

General Schedule (GS) 01 ~ General Administrative Records

This category includes records regarding state agency policies, activities and actions, including information releases, public information, office files, and requests for information.

The following record retention periods reflect the retention and disposition of the official record regardless of media. Copies used for specific legal, fiscal, or administrative purposes may be either retained using the retention for the official version or scheduled separately if a different retention is required.

Copies of these documents preserved only for convenience of reference or informational purposes may be discarded when no longer needed.

Record Number and Category Title	Description	Minimum Retention Period
GS 01001 Agency Directives, Internal Policies and Procedures	Manuals, general guidelines, or similar records distributed internally for the use of employees that sets out agency policies and procedures and do not affect the private rights or procedures available to the public Any agency record that officially initiates, rescinds, or amends internal policies or procedures that are applicable to Arkansas agencies, boards, commissions.	Until superseded plus three (3) years.
GS 01002 Complaint Records	Formal complaint documents received by an agency from the public concerning general operations of the agency or its employees, and records pertaining to the resolution of the complaint.	One (1) after the final disposition of the complaint <i>If a complaint becomes the subject of litigation, which involves the agency receiving the complaint, it must be included in and is subject to the minimum retention period of a litigation record - Refer to GS 06006 within this schedule.</i>
GS 01003 Correspondence – Substantive	Communication that has significant administrative value and pertains to the implementation or modification of an agency’s administrative operations, rules, or policies and procedures that govern the agency. Examples include but are not limited to the following: <ul style="list-style-type: none"> - Correspondence record that announces reports, decisions, or recommendations implemented in agency business - Correspondence that is essential to supporting a final decision related to the formulation, implementation or modification of an agency’s administrative operations, rules, procedures, or policies - Executive-level correspondence record regarding state agency policies and procedures - Executive-level correspondence record announcing a new internal policy to agency staff <i>Note: An attachment or enclosure within a correspondence record should be evaluated separately for its respective retention period.</i>	Two (2) years. This records category should be used only for correspondence that is not included in or directly related to another records series in this schedule. <i>Note: Retention of E-mail correspondence is decided by the CONTENT not the medium of the record.</i>

Record Number and Category Title	Description	Minimum Retention Period
GS 01004 Correspondence – Non-Substantive	<p>Communication that conveys information of temporary business importance or unremarkable communication concerning day-to-day office administration and activities.</p> <p>Examples include but are not limited to the following:</p> <ul style="list-style-type: none"> - Correspondence that includes information not attempting to influence state policy - An e-mail message sent to a large number of people, at the same time, via an e-mail distribution list software application (i.e. listserv message). - Agency event notices <ul style="list-style-type: none"> o A correspondence record notifying employees of an upcoming meeting would only have value until the meeting has been attended or the employee receiving the message has marked the date and time in his/her calendar - Routine requests for publications records - Incoming letters or memoranda of transmittal that add nothing of substance to enclosures <p><i>Note: An attachment or enclosure within a correspondence record should be evaluated separately for its respective retention period.</i></p>	<p>Record may be destroyed after it has served its intended purpose or is no longer of administrative value to the agency</p> <p><i>Note: Retention of E-mail correspondence is decided by the CONTENT not the medium of the record.</i></p>
GS 01005 News or Press Releases	News or press release issued by the agency.	One (1) year.
GS 01006 Publications, State	A record that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency and is publicly distributed. One copy of each state publication as defined above except a publication that is subject to a different retention period in this schedule. For example, information pamphlets or booklets.	<ul style="list-style-type: none"> - Until the release of the next part in a series (i.e. serial publications issued in successive parts bearing numerical or chronological designations). - If the publication is not part of a series: Until it has served its intended purpose. - Consistent with Arkansas Code Annotated: § 13-2-201 - <i>Copies of state publications must be submitted to the Arkansas State Library for document types and exemptions. The Arkansas State Library retains copies of all state publications as the State Document Depository and the State and Local Government Publications Clearinghouse. Publications are subject to periodic evaluation to determine if the publication merits further retention.</i>
GS 01007 Presentations	Formal presentations delivered by the agency	One (1) year.
GS 01008 Papers and Reports	Papers or reports as published by the agency	Two (2) years.
GS 01009 Training Materials	Instructional materials developed by, or for, an agency for training entities or individuals it regulates or serves.	One (1) year after updated or after it has served its intended purpose.
GS 01010 Legislative Liaison-Legislative Correspondence	File contains legislative correspondence and hard copy of the legislation pertaining to and instigated by the Arkansas Lottery Commission.	To be retained for two (2) years after the present General Assembly and then destroyed.

Record Number and Category Title	Description	Minimum Retention Period
GS 01011 Lottery Organization General Correspondence	General correspondence/North American Association of State and Provincial Lotteries (NASPL) and Multi-State Lottery Association (MUSL).	Retain two (2) years in the Records Center; then destroy.
GS 01012 Executive Director Commission Correspondence	All correspondence between the Arkansas Lottery Commission and the Executive Director as it relates to actual Commission members.	Retain copy in the operating area for five (5) years; then destroy.

General Schedule (GS) 02 ~ Meeting Records

The agency, board or commission that is in charge of the meeting is the party responsible for retaining the meeting records described in this section.

The following record retention periods reflect the retention and disposition of the official record regardless of media. Copies used for specific legal, fiscal, or administrative purposes may be either retained using the retention for the official version or scheduled separately if a different retention is required.

Record Number & Category Title	Description	Minimum Retention Period
GS 02001 Meeting - Agenda and Minutes of Governing Bodies	<ul style="list-style-type: none"> - Official agenda and minutes of public meetings - 'Public meetings' defined as set forth in the Arkansas Freedom of Information Act 	Permanent
GS 02002 Meeting - Notes of Governing Bodies	<ul style="list-style-type: none"> - Official notes from which minutes are intended to be prepared of public meetings - 'Public meetings' defined as set forth in the Arkansas Freedom of Information Act 	Three (3) years
GS 02003 Meeting - Supporting Documentation of Governing Bodies	<ul style="list-style-type: none"> - Records received at public meetings of state agencies, boards, commissions, committees, and councils that include documentation of a substantive nature and are referenced in the minutes - 'Public meetings' defined as set forth in the Arkansas Freedom of Information Act 	One (1) year

General Schedule (GS) 03 ~ Automated System Records

Automated System Records include those that are generated or produced in support of the agency’s information system operations.

The following record categories are supportive of the audit process of the Arkansas Division of Legislative Audit.

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Record Number & Category Title	Description	Minimum Retention Period
GS 03001 Data or Database Dictionary Documentation	Database and data file documentation, including, but not limited to, data dictionaries, metadata documentation, data element reports, diagram of logical data model, and any other database or data file documentation that could be used for reference material.	Until record is replaced by an updated version.
GS 03002 Network Design Files	Records that describe the agencies’ local and wide area network schematics, including, but not limited to, records containing network topology, circuit descriptions, types of network connections, cable ID map, and other relevant network design information.	Until record is replaced by an updated version.
GS 03003 Network and System Usage Files	Records created to monitor the use of the agency's network traffic and system access by its customers or employees. <ul style="list-style-type: none"> • System usage files would include, but not be limited to, user account log records and access authorization log files. • Network usage files would include, but not be limited to, log-in records, security logs, router logs and firewall logs. 	As long as administratively valuable to the agency.
GS 03004 Support Services Files - Hardware	Records documenting support services provided to specific data processing equipment or installations, including site visit reports, program and equipment service reports, service histories, and related correspondence and memos.	As long as administratively valuable to the agency.
GS 03005 Systems and Applications Development Records	Records created and used to develop, redesign or modify an automated software system or application, including user requirements, status reports, correspondence, and high-productivity tool logic constructs used to generate such components as reports, queries, forms, and macros; user and operational documentation describing system operations, including system documentation records, user guides, system diagrams, and input/output specifications.	Production copies until no longer useful for tracking system changes or until transfer of system data to a new operating environment

Record Number & Category Title	Description	Minimum Retention Period
GS 03006 System and Database Backup Files	Records needed to restore a system and its data in the event of system or data loss.	Until three (3) successive backup cycles have been completed; OR until the agency deems they are of no more value.
GS 03007 System Security Access Files	Records created to document users' access rights and privileges to data repositories or granting authorization to systems, applications or databases based on a unique user identity; this definition applies to mission-critical operations and financial applications that require monitoring and tracking to ensure the security of an enterprise's resources; records documenting general access given to a user to services such as active directory, file, print, email and network are not required to be retained unless there is significant security risk from unintended exposure.	Two (2) years.
GS 03008 Source Code	Production source code that generates the machine language instructions used to operate an automated information system, including all support program-related files needed to generate objects.	The three (3) most recent versions of production source code; there is not a requirement to keep source code for systems that are no longer in production or service.
GS 03009 Computer Operation Documentation	Records concerning processes for data entry, the operation of computer equipment, production control, tape library, system backup, operation, and maintenance of an agency's data processing equipment, including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems and other aspects of a data processing operation.	Until record is replaced by an updated version.

General Schedule (GS) 04 ~ Personnel and Human Resource Records

This category includes records of each state agency’s employees, showing the name, title, position held, organizational assignment, salary, changes of employment status, attendance, leave, performance evaluations, and such other information or policies as may be necessary for the administration of rules pertaining to this category of records.

If a personnel record is the subject of litigation or other official action, the retention period listed within this schedule will be superseded and the record will be retained until such action has been finalized.

This section is not intended to govern compliance with federal employment laws such as Equal Pay Act, Fair Labor Standards Act, Family and Medical Leave Act, etc.

Note: The FOIA does not define the term "personnel records.”

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Record Number & Category Title	Description	Minimum Retention Period
GS 04001 Equal Employment Opportunity Plan	A plan that includes goals and objectives which delineates the steps an agency will take to provide equal opportunity within its workforce.	Until plan is replaced by an updated version
GS 04002 Training and Education Records	Documents classes, meetings, and seminars for training or education purposes.	Two (2) years or as long as administratively necessary to the agency, whichever is greater
GS 04003 Discrimination Complaint Case Files -Charges Filed	Any charge of discrimination filed against the agency including all records of the charge.	Three (3) years or until final disposition of the charge or action, whichever is greater
GS 04004 Discrimination Complaint Case Files -Charges Not Filed	Any allegation of discrimination where a charge has not been filed.	Three (3) years from the incident report
GS 04005 Eligibility Verification Form and Records (I-9)	Documents that an employer has verified prospective employee / recruit is a U.S. citizen, resident alien or legal immigrant eligible to work in U.S., as required by U.S. Immigration and Naturalization Service.	Three (3) years after date of hire or one year after separation date, whichever is later (as required within The Immigration Reform & Control Act of 1986/PL 99-603, Sec. 274).

Record Number & Category Title	Description	Minimum Retention Period
GS 04006 Employee Benefit Records	Documents pertaining to an employee's personal health information such as medical and dental benefit records.	Five (5) years after separation or until closure of unresolved personnel issues, whichever is greater.
GS 04007 Employee Personnel Records	Records documenting an individual's employment, such as professional certification, promotions, evaluations, disciplinary actions, and security check records.	Five (5) years from the date of separation or until closure of unresolved personnel issues, whichever is greater.
GS 04008 Employment History Records	Documents pertaining to an employee's length of service and pay-grade evidencing proof of service.	Permanent.
GS 04009 Employee Wage and Hour Records	Records pertaining to time and leave information.	Until authorized by the legislative auditor.
GS 04010 Grievance Records and Reports	Documents the proceedings of an employee grievance, including the initial complaint, actions, investigation, summary and disposition.	Three (3) years after closure.
GS 04011 Position Classification and Description Files	Documents job description by a position or class of positions .	Until superseded plus three (3) years.
GS 04012 Recruitment, Hiring, Interview and Selection Records	Documentation of recruitment, selection, hire, and promotion of employees. Includes position descriptions, job announcements and advertisements, selection criteria, evaluations, rankings, and employment applications of successful and unsuccessful applicants.	3 years from date position is filled or until final disposition of the charge or action, whichever is greater. (see U.S. Code 29 C.F.R. § 1602.31)
GS 04013 Unemployment Insurance Records and Reports	Documents payment or denial of unemployment claims.	Five (5) years after case closure.
GS 04014 Workers Compensation Accident Reports	Documents the occurrence of occupational injuries as reported to the Arkansas Workers Compensation Commission.	Three (3) years from date of injury.
GS 04015 Workers Compensation Illness Reports	Documents the occurrence of occupational disease or occupational infection as reported to the Arkansas Workers Compensation Commission.	Six (6) years from the date incident occurred (refer to Arkansas Code Annotated: § 11-9-702)
GS 04016 Acknowledgement Form	The acknowledgement form is a form used to confirm that no employee or immediate family member claims Lottery prize money. The social security number supplied by the employee is compared to a list of winners. Updated on an annual basis. The previous form is discarded. Kept indefinitely in hard copy as part of the employee's personnel file.	Retain until superseded by updated copy; then destroy. When employee terminates, current form is transferred to employee's personnel file.

General Schedule (GS) 05 ~ Fiscal Records

This category focuses on records documenting fiscal operations encompassing most activities undertaken by state agencies to manage, account for, collect and expend funds. These would include general accounting records, banking, budget, allotment and expenditure records, contract accounting, central payroll accounting, and appropriation requests.

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The following record categories are supportive of the audit process of the Arkansas Division of Legislative Audit.

Record Number & Category Title	Description	Minimum Retention Period
GS 05001 Accounts Payable	Current outstanding liabilities of the agency including records of payments of bills, goods and services, contracts, vendor payments, and travel.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05002 Accounts Receivable	Current outstanding monies and funds owed the agency for goods and services.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05003 Account Reconciliation	Reconciliation of agency funds and accounts, federal revenues/federal expenditures, capital asset/capital expenditures.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05004 Legislative Adopted Budgets	The comprehensive financial plan for the agency's biennial operating budget that was approved by the legislature and forms a basis of the appropriations.	Until authorized by the legislative auditor.
GS 05005 Appropriation, Budget and Fund Requests	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	Until authorized by the legislative auditor.
GS 05006 Audit Report Prepared by the Arkansas Division of Legislative Audit	The final report of an audit performed on an Arkansas agency, board or commission under the Arkansas Division of Legislative Audit but not including the supporting audit records, only the final audit report; any supporting audit records may be covered under other record categories of this schedule.	Until the next audit report is issued by Legislative Audit
GS 05007 Bank Statements	Current status of transaction activity of agency funds held at the State Treasury and/or a bank.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05008 Cash Receipt Registers	Cash receipt transactions for each agency including, but not limited to, deposit slips and other records used to verify receipts, estimate revenues, and reconcile accounts.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)
GS 05009 Check Registers	Log of checks issued.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108)

Record Number & Category Title	Description	Minimum Retention Period
GS 05010 Checks: Not Redeemed/ Redeemed	Voided and not-redeemed checks, cancelled checks, and re-issued checks; redeemed checks written on agency accounts.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05011 Debit/Credit	Adjustment of dollar amounts in funds due to recording errors, transfers between accounts, receipt and verification of special deposits, and/or withdrawals.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05012 General Ledger Registers	An accounting of all fiscal transactions for the agency for each month.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05013 Invoices	Record of demand for payment.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05014 Journal Entry Registers	Account records of original entry/input and provides a record of debit and credit journal transactions.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05015 Petty Cash Fund	Petty cash activity for the agency including requests and authorization to establish petty cash funds, ledgers, statements, requests for disbursements, copies of receipts and invoices.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05016 Inventory and Capital Assets	Documents a listing of equipment and furniture owned by the agency not including expendable supplies.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05017 Transfers	Records that authorize the movement and transfer of funds between various accounting structures intra-agency and inter-agency.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05018 Travel Expenses	Travel expenses for agency employees including, but not limited to, reimbursement claims, travel detail sheets, and supporting documentation such as receipts.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05019 Vehicle Accident Reports	File contains vehicle management accident reports on state vehicles, damage estimates, police and preliminary reports of state vehicles which have incurred accidents.	Retain in the operating area for two (2) years; then destroy.
GS 05020 Vehicle Salvage Reports	Form initiated when salvaging a state vehicle. Describes condition of vehicle and lists accessories installed on vehicle.	Retain until audited by Auditor of State and audit is released and all discrepancies are resolved; then destroy.

Record Number & Category Title	Description	Minimum Retention Period
GS 05021 Copies of Car Repairs	Includes service records, compilation sheets, operation maintenance reports of licensed vehicles, warranty and guaranty statements, operating manuals, reports, and shop-work orders, accident reports, repair records, mileage and usage logs, etc.	Retain during ownership of vehicle; then destroy.
GS 05022 Vehicle Title	File contains titles and spare keys for State vehicles. Also the registrations and the serial numbers of State vehicles, including the vehicle description.	Vehicle title and spare keys are moved with the vehicle salvage paperwork when a vehicle is salvaged. They are not destroyed.
GS 05023 Monthly Mileage Reports	Report details State vehicle mileage on a monthly basis, including the fuel cost per mile for the month.	Retain in the operating area for three (3) months after audit by State Auditor's Office and after audit report is released; then destroy.
GS 05024 Vehicle Fuel Consumption and Maintenance Report	File contains recorded State cars monthly fuel consumption and maintenance report, credit card and gasoline, oil, and car wash expenses incurred by individual state employees and listed mileage readings at the time of purchase.	Retain in the operating area after audit by State Auditor's Office and after audit report is released; then destroy.
GS 05025 Purchasing	Purchase of goods and services by the agency including, but not limited to, purchase requisitions, orders, authorizations, contracts, encumbrances, maintenance contracts.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05026 Competitive Bids	Evaluation and award of bids to vendors and/or agencies including, but not limited to, requests for proposals, bid and quote lists, notices of bid openings, comparison summaries, or evidence of rejected and accepted bids, vendor correspondence.	Until authorized by the legislative auditor (as required by Arkansas Code Annotated: § 19-4-1108).
GS 05027 Contracts Related to Software Maintenance, Ticket Security, On/Line Ticket Stock and On/Line System Maintenance and Lease of Instant Ticket Vending Machines	Records include all bids and proposals submitted by these various vendors, including: Request for Proposal (RFP's), Request for Validation, Invitation to Bid, pre-bid conference materials and other relevant information.	Retain hard copy in the operating area for five (5) years; destroy hard copy once archived document has been checked for quality and completeness; then retain archived document in the Lottery Records Center for ten (10) years; review for administrative value, then destroy.

General Schedule (GS) 06 ~ Legal Records

Legal actions involving state agencies are handled by the Office of the Attorney General, primarily by Assistant Attorneys General assigned to each agency. Therefore, most records pertaining to legal actions are centralized under the auspices of the Attorney General. However, many state agencies maintain separate files on legal matters pertaining to the agency, informal letter opinions, and formal opinions.

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Record Number & Category Title	Record Description	Minimum Retention Period
GS 06001 Complaint Files – Agency	Communication and other relevant information concerning complaints filed towards the ALC.	Three (3) years after final disposition.
GS 06002 Complaint Files – Regulated Entity	Communication and other relevant information concerning complaints filed with an agency resulting in litigation that involves one of its regulated entities	3 years after final disposition
GS 06003 Contracts/Agreements	Documents the contractual obligations to the ALC or those owed to the ALC.	Five (5) years after contract or agreement termination.
GS 06004 FOIA Documentation	FOIA requests and agency reply to the request. (Note – The reply does not include the records provided pursuant to the FOIA request.)	Three (3) years.
GS 06005 Legal Opinions	Legal opinions received from the agency legal counsel including any requests eliciting the opinions.	Two (2) years, or as long as administratively valuable.
GS 06006 Litigation Files	Files containing pleadings, correspondence and evidence related to past and pending legal claims.	Five (5) years after final disposition.
GS 06007 Legal Forms	Forms used by the ALC.	One (1) year or as long as administratively valuable.
GS 06008 General Correspondence	Correspondence to both public and staff at the ALC regarding legal matters.	Three (3) years.

Record Number and Category Title	Description	Minimum Retention Period
GS 06009 Delinquent Agent Claims Correspondence	For delinquent agent claims.	Retain copy in the operating area for two (2) years after the Statute of Limitations for further appeals has expired.
GS 06010 Legal Claims	File contains pleadings, correspondence and evidence relating to old and/or pending legal claims.	Retain copy in the operating area for five (5) years.

General Schedule (GS) 07 ~ Product and Product Development

Record Number and Category Title	Description	Minimum Retention Period
GS 07001 Instant Ticket Standard Information Files	File contains general information pertinent to other state lotteries, internal and external procedures regarding current Lottery games, agency policies and regulations, correspondence between agency personnel, inquiries from organizations/individuals regarding agency.	Retain hard copy in the operating area for two (2) years; then destroy.
GS 07002 Weekly Sales Reports and Related Statistics	File contains weekly sales reports, derivative sales research, by district, by region, and statewide and related research studies for instant tickets.	Retain hard copy in the operating area for two (2) years; then destroy.
GS 07003 Marketing Research Studies	Surveys on demographics, sales agent preferences regarding games, procedures, and other various Marketing Research Studies for instant tickets.	Retain copy in the operating area for three (3) years.
GS 07004 Instant Game Working Papers	File contains executed game requirements that detail ticket description, game description, game specifications, fonts, prize structure, packing and shipping, delivery schedule, and authorization to print instant game.	Retain in office area for three (3) years; then destroy.
GS 07005 On-Line Promotional Materials	Documents supporting an on-line game promotion. Includes sale history before, during, and after a promotion, as well as research of other lotteries' promotions. Includes supporting documents regarding Task Lists and Timelines, Meeting Minutes, Memos, Point of Sale materials, System/Software requirements, etc.	Retain copy in the operating area for two (2) years.
GS 07006 New Game On-line Files	Documents supporting the development and implementation of new on-line games. This includes sale history before, during, and after a promotion, as well as research of other lotteries' game information. Includes supporting documents regarding Task Lists and Timelines, Meeting Minutes, Memos, Point of Sale Materials, System/Software requirements, etc.	Retain copy in the operating area for four (4) years.
GS 07007 On-Line Game Correspondence	Documents such as vendor correspondence, customer letters, e-mails, interoffice memos as they relate to on-line games.	Retain copy in the operating area for four (4) years.
GS 07008 On-Line Game Files	Documents related to on-line games. Includes game matrix information, promotional data, game rules, sales history, changes, miscellaneous information, etc.	Retain copy in the operating area for four (4) years.
GS 07009 On-Line Game Research Files	Documents containing research related to on-line games. Includes game proposals, game matrix, other lottery games, sales history. Supporting documents for retailer and player focus groups, web surveys, and direct mail surveys.	Retain in office area for four (4) years; then destroy.
GS 07010 Retired On-Line Game Files	Documents related to on-line games that have been retired. Includes game matrix, sales history, POS, how-to-play, etc.	Retain copy in the operation area for four (4) years; then destroy.

General Schedule (GS) 08 ~ Advertising and Marketing Services

Record Number and Category Title	Description	Minimum Retention Period
GS 08001 Standard Information Files	Files contain: 1) inter-office correspondence between agency management personnel; 2) correspondence with various individuals/organizations regarding agency, or seeking resolution to problem areas; 3) routine information pertaining to agency operations, policies, regulations, etc.; 4) information on, and copies of State legislation affecting the agency; 5) all advertising account information, including budgets, proposals, campaigns, and sample copy, etc.	Retain hard copy in the operating area for eight (8) months.
GS 08002 Weekly Reports	Reports contain updates on instant sales, on-line sales and current projects. Reports are forwarded to the Executive Director on a weekly basis.	Retain information in the operating area for one (1) year; then destroy.
GS 08003 Sales and Other Reports (Copies)	Files contain copies of Weekly Sales Reports and departmental Weekly Time Sheets.	Retain hard copy in the operating area for one (1) year from end of current fiscal; then destroy.
GS 08004 Advertising Account Monthly Invoices	Records include sets of monthly invoices, received as official billings from the advertising agency. The invoice copies are utilized to perform the agency preliminary audit of each summary and backup invoice, prior to Finance Department submittal of originals to Auditor. Records are also used in reconciliation of the advertising account each month.	Retain hard copy in the operating area for three (3) years.
GS 08005 Closed Files	File contains Marketing Department closed files, administrative, advertising sponsorship, and Ad Agency files.	Retain hard copy in the operating area for three (3) years.
GS 08006 Executive Accounts Record Index	File contains a computer report which is generated by an Executive Account Representative and sent out monthly; contains new games coming out, deadlines of games, and new policies.	Retain two (2) years; then transfer to State Archives used for claiming reimbursement for in-state and out-of-state travel.
GS 08007 Executive Accounts Files	All information pertinent to Executive, Chain Accounts, including headquarters contracts, respective Sales Agents, correspondence, proposals, training information, original action reports, and Lead Forms for chain store contact.	Retain in the operating area until agent cancels; then retain for five (5) years in cancelled agent files; then destroy.
GS 08008 Cancelled Executive Accounts Files	All information pertinent to Executive Accounts agents who are no longer active Lottery Sales Agents (cancelled).	Retain hard copy in the operating area for five (5) years; then destroy. No microfilming required.

Record Number and Category Title	Description	Minimum Retention Period
GS 08009 Sponsorship Ticket Correspondence	File consists of sponsorship tickets and backup correspondence for each advertising sponsorship.	Retain hard copy in the operating area for two (2) years.
GS 08010 Sponsorship Contracts and Correspondence	File consists of contracts, correspondence, and proof of performance.	Retain hard copy in the operating area for two (2) years, then retain hard copy in the Lottery Records Center for two (2) years, then destroy.
GS 08011 Merchandising Information, Procedures, Policies	Records include all internal and external information, correspondence, agency procedures and policies pertinent to merchandising, purchasing, and bid procedures, their concepts and principles.	Retain in the operating area, which is continually updated and maintained.
GS 08012 Sales Representative Files on Distribution and Training	Sales representative zip codes/district assignments and distribution cycle information. Route lists, training schedules, seminar content and instructors, in conjunction with related correspondence between regional offices and Marketing Division Management and Training department of Lottery Central.	Retain in the operating area until superseded.
GS 08013 Lot Transfer Forms (copies)	File contains copies of Lot Transfer forms, representing the transfer of full lots of instant tickets from sales agents to the respective regional office, and then to Lottery Central supply of safety stock.	Retain one (1) year from date in operating area; then destroy.
GS 08014 Marketing Evaluations for On-Line Sales Agents (copies)	File contains copies of forms and information regarding retailers applying for On-Line terminals.	Retain in the operating area for one (1) year after agent cancellation; then destroy.
GS 08015 Material Manifests (copies)	File contains manifests describing all materials being received by the Regional Sales Manager and being forwarded to Lottery Central by the Regions.	Retain in the operating area for one (1) year from date of form; then destroy.
GS 08016 Recap and Voucher Number Reports	Copies of Recap and Voucher Number Reports, detailing information regarding voucher issuance to agents, including agent signature as proof of receipt.	Retain in the operating area for one (1) year from date of form; then destroy.
GS 08017 Return Ticket Receipts (copies)	Copies of forms detailing all information pertaining to sales agents' return of Lots of instant tickets through the Regional Office to Lottery Central.	Retain hard copy in the operating area for one (1) year from end of game, then destroy.
GS 08018 Storeroom Withdrawal Requisitions	Copies of requisitions, documenting all supplies and materials being requested from Lottery Central for general office operations, Sales Representative service calls.	Retain in the operating area for one (1) year from date of form; then destroy.
GS 08019 Agent Training Files	Records include all information regarding Sales Agent training, including dates, training session content, scheduling of agents for training.	Retain hard copy in the operating area for two (2) years; then destroy.

General Schedule (GS) 09 ~ Retailer Operations

Record Number and Category Title	Description	Minimum Retention Period
GS 09001 Retailer Application/Agreement/Contracts	Records contain all current Retailer Applications and Agreements, in addition to bonds. Each Agent Application and Agreement identifies the business ownership, name, address, credit references, and applicant's notarized signature. The Application and Agreement in conjunction with the submitted Bond is used for approval of Retailer License to Sell Arkansas tickets. Files are maintained within rotary file, in numerical Agent Number order.	Retain in the operating area, which is continually updated and maintained for duration of active Retailer and two (2) years after cancellation date; then retained in the Cancelled Retailer Application/Agreement/Bonds per the Retention Period established for GS 09002.
GS 09002 Cancelled Retailer Application/Agreement/Bonds	File contains cancelled Retailer applications and contracts, including all application forms, correspondence, and related material.	Retain hard copy in the operating area for two (2) years after Agent cancellation date, then archive. Retain archived document in the Lottery Records Center for thirteen (13) years, then destroy.
GS 09003 Standard Information Files	Records incorporate all internal and external procedures, Lottery Game information, inter-departmental correspondence, directives, agency statements, policies, rules and regulations.	Retain hard copy in the operating area for two (2) years; then destroy.
GS 09004 Retailer Correspondence	File details internal and external correspondence and procedures regarding Retailer bonds, including documents from insurance companies pertinent to bond issuance, copies of pending bonds, and sales agent correspondence.	Retain hard copy in the operating area for two (2) years after cancelled date of bond; then destroy.
GS 09005 Request for Relocation of Terminals for On-Line Agents	Copies of form with all detailed information relative to On-Line Sales Agent requesting relocation of the On-Line games terminal within the business establishment.	Retain in the operating area for one (1) year after terminal relocation; then destroy.
GS 09006 Settlement Affidavits	File contains copies of Settlement Affidavits, signed by sales agent, prepared for agents with delinquent balances due to Lottery, NSF checks, changes of ownership, any settlement other than standard.	Retain in the operating area for one (1) year from date of form; then destroy.
GS 09007 Stolen or Destroyed Ticket Reports and Statements of Agents	Copies of forms with all information relative to unusable stolen or destroyed instant tickets, which are replaced with sellable lots of tickets at sales agent's business.	Retain in the operating area for one (1) year from date of form; then destroy.

General Schedule (GS) 10 ~ Security

Record Number and Category Title	Description	Minimum Retention Period
GS 10001 Weekly Reports	Documents status of on-going projects and issues; advises supervisors of various events and issues.	Retain one (1) year and then destroy.
GS 10002 Correspondence, General	Includes internal correspondence (letters, memos); also, correspondence from various individuals, companies, and organizations requesting information pertaining to agency and legal interpretations and other miscellaneous inquiries. This correspondence is informative (it does attempt to influence agency policy).	Retain six (6) months; then destroy.
GS 10003 Stolen Ticket Database	Contains information pertaining to stolen ticket reports. Information includes the theft date, case number, agent's name, agent's number, region, lot number, and sequence of tickets stolen and the number of tickets stolen.	Retain in computer (on disk) for five (5) years; then destroy.
GS 10004 Security Department Investigation File	This file consists of investigations conducted by the Security department regarding altered tickets, attempted cashing of stolen tickets, special investigations and complaints, including the original complaint or request for the investigation.	Retain hard copy in the operating area until case is closed; retain one (1) year from date the case is closed; then scan document to CD. Retain CD in the Lottery Records Center for five (5) years; then destroy.
GS 10005 Arkansas Scholarship Lottery Drawing Procedures	Rules and regulations on how a drawing is to be conducted. Guidelines for Arkansas Scholarship Lottery employees to follow.	Retain hard copy in the operating area for one (1) years after close of game; then scan document to CD. Destroy hard copy once CD has been verified for quality and completeness. Retain CD in the Lottery Records Center for five (5) years; then destroy.
GS 10006 Security Programs for Vendors and Contractors	This file reports security surveys of the physical facilities of vendors and contractors, setting forth the specification for the protection of products manufactured for the Lottery.	Retain in the operating area for one (1) year after end of product.
GS 10007 Security Director's Confidential File	File consists of security employee records and validation of Arkansas Scholarship Lottery regulations and games.	Retain hard copy in the operating area, at the discretion of the Security Director, until declared obsolete; then destroy.
GS 10008 Security Case Assignment; Numeric Cross-Reference File	Filed by case number, information contained is case title, date, investigator assigned, date case file was received, and status of investigation.	Retain active and pending cases in hard copy in the operating area until case is closed; then retain closed cases in hard copy in operating area for one (1) year; then destroy.
GS 10009 On-Line Drawing Reports and Seal Log	Information is filed by drawing date compiled by Drawing Department Representative. Lists tumblers, ball sets used, numbers drawn, and note any problems encountered during studio drawings. Approved by State Auditor and Drawing team reps. Seal log notes, the seal installed and removed on cage, ball containers, and ball safe used for that respective drawing.	Retain hard copy in the operating area for one (1) year, then on CD for five (5) years; then destroy.
GS 10010 Security System Card Access	File includes a printout of all doors accessed by key cards, the no routine (denied as well as abnormal) being delineated. These are kept on disk generally and the paper is discarded daily unless an investigation is being conducted.	Retain back-up files for five (5) years; then destroy.

General Schedule (GS) 12 ~ Claims Centers

Record Number and Category Title	Description	Minimum Retention Period
GS 12001 Regional Manager's Standard Information Files	Files include general game information, such as internal and external operating procedures, agent communications, correspondence between office and Lottery Central, and with agents, policies, procedures, Regional Manager Monthly Reports, inter-office communications to sales force, information regarding distribution systems.	Retain the hard copy in the operating area for two (2) years; then destroy.
GS 12002 Regional Manager's Confidential Files	Sensitive personnel information, copies of documents relative to legal situation, copies of security reports.	Retain hard copy in the operating area for five (5) years; then destroy.
GS 12003 Regional Office Standard Informational Files	General Regional records, maintained by regional secretary, standard correspondence with agents and the public regarding operational policies, information on current Lottery games, including procedures, general staff directives, policy statements and publications for sales reps and agents.	Retain the hard copy in the operating area for two (2) years, then forward to Office of Legal Counsel.
GS 12004 Regional Office Game Books	Binders containing all information, including procedures for each current game and comprehensive binder for all online games.	Retain the hard copy in the operating area for two (2) years; then destroy.
GS 12005 Regional Claim Form Log	File contains Claim Form Logbook in sequential claim form number, for all games, claimants presenting high-tier winning tickets to regional offices for submission of it to Validation Department at Lottery Central. Includes section, based upon same system, for questionable claim inquiries, so marked, for online tickets valued at any denomination.	Retain hard copy for two (2) years from approximate claim payment date in the operating area; then destroy.
GS 12006 Claim Forms (copies)	Files contains regional office copies of Claim Forms, representing individuals who present apparently valid winning high-tier Lottery tickets for both current Instant game and online games, for submittal to Validation Department of Lottery Central for final verification and potential payment. Also included: questionable online Claim Forms stamped "Inquiry".	Retain hard copy for two (2) years from approximate claim payment date in the operating area; then destroy.
GS 12007 Agent Date-Correction or Change Forms (copies)	Copies of form recording information to be corrected or changed, such as telephone number, status, agent data, for sales agent.	Retain one (1) year from form date in operating area; then destroy.
GS 12008 Agent Lot Delivery Forms (copies)	Copies of Agent Lot Delivery Forms, produced to record lot, both quantity and exact lot numbers, of Instant Tickets issued to sales agent, and the date on which issued. Also, identify sales agent and the date on which issued. Also, identify sales agent information, such as agent number, business name, address and zip code, distributor number, delivery/pick-up day. Includes copies of Consignment Records, attached to each lot.	Retain one (1) year from resolution date in operating area; then destroy.
GS 12009 Defective-Stolen-Partial Lot Receipts (copies)	Records include copies of all Defective-Stolen-Partial Lot Receipts, representing regional receipt of such lot/tickets from sales agents, and forwarding of such unusable lots of instant tickets to Lottery Central.	Retain hard copy in the operating area for one (1) year; then destroy.

Record Number and Category Title	Description	Minimum Retention Period
GS 12010 Electronic Funds Transfer (EFT) Records on Agents (copies)	All information pertinent to the Electronic Funds Transfer System for all sales agents, including communications to agents regarding it.	Retain in the operating area until superseded or declared obsolete.
GS 12011 Leases and Agreements	File contains copies of all Claims Center leases of property and vehicles.	Retain hard copy in the operating area for five (5) years after contract termination date.
GS 12012 Cashed Ticket Report (by agent number)	Report lists all tickets cashed and amount paid, when it was cashed and what agent cashed the ticket. The data includes the agent number, agent terminal identification, game identification code, the cashing and transaction ticket number the amount paid and the claims submitted for redemption of the winning ticket. To be used as a cross-reference with the Cashed Ticket Report by winning ticket number.	Retain hard copy in the operating area for three (3) months, then archive. Destroy hard copy once CD has been verified for quality and completeness, then retain CD in the Lottery Headquarters for ten (10) years, and then destroy.
GS 12013 On-line Cancelled/Deleted Winners Report	Report contains date, terminal number, description of bet (straight, boxed, or backup), amount of bet, cancelled ticket serial number, and game data (Pick 3, Pick 4, or Rolling Cash 5, etc.) of actual winning tickets cancelled/deleted per customer's request or terminal error.	Retain hard copy in the operating area for one (1) year, then archive. Destroy hard copy once CD has been verified for quality and completeness, then retain CD in the Lottery Headquarters for five (5) years, and then destroy.
GS 12014 Mid-Tier Validation Log Records	Records are comprised of Mid-Tier Validation Log Sheets, utilized to record all validation information regarding winning ticket of mid-tier prize, as authorized by the Agent Services personnel, for a specific game.	Retain hard copy in the operating area for one (1) year; then destroy.
GS 12015 Cashed Ticket Report (by winning ticket number)	Report lists all tickets cashed and amount paid, when it was cashed, and what agent cashed the ticket. The data includes the agent terminal identification numbers, the game identification code, identification numbers, the cashing and transaction number, the amount paid, and the claims submitted for redemption of the winning ticket. To be used as a cross-reference with the Cashed Ticket Report by agent number.	Retain hard copy in the operating area for three (3) months, then archive. Destroy hard copy once CD has been verified for quality and completeness, then retain CD in the Lottery Headquarters for five (5) years, and then destroy.
GS 12016 On-Line Vendor Packing Slips File	File contains current year's packing slips representing shipments of on-line game supplies, such as Lotto Bet slips from the manufacturer to the on-line vendor. Specific information on the Packing Slip includes date shipped, specific quantities, and pallet number. Allocation of on-line supplies from Lottery Center to the Claims Centers is based upon the information provided by the packing slips.	Retain hard copy in the operating area for one (1) year; then destroy.
GS 12017 Material Manifest File	File contains current year's Material Manifests displaying all information regarding shipments from Lottery Central to Claims Centers, shipment information, records delivery date, Claims Center Identification, materials shipped, number of cartons	Retain hard copy in the operating area of one (1) year.
GS 12018 Distributor Region Carton Manifests File	File contains Distributor Region carton Manifests, which function as shipping manifest to Regional Offices. Production personnel verify printout prior to shipment printout. (Manifests accompany each shipment to the Region).	Retain hard copy in the operating area for one (1) year; then destroy.

General Schedule (GS) 13 ~ Internal Audit

Record Number and Category Title	Description	Minimum Retention Period
GS 13001 Internal Audit Work Papers and Audit Reports	Files include Internal Audit documentation of the various Lottery transaction cycles reviewed for a specific fiscal year. Each transaction cycle audited (reviewed) has a file binder of working papers to support the review.	Retain in office area for duration of audit, then retain in the Lottery Headquarters for five (5) years.