
Schedule No.15

**Montana Municipal Interlocal
Authority
Schedule**

**Montana Local Government Records Committee
Helena, Montana
Adopted May 20, 2014
Rev 7.0**

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MONTANA MUNICIPAL INTERLOCAL AUTHORITY RETENTION SCHEDULE

Effective April 2005, the MMIA is imaging all claim files. Those images are now considered the primary record copy. Any paper related to those claims is kept for 30 days after imaging, at which time they are destroyed.

Item	Record Series Title and Description	Retention/ Disposition	Comments/ Citation
1.	Member Admin Files, Liability Program:		
a.	That city/town's original documentation including Notice of Intent, 8038-G, Liability Program Notice Form, Program Agreement Signature Page, Interlocal Agreement Signature Page, City Resolutions, City Certifications, Appointment Letters, Promissory Note Signature Page, Coverage Binders, Debt Service Schedules, Signature Page to the Memorandum of Liability Coverage, Endorsements to the Memorandum of Liability Coverage, Amendments to the Memorandum of Liability Coverage, Bond Documents and the Declaration Pages.	a. Permanent	
b.	Financial documents (AR Invoices and Deductibles)	b. 8 years/destroy	
c.	General Correspondence	c. 5 years/destroy	
d.	Certificates of Coverage	d. 5 years/destroy	
e.	Evidence of Auto Liability Cards	e. 1 year/destroy	
2.	Member Admin Files, Workers' Compensation (WC) Program:		
a.	That city/town's original documentation including Notice of Intent, 8038-G, WC Program Notice Form, Program Agreement Signature Page, City Resolutions, City Certifications, Appointment Letters, Promissory Note Signature Page, Debt Service Schedules, Bond Documents and the Declaration Pages.	a. Permanent	
b.	Financial Documents (Quarterly Payroll Report Forms)	b. 8 years/destroy	
c.	General Correspondence	c. 5 years/destroy	
d.	Certificates of Coverage	d. 5 years/destroy	
e.	Annual Posting Notices	e. 3 years/destroy	
3.	Member Admin Files, Property Program		
	That city/town's original documentation including		
a.	Acceptance Letter, Loss Letters, Commercial Crime Application, Boiler and Machinery documentation, the Program Agreement Signature Page, endorsements, binders and Declaration Pages.	a. Permanent	
b.	Financial Documents (Invoices)	b. 8 years/destroy	
c.	Property Evaluation Photos	c. Permanent	
d.	Property Evaluations Cost Data	d. 3 years upon update/ destroy	
e.	Property Schedule	e. Permanent	
f.	General Correspondence	f. 5 years/destroy	
g.	Certificates of Coverage	g. 5 years/destroy	

Item	Record Series Title and Description	Retention/ Disposition	Comments/ Citation
4.	Member Admin Files, Employee Benefits Program:		
	a. That city/town's original documentation including their city/town council resolution, Memorandum of Intent to Participate, and the Program Agreement Signature Page.	a. Permanent	
	b. City/Town Employee Applications	b. 8 years from termination of member or employee/destroy	
	c. COBRA Enrollment forms (mailed/received)	c. 8 years from termination of member or employee/destroy	
	d. Financial documents (Invoices)	d. 8 years/destroy	
	e. General Correspondence	e. 5 years/destroy	
	f. Life Insurance documents	f. 8 years from termination of member or employee/destroy	
	g. Notice of Termination of Membership	g. Permanent	
	h. Member Service Representative Agreements (MSR).	h. 8 years from termination of contract/destroy	
	i. Summary Plan Descriptions	i. Permanent	
	j. Vendor Contracts	j. 8 years from termination of contract/destroy	
5.	Member Admin Files, Crime Program Crime Applications, Declarations Pages/Attachments, Binders	Permanent	
6.	Administration Records Actuarial Studies (Liability, Property, Workers' Compensation and Employee Benefits)	Permanent	
	Audited Financial Statements (Liability, Property, Workers' Compensation and Employee Benefits)	Permanent	
	Bond Documents (Liability and Workers' Compensation) (include the Promissory Notes)	Permanent	
	Building Documentation/Land Acquisition Records 3115 McHugh Lane	Permanent	

Item	Record Series Title and Description	Retention/ Disposition	Comments/ Citation
	Bylaws and any correspondence relating to updates	Permanent	
	Claim Audits (Liability, Workers' Compensation, and Property)	Permanent	
	Claim Handling Guidelines (WC)	Permanent	
	Computer and Equipment Records	Life of the equipment/shr	
	Contracts: includes all documentation Some contracts have historical significance and may be retained longer.	8 years from expiration of contract/ destroy	Upon disposal decision, organizational contracts could be offered to Mt Historical Society-Archives
	Correspondence: Official/Program/Policy: Incoming and outgoing letters, memoranda, and email pertaining to the formulation, planning and implementation of the mission, policies, programs, operations and projects. Includes documents pertaining to all permanent items on this schedule.	Permanent	
	Correspondence: Routine: Incoming and outgoing letters, memoranda, and email pertaining to the normal course of business. Can include but is not limited to: a. Correspondence providing general information b. Requests for information c. Referring inquiries elsewhere d. Forwarding materials e. Acknowledging incoming letters f. Making arrangements for routine meetings or other events, and g. Similar matters of minor administrative character which contain no substantive information.	5 years/destroy	
	Correspondence: Transitory: Incoming and outgoing letters, memoranda, and email that are purely informational with a very short time value. Can include, but is not limited to, a. transmittal/cover messages that do not add information to that contained in the attachment. b. routine questions and answers that require no administrative action and no policy decision. c. Thank yous, acknowledgements, congratulations, etc. d. Information copies of correspondence on which no documented administrative action was taken.	30 days/destroy	
	Correspondence: Non-Record: The following materials are not records and may be destroyed at any time, unless they become part of an official record. a. Correspondence, memoranda, and email generated by	Destroy/delete at will.	

Item	Record Series Title and Description	Retention/ Disposition	Comments/ Citation
	<p>another entity and kept by MMIA for reference purposes.</p> <p>b. Unofficial employee activities.</p> <p>c. Internal office announcements.</p> <p>d. Junk mail</p> <p>e. List serve messages other than those posted in official capacity.</p>		
	Data systems specifications	Retain until superseded or obsolete,	
	Employment Relations Division (ERD) Expenditure Reports (quarterly)	6 years/destroy	
	Excess & Reinsurance policies: includes all documentation (Liability, Workers' Compensation, and Property)	Permanent	
	Excess WC Dept of Labor Annual Renewals	Permanent	
	Faxes received electronically are routed to intended recipient to be retained to their corresponding record series.		
	Faxes: electronic copies sent to "Routed Faxes" directory	30 days/destroy	Reference General Schedule Transitory
	Faxes: paper copy of cover page	30 days/destroy	
	Government Entities Mutual, Inc. (GEM) Membership Documents GEM Annual Report GEM Member Surplus Reports GEM Membership Agreement GEM Membership Application GEM Policy Manual GEM Endorsements	Permanent	
	Indenture of Trust	Permanent	
	Insurance Policies (Business): Directors and Officers (DO), Errors and Omissions (EO). Including documentation relevant to the implementation, renewal, modification and replacement of policies.	Permanent	
	Interlocal Agreement (and all addendums, including correspondence regarding those addendums)	Permanent	Sec 7-11-107 (2) MCA The official, recorded agreement is filed with the county clerk and

Item	Record Series Title and Description	Retention/ Disposition	Comments/ Citation
			recorder and the Secretary of State.
	Inventories: office equipment and furniture (and all updates)	8 years/destroy	
	Litigated Claims against the MMIA	3 years after Resolution/destroy	
	Lobbying Reports L5	3 years from the legislative session to which they pertain/destroy	MCA 5-7-212 ARM 44.12.202 (5)
	Memorandum of Liability Coverage (and all updates and any correspondence relating to those updates)	Permanent	
	Modification Factor Reports (Liability & Workers' Compensation) (annual)	Permanent	
	Newsletters, MMIA (historical)	Permanent	
	Organizational Charts	Until superceded	
	Policies and Procedures Manuals	Permanent	
	Program Agreements (and all updates)	Permanent	
	Program Rates (annual)	Permanent	
	Retro(spective) Numbers (Liability)	Permanent	
	Requests for Proposals (RFP)		
a.	Successful awards under \$80,000	a. 8 years from expiration of contract/destroy	7-5-4302(1) MCA
b.	Unsuccessful awards under \$80,000	b. 1 year after date of award/destroy	
c.	Successful awards over \$80,000	c. 8 years from expiration of contract/destroy	
d.	Unsuccessful awards over \$80,000	d. 1 year after date of award/destroy	
e.	Unopened bids	e. return to bidder after award	
f.	Contractor Warranties	f. 5 years/destroy	
CPC	Claims Processing Contracts: Old Gates McDonald/Alexsis/RYSKO contracting history Records: includes service agreements (contract), audits and general correspondence.	Permanent	
	Risk Management Bulletins (historical)	Permanent	

Item	Record Series Title and Description	Retention/Disposition	Comments/Citation
	Special Liability Insurance Program (SLIP) Application, annual	Permanent	
	SLIP Policy, annual	Permanent	
	Safety National Casualty Corporation (SNCC) Excess WC Application	Permanent	
	SNCC Excess WC Policy	Permanent	
	Dept of Labor, Self Insurance Documents Annual Applications – MMIA	Permanent	
	Special Events Program Creation Documents (historical) Special Events Annual Summary	Permanent 5 years/destroy	
	Staff Meeting Agenda and Signup Sheet	5 years/destroy	
	Vehicles		
a.	Titles	a. Life of the vehicle/ plus 1 year/shred	
b.	Registrations	b. Until superceded /destroy	
c.	Maintenance Records	c. Life of the vehicle plus 1 year/destroy	
	Voice Mail Communications		
a.	Voice Mail	Erase following action taken	
b.	Voice Mail Backup (not currently backing up the voicemail)		
7.	Board of Directors		
a.	Agendas, Minutes, Elections, Chair’s Report	a. Permanent	
b.	Meeting Notes and Committee Notes	b. 5 years/destroy	
c.	Conflict of Interest Disclosures	c. 5 years/destroy	
8.	Financial Records		
a.	Accounts Payable: check registers, posting journals, batch listing, monthly sub ledgers, FY sub ledgers, transaction report: bills/payment authorization/payment stubs, vendor files, workers’ compensation records, dividend records, employee travel and expense reports, vendor contracts, 1099s, W9’s and general correspondence	a. 8 years/destroy	
a1.	Employee Time Cards	a1 3 years/destroy	
b.	Accounts Receivables: posting journals, batch listings, monthly sub ledgers, FY sub ledgers, transactions listings, deposit listings, deposit slips, 1099s, workers’ compensation quarterly payroll report forms (invoices), and general correspondence.	b. 8 years/destroy	

Item	Record Series Title and Description	Retention/ Disposition	Comments/ Citation
c.	Banking: bank confirmations, bank reconciliations, statements, check registers, checks (canceled/voided), stop payment requests, deposit slips and their duplicates, and general correspondence.	c. 8 years/destroy	
d.	Investments: investment trade confirmations, investment statements, reconciliations, signature authorizations, transfer confirmations, and general correspondence.	d. 8 years/destroy	
e.	Budget: all records and supporting details	e. 8 years/destroy	
e1	Yearly GL ledger transactions, monthly financial statements, FY financial statements, financial statement reconciliations supporting schedules and data, financial and investment report to the Board, FY trial balance, and monthly trial balance.		
e2	Claim Payment Registers, claim payment reports, loss reserve reports and recovery reports for all Liability, Workers' Compensation and Property Claims		
f.	Annual Program Audits (Liability, Workers' Compensation, property, and Employee Benefits)	f. Permanent	
g.	Annual Report	g. Permanent	
h.	Member Accounting Documents (Member Statements of Changes)	h. Permanent	
9.	Legal Correspondence: Attorney correspondence, Conflict of Interest statements, opinions, loss runs and general correspondence pertaining to the administrative functions of the office.	5 years/destroy	
10.	Personnel Records: Employee Personnel File Folder 1: Application/Resume, employment letter, drug & alcohol testing documentation, emergency point of contact information, exit interviews, family and medical leave notice of rights, general correspondence, grievance forms, investigation and arbitration documentation, performance appraisals, promotions, resignations, sexual harassment complaints and their accompanying investigation reports and documentation, signature pages, licenses/registrations, proof of personal vehicle insurance and training records, EEOC/ADA/Affirmative Action/I9 documents, Montana New Hire Reporting forms, original background checks, and recruitment/selection process documentation.	10 years after termination/destroy	
	Employee Personnel File Folder 2: WC claim documents filed by MMIA staff. Any HIPAA protected documents and any employee related	10 years after termination/destroy	

Item	Record Series Title and Description	Retention/ Disposition	Comments/ Citation
	medical information.		
	Employee Handbook and updates	3 years/destroy	
	Employee Payroll Files: employee benefit selection forms, employee direct deposit authorization forms, W4s	Work years plus 10 years/destroy	
	Employee Earnings Records: W2s, annual worksheets, reports	50 years after the FY to which these records relate/destroy	
	Employee Payroll Processing Records: EFT confirmations, periodic earnings records, retirement documentation, leave documentation	8 years/destroy	
	Federal and State Payroll Tax Reports: quarterly and annual reports	8 years/destroy	
	Recruitment/Selection Process Documentation (may include position description, vacancy announcement, advertisements, list of recruitment sources, applications, supplemental questionnaires, other application materials, selection procedures and criteria used to evaluate performance, written evaluations, names and titles of individuals participating in the design or administration of selection procedures, records documenting applicant flow, and correspondence with applicants).	3 years/destroy	
	Application Documentation, Not Hired (including resumes, supplements etc.)	3 years/destroy	
11.	Records Management Documents		
	Certificates of Destruction	8 years/destroy	
	Records Disposal, Request for/or Transfer Authorization (Local Government Committee)	Permanent	
	Records Migration Plan	Permanent	
	Open Records Request: Documents relating to the Request. However claim file requests become a part of the requested file and will therefore abide by the retention date of that particular claim file.	1 year after final decision on request/destroy.	
	Records Retention Policy (and all updates)	Permanent	
	Records Schedule, Request for Change	5 years/destroy	
	See Schedule 15A for Claims Retention Schedule		

MMIA Schedule 15
Revision 7, May 20, 2014

Items 1, 2, 3, 4 Title Name Change - pages 2 and 3
 Item 5, New item, adding b, c, f, g, l, j - page 3
 Moving h from part a. Not a permanent document.

Item 1e, moved from 6, Evidence of Auto Liability Cards
 Item 4, adding several documents with retentions
 Item 4a & h, moving member Service Rep Agreements from permanent to 8 years.
 Item 5, moving crime documents from Property to their own program
 Item 6, numbering changes all the way to end
 Item 6, adding EB to the actuarial studies
 Item 6, adding Audited Financial Statements
 Item 6, adding GEM Documents
 Item 6, adding newsletters
 Item 6, adding risk management bulletins
 Item 6, adding Dept of Labor annual application
 Item 6, adding Special Events documents
 Item 7, adding Conflict of Interest statements
 Finally, throughout the document, replaced "shred" with "destroy".

MMIA Schedule 15
Revision 6, approved November 20, 2012

Item 7h, Member Accounting Forms, just adding a second name for the same documents.
 Item 9, Employee Personnel File Folders 1 and 2, changing to 10 years.
 Item 9, Employee Personnel File Folder 2, moving Workers' Compensation claim documents and all medically related documents to this folder.
 Item 10, Records Migration Plan, changed to "Permanent."

MMIA Schedule 15
Revision 6, approved May 24, 2012

Item #	Schedule #	Page #	Description	New Retention
Item 1	5	7	Adding Safety National Casualty Corporation (SNCC) Excess WC Application (moving this to 5, alpha order)	Permanent
Item 2	2e	2	Adding Annual Posting Notices	3 years
Item 3	3a	2	Administrative City Files, Property Program, adding Declaration Page. We've always done this, it just got left off the schedule	Permanent
Item 4	3c	2	Changing Property Evaluations Photos from 8 years to Permanent, requested by staff and general counsel	Permanent
Item 5	3d	2	Changing Property Evaluations Cost Data from 8 years to 3 years, requested by staff and general	3 years after update

			counsel, these documents are not needed for 8 years.	
Item 6	3e	2	Changing Property Schedules from 8 years to permanent, requested by staff and general counsel	Permanent
Item 7	5	3	Adding Property Actuarial Studies, new item	Permanent
Item 8	5	3	Adding Automobile Evidence of Coverage Cards, we've always done this, it just got left off the schedule	1 year
Item 9	5	3	Adding WC Claim Handling Guidelines, new item	Permanent
Item 10	5	4	General Correspondence: moving to "Correspondence"	5 years
		3	Correspondence: Official/Program/Policy	Permanent
		3	Correspondence: Routine:	5 years
		4	Correspondence: Transitory	30 Days
		4	Correspondence: Non Record	Destroy/Delete at will
Item 11	5	9	Moving records to a new section, 10	
Item 12	5	6	Adding annual SLIP Application	Permanent
Item 13	5	6	Adding annual SLIP Policy	Permanent
Item 14	6a	6	Adding Chair's Report, we've always done this, it just got left off the schedule	Permanent
Item 15	7h	7	Adding Member Accounting Documents, requested by Finance Dept	Permanent
Item 16	9	8	Moving WC Claim documents into Employee File Folder 1. Not approved, 5/24/12	3 years after termination/shred
Item 17	9	8	Personnel Records, Employee Payroll Processing Records, Changing to 8 years to be consistent with other finance records	8 years
Item 18	9	8	Personnel Records, Federal and State Payroll Tax Reports, changing to 8 years to be consistent with other finance records	8 years
Item 19	9	8	Personnel Records, adding Recruitment/ Selection Process Documentation, we've always done this, it just got left off the schedule	3 years
Item	9	8	Personnel Records, adding Application	3 years

20			Documentation, Not Hired. We've always done this, it just got left off the schedule.	
Item 21	10	9	Created new section for Records Management. Items are in alpha order. The records parts were confusing, so I want to start its own section.	
Item 22	10	9	Certificates of Destruction are the only new item under Section 10 and they will be same as financial documents	8 years

**MMIA Schedule 15
Revision 4.0 5-2011**

Item 1 - 1a & c, 2d and 3f change "insurance" to "coverage".

Item 2 - 1b "estimated payroll" is no longer created. All have been deleted via normal disposal.

Item 3 - Re: add 1b item. Remove financial docs out of 1a and make it 1b with an 8 year retention.

Item 5 - L5 Report, change retention from 10 to 3 years (per MCA 5-7-212). Add "from the legislative session to which they pertain".

Item 6 - Request for Change forms - 5 years

Item 7 - Disposal Request should be kept permanent.

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