

Table of Contents

Volume 1

PART I. DISCUSSION

CHAPTER 1. CORPORATE COUNSEL'S GUIDE TO RECORDS RETENTION

- § 1:1 Records retention programs—Reasons for the program
- § 1:2 —Areas prescribing record requirements
- § 1:3 Selecting the appropriate approach
- § 1:4 —Top versus bottom
- § 1:5 —Records versus information
- § 1:6 —General versus specific
- § 1:7 Special records problems—Chronological files
- § 1:8 —Vital records
- § 1:9 —Third-party records
- § 1:10 —Related entities
- § 1:11 —Internet records
- § 1:12 The quality of the record
- § 1:13 —The distinction between copies and originals
- § 1:14 —The legal status of duplicate records
- § 1:15 —Electronic duplicates of paper originals
- § 1:16 Designing the program—Resources
- § 1:17 —Procedures
- § 1:18 Implementing the program—Categorization and prioritization
 - § 1:19 —Establish retention periods
 - § 1:20 —Monitoring and purging
 - § 1:21 —Privacy and security
 - § 1:22 —Personal documents
 - § 1:23 —Suspending destruction
 - § 1:24 —Personnel
 - § 1:25 —Auditing the program
 - § 1:26 Subpoenas
 - § 1:27 —Fifth Amendment challenges

GUIDE TO RECORDS RETENTION

- § 1:28 ——Artificial entities and their representatives
- § 1:29 ——*United States v. Doe*: “Act of production”
- § 1:30 ——*Braswell v. United States*: “Designated custodian” alternative
- § 1:31 ——“Required records” doctrine
- § 1:32 ——“Business” versus “personal” records
- § 1:33 ——“Consent directive” subpoenas
- § 1:34 ——The “foregone conclusion” doctrine
- § 1:35 ——“Act-of-production” immunity
- § 1:36 ——Standing to assert privilege
- § 1:37 ——Fourth Amendment challenges
- § 1:38 ——The attorney-client privilege
- § 1:39 ——Parties to the privilege
- § 1:40 ——Access to privileged corporate records
- § 1:41 ——Types of communications covered
- § 1:42 ——Change of corporate control
- § 1:43 ——Types of communications covered—Dual purpose communications
- § 1:44 ——Work-product privilege
- § 1:45 Right to inspect corporate records
- § 1:46 ——E-mails and electronic records
- § 1:47 ——Limited liability companies
- § 1:48 Document destruction
- § 1:49 Disclosure of retention policy
- § 1:50 Document destruction—Legal implications
- § 1:51 ——Civil liability—Adverse inferences
- § 1:52 ——Liability for tort of spoliation of evidence
- § 1:53 ——Improper destruction
- § 1:54 ——Criminal liability
- § 1:55 ——Ethical implications
- § 1:56 Discovery issues

CHAPTER 2. THE ADMISSIBILITY OF BUSINESS RECORDS

- § 2:1 Introduction: The federal rule
- § 2:2 Historical development of the business records hearsay exception
- § 2:3 Foundational requirements for the admission of business records evidence
- § 2:4 —Testimony of custodian
- § 2:5 —Certification under Rule 902 or other statute
- § 2:6 —Records of regularly conducted activity

TABLE OF CONTENTS

- § 2:7 —Scope of organizational activity encompassed by the rule
- § 2:8 —Trustworthiness
- § 2:9 ——Electronic records
- § 2:10 —Computer records
- § 2:11 ——E-mails
- § 2:12 —Cellular telephone data
- § 2:13 —Business records prepared by third-parties (Rule of incorporation)
- § 2:14 “Hearsay within hearsay” in business records
- § 2:15 Derived records
- § 2:16 Practices facilitating the admission of business record evidence—Designating a records custodian for the purposes of litigation
- § 2:17 —Written record-keeping guidelines
- § 2:18 —Maintaining record-keeping discipline among employees

CHAPTER 3. THE ADMISSIBILITY OF REPRODUCTIONS OF BUSINESS RECORDS

- § 3:1 Background
- § 3:2 The federal rules—“Duplicate” defined (Fed. R. Evid. 1001(4))
- § 3:3 —The admissibility of duplicates (Fed. R. Evid. 1003)
- § 3:4 —Relationship to other rules
- § 3:5 Genuine question as to authenticity of original
- § 3:6 Exclusion on the grounds of unfairness
- § 3:7 Burden of proof
- § 3:8 Uniform laws—The Uniform Photographic Copies of Business and Public Records as Evidence Act
- § 3:9 —Uniform Rules of Evidence
- § 3:10 —Uniform Business Records as Evidence Act
- § 3:11 State statutes

Appendix 3-A. Text of Uniform Photographic Copies of Business and Public Records As Evidence Act

Appendix 3-B. Text of Uniform Rules of Evidence

Appendix 3-C. Text of Selected State Statutes

CHAPTER 4. THE DISTINCTION BETWEEN PERSONAL AND CORPORATE RECORDS

- § 4:1 Introduction
- § 4:2 Illustrative cases
- § 4:3 —Review of documents
- § 4:4 —Types of documents
- § 4:5 —Capacity of individual producing documents
- § 4:6 —Electronic records/e-mail

CHAPTER 4A. DEALING WITH SEARCH WARRANTS FOR CORPORATE RECORDS

- § 4A:1 Introduction
- § 4A:2 Warrant procedures
- § 4A:3 —Issuance
- § 4A:4 —Execution
- § 4A:5 ——Electronic records
- § 4A:6 Responding to the warrant
- § 4A:7 —Request identification
- § 4A:8 —Do not consent to the search
- § 4A:9 —Alert counsel
- § 4A:10 —Obtain and review a copy of the warrant
- § 4A:11 —Attend to employees
- § 4A:12 —Monitor officers
- § 4A:13 —Protect privileged materials
- § 4A:14 —Make a record of items taken
- § 4A:15 Challenging a search warrant
- § 4A:16 —Standing
- § 4A:17 —Probable cause
- § 4A:18 ——Adequate factual basis
- § 4A:19 ——Date of information
- § 4A:20 ——Good faith exception
- § 4A:21 ——Identification of suspected criminal activity
- § 4A:22 ——Identity of corporate entity
- § 4A:23 —Scope
- § 4A:24 ——Location to be searched
- § 4A:25 ——Items to be seized
- § 4A:26 ———Electronic records
- § 4A:27 ———Plan view doctrine
- § 4A:28 ———Records in foreign language
- § 4A:29 ———Ownership of records

TABLE OF CONTENTS

- § 4A:30 ——Temporal restrictions
- § 4A:31 —Privilege
- § 4A:32 Post-search issues
- § 4A:33 —Obtain documents from court
- § 4A:34 —Recover seized items
- § 4A:35 —Debrief employees
- § 4A:36 Proactive measures
- § 4A:37 —Company compliance program
- § 4A:38 —Hiring practices
- § 4A:39 —Backup copies of records
- § 4A:40 —Document retention program
- § 4A:41 —Standard operating procedures
- § 4A:42 —Privileged documents
- § 4A:43 —Train employees
- § 4A:44 Conclusion

CHAPTER 5. THE LEGAL IMPLICATIONS OF RECORDS DESTRUCTION

- § 5:1 Introduction
- § 5:2 Suspension of destruction component of records retention program
- § 5:3 —Liable parties
- § 5:4 —Governing laws
- § 5:5 ——Criminal—Statutory prohibitions
- § 5:6 ——Intent
- § 5:7 ——Civil
- § 5:8 —Sanctions
- § 5:9 ——Authority
- § 5:10 ——Fines and imprisonment
- § 5:11 ——Adverse inferences
- § 5:12 ——Acts constituting destruction
- § 5:13 ——Bad faith
- § 5:14 ——Retention period
- § 5:15 ——Notice of claim
- § 5:16 ——Relevancy
- § 5:17 ——Effect of inference
- § 5:18 ——Appropriate jury instructions for adverse inference
- § 5:19 ——Tort of spoliation of evidence
- § 5:20 ——Applicable law
- § 5:21 ——Action for fraud

GUIDE TO RECORDS RETENTION

- § 5:22 — — Preclusion of testimony
- § 5:23 — — Relocation of depositions
- § 5:24 — — Waiver of privilege
- § 5:25 — — Award of attorneys' fees
- § 5:26 — — Default judgment or dismissal
- § 5:27 Bankruptcy
- § 5:28 Guidelines for records destruction
- § 5:29 — Timing
- § 5:30 — Documenting the program
- § 5:31 — Flagging records
- § 5:32 — — Litigation hold
- § 5:33 — — — Personal devices
- § 5:34 Guidelines for document destruction—Flagging records—Types of records—Records of co-defendants
- § 5:35 — — — Original records
- § 5:36 — — — Duplicate records
- § 5:37 — Destroying the records
- § 5:38 Conclusion

Appendix 5-A. Suggested Demand Letter to Preserve Computer Evidence and Lay Spoliation Foundation

Appendix 5-B. Disposing of Consumer Report Information? Rule Tells How (Federal Trade Commission)

Appendix 5-C. Sample State Statutes Covering Records Disposal

CHAPTER 6. SAFE COMMUNICATION: GUIDELINES FOR CREATING CORPORATE DOCUMENTS THAT DON'T BRING DOWN THE COMPANY

- § 6:1 Generally
- § 6:2 What are "bad" documents and why are they created?
- § 6:3 The risks of "bad" documents
- § 6:4 A program of safe communication
- § 6:5 — Use alternatives to written communications whenever possible
- § 6:6 — Assume that every record will be read by an adversary in litigation

TABLE OF CONTENTS

- § 6:7 —Make sure every written communication is accurate
- § 6:8 —Realize that if a communication can be construed to mean something else, it will be
- § 6:9 —When dealing with sensitive or risky subjects, choose your words with great care
- § 6:10 —Avoid commenting on potential liability
- § 6:11 —Deal with bad documents immediately
- § 6:12 —Limit dissemination of all writings to those who need to know
- § 6:13 —Never create documents commenting on pending litigation
- § 6:14 —Adhere to a strict document retention program
- § 6:15 Tips for implementing a program of safe communication
 - § 6:16 —Secure a commitment from management
 - § 6:17 —Secure commitments from employees
 - § 6:18 —Appoint a safe communication compliance officer
 - § 6:19 —Identify the sources of the company's most problematic documents
 - § 6:20 —Conduct a comprehensive training program
 - § 6:21 —Follow up
 - § 6:22 Conclusion

CHAPTER 7. PRIVACY ASPECTS OF PERSONNEL RECORDS RETENTION

- § 7:1 Introduction
- § 7:2 Personnel records generally
- § 7:3 —Disclosure to third parties
- § 7:4 —Disclosure to unions
- § 7:5 —Other potential liability
- § 7:6 ——Defamation
- § 7:7 ——Interference with prospective economic advantage
- § 7:8 ——Public disclosure of private facts
- § 7:9 ——Data breach
- § 7:10 Employee medical records—State laws
- § 7:11 —Federal laws
- § 7:12 —Efforts to enhance individuals' access to health information
- § 7:13 The Genetic Information Nondiscrimination Act of 2008

§ 7:14 Conclusion

Appendix 7-A. State Statutes on Employee Medical and Personnel Records

CHAPTER 8. RULES ON KEEPING ELECTRONIC RECORDS

- § 8:1 Introduction
- § 8:2 —Advantages of electronic records
- § 8:3 —Disadvantages of electronic records
- § 8:4 Electronic records and federal compliance
- § 8:5 —IRS regulations
- § 8:6 ——Revenue Procedure 98-25: Automatic data processing systems
- § 8:7 ——Revenue Procedure 97-22: Electronic storage systems
- § 8:8 ——Records evaluations and Records Retention Limitation Agreements
- § 8:9 —Indexing and retrieval
- § 8:10 Myths about electronic records—Gone but not forgotten
 - § 8:11 —The information behind the screen
 - § 8:12 Use of electronic records in litigation
 - § 8:13 —Issues in discovery
 - § 8:14 —Issues in discovery—Keyword searches
 - § 8:15 —Issues in discovery—Keyword searches—Filter protocols
 - § 8:16 —Search for deleted materials
 - § 8:17 —Admissibility
 - § 8:18 ——Websites
 - § 8:19 —Special problems related to e-mail
 - § 8:20 —Special problems related to text messaging and other new technologies
 - § 8:21 —Costs of electronic discovery
 - § 8:22 —Amendments to the Rules of Civil Procedure regarding electronic evidence
 - § 8:23 —Amendments to the Rules of Evidence Regarding Privilege Waiver
 - § 8:24 —Discovery tactics pertaining to electronic records—The Sedona Conference Cooperation Proclamation
 - § 8:25 —Criminal cases
 - § 8:26 —Protecting electronic evidence

TABLE OF CONTENTS

| | |
|---------------|--|
| § 8:27 | Electronic records retention under Uniform Electronic Transactions Act and the Electronic Signatures in Global and National Commerce Act |
| § 8:28 | —Uniform Electronic Transactions Act—Scope |
| § 8:29 | —Legal recognition of electronic records and signatures |
| § 8:30 | — — —Pleadings |
| § 8:31 | — — Records retention requirements: Generally |
| § 8:32 | — — Records retention requirements: State governments |
| § 8:33 | — — Notice and writing requirements |
| § 8:34 | — — Attribution |
| § 8:35 | — — Electronic Signatures in Global and National Commerce Act |
| § 8:36 | — — Title I: Electronic records and signatures in commerce |
| § 8:37 | — — —Consumer consent |
| § 8:38 | — — —Records retention requirements: Generally |
| § 8:39 | — — —Records retention requirements: Federal and state governments |
| § 8:40 | — — —Terminology and scope |
| § 8:41 | — — —Effective dates |
| § 8:42 | — — Title II: Transferable records |
| § 8:43 | — — Comptroller of the currency guidance on compliance with E-SIGN |
| § 8:44 | — — Copyright transfer |
| § 8:45 | — — Obtaining electronic records from government entities |
| § 8:46 | — — Keeping electronic records private |
| § 8:47 | — — Suggestions for handling electronic records |
| Appendix 8-A. | Electronic Records Management (36 C.F.R. pt. 1236) |
| Appendix 8-B. | Lessons from a Federal Trade Commission Workshop on Electronic Records |
| Appendix 8-C. | Small Business Information Security: the Fundamentals (National Institute of Standards and Technology – November 2016) |

CHAPTER 9. SIX CRITICAL STEPS TO MANAGING ELECTRONICALLY STORED INFORMATION UNDER FRCP: HOW LEGAL AND IT CAN WORK TOGETHER TO BECOME LITIGATION READY

- § 9:1 Part I—Introduction
- § 9:2 —Step 1: Create an ESI survey data map
- § 9:3 —Step 2: Update your records retention and deletion policy and then execute it
- § 9:4 —Step 3: Effective litigation hold and discovery processes
- § 9:5 —The litigation-ready organization
- § 9:6 Part II—Introduction
- § 9:7 —Step 4: Delete documents that the business does not need
- § 9:8 —Step 5: Designate and prepare a Rule 30(b)(6) witness
- § 9:9 —Step 6: Audit your process and periodically refresh your policy
- § 9:10 —Don't Let Perfect Be the Enemy of Good

CHAPTER 10. STATUTES OF LIMITATION AS A GUIDE FOR RECORDS RETENTION

- § 10:1 Introduction
- § 10:2 Length of statutory period
- § 10:3 Commencement of the statutory period
- § 10:4 —Products liability and other tort suits
- § 10:5 ——Consumer Product Safety Act
- § 10:6 —Delivery under the Uniform Commercial Code
- § 10:7 —Warranty claims under the UCC/Magnuson-Moss Warranty Act
- § 10:8 —Copyright infringement
- § 10:9 —Misappropriation of trade secrets
- § 10:10 —Contingent events
- § 10:11 —Leases
- § 10:12 Running of the statutory period
- § 10:13 —Fraudulent concealment
- § 10:14 —Periodic payments
- § 10:15 —Employment discrimination
- § 10:16 —Statutes of ultimate repose

TABLE OF CONTENTS

- § 10:17 —Savings statutes
- § 10:18 Conclusion
- § 10:19 Selected state statutes of limitations
- § 10:20 Other sources of information

CHAPTER 11. STORAGE OF RECORDS

- § 11:1 Introduction
- § 11:2 Form of records
- § 11:3 Accessibility
- § 11:4 —Retrieval
- § 11:5 ——Organization
- § 11:6 ——Configuration
- § 11:7 ——Removal
- § 11:8 ——Standards
- § 11:9 ——Format
- § 11:10 ——Materials and personnel
- § 11:11 —Security
- § 11:12 ——Proprietary information
- § 11:13 ——Classified information
- § 11:14 ——Private records
- § 11:15 ——Electronic records
- § 11:16 —Obsolescence
- § 11:17 ——Maintain systems
- § 11:18 ——Standardize format
- § 11:19 ——Migration
- § 11:20 Preservation
- § 11:21 —Facilities
- § 11:22 ——Location
- § 11:23 ——Water
- § 11:24 ——Fire
- § 11:25 ——Pollutants
- § 11:26 ——Strategic targets
- § 11:27 ——Environment controls
- § 11:28 ——Water control measures
- § 11:29 ——Fire prevention
- § 11:30 ——Climate control system
- § 11:31 ——Filtration system
- § 11:32 ——Magnetic fields
- § 11:33 ——Supplies and products
- § 11:34 ——Handling
- § 11:35 —Catastrophic events
- § 11:36 ——Scope

GUIDE TO RECORDS RETENTION

- § 11:37 ——Procedures
- § 11:38 ——Identification
- § 11:39 ——Site
- § 11:40 ——Maintenance
- § 11:41 —Outsourcing
- § 11:42 Conclusion

Appendix 11-A. Excerpt from Guidelines on Security and Privacy in Public Cloud Computing

Appendix 11-B. Excerpt from Guidelines for Media Sanitization

Appendix 11-C. Facility Standards for Records Storage Facilities (36 C.F.R. pt. 1234)

Appendix 11-D. Guide for Cybersecurity Event Recovery [Excerpted]

Appendix 11-E. Essential Records Guide (National Archives and Records Administration—August 2018)

Appendix 11-F. Guidance for Records System Maintenance and Protection (U.S. Department of Homeland Security)

Appendix 11-G. IT Disaster Recovery Plan (Ready.gov—Feb. 2025)

Appendix 11-H. Essential Element: Your Crisis Response (Cybersecurity & Infrastructure Security Agency—November 2020)

Appendix 11-I. Facility Standards for Records Storage Facilities Inspection Checklist

Volume 2

CHAPTER 12. RECORDS RETENTION

- § 12:1 Introduction
- § 12:2 Practice considerations—Purposes and advantages of records retention programs
- § 12:3 —Essential elements of records retention program
- § 12:4 —Policies and procedures
- § 12:5 —Retention schedules
- § 12:6 —Records retention manuals
- § 12:7 —Electronic documents

TABLE OF CONTENTS

- § 12:8 —Checklist
- § 12:9 Business considerations—Identification and inventory of business records
- § 12:10 —Retention periods
- § 12:11 —Storage and retrieval
- § 12:12 —Records destruction
- § 12:13 —Staffing and accountability
- § 12:14 Legal considerations—Records retention requirements
 - § 12:15 —Employment laws
 - § 12:16 —Securities Laws
 - § 12:17 —Consumer Product Safety Act
 - § 12:18 —International business operations
 - § 12:19 —Electronic document discovery rules
 - § 12:20 —Potential liabilities
 - § 12:21 Tax considerations

Appendix 12-A. Drafting Checklist: Comprehensive Records Retention Policy

Appendix 12-B. Review Checklist: Comprehensive Records Retention Policy

PART II. SPECIFIC AREAS OF LAW

A. ANTITRUST/SECURITIES

CHAPTER 13. RECORDS RETENTION AND THE ANTITRUST LAWS

- § 13:1 Overview
- § 13:2 The Sherman Act
- § 13:3 —Trade associations
- § 13:4 —Information exchanges
- § 13:5 —Distribution issues
- § 13:6 ——Distributor selection
- § 13:7 ——Restrictions in distribution contracts
- § 13:8 ——Distributor termination
- § 13:9 The Hart-Scott-Rodino Act
- § 13:10 —The notification form
- § 13:11 —Item 4(c) documents
- § 13:12 —Information sharing

GUIDE TO RECORDS RETENTION

- § 13:13 —Disclosure of company information
- § 13:14 The Robinson-Patman Act
- § 13:15 —Records to support the cost-justification defense
- § 13:16 —Records to support the meeting-competition defense
- § 13:17 —Retention period
- § 13:18 —Other record-keeping requirements
- § 13:19 Illustrative meeting-competition forms—Simple form
- § 13:20 —More elaborate form
- § 13:21 —Multiple product form
- § 13:22 —Required customer signature form
- § 13:23 —Competitive activity and price form
- § 13:24 —Required customer signature
- § 13:25 —Competitive offer report
- § 13:26 —Price change request

Appendix 13-A. Department of Justice and Federal Trade Commission: Antitrust Policy Statement on Sharing of Cybersecurity Information

Appendix 13-B. Tip Sheet for HSR Form version 1.0.7 (Federal Trade Commission—Oct. 2019)

Appendix 13-C. Antitrust Guidance for Human Resource Professionals (Department of Justice/ Federal Trade Commission—2016)

Appendix 13-D. Vertical Merger Guidelines (Federal Trade Commission and Department of Justice—2020)

CHAPTER 14. RECORD-KEEPING REQUIREMENTS UNDER THE FEDERAL SECURITIES LAWS

- § 14:1 Introduction
- § 14:2 General requirements
- § 14:3 Broker-dealer requirements
- § 14:4 Other federal securities laws
- § 14:5 Protective orders
- § 14:6 Cybersecurity
- § 14:7 Conclusion

TABLE OF CONTENTS

- Appendix 14-A. Books and Records Regulation under the Commodity Exchange Act (17 C.F.R. § 1.31(a)(1))
- Appendix 14-B. Regulation Relating to Commodity Options Transactions (17 C.F.R. § 32.7(e))
- Appendix 14-C. SEC's Schedule Relating to Its Records Retention Requirements (17 C.F.R. § 200.80f)
- Appendix 14-D. SEC's Regulation Relating to Its Meeting Records (17 C.F.R. § 200.408)
- Appendix 14-E. SEC's Regulation Relating to Filings under the 1933 Act (17 C.F.R. § 230.402(e))
- Appendix 14-F. SEC's Regulation Relating to Amendments Filed under the 1933 Act (17 C.F.R. § 230.471)
- Appendix 14-G. SEC's Regulation Relating to Electronic Documents Filed under the 1933 Act (17 C.F.R. § 232.302)
- Appendix 14-H. SEC's Regulation Relating to Filings under the 1934 Act (17 C.F.R. § 240.12b-11(d))
- Appendix 14-I. SEC's Regulation Relating to Shareholder Documents Filed under the 1934 Act (17 C.F.R. § 240.14d-1(h))
- Appendix 14-J. SEC's Regulation Relating to Short-Swing Trading Documents Filed under the 1934 Act (17 C.F.R. § 240.16a-3(i))
- Appendix 14-K. SEC's Regulation Relating to the Record-Keeping Requirements of the National Exchanges (17 C.F.R. § 240.17a-1)
- Appendix 14-L. SEC's Regulation Relating to the Records of Exchange Members, Brokers, and Dealers (17 C.F.R. § 240.17a-4)
- Appendix 14-M. SEC's Regulation Relating to Currency and Foreign Transactions (17 C.F.R. § 240.17a-8)
- Appendix 14-N. SEC's Regulation under the 1934 Act

GUIDE TO RECORDS RETENTION

Relating to the Preservation of
Records and Reports of Certain
Stabilizing Activities

Appendix 14-O. SEC's Records Retention Regulation
Relating to Transfer Agents'
Obligations under the 1934 Act (17
C.F.R. § 240.17Ad-7)

Appendix 14-P. SEC's Regulation under the 1934 Act
Relating to Rule Changes Proposed by
the Self-Regulatory Organizations (17
C.F.R. § 240.19b-4(e)(2))

Appendix 14-Q. SEC's Schedule Relating to the Records
Retention Obligations of Registered
Public Utility Holding Companies and
Mutual and Subsidiary Service
Companies (17 C.F.R. § 257.2)

Appendix 14-R. SEC's Regulation Relating to the
Records Retention Obligations under
the Investment Company Act of 1940
(17 C.F.R. § 270.8b-11(e))

Appendix 14-S. SEC's Regulation Relating to
Investment Advisers (17 C.F.R.
§ 275.204-2(e))

Appendix 14-T. Department of the Treasury's Regulation
Relating to the Records Retention
Obligations of Government Securities
Broker-Dealers (17 C.F.R. § 404.4(b))

Appendix 14-U. Department of the Treasury's Records
Retention Regulation under Part 103
of Title 31 (31 C.F.R. § 103.38)

B. BENEFITS

CHAPTER 15. RECORDS RETENTION UNDER ERISA

- § 15:1 Introduction
- § 15:2 ERISA § 107 requirements—General rules
- § 15:3 —Interpretive releases
- § 15:4 —Relevant case law
- § 15:5 ERISA § 209 requirements—General rules
- § 15:6 —Proposed regulations
- § 15:7 ——Individual benefit record keeping for single
 employer plans

TABLE OF CONTENTS

| | |
|--|---|
| § 15:8 | — Individual benefit record keeping for multiple employer plans |
| § 15:9 | — Relevant case law |
| § 15:10 | — Burden of proof issues |
| § 15:11 | — Mandatory audit issues |
| § 15:12 | — Subpoenas |
| § 15:13 | — Private rights of action |
| § 15:14 | ERISA § 701 requirements |
| § 15:15 | Preemption |
| § 15:16 | Other records retention requirements—Code requirements |
| § 15:17 | — PBGC requirements |
| § 15:18 | The Genetic Information Nondiscrimination Act of 2008 |
| § 15:19 | Conclusion |
| Appendix 15-A. PBGC's Regulations under ERISA § 4007 (29 C.F.R. § 4007.10) | |
| Appendix 15-B. Recordkeeping in the Electronic Age (Advisory Council on Employee Welfare and Pension Benefit Plans—December 2023) | |

CHAPTER 16. RECORDS RETENTION AND POSTING REQUIREMENTS UNDER THE FMLA

| | |
|---------|---|
| § 16:1 | Introduction |
| § 16:2 | The Family and Medical Leave Act's general leave provisions |
| § 16:3 | Notice requirements |
| § 16:4 | — Employees |
| § 16:5 | — Employers |
| § 16:6 | Medical certification |
| § 16:7 | Record-keeping requirements—Statutory provisions |
| § 16:8 | — Final regulations |
| § 16:9 | Posting requirements—Statutory provisions |
| § 16:10 | — Final regulations |
| § 16:11 | Checklist |
| § 16:12 | Conclusion |

| | |
|---|--|
| Appendix 16-A. Fact Sheet #28D: Employer Notification Requirements under the Family | |
|---|--|

GUIDE TO RECORDS RETENTION

Medical Leave Act (Wage and Hour Division – March 2025)

Appendix 16-B. Fact Sheet #28G: Medical Certification under the Family and Medical Leave Act (Wage and Hour Division—March 2025)

CHAPTER 17. RECORDS RETENTION REQUIREMENTS UNDER THE PRESCRIPTION DRUG BENEFIT PROGRAM

- § 17:1 Introduction
- § 17:2 Overview of the MMA and Part D
- § 17:3 Miscellaneous regulatory requirements
- § 17:4 CMS's records retention requirements
- § 17:5 Conclusion

Appendix 17-A. Miscellaneous Excerpts from the CMS's Final Regulations

C. CONSUMER PRODUCTS

CHAPTER 18. RECORDS RETENTION AND REPORTING REQUIREMENTS OF THE CONSUMER PRODUCT SAFETY ACT

- § 18:1 Introduction and overview
- § 18:2 Records retention requirements
- § 18:3 Reporting requirements—Generally
- § 18:4 —Determining whether to report
- § 18:5 —Continuing violations
- § 18:6 —Substantial product hazard
- § 18:7 —Information to report
- § 18:8 —Product recall analysis
- § 18:9 —Mandatory product recalls
- § 18:10 —Fast track product recall program
- § 18:11 —Certification and tracking of certain products
- § 18:12 —Confidentiality of reports
- § 18:13 —Penalties for failing to report
- § 18:14 ——Injunctive relief
- § 18:15 Inspection of company records

TABLE OF CONTENTS

- § 18:16 Conclusion
- Appendix 18-A. Recall Checklist (Consumer Product Safety Commission)
- Appendix 18-B. Rules Requiring General Certificates of Conformity (GCC)
- Appendix 18-C. Tracking Label Requirement for Children's Products
- Appendix 18-D. Sample General Certificates of Conformity Provided by CPSC
- Appendix 18-E. Product Safety Planning, Reporting, and Recall Handbook (Consumer Product Safety Commission—August 2021)
- Appendix 18-F. General Certificate of Conformity (Consumer Product Safety Commission)

CHAPTER 19. RECORD-KEEPING REQUIREMENTS FOR THE MAGNUSON-MOSS WARRANTY ACT

- § 19:1 Introduction
- § 19:2 The warrantor should retain records that evidence the reasonableness of imposing obligations and duties on the consumer
- § 19:3 Enforcement of the Magnuson-Moss Act by means of informal dispute settlement procedures—Overview
- § 19:4 —The record-keeping requirements
- § 19:5 Records that the warrantor is not legally obligated to retain but that should be kept

CHAPTER 20. MAINTAINING EVIDENCE IN PRODUCTS LIABILITY CASES

- § 20:1 Introduction
- § 20:2 Requirements for preservation of evidence—Duty
 - § 20:3 ——Litigation
 - § 20:4 ——Attorneys
 - § 20:5 ——Experts
 - § 20:6 ——Incidental parties
 - § 20:7 ——Insurers
 - § 20:8 ——Protective orders

GUIDE TO RECORDS RETENTION

- § 20:9 — Discovery process
- § 20:10 — ASTM international guidelines
- § 20:11 — Timing
- § 20:12 — Intent
- § 20:13 — Prejudice
- § 20:14 — Sanctions
- § 20:15 — Design defect
- § 20:16 Sanctions for destruction of evidence
- § 20:17 — Standard for evaluation
- § 20:18 — Type of sanctions
- § 20:19 — Preclusion orders
- § 20:20 — Dismissal
- § 20:21 — Default judgment
- § 20:22 — Monetary sanctions
- § 20:23 — Tort claim
- § 20:24 — Adverse inference
- § 20:25 Defenses
- § 20:26 — Privilege
- § 20:27 — Work product
- § 20:28 Document retention programs—Failing to properly implement document retention policy
- § 20:29 — Destruction of documents in accordance with records retention program

D. CONTRACTING

CHAPTER 21. RECORDS RETENTION REQUIREMENTS OF PUB. L. NO. 95- 507: SUBCONTRACTING TO SMALL BUSINESSES

- § 21:1 Overview of the law
- § 21:2 Who is covered by the law?
- § 21:3 Contents of the subcontracting plan
- § 21:4 “Subcontracting plan” clause
- § 21:5 Required records
- § 21:6 Procurement reform
- § 21:7 Source information
- § 21:8 FAR subcontracting forms

Appendix 21-A. Part 52: Solicitation Provisions and Contract Clauses

TABLE OF CONTENTS

**CHAPTER 22. RECORDS RETENTION
REQUIREMENTS UNDER
GOVERNMENT CONTRACTS AND
SUBCONTRACTS**

- § 22:1 Overview of government contracting
- § 22:2 Acquisition reform
- § 22:3 General rules—Statutory requirements
- § 22:4 —Contracting by negotiation
- § 22:5 —Records pertaining to cost or cost-plus-a-fixed-fee contract
- § 22:6 —Acquisition of commercial items
- § 22:7 —Simplified acquisition procedures
- § 22:8 —Sealed bidding
- § 22:9 —Electronic submissions
- § 22:10 —Administrative matters
- § 22:11 Improper Business Practices and Personal Conflicts of Interest
- § 22:12 Rules covering specific situations—Cost and pricing certifications
- § 22:13 —Fixed-price contracts with economic adjustments based on actual costs of labor and material
- § 22:14 —Contract Work Hours and Safety Standards Act
- § 22:15 —Minimum wages for construction workers
- § 22:16 —Affirmative action requirements
- § 22:17 —Employment verification (Form I-9)
- § 22:18 —American Recovery and Reinvestment Act of 2009
- § 22:19 —Patent rights
- § 22:20 —Accident prevention
- § 22:21 —Government property
- § 22:22 —Inspection records
- § 22:23 —Contracts terminated for convenience of the government
- § 22:24 Records retention requirements of individual agencies

**CHAPTER 23. RECORDS RETENTION
REQUIREMENTS FOR COMPANIES
USING INDEPENDENT CONTRACTORS**

- § 23:1 Introduction

GUIDE TO RECORDS RETENTION

- § 23:2 Government record-keeping requirements
- § 23:3 Retaining documents that are not subject to government record-keeping requirements
- § 23:4 Records retention when involved in a government contract
- § 23:5 Checklist of suggested documents to retain
- § 23:6 Conclusion

CHAPTER 24. OUTSOURCING RECORD-KEEPING OPERATIONS

- § 24:1 Generally
- § 24:2 Terms
- § 24:3 Plan Record-Keeping Agreement
- § 24:4 Record-Keeping Agreement

E. CORPORATE

CHAPTER 25. RETENTION REQUIREMENTS FOR TAX RECORDS

- § 25:1 Fundamentals of tax record retention
- § 25:2 Records to be retained—Income tax
 - Income, deductions, and credits
 - Record-keeping systems
 - Entertainment, gifts, and travel
 - Employment taxes
 - Other business taxes
 - Tax return preparers
- § 25:9 Form and storage of tax records
 - Copies
 - Electronic records
- § 25:12 Time period for tax record retention
- § 25:13 — Statute of limitations
- § 25:14 Failure to retain tax records

Appendix 25-A. Treasury Regulations § 1.6001-1

Appendix 25-B. Treasury Regulations § 31.6001-1

Appendix 25-C. Revenue Ruling 71-20, 1971 C.B. 392

Appendix 25-D. Revenue Ruling 81-205, 1981-2 C.B. 225

Appendix 25-E. Revenue Procedure 81-46, 1981-2 C.B. 621

Appendix 25-F. Revenue Procedure 97-22, 1997-1 C.B. 652

TABLE OF CONTENTS

Appendix 25-G. Revenue Procedure 98-25, 1998-1 C.B.
689

Appendix 25-H. IRS Publication 583, Starting a
Business and Keeping Records (Rev.
December 2024) [Excerpt]

CHAPTER 26. RECORDS RETENTION REQUIREMENTS FOR FINANCIAL INSTITUTIONS

| | |
|---------|--|
| § 26:1 | Introduction |
| § 26:2 | Lending statutes and regulations—Equal Credit Opportunity Act (Regulation B) —Compliance obligations |
| § 26:4 | —Record-keeping and retention periods |
| § 26:5 | —Truth in Lending Act (Regulation Z) |
| § 26:6 | —Compliance obligations |
| § 26:7 | —Charge cards |
| § 26:8 | —Periodic statements |
| § 26:9 | —Home equity credit |
| § 26:10 | —Billing disputes |
| § 26:11 | —Variable rate adjustments |
| § 26:12 | —Record-keeping and retention periods |
| § 26:13 | —Home Mortgage Disclosure Act (Regulation C) |
| § 26:14 | —Compliance obligations |
| § 26:15 | —Record-keeping and retention periods |
| § 26:16 | —Real Estate Settlement Procedures Act |
| § 26:17 | —Compliance obligations |
| § 26:18 | —Good faith estimate |
| § 26:19 | —Uniform settlement statement |
| § 26:20 | —Servicing disclosure statement and applicant acknowledgment |
| § 26:21 | —Record-keeping and retention periods— Uniform settlement statement |
| § 26:22 | —Servicing disclosure statement and applicant acknowledgment |
| § 26:23 | —Consumer Leasing Act (Regulation M) |
| § 26:24 | —Compliance obligations |
| § 26:25 | —Record-keeping and retention periods |
| § 26:26 | —Community Reinvestment Act (Regulation BB) |
| § 26:27 | —Compliance obligations |
| § 26:28 | —CRA statement |
| § 26:29 | —CRA file |

GUIDE TO RECORDS RETENTION

- § 26:30 — Record-keeping and retention periods
- § 26:31 — National Credit Union Administration
- § 26:32 — Compliance obligations
- § 26:33 — Record-keeping and retention periods
- § 26:34 — Paycheck Protection Program
- § 26:35 Deposit statutes and regulations—Truth in Savings Act (Regulation DD)
 - § 26:36 — Compliance obligations
 - § 26:37 — Initial disclosures
 - § 26:38 — Notice of changes to account
 - § 26:39 — Periodic statements
 - § 26:40 — Advertising
 - § 26:41 — Record-keeping and retention periods
 - § 26:42 — Availability of funds and collection of checks (Regulation CC)
 - § 26:43 — Compliance obligations—Initial disclosures
 - § 26:44 — Delay in availability
 - § 26:45 — Change in policy
 - § 26:46 — Deposit slips
 - § 26:47 — Automated teller machines
 - § 26:48 — Record-keeping and retention periods
 - § 26:49 — Electronic Funds Transfer Act (Regulation E)
 - § 26:50 — Compliance obligations
 - § 26:51 — Initial disclosures
 - § 26:52 — Statements and receipts
 - § 26:53 — Change in terms
 - § 26:54 — Resolution of errors
 - § 26:55 — Preauthorized transfers
 - § 26:56 — Record-keeping and retention periods
- § 26:57 Bank administration
 - § 26:58 — Loans to bank executive officers, directors, and principal shareholders (Regulation O)
 - § 26:59 — Compliance obligations
 - § 26:60 — Record-keeping and retention periods
 - § 26:61 — Funds transfers and transmittals of funds (Regulation S: Subpart D)
 - § 26:62 — Compliance obligations
 - § 26:63 — Record-keeping and retention periods
 - § 26:64 — Currency and foreign transactions
 - § 26:65 — Compliance obligations
 - § 26:66 — Record-keeping and retention periods
 - § 26:67 — Suspicious activity reports

TABLE OF CONTENTS

| | |
|----------------|--|
| § 26:68 | Disposal of consumer report information and records—FTC Disposal Rule |
| § 26:69 | —Definitions |
| § 26:70 | —Proper disposal of consumer information |
| § 26:71 | —Examples |
| § 26:72 | —Enforcement |
| § 26:73 | Identity theft requirements—The Red Flags Rule |
| § 26:74 | —Transaction records |
| § 26:75 | State records retention laws |
| § 26:76 | Conclusion |
| Appendix 26-A. | OCC Advisory Letter (AL 2004-9) Electronic Record Keeping |
| Appendix 26-B. | OCC Advisory Letter (AL 2004-11) Electronic Consumer Disclosures and Notices |
| Appendix 26-C. | Supplement to Authentication in an Internet Banking Environment issued by the Federal Financial Institutions Examination Council |
| Appendix 26-D. | Social Media: Consumer Compliance Risk Management Guidance issued by the Federal Financial Institutions Examination Council |
| Appendix 26-E. | Correlation Table of Title 12 Banking Regulations |
| Appendix 26-F. | FTC Safeguards Rule: What Your Business Needs to Know |

CHAPTER 27. RECORDS RETENTION REQUIREMENTS UNDER THE SARBAKES-OXLEY ACT OF 2002

| | |
|--------|--|
| § 27:1 | Introduction |
| § 27:2 | Retention requirements—Section 802 of the 2002 Act |
| § 27:3 | —SEC's Rule 2-06 |
| § 27:4 | —Retention period |
| § 27:5 | —Definition of “issuer” |
| § 27:6 | —Financial reporting |
| § 27:7 | —Miscellaneous disclosure documents |
| § 27:8 | Conclusion |

GUIDE TO RECORDS RETENTION

Appendix 27-A. SEC's Audit and Review Records Regulation (17 C.F.R. § 210.2-06)

F. ELECTION/LOBBYING

CHAPTER 28. REPORTING AND RECORDS RETENTION REQUIREMENTS OF THE FEDERAL ELECTION CAMPAIGN ACT OF 1971

- § 28:1 Introduction
- § 28:2 The reporting schedule
- § 28:3 —Notification of multicandidate status (Form 1M)
- § 28:4 —Reporting during election years
- § 28:5 —Reporting during nonelection years
- § 28:6 The reporting requirements (Form 3X)—
 - Generally
 - § 28:7 —Receipts
 - § 28:8 ——Contributions
 - § 28:9 ——Transfers from affiliated PACs
 - § 28:10 ——Loans
 - § 28:11 ——Offsets
 - § 28:12 ——Refunds of contributions
 - § 28:13 ——Other receipts
 - § 28:14 ——Transfers from a nonfederal political action committee
 - § 28:15 —Disbursements
 - § 28:16 ——Operating expenditures
 - § 28:17 ——Transfers to affiliated political action committees
 - § 28:18 ——Contributions by the political action committee to a federal candidate or other political committee
 - § 28:19 ——Independent expenditures
 - § 28:20 ——Loans
 - § 28:21 ——Refunds of contributions
 - § 28:22 —The summary page
 - § 28:23 The record-keeping requirements
 - § 28:24 —Records of contributions and other receipts
 - § 28:25 ——Contributions
 - § 28:26 ——Other receipts
 - § 28:27 —Records of disbursements

TABLE OF CONTENTS

- § 28:28 —“Best efforts” required
- § 28:29 —Electronic records and filings
- § 28:30 Bipartisan Campaign Reform Act
- § 28:31 —Soft money
- § 28:32 —Hard money
- § 28:33 —Issue advocacy
- § 28:34 —Federal election commission regulations based on the Bipartisan Campaign Reform Act
- § 28:35 The Honest Leadership and Open Government Act of 2007
- § 28:36 The Administrative Fine Program
- § 28:37 Checklist
- Appendix 28-A. PAC Report Filing Schedule
- Appendix 28-B. Relevant Parts of the FECA’s Reporting and Record-Keeping Regulations for Political Committees, 11 C.F.R. §§ 102.9–102.11 and Part 104
- Appendix 28-C. Summary of FEC Forms Available on the Internet
- Appendix 28-D. Campaign Guide — Corporations and Labor Organizations (Federal Election Commission — October 2021) Chapter 11 Keeping Records

CHAPTER 29. REPORTING AND RECORDS RETENTION REQUIREMENTS OF THE LOBBYING DISCLOSURE ACT OF 1995

- § 29:1 Introduction
- § 29:2 The Lobbying Disclosure Act’s definition of lobbyist—Generally
- § 29:3 —Who is a lobbyist under the LDA?
- § 29:4 —What is a “lobbying contact” and “lobbying activity” under the LDA?
- § 29:5 The Lobbying Disclosure Act’s registration, reporting, and record-keeping requirements—Registration requirements, Form LD-1
- § 29:6 —Reporting requirements, Form LD-2
- § 29:7 —Reporting requirements, Form LD-203
- § 29:8 —Reporting requirements, electronic filing
- § 29:9 —Record-keeping requirements

§ 29:10 —Penalties

Appendix 29-A. Disclosure of Lobbying Activities—2
U.S.C.A. §§ 1601 to 1614

G. EMPLOYMENT

CHAPTER 30. RECORDS RETENTION REQUIREMENTS OF THE IMMIGRATION REFORM AND CONTROL ACT OF 1986

- § 30:1 Discussion—The law
- § 30:2 —Employment eligibility verification
- § 30:3 —E-Verify program
- § 30:4 —Who must be verified?
- § 30:5 —When must the verification take place?
- § 30:6 —Reverification of workers
- § 30:7 —What form must be used?
- § 30:8 —Record keeping
- § 30:9 —Inspection of records
- § 30:10 —Government records
- § 30:11 —Employment verification and those who are rehired
- § 30:12 —Penalties
- § 30:13 CIS regulations on employment eligibility verification
- § 30:14 Employment eligibility verification Form I-9 with instructions

Appendix 30-A. Questions and Answers: E-Verify

CHAPTER 31. RECORDS RETENTION REQUIREMENTS OF THE FAIR EMPLOYMENT PRACTICE LAWS

- § 31:1 Introduction
- § 31:2 Record-keeping requirements under Title VII and the ADA—General requirements
- § 31:3 —Personnel records
- § 31:4 —Title VII reporting requirements
- § 31:5 —Apprenticeship record keeping
- § 31:6 —Apprenticeship information report
- § 31:7 —Posting requirement

TABLE OF CONTENTS

- § 31:8 —Title VII and ADA regulations
- § 31:9 Record-keeping requirements on employee selection procedures—Background
- § 31:10 —Records concerning impact
- § 31:11 —Records concerning adverse impact
- § 31:12 ——When adverse impact has been eliminated in the total selection process
- § 31:13 ——When data are insufficient to determine impact
- § 31:14 —Regulations on employee selection procedures
- § 31:15 Record-keeping requirements under the ADEA—Background
- § 31:16 —Records retention requirements for employers
- § 31:17 —Records retention requirements for employment agencies
- § 31:18 —ADEA posting requirement
- § 31:19 —ADEA regulations
- § 31:20 Record-keeping requirements under the Equal Pay Act—Background
- § 31:21 —Record-keeping requirements
- § 31:22 —Equal Pay Act regulations
- § 31:23 Duty to preserve
- § 31:24 Record-keeping requirements under the Lilly Ledbetter Fair Pay Act
- § 31:25 The Genetic Information Nondiscrimination Act of 2008
- § 31:26 State statutes

Appendix 31-A. Summary of Selected Recordkeeping Obligations in 29 CFR Part 1602 (Equal Employment Opportunity Commission)

CHAPTER 32. RECORD-KEEPING REQUIREMENTS UNDER THE WAGE AND HOUR LAWS

- § 32:1 Introduction
- § 32:2 General requirements—Record-keeping rules
- § 32:3 ——What basic information must an employer retain?
- § 32:4 ——How should an employer handle records pertaining to exempt employees?
- § 32:5 ——How long should an employer retain its records?

GUIDE TO RECORDS RETENTION

- § 32:6 ——Where must the records be kept?
- § 32:7 ——What form must the records take?
- § 32:8 ——What are some of the special record-keeping requirements for specific types of jobs?
- § 32:9 ——May an employer petition the government for relief from the record-keeping requirements?
- § 32:10 —Amendments to the record-keeping requirements
- § 32:11 —Posting requirements—Fair Labor Standards Act
- § 32:12 ——Federal contractors
- § 32:13 ——Employment of disabled workers under special certificates
- § 32:14 ——Migrant and Seasonal Agricultural Workers
- § 32:15 Case law pertaining to the Fair Labor Standards Act's record-keeping requirements—Acceptable record-keeping procedures
- § 32:16 —Failure to keep records
- § 32:17 —Falsification
- § 32:18 —Subpoenas
- § 32:19 —No private right of action for record-keeping violations
- § 32:20 —Notice and posting requirements
- § 32:21 —Preserving records in litigation

Appendix 32-A. FLSA Regulations: 29 C.F.R. §§ 516.1 through 516.34

Appendix 32-B. Fact Sheet #21: Recordkeeping Requirements under the Fair Labor Standards Act (FLSA)—U.S. Department of Labor—Wage and Hour Division (July 2008)

CHAPTER 33. POSTING REQUIREMENTS UNDER THE EMPLOYMENT LAWS

- § 33:1 Introduction
- § 33:2 National Labor Relations Board posting authority
- § 33:3 Equal employment opportunity laws—Title VII and the Americans with Disabilities Act
- § 33:4 —Age Discrimination in Employment Act

TABLE OF CONTENTS

- § 33:5 —Equal Pay Act
- § 33:6 Wage and hour laws—Fair Labor Standards Act
- § 33:7 —Federal contractors
- § 33:8 —Employment of disabled workers under special certificates
- § 33:9 —Migrant and seasonal agricultural workers
- § 33:10 Family and Medical Leave Act
- § 33:11 Occupational Safety and Health Administration
- § 33:12 Employee Polygraph Protection Act

Appendix 33-A. Know Your Rights: Workplace
Discrimination is Illegal (U.S. Equal
Employment Opportunity
Commission—June 27, 2023)

Appendix 33-B. Employee Right under the Fair Labor
Standards Act (Wage and Hour
Division, U.S. Department of
Labor—April 2023)

Appendix 33-C. Your Employee Rights under the Family
and Medical Leave Act (Wage and
Hour Division, U.S. Department of
Labor—April 2023)

Appendix 33-D. Fact Sheet #28D: Employer Notification
Requirements under the Family and
Medical Leave Act (Wage and Hour
Division, U.S. Department of Labor—
January 2024)

CHAPTER 34. RECORDS RETENTION AND POSTING REQUIREMENTS UNDER TITLE I OF THE AMERICANS WITH DISABILITIES ACT

- § 34:1 Overview of Title I of the Americans with
Disabilities Act
- § 34:2 Record-keeping requirements
- § 34:3 —Personnel records
- § 34:4 —Medical records
- § 34:5 No routine Americans with Disabilities Act
reporting requirement
- § 34:6 Posting requirement
- § 34:7 Federal contractors

Appendix 34-A. Text of Selected Regulations

CHAPTER 35. RETENTION REQUIREMENTS FOR HIRING AND RECRUITING RECORDS

- § 35:1 Introduction
- § 35:2 The recruiting process
- § 35:3 —Determining who is a job applicant
- § 35:4 —Job orders, job advertisements, job announcements, and internal job postings
- § 35:5 —Criteria used for selecting candidates
- § 35:6 —Employment applications and résumés
- § 35:7 —Interview notes and lists of standard questions asked
- § 35:8 —Reference letters
- § 35:9 —Applicant flow information
- § 35:10 —Special retention periods for large federal contractors
- § 35:11 —Background investigation reports
- § 35:12 —Records of preemployment physical examinations
- § 35:13 The hiring process—Offer and hiring records
- § 35:14 —Immigration and Naturalization Service Form I-9
- § 35:15 —IRS Form W-4 and other tax withholding forms
- § 35:16 —Employment contracts
- § 35:17 —EEO-1 and Vets-100 reports
- § 35:18 —Affirmative action plans
- § 35:19 —Fair Pay Act
- § 35:20 —Employee information for wage and hour purposes
- § 35:21 Conclusion

Appendix 35-A. EEOC Job Applicant Record-Keeping Guidance (Proposed March 4, 2004)

Volume 3

CHAPTER 36. RECORD-KEEPING GUIDANCE REGARDING INTERNET JOB APPLICATIONS

- § 36:1 Introduction

TABLE OF CONTENTS

- § 36:2 Determining who is a job applicant
- § 36:3 Records retention requirements
- § 36:4 Conclusion
- Appendix 36-A. Internet Applicant Record-Keeping Rule:
FAQS (September 2023)
- Appendix 36-B. Understanding OFCCP's Internet
Applicant and Traditional Applicant
Recordkeeping Requirements
(Department of Labor—August 2019)

CHAPTER 37. FTC DISPOSAL RULE: EMPLOYER DESTRUCTION OF “CONSUMER INFORMATION”

- § 37:1 Introduction
- § 37:2 FCRA as applied to employers
- § 37:3 —Written disclosure and consent
- § 37:4 —Certification to the consumer reporting agency
- § 37:5 —Requirements when adverse action taken
- § 37:6 Disposal of consumer information
- § 37:7 —Consumer information under the regulations
- § 37:8 —Proper disposal
- § 37:9 —Using third parties
- § 37:10 —Establishing a policy
- § 37:11 —Retention period
- § 37:12 —Penalties

Appendix 37-A. Text of the “Disposal Rule”

H. ENVIRONMENTAL

CHAPTER 38. RECORDS RETENTION REQUIREMENTS OF THE EMERGENCY PLANNING AND COMMUNITY RIGHT-TO-KNOW ACT

- § 38:1 Introduction—Background
- § 38:2 —Facilities subject to the law
- § 38:3 Reporting and notification requirements—
Reporting: The Form R
- § 38:4 —Supplier notification requirements
- § 38:5 —Persons subject to the notification
requirement

GUIDE TO RECORDS RETENTION

- § 38:6 — Notification requirements
- § 38:7 — Exemptions from the notification requirement specified in 40 C.F.R. § 372.38
- § 38:8 — Trade secret protection, 40 C.F.R. Part 350
- § 38:9 — State laws
- § 38:10 Record-keeping requirements of 40 C.F.R. § 372.10
- § 38:11 Toxic Chemical Release Reporting: Text of Community Right-to-Know, 40 C.F.R. Part 372
- § 38:12 Toxic Chemical Release Inventory Reporting and guidance documents
- § 38:13 TRI-MEweb
- § 38:14 Enforcement
- § 38:15 Annual developments

Appendix 38-A. EPA Form R: Toxic Chemical Release Inventory Reporting Form

Appendix 38-B. EPA Form A: Toxics Release Inventory

Appendix 38-C. EPA Form: Substantiation to Accompany Claims of Trade Secrecy under the Emergency Planning and Community Right-to-Know Act of 1986

Appendix 38-D. Reporting for TRI Facilities (U.S. Environmental Protection Agency—July 3, 2025)

CHAPTER 39. RECORDS RETENTION REQUIREMENTS OF THE TOXIC SUBSTANCES CONTROL ACT

- § 39:1 Background
- § 39:2 The Frank R. Lautenberg Chemical Safety for the 21st Century Act
- § 39:3 Reporting and record-keeping requirements
- § 39:4 — Record-keeping requirements (§ 704.11)
- § 39:5 — Exceptions (§ 704.5)
- § 39:6 Significant adverse reactions
- § 39:7 Partial updating of the inventory database
- § 39:8 PAIR reports
- § 39:9 Premanufacture notices
- § 39:10 Significant new use rules
- § 39:11 Health and safety data reporting
- § 39:12 Substantial risk information

TABLE OF CONTENTS

§ 39:13 Importer/exporter requirements—Exporters
§ 39:14 —Importers

Appendix 39-A. Selected Regulations from Title 40 of the
Code of Federal Regulations

CHAPTER 40. RECORDS RETENTION REQUIREMENTS OF THE RESOURCE CONSERVATION AND RECOVERY ACT

- § 40:1 Introduction
- § 40:2 Facilities covered by RCRA
- § 40:3 Record-keeping requirements applicable to hazardous waste generators, transporters, and treatment, storage, and disposal facilities—The manifest system
 - § 40:4 —Changes to the manifest system in 2005
 - § 40:5 —Information collected on the manifest
 - § 40:6 —Removal of data elements from the form
 - § 40:7 —Combination of data fields
 - § 40:8 —Other changes/additions/clarifications
 - § 40:9 —Categories of waste generators
 - § 40:10 —Large quantity generators
 - § 40:11 —Small quantity generators
 - § 40:12 —Conditionally exempt small quantity generators
 - § 40:13 —Generator requirements for college and university laboratories
 - § 40:14 —Record retention requirements
 - § 40:15 —Transporters
 - § 40:16 —TSD facilities
 - § 40:17 —Land disposal facilities
 - § 40:18 —Other RCRA records
 - § 40:19 —Inspection records
 - § 40:20 —Training records
 - § 40:21 —Closure and post-closure records
 - § 40:22 Record-keeping requirements of the underground storage tank program—Overview of the program
 - § 40:23 —Technical performance standards
 - § 40:24 —Closure requirements
 - § 40:25 —Financial responsibility requirements
 - § 40:26 Amendments to the UST program
 - § 40:27 Enforcement

- § 40:28 EPA retention practices
- § 40:29 Internet resources
- § 40:30 Sample Uniform Hazardous Waste Manifest Form
- § 40:31 RCRA Subtitle C Site Identification Form

CHAPTER 41. RECORDS RETENTION REQUIREMENTS OF THE CLEAN AIR ACT

- § 41:1 Title I: National Ambient Air Quality Standards, State Implementation Plans and Other Title I Programs—Introduction
- § 41:2 —National Ambient Air Quality Standards (NAAQS)—Introduction
- § 41:3 —State implementation plans (SIPs)—Introduction
- § 41:4 ——Required elements for SIPs
- § 41:5 ——New and modified sources—Introduction
- § 41:6 ——New and modified sources—New source performance standards (NSPS)
- § 41:7 ——New source review (NSR) programs generally
- § 41:8 ——New source review in nonattainment areas—Introduction
- § 41:9 ——Applicability
- § 41:10 ——New source review permitting in nonattainment areas—Offsets
- § 41:11 ——Lowest achievable emission rate (LAER)
- § 41:12 ——Compliance by other sources, adequate SIP implementation and alternative site analysis
- § 41:13 ——Prevention of significant deterioration (PSD)—Introduction
- § 41:14 ——Applicability
- § 41:15 ——Air quality analysis, increment consumption and other impact analyses
- § 41:16 ——Best available control technology (BACT)
- § 41:17 ——Obtaining a nonattainment NSR/PSD permit
- § 41:18 ——NSR issues
- § 41:19 ——Calculating emission increases from modifications
- § 41:20 ——Pollution control project exclusion

TABLE OF CONTENTS

| | |
|---------|--|
| § 41:21 | — — —Routine maintenance, repair and replacement exclusion |
| § 41:22 | — — —Recent changes to NSR applicability rules |
| § 41:23 | — — —Equipment replacement rule |
| § 41:24 | — — —State NSR programs |
| § 41:25 | — — —New sources of hazardous air pollutants |
| § 41:26 | Title III: Hazardous Air Pollutants—Prevention of accidental releases—Purpose and general duty |
| § 41:27 | — — List of substances |
| § 41:28 | — — —Regulation of flammable substances |
| § 41:29 | — — —Accident prevention programs |
| § 41:30 | — — —Access to offsite consequence data |
| § 41:31 | — — —Government action to prevent or respond to accidental releases |
| § 41:32 | — — Chemical Safety Board |
| § 41:33 | — — Chemical process safety management |
| § 41:34 | Title IV: Acid Deposition Control—Introduction |
| § 41:35 | — — Congressional findings and purpose |
| § 41:36 | — — Allowance transfer and tracking system |
| § 41:37 | — — Permits and compliance plans |
| § 41:38 | — — Monitoring, reporting, and recordkeeping requirements |
| § 41:39 | — — Recent acid rain initiatives, including the Clear Skies Act |
| § 41:40 | Title V: Operating Permits—Introduction |
| § 41:41 | — — Authority to require source emission monitoring |
| § 41:42 | — — Compliance assurance monitoring (CAM) rule |
| § 41:43 | — — Data representativeness |
| § 41:44 | — — Verification of operational status |
| § 41:45 | — — Quality assurance and control |
| § 41:46 | — — Frequency of monitoring |
| § 41:47 | — — Data availability |
| § 41:48 | — — CAM permit application requirements |
| § 41:49 | — — Reporting and recordkeeping |
| § 41:50 | — — CAM implementation |
| § 41:51 | — — Periodic monitoring |
| § 41:52 | — — Credible evidence rule |
| § 41:53 | — — Record Keeping and reporting |
| § 41:54 | — — Designated representative and annual compliance certification |

GUIDE TO RECORDS RETENTION

- § 41:55 —Single, general, and temporary permits
- § 41:56 —Permit shield
- § 41:57 —Permit review and approval—Introduction
- § 41:58 ——Issuance of draft permit, including public review
- § 41:59 ——Affected state review
- § 41:60 ——Objection by EPA; petition by interested party; final permit issuance
- § 41:61 ——Post-permit review
- § 41:62 ——Environmental Appeals Board
- § 41:63 ——Recent Title V permit challenges
- § 41:64 —Permit modification, renewal and revocation—Introduction
- § 41:65 ——Administrative permit amendments
- § 41:66 ——Significant permit modifications
- § 41:67 ——Minor permit modifications
- § 41:68 ——Off-permit changes
- § 41:69 ——Part 70 permit modification controversy
- § 41:70 ——State permit modification programs
- § 41:71 ——Permit renewals
- § 41:72 ——Termination, modification, revocation, and reissuance “for cause”
- § 41:73 —Permits for new and modified sources; Title V, PSD, NSR, NSPS, and NESHAP
- § 41:74 Title VI: Stratospheric ozone and global climate protection—Ozone-depleting substances
- § 41:75 —Monitoring and reporting requirements
- § 41:76 —National recycling and emission reduction program—Introduction
- § 41:77 ——Air conditioning and refrigeration equipment repair and disposal (other than motor vehicles)
- § 41:78 ——Stationary refrigeration
- § 41:79 ——Refrigerant retailers
- § 41:80 Title VII: Enforcement, Rulemaking and judicial review—Introduction
- § 41:81 —Federal enforcement generally; Notices of violation (NOV)
- § 41:82 —Criminal enforcement; Reporting, recordkeeping, monitoring and fee payment violations
- § 41:83 —Monitoring, compliance certification, recordkeeping, reporting, and inspection requirements and administrative subpoenas

TABLE OF CONTENTS

- § 41:84 — Enhanced monitoring/compliance certification
- § 41:85 — Inspections
- § 41:86 — Administrative enforcement subpoenas

I. INTELLECTUAL PROPERTY

CHAPTER 42. RECORDS RETENTION REQUIREMENTS FOR INTELLECTUAL PROPERTY

- § 42:1 Introduction
- § 42:2 Copyright records—Introduction
- § 42:3 — How to register
- § 42:4 — Software
- § 42:5 — External software audits
- § 42:6 — Fines and penalties
- § 42:7 — Software records retention program
- § 42:8 — Policies and procedures
- § 42:9 — Internal software audits
- § 42:10 — Copyright infringement
- § 42:11 — Take down and put back notices
- § 42:12 Patent records
- § 42:13 — Patent applications
- § 42:14 — Technical records
- § 42:15 — Reverse engineering
- § 42:16 — The company's rights to inventions of employees, independent contractors, and other parties
- § 42:17 — Record keeping to avoid infringement
- § 42:18 — Privilege claims
- § 42:19 Trademarks
- § 42:20 — Registration
- § 42:21 — Trademark infringement
- § 42:22 Trade secrets
- § 42:23 — Creating a trade secrets records retention program
- § 42:24 — Employment-related records
- § 42:25 — Records of security measures
- § 42:26 — Internet and e-mail
- § 42:27 — Employee ideas and outside idea submissions
- § 42:28 — Requests for information

GUIDE TO RECORDS RETENTION

§ 42:29 —Trade secrets records retention checklist

§ 42:30 Insurance coverage records

§ 42:31 Web site records

Appendix 42-A. Immune Design Corporation—
Proprietary Information and
Inventions Agreement

Appendix 42-B. Juniper Pharmaceuticals Inc.—
Employee Proprietary Information and
Inventions Agreement

CHAPTER 43. RETENTION REQUIREMENTS FOR INTERNET RECORDS

§ 43:1 Introduction

§ 43:2 Internet records: Generally

§ 43:3 Contract records

§ 43:4 Mail, Internet, or Telephone Order Merchandise
Rule

§ 43:5 —Shipment date

§ 43:6 —Notice

§ 43:7 —Consent

§ 43:8 —Cancellation

§ 43:9 —Communications with the buyer

§ 43:10 —Litigation

§ 43:11 Advertising records

§ 43:12 —Online reviews

§ 43:13 ——Consumer Review Fairness Act

§ 43:14 Privacy records—Complying with the Children’s
Online Privacy Protection Act

§ 43:15 ——Provisions of COPPA

§ 43:16 ——Record-keeping issues

§ 43:17 ——Other privacy laws

§ 43:18 ——Gramm-Leach-Bliley Act

§ 43:19 ——Health Insurance Portability and
Accountability Act of 1996

§ 43:20 ——The American Recovery and Reinvestment
Act of 2009/Protection of Health Information

§ 43:21 —General privacy policies

§ 43:22 Intellectual property records—Copyrights

§ 43:23 ——Limitation for transitory communications

§ 43:24 ——Limitation for system caching

TABLE OF CONTENTS

- § 43:25 ——Limitations for system storage and information locating tools
- § 43:26 —Trademarks
- § 43:27 —Business method patents
- § 43:28 Employment-related records—Hiring and recruiting records
- § 43:29 —Employee use of the internet
- § 43:30 Conclusion

Appendix 43-A. FTC Guide to Mail, Internet, or Telephone Order Merchandise Rule

Appendix 43-B. Children’s Online Privacy Protection Rule: A Six-Step Compliance Plan for Your Business (June 2017)

Appendix 43-C. Complying with COPPA: Frequently Asked Questions (July 2020)

Appendix 43-D. Featuring Online Customer Reviews: A Guide for Platforms

CHAPTER 44. RETENTION REQUIREMENTS FOR TRADEMARK RECORDS

- § 44:1 Introduction
- § 44:2 Trademark selection/registration—Search reports
- § 44:3 —Electronic registration
- § 44:4 —Intent-to-use applications
- § 44:5 —Maintaining the registration
- § 44:6 Enforcing trademark rights
- § 44:7 —Priority
- § 44:8 —Proof of secondary meaning
- § 44:9 —Genericism
- § 44:10 —Naked licensing
- § 44:11 —Assignments in gross
- § 44:12 —Likelihood of confusion
- § 44:13 —Dilution
- § 44:14 Trademark as a domain name—Cybersquatting
- § 44:15 —Domain name hijacking
- § 44:16 —Search programs

CHAPTER 45. RECORDS RETENTION PROCEDURES FOR PROTECTING TRADE SECRETS

- § 45:1 Introduction
- § 45:2 Records used to identify elements of a trade secret
 - § 45:3 —Information
 - § 45:4 —Economic value
 - § 45:5 —Secrecy
- § 45:6 Documenting trade secret protection measures—R&D issues
 - § 45:7 —Physical security
 - § 45:8 —Employee situations
 - § 45:9 ——Employment agreements
 - § 45:10 ——Nondisclosure agreements
 - § 45:11 ——Noncompetition agreements
 - § 45:12 ——The initial interview
 - § 45:13 ——The exit interview
 - § 45:14 —Nonemployees
 - § 45:15 —Idea submissions
 - § 45:16 ——Assignment of rights in inventions
 - § 45:17 —Internet use
 - § 45:18 —Government submissions
 - § 45:19 Economic Espionage Act
 - § 45:20 —Conspiracy
 - § 45:21 Defend Trade Secrets Act
 - § 45:22 National Stolen Property Act
 - § 45:23 Computer Fraud and Abuse Act
 - § 45:24 —“Computer”
 - § 45:25 —“Threat”
 - § 45:26 —“Authorized access”
 - § 45:27 —Venue
 - § 45:28 —Damages
 - § 45:29 Trade secrets records retention audit and checklist
 - § 45:30 Protection during trial—Criminal
 - § 45:31 —Protective orders
 - § 45:32 —Criminal—Search and seizure
 - § 45:33 —Civil

TABLE OF CONTENTS

J. INTERNATIONAL/IMPORT/EXPORT

CHAPTER 46. RECORDS RETENTION REQUIREMENTS OF THE FOREIGN CORRUPT PRACTICES ACT

- § 46:1 Introduction and overview of the law
- § 46:2 —The FCPA’s bribery provisions
- § 46:3 —The records and accounting section
- § 46:4 ——Record keeping
- § 46:5 ——The internal accounting controls requirement
- § 46:6 —Jurisdiction
- § 46:7 —SEC regulation and enforcement
- § 46:8 —Department of Justice enforcement
- § 46:9 The importance of FCPA record keeping
- § 46:10 Testing your records policy
- § 46:11 FCPA records-retention review—FCPA compliance documents
- § 46:12 —Relevant due diligence records
- § 46:13 —The contract documents
- § 46:14 —Other file/records considerations
- § 46:15 —What is the relationship between separate records and files?
- § 46:16 —How long should these records be retained?
- § 46:17 Summary and conclusions

Appendix 46-A. A Resource Guide to the U.S. Foreign Corrupt Practices Act (Second Edition)—Chapter 3-The FCPA: Accounting Provisions—U.S. Department of Justice and U.S. Securities and Exchange Commission (July 2020)—Excerpted

CHAPTER 47. RECORDS RETENTION UNDER THE EXPORT CONTROL LAWS

- § 47:1 Introduction
- § 47:2 Export Control Reform Act of 2018
- § 47:3 Export administration regulations
- § 47:4 Other export control laws—Trading with the Enemy Act and the International Emergency Economic Powers Act

GUIDE TO RECORDS RETENTION

- § 47:5 —Arms Export Control Act
- § 47:6 —Atomic Energy Act
- § 47:7 Original records and reproduction of original records
- § 47:8 Enforcement procedures
- § 47:9 Conclusion
- Appendix 47-A. Export Administration Regulations (15 C.F.R. §§ 762.1 through 762.7)
- Appendix 47-B. Foreign Assets Control Regulations (31 C.F.R. §§ 501.601 and 501.602)
- Appendix 47-C. Records Retention Provision under the Arms Export Control Act (22 C.F.R. § 122.5)
- Appendix 47-D. Records Retention Provision under the Atomic Energy Act, As Amended (10 C.F.R. § 110.53)
- Appendix 47-E. Compliance Guidelines: How to Develop an Effective Export Management and Compliance Program and Manual—November 2013 (U.S. Department of Commerce-Bureau of Industry and Security-Office of Exporter Services-Export Management and Compliance Division) *[Excerpt]*
- Appendix 47-F. Export Compliance Guidelines—The Elements of an Effective Compliance Program

CHAPTER 48. RECORD RETENTION REQUIREMENTS FOR IMPORTERS

- § 48:1 Introduction
- § 48:2 Record-keeping requirements—Who is subject to the requirements?
- § 48:3 —What records must be retained?
- § 48:4 —What is the retention period?
- § 48:5 Automated Commercial System
- § 48:6 Customs-Trade Partnership against Terrorism
- § 48:7 Enforcement
- § 48:8 Customs's voluntary compliance program
- § 48:9 Miscellaneous statutory and regulatory provisions
- § 48:10 Certificates of conformity—Consumer Product Safety Improvement Act

TABLE OF CONTENTS

- § 48:11 Antidumping
- § 48:12 Importer security filing and additional carrier requirements (10+2)
- § 48:13 Conclusion
- Appendix 48-A. 19 C.F.R. Part 163
- Appendix 48-B. 19 C.F.R. Part 149—Importer Security Filing
- Appendix 48-C. What Every Member of the Trade Community Should Know About: Recordkeeping (U.S. Customs and Border Protection—January 2005)

CHAPTER 49. RECORDS RETENTION REQUIREMENTS AND THE ANTIBOYCOTT REGULATIONS

- § 49:1 Introduction
- § 49:2 Antiboycotts
- § 49:3 —What changes were implemented with the 1996 revised EAR?
- § 49:4 —What records need to be maintained?
- § 49:5 —What records do not need to be maintained?
- § 49:6 —Manner of reporting
- § 49:7 —Producing and inspecting records
- § 49:8 Voluntary self-disclosure
- § 49:9 Conclusion
- Appendix 49-A. Voluntary Self-Disclosures for Boycott Violations (15 C.F.R. § 764.8)

CHAPTER 50. RECORDS RETENTION REQUIREMENTS UNDER THE EUROPEAN UNION GENERAL DATA PROTECTION REGULATION

- § 50:1 Introduction
- § 50:2 European Community Directive on Data Protection
- § 50:3 —Defense to spoliation
- § 50:4 Universal Service and Users' Rights Relating to Electronic Communications/Processing of Personal Data and Protection of Privacy
- § 50:5 —User preference tracking (“cookies”)

GUIDE TO RECORDS RETENTION

- § 50:6 U.S.-EU Safe Harbor Agreement
- § 50:7 U.S.-EU Privacy Shield
- § 50:8 The General Data Protection Regulation
- § 50:9 Records retention requirements—What records must be retained?
 - § 50:10 —What are the requirements?—Access
 - § 50:11 —Verification
 - § 50:12 —Information collected in the employment relationship
 - § 50:13 Mandatory data retention by telecommunication operators and Internet services required under Directive 2006/24/EC
 - § 50:14 Conclusion
- Appendix 50-A. Data Protection Reform
- Appendix 50-B. Schrems v. Data Protection Commissioner, Judgment of the European Court of Justice, (Case C-362/14), October 6, 2015
- Appendix 50-C. The GDPR: New Opportunities, New Obligations—What Every Business Needs to Know about the EU’s General Data Protection Regulation (European Commission, Directorate-General for Justice and Consumers, Publications Office of the European Union 2019, <https://data.europa.eu/doi/10.2838/820044>)
- Appendix 50-D. U.S. Department of Commerce: Fact Sheet Overview of the EU-U.S. Privacy Shield Framework For Interested Participants
- Appendix 50-E. Seven Steps for Businesses to Get Ready for the General Data Protection Regulation—European Commission (Publications Office of the European Commission—2018)
- Appendix 50-F. *Data Protection Commissioner v. Facebook Ireland and Schrems*—Case C-311/18 (Court of Justice of the European Union Press Release – July 16, 2020)

TABLE OF CONTENTS

Volume 4

K. OSHA

CHAPTER 51. RECORDS RETENTION REQUIREMENTS OF OSHA

- § 51:1 Introduction
- § 51:2 Recording workplace injuries and illnesses
- § 51:3 —Employers covered by the rule
- § 51:4 —Record-keeping forms
- § 51:5 ——Recording of injuries and illnesses
- § 51:6 ——Determining work relationship
- § 51:7 ——Days away and job restriction/transfer
- § 51:8 ——Revised definitions of first aid and medical treatment
- § 51:9 —Needlestick injuries
- § 51:10 —Hearing loss
- § 51:11 ——NIOSH hearing conservation checklists
- § 51:12 —Tuberculosis (TB)
- § 51:13 —COVID-19
- § 51:14 —Musculoskeletal disorders
- § 51:15 —Business ownership changes
- § 51:16 —Employee involvement with record keeping
- § 51:17 —Privacy protections
- § 51:18 —Computerization and centralization
- § 51:19 —Fatality and catastrophic incidents
- § 51:20 —Annual OSHA Injury and Illness Survey
- § 51:21 —How long must records be kept?
- § 51:22 —Penalties or consequences for failure to maintain required records
- § 51:23 —National emphasis program
- § 51:24 —Other comments
- § 51:25 Modernization of data collection
- § 51:26 Employee exposure and medical records
- § 51:27 —What records must be kept?
- § 51:28 —How long must the records be kept?
- § 51:29 —Location and access
- § 51:30 Abatement verification
- § 51:31 Miscellaneous employer-specific requirements
- § 51:32 —Employers required to have emergency action and fire prevention plans

GUIDE TO RECORDS RETENTION

- § 51:33 —Employers with permanent powered platform installations for maintenance
- § 51:34 —Employers with manlifts
- § 51:35 —Employers subject to occupational noise standards
- § 51:36 —Employers subject to the ionizing radiation standard
- § 51:37 —Employers subject to the standards for process safety management of highly hazardous chemicals
- § 51:38 —Employers subject to the standard for hazardous waste operations and emergency response
- § 51:39 —Employers subject to the respiratory protection standard
- § 51:40 —Employers subject to the standard for permit-required confined spaces
- § 51:41 —Employers subject to the lockout/tagout standard
- § 51:42 —Employers subject to the fire brigade standard
- § 51:43 —Employers with portable fire extinguishers
- § 51:44 —Employers with automatic sprinkler systems
- § 51:45 —Employers with fixed extinguishing systems
- § 51:46 —Employers with overhead or gantry cranes
- § 51:47 —Employers using crawler locomotive and truck cranes
- § 51:48 —Employers subject to derrick standards
- § 51:49 —Employers subject to the standard for slings
- § 51:50 —Employers with mechanical power presses
- § 51:51 —Employers with forging machines
- § 51:52 —Employers subject to the resistance welding standard
- § 51:53 —Employers subject to the logging operations standard
- § 51:54 —Employers subject to the telecommunications standard
- § 51:55 —Grain handling facilities
- § 51:56 —Employers subject to the standard for post-dive procedures
- § 51:57 —Employers subject to the asbestos standard
- § 51:58 —Employers subject to certain carcinogen standards
- § 51:59 —Employers subject to the inorganic arsenic standard

TABLE OF CONTENTS

| | |
|---------|--|
| § 51:60 | —Employers subject to the lead standard |
| § 51:61 | —Employers subject to the cadmium standard |
| § 51:62 | —Employers subject to the benzene standard |
| § 51:63 | —Employers subject to the coke oven emissions standard |
| § 51:64 | —Employers subject to the bloodborne pathogens standard |
| § 51:65 | —Employers subject to the cotton dust standard |
| § 51:66 | —Employers subject to the standard for 1,2-dibromo-3-chloropropane |
| § 51:67 | —Employers subject to the acrylonitrile standard |
| § 51:68 | —Employers subject to the ethylene oxide standard |
| § 51:69 | —Employers subject to the formaldehyde standard |
| § 51:70 | —Employers subject to the standard for Methyleneedianiline |
| § 51:71 | —Employers subject to the standard for 1,3-Butadiene |
| § 51:72 | —Employers subject to the methylene chloride standard |
| § 51:73 | —Employers subject to the standard for ionizing radiation |
| § 51:74 | —Occupational exposure to hazardous chemicals in laboratories |
| § 51:75 | —Shipyard employers |
| § 51:76 | —Competent person requirement |
| § 51:77 | —Confined spaces and other dangerous atmospheres |
| § 51:78 | —Shackles and hooks |
| § 51:79 | —Portable air receivers and unfired pressure vessels |
| § 51:80 | —Shipyard asbestos |
| § 51:81 | —Shipyard 4-Nitrobiphenyl |
| § 51:82 | —Shipyard alpha-Naphthylamine |
| § 51:83 | —Shipyard methyl chloromethyl ether |
| § 51:84 | —Shipyard 3,3'-Dichlorobenzidine (and its salts) |
| § 51:85 | —Shipyard bis-chloromethyl ether |
| § 51:86 | —Shipyard beta-Naphthylamine |
| § 51:87 | —Shipyard Benzidine |
| § 51:88 | —Shipyard 4-Aminodiphenyl |

GUIDE TO RECORDS RETENTION

- § 51:89 — — Shipyard Ethyleneimine
- § 51:90 — — Shipyard beta-Propiolactone
- § 51:91 — — Shipyard 2-Acetylaminofluorene
- § 51:92 — — Shipyard 4-Dimethylaminoazobenzene
- § 51:93 — — Shipyard N-Nitrosodimethylamine
- § 51:94 — — Shipyard vinyl chloride
- § 51:95 — — Shipyard inorganic arsenic
- § 51:96 — — Shipyard lead
- § 51:97 — — Shipyard cadmium
- § 51:98 — — Shipyard benzene
- § 51:99 — — Shipyard bloodborne pathogens
- § 51:100 — — Shipyard 1,2-dibromo-3-chloropropane
- § 51:101 — — Shipyard acrylonitrile
- § 51:102 — — Shipyard ethylene oxide
- § 51:103 — — Shipyard formaldehyde
- § 51:104 — — Shipyard methylenedianiline
- § 51:105 — — Exposure to hazardous chemicals in laboratories
- § 51:106 — — Employers subject to the marine terminal standards
- § 51:107 — — Marine terminal hazardous atmospheres and substances
- § 51:108 — — Marine terminal carbon monoxide
- § 51:109 — — Marine terminal fumigants, pesticides, insecticides, and hazardous preservatives
- § 51:110 — — Marine terminal cranes and derricks
- § 51:111 — — Marine terminal manlifts
- § 51:112 — — Longshoremen and harbor worker employers—General gear and stevedoring gear
- § 51:113 — — Hooks other than hand hooks
- § 51:114 — — Ventilation and atmospheric conditions
- § 51:115 — — Employers subject to the standard for emergency action plans
- § 51:116 — — Accreditation for certification of vessels, cargo, gear, and shore-based material handling devices
- § 51:117 — — General inspection and testing duties
- § 51:118 — — Procedures concerning record in custody of accredited persons
- § 51:119 — — Records in custody of the vessel
- § 51:120 — — Government contractors
- § 51:121 — — Construction industry employers

TABLE OF CONTENTS

| | |
|----------------|--|
| § 51:122 | — — General construction employers—Access to employee exposure and medical records |
| § 51:123 | — — — Ionizing radiation |
| § 51:124 | — — — Methyleneedianiline |
| § 51:125 | — — — Lead in construction |
| § 51:126 | — — — Highly hazardous chemicals in construction |
| § 51:127 | — — — Hazardous waste and emergency response |
| § 51:128 | — — — Fixed fire suppression equipment |
| § 51:129 | — — — Rigging equipment |
| § 51:130 | — — — Cranes and derricks |
| § 51:131 | — — — Fall protection |
| § 51:132 | — — — Hoists and elevators |
| § 51:133 | — — — Excavation requirements: Protective systems |
| § 51:134 | — — — Steel erection |
| § 51:135 | — — — Underground construction—General |
| § 51:136 | — — — Construction employers using compressed air |
| § 51:137 | — — General provisions for construction employers using explosives |
| § 51:138 | — — Diving operations |
| § 51:139 | — — — Safe practices |
| § 51:140 | — — — Pre-dive procedures |
| § 51:141 | — — — Post-dive procedures |
| § 51:142 | — — — Equipment procedures and requirements |
| § 51:143 | — — — Record keeping |
| § 51:144 | — — — Asbestos |
| § 51:145 | — — Employers subject to the standards governing occupational exposures |
| § 51:146 | — — Agricultural industry employers |
| § 51:147 | — — Other record-keeping requirements |
| Appendix 51-A. | Sample OSHA Reporting Forms |
| Appendix 51-B. | Guidance on Preparing Workplaces for COVID-19—Department of Labor-OSHA (March 9, 2020) |

CHAPTER 52. RECORDS RETENTION REQUIREMENTS OF OSHA'S HAZARD COMMUNICATION RULE

| | |
|--------|----------------------|
| § 52:1 | Overview of the rule |
|--------|----------------------|

GUIDE TO RECORDS RETENTION

- § 52:2 Hazard determination procedures
- § 52:3 Written hazard communication program
- § 52:4 Material Safety Data Sheets
- § 52:5 Information and training
- § 52:6 Summary of the records access rule: 29 C.F.R.
§ 1910.1020
- § 52:7 OSHA Form Material Safety Data Sheet
- § 52:8 Text of Hazard Communication Rule and
Records Access Rule
- § 52:9 Hazard evaluation procedures
- § 52:10 Guide for MSDS completeness

L. PRIVACY

CHAPTER 53. RECORDS RETENTION CONSIDERATIONS UNDER THE GRAMM-LEACH-BLILEY ACT

- § 53:1 Introduction
- § 53:2 Scope
- § 53:3 —Parties—Regulated entities
- § 53:4 ——Financial institution
- § 53:5 ——Nonaffiliated third party
- § 53:6 ——Protected entities
- § 53:7 ——Consumer
- § 53:8 ——Customer
- § 53:9 —Information
- § 53:10 —Exceptions
- § 53:11 —Redisclosure and reuse
- § 53:12 Notice
- § 53:13 —Types
- § 53:14 —Content
- § 53:15 ——Privacy notice
- § 53:16 ——Initial
- § 53:17 ——Annual
- § 53:18 ——Short form
- § 53:19 ——Revised
- § 53:20 ——Opt-out notice
- § 53:21 —Form
- § 53:22 —Recipients
- § 53:23 ——Consumers
- § 53:24 ——Customers—Current
- § 53:25 ——Former

TABLE OF CONTENTS

- § 53:26 ——Joint transactions
- § 53:27 —Delivery
- § 53:28 —Timing
- § 53:29 ——Privacy—Consumers
- § 53:30 ——Customers
- § 53:31 ——Opt-out
- § 53:32 Opt-out procedures
- § 53:33 —Opportunity
- § 53:34 —Duration
- § 53:35 —Joint relationships
- § 53:36 —Exceptions
- § 53:37 Standards for safeguarding customer information
- § 53:38 —Financial institutions and customer data:
Complying with the Safeguards Rule
- § 53:39 —Text of the Safeguards Rule
- § 53:40 State laws
- § 53:41 Pretexting
- § 53:42 Conclusion

Appendix 53-A. Appendix A to Part 313—Model Privacy Form

Appendix 53-B. FTC Safeguards Rule: What Your Business Needs to Know

CHAPTER 54. RECORDS RETENTION REQUIREMENTS UNDER HIPAA'S PORTABILITY, PRIVACY, AND SECURITY RULES

- § 54:1 Introduction
- § 54:2 Portability provisions
- § 54:3 Privacy, security, and data set provisions
- § 54:4 HIPAA's records retention requirements—
Privacy rules
- § 54:5 —Security rules
- § 54:6 The Genetic Information Nondiscrimination Act of 2008
- § 54:7 Case law/enforcement
- § 54:8 Theft of medical records
- § 54:9 Immunity
- § 54:10 Privacy Web sites for corporate counsel
- § 54:11 Conclusion

GUIDE TO RECORDS RETENTION

- Appendix 54-A. Relevant Records Retention Regulations under HIPAA, 45 C.F.R. § 164.530(i), (j)
- Appendix 54-B. Guidance on Risk Analysis Requirements under the HIPAA Security Rule
- Appendix 54-C. Guidance Regarding Methods for De-identification of Protected Health Information in Accordance with the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule
- Appendix 54-D. HIPAA Security Series: 1—Security 101 for Covered Entities
- Appendix 54-E. HIPAA Security Series: 3—Security Standards: Physical Safeguards
- Appendix 54-F. HIPAA Basics for Providers: Privacy, Security, and Breach Notification Rules (U.S. Department of Health & Human Services—February 2023)
- Appendix 54-G. Collecting, Using, or Sharing Consumer Health Information? Look to HIPAA, the FTC Act, and the Health Breach Notification Rule (Federal Trade Commission—August 2024)
- Appendix 54-H. Implementing the Health Insurance Portability and Accountability Act (HIPAA) Security Rules - A Cybersecurity Resource Guide (Jeffrey A. Marron—NIST Special Publication 800 (NIST SP 800-66r2)—February 2024)

CHAPTER 55. RECORD-KEEPING ASPECTS OF PRIVACY LAWS

- § 55:1 Introduction
- § 55:2 Children's Online Privacy Protection Act
- § 55:3 —Provisions of the Children's Online Privacy Protection Act
- § 55:4 —Federal Trade Commission rule
- § 55:5 —Record-keeping issues
- § 55:6 Gramm-Leach-Bliley Act

TABLE OF CONTENTS

| | |
|--|---|
| § 55:7 | Health Insurance Portability and Accountability Act of 1996 |
| § 55:8 | American Recovery and Reinvestment Act of 2009/Electronic Health Information |
| § 55:9 | Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 |
| § 55:10 | Fair and Accurate Credit Transaction Act of 2003 |
| § 55:11 | Company privacy policies—Generally |
| § 55:12 | —Training |
| § 55:13 | —Audits |
| § 55:14 | Security programs to protect sensitive information |
| § 55:15 | Privacy records under the European Community Directive on Data Protection |
| § 55:16 | Electronic Communications Privacy Act |
| § 55:17 | Data breaches |
| § 55:18 | —Standing |
| § 55:19 | —Discovery |
| § 55:20 | —FTC response guidance |
| § 55:21 | —Insurance |
| § 55:22 | —Model letter |
| § 55:23 | —Employment records |
| § 55:24 | —Medical records |
| § 55:25 | State privacy laws |
| § 55:26 | Biometric data |
| § 55:27 | Browser activity |
| § 55:28 | New privacy legislation |
| § 55:29 | Conclusion |
| Appendix 55-A. Federal Trade Commission: Protecting Personal Information | |
| Appendix 55-B. Appendix 55-B Data Breach Response—Federal Trade Commission (February 2021) | |
| Appendix 55-C. Stick with Security: Insights into FTC Investigations | |

M. ANTI-TERRORISM

CHAPTER 56. RECORDS RETENTION REQUIREMENTS OF DEPARTMENT OF HOMELAND SECURITY'S FINAL RULE SETTING CHEMICAL FACILITY ANTI- TERRORISM STANDARDS

- § 56:1 Introduction
- § 56:2 Overview of the IFR
- § 56:3 Security vulnerability assessments
- § 56:4 Site security plans
- § 56:5 Risk-based performance standards
- § 56:6 DHS review of the SSP
- § 56:7 Record-keeping requirements of the IFR
- § 56:8 Comments and responses to advance notice of rulemaking concerning the IFR's record-keeping requirements

Appendix 56-A. Chemical Facility Anti-Terrorism Standards: RBPS 18-Records (U.S. Department of Homeland Security)

Appendix 56-B. Sample Records for RBPS 18-Records Chemical Facility Anti-Terrorism Standards: RBPS 18-Records (Homeland Security—June 2017)

Appendix 56-C. Safeguarding Information Designated as Chemical-Terrorism Vulnerability Information (CVI) — Revised Procedural Manual (September 2008)

APPENDICES

- Appendix A. Records Retention Policy for a Decentralized Company
- Appendix B. Sample Record Retention Guide
- Appendix C. Guidelines for an Environmental Document Retention Policy
- Appendix D. Checklist for Designing a Records Retention Program
- Appendix E. Sample State Personal Identifying Information Protection Statutes

TABLE OF CONTENTS

Bibliography

Table of Laws and Rules

Table of Cases

Index