based on the *Records Retention and Disposition Schedule MU-1*, prepared and issued by the New York State Archives and Records Administration (SARA). However, agencies should be aware that there may be differences from the retention periods recommended by the MU-1, in order to satisfy business, legal, audit, and legal requirements that are more specific to City agencies.

Agencies should adhere as closely as possible to the retention periods prescribed on the General Retention Schedule.

The Supplemental Retention Schedule is only subset of NYC records that are maintained across agencies and offices – agencies should review their business processes, identify all line-of-business records and ensure that they are reflected on the agency retention schedule. DORIS will continue to review and update the Supplemental Retention Schedule. These updates may include the addition, modification, and/or deletion of records categories, descriptions and retention periods. DORIS will communicate with agencies any changes to the Supplemental Retention Schedule.

If there are questions regarding the retention periods or the retention schedule in general, agencies may contact their DORIS Liaison for assistance.

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RETENTION CATEGORY	CATEGORY DESCRIPTION	RETENTION
<p>1. ATTENDANCE AND LEAVE RECORDS</p>	<p>3.[366] Employee's time records covering leave, absences, hours worked and scheduling, and including but not limited to employee's time cards or sheets, request for change of work schedule, vacation schedule, report of absence and request for leave without pay.</p>	<p>RETENTION: 0 retention by agency, CityTime is the official record holder.</p>
	<p>Physical Timesheets</p> <p>Employee's time records that are manually entered into CityTime.</p>	<p>RETENTION: 3 years after the data has been entered into the CityTime.</p> <p>CityTime is the official record holder.</p>
<p>2. AUDIT</p>	<p>Reports</p> <p>1.[260] Report of audit of financial affairs</p> <p>a. Audit filed pursuant to Section 35, General Municipal Law, conducted by New York City Comptroller's Office or by the NYS Comptroller's Office</p>	<p>RETENTION: Permanent.</p>
	<p>Workpapers / Background Documentation</p> <p>a. including summaries, posting records, and related records created by an auditing office as part of the auditing procedure.</p>	<p>RETENTION: 6 years.</p>
	<p>c. Internal audits, conducted by NYC officials.</p>	<p>RETENTION: 6 years.</p>

3. CAPITAL BUDGET	1.[418] Annual expenditure report or budget submitted to City, State or Federal agencies.	RETENTION: 1 year agency retention . OMB is the official record holder. Copies are also in the NYC Municipal Library.
	2.[54] Annual budget a. Official copy when not included in minutes.	RETENTION: 1 year agency retention. OMB is the official record holder. Copies are also in the NYC Municipal Library.
4. AGENCY HEAD GENERAL SUBJECT FILES	Agency Head subject files: including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts, and other legal documents.	RETENTION: 1 year after the agency head's term ends; offer to MA.
	1.[581] Citywide Elected Officials: Mayor, Comptroller, Public Advocate: office files, including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts, and other legal documents a. Where file documents a significant subject, or major policy-making or program-development process.	RETENTION: End of service; offer to MA.
	2. City Council Member Files: office files, including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts, and other legal documents. a. Where file documents a significant subject, or major policy-making or program-development process.	RETENTION: End of service; offer to MA.
5. DISCIPLINARY CASE FILES	2.[365] Investigative Records and Disciplinary Proceedings, including but not limited to statement of charge, transcript of hearing, notice of decision, letter of termination or	RETENTION: 56 years after the employee leaves city service.

	<p>resignation, letter of reinstatement, record of appeal procedure, and correspondence:</p> <p>NOTE: Records covered by this item may be destroyed before this retention period has been reached, if specified either in a union contract or settlement between the employer and employee.</p>	
	<p>1.[294] Individual complaint or problem case file of human rights, economic opportunity, equal employment, community relations or similar function, including individual case summary record</p> <p>These individual complaint files should be stored separately from the Personnel Files.</p> <p>NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be transferred to the MA. Contact NYC Department of Records</p>	<p>RETENTION: 56 years after the employee leaves city service.</p>
<p>6. EEO FILES</p>	<p>Diversity and EEO Plans</p> <p>8.[371] Diversity and EEO plans set forth the annual strategies established by agency heads, focused on diversity, inclusion and EEO compliance. Agency heads are required by the NYC Charter to annually prepare, adopt and implement.</p>	<p>RETENTION: 10 years from the date of the report.</p> <p>Citywide Diversity and EEO is the official record holder.</p>

	<p>Reports of Audits of Diversity and EEO Programs</p> <p>a. Documents submitted in response to audits by the NYC Equal Employment Practices Commission (EEPC), or any other government agency audits of EEO Programs</p>	<p>RETENTION: 5 years from date of the report.</p> <p>Citywide Diversity and EEO is the official record holder.</p>
	<p>Quarterly and Annual Reports</p> <p>b. Periodic reports, statistics and other records used in compiling annual, long-term or special (narrative or statistical) reports, goals and achievements:</p>	<p>RETENTION: 10 years from date of the report.</p> <p>Citywide Diversity and EEO is the official record holder.</p>
	<p>Discrimination Complaint Case Files</p> <p>c. Includes agency's files containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of interviews and meetings, and any other records related to the complaint. Includes documents held by Diversity and EEO office related to internal and external complaints of litigation.</p>	<p>RETENTION: 56 years after the employee leave city service.</p>
<p>7. FOIL REQUEST/PUBLIC ACCESS TO RECORDS</p>	<p>1.[409] Freedom of Information records request file</p> <p>a. Request for access to public records, when request is granted:</p>	<p>RETENTION: 6 years.</p>

	b. Request for access to public records, when request is denied, including statement of denial, appeal records, documentation of review and decision:	RETENTION: 6 years after final determination.
	c. Certificate that record does not exist or cannot be found:	RETENTION: 6 years.
8. GENERAL CORRESPONDENCE	10.[10] Correspondence, and supporting documentation maintained in a subject file (generated or received by City office/agency), except correspondence that is part of a case file or other record series listed elsewhere on this Schedule.	RETENTION: 6 years.
	a. Containing routine legal, fiscal or administrative information: b. Of no fiscal, legal or administrative value (including letters of transmittal, invitations and cover letters).	RETENTION: 0 retention. Convenience copies.
9. INCIDENT REPORT	Report of incident of theft, arson, vandalism, property damage or similar occurrence: NOTE: This item does not apply to records found in the public safety area. See the Public Safety section of the NYS Records and Disposition Schedules (MU-1).	RETENTION: 6 years.
10. MEDICAL RECORDS	22.[384] Employee medical records a. First aid records of one-time treatment and subsequent observation of minor illnesses and injuries, as defined in 29 CFR 1910.1020 (d-1) (i-B), if made on-site by a non-physician and maintained separately from the employee medical records.	RETENTION: 3 years after completion of treatment and subsequent observation.

	b. Medical records, other than those covered by part “a”, including medical questionnaires and histories, FMLA and the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records.	RETENTION: 56 years after the employee leaves city service.
11. PAYMENT VOUCHERS	1.[559] Purchase order, purchase requisition, or similar record, used to obtain materials, supplies, or services:	RETENTION: 6 years
	2.[561] Purchasing file, including but not limited to bid (successful, unsuccessful), contract and specifications, and related records, for purchase of materials, supplies and services not connected with capital construction:	RETENTION: 6 years after expiration or termination of contract OR 6 years after final payment under contract, whichever is later.
12. INVOICE	5.[564] Invoice, packing slip, shipping ticket, copy of bill of lading or similar record used to verify delivery and/or receipt of materials or supplies.	RETENTION: 6 years.
13. PERSONNEL/CIVIL SERVICE	1.[364] Personnel records of NYC Employees (includes volunteers and interns) b. Personnel case file materials, except summary information record, and including but not limited to application for employment, resume, report of personnel change, evaluation, civil service examination results, notice of resignation or termination, and correspondence.	RETENTION: 56 years after the employee leaves city service.

14. PETTY CASH	5.[249] Cash transaction record showing cash received from collection of various fees and petty cash disbursed.	RETENTION: 6 years.
15. PROCUREMENT FILES	<p>1.[559] Purchase order, purchase requisition, or similar record, used to obtain materials, supplies, or services.</p> <p>2.[561] Purchasing file, including but not limited to bid (successful, unsuccessful), contract and specifications, and related records, for purchase of materials, supplies and services not connected with capital construction.</p>	RETENTION: 6 years.
16. CONTRACTS	<p>6.[6] Legal agreement, including personal service contracts, lease, and release involving NYC agencies.</p> <p>NOTE: This item does not apply to contracts (collective bargaining agreements) between a local government and a public employee labor organization. These contracts are covered by item no. 375 in the Personnel/Civil Service section, and must be retained permanently by the negotiating agency.</p>	RETENTION: 6 years after the close of the contract.
17. CITY-OWNED BUILDINGS: OFFICIAL PLANS, MAPS, ARCHITECTURAL DRAWINGS AND PHOTOGRAPHS	RESERVED	RESERVED
18. PAYROLL	<p>REGISTER 320 (PAPER & MICROFILM)</p> <p>Maintained as primary source for agency payroll data. Report lists pay date and cycle, entity, payroll distribution code, name, social security number, pension</p>	RETENTION: 0 after no longer needed.

	number and designator, marital status, gross pay data, deductions and related information.	
	<p>PAYCYCLE EVENT DETAIL 700 (PAPER & MICROFILM)</p> <p>Provides detailed account of pay and leave transactions with current pay cycle processed deduction and summary adjustments. Report lists payroll number and distribution code, employee's title, budget code, pension and salary, transaction indicator, detail type, event codes, units entered, event amount, effective date gross pay, total deductions and net pay.</p>	RETENTION: 0 after no longer needed.
	<p>QUARTERLY EARNINGS REPORT (366)</p> <p>Report lists accumulated employee earning and taxes. Sorted by social security number, and various other criteria.</p> <p>QUARTERLY PAYMENT SUMMARY REPORT (990)</p> <p>Report lists quarterly payroll deductions and details entity, pay cycle, payroll number, pay deduction description.</p>	<p>RETENTION: 56 years.</p> <p>1960-1973 & 1984 (retained by agency)</p> <p>>1974 (retained by OPA-FISA; 1974-2000 stored on microfiche)</p> <p>Agencies may destroy convenience copies after 1 year.</p> <p>This does not include the DOE, NYCHA or HHC or CUNY.</p>
19. CAPITAL CONSTRUCTION CONTRACTS OR PUBLIC IMPROVEMENT PROJECT FILE	Including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements.	RETENTION: 6 years after the close of the project.
	a. Feasibility studies; successful bids; plans, specifications and	RETENTION: 6 years after building or facility no longer

	<p>designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; and significant correspondence.</p> <p>NOTE: Appraise these records for historical significance prior to disposition. Records for important projects or historic structures have historical value and should be retained permanently. Contact the NYC Municipal Archives for additional advice.</p>	<p>exists or is no longer owned by local government.</p>
<p>20. CREDIT CARD RECORDS</p>	<p>Documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted, with full credit card information.</p>	<p>RETENTION: 0 after no longer needed.</p>
	<p>A. Documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted, with partial credit card information or no credit card information.</p>	<p>RETENTION: 6 years after payment is received.</p>

<p>21. SOCIAL MEDIA</p>	<p>Tools and platforms that people use to publish, communicate and share information, and user-generated content online. Social media includes blogs, wikis social networks, photo libraries, virtual worlds, location-based services and video sharing sites.</p>	<p>RETENTION: Permanent; the responsible agency must register the platform(s) and content is automatically transferred to the Municipal Library.</p>
<p>22. EMAIL</p>	<p><i>Non-Policymakers:</i></p> <p>Email (including calendars, appointments, tasks and attachments) created and received by agency employees not designated as having substantial policy discretion under section 26704(b)(12)(15) of the City Charter. Non-record email (transitory, personal, spam) may be culled upon receipt.</p>	<p>RETENTION: 8 years.</p>
	<p><i>Policymakers:</i></p> <p>Policymakers are the employees designated by the agency head as having substantial policy discretion under section 2604(b)(12)(15) of the City Charter. Agency General Counsel may assign capstone status to select users not designated as policymakers. Email created and received by senior officials in the process of conducting business on behalf of New York City, including calendars, appointments, tasks and associated attachments. Non-record email (transitory, personal, spam) may be culled.</p>	<p>RETENTION: End of service; offer to MA.</p>