

Selected Data Retention Requirements

An Osterman Research Guide

Published December 2017



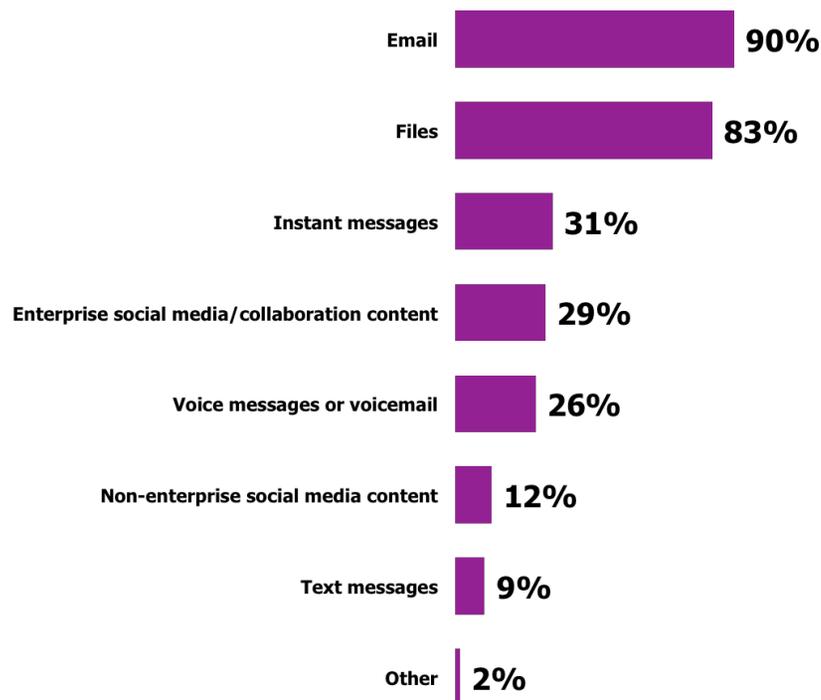
Osterman Research, Inc.

P.O. Box 1058 • Black Diamond • Washington • 98010-1058 • USA

+1 206 683 5683 • info@ostermanresearch.com

www.ostermanresearch.com • @mosterman

Overview



Percentage of Organizations That Retain Various Data Types on a Regular Basis

Source: Osterman Research, Inc. (October 2017)

Regulated vs. Unregulated

The world is not divided into “regulated” organizations that must retain business records and “unregulated” ones that are free not to do so.

All organizations, regardless of the industries in which they participate, have specific and detailed regulatory obligations to retain various types of business records.

Unfortunately, not all organizations retain their business records on a regular basis, as shown in the figure on the left.

The Obligations to Retain Records

Every organization produces business records: emails, invoices, purchase orders, shipping labels, marketing plans, text messages, policy statements, social media posts, vacation requests and thousands of other

communications, files and other types of content. While there are legal reasons to retain business records, such as preserving information that might be necessary in a future lawsuit, there are also thousands of specific regulatory obligations focused on records retention that apply to virtually every organization.

Records Retention is for Everyone

A large proportion of the electronic records that pertain to an organization's business activities are subject to regulatory compliance obligations, which vary by industry and jurisdiction. It is important to note that almost every organization and industry faces some level of regulatory compliance obligation to retain its records, and that retention obligations are not limited to "regulated" organizations or industries, since there is no such thing as an "unregulated" one. A few examples of data retention requirements outside of industries that are normally considered to be "heavily regulated":

- US and foreign air transport carriers must retain for three years the complaints they receive from individuals with disabilities who use these carriers.
- Employers of homeworkers in the clothing, jewelry and related industries must retain for three years any documents related to stop watch time studies or other work measurement methods used to demonstrate piece rates. The purpose of retaining these records is so that employers can prove that employees are making at least the minimum wage.
- Bottlers involved in the labeling and advertising of distilled spirits must retain for five years certificates of age and/or origin for spirits imported to the US in bulk where those spirits are bottled and removed from the plant.

These regulations require the retention of content such as financial documents, email correspondence between organizations, employee records, invoices, shipping information and a variety of other data. In fact, even metadata must be preserved – the Supreme Courts of both Arizona and Washington State have ruled that metadata must be retained along with other records.

Among the more heavily regulated verticals worldwide is the financial services industry. In the United States, for example, rules of the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA) require members of national securities exchanges, brokers and dealers to preserve securities transaction records for a minimum of six years, the first two years in an easily accessible place. In Canada, records of purchase and sell orders of securities must be retained for seven years, the first two years in an easily

accessible location. And in the United Kingdom, investment service and transaction records must be retained for at least five years.

The consequences to financial services firms of not complying with these retention regulations can be severe and typically involve the imposition of significant financial penalties.

Among other heavily regulated industries is healthcare. For example, the Health Insurance Portability and Accountability Act of 1996 (HIPAA), requires organizations to protect patients' electronic health information from unauthorized users and to retain such information for six years. Non-compliance with HIPAA requirements could result in fines of up to \$50,000 per violation, or criminal penalties of \$250,000 and up to 10 years in prison for violations based on intent or malice.

These are but two examples of the more heavily regulated industries that face strict compliance

obligations for data retention. However, **virtually every organization, even in industries that are not considered heavily regulated, are subject to content retention requirements** and the consequences of non-compliance with requirements, as discussed above.

About This Guide

Here is what this guide is and is not intended to do:

- It **is** intended to provide an overview of some of the key records-retention obligations that almost all organizations must satisfy — there are 421 regulations listed in this edition. It provides a bit of detail on the regulations, who is affected by them, and some reference information for further study.
- However, in its current iteration this guide is **not** intended to be a comprehensive database of all government data retention obligations - there are many thousands of these regulations

that are not included in this document. Instead, the goal is to highlight several hundred important data-retention obligations so that decision makers will a) understand the importance of retaining business records, and b) understand that regardless of the industry in which they participate, they are in a “regulated” industry in the context of their data retention obligations.

That said, Osterman Research will publish future editions of this guide that include additional data-retention obligations.

Contact Us

Please feel free to contact us with questions or comments:

Osterman Research, Inc.

+1 206 683 5683

info@ostermanresearch.com

@mosterman

Table of Contents

Agriculture	6	Legal Entities	35
Certification/Testing	7	Libraries	35
Chemicals	7	Life Sciences	35
Communications.....	9	Manufacturing	37
Construction	9	Mining	40
Consumer Products	9	Non-Profit	41
Defense	10	Services, Various	41
Education	10	State and Local Government.....	41
Elections	11	Tax Preparation	46
Energy	11	Textiles.....	46
Financial Services	15	Tobacco and Related Products.....	46
Food Services	29	Transportation	46
Gaming.....	30	US Federal (Federal Acquisition Regulation)	50
Healthcare	31	US Government	53
Housing	33	Utilities.....	54
Importers	33	Various	55
Indian Tribes	34	Veterinary.....	60
Insurance	35	Warehousing.....	60
Laboratory Services	35	Wastewater Treatment Processing.....	60
Law Enforcement.....	35		

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Agriculture	7 CFR 205.103	Organic crop or livestock producers, wild-crop harvesters or handling operations and related operations	Records for the production, harvesting, and handling of agricultural products that are or that are intended to be sold, labeled, or represented as "100 percent organic," "organic," or "made with organic (specified ingredients or food group(s))."	Five years	7 CFR 205.103-Recordkeeping by certified operations.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol3/pdf/CFR-2017-title7-vol3-sec205-103.pdf
Agriculture	7 CFR 2500.017	Agricultural and related firms	Proposal solicitations	Three years	§ 2500.017 Confidentiality of proposals and awards.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol15/pdf/CFR-2017-title7-vol15-sec2500-017.pdf
Agriculture	7 CFR 3403.7	Agricultural and related firms	Proposal solicitations	Three years	§ 3403.7 Proposal format for phase I applications.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol15/pdf/CFR-2017-title7-vol15-sec3403-7.pdf
Agriculture	7 CFR 3430.21	Agricultural and related firms	Grant applications	Three years	§ 3430.21 Confidentiality of applications and awards.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol15/pdf/CFR-2017-title7-vol15-sec3430-21.pdf
Agriculture	7 CFR 81.13	Agricultural and related firms	Records related to the removal of prune/plum trees	Two years	§ 81.13 Records and accounts.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol3/pdf/CFR-2017-title7-vol3-sec81-13.pdf
Agriculture	7 CFR 82.13	Agricultural and related firms	Records related to the removal of clingstone peach trees	Ten years	§ 82.13 Records and accounts.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol3/pdf/CFR-2017-title7-vol3-sec82-13.pdf
Agriculture	7 CFR 981.442	Agricultural and related firms	Records by almond handlers	Two-plus years	§ 981.442 Quality control.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol8/pdf/CFR-2017-title7-vol8-sec981-442.pdf
Agriculture	9 CFR 320.3	Agricultural and related firms	Various records	One to two-plus years	§ 320.3 Record retention period.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title9-vol2/pdf/CFR-2017-title9-vol2-sec320-3.pdf
Agriculture	9 CFR 439.20	Agricultural and related firms	Records related to laboratory quality control, samples, standards books and supervisor approvals of recoveries, instrument maintenance and calibration	Three years	§ 439.20 Criteria for maintaining accreditation.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title9-vol2/pdf/CFR-2017-title9-vol2-sec439-20.pdf
Agriculture	9 CFR 93.412	Operators of privately owned medium or minimum security ruminant quarantine facilities	Logs of all persons entering or exiting the facility	Two years	9 CFR 93.412-Ruminant quarantine facilities.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title9-vol1/pdf/CFR-2017-title9-vol1-sec93-412.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Certification/ Testing	16 CFR 1112.25	Third party conformity assessment bodies	Test reports and technical records related to test conducted for purposes of section 14 of the CPSA	Five years	16 CFR 1112.25- What are a third party conformity assessment body's recordkeeping responsibilities?	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1112-25.pdf
Certification/ Testing	16 CFR 1203.41	Every person issuing certificates of compliance for bicycle helmets	Records which show that the certificates are based on a reasonable testing program	Three years	16 CFR 1203.41- Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1203-41.pdf
Certification/ Testing	16 CFR 1205.34	Every person issuing certificates of compliance for walk-behind rotary power lawn mowers	Records that identify the mower tested and the production lot, and describe the tests the mowers have been subjected to and the results of the tests	Three years	16 CFR 1205.34- Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1205-34.pdf
Certification/ Testing	16 CFR 1211.31	Every person issuing certificates for automatic residential garage door operators	Records shall identify the operators tested, the production lot, description of the tests the operators were subjected to in sufficient detail so the tests may be replicated, results of the tests including failures, and any actions taken to address any failures	Three years	16 CFR 1211.31- Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1211-31.pdf
Chemicals	21 CFR 1313.23	Importers and exporters of List I and List II chemicals	Export declarations for certain types of chemicals	Two years	§ 1313.23 Disposition of export declaration.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol9/pdf/CFR-2017-title21-vol9-sec1313-23.pdf
Chemicals	21 CFR 1313.34	Importers and exporters of List I and List II chemicals	Brokers or traders must retain DEA Form 486 as an official records of international transactions. Declarations that involve certain types of chemicals must be retained.	Two years	§ 1313.34 Disposition of the international transaction declaration.	https://www.gpo.gov/fdsys/pkg/FR-2016-12-30/pdf/2016-28966.pdf#page=49
Chemicals	29 CFR 1910.119	Organizations that deal with highly hazardous chemicals	Incident investigation reports	Five years	§ 1910.119 Process safety management of highly hazardous chemicals.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol5/pdf/CFR-2016-title29-vol5-sec1910-119.pdf
Chemicals	40 CFR 170.311	Any entity that produces or processes pesticides, including agricultural employers	Pesticide application and hazard information, including a copy of the safety data sheet, name of the pesticide, EPA registration number, description of the treated area, dates and time that application of the pesticide(s) started and ended, and other information.	Two years	§ 170.311 Display requirements for pesticide safety information and pesticide application and hazard information.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol26/pdf/CFR-2016-title40-vol26-sec170-311.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Chemicals	40 CFR 68.60	Owners or operators of chemical facilities	Investigation reports about incidents in which a catastrophic release of a regulated substance occurred or might have occurred	Five years	§ 68.60 Incident investigation.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol17/pdf/CFR-2016-title40-vol17-sec68-60.pdf
Chemicals	40 CFR 68.81	Owners or operators of continuous catalyst regeneration units	Investigation reports about incidents in which a catastrophic release of a regulated substance occurred or might have occurred	Five years	§ 68.81 Incident investigation.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol17/pdf/CFR-2016-title40-vol17-sec68-81.pdf
Chemicals	40 CFR 711.25	Manufacturers and importers of chemical substances subject to control under the Toxic Substances Act	Records of any information provided to the EPA	Five years, although submitters are encouraged to retain records for a longer period	40 CFR 711.25 - Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol33/pdf/CFR-2016-title40-vol33-sec711-25.pdf
Chemicals	40 CFR 717.15	Chemical manufacturers	Reports about adverse reactions to chemicals or related materials	Five to 30 years	§ 717.15 Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol33/pdf/CFR-2016-title40-vol33-sec717-15.pdf
Chemicals	40 CFR 720.78	Manufacturers and importers of chemicals	Documents related to notification of risk, contact information about entities to whom chemicals are distributed, production volumes and other information	Three to five years	§ 720.78 Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol33/pdf/CFR-2016-title40-vol33-sec720-78.pdf
Chemicals	40 CFR 82.13	Any entity that produces, imports, exports, transforms or destroys ozone-depleting (Class I) chemicals	Records and copies of reports related to the production and management of ozone-depleting chemicals	Three years	§ 82.13 Recordkeeping and reporting requirements for class I controlled substances.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol21/pdf/CFR-2016-title40-vol21-sec82-13.pdf
Chemicals	40 CFR 82.24	Any entity that produces, imports, exports, transforms or destroys ozone-depleting (Class II) chemicals	Records and copies of reports related to the production and management of ozone-depleting chemicals	Three years	§ 82.24 Recordkeeping and reporting requirements for class II controlled substances.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol21/pdf/CFR-2016-title40-vol21-sec82-24.pdf
Chemicals	21 CFR 1310.04	Manufacturers of List I or List II chemicals, or those persons who engages in transactions involving a listed chemical, a tableting machine, or an encapsulating machine	Various records for a List I chemical, tableting machines, encapsulating machines, or List II chemicals	Two years	21 CFR 1310.04- Maintenance of records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol9/pdf/CFR-2017-title21-vol9-sec1310-04.pdf
Chemicals	21 CFR 1314.30	Anyone selling scheduled listed chemical products to individuals for personal use	Each entry in the written or electronic logbook	At least two years	21 CFR 1314.30- Recordkeeping for retail transactions.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol9/pdf/CFR-2017-title21-vol9-sec1314-30.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Communications	47 CFR 11.35	Communication service providers that operate an Emergency Alert System	Records related to equipment subject to FCC compliance	Two years	§ 11.35 Equipment operational readiness.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title47-vol1/pdf/CFR-2016-title47-vol1-sec11-35.pdf
Communications	47 CFR 2.1075	Communication service providers	Records related to equipment subject to FCC compliance	Two years	§ 2.1075 Retention of records.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title47-vol1/pdf/CFR-2016-title47-vol1-sec2-1075.pdf
Communications	47 CFR 2.938	Communication service providers	Records related to equipment subject to FCC compliance	One to two years	§ 2.938 Retention of records.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title47-vol1/pdf/CFR-2016-title47-vol1-sec2-938.pdf
Communications	47 CFR 2.955	Communication service providers	Records on equipment monitoring	Two years	§ 2.955 Retention of records.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title47-vol1/pdf/CFR-2016-title47-vol1-sec2-955.pdf
Communications	47 CFR 54.504	Common carrier service providers	Records required to support an FCC application for discounts on various products and services	Ten years	§ 54.504 Requests for services.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title47-vol3/pdf/CFR-2016-title47-vol3-sec54-504.pdf
Communications	47 CFR 73.3527	Radio broadcasters	Public inspection files, information on broadcasts by candidates for public office, donor lists and other information	One to two years	§ 73.3527 Local public inspection file of noncommercial educational stations.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title47-vol4/pdf/CFR-2016-title47-vol4-sec73-3527.pdf
Communications	47 CFR 76.601	Cable television service providers	Data on performance tests	Two to five years	§ 76.601 Performance tests.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title47-vol4/pdf/CFR-2016-title47-vol4-sec76-601.pdf
Communications	47 CFR 80.409	Maritime radio service providers	Station logs	Two to three years	§ 80.409 Station logs.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title47-vol5/pdf/CFR-2016-title47-vol5-sec80-409.pdf
Construction	29 CFR 1926.64	Construction owners and operators	Incident investigation reports	Five years	§ 1926.64 Process safety management of highly hazardous chemicals.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol8/pdf/CFR-2016-title29-vol8-sec1926-64.pdf
Consumer Products	16 CFR 1615.31	Manufacturers, importers, or other person introducing items into commerce (specifically children's sleepwear)	Process of manufacture of each production unit of articles of children's sleepwear, or fabrics or related materials, to the sale and delivery of the finished items and from the specific finished item to the manufacturing records	Three years	16 CFR 1615.31- Labeling, recordkeeping, advertising, retail display and guaranties.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1615-31.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Consumer Products	16 CFR 1615.32	Manufacturers, importers, or other person introducing items into commerce (specifically children's sleepwear)	Record of all applications filed with the Commission and of all equivalency tests	Three years	16 CFR 1615.32- Method for establishment and use of alternate laundering procedures under section 4(g)(4)(ii) of the standard.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1615-32.pdf
Consumer Products	16 CFR 1632.31	Manufacturers, importers, or other person initially introducing into commerce mattresses or mattress pads	Manufacturing specifications and description of each mattress or mattress pad prototype with an assigned prototype identification number; test results and details of each prototype test performed; photograph of the bare surface of each mattress or mattress pad tested; records to support any determination that a particular material did not influence the ignition resistance; manufacturing specs and descriptions; test results and details of any ticking classification tests; test results on any test of tape edge materials; details of approved alternate laundering procedures; identification, composition and detail of the application of flame retardant treatments; disposition of all failing or rejected prototype mattress or mattress pads	Three years	16 CFR 1632.31- Mattresses/mattress pads- labeling, recordkeeping, guaranties and "one of a kind" exemption.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1632-31.pdf
Consumer Products	16 CFR 315.5	Contact lens retailers	Record of all direct communications, prescriptions presented to the seller by the patient or prescriber, verification requests by the seller, telephone log (if verbal communication), copies of faxes or e-mails, and regular Saturday business hours for the prescriber	Three years or longer	16 CFR 315.5- Prescriber verification.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec315-5.pdf
Defense	22 CFR 130.14	Suppliers and vendors of defense articles or defense services with a value of more than \$500,000	Various records	Five years	22 CFR 130.14 - Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title22-vol1/pdf/CFR-2017-title22-vol1-sec130-14.pdf
Education	47 CFR 54.648	Cooperative associations of schools and/or libraries eligible for E-rate support, and health care providers	Records to document compliance with program rules	Five years	47 CFR 54.648 - Audits and recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title47-vol3/pdf/CFR-2016-title47-vol3-sec54-648.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Education	7 CFR 235.7	State agencies, educational institutions	Records of state agency funds used in support of various government nutrition programs	Three years	§ 235.7 Records and reports.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol4/pdf/CFR-2017-title7-vol4-sec235-7.pdf
Education	7 CFR 245.9	State agencies, educational institutions	Implementation records for each school that participates in free and reduced price meals and free milk in the National School Lunch Program	Three fiscal years	§ 245.9 Special assistance certification and reimbursement alternatives.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol4/pdf/CFR-2017-title7-vol4-sec245-9.pdf
Elections	11 CFR 104.20	All person who make electioneering communications or who accept donations for the purpose of making electioneering communications	Records in accordance with 11 CFR 104.14 (bank records, vouchers, worksheets, receipts, bills and accounts, and all other relevant material)	Three years	11 CFR 104.20- Reporting electioneering communications (52 U.S.C. 30104 (f)).	https://www.gpo.gov/fdsys/pkg/CFR-2017-title11-vol1/pdf/CFR-2017-title11-vol1-sec104-20.pdf
Elections	11 CFR 109.33	National committee of a political party or a State committee of a political party	Written assignments in accordance with 11 CFR 104.14 (bank records, vouchers, worksheets, receipts, bills and accounts, and all other relevant material)	Three years	11 CFR 109.33- May a political party committee assign its coordinated party expenditure authority to another political party committee?	https://www.gpo.gov/fdsys/pkg/CFR-2017-title11-vol1/pdf/CFR-2017-title11-vol1-sec109-33.pdf
Elections	11 CFR 9407.7	U.S. Election Assistance Commission, and anyone subject to the Sunshine Act (5 U.S.C. 552b)	Complete verbatim copy of the transcript, a complete electronic recording, or a complete copy of the minutes of the proceedings of each meeting	Two years or longer	11 CFR 9407.7- Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title11-vol1/pdf/CFR-2017-title11-vol1-sec9407-7.pdf
Energy	10 CFR 1046.17	Contractors that provide protective force personnel at Department of Energy facilities, including those of the National Nuclear Security Administration	Training records and certifications	One year	§ 1046.17 Training standards and procedures.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol4/pdf/CFR-2017-title10-vol4-sec1046-17.pdf
Energy	10 CFR 110.53	Licensees authorized to export or import nuclear equipment or material	Records related exports and imports	Three to five years	§ 110.53 United States address, records, and inspections.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol2/pdf/CFR-2017-title10-vol2-sec110-53.pdf
Energy	10 CFR 26.713	Licensees and non-licensed entities subject to jurisdiction by the Nuclear Regulatory Commission	Records of self-disclosures, employment histories, inquiries, audits, audit findings and other information	Three to 40 years	10 CFR 26.713- Recordkeeping requirements for licensees and other entities.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol1/pdf/CFR-2017-title10-vol1-sec26-713.pdf
Energy	10 CFR 30.51	Licensees and related entities that handle radioactive byproduct material	Records related to the receipt, transfer and disposal of byproduct material	Three years	10 CFR 30.51- Records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol1/pdf/CFR-2017-title10-vol1-sec30-51.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Energy	10 CFR 31.5	Entities licensed by the Nuclear Regulatory Commission	Test and related records	Three years	§ 31.5 Certain detecting, measuring, gauging, or controlling devices and certain devices for producing light or an ionized atmosphere.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol1/pdf/CFR-2017-title10-vol1-sec31-5.pdf
Energy	10 CFR 39.35	Entities licensed for well logging	Leak test results	Three years	10 CFR 39.35- Leak testing of sealed sources.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol1/pdf/CFR-2017-title10-vol1-sec39-35.pdf
Energy	10 CFR 40.35	Entities licensed by the Nuclear Regulatory Commission	Records related to the transfer of depleted uranium	Three years	§ 40.35 Conditions of specific licenses issued pursuant to § 40.34.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol1/pdf/CFR-2017-title10-vol1-sec40-35.pdf
Energy	10 CFR 50.36	Facilities licensed under the Atomic Energy Act of 1954	Reviews of safety limits for nuclear reactors	Three years	10 CFR 50.36- Technical specifications.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol1/pdf/CFR-2017-title10-vol1-sec50-36.pdf
Energy	10 CFR 50.55	Facilities licensed under the Atomic Energy Act of 1954	Procurement documents, records of evaluations of all deviations, notifications sent to licensees, and copies of communications	Five to 15 years	10 CFR 50.55- Conditions of construction permits, early site permits, combined licenses, and manufacturing licenses.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol1/pdf/CFR-2017-title10-vol1-sec50-55.pdf
Energy	10 CFR 55.46	Facilities licensed under the Atomic Energy Act of 1954	Simulation facility performance testing records	Four years	§ 55.46 Simulation facilities.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol2/pdf/CFR-2017-title10-vol2-sec55-46.pdf
Energy	10 CFR 73.67	Facilities and entities that store and move various types of nuclear materials	Various records	Three years	§ 73.67 Licensee fixed site and in-transit requirements for the physical protection of special nuclear material of moderate and low strategic significance.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol2/pdf/CFR-2017-title10-vol2-sec73-67.pdf
Energy	10 CFR 73.70	Facilities and entities that store and move various types of nuclear materials	Records about authorized individuals, visitors, vendors and others; routine security tours and inspections; alarm events; shipments; procedures and other information	Three years	§ 73.70 Records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol2/pdf/CFR-2017-title10-vol2-sec73-70.pdf
Energy	10 CFR 74.19	Each person with a license who possesses special nuclear material in a quantity of one gram or more	Each record of receipt, acquisition, or physical inventory of special nuclear material that must be maintained	Three years	10 CFR 74.19- Recordkeeping	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol2/pdf/CFR-2017-title10-vol2-sec74-19.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Energy	10 CFR 74.31	Each person with a license who possesses special nuclear material in a quantity of one gram or more	https://www.law.cornell.edu/cfr/text/10/74.31#c	Three years or longer	10 CFR 74.31- Nuclear material control and accounting for special nuclear material of low strategic significance.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol2/pdf/CFR-2017-title10-vol2-sec74-31.pdf
Energy	10 CFR 74.33	Each person with a license who possesses special nuclear material in a quantity of one gram or more	Records that will demonstrate the performance objectives, system features, and capabilities in an auditable form	Three years or longer	10 CFR 74.33- Nuclear material control and accounting for uranium enrichment facilities authorized to produce special nuclear material of low strategic significance.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol2/pdf/CFR-2017-title10-vol2-sec74-33.pdf
Energy	10 CFR 74.43	Each person with a license who possesses special nuclear material in a quantity of one gram or more	Records of the receipt, shipment, disposal and current inventory associated with all possessed SNM; records of the quantities of SNM added to and removed from the process; records of all shipper-receiver evaluations associated with SNM receipts; records pertaining to receipt and disposal of SNM until the license is terminated	Three years or longer	10 CFR 74.43- Internal controls, inventory, and records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol2/pdf/CFR-2017-title10-vol2-sec74-43.pdf
Energy	10 CFR 850.39	DOE (U.S. Department of Energy or its duly authorized representatives)	Records of all beryllium inventory information, hazard assessments, exposure measurements, exposure controls, and medical surveillance	75 years	10 CFR 850.39- Recordkeeping and use of information.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol4/pdf/CFR-2017-title10-vol4-sec850-39.pdf
Energy	16 CFR 306	Refiners, importers, producers, distributors, or retailers of automotive fuel	Delivery tickets or letters of certification on which automotive fuel rating certifications are based, as well as automotive fuel rating determinations	One year	16 CFR 306.9, 11, 12 - Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec306-0.pdf
Energy	16 CFR 306.11	Refiners, importers, producers, distributors, or retailers of automotive fuel	Delivery tickets or letters of certification on which automotive fuel rating postings are based, as well as automotive fuel rating determinations	One year	16 CFR 306.11- Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec306-11.pdf
Energy	16 CFR 306.7	Refiners, importers, producers, distributors, or retailers of automotive fuel	Automotive fuel rating determinations	One year	16 CFR 306.7- Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec306-7.pdf
Energy	16 CFR 306.9	Refiners, importers, producers, distributors, or retailers of automotive fuel	Delivery tickets or letters of certification on which automotive fuel rating certifications are based, as well as automotive fuel rating determinations	One year	16 CFR 306.9- Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec306-9.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Energy	16 CFR 309.12	Importers, producers, and refiners of non-liquid alternative vehicle fuels (other than electricity) and manufacturers of electric vehicle fuel dispensing systems	Records of how fuel ratings are determined	One year	16 CFR 309.12-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec309-12.pdf
Energy	16 CFR 309.14	Distributors of non-liquid alternative vehicle fuels (other than electricity) and electric vehicle fuel dispensing systems	Delivery tickets, letters of certification or other paper on which fuel rating certifications for non-liquid alternative vehicle fuels are based, and for electric vehicle fuel dispensing systems; and any fuel rating determinations	One year	16 CFR 309.14-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec309-14.pdf
Energy	16 CFR 309.16	Retailers of non-liquid alternative vehicle fuels	Delivery tickets, letters of certification, or other paper on which postings of fuel ratings for non-liquid alternative vehicle fuels are based; and any fuel rating determinations	One year	16 CFR 309.16-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec309-16.pdf
Energy	16 CFR 309.21	Entities involved in the manufacturer or distribution of non-liquid alternative vehicle fuels and for some vehicles power in part or whole by alternative fuels	Records on data, reports, records, and procedures involved in the labeling of vehicles	Three years	16 CFR 309.21 -Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec309-21.pdf
Energy	18 CFR 225.2	Natural gas companies subject to regulation by the Federal Energy Regulatory Commission	Life or mortality study data.	Ten to 25 years	§ 225.2 General instructions.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title18-vol1/pdf/CFR-2017-title18-vol1-sec225-2.pdf
Energy	18 CFR 356.2	Oil pipeline companies subject to regulation by the Federal Energy Regulatory Commission	Life or mortality study data.	Ten to 25 years	§ 356.2 General instructions.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title18-vol1/pdf/CFR-2017-title18-vol1-sec356-2.pdf
Energy	18 CFR 368.2	Any holding company or service company within a holding company subject to regulation by the Federal Energy Regulatory Commission	Life or mortality study data.	Ten to 25 years	§ 368.2 General instructions.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title18-vol1/pdf/CFR-2017-title18-vol1-sec368-2.pdf
Energy	18 CFR 368.3	Any holding company or service company within a holding company subject to regulation by the Federal Energy Regulatory Commission	Reports to stockholders, organizational documents, contracts, agreements, accountants' and auditors' reports, automatic data processing records, ledgers, journals, cash books, vouchers, etc.	Two to 25 years	§ 368.3 Schedule of records and periods of retention.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title18-vol1/pdf/CFR-2017-title18-vol1-sec368-3.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Energy	18 CFR 37.6	Public utilities that own, operate, or control facilities used for the transmission of electric energy in interstate commerce	System planning studies, facilities studies, specific network impact studies, information to support the reason for a denial of request for transmission service, and information to support curtailment or interruption of a transaction	Five years	§ 37.6 Information to be posted on the OASIS.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title18-vol1/pdf/CFR-2017-title18-vol1-sec37-6.pdf
Energy	18 CFR Part 35 & Part 284	Transmission providers	All electronic and voice communications between providers' marketing and transmission functions	Five years		
Energy	30 CFR 250.1928	Oil, gas, and sulphur exploration, development, and production operations on the Outer Continental Shelf (OCS)	Safety and Environmental Management Systems audits and program documents, job safety analyses, change provisions, injury/illness logs, and other information	Two to six years	30 CFR 250.1928 - What are my recordkeeping and documentation requirements?	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol2/pdf/CFR-2016-title30-vol2-sec250-1928.pdf
Energy	40 CFR 80.581	Refiners and importers of diesel and marine fuel	Records related to the testing of fuel for sulfur content	Five years	§ 80.581 What are the batch testing and sample retention requirements for motor vehicle diesel fuel, NRLM diesel fuel, and ECA marine fuel?	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol19/pdf/CFR-2016-title40-vol19-sec80-581.pdf
Financial Services	12 CFR 1024.10	Lenders (the secured creditor or creditors names in the debt obligation and document creating the lien; the person to whom the obligation is initially assigned at or after settlement)	Completed HUD-1 or HUD1A and related documents	Five years	12 CFR 1024.10- One-day advance inspection of HUD-1 or HUD-1A settlement statement; delivery; recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol8/pdf/CFR-2017-title12-vol8-sec1024-10.pdf
Financial Services	12 CFR 12.3	National Banks effecting transactions in government securities	Chronological records, account records, memorandum orders, records of broker/dealers, and all other notifications	Three years	12 CFR 12.3- Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol1/pdf/CFR-2017-title12-vol1-sec12-3.pdf
Financial Services	12 CFR 208.34	State member banks and state banks applying for admission to membership in the Federal Reserve System, and foreign banks licensed by a State	Chronological records, account records, memorandum orders, records of broker/dealers, and all other notifications	Three years	12 CFR 208.34- Recordkeeping and confirmation of certain securities transactions effected by State member banks.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol2/pdf/CFR-2017-title12-vol2-sec208-34.pdf
Financial Services	12 CFR 240.7	Banking institutions	Retail forex account records, retail forex transaction records, price changes on a trading platform, methods or algorithms, daily records, and other records	Five years	12 CFR 240.7- Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol4/pdf/CFR-2017-title12-vol4-sec240-7.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	12 CFR 25.43	National banks that hold Federally insured deposits	Public file that includes written comments from the public, performance evaluations, a list of the bank's branches and those that were opened and closed, and other information	Two years	12 CFR 25.43 - Content and availability of public file.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol1/pdf/CFR-2017-title12-vol1-sec25-43.pdf
Financial Services	12 CFR 27.3	National banks and their subsidiaries	Data on home loans, including: applications, closed loans, denied loans, and withdrawals loans received for purchase, construction-permanent, and refinance	30 days after the end of each calendar quarter	12 CFR 27.3-Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol1/pdf/CFR-2017-title12-vol1-sec27-3.pdf
Financial Services	12 CFR 344.4	FDIC-supervised institutions	Chronological records, account records, memorandum orders, records of broker/dealers, and all other notifications	Three years	12 CFR 344.4-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol5/pdf/CFR-2017-title12-vol5-sec344-4.pdf
Financial Services	12 CFR 349.19	FDIC-supervised insured depository institutions that engage on retail forex transactions	Retail forex account records, retail forex transaction records, price changes on a trading platform, methods or algorithms, daily records, and other records	Five years	12 CFR 349.19-Recordkeeping.	12 CFR 349.19
Financial Services	12 CFR 360.11	FDIC-supervised failed insured depository institutions	Any reasonably accessible document, book, paper, map, photograph, microfiche, microfilm, computer or electronically-created record generated or maintained by an insured depository institution in the course of and necessary to its transaction of business	Six to 10 years	12 CFR 360.11-Records of failed insured depository institutions.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol5/pdf/CFR-2017-title12-vol5-sec360-11.pdf
Financial Services	12 CFR 48.7	National banks engaging in retail forex transactions	Retail forex account records, retail forex transaction records, price changes on a trading platform, methods or algorithms, daily records, and other records	Five years	12 CFR 48.7-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol1/pdf/CFR-2017-title12-vol1-sec48-7.pdf
Financial Services	12 CFR 701.21	Federal credit unions	Various records	Two years	§ 701.21 Loans to members and lines of credit to members.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol7/pdf/CFR-2017-title12-vol7-sec701-21.pdf
Financial Services	12 CFR 9.8	National banks that act in a fiduciary capacity	Establishment and termination of each fiduciary account and adequate records for all fiduciary accounts	Three years	12 CFR 9.8-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol1/pdf/CFR-2017-title12-vol1-sec9-8.pdf
Financial Services	12 CFR Appendix A to Part 248	Banking entities	Risk and Position Limits and Usage, Risk Facrot Sensitivities, Value-at-Risk and Stress VaR, Comprehensive Profit and Loss Attribution, Inventory Turnover, Inventory Aging, and Customer-Facing Trade Ratio	Five years	12 CFR Appendix A to Part 248, Reporting and Recordkeeping Requirements for Covered Trading Activities	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol4/pdf/CFR-2017-title12-vol4-part248-appA.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	12 CFR Appendix A to Part 351	Banking entities that have significant trading assets and liabilities	Risk and Position Limits and Usage, Risk Facrot Sensitivities, Value-at-Risk and Stress VaR, Comprehensive Profit and Loss Attribution, Inventory Turnover, Inventory Aging, and Customer-Facing Trade Ratio	Five years	12 CFR Appendix A to Part 351, Reporting and Recordkeeping Requirements for Covered Trading Activities	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol5/pdf/CFR-2017-title12-vol5-part351-appA.pdf
Financial Services	12 CFR Appendix A to Part 44	Banking entities that have significant trading assets and liabilities	Risk and Position Limits and Usage, Risk Facrot Sensitivities, Value-at-Risk and Stress VaR, Comprehensive Profit and Loss Attribution, Inventory Turnover, Inventory Aging, and Customer-Facing Trade Ratio	Five years	12 CFR Appendix A to Part 44, Reporting and Recordkeeping Requirements for Covered Trading Activities	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol1/pdf/CFR-2017-title12-vol1-part44-appA.pdf
Financial Services	13 CFR 108.600	NMVC Companies	All the records that are the basis for financial records	Two to 15 years	13 CFR 108.600- General requirement for NMVC Company to maintain and preserve records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title13-vol1/pdf/CFR-2017-title13-vol1-sec108-600.pdf
Financial Services	15 U.S. Code § 78c-4	Security-based swap execution facilities	Records of all activities relating to the business of the facility, including a complete audit trail	Five years	15 U.S. Code § 78c-4- Security-based swap execution facilities	https://www.gpo.gov/fdsys/pkg/USCODE-2015-title15/pdf/USCODE-2015-title15-chap2B-sec78c-4.pdf
Financial Services	17 CFR 1.14	Futures commission merchants	Various information, reports and records shall be maintained and preserved in accordance with § 1.31	One to five years	17 CFR 1.14- Risk assessment recordkeeping requirements for futures commission merchants.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec1-14.pdf
Financial Services	17 CFR 1.31	Entities that operate as swap data depositories	Records related to swaps or related cash or forward transactions	Paper and electronic records must be retained for five years, the first two years in an easily accessible place. Records of oral communications must be kept for one year.	17 CFR 1.31- Books and records; keeping and inspection.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec1-31.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR 227.404	Funding portals	Records relating to an investor who purchases or attempts to purchase securities, issuers who offer and sell or attempts to offer and sell securities, records of all communications, records related to persons that use communications channels provided by a funding portal, notices provided by the funding portal to issuers and investors, written agreements entered into the funding portal, summaries of transactions, and a log reflecting the progress of each issuer who offer or sells securities through the funding portal	Five years, the first two years in an easily accessible place	17 CFR 227.404- Records to be made and kept by funding portals.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol3/pdf/CFR-2017-title17-vol3-sec227-404.pdf
Financial Services	17 CFR 23.203	Swap dealers and major swap participants	Records of each transaction, as well as all documents on which transaction information was originally recorded; daily trading records; business records; financial records; complaints; marketing and sales materials; and other information	Five years, the first two years in "readily accessible" form	§ 23.203 Records; retention and inspection.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec23-203.pdf
Financial Services	17 CFR 23.502	Swap dealers and major swap participants	Record of each swap portfolio reconciliation	Five years, the first two years in "readily accessible" form	17 CFR 23.502- Portfolio reconciliation.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec23-502.pdf
Financial Services	17 CFR 23.603	Swap dealers and major swap participants	Business continuity and disaster recovery plan of the swap dealer and major swap participant and all other records	Five years, the first two years in "readily accessible" form	17 CFR 23.603- Business continuity and disaster recovery.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec23-603.pdf
Financial Services	17 CFR 240.13h-l	Brokers and dealers	The clearing house number or alpha symbol of the broker or dealer submitting the information and the clearing house numbers or alpha symbols of the entities on the opposite side of the transaction; identifying symbol assigned to the security; data of transaction; number of shares or option contracts traded in each transaction; type of transaction; transaction price; account number; identity of the exchange or other market center where the transaction was executed; designation of transaction; plus, various other materials	Six years, the first two years in an easily accessible place	17 CFR 240.13h-l- Large trader reporting.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-13h-l.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR 240.13n-7	Security-based swap data repositories	All documents and policies and procedures, correspondence, memoranda, papers, books, notices, accounts and other such records	Five years, the first two years in "readily accessible" form	17 CFR 240.13n-7- Recordkeeping of security-based swap data repository.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-13n-7.pdf
Financial Services	17 CFR 240.15c3-1g	Ultimate holding companies of certain brokers or dealers	Record of the results of funding and liquidity stress tests, record of the basis for the determination of credit risk weights, record of the bases for the determination of internal credit ratings, record of calculations of allowable capital and allowances for market risk, any application of documents filed with the Commission, all reports and notices filed with the Commission, and all written policies and procedures concerning the group-wide internal risk management control system	Three years	17 CFR 240.15c3-1g- Conditions for ultimate holding companies of certain brokers or dealers (Appendix G to 17 CFR 240.15c3-1).	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-15c3-1g.pdf
Financial Services	17 CFR 240.17a-1	National securities exchanges, national securities associations, registered clearing agencies and the Municipal Securities Rulemaking Board	At least one copy of all documents, including all correspondence, memoranda, papers, books, notices, accounts, and other such records	Five years, the first two years in "easily accessible" place	17 CFR 240.17a-1- Recordkeeping rule for national securities exchanges, national securities associations, registered clearing agencies and the Municipal Securities Rulemaking Board.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-17a-1.pdf
Financial Services	17 CFR 240.17a-2	Any person who effects any purchase of a security subject, or who participates in a syndicate or group that engages in "stabilizing" the price of any security	The name and class of any security stabilized or any security in which syndicate covering transactions have been effected or a penalty bid has been imposed; the price, date, and time at which each stabilizing purchase or syndicate covering transaction was effected by the manager or by any participant in the syndicate or group; names and addresses of the members of the syndicate or group; their respective commitments; the dates when any penalty bid was in effect	Three years, the first two in an "easily accessible" place	17 CFR 240.17a-2- Recordkeeping requirements relating to stabilizing activities.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-17a-2.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR 240.17a-4	Securities brokers, dealers, hedge funds and related firms	Check books, cancelled checks, bank statements, bills payable or receivable, originals of all communications relating to its business as such, trial balances and other records as noted in 17 CFR 240.17a-3	Not less than six years, the first two years in an easily accessible place	§ 240.17a-4 Records to be Preserved by Certain Exchange Members, Brokers and Dealers.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title17-vol4/pdf/CFR-2016-title17-vol4-sec240-17a-4.pdf
Financial Services	17 CFR 240.17Ad-10	Recordkeeping transfer agents	Record of all certificate detail deleted from the master securityholder file	Six years	17 CFR 240.17Ad-10- Prompt posting of certificate detail to master securityholder files, maintenance of accurate securityholder files, communications between co-transfer agents...of certificate detail and "buy-in" of physical over-issuance.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-17Ad-10.pdf
Financial Services	17 CFR 240.17Ad-11	Recordkeeping transfer agents	Reports that include: the principal dollar amount and related market value of debt securities or the number of shares and related market value of equity securities comprising the aged record difference; the reasons for the aged record difference; and the steps being taken to resolve the aged record difference	Three years, the first year in an easily accessible place	17 CFR 240.17Ad-11- Reports regarding aged record differences, buy-ins and failure to post certificate detail to master securityholder and subsidiary files.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-17Ad-11.pdf
Financial Services	17 CFR 240.17f-1	Reporting Institutions (every national securities exchange member, registered securities association, broker, dealer, municipal securities dealer, government securities broker, government securities dealer, registered transfer agent, registered clearing agency, and members of the Federal Reserve System and banks whose deposits are insured by the FDIC)	Copies of all Forms X-17F-1A that are filed, all agreements between reporting institutions regarding registration or other aspects, and all confirmations or other information received from the Commission or its designee as a result of inquiry	Three years	17 CFR 240.17f-1- Requirements for reporting and inquiry with respect to missing, lost, counterfeit or stolen securities.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-17f-1.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR 240.17g-2	Credit rating agencies registered as a nationally recognized statistical rating organization	Records of accounting, credit ratings, entities that have paid for the issuance or maintenance of a credit rating, subscribers, products and services offered, procedures, methodologies, bank statements, audit plans, marketing materials, complaint reports and other information	Three years or longer	§ 240.17g-2 Records to be made and retained by nationally recognized statistical rating organizations.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title17-vol4/pdf/CFR-2016-title17-vol4-sec240-17g-2.pdf
Financial Services	17 CFR 240.17h-1T	Brokers or dealers, and municipal securities dealers	Organizational charts; written policies, procedures, or systems; description of all material pending legal or arbitration proceedings; consolidated and consolidating balance sheets; quarterly consolidated and consolidating income statements and consolidated cash flow statements; quarterly reports of the amount of the aggregate long and short securities and commodities positions held by each Material Associated Person; the notional or contractual amounts of financial instruments with off-balance sheet risk and financial instruments with concentrations of credit risk where the Material Associated Person operates a trading book; the aggregate amount of all bridge loans and those other material unsecured extensions of credit with an initial or remaining maturity of less than one year; the aggregate amount of commercial paper, secured and other unsecured borrowing, bank loans, lines of credit, or any other borrowings; data relating to real estate activities	Three years	17 CFR 240.17h-1T- Risk assessment recordkeeping requirements for associated persons of brokers and dealers.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-17h-1T.pdf
Financial Services	17 CFR 240.19b-4	Self-regulatory organizations (any national securities exchange, registered securities association, registered clearing agency, the Municipal Securities Rulemaking Board, and any other organizations that may be defined as self-regulatory)	New derivative securities products (any type of option, warrant, hybrid securities product or any other security, whose value is based upon the performance of an underlying instrument)	Five years, the first two year in an easily accessible place	17 CFR 240.19b-4- Filings with respect to proposed rule changes by self-regulatory organizations.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-19b-4.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR 240.19b-5	Self-regulatory organizations (any national securities exchange, registered securities association, registered clearing agency, the Municipal Securities Rulemaking Board, and any other organizations that may be defined as self-regulatory)	All rules and procedures relating to each pilot trading system operating	Five years, the first two years in an easily accessible place	17 CFR 240.19b-5- Temporary exemption from the filing requirements of Section 19(b) of the Act.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec240-19b-5.pdf
Financial Services	17 CFR 242.1005	SCI entities that are not SCI SROs	At least one copy of all documents, including correspondence, memoranda, papers, books, notices, accounts, and other such records, relating to its compliance with Regulation SCI	Five years, the first two years in a place that is readily accessible	17 CFR 242.1005- Recordkeeping requirements related to compliance with Regulation SCI.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec242-1005.pdf
Financial Services	17 CFR 242.303	Alternative Trading Systems	Various records, all notices to subscribers, copies of alternative trading system's standards for access to trading, all documents relevant to the alternative trading system's decision to grant, deny or limit access to any person, and copies of all documents made or received by the trading system	Three years, the first two years in an easily accessible place	17 CFR 242.303- Record preservation requirements for alternative trading systems.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec242-303.pdf
Financial Services	17 CFR 270.12d1-1	Investment companies ("acquiring fund")	Various records	Permanently, the first two years in an easily accessible place	17 CFR 270.12d1-1- Exemptions for investments in money market funds.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec270-12d1-1.pdf
Financial Services	17 CFR 270.17j-1	Funds, investment advisers and principal underwriters	Copy of each code of ethics; record of any violation of the code of ethics, and any action taken as a result of the violation; copy of each report made; record of all person, currently or within the past five years, who are or were required to make reports, or who are or were responsible for reviewing these reports; various other copies of reports; records of any decision, and the reasons supporting the decision, to approve the acquisition by investment personnel of securities	Five years, in an easily accessible place	17 CFR 270.17j-1- Personal investment activities of investment company personnel.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec270-17j-1.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR 270.22c-2	Investment companies ("funds")	Copy of the shareholder information agreement with the financial intermediary (or its agent)	Must keep anything current, or anything that was in effect within the last six years	17 CFR 270.22c-2-Redemption fees for redeemable securities.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec270-22c-2.pdf
Financial Services	17 CFR 270.22e-4	Investment companies ("funds") or In-Kind ETF	A written copy of the program and any associated policies and procedures adopted that are in effect; copies of any materials provided to the board of directors in connection with its approval, and materials provided to the board of directors; a written record of the policies and procedures related to how the highly liquid investment minimum, and any adjustments, were determined	Must keep anything current, or anything that was in effect within the past five years, in an easily accessible place	17 CFR 270.22e-4-Liquidity risk management programs.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec270-22e-4.pdf
Financial Services	17 CFR 270.2a-7	Investment companies	Written procedures; board considerations and actions; credit risk analysis; determinations with respect to adjustable rate securities; determinations with respect to asset-backed securities; evaluations with respect to asset-backed securities not subject to guarantees; evaluations with respect to securities subject to demand features or guarantees; and reports with respect to stress testing	Three to six years, in an easily accessible place	17 CFR 270.2a-7-Money market funds.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec270-2a-7.pdf
Financial Services	17 CFR 270.38a-1	Investment companies and business development companies ("funds")	A copy of the policies and procedures adopted by the fund; copies of materials provided to the board of directors in connection with their approval, and written reports provided to the board of directors; any records documenting the fund's annual review	Must keep anything current, or anything that was in effect within the past five years, in an easily accessible place	17 CFR 270.38a-1-Compliance procedures and practices of certain investment companies.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec270-38a-1.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR 275.204-2	Investment advisers	Records that include journals, ledgers, memoranda, check books, bank statements, bills, statements, trial balances, financial statements, internal audit working papers and other information	Five years, the first two years in an appropriate office of the investment adviser	17 CFR 275.204-2 - Books and records to be maintained by investment advisers.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title17-vol4/pdf/CFR-2016-title17-vol4-sec275-204-2.pdf
Financial Services	17 CFR 37.1000	Swap execution facilities	Maintain records of all activities relating to the business of the facility, including a complete audit trail	Five years	17 CFR 37.1000- Core Principle 10- Recordkeeping and reporting.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec37-1000.pdf
Financial Services	17 CFR 37.1001	Swap execution facilities	Maintain records of all activities relating to the business of the facility, including a complete audit trail for all swaps executed on or subject to the rules of the swap execution facility, investigatory files, and disciplinary files	Five years	17 CFR 37.1001- Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec37-1001.pdf
Financial Services	17 CFR 39.18	Derivatives clearing organizations	Current copies of the derivatives clearing organization's business continuity and disaster recovery plan and other emergency procedures; all assessments of the derivatives clearing organization's operational risks or system safeguards-related controls; all reports concerning testing and assessment, whether conducted by independent contractors or by employees; all other documents requested by staff of the Division of Clearing and Risk, or any successor division	Five years, the first two years in a readily accessible place	17 CFR 39.18- System safeguards.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec39-18.pdf
Financial Services	17 CFR 39.20	Derivatives clearing organizations	All cleared transactions, including swaps; all information necessary to record allocation of bunched orders for cleared swaps; all information required to be created, generated, or reported, including the results of and methodology used for all tests, reviews, and calculations in connection with setting and evaluating margin levels, determining the value and adequacy of financial resources, and establishing settlement prices; all rules and procedures required to be submitted, including all proposed changes in rules, procedures or operations; any data or documentation required to be submitted	Five years or longer	17 CFR 39.20- Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec39-20.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR 404.2	Government securities brokers and dealers	Various information, reports and records	Three years in an easily accessible place	17 CFR 404.2- Records to be made and kept current by registered government securities brokers and dealers; records of non-resident registered government securities brokers and dealers.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec404-2.pdf
Financial Services	17 CFR 420.4	Certain aggregating entities	A journal, blotter, or other record of original entry containing an itemized record of all transactions; the identification of each instrument; copies of all large position reports filed; supporting documents or schedules used to compute data; a chart showing the organizational entities that are aggregated	Six years, the first two years in an easily accessible place (or the longest record retention period of applicable recordkeeping provisions)	17 CFR 420.4- Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec420-4.pdf
Financial Services	17 CFR 45.2	Swap execution facilities, designated contract markets, derivatives clearing organizations, swap dealers, and major swap participants	Various records	At least five years following the final termination of the swap	17 CFR 45.2- Swap recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol2/pdf/CFR-2017-title17-vol2-sec45-2.pdf
Financial Services	17 CFR 450.4	Depository institutions, which includes foreign banks, agencies or branches of a foreign bank and commercial lending companies owned or controlled by foreign banks	A system for identifying each customer, and each government security held for the customer; the customer's interest in the government security; all receipts and deliveries of government securities and all receipts and disbursements of cash by the depository institution; a copy of the safekeeping receipt or a confirmation issued for each government security held; an adequate basis for audit of such information; the dates and results of such counts and reconciliations, with differences noted in a security count difference account	Six years, the first two years in an easily accessible place	17 CFR 450.4- Custodial holdings of government securities.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-sec450-4.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR 49.12	Registered swap data repositories	Swap data (including all historical positions)	Five years following the termination of the swap, and must be readily accessible	17 CFR 49.12- Swap data repository recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol2/pdf/CFR-2017-title17-vol2-sec49-12.pdf
Financial Services	17 CFR 49.22	Registered swap data repositories	A copy of the written policies and procedures, the code of ethics and conflicts of interest policies adopted in furtherance of compliance; copies of all materials provided to the board of directors or senior officer; any records relevant to the annual compliance report, including work papers and other documents that form the basis of the report, and memoranda, correspondence, and other documents	Five years, the first two years in a readily accessible palce	17 CFR 49.22- Chief compliance officer.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol2/pdf/CFR-2017-title17-vol2-sec49-22.pdf
Financial Services	17 CFR 5.10	Retail foreign exchange dealers	An organizational chart which includes the retail foreign exchange dealer and each of its affiliated persons; written policies, procedures, or systems concerning the retail foreign exchange dealer; fiscal year-end consolidated and consolidating balance sheets for the highest level Material Affiliated Person within the retail foreign exchange dealer's organizational structure; fiscal year-end consolidated and consolidating income statements and consolidated cash flow statements for the highest level Material Affiliated Person within the retail foreign exchange dealer's organizational structure	Not stated in regulation	17 CFR 5.10- Risk assessment recordkeeping requirements for retail foreign exchange dealers.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-sec5-10.pdf
Financial Services	17 CFR Appendix A to Part 255	Certain banking entities	Records documenting the preparation and content of various reports, as well as information necessary to permit the SEC to verify the accuracy of those reports	Five years	17 CFR Appendix A to Part 255, Reporting and Recordkeeping Requirements for Covered Trading Activities	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-part255-appA.pdf
Financial Services	17 CFR Appendix A to Part 75	Certain banking entities	Records documenting the preparation and content of various reports, as well as information necessary to permit the Commission to verify the accuracy of those reports	Five years	17 CFR Appendix A to Part 75, Reporting and Recordkeeping Requirements for Covered Trading Activities	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol2/pdf/CFR-2017-title17-vol2-part75-appA.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	17 CFR Appendix B to Part 255	Certain banking entities	Records sufficient to demonstrate compliance and support the operations and effectiveness of the compliance program	Five years or longer	17 CFR Appendix B to Part 255, Enhanced Minimum Standards for Compliance Programs	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol4/pdf/CFR-2017-title17-vol4-part255-appB.pdf
Financial Services	17 CFR Appendix B to Part 37	Swap execution facilities	Records of all activities relating to the business of the facility, including a complete audit trail	Five years	17 CFR Appendix B to Part 37, Guidance on, and Acceptable Practices in, Compliance with Core Principles	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-part37-appB.pdf
Financial Services	17 CFR Appendix B to Part 38	Contract market participants	Records of all activities relating to the business of the contract market	Five years	17 CFR Appendix B to Part 38, Guidance on, and Acceptable Practices in, Compliance With Core Principles	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol1/pdf/CFR-2017-title17-vol1-part38-appB.pdf
Financial Services	17 CFR Appendix B to Part 75	Certain banking entities	Records sufficient to demonstrate compliance and support the operations and effectiveness of the compliance program	Five years or longer	17 CFR Appendix B to Part 75, Enhanced Minimum Standards for Compliance Programs	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol2/pdf/CFR-2017-title17-vol2-part75-appB.pdf
Financial Services	17 CFR Part 45	Swap execution facilities, designated contract markets, derivatives clearing organizations, swap dealers, and major swap participants subject to the jurisdiction of the Commodity Futures Trading Commission	Various records related to swap execution facilities, designated contract markets, derivatives clearing organizations, swap dealers and swap participants	At least five years following the final termination of the swap. Real time access is required throughout the life of the swap and for two years following the final termination of the swap (within three business days thereafter).	17 CFR 45.2 - Swap recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title17-vol2/pdf/CFR-2017-title17-vol2-sec45-2.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	31 CFR 1022.210	Money services businesses, such as check-cashing companies, foreign exchange dealers, issuers or sellers of money orders, and related services	Information about purchasers of prepaid access services, including their name, date of birth, address, identification number and other relevant information	Five years	§ 1022.210 Anti-money laundering programs for money services businesses.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title31-vol3/pdf/CFR-2016-title31-vol3-sec1022-210.pdf
Financial Services	FCA SYSC 9.1	Regulated financial services firms	Records of business and internal organization, including all services and transactions undertaken by the firm	At least five years	FCA SYSC 9.1 General rules on record-keeping	https://www.handbook.fca.org.uk/handbook/SYSC/9.pdf
Financial Services	FINRA Regulatory Notice 07-59	Financial services firms	Requires supervision of electronic communications, including consumer-focused email, message boards and electronic faxes	Same as for all electronic communications	Supervision of Electronic Communications	http://www.finra.org/sites/default/files/NoticeDocument/p037553.pdf
Financial Services	FINRA Regulatory Notice 10-06	Financial services firms	All communications through social media sites that relate to its "business as such"	Same as for all electronic communications	Social Media Web Sites	http://www.finra.org/sites/default/files/NoticeDocument/p120779.pdf
Financial Services	FINRA Regulatory Notice 11-32	Financial services firms	Determines that tweets and text messages complaining about member firms are considered written communications	Same as for all electronic communications	Reporting Requirements	http://www.finra.org/sites/default/files/NoticeDocument/p123929.pdf
Financial Services	FINRA Regulatory Notice 11-39	Financial services firms	Determines that communication made through social media must be retained if it is a business communication	Same as for all electronic communications	Social Media Websites and the Use of Personal Devices for Business Communications	http://www.finra.org/sites/default/files/NoticeDocument/p124186.pdf
Financial Services	FINRA Rule 2210	Financial services firms	All retail and institutional communications for the retention period required by SEA Rule 17a-4(b) and in a format and media that comply with SEA Rule 17a-4	Not less than six years, the first two years in an easily accessible place	2210. Communications with the Public	http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=10648
Financial Services	FINRA Rule 3110	Financial services firms	Documentation about individuals who are designated as supervisory personnel	Three years, the first two years in an easily accessible place	3110. Supervision	http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=11345

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Financial Services	FINRA Rule 3170	Registered representatives	Tape or digital recordings of voice conversations	At least three years, the first two in an easily accessible place	3170. Tape Recording of Registered Persons by Certain Firms	http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=11348
Financial Services	FINRA Rule 4511	Financial services firms	Requires that member organizations shall make and preserve books and records as required under the FINRA rules, the Exchange Act and the applicable Exchange Act rules.	FINRA books and records shall be preserved for at least six years	4511. General Requirements	http://finra.complinet.com/en/display/display_main.html?rbid=2403&element_id=9957
Financial Services	IIROC Notice 11-0349	Financial services firms	Records of business activities, financial affairs, client transactions and communications. Content on social media web sites, Facebook, Twitter, blogs, chat rooms and all email content are subject to retention requirements.	Same as for National Instrument 31-103	Guidelines for the review, supervision and retention of advertisements, sales literature and correspondence	http://www.iroc.ca/Documents/2011/dbed7d6a-ed1c-4a8b-b3d9-bef60412aa27_en.pdf#search=11%2D0349
Financial Services	National Instrument 31-303	Various financial institutions	Records related to its business activities, financial affairs and client transactions. Records must be "promptly" searchable during the first two years after they are created, and must be available in a "reasonable period of time" thereafter.	Seven years	National Instrument 31-303 Registration Requirements and Exemptions	https://www.cfainstitute.org/ethics/recognition/regulator/Documents/canada_national_instrument_31-103.pdf
Financial Services	Directive 2014/65/EU (MiFID II)	Investment firms	All necessary records related to services, activities and transactions, including recordings of telephone conversations and electronic communications.	Five years (seven years when requested by authorities)	Article 16.7	http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32014L0065
Financial Services	Directive 2014/65/EU (MiFID II)	Investment firms that engage in algorithmic trading	Records related to algorithmic trading operations	Five years (seven years when requested by authorities)	Article 17	http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex:32014L0065
Food Services	19 CFR 10.199	Any entity importing spirituous beverages from Canada to the United States	Evidence of direct shipment of spirituous beverages imported from Canada, rum imported into Canada from beneficiary country or U.S. Virgin Islands; origin of rum used in production of the spirituous beverage; and Canadian processor declaration and supporting documentation	Five years	19 CFR 10.199- Duty-free entry for certain beverages produced in Canada from Caribbean rum.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec10-199.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Food Services	19 CFR 132.17	Importers of sugar-containing products	Export certificates	Five years	19 CFR 132.17- Export certificate for sugar-containing products subject to tariff-rate quota.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec132-17.pdf
Food Services	21 CFR 118.10	Shell egg producers with 3,000 or more laying hens at a particular farm that does not sell all of their eggs directly to consumers and that produces shell eggs for the table market	A written SE prevention plan; documentation that pullets were "SE monitored" or were raised under "SE monitored" conditions, including environmental testing records for pullets; records documenting compliance with the SE prevention measures; records of review and of modifications of the SE prevention plan and corrective actions taken; and various other records	One year	21 CFR 118.10- Recordkeeping requirements for the Salmonella Enteritidis (SE) prevention plan.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol2/pdf/CFR-2017-title21-vol2-sec118-10.pdf
Food Services	27 CFR 4.45	Bottlers involved in the labeling and advertising of wine	Certificates of origin by duly authorized officials and accompanying invoices	Five years	§ 4.45 Certificates of origin, identity and proper cellar treatment.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title27-vol1/pdf/CFR-2017-title27-vol1-sec4-45.pdf
Food Services	27 CFR 4.53	Bottlers involved in the labeling and advertising of wine	Certificates of origin and/or certification of proper cellar treatment for wines imported in bulk where that wine is bottled and removed from the plant	Five years	§ 4.53 Retention of certificates.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title27-vol1/pdf/CFR-2017-title27-vol1-sec4-53.pdf
Food Services	27 CFR 5.52	Importers of Scotch, Irish and Canadian whiskies; brandy, cognac, rum, tequila other distilled spirits	Certificates of origin by duly authorized officials	Five years	§ 5.52 Certificates of age and origin.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title27-vol1/pdf/CFR-2017-title27-vol1-sec5-52.pdf
Food Services	27 CFR 5.56	Bottlers involved in the labeling and advertising of distilled spirits	Certificates of age and/or origin for spirits imported to the US in bulk where those spirits are bottled and removed from the plant	Five years	§ 5.56 Certificates of age and origin.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title27-vol1/pdf/CFR-2017-title27-vol1-sec5-56.pdf
Food Services	22 CFR 211.10	Cooperating sponsors and recipient agencies who have food distribution functions or activities	Records and documents that reflect the operation of the program and all transactions pertaining to the receipt, storage, distribution, sale, inspection and use of commodities and to receipt and disbursement of any monetized proceeds and program income	Three years	22 CFR 211.10- Records and reporting requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title22-vol1/pdf/CFR-2017-title22-vol1-sec211-10.pdf
Gaming	25 CFR 542.22	Tier A gaming organizations (those with annual gross gaming revenues in excess of \$1 million and up to \$5 million)	Records about material exceptions and investigations of such related to internal audits of gaming operations	Five years	§ 542.22 What are the minimum internal control standards for internal audit for Tier A gaming operations?	https://www.gpo.gov/fdsys/pkg/CFR-2005-title25-vol1/pdf/CFR-2005-title25-vol1-sec542-22.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Gaming	25 CFR 542.32	Tier B gaming organizations (those with annual gross gaming revenues in excess of \$5 million and up to \$15 million)	Records about material exceptions and investigations of such related to internal audits of gaming operations	Five years	§ 542.32 What are the minimum internal control standards for internal audit for Tier B gaming operations?	https://www.gpo.gov/fdsys/pkg/CFR-2005-title25-vol1/pdf/CFR-2005-title25-vol1-sec542-32.pdf
Gaming	25 CFR 542.42	Tier C gaming organizations (those with annual gross gaming revenues in excess of \$15 million)	Records about material exceptions and investigations of such related to internal audits of gaming operations	Five years	§ 542.42 What are the minimum internal control standards for internal audit for Tier C gaming operations?	https://www.gpo.gov/fdsys/pkg/CFR-2005-title25-vol1/pdf/CFR-2005-title25-vol1-sec542-42.pdf
Healthcare	10 CFR 26.715	Entities that collect specimens of urine, oral fluids or breath that are certified by the Department of Health and Human Services	Personnel files, training records, quality assurance and quality control records, test data, test reports and other information	Two years or longer	10 CFR 26.715-Recordkeeping requirements for collection sites, licensee testing facilities, and laboratories certified by the Department of Health and Human Services.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol1/pdf/CFR-2017-title10-vol1-sec26-715.pdf
Healthcare	21 CFR 1304.06	Practitioners who issue electronic prescriptions for controlled substances	Various types of records, including an internal audit trail, identity proofing, a digitally signed record of the prescription, security incident reports, and other information	Two years	§ 1304.06 Records and reports for electronic prescriptions.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol9/pdf/CFR-2017-title21-vol9-sec1304-06.pdf
Healthcare	21 CFR Part 11	Medical device manufacturers, biotech companies, drug manufacturers, biologics manufacturers, and most other FDA-regulated industries	A wide variety of records related to clinical trials, manufacturing, testing and other information			
Healthcare	42 CFR 136a.56	Health service providers in Indian Health Service facilities and Indian Health Service programs	Records about women seeking abortions when a physician determines that the life of the mother would be endangered	Three years	42 CFR 136a.56 - Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title42-vol1/pdf/CFR-2016-title42-vol1-sec136a-56.pdf
Healthcare	42 CFR 441.208	Healthcare agencies that provide services under Medicaid	Records about women seeking abortions when a physician determines that the life of the mother would be endangered	Three years	42 CFR 441.208 - Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title42-vol4/pdf/CFR-2016-title42-vol4-sec441-208.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Healthcare	42 CFR 50.309	Entities involved in Federally financed projects for health services	Certifications and documentation regarding various medical and non-medical procedures	Three years	42 CFR 50.309-Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title42-vol1/pdf/CFR-2016-title42-vol1-sec50-309.pdf
Healthcare	42 CFR 57.215	Health professions schools that provide student loans using Federal funds	Applications for student loans, documentation of applicants' financial need, repayment records, and other information	Five years	42 CFR 57.215-Records, reports, inspection, and audit.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title42-vol1/pdf/CFR-2016-title42-vol1-sec57-215.pdf
Healthcare	45 CFR 164.316	Covered entities (a health plan, a health care clearinghouse, or a health care provider that transmits any health information) and business associates (entities that provide data transmission services for electronic Protected Health Information or conducts related activities)	Documentation of policies and procedures	Six years	45 CFR 164.316 - Policies and procedures and documentation requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title45-vol1/pdf/CFR-2016-title45-vol1-sec164-316.pdf
Healthcare	45 CFR 96.87	Recipients of block grants for community services, healthcare services, mental health services, substance abuse programs, maternal and child health services, social services, and low-income home energy assistance	Records that can document leveraged resources and benefits and the valuation of offsetting costs and charges	Three years	§ 96.87 Leveraging incentive program.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title45-vol1/pdf/CFR-2016-title45-vol1-sec96-87.pdf
Healthcare	45 CFR 98.90	Entities operating within the Child Care and Development Fund (CCDF) - child care programs conducted under the provisions of the Child Care and Development Block Grant Act	Books, documents, papers, manuals, instructions, and records	Three years	§ 98.90 Monitoring.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title45-vol1/pdf/CFR-2016-title45-vol1-sec98-90.pdf
Healthcare	21 CFR 1311.305	Practitioners, pharmacists, or pharmacies	Records related to prescriptions that are created, signed, transmitted, and received electronically	Two years	21 CFR 1311.305-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol9/pdf/CFR-2017-title21-vol9-sec1311-305.pdf
Healthcare	21 CFR 801.421	Hearing aid dispensers	A copy of any written statement waiving medical evaluation required	Three years	21 CFR 801.421-Hearing aid devices; conditions for sale.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol8/pdf/CFR-2017-title21-vol8-sec801-421.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Healthcare	21 CFR 900.12	Facilities that perform mammograms	Mammography films and reports in a permanent medical record of each patient; records of each serious complaint received by the facility	Three to 10 years	21 CFR 900.12- Quality standards.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol8/pdf/CFR-2017-title21-vol8-sec900-12.pdf
Healthcare	21 CFR 900.4	Mammography facility accreditation bodies	Records of every serious unresolved complaint received by the body on all facilities it accredits, and various other requests	Three years	21 CFR 900.4- Standards for accreditation bodies.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol8/pdf/CFR-2017-title21-vol8-sec900-4.pdf
Housing	24 CFR 880.603	Owners of newly constructed, low-income housing units	Records on applicants and approved eligible families (including racial, ethnic, gender and place of previous residency data) required by the US Department of Housing and Urban Development	Three years	§ 880.603 Selection and admission of assisted tenants.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title24-vol4/pdf/CFR-2016-title24-vol4-sec880-603.pdf
Housing	24 CFR 884.214	Owners of certain types of housing units	Completed applications and related correspondence	Three years	§ 884.214 Marketing.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title24-vol4/pdf/CFR-2016-title24-vol4-sec884-214.pdf
Housing	24 CFR 886.321	Organizations that provide housing assistance to low-income elderly persons	Records on applicant and approved families (including racial, ethnic and gender data) required by the US Department of Housing and Urban Development	Three years	§ 886.321 Marketing.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title24-vol4/pdf/CFR-2016-title24-vol4-sec886-321.pdf
Housing	24 CFR 891.410	Organizations that provide housing assistance to low-income elderly or persons with disabilities	Records on applicants and approved eligible households (including racial, ethnic, gender and place of previous residency data) required by the US Department of Housing and Urban Development	Three years	§ 891.410 Selection and admission of tenants.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title24-vol4/pdf/CFR-2016-title24-vol4-sec891-410.pdf
Housing	24 CFR 202.12	Mortgagees	Records on pricing information	Two years	24 CFR 202.12- Title II.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title24-vol2/pdf/CFR-2016-title24-vol2-sec202-12.pdf
Housing	24 CFR 203.255	Mortgagees	Various records, including origination files	TBD by the Assistant Secretary for Housing	24 CFR 203.255- Insurance of mortgage.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title24-vol2/pdf/CFR-2016-title24-vol2-sec203-255.pdf
Importers	19 CFR 10.514	Importers claiming preferential tariff treatment for goods imported into the United States	Any records and documents that the importer has relating to the origing of the goods	Five years	19 CFR 10.514- Maintenance of records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec10-514.pdf
Importers	19 CFR 10.707	Importers claiming preferential tariff treatment for goods	All records and documents necessary for the preparation of the declaration	Five years	19 CFR 10.707- Maintenance of records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec10-707.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Importers	19 CFR 10.767	Importers claiming preferential tariff treatment for goods	Records and documents necessary for the preparation of the declaration	Five years	19 CFR 10.767- Maintenance of records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec10-767.pdf
Importers	19 CFR 10.807	Importers claiming preferential tariff treatment for goods	Records and documents necessary for the preparation of the declaration	Five years	19 CFR 10.807- Maintenance of records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec10-807.pdf
Importers	19 CFR 10.867	Importers claiming preferential tariff treatment for goods	Records and documents necessary for the preparation of the declaration	Five years	19 CFR 10.867- Maintenance of records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec10-867.pdf
Importers	19 CFR 10.91	Importers claiming preferential tariff treatment for goods	Any information, including supporting documents, reports and records, as was necessary for the preparation of the declaration of use	Five years	19 CFR 10.91- Prototypes used exclusively for product development and testing.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec10-91.pdf
Importers	19 CFR 149.5	Importers	Powers of attorney (in English), revoked powers of attorney and letters of revocation	Five or more years	§ 149.5 Eligibility to file an Importer Security Filing, authorized agents.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol2/pdf/CFR-2017-title19-vol2-sec149-5.pdf
Indian Tribes	24 CFR 891.610	Indian tribes or Tribally Designated Entities	Records on applicants and approved eligible families (including racial, ethnic, gender and place of previous residency data) required by the US Department of Housing and Urban Development	Three years	§ 891.610 Selection and admission of tenants.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title24-vol4/pdf/CFR-2016-title24-vol4-sec891-610.pdf
Indian Tribes	24 CFR 891.750	Indian tribes or Tribally Designated Entities	Records on applicants and approved eligible families (including racial, ethnic, gender and place of previous residency data) required by the US Department of Housing and Urban Development	Three years	§ 891.750 Selection and admission of tenants.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title24-vol4/pdf/CFR-2016-title24-vol4-sec891-750.pdf
Indian Tribes	25 CFR 276.5	US Indian tribe grant recipients	Financial records, supporting documents, statistical records, and all other records pertinent to a Bureau of Indian Affairs grant	Three years or longer	§ 276.5 Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title25-vol1/pdf/CFR-2017-title25-vol1-sec276-5.pdf
Indian Tribes	25 CFR 900.41	US Indian tribes	Financial, procurement and property records	Three years or longer	§ 900.41 How long must an Indian tribe or tribal organization keep management system records?	https://www.gpo.gov/fdsys/pkg/CFR-2005-title25-vol1/pdf/CFR-2005-title25-vol1-sec900-41.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Insurance	31 CFR 50.81	Insurers that seek payments of a Federal share of compensation	Records regarding premiums and insured losses for all commercial property and casualty insurance issued by the insurer and information relating to any adjustment in the amount of the Federal share of compensation payable	Three to five years	31 CFR 50.81 - Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title31-vol1/pdf/CFR-2016-title31-vol1-sec50-81.pdf
Laboratory Services	19 CFR 151.12	Customs-accredited laboratories	Records of the type normally kept in the ordinary course of business, and records necessary to permit the evaluation and verification of all Customs-related work	Five years or longer	19 CFR 151.12- Accreditation of commercial laboratories.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol2/pdf/CFR-2017-title19-vol2-sec151-12.pdf
Law Enforcement	43 CFR 9264.7	Criminal law enforcement organizations	Certificate of title to horses or burros bearing an official Bureau of Land Management identification mark when these animals are accepted for slaughter or destruction	One year	§ 9264.7 Wild free-roaming horse and burro protection, management, and control.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title43-vol2/pdf/CFR-2016-title43-vol2-sec9264-7.pdf
Legal Entities	26 CFR 1.6050I-2	A court clerk's office or the office, department, division, branch, or unit of the court that is authorized to receive bail	Reports about bail received in cash in excess of \$10,000	Five years	§ 1.6050I-2 Returns relating to cash in excess of \$10,000 received as bail by court clerks.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title26-vol15/pdf/CFR-2017-title26-vol15-sec1-6050I-2.pdf
Libraries	44 U.S. Code § 1912	Depository libraries in Puerto Rico	Government publications	Five years	Regional depositories; designation; functions; disposal of publications	https://www.gpo.gov/fdsys/pkg/USCODE-2015-title44/pdf/USCODE-2015-title44-chap19-sec1912.pdf
Life Sciences	21 CFR 1.101	Exporters of human drugs, biological products, devices, animal drugs, foods, cosmetics, and tobacco products	Records demonstrating that the product meets the foreign purchaser's specifications; records demonstrating that the product does not conflict with the laws of the importing country; records demonstrating that the product is labeled on the outside of the shipping package that it is intended for export; and records demonstrating that the product is not sold or offered for sale in the United States	Three years	21 CFR 1.101- Notification and recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title21-vol1/pdf/CFR-2016-title21-vol1-sec1-101.pdf
Life Sciences	42 CFR 447.510	Drug manufacturers	Records about product and pricing information for covered outpatient drugs	Ten years	42 CFR 447.510- Requirements for manufacturers.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title42-vol4/pdf/CFR-2016-title42-vol4-sec447-510.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Life Sciences	21 CFR 205.50	Wholesale drug distributors	Inventories and records of all transactions regarding the receipt and distribution or other disposition of prescription drugs; documentation of the disposition of outdated prescription drugs	Two to three years	21 CFR 205.50- Minimum requirements for the storage and handling of prescription drugs and for the establishment and maintenance of prescription drug distribution records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol4/pdf/CFR-2017-title21-vol4-sec205-50.pdf
Life Sciences	21 CFR 310.305	Drug manufacturers, packers and distributors	Records of all adverse drug experiences, and various related records	10 years	21 CFR 310.305- Records and reports concerning adverse drug experiences on marketed prescription drugs for human use without approved new drug applications.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol5/pdf/CFR-2017-title21-vol5-sec310-305.pdf
Life Sciences	21 CFR 312.57	Anyone who initiates a clinical investigation (including individuals, pharmaceutical companies, governmental agencies, academic institutions, private organizations, or other organizations)	Records showing the receipt, shipment, or other disposition of the investigational drug; records showing any financial interest paid to clinical investigators by the sponsor of the covered study	Two years	21 CFR 312.57- Recordkeeping and record retention.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol5/pdf/CFR-2017-title21-vol5-sec312-57.pdf
Life Sciences	21 CFR 312.62	Anyone who conducts a clinical investigation (i.e., under whose immediate direction the drug is administered or dispensed to a subject)	Records of the disposition of the drug, and case histories that record all observations and other data pertinent to the investigation on each individual administered the investigational drug or employed as a control in the investigation	Two years	21 CFR 312.62- Investigator recordkeeping and record retention.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol5/pdf/CFR-2017-title21-vol5-sec312-62.pdf
Life Sciences	21 CFR 314.80	Anyone submitting an NDA or ANDA to obtain FDA approval of a new drug, and anyone who owns an approved NDA or ANDA	Records of all adverse drug experiences known	10 years	21 CFR 314.80- Postmarketing reporting of adverse drug experiences.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol5/pdf/CFR-2017-title21-vol5-sec314-80.pdf
Life Sciences	21 CFR 516.165	Anyone legally marketing unapproved new animal drugs	Full records of all information pertinent to the safety or effectiveness of the indexed animal drug, including information from foreign and domestic sources	Not stated	21 CFR 516.165- Records and reports.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol6/pdf/CFR-2017-title21-vol6-sec516-165.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Life Sciences	21 CFR 54.6	Any applicant who submits a marketing application for a human drug, biological product, or device and who submits covered clinical studies	Complete records showing any financial interest or arrangement paid to clinical investigators by the sponsor of the covered study; complete records showing significant payments of other sorts made by the sponsor of the covered clinical study to the clinical investigator; complete records showing any financial interests held by clinical investigators	Two years	21 CFR 54.6-Recordkeeping and record retention.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol1/pdf/CFR-2017-title21-vol1-sec54-6.pdf
Life Sciences	21 CFR 99.501	Manufacturers of human drugs, including biologics, and devices	Copy of all information, lists, records, and reports required or disseminated	Three years	21 CFR 99.501-Recordkeeping and reports.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol1/pdf/CFR-2017-title21-vol1-sec99-501.pdf
Manufacturing	15 U.S. Code § 5409	Fasteners fabricated 180 days or more after June 8, 1999; or fasteners fabricated before June 8, 1999, without a record of conformance	Record of conformance for fasteners	Five years	15 U.S. Code § 5409-Recordkeeping requirements	https://www.gpo.gov/fdsys/pkg/USCODE-2015-title15/pdf/USCODE-2015-title15-chap80-sec5409.pdf
Manufacturing	16 CFR 1107.26	Manufacturers and testers of children's products	Copy of the Children's Product Certificate for each product, records of each third party certification test, records of periodic tests, records documenting the testing of representative samples, records of descriptions of all material changes in product design and manufacturing process, and records of undue influence procedures	Five years	16 CFR 1107.26-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1107-26.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Manufacturing	16 CFR 1109.5	Any party, including a component part manufacturer, a component part supplier, a component part certifier, or a finished product certifier	Identification of the component part or the finished product tested; identification of a lot or batch number, or other information sufficient to identify the component parts or finished products to which the testing applies; identification of the applicable rules, bans, standards, and regulations for which each component part was tested; identification of testing methods and sampling protocols used; date or date range when the product was tested; test reports the provide the results of each test on a product and the test values, if any; identification of the party that conducted each test, and an attestation by the party conducting the testing that all testing of a product was performed in compliance with applicable provisions; component part of finished product certificates; records to support traceability; an attestation by each certifier and testing party that while the component part or finished product was in its custody, it exercised due care to ensure compliance with the requirements	Five years	16 CFR 1109.5-Conditions, requirements, and effects generally.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1109-5.pdf
Manufacturing	16 CFR 1130.8	Manufacturers, including importers, of durable infant or toddler products	Record of registrants for each product manufactured, and records of information provided by the registrant	Six years	16 CFR 1130.8-Recordkeeping and notification requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1130-8.pdf
Manufacturing	16 CFR 1210.17	Manufacturers and importers of lighters	Records of qualification testing, records of procedures used for production testing, records of production testing, and records of specifications	Three years	16 CFR 1210.17-Recordkeeping and reporting.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1210-17.pdf
Manufacturing	16 CFR 1212.17	Manufacturers and importers of lighters	Records of qualification testing, records of procedures used for production testing, records of production testing, and records of specifications	Three years	16 CFR 1212.17-Recordkeeping and reporting.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1212-17.pdf
Manufacturing	16 CFR 1616.31	Manufacturers, importers, or other person introducing items into commerce	Detailed records of a line of continuity through the process and manufacture of each production unit of clothing articles	Three years	16 CFR 1616.31-Labeling, recordkeeping, retail display and guaranties.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1616-31.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Manufacturing	16 CFR 1616.32	Manufacturers, importers, or other person introducing items into commerce	Record of all applications filed with the Commission and of all equivalency tests	Three years	16 CFR 1616.32- Method for establishment and use of alternate laundering procedures under section 5(c)(4)(ii) of the standard.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1616-32.pdf
Manufacturing	16 CFR 1630.31	Any person issuing a guaranty for one or more carpets or rugs or qualities thereof	All identifying numbers, symbols, and manufacturing specs; a physical sample of each carpet or rug; report of each test performed; a record applicable to each test	Three years	16 CFR 1630.31- Reasonable and representative tests and recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1630-31.pdf
Manufacturing	16 CFR 1631.31	Any person issuing a guaranty for one or more carpets or rugs or qualities thereof	All identifying numbers, symbols, and manufacturing specs; a physical sample of each carpet or rug; report of each test performed; a record applicable to each test	Three years	16 CFR 1631.31- Reasonable and representative tests and recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1631-31.pdf
Manufacturing	19 CFR 191.26	Manufacturers, producers, or claimants with respect to drawback claims	Various records	Three years	19 CFR 191.26- Recordkeeping for manufacturing drawback.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol2/pdf/CFR-2017-title19-vol2-sec191-26.pdf
Manufacturing	40 CFR 1036.250	Engine manufacturers	Records on production of engines, serial numbers, engine configurations, routine data from emissions tests, and other information	Eight years	40 CFR 1036.250 - Reporting and recordkeeping for certification.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol36/pdf/CFR-2016-title40-vol36-sec1036-250.pdf
Manufacturing	40 CFR 85.535	Manufacturers of clean alternative fuel conversion systems	Records demonstrating compliance with applicable requirements	Five or more years	40 CFR 85.535 - Liability, recordkeeping, and end of year reporting.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol21/pdf/CFR-2016-title40-vol21-sec85-535.pdf
Manufacturing	49 CFR 229.121	Locomotive manufacturers or railroad operators	Records of excessive noise, inspection, test, maintenance, replacement or repairs	92 days to one year	49 CFR 229.121- Locomotive cab noise.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol4/pdf/CFR-2016-title49-vol4-sec229-121.pdf
Manufacturing	49 CFR 535.8	Manufacturers of heavy-duty vehicles and engines	Records estimating how their fleets will comply with GHG emissions standards; estimated vehicle configuration, test group and fleet production volumes; expected emissions and fuel consumption test group results and fleet average performance; and other information	Eight years	49 CFR 535.8- Reporting and recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol6/pdf/CFR-2016-title49-vol6-sec535-8.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Mining	30 CFR 56.19121	Surface mine operators	Records about inspections, tests and maintenance of shafts and hosting equipment	One year	§ 56.19121 Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec56-19121.pdf
Mining	30 CFR 56.4201	Surface mine operators	Certifications for safety equipment	One year	§ 56.4201 Inspection.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec56-4201.pdf
Mining	30 CFR 57.19023	Underground mine operators	Certifications and records of examinations of wire ropes	One year	§ 57.19023 Examinations.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec57-19023.pdf
Mining	30 CFR 57.19121	Underground mine operators	Records about inspections, tests and maintenance of shafts and hosting equipment	One year	§ 57.19121 Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec57-19121.pdf
Mining	30 CFR 57.4201	Underground mine operators	Certifications for safety equipment	One year	§ 57.4201 Inspection.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec57-4201.pdf
Mining	30 CFR 57.5071	Underground mine operators	Monitoring records that measure diesel particulate matter in mines	Five years	§ 57.5071 Exposure monitoring.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec57-5071.pdf
Mining	30 CFR 75.1400-4	Underground coal mine operators	Records about deficiencies in hoisting systems	One year	§ 75.1400-4 Certifications and records of daily examinations.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec75-1400-4.pdf
Mining	30 CFR 77.1404	Coal mine operators	Records about deficiencies in hoisting systems	One year	§ 77.1404 Certifications and records of daily examinations.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec77-1404.pdf
Mining	30 CFR 77.1433	Coal mine operators	Information about deficiencies in wire ropes	One year	§ 77.1433 Examinations.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec77-1433.pdf
Mining	30 CFR 77.1906	Coal mine operators	Certifications and records related to hoists used to transport people	One year	§ 77.1906 Hoists; daily inspection.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title30-vol1/pdf/CFR-2016-title30-vol1-sec77-1906.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Non-profit	10 CFR 600.153	Institutions of higher education, hospitals, and other non-profit organizations	Financial records, supporting documents, statistical records, and all other records pertinent to an award	Three years or longer	10 CFR 600.153- Retention and access requirements for records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol4/pdf/CFR-2017-title10-vol4-sec600-153.pdf
Non-Profit	42 U.S. Code § 2996g	The Legal Services Corporation	Information about entities receiving assistance from or working with the Legal Services Corporation	Five years	42 U.S. Code § 2996g- Records and reports	https://www.gpo.gov/fdsys/pkg/USCODE-2015-title42/pdf/USCODE-2015-title42-chap34-subchapX-sec2996g.pdf
Services, Various	19 CFR 111.23	Licensed customs brokers	Records relating to customs transactions within the United States; records of powers of attorney, and revoked powers of attorney and letters of revocation; records relating to merchandise that is withdrawn from a bonded warehouse	Five years	19 CFR 111.23- Retention of records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec111-23.pdf
Services, Various	19 CFR 151.13	Customs-approved gaugers	Records of the type normally kept in the ordinary course of business, and records necessary to permit the evaluation and verification of all Customs-related work	Five years or longer	19 CFR 151.13- Approval of commercial gaugers.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol2/pdf/CFR-2017-title19-vol2-sec151-13.pdf
State and Local Government	40 CFR 142.14	Any non-Federal agency that has primary enforcement responsibility for the enforcement of primary drinking water regulations and related requirements	Records related to tests, decisions, analyses, measurements and other information about public water systems	Five to 40 years	§ 142.14 Records kept by States.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol25/pdf/CFR-2016-title40-vol25-sec142-14.pdf
State and Local Government	7 CFR 246.25	State and local agencies	Records related to the operation of the Special Supplemental Nutrition Program for Women, Infants and Children (WIC)	Three years or more	§ 246.25 Records and reports.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol4/pdf/CFR-2017-title7-vol4-sec246-25.pdf
State and Local Government	7 CFR 248.23	State agencies	Records related to operations of the Farmers' Market Nutrition Program	Three years or more	§ 248.23 Records and reports.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol4/pdf/CFR-2017-title7-vol4-sec248-23.pdf
State and Local Government	7 CFR 249.23	State agencies	Records related to operations of the Senior Farmers' Market Nutrition Program	Three years or more	§ 249.23 Records and reports.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol4/pdf/CFR-2017-title7-vol4-sec249-23.pdf
State and Local Government	7 CFR 3203.9	Rural cities, towns, or local governments that receive excess computers or other technical equipment from the USDA	Records about the property received and how these systems were placed into service	Up to two years or more	7 CFR 3203.9 - Accountability and recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol15/pdf/CFR-2017-title7-vol15-sec3203-9.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
State and Local Government	8 CFR 274a.6	State employment agencies	Form I-9	The latter of three years after date of hire or one year after employee's termination	8 CFR 274a.6 - State employment agencies.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title8-vol1/pdf/CFR-2017-title8-vol1-sec274a-6.pdf
State and Local Government	Alaska Statutes 40.25.110 - 40.25.125	All government bodies	Records of government bodies		Alaska Public Records Act	https://ballotpedia.org/Alaska_Public_Records_Act
State and Local Government	Arizona Revised Statutes 39.101 - 39.221	All government bodies	Records of government bodies		Arizona Public Records Law	https://ballotpedia.org/Arizona_Public_Records_Law
State and Local Government	California Government Code Statutes 6250 - 6270	All government bodies	Records of government bodies		California Public Records Act	https://ballotpedia.org/California_Public_Records_Act
State and Local Government	Chapter 38.2 of the Rhode Island General Laws	All government bodies	Records of government bodies		Rhode Island Access to Public Records Act	https://ballotpedia.org/Rhode_Island_Access_to_Public_Records_Act
State and Local Government	Code of Alabama 36.12.40-41 and 41.13.1 - 41.13.44	All government bodies	Records of government bodies		Alabama Public Records Law	https://ballotpedia.org/Alabama_Public_Records_Law
State and Local Government	Colorado Open Records Act	All government bodies	Records of government bodies		Colorado Open Records Act	https://ballotpedia.org/Colorado_Open_Records_Act
State and Local Government	DC Statutes sec. 2-531–2-240	All government bodies	Records of government bodies		District of Columbia Freedom of Information Act	https://ballotpedia.org/District_of_Columbia_Freedom_of_Information_Act
State and Local Government	15 U.S. Code § 80b–4	Investment advisers	Records related to the placement of private funds		15 U.S. Code § 80b–4 - Reports by investment advisers	https://www.law.cornell.edu/uscode/text/15/80b-4
State and Local Government	Fla. Stat. sec 119, 286	All boards and commissions of any agency in the State of Florida	Records of government bodies		Florida Sunshine Law	https://ballotpedia.org/Florida_Sunshine_Law
State and Local Government	Georgia Open Records Act	All government bodies	Records of government bodies		Georgia Open Records Act	https://ballotpedia.org/Georgia_Open_Records_Act
State and Local Government	Hawaii Uniform Information Practices Act	All government bodies	Records of government bodies		Hawaii Uniform Information Practices Act	https://ballotpedia.org/Hawaii_Uniform_Information_Practices_Act

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
State and Local Government	Idaho Public Records Act	All government bodies	Records of government bodies		Idaho Public Records Act	https://ballotpedia.org/Idaho_Public_Records_Act
State and Local Government	Illinois Freedom of Information Act	All government bodies	Records of government bodies		Illinois Freedom of Information Act	https://ballotpedia.org/Illinois_Freedom_of_Information_Act
State and Local Government	Indiana Access to Public Records Act	All government bodies	Records of government bodies		Indiana Access to Public Records Act	https://ballotpedia.org/Indiana_Access_to_Public_Records_Act
State and Local Government	Iowa Open Records Law	All government bodies	Records of government bodies		Iowa Open Records Law	https://ballotpedia.org/Iowa_Open_Records_Law
State and Local Government	Local Government Common Records Retention Schedule (CORE) Version 4.0 (May 2017)	Local government agencies	Various types of public records	Up to 100 years	Local Government Common Records Retention Schedule (CORE)	https://www.sos.wa.gov/_assets/archives/RecordsManagement/Local-Government-Common-Records-Retention-Schedule-CORE-v.4.0-(May-2017).pdf
State and Local Government	Louisiana Public Records Act	All government bodies	Records of government bodies		Louisiana Public Records Act	https://ballotpedia.org/Louisiana_Public_Records_Act
State and Local Government	Maine Freedom of Access Act	All government bodies	Records of government bodies		Maine Freedom of Access Act	https://ballotpedia.org/Maine_Freedom_of_Access_Act
State and Local Government	Maryland statutes 10-611 through 10-628	All government bodies	Records of government bodies		Maryland Public Information Act	https://ballotpedia.org/Maryland_Public_Information_Act
State and Local Government	Michigan Compiled Laws Sections 15.231-15.246	All government bodies	Records of government bodies		Michigan Freedom of Information Act	https://ballotpedia.org/Michigan_Freedom_of_Information_Act
State and Local Government	Minnesota Data Practices Act	All government bodies	Records of government bodies		Minnesota Data Practices Act	https://ballotpedia.org/Minnesota_Data_Practices_Act
State and Local Government	Mississippi Public Records Act	All government bodies	Records of government bodies		Mississippi Public Records Act	https://ballotpedia.org/Mississippi_Public_Records_Act
State and Local Government	Montana Public Records Act	All government bodies	Records of government bodies		Montana Public Records Act	https://ballotpedia.org/Montana_Public_Records_Act
State and Local Government	Nevada Open Records Act	All government bodies	Records of government bodies		Nevada Open Records Act	https://ballotpedia.org/Nevada_Open_Records_Act
State and Local Government	New Hampshire Right to Know Law	All government bodies	Records of government bodies		New Hampshire Right to Know Law	https://ballotpedia.org/New_Hampshire_Right_to_Know_Law

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
State and Local Government	New Mexico Inspection of Public Records Act	All government bodies	Records of government bodies		New Mexico Inspection of Public Records Act	https://ballotpedia.org/New_Mexico_Inspection_of_Public_Records_Act
State and Local Government	New York Freedom of Information Law	All government bodies	Records of government bodies		New York Freedom of Information Law	https://ballotpedia.org/New_York_Freedom_of_Information_Law
State and Local Government	North Carolina Public Records Law	All government bodies	Records of government bodies		North Carolina Public Records Law	https://ballotpedia.org/North_Carolina_Public_Records_Law
State and Local Government	North Dakota Open Records Statute	All government bodies	Records of government bodies		North Dakota Open Records Statute	https://ballotpedia.org/North_Dakota_Open_Records_Statute
State and Local Government	Oklahoma Open Records Act	All government bodies	Records of government bodies		Oklahoma Open Records Act	https://ballotpedia.org/Oklahoma_Open_Records_Act
State and Local Government	Open Public Records Act	All government bodies	Records of government bodies		New Jersey Open Public Records Act	https://ballotpedia.org/New_Jersey_Open_Public_Records_Act
State and Local Government	Oregon Public Records Law	All government bodies	Records of government bodies		Oregon Public Records Law	https://ballotpedia.org/Oregon_Public_Records_Law
State and Local Government	Part I, Title X, Chapter 66 of the Massachusetts General Laws	All government bodies	Records of government bodies		Massachusetts Public Records Act	https://ballotpedia.org/Massachusetts_Public_Records_Act
State and Local Government	Pennsylvania Right to Know Law	All government bodies	Records of government bodies		Pennsylvania Right to Know Law	https://ballotpedia.org/Pennsylvania_Right_to_Know_Law
State and Local Government	Revised Statutes of Missouri Chapter 610	All government bodies	Records of government bodies		Missouri Sunshine Law	https://ballotpedia.org/Missouri_Sunshine_Law
State and Local Government	School Districts and Educational Service Districts Records Retention Schedule Version 8.2 (December 18, 2014)	Local government agencies	Student records, employee records, etc.	Up to 100 years	School Districts and Educational Service Districts Records Retention Schedule	https://www.sos.wa.gov/_assets/archives/RecordsManagement/Schools%20Districts%20and%20ESDs%208.2.pdf
State and Local Government	Section 149.43 of the Ohio Revised Code	All government bodies	Records of government bodies		Ohio Open Records Law	https://ballotpedia.org/Ohio_Open_Records_Law

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
State and Local Government	Sections 84-712 - 84-712.09 of the Nebraska Revised Statutes	All government bodies	Records of government bodies		Nebraska Public Records Law	https://ballotpedia.org/Nebraska_Public_Records_Law
State and Local Government	South Carolina Freedom of Information Act	All government bodies	Records of government bodies		South Carolina Freedom of Information Act	https://ballotpedia.org/South_Carolina_Freedom_of_Information_Act
State and Local Government	South Dakota Sunshine Law	All government bodies	Records of government bodies		South Dakota Sunshine Law	https://ballotpedia.org/South_Dakota_Sunshine_Law
State and Local Government	Statutes 1-200 through 1-259	All government bodies	Records of government bodies		Connecticut Freedom of Information Act	https://ballotpedia.org/Connecticut_Freedom_of_Information_Act
State and Local Government	Statutes 10001 through 10005	All government bodies	Records of government bodies		Delaware Freedom of Information Act	https://ballotpedia.org/Delaware_Freedom_of_Information_Act
State and Local Government	Statutes 25-19-101 through 25-19-109	All government bodies	Records of government bodies		Arkansas Freedom of Information Act	https://ballotpedia.org/Arkansas_Freedom_of_Information_Act
State and Local Government	Statutes 45-215 - 45-223	All government bodies	Records of government bodies		Kansas Open Records Act	https://ballotpedia.org/Kansas_Open_Records_Act
State and Local Government	Statutes KRS 61.870 to 61.884	All government bodies	Records of government bodies		Kentucky Open Records Act	https://ballotpedia.org/Kentucky_Open_Records_Act
State and Local Government	Tennessee Code Annotated 10-7-101 et seq.	All government bodies	Records of government bodies		Tennessee Open Records Act	https://ballotpedia.org/Tennessee_Open_Records_Act
State and Local Government	Texas Government Code, Chapter 552	All government bodies	Records of government bodies		Texas Public Information Act	https://ballotpedia.org/Texas_Public_Information_Act
State and Local Government	Utah Government Records Access and Management Act	All government bodies	Records of government bodies		Utah Government Records Access and Management Act	https://ballotpedia.org/Utah_Government_Records_Access_and_Management_Act
State and Local Government	Vermont Public Records Law	All government bodies	Records of government bodies		Vermont Public Records Law	https://ballotpedia.org/Vermont_Public_Records_Law
State and Local Government	Virginia Freedom of Information Act	All government bodies	Records of government bodies		Virginia Freedom of Information Act	https://ballotpedia.org/Virginia_Freedom_of_Information_Act
State and Local Government	West Virginia Freedom of Information Act	All government bodies	Records of government bodies		West Virginia Freedom of Information Act	https://ballotpedia.org/West_Virginia_Freedom_of_Information_Act

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
State and Local Government	Wisconsin Open Records Law	All government bodies	Records of government bodies		Wisconsin Open Records Law	https://ballotpedia.org/Wisconsin_Open_Records_Law
State and Local Government	Wyoming Sunshine Law	All government bodies	Records of government bodies		Wyoming Sunshine Law	https://ballotpedia.org/Wyoming_Sunshine_Law
State and Local Government	18 CFR 740.9	States that receive assistance as part of the State Water Management Planning program	Records that disclose the amount and disposition of financial assistance received; the cost of administration; the total cost of all activities for which assistance is given or used; and other information	Three years	18 CFR 740.9-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title18-vol2/pdf/CFR-2017-title18-vol2-sec740-9.pdf
State and Local Government	24 CFR 92.508	State and local governments that receive funds allocated by the US Department of Housing and Urban Development	Program, project and various other types of records	Five years	§ 92.508 Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title24-vol1/pdf/CFR-2017-title24-vol1-sec92-508.pdf
State and Local Government	29 CFR 1470.42	Entities involved in grants and cooperative agreements with state and local governments	Records related to finances, programs, statistics and other information from those who receive grants	Three years	§ 1470.42 Retention and access requirements for records.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol4/pdf/CFR-2016-title29-vol4-sec1470-42.pdf
State and Local Government	29 CFR 97.42	Entities involved in grants and cooperative agreements with state and local governments	Records related to finances, programs, statistics and other information from those who receive grants	Three years	§ 97.42 Retention and access requirements for records.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol1/pdf/CFR-2016-title29-vol1-sec97-42.pdf
Tax Preparation	26 CFR 1.6695-2	Tax preparers	Form 8867	Three or more years	§ 1.6695-2 Tax return preparer due diligence requirements for certain credits.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title26-vol15/pdf/CFR-2017-title26-vol15-sec1-6695-2.pdf
Textiles	19 CFR 132.18	Importers of worsted wool fabrics	Licenses and any written authorization from the licensee to the importer	Five years	19 CFR 132.18- License for certain worsted wool fabric subject to tariff-rate quota.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec132-18.pdf
Tobacco and Related Products	27 CFR 41.22	Importers of tobacco and related products	Copies of claims, schedules, authorizations, notices of release, reports, and returns	Three years	§ 41.22 Retention of records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title27-vol2/pdf/CFR-2017-title27-vol2-sec41-22.pdf
Transportation	14 CFR 120.111	Air carriers and operators, air traffic control facilities not operated by the FAA or by the U.S. military; individuals who perform a safety-sensitive function; certificate holders who perform safety-sensitive functions and elect to implement a drug and alcohol testing program	Records concerning drug tests confirmed positive, and copies of any annual reports submitted to the FAA	Five years	14 CFR 120.111-Administrative and other matters.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol3/pdf/CFR-2017-title14-vol3-sec120-111.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Transportation	14 CFR 142.73	Entities that train pilots	Records about pilot trainees, instructors and evaluators	One year	14 CFR 142.73-Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol3/pdf/CFR-2017-title14-vol3-sec142-73.pdf
Transportation	14 CFR 145.219	Certified aircraft repair stations, or any person who holds a repair station certificate	Records that demonstrate compliance with requirements of part 43	Two years	14 CFR 145.219-Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol3/pdf/CFR-2017-title14-vol3-sec145-219.pdf
Transportation	14 CFR 152.309	Public agencies that apply for airport development projects	Records related to grants received, including records for nondependable property	Three years	§ 152.309 Availability of sponsor's records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol3/pdf/CFR-2017-title14-vol3-sec152-309.pdf
Transportation	14 CFR 161.411	Operators of Stage 3 aircraft that request a reevaluation of noise or access restrictions	Dockets or other instruments created to receive and consider comments from interested parties	Two years	§ 161.411 Comment by interested parties.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol3/pdf/CFR-2017-title14-vol3-sec161-411.pdf
Transportation	14 CFR 259.4	Any air transportation company offering passenger services operating to, from or within the United States with at least one aircraft that has 30 or more seats	Records about tarmac delays that last more than three hours, including the length of the delay, the reason for the delay, the actions taken to minimize hardships for passengers, the disposition of the delayed flight, and an explanation for any delay in excess of three hours	Two years	§ 259.4 Contingency Plan for Lengthy Tarmac Delays.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol4/pdf/CFR-2017-title14-vol4-sec259-4.pdf
Transportation	14 CFR 382.145	Air transportation companies that operate aircraft with 19 or more passenger seats	Individual employee training records showing that all relevant employees have received initial and refresher training	Three years	§ 382.145 What records concerning training must carriers retain?	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol4/pdf/CFR-2017-title14-vol4-sec382-145.pdf
Transportation	14 CFR 382.157	US and foreign air transport carriers	Complaints received from individuals with disabilities when user the carriers' services	Three years	14 CFR 382.157- What are carriers' obligations for recordkeeping and reporting on disability-related complaints?	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol4/pdf/CFR-2017-title14-vol4-sec382-157.pdf
Transportation	14 CFR 60.31	Operators of flight simulation training devices (FTSDs)	Records of all FTSD modifications, results of qualification evaluations, discrepancies entered into the discrepancy log over the past two years, and other information	Two years	14 CFR 60.31-Recordkeeping and reporting.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol2/pdf/CFR-2017-title14-vol2-sec60-31.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Transportation	14 CFR 61.423	Flight instructors with a sport pilot rating	Record of the name, date and type of endorsement for: each person whose logbook you have endorsed for solo flight privileges; each person you have provided an endorsement for a knowledge test, practical test, or proficiency check, along with the results; each person whose logbook you have endorsed as proficient; each person whose logbook you have endorsed as proficient to provide flight training in an additional category or class of light-sport aircraft	Three years	14 CFR 61.423- What are the recordkeeping requirements for a flight instructor with a sport pilot rating?	https://www.gpo.gov/fdsys/pkg/CFR-2017-title14-vol2/pdf/CFR-2017-title14-vol2-sec61-423.pdf
Transportation	15 CFR 30.10	All parties to export transactions (owners and operators of export carriers, USPPIs, FPPIs and/or authorized agents)	Documents pertaining to the export shipment	Five years	15 CFR 30.10- Retention of export information and the authority to require production of documents.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title15-vol1/pdf/CFR-2017-title15-vol1-sec30-10.pdf
Transportation	15 CFR 30.15	Entities involved in foreign trade	Shipping records for exports	Five years	15 CFR 30.15- Introduction.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title15-vol1/pdf/CFR-2017-title15-vol1-sec30-15.pdf
Transportation	19 CFR 12.73	Anyone who imports motor vehicles, and those who import motor engines installed in highway motorcycles or heavy-duty motor vehicles	Documents supporting the information required in EPA Declaration Form 3520-1	Five years	19 CFR 12.73- Importation of motor vehicles and motor vehicle engines.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec12-73.pdf
Transportation	19 CFR 12.74	Anyone who imports nonroad and stationary engines	Documents supporting the information required in EPA Declaration Form 3520-21	Five years	19 CFR 12.74- Importation of nonroad and stationary engines, vehicles, and equipment.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec12-74.pdf
Transportation	40 CFR 85.1507	Entities that have been issued a certificate of conformity for a class of motor vehicles	Various records related to the import of non-conforming vehicles or engines	Six years	§ 85.1507 Maintenance of certificate holder's records.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol21/pdf/CFR-2016-title40-vol21-sec85-1507.pdf
Transportation	46 CFR 169.807	Entities that operate sailing school vessels	Various records related to marine casualty incidents	Three years	§ 169.807 Notice of casualty.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title46-vol7/pdf/CFR-2016-title46-vol7-sec169-807.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Transportation	46 CFR 531.12	Freight forwarders, forwarders, or forwarding agents	Original signed NSAs, amendments, and their associated records	Five years	46 CFR 531.12 - Recordkeeping and audit.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title46-vol9/pdf/CFR-2016-title46-vol9-sec531-12.pdf
Transportation	49 CFR 172.201	Transporters of hazardous materials	Shipping records related to the transport of hazardous materials	Two to three years	§ 172.201 Preparation and retention of shipping papers.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol2/pdf/CFR-2016-title49-vol2-sec172-201.pdf
Transportation	49 CFR 174.24	Transporters of hazardous materials	Shipping records related to the transport of hazardous materials	One to three years	§ 174.24 Shipping papers.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol2/pdf/CFR-2016-title49-vol2-sec174-24.pdf
Transportation	49 CFR 175.33	Transporters of hazardous materials	Shipping records related to the transport of hazardous materials	Three years	§ 175.33 Shipping paper and notification of pilot-in-command.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol2/pdf/CFR-2016-title49-vol2-sec175-33.pdf
Transportation	49 CFR 176.24	Transporters of hazardous materials	Shipping records related to the transport of hazardous materials	One to three years	§ 176.24 Shipping papers.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol2/pdf/CFR-2016-title49-vol2-sec176-24.pdf
Transportation	49 CFR 177.817	Transporters of hazardous materials	Shipping records related to the transport of hazardous materials	One to three years	§ 177.817 Shipping papers.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol2/pdf/CFR-2016-title49-vol2-sec177-817.pdf
Transportation	49 CFR 228.9	Rail transportation providers	Various employee records	Two years	§ 228.9 Records; general.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol4/pdf/CFR-2016-title49-vol4-sec228-9.pdf
Transportation	49 CFR 395.8	Motor carriers	Records on driver duty status	Six months	49 CFR 395.8- Driver's record of duty status.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol5/pdf/CFR-2016-title49-vol5-sec395-8.pdf
Transportation	49 CFR 580.8	Motor vehicle dealers and distributors	Records related to odometer mileage statements	Five years	§ 580.8 Odometer disclosure statement retention.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol7/pdf/CFR-2016-title49-vol7-sec580-8.pdf
Transportation	49 CFR Part 380, Subpart E	Most entry-level drivers who drive in interstate commerce	Training certificates, which include data of certificate issuance, name and address of training provider, name of driver and other information	Employment period of the driver plus one year	49 CFR 380.511 - Employer recordkeeping responsibilities.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title49-vol5/pdf/CFR-2016-title49-vol5-sec380-511.pdf
Transportation	50 CFR 600.507	Foreign fishing vessels	Daily fishing logs and other information	Three years	50 CFR 600.507- Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title50-vol12/pdf/CFR-2016-title50-vol12-sec600-507.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Transportation	50 CFR 648.7	Federally permitted dealers involved in fishing in the Northeastern United States	Detailed reports of all fish purchased or received for a commercial purpose	Three years	50 CFR 648.7- Recordkeeping and reporting requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title50-vol12/pdf/CFR-2016-title50-vol12-sec648-7.pdf
US Federal	48 CFR 4.703(a) (Federal Acquisition Regulation)	Any organization selling to the US government	Records, which includes books, documents, accounting procedures and practices, and other data, regardless of type and regardless of whether such items are in written form, in the form of computer data, or in any other form, and other supporting evidence to satisfy contract negotiation, administration, and audit requirements of the contracting agencies and the Comptroller General.	Three years after final payment or, for certain records, the period specified in 4.705 through 4.705-3, whichever of these periods expires first.	48 CFR 4.703 - Policy	https://www.law.cornell.edu/cfr/text/48/4.703
US Federal	48 CFR 4.705-1(a) (Federal Acquisition Regulation)	Any organization selling to the US government	Accounts receivable invoices, adjustments to the accounts, invoice registers, carrier freight bills, shipping orders, and other documents which detail the material or services billed on the related invoices.	Four years	48 CFR 4.705-1 - Financial and cost accounting records	https://www.law.cornell.edu/cfr/text/48/4.705-1
US Federal	48 CFR 4.705-1(b) (Federal Acquisition Regulation)	Any organization selling to the US government	Material, work order, or service order files, consisting of purchase requisitions or purchase orders for material or services, or orders for transfer of material or supplies.	Four years	48 CFR 4.705-1 - Financial and cost accounting records	https://www.law.cornell.edu/cfr/text/48/4.705-1
US Federal	48 CFR 4.705-1(c) (Federal Acquisition Regulation)	Any organization selling to the US government	Cash advance recapitulations, prepared as posting entries to accounts receivable ledgers for amounts of expense vouchers prepared for employees' travel and related expenses.	Four years	48 CFR 4.705-1 - Financial and cost accounting records	https://www.law.cornell.edu/cfr/text/48/4.705-1
US Federal	48 CFR 4.705-1(d) (Federal Acquisition Regulation)	Any organization selling to the US government	Paid, canceled, and voided checks, other than those issued for the payment of salary and wages.	Four years	48 CFR 4.705-1 - Financial and cost accounting records	https://www.law.cornell.edu/cfr/text/48/4.705-1

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
US Federal	48 CFR 4.705-1(e) (Federal Acquisition Regulation)	Any organization selling to the US government	Accounts payable records to support disbursements of funds for materials, equipment, supplies, and services, containing originals or copies of the following and related documents: remittance advices and statements, vendors' invoices, invoice audits and distribution slips, receiving and inspection reports or comparable certifications of receipt and inspection of material or services, and debit and credit memoranda.	Four years	48 CFR 4.705-1 - Financial and cost accounting records	https://www.law.cornell.edu/cfr/text/48/4.705-1
US Federal	48 CFR 4.705-1(f) (Federal Acquisition Regulation)	Any organization selling to the US government	Labor cost distribution cards or equivalent documents.	Two years	48 CFR 4.705-1 - Financial and cost accounting records	https://www.law.cornell.edu/cfr/text/48/4.705-1
US Federal	48 CFR 4.705-1(g) (Federal Acquisition Regulation)	Any organization selling to the US government	Petty cash records showing description of expenditures, to whom paid, name of person authorizing payment, and date, including copies of vouchers and other supporting documents.	Two years	48 CFR 4.705-1 - Financial and cost accounting records	https://www.law.cornell.edu/cfr/text/48/4.705-1
US Federal	48 CFR 4.705-2 (Federal Acquisition Regulation)	Any organization selling to the US government	Payroll sheets, registers, or their equivalent, of salaries and wages paid to individual employees for each payroll period; change slips; and tax withholding statements.	Four years	48 CFR 4.705-2 - Pay administration records	https://www.law.cornell.edu/cfr/text/48/4.705-2
US Federal	48 CFR 4.705-2 (Federal Acquisition Regulation)	Any organization selling to the US government	Clock cards or other time and attendance cards.	Two years	48 CFR 4.705-2 - Pay administration records	https://www.law.cornell.edu/cfr/text/48/4.705-2
US Federal	48 CFR 4.705-2 (Federal Acquisition Regulation)	Any organization selling to the US government	Paid checks, receipts for wages paid in cash, or other evidence of payments for services rendered by employees.	Two years	48 CFR 4.705-2 - Pay administration records	https://www.law.cornell.edu/cfr/text/48/4.705-2
US Federal	48 CFR 4.705-3(a) (Federal Acquisition Regulation)	Any organization selling to the US government	Store requisitions for materials, supplies, equipment, and services.	Two years	48 CFR 4.705-3 - Acquisition and supply records	https://www.law.cornell.edu/cfr/text/48/4.705-3
US Federal	48 CFR 4.705-3(b) (Federal Acquisition Regulation)	Any organization selling to the US government	Work orders for maintenance and other services.	Four years	48 CFR 4.705-3 - Acquisition and supply records	https://www.law.cornell.edu/cfr/text/48/4.705-3

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
US Federal	48 CFR 4.705-3(c) (Federal Acquisition Regulation)	Any organization selling to the US government	Equipment records, consisting of equipment usage and status reports and equipment repair orders.	Four years	48 CFR 4.705-3 - Acquisition and supply records	https://www.law.cornell.edu/cfr/text/48/4.705-3
US Federal	48 CFR 4.705-3(d) (Federal Acquisition Regulation)	Any organization selling to the US government	Expendable property records, reflecting accountability for the receipt and use of material in the performance of a contract.	Four years	48 CFR 4.705-3 - Acquisition and supply records	https://www.law.cornell.edu/cfr/text/48/4.705-3
US Federal	48 CFR 4.705-3(e) (Federal Acquisition Regulation)	Any organization selling to the US government	Receiving and inspection report records, consisting of reports reflecting receipt and inspection of supplies, equipment, and materials.	Four years	48 CFR 4.705-3 - Acquisition and supply records	https://www.law.cornell.edu/cfr/text/48/4.705-3
US Federal	48 CFR 4.705-3(f) (Federal Acquisition Regulation)	Any organization selling to the US government	Purchase order files for supplies, equipment, material, or services used in the performance of a contract; supporting documentation and backup files including, but not limited to, invoices, and memoranda; e.g., memoranda of negotiations showing the principal elements of subcontract price negotiations.	Four years	48 CFR 4.705-3 - Acquisition and supply records	https://www.law.cornell.edu/cfr/text/48/4.705-3
US Federal	48 CFR 4.705-3(g) (Federal Acquisition Regulation)	Any organization selling to the US government	Production records of quality control, reliability, and inspection.	Four years	48 CFR 4.705-3 - Acquisition and supply records	https://www.law.cornell.edu/cfr/text/48/4.705-3
US Federal	48 CFR 4.705-3(h) (Federal Acquisition Regulation)	Any organization selling to the US government	Property records.	Four years	48 CFR 4.705-3 - Acquisition and supply records	https://www.law.cornell.edu/cfr/text/48/4.705-3
US Federal	48 CFR 4.805 (Federal Acquisition Regulation)	Any organization selling to the US government	Contracts (and related records or documents, including successful and unsuccessful proposals.	Six years after final payment	4.805 Storage, handling, and contract files.	https://www.law.cornell.edu/cfr/text/48/4.805
US Federal	48 CFR 4.805 (Federal Acquisition Regulation)	Any organization selling to the US government	Contractor's payrolls submitted under construction contracts in accordance with Department of Labor regulations (29 CFR 5.5(a)(3)), with related certifications, anti-kickback affidavits, and other related records.	Three years after contract completion	4.805 Storage, handling, and contract files.	https://www.law.cornell.edu/cfr/text/48/4.805
US Federal	48 CFR 4.805 (Federal Acquisition Regulation)	Any organization selling to the US government	Unsolicited proposals not accepted by a department or agency.	To be retained in accordance with agency procedures	4.805 Storage, handling, and contract files.	https://www.law.cornell.edu/cfr/text/48/4.805

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
US Federal	48 CFR 4.805 (Federal Acquisition Regulation)	Any organization selling to the US government	Files for canceled solicitations.	Six years after cancellation	4.805 Storage, handling, and contract files.	https://www.law.cornell.edu/cfr/text/48/4.805
US Federal	48 CFR 4.805 (Federal Acquisition Regulation)	Any organization selling to the US government	Other copies of procurement file records used for administrative purposes.	When business use ceases	4.805 Storage, handling, and contract files.	https://www.law.cornell.edu/cfr/text/48/4.805
US Federal	48 CFR 4.805 (Federal Acquisition Regulation)	Any organization selling to the US government	Documents pertaining generally to the contractor as described at 4.801(c)(3).	Until superseded or obsolete	4.805 Storage, handling, and contract files.	https://www.law.cornell.edu/cfr/text/48/4.805
US Federal	48 CFR 4.805 (Federal Acquisition Regulation)	Any organization selling to the US government	Data submitted to the Federal Procurement Data System (FPDS). Electronic data file maintained by fiscal year, containing unclassified records of all procurements exceeding the micro-purchase threshold, and information required under 4.603.	Six years after submittal to FPDS	4.805 Storage, handling, and contract files.	https://www.law.cornell.edu/cfr/text/48/4.805
US Federal	48 CFR 4.805 (Federal Acquisition Regulation)	Any organization selling to the US government	Investigations, cases pending or in litigation (including protests), or similar matters (including enforcement actions).	Until final clearance or settlement, or, if related to a document identified in paragraphs (c) (1) through (7) of this section, for the retention period specified for the related document, whichever is later.	4.805 Storage, handling, and contract files.	https://www.law.cornell.edu/cfr/text/48/4.805
US Government	32 CFR 105.10	Department of Defense	Forms dealing with sexual assault when such an incident is reported.	50 years	§ 105.10 SARC and SAPR VA procedures.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title32-vol1/pdf/CFR-2016-title32-vol1-sec105-10.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
US Government	32 CFR 105.12	Department of Defense	Reports about sexual assaults	50 years	§ 105.12 SAFE Kit collection and preservation.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title32-vol1/pdf/CFR-2016-title32-vol1-sec105-12.pdf
US Government	32 CFR 105.4	Department of Defense	Reports about sexual assaults	50 years	§ 105.4 Policy.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title32-vol1/pdf/CFR-2016-title32-vol1-sec105-4.pdf
US Government	32 CFR 2001.80	Federal agencies	Forms dealing with national security information by employees of the executive branch.	50 years	§ 2001.80 Prescribed standard forms.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title32-vol6/pdf/CFR-2016-title32-vol6-sec2001-80.pdf
US Government	36 CFR 1237.28	Federal agencies that produce permanent audiovisual records	Motion pictures, video recordings, still images, digital images, and sound recordings	Indefinite	§ 1237.28 What special concerns apply to digital photographs?	https://www.gpo.gov/fdsys/pkg/CFR-2016-title36-vol3/pdf/CFR-2016-title36-vol3-sec1237-28.pdf
US Government	40 CFR 1517.7	Council on Environmental Quality	Records of all meetings that are closed to the public, including minutes (if produced) that fully describe all of the matters discussed.	Two years	§ 1517.7 Records of closed meetings.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol37/pdf/CFR-2016-title40-vol37-sec1517-7.pdf
US Government	41 CFR 105-71.142	General Services Administration	Financial and programmatic records, supporting documents, statistical records, and various other types of records	Three years	§ 105-71.142 Retention and access requirements for records.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title41-vol3/pdf/CFR-2016-title41-vol3-sec105-71-142.pdf
US Government	41 CFR 301-70.905	Federal employees	Travel authorizations, aircraft tail numbers, dates of travel, crew names, routes flown, passenger names	Two years	§ 301-70.905 What documentation must we retain for travel on our Government aircraft?	https://www.gpo.gov/fdsys/pkg/CFR-2016-title41-vol4/pdf/CFR-2016-title41-vol4-sec301-70-905.pdf
US Government	41 CFR 51-9.202	Federal entities and employees charged with purchasing products and services from the blind or severely disabled	Disclosures of various types	Five years	§ 51-9.202 Accounting of disclosures.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title41-vol1/pdf/CFR-2016-title41-vol1-sec51-9-202.pdf
US Government	45 CFR 1703.401	Government agencies	Records of meetings that are closed to the public	One or two years	§ 1703.401 Requirements for maintaining records of closed meetings.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title45-vol4/pdf/CFR-2016-title45-vol4-sec1703-401.pdf
Utilities	40 CFR 141.722	Operators of public water systems	Results from source water monitoring	Three years	40 CFR 141.722 - Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol25/pdf/CFR-2016-title40-vol25-sec141-722.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Utilities	7 CFR 1767.71	Rural electrification and related providers	Life or mortality study data, financial requirement and expenditure statements	One year, 10-25 years	§ 1767.71 Periods of retention.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol12/pdf/CFR-2017-title7-vol12-sec1767-71.pdf
Utilities	7 CFR 1770.5	Rural electrification and related providers	Life or mortality study data.	10-25 years	§ 1770.5 Periods of retention.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol12/pdf/CFR-2017-title7-vol12-sec1770-5.pdf
Various	10 CFR 600.242	Entities receiving Federal grants and those subject to cooperative agreements and subawards to state, local and Indian tribal governments	Various financial and programmatic records, supporting documents, statistical records, and other records of grantees or sub grantees	Three years	§ 600.242 Retention and access requirements for records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol4/pdf/CFR-2017-title10-vol4-sec600-242.pdf
Various	10 CFR 600.342	Entities receiving Federal grants and those subject to cooperative agreements and subawards to state, local and Indian tribal governments	Financial records, supporting documents, statistical records, and all other records pertinent to an award	Three years	10 CFR 600.342- Retention and access requirements for records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol4/pdf/CFR-2017-title10-vol4-sec600-342.pdf
Various	12 CFR 1014.5	Entities over which the Federal Trade Commission has jurisdiction under the Federal Trade Commission Act	Commercial communications, sales scripts, marketing materials, and training materials	Two years	§ 1014.5 Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title12-vol8/pdf/CFR-2017-title12-vol8-sec1014-5.pdf
Various	15 CFR 721.2	Entities subject to the Chemical Weapons Convention Regulations	Records related to the production, processing, consumption, export or import of various chemicals	Five years	§ 721.2 Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title15-vol2/pdf/CFR-2017-title15-vol2-sec721-2.pdf
Various	15 CFR 762.6	Entities subject to the US Department of Commerce Export Administration Regulations	Various records	Five years	§ 762.6 Period of retention.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title15-vol2/pdf/CFR-2017-title15-vol2-sec762-6.pdf
Various	15 CFR 786.2	Entities subject to the Additional Protocol Regulations that are published by the US Department of Commerce	Various types of records, including information about the type of equipment on which the records were entered, when they were entered and by whom	Three years	§ 786.2 Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title15-vol2/pdf/CFR-2017-title15-vol2-sec786-2.pdf
Various	15 USC 98	Public companies operating in the United States	Audit work papers, supporting information for audit reports,	Seven years	Sarbanes- Oxley Act of 2002	https://www.sec.gov/about/laws/soa2002.pdf
Various	16 CFR 1013.5	Consumer Product Safety Commission	Transcripts or electronic recording of Commission meetings, and any accompanying material	One to two years	16 CFR 1013.5- Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title16-vol2/pdf/CFR-2017-title16-vol2-sec1013-5.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Various	19 CFR 146.4	Anyone admitting merchandise into a foreign trade zone, manipulating, manufacturing, or exhibiting in a zone; those exporting merchandise from a zone; and those transferring merchandise from a zone into Customs territory	Various records	Five years	19 CFR 146.4- Operator responsibility and supervision.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol2/pdf/CFR-2017-title19-vol2-sec146-4.pdf
Various	20 CFR 655.1314	Employers of nonimmigrant foreign workers	Cost of goods and services related to the preparation and serving of meals, the number of workers fed, the number of meals served, number of days meals were provided, various supplies and food operation costs, receipts and other cost records	One year	20 CFR 655.1314- Setting meal charges; petition for higher meal charges.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title20-vol3/pdf/CFR-2017-title20-vol3-sec655-1314.pdf
Various	20 CFR 655.173	Employers of nonimmigrant foreign workers	Cost of goods and services related to the preparation and serving of meals, the number of workers fed, the number of meals served, number of days meals were provided, various supplies and food operation costs, receipts and other cost records	One year	20 CFR 655.173- Setting meal charges; petition for higher meal charges.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title20-vol3/pdf/CFR-2017-title20-vol3-sec655-173.pdf
Various	21 CFR 1.980	Owner, operator, or agent in charge of any factory, warehouse or other establishment	Records relating to how the detained drugs may have become adulterated or misbranded, records on any distribution of the drugs before and after the detention period, records on the correlation of any in-process detained drugs that are put in final form, records of any changes in the drugs permitted under the detention order, and records of any other movement	Up to two years	21 CFR 1.980- Administrative detention of drugs.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title21-vol1/pdf/CFR-2016-title21-vol1-sec1-980.pdf
Various	26 CFR 601.105	US taxpayers	Records in support of tax returns and related documentation	Indefinite	26 CFR 601.105 - Examination of returns and claims for refund, credit or abatement; determination of correct tax liability	https://www.gpo.gov/fdsys/pkg/CFR-2017-title26-vol22/pdf/CFR-2017-title26-vol22-sec601-105.pdf
Various	29 CFR 1910.95	Industries in which employees are exposed to excessive noise	Noise exposure measurement records	Two years	§ 1910.95 Occupational noise exposure.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol5/pdf/CFR-2016-title29-vol5-sec1910-95.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Various	29 CFR 530.202	Employers of homeworkers in the clothing, jewelry and related industries	Documents related to stop watch time studies or other work measurement methods used to demonstrate piece rates so that an employer can prove that employees are making at least minimum wage	Three years	§ 530.202 Piece rates - work measurement.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol3/pdf/CFR-2016-title29-vol3-sec530-202.pdf
Various	29 CFR 801.30	Employers	Records related to employee polygraph examinations	Three years	29 CFR 801.30 - Records to be preserved for 3 years.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol3/pdf/CFR-2016-title29-vol3-sec801-30.pdf
Various	29 CFR Part 1602	Employers	Personnel or employment records	The latter of the creation of the record or the applicable personnel action	29 CFR 1602.14 - Preservation of records made or kept.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol4/pdf/CFR-2016-title29-vol4-sec1602-14.pdf
Various	29 CFR Part 516	Employers	Employee's full name and social security number, address, birth date, sex, occupation, time and day of week when employee's workweek begins, hours worked each day, total hours worked each workweek, basis on which employee's wages are paid, regular hourly pay rate, total daily or weekly straight-time earnings, total overtime earnings for the workweek, all additions to or deductions from the employee's wages, total wages paid each pay period, and date of payment and the pay period covered by the payment.	Two to three years, depending on the type of record	Recordkeeping Requirements under the Fair Labor Standards Act (FLSA)	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol3/pdf/CFR-2016-title29-vol3-sec516-1.pdf
Various	29 CFR Part 825	Employers	Personnel or employment records that must be preserved in accordance with the Family and Medical Leave Act	Three years	29 CFR 825.500 - Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title29-vol3/pdf/CFR-2016-title29-vol3-sec825-500.pdf
Various	29 U.S. Code § 436	Labor organizations, officers and employees of labor organizations, and employers	Various reports that are filed	Five years	29 U.S. Code § 436 - Retention of records	https://www.gpo.gov/fdsys/pkg/USCODE-2015-title29/pdf/USCODE-2015-title29-chap11-subchapIII-sec436.pdf
Various	32 CFR 33.42	Recipients of Department of Defense grants	Records related to the provision of grants	Three years, unless the records are transferred to the applicable Federal agency	§ 33.42 Retention and access requirements for records.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title32-vol1/pdf/CFR-2016-title32-vol1-sec33-42.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Various	33 CFR 103.520	Entities that perform Area Maritime Security (AMS) Assessments	Records related to port security plans	Five years (exercise plans are to be kept for two years)	33 CFR 103.520 - Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title33-vol1/pdf/CFR-2016-title33-vol1-sec103-520.pdf
Various	38 CFR 62.72	Entities that receive grants under the Supportive Services for Veteran Families Program	Records that demonstrate compliance with program provisions	Three years	38 CFR 62.72 - Recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title38-vol2/pdf/CFR-2016-title38-vol2-sec62-72.pdf
Various	40 CFR 122.42	Applicants for National Pollutant Discharge Elimination System permits	Records related to nutrient management plans. Large concentrated animal feeding operations must retain records about the transfer of manure, litter or process wastewater to another entity.	Five years	§ 122.42 Additional conditions applicable to specified categories of NPDES permits (applicable to State NPDES programs, see § 123.25).	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol24/pdf/CFR-2016-title40-vol24-sec122-42.pdf
Various	40 CFR 280.45	Owners and operators of underground storage tanks	Performance claims about release detection systems; records about sampling, testing or monitoring; and other records	Three to five years	§ 280.45 Release detection recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol29/pdf/CFR-2016-title40-vol29-sec280-45.pdf
Various	40 CFR 60.1455	Entities that operate air curtain incinerators that burn yard waste	Records about all opacity tests	Five years	40 CFR 60.1455 - What are the recordkeeping and reporting requirements for air curtain incinerators that burn 100 percent yard waste?	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol8/pdf/CFR-2016-title40-vol8-sec60-1455.pdf
Various	40 CFR 60.3068	Operators of air curtain incinerators that burn only wood waste, clean lumber, and yard waste	Results of all initial and annual opacity tests	Five years (the first two years on-site)	40 CFR 60.3068 - What are the recordkeeping and reporting requirements for air curtain incinerators that burn only wood waste, clean lumber, and yard waste?	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol8/pdf/CFR-2016-title40-vol8-sec60-3068.pdf
Various	40 CFR 63.150	Owners or operators of facilities that produced pollutants	Records of all information required to calculate emission debits and credits	Five years	§ 63.150 Emissions averaging provisions.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol11/pdf/CFR-2016-title40-vol11-sec63-150.pdf
Various	42 U.S. Code § 6921	Organizations that generate hazardous waste	Manifests from the facilities that receive hazardous waste	Three years	(a) Criteria for identification or listing	https://www.gpo.gov/fdsys/pkg/USCODE-2015-title42/pdf/USCODE-2015-title42-chap82-subchapIII-sec6921.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Various	7 CFR 2812.8	Recipients of donated, excess USDA research equipment	Records for equipment received	One or more years	7 CFR 2812.8 - Accountability and recordkeeping.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title7-vol15/pdf/CFR-2017-title7-vol15-sec2812-8.pdf
Various	9 CFR 86.3	Any State, Tribe, accredited veterinarian, or other person or entity who distributes official identification devices approved by APHIS for use in the Scrapie Eradication Program	The names and addresses of all individuals to whom devices were distributed	Five years	9 CFR 86.3 - Recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title9-vol1/pdf/CFR-2017-title9-vol1-sec86-3.pdf
Various	10 CFR 300.9	Businesses, public or private institutions or organizations, households, or other entities having operations that annually release emissions, at least in part, in the United States	Various records	Three years	10 CFR 300.9- Reporting and recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol3/pdf/CFR-2017-title10-vol3-sec300-9.pdf
Various	10 CFR 40.61	All persons in the United States	Receipt, transfer, and disposal or source or byproduct material	Three years	10 CFR 40.61- Records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title10-vol1/pdf/CFR-2017-title10-vol1-sec40-61.pdf
Various	16 CFR 312.11	Safe harbor programs (in relation to the Children's Online Privacy Protection Act of 1998)	Annual reports of aggregated summary of the results of the independent assessments, descriptions of any disciplinary action taken against any subject operator, and a description of any approvals of member operators' use of a parental consent mechanism	Three years	16 CFR 312.11- Safe harbor programs.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title16-vol1/pdf/CFR-2016-title16-vol1-sec312-11.pdf
Various	21 CFR 800.55	Owners, operators, or agents in charge of any factory, warehouse, other establishment, or consulting laboratory where detained devices are manufactured, processed, packed or held	Records relating to how the detained drugs may have become adulterated or misbranded, records on any distribution of the devices before and after the detention period, records on the correlation of any in-process detained devices that are put in final form, records of any changes in the devices permitted under the detention order, and various other records	Up to two years	21 CFR 800.55- Administrative detention.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol8/pdf/CFR-2017-title21-vol8-sec800-55.pdf
Various	21 CFR 830.360	Labelers	Records showing all unique device identifiers (UDIs) used to identify devices that must bear a UDI on their label, and the particular version or model associated with each device identifier	Three years	21 CFR 830.360- Records to be maintained by the labeler.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol8/pdf/CFR-2017-title21-vol8-sec830-360.pdf
Various	22 CFR 518.53	Institutions of higher education, hospitals, and other non-profit organizations	Financial records, supporting documents, statistical records, and all other records pertinent to an award	Three years	22 CFR 518.53- Retention and access requirements for records.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title22-vol2/pdf/CFR-2017-title22-vol2-sec518-53.pdf

INDUSTRY	REGULATION	WHO IS AFFECTED?	CONTENT TO BE RETAINED	RETENTION PERIOD	NAME OF REQUIREMENT	REFERENCE
Veterinary	21 CFR 558.6	Veterinarians, distributors and clients	Copy of the VFD, records of the receipt and distribution of all medicated animal feed containing a VFD drug, VFD feed manufacturing records, copies of each consignee distributor's acknowledgement letters	One to two years	21 CFR 558.6- Veterinary feed directive drugs.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol6/pdf/CFR-2017-title21-vol6-sec558-6.pdf
Veterinary	21 CFR 589.2000	Manufacturers of ruminant feed	Various records	One year	21 CFR 589.2000- Animal proteins prohibited in ruminant feed.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title21-vol6/pdf/CFR-2017-title21-vol6-sec589-2000.pdf
Warehousing	19 CFR 19.12	Warehouse proprietors and importers	Detailed records of general order merchandise; annual reconciliation reports; Warehouse Proprietor's Submission form	Two to five years	19 CFR 19.12- Inventory control and recordkeeping system.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec19-12.pdf
Warehousing	19 CFR 19.4	Warehouse proprietors	Various records, including: statements, declarations, documents, electronically generated or machine readable data, electronically stored or transmitted information or data, books, papers, correspondence, accounts, financial accounting data, technical data, computer programs necessary to retrieve information, and entry records	Five years	19 CFR 19.4- CBP and proprietor responsibility and supervision over warehouses.	https://www.gpo.gov/fdsys/pkg/CFR-2017-title19-vol1/pdf/CFR-2017-title19-vol1-sec19-4.pdf
Wastewater Treatment Processing	40 CFR 63.655	Owners or operators of wastewater treatment facilities, gasoline loading facilities, marine tank vessels, and related firms	Notice of compliance status reports and other records	Two to five years	§ 63.655 Reporting and recordkeeping requirements.	https://www.gpo.gov/fdsys/pkg/CFR-2016-title40-vol12/pdf/CFR-2016-title40-vol12-sec63-655.pdf

© 2017 Osterman Research, Inc. All rights reserved.

No part of this document may be reproduced in any form by any means, nor may it be distributed without the permission of Osterman Research, Inc., nor may it be resold or distributed by any entity other than Osterman Research, Inc., without prior written authorization of Osterman Research, Inc.

Osterman Research, Inc. does not provide legal advice. Nothing in this document constitutes legal advice, nor shall this document or any software product or other offering referenced herein serve as a substitute for the reader's compliance with any laws (including but not limited to any act, statute, regulation, rule, directive, administrative order, executive order, etc. (collectively, "Laws")) referenced in this document. If necessary, the reader should consult with competent legal counsel regarding any Laws referenced herein. Osterman Research, Inc. makes no representation or warranty regarding the completeness or accuracy of the information contained in this document.

THIS DOCUMENT IS PROVIDED "AS IS" WITHOUT WARRANTY OF ANY KIND. ALL EXPRESS OR IMPLIED REPRESENTATIONS, CONDITIONS AND WARRANTIES, INCLUDING ANY IMPLIED WARRANTY OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE, ARE DISCLAIMED, EXCEPT TO THE EXTENT THAT SUCH DISCLAIMERS ARE DETERMINED TO BE ILLEGAL.