



**City of Seattle
Office of the
City Clerk**

General Records Retention Schedule

*Applies to records commonly found in most
City offices*

Prepared by:

**Archives and Records
Management Program**

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INTRODUCTION

This General Records Retention Schedule establishes the City of Seattle's official policy for the retention and disposal of records common to most City Departments. The schedule applies to all types of records, regardless of media or format, including those found in electronic format, audio/visual media, micrographic, or hardcopy.

Departments may also have records unique to their functions and responsibilities that are not included on the General Records Retention Schedule. Retention periods for records unique to individual Departments are documented on Department Specific Retention Schedules developed by the City Records Management Program and approved by the State of Washington.

Do not apply a retention period unless the schedule clearly applies to the record. If you are unable to locate a record on a records schedule, please contact the City Records Management Program for assistance.

According to Washington State law, records may not be destroyed except in accordance with an approved records retention schedule. Therefore, records not listed in the General Schedule, or in Department Specific Schedule, are not eligible for disposal. Please contact the City Records Management Program to have a schedule developed for these records.

APPLICATION OF THE SCHEDULE

The General Records Retention Schedule is divided into thirteen subject categories. A table of contents follows the introductory section and an alphabetically index to each records series is located in the back of the schedule.

Information contained in the schedule includes:

- The assigned number of the record series
- The title and description of the records series
- The retention period and the office charged with responsibility for the official record copy
- The retention requirements for other copies located in other offices
- A comment field for special disposition instructions including archival designations
- The Disposal Authority Number assigned by the State to demonstrate their approval of the retention period for each listed records series

Upon expiration of the listed retention periods, City employees are authorized to disposition the records barring any extenuating circumstances. Records involved in investigations, audits, litigation or public disclosure requests must be maintained until all related actions are complete.

GLOSSARY

The following records management terms are found in the schedule:

Records Series Description: A group of documents that perform a specific function in an office. They may be filed as a unit, used as a unit and transferred and disposed of as a unit. The official title of the records is underlined and in bold. A very general description has been added to help identify the records in your filing system.

Official Record Copy: Office with the primary responsibility for maintaining the record for the legally established retention period.

Secondary Copy: Duplicate records maintained by offices for administrative purposes only.

Retention Period: The length of time the records series must be retained before the records are eligible for destruction, or for archival records, before they can be transferred to the Municipal Archives. The retention period begins as the files

are "cut-off," at a specified time, such as calendar year for correspondence, or fiscal year for most financial records, or with a specific action or event that makes the file inactive (such as termination of employment for some personnel records).

Archival, Potentially Archival: These designations pertain to records series of historical value to the City. Offices which hold records designated as "archival" or potentially archival should transfer them to the Municipal Archives when the files become inactive, i.e. have served their main purpose for the office and no longer are needed for current operations.

Disposal Authority Number: These numbers are assigned to listed item number/records series by the State Local Records Committee when the retention period is approved.

APPROVAL AND AUTHORITY

The record retention guidelines on the general schedule comply with all State of Washington record keeping regulations according to the provisions of RCW 40.14.

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1.0 ACCOUNTING AND FINANCIAL RECORDS

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
1	<u>Audit Findings - City</u> Final findings of audits conducted by the City Auditor office (or via a contracted company acting on behalf of the City Auditor's Office).	City Auditor's Office: 10 Years after report completed and all corrective action taken	Other Departments: 6 years after all corrective action taken	City Auditor's Office Copy is Archival	GS50-03F-02
2	<u>Audit Findings – Outside Sources</u> Final findings of audits conducted of City services, programs, or practices by an outside auditing agency (State, Federal, Independent, etc.).	Department Subject of Audit: 6 years after all corrective action taken		Archival	GS50-03F-02
3	<u>Audits – Supporting Materials</u> Records used to respond to internal/external audit of City financial management practices, programs, etc. May include copies/original source records, database printouts, correspondence, corrective action work plans, status reports and additional supporting documentation.	Department Subject of Audit: 6 years after all corrective action taken *		* Contact City Records Management Program if grant agreement or other requirement stipulates longer retention	GS50-03F-01
4	<u>Banking – Accounts and Transactions</u> Records document the City's banking activities and transactions. Includes, but is not limited to: <ul style="list-style-type: none"> deposits and withdrawals (including electronic funds transfers (EFT), international money transfers (IMT), automated clearing house (ACH), etc. statements (bank, dividend, investment, etc.) and reconciliations records documenting the status of and adjustments to accounts stop payment reports/requests (and supporting documentation) checks and warrants issued by the agency (if returned by the bank) 	Department of Finance & Administrative Services – Treasury Services: 6 years after end of calendar year Departments with Independent Bank Accounts: 6 years after end of calendar year			GS2011-185 Rev. 0
5	<u>Banking – Deposited Items</u> Monetary deposits received by the City and deposited into a bank account. Includes, but is not limited to: <ul style="list-style-type: none"> original paper checks/warrants imaged using Remote Deposit Capture (RDC) or Imaged Cash Letter (ICL), or returned by the bank after redemption; images of checks/warrants created in lieu of depositing the original item (such as imaged cash letter (ICL)). 	Department of Finance & Administrative Services – Treasury Services: 6 years after end of calendar year Departments with Independent Bank Accounts: 6 years after end of calendar year			GS2011-186 Rev. 0

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
6	<u>Budget Detail Reports</u> Monthly report of office or project revenues, expenditures and budget adjustments. May include budget updates for cost centers, equipment usage, special funds, department-wide, etc.	All Departments: 3 years after end of calendar year			GS50-03D-06
7	<u>Budget Final</u> Final budget plans adopted annually for the City of Seattle. Includes budget allocations for projects, personnel and supporting program costs. Records are used for planning projects and for conducting historical analysis of departmental operation costs.	Office of the City Clerk: Permanent City Budget Office: Permanent	Other Departments: Retain until reference purpose served	Archival	GS50-03D-08
8	<u>Budget Forecast Reports</u> Files are used to develop ad hoc financial reports and/or forecasts for specific activities and projects conducted by the department. May include personnel reports, equipment usage cost, spreadsheets, correspondence, budget reports, etc.	All Departments: 1 year after end of calendar year			GS50-03D-04
9	<u>Budget Preparation Files</u> Files are used to document the development of office and/or departmental budgets. May include preliminary budgets, spreadsheets, statistics, expenditure reports, correspondence, briefing materials and supporting documentation.	All Departments: 3 years after budget adopted			GS50-03D-03
10	<u>Combined Excise Tax Returns</u> Report and transmittal of excise taxes collected through outside sales, leases and other such transactions. Filed with the Department of Revenue.	All Departments: 5 years after filing		RCW 82.32.070, and Department of Revenue Advisory No. 152.32.199	GS50-12D-04
11	<u>Departmental Budget Requests</u> Series includes annual and supplementary budget requests submitted by City Departments to the City Budget Office for inclusion in the final budget.	City Budget Office: 2 years after budget adopted	Other Departments: Until next budget cycle		GS50-03D-07
12	<u>Detailed Expenditure Report</u>	All Departments: 3 years after end of calendar year			GS50-03A-10

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
13	<u>Financial Disputes and Collections – General</u> Records documenting the City’s financial disputes and attempts to collect funds - not related to real property ownership, and where civil litigation has not commenced. Includes, but is not limited to: Checks/warrants returned due to non-sufficient funds (NSF); Correspondence, notices, invoices/statements, account closure; Damage and loss claims (purchasing); Liens/releases; Collection records; Settlement documentation	All Departments: 6 years after matter resolved			GS50-03B-14 Rev. 1
14	<u>Financial Transactions – Bond, Grant and Levy Projects</u> Records documenting all resources received and expended by the City for bond, levy and grant funded projects. Includes, but is not limited to: Contracts and agreements (bond, grant and levy projects); Grant announcements, applications, evaluation summaries, award notifications, etc., for grant funds issued or received by the City; Documents supporting purchase/acquisition/contraction price and disposition/sales price; Cancelled (and voided) checks, credit card slips, project cost record, etc., for capital assets constructed by the City; Financial statements and reports (cash receipts transmittals, daily cash reports/summary, expenditure transactions, treasurer/finance officer reports, etc.); Project cost/expenditure tracking record (staff time, etc.); Registers and journals for all funds and functions (including numerical listing of checks/warrants/vouchers, etc.); Revenue bonds and coupons, registers, etc.; Trust indenture, loan agreement, etc.	All Departments: 6 years after final bond payment or 6 years after completion of levy/grant project or terms of grant agreement, whichever is later			GS2011-183 Rev. 0

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
15	<u>Financial Transactions – General</u> Records documenting all resources received and expended by the City provided that receipts and expenditures are not for bond, grant or levy projects. Includes, but is not limited to: Purchase and sales (purchase/field orders, bills of sale, receipts, cash books, remittance advices, invoices, vouchers, fiscal purchasing/receiving documents, payable/receivable schedules (also known as budget lapse/MOD 84 files) etc.); Financial statements and reports (cash receipts transmittals, daily cash report/summary, expenditure transactions, treasurer/finance office, etc.); Registers and journals (general and subsidiary) for all funds and functions; Debit / credit card charge records; Petty cash Etc.	All Departments: 6 years after end of calendar year Seattle City Light-General Accounting: Refer to department schedule for retention			GS2011-184 Rev. 0
16	<u>General and Subsidiary Ledgers</u> Series includes all financial ledgers dedicated to tracking revenue and expenditures for all City functions. Examples include: accounts payable, accounts receivable, appropriations, bonded debt, equipment operation costs, expenditures, investments, properties and revenue.	All Departments: 6 years after end of calendar year Seattle City Light-General Accounting: Refer to department schedule for retention			GS50-03A-15 Rev. 1
17	<u>Inventory of Fixed Assets</u> Inventory of fixed assets existing in a department. Includes supporting documentation created by department to assist in conducting inventory.	All Departments: 3 years after updated, revised or superseded	Department of Finance & Administrative Services – Accounting Services: 3 years after next inventory completed		GS50-03A-18
18	<u>IRS Forms</u> Internal Revenue Service tax forms including 1099, INT 941, Employer's Quarterly Return W2, Employer's copies of federal withholding tax statement W-4, employees withholding exemption certificates W-9, request for taxpayer ID number and certification.	All Departments: 4 years after revision or employment terminated			GS50-03A-17

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
19	<u>Levy and Bond Planning – Unsuccessful</u> Records relating to the financial planning of unsuccessful capital improvement and/ or operations and maintenance levy and bond proposals. May include preliminary studies, proposals, prospectuses, budget requests, decision packages, legal opinions, communications, etc.	All Departments: 6 years after levy failure or decision not to proceed			GS2011-188
20	<u>Purchasing Records</u> Records document the purchase of goods and services. Includes purchase orders, requisitions, direct voucher exception request, emergency purchase authorization, correspondence, etc.	All Departments: 6 years after closeout of purchase order Department of Finance & Administrative Services – Purchasing Services (for purchases over the designated amount or when bid process is necessary): 6 years after completion of purchase	Other Departments (when using Purchasing Services): 3 years after completion of purchase		GS50-08A-08 GS50-08A-10
21	<u>Reporting – Financial Management</u> City financial management reports submitted to regulatory agencies as required by City ordinance, federal, or state law where not covered by a more specific records series. Includes reports, confirmation of submission, inquiries, correspondence, etc.	All Departments: 4 years after submitted to regulatory agency			GS2011-189
22	<u>Signature Records</u> List of employees, and their signatures, which are authorized to sign checks/warrants.	Department of Finance & Administrative Services - Treasury Services: 6 years after revised or superseded	Other Departments: Destroy when updated, revised or superseded		GS50-03B-11
23	<u>Training/Travel Request and Approval Form</u> Documentation of training/travel expenses incurred while conducting City related business. Includes Travel Expense and Re-imbursement form and other internal forms required by department to be completed prior to approval.	All Departments: 6 years after end of calendar year			GS50-03A-30

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
24	<u>Unclaimed Property Research / Investigation Files – Funds Remitted to Department of Revenue</u> Research and investigation records created to track attempts to contact individuals of unclaimed property for funds remitted to the Washington State Department of Revenue. May include correspondence, register mail receipts, last known address, copy of check and amount, etc.	Department of Finance & Administrative Services – Treasury Services: 6 years after property deemed abandoned and funds remitted to Department of Revenue Departments Handling Investigation Internally: 6 years after case closed	Other Departments: 3 Years after case closed if investigation by Treasury Services		GS55-05B-33
25	<u>Unclaimed Property Research /Investigation Files – Funds Claimed</u> Research and investigation records documenting the successful return of unclaimed property to its owner prior to the completion of the abandonment period. May include correspondence, register mail receipts, last known address, copy of check and amount, etc.	Department of Finance & Administrative Services – Treasury Services: 6 years after property claimed Departments Handling Investigation Internally: 6 years after case closed	Other Departments: 3 Years after case closed if investigation by Treasury Services		GS55-05B-32
26	<u>Warrant/Check Registers</u> Files document warrants and checks written. Registers may include warrant numbers, date, amount, payee and related information.	Department of Finance & Administrative Services –Treasury Services: 6 years after end of calendar year	Other Departments: 3 years after end of calendar year		GS50-03A-31

2.0 BOARDS, PANELS, COMMISSIONS, AND COUNCILS

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation / Comments	Disposal Authority Number
1	<u>Advisory Body Development Files</u> Contains records related to the development and operational history of Advisory Committees, Commissions, Boards, etc. May include by-laws, member listings, rules policies, and related records.	All Advisory Bodies: Retain until dissolution of advisory body		Potentially Archival	GS50-06F-02
2	<u>Advisory Body Member Recruitment Files</u> Files document the process of selecting members of advisory bodies. May include recruitment notices, qualification summaries, resumes, applications, application review materials, appointment proposal or recommendation letters to management rejection letters and offer letters.	All Advisory Bodies: 3 years after selection of successful candidate			GS50-04B-22
3	<u>Advisory Body Reports Submitted to City Council/Executive</u> Reports may include special studies, findings, progress, annual or year-end reports.	All Advisory Bodies: 6 years after report submitted		Archival File with Office of the City Clerk	GS50-05B-03
4	<u>Annual Reports - Adopted</u> Annual reports adopted by City Council.	Office of the City Clerk: Permanent	Other Departments: 5 years after end of calendar year	Archival File with Office of the City Clerk	GS50-05A-04
5	<u>Appointments Confirmed by City Council</u> Position appointments by City Council of Council Members, Commissioners, Board Members, Department Heads, etc.	Office of the City Clerk: Permanent	Other Departments: 5 years after appointment confirmed.		GS50-05A-13 Rev. 1

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation / Comments	Disposal Authority Number
6	<u>Audio/Visual Recordings of Governing Body Meetings</u> Audio/visual recordings of official meetings.	DoIT – Seattle Channel (for visual recordings): Transfer to SMA when no longer needed Office of the City Clerk (for City Council audio): 6 years after end of calendar year Governing Bodies other than City Council: 6 years after end of calendar year		Archival	GS50-05A-13 Rev. 1
7	<u>Meetings – Governing/Executive/Advisory</u> Records document meetings of the City's governing bodies, executive management and advisory bodies. Includes: All meetings regulated by the Open Public Meetings Action (RCW 42.30) such as regular and special meetings, public hearings, executive sessions, etc. May include meeting notices (affidavits of mailing, posting and publication), agendas and other meeting materials, speaker sign-up sheets, written testimony, advisory meeting recordings, minutes, indexes and other finding aids.	Office of the City Clerk (for City Council Meetings): 6 years after end of calendar year All Other Bodies: 6 years after end of calendar year		Archival	GS50-05A-13 Rev. 1
8	<u>Oaths of Office</u> Required oaths signed by City Officials, whether elected or appointed, prior to taking office.	Office of the City Clerk: Permanent	Other Departments: End of term of office	Archival	GS50-05A-15
9	<u>Ordinances and Resolutions</u> Ordinances document the official legislative actions of the City Council and resolutions provide documentation of Council policy, formal opinion or statements of decision.	Office of the City Clerk: Permanent	Other Departments: Retain until reference purpose served	Office of the City Clerk Records are Archival	GS50-05A-16
10	<u>Proclamations</u> Proclamations issued by City Council, or the Mayor, on behalf of the City, where not included in the City Council minutes or meeting packet.	Issuing Office: 6 years after issued		Archival	GS2011-168 Rev. 0

3.0 COMPUTER SYSTEM ADMINISTRATION

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation/ Comments	Disposal Authority Number
1	<p><u>Access Authorization (Network/System/Data) – Employee</u></p> <p>Records documenting the authorization of employee (includes contractors and volunteers) access to agency systems, networks, applications, records, and data. Includes, but is not limited to, requests and approvals for access and permissions</p>	<p>All Departments: 6 years after termination of user access or, 6 years after system no longer in use, whichever is sooner</p>			GS2010-002 Rev. 0
2	<p><u>Applications – Planning and Review</u></p> <p>Records documenting the planning and post-implementation review of the City's computer software applications, databases, and websites (internet and intranet).</p> <p>Includes, but is not limited to: records stating requirements and objective, feasibility studies, project charter, cost/benefit analyses, investment plans, post-implementation reviews, evaluations, recommendations, etc.</p>	<p>All Departments: 6 years after project completed</p>			GS50-06A-01 Rev. 1
3	<p><u>Applications – Technical Design and Implementation</u></p> <p>Records documenting the technical design and implementation of the City's computer software applications, databases, and websites (internet and intranet).</p> <p>Includes, but is not limited to: design documentation/detail, database schema and dictionaries, source code, system and program change descriptions/authorizations, development plans (for testing, training, conversion, and acceptance), release notes, operational and user instructions, acceptance testing, etc.</p>	<p>All Departments: Dispose of when application or version is no longer needed for agency business AND all records within the application have been migrated or disposed of according to the appropriate records schedule</p>			GS50-06A-03 Rev. 1
4	<p><u>Audit Trail – Infrastructure</u></p> <p>Records documenting authorizations for, and modifications to, the configurations and settings of the City's infrastructure (firewalls, routers, ports, network servers, etc.)</p>	<p>All Departments: 1 year after date of activity</p>			GS2010-003 Rev. 0
5	<p><u>Automated/Scheduled Tasks</u></p> <p>Records relating to scheduled, computer-driven tasks including, but not limited to:</p> <ul style="list-style-type: none"> - Event logs; - Run reports and requests; - Task schedules; - Successful completion reports 	<p>All Departments: Dispose of when no longer needed for City business</p>			GS2010-004 Rev. 0

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation/ Comments	Disposal Authority Number
6	<p><u>Backups for Disaster Preparedness/ Recovery</u></p> <p>Routine, cyclical backups of the City's electronic records created for the purpose of disaster preparedness and recovery</p>	<p>All Departments: 3 backup cycles or 30 days whichever is sooner</p>		Backups are for reconstruction of electronic information in the event of a disaster and should NOT be used for records retention purposes. For retention of electronic records, refer to the records series specific to that record and retain accordingly.	GS50-06A-02
7	<p><u>Helpdesk Requests</u></p> <p>Records relating to employee (includes contractors and volunteers) requests for advice and assistance in using information systems and applications</p>	<p>All Departments: 1 year after request completed / ticket closed-out</p>			GS2010-005 Rev. 0
8	<p><u>Network – Design and Build</u></p> <p>Records documenting the design and construction of the City's information technology network.</p> <p>Includes, but is not limited to: network diagrams and build guides; master control list of Internet Protocol (IP) address assignments, Uniform Resource Locator (URL) addresses and passwords</p>	<p>All Departments: Dispose of when no longer needed for City business</p>			GS2010-006 Rev. 0
9	<p><u>Online Content Management Records</u></p> <p>Records documenting the <u>publishing/posting</u> of the City's online (internet and intranet) content.</p> <p>Includes, but is not limited to: requests/approvals to upload, update, and/or remove content, confirmation of content upload/update/removal, point-in-time record of webpage/site (screenshot, snapshot, site map)</p>	<p>All Departments: 1 year after online content removed</p>		Note: All published content consists of individual <u>records</u> which have their own separate retention requirements. Each of these records must be retained according to their applicable records schedule	GS2010-007 Rev. 0

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation/ Comments	Disposal Authority Number
10	<u>IT Security Monitoring – Incident</u> Records relating to the routine security monitoring of the City's information systems where a security incident has occurred. Includes, but is not limited to, intrusion and event logs.	All Departments: 6 years after investigation closed out			GS2010-008 Rev. 1
11	<u>IT Security Monitoring – No Incident</u> Records relating to the routine security monitoring of the City's information systems where a security incident has not occurred. Includes, but is not limited to: intrusion and event logs.	All Departments: Dispose of once it has been determined that no security incident has occurred			GS2010-009 Rev. 0
12	<u>System Health Monitoring</u> Records relating to the routine monitoring of the performance of the City's information management systems. Includes, but is not limited to: benchmarks and real-time performance logs.	All Departments: Dispose of when no longer needed for City business			GS2010-010 Rev. 0
13	<u>System Usage – Monitoring</u> Records relating to the monitoring of the agency's information and communication systems to ensure appropriate use. Includes, but is not limited to: login records, internet activity logs (sites visited, downloads/uploads, video/audio streaming, etc.), fax and telephone logs.	All Departments: 1 year after activity			GS50-06A-05 Rev. 1

4.0 CONTRACTS, GRANTS AND AGREEMENTS

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
1	<u>Bids and Proposals - Successful</u> Records documenting bids and proposals made by other parties to provide the City with goods and/or services, which are accepted. May include request for proposal or bid (RFP), specifications, notices, evaluation documents, statements of qualification, etc.	All Departments: 6 years after completion of purchase or closeout of contract	Office of the City Clerk: 6 years after closeout of contract		GS50-08A-01
2	<u>Bids and Proposals - Unsuccessful</u> Records relating to requests and responses for bids and proposals to provide the City with goods and/or services, which are NOT accepted. May include request for proposal or bid (RFP), specifications, notices, evaluation documents, statements of qualification, etc.	All Departments: 4 years after end of calendar year			GS50-08A-11 Rev. 1
3	<u>Consultant Contracts - Awarded</u> Records document contracts awarded for a variety of consultant services. Records may include the contract, correspondence, billing information, progress reports, closeout documentation, etc.	All Departments: 6 years after closeout of contract	Office of the City Clerk: 6 years after closeout of contract Department of Finance & Administrative Services - Contracting Services Divisions: 1 month after the end of the calendar year	The department of origin is responsible for retaining administrative records needed to document contractor's compliance with the terms of the contract.	GS50-01-11

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
4	<p><u>Contracts and Agreements – General</u> Instruments signed by the City and one or more parties that set out terms and conditions to which the signing parties agree or submit, and that do not establish, alter, or abolish ownership of capital assets. Includes change orders.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> •Lending agreements (facility, equipment, vehicle, etc.); •Liability waivers (hold harmless, insurance, etc.); •Loan agreements (long-term debt, etc.); •Master depository contract (banking); •Personal service, client service, purchasing agreements; •Vendor bonds; •Warranties •Rights-of-way and/or easements received by of granted by the City. 	<p>All Departments: 6 years after closeout of contract /agreement *</p> <p>Department of Finance & Administrative Services - Contracting Services Division: 6 years after closeout of contract</p>	<p>Office of the City Clerk: 6 years after closeout of contract per project completion certificate</p>	<p>*For construction contracts, see CIP – Project Management</p> <p>The Department of origin is responsible for retaining administrative records needed to document contractor's compliance with the terms of the contract.</p>	GS50-01-11 Rev. 2
5	<p><u>Federal Emergency Management Agency (FEMA) Claims – Supporting Documentation</u> Records document the City's costs to respond to disasters and are used to support reimbursement claims made under FEMA. May include records documenting purchase of emergency equipment, project files containing contracts, budget information, progress reports, copies of engineering reports, meeting minutes, and documents used to track labor costs such as crew sheets, timesheets, etc.</p>	<p>All Departments: 6 years after claim is closed</p>		<p>Claim is considered closed when Department receives official closure notification from the City's Emergency Operations Center</p>	GS50-06C-32
6	<p><u>Grant Administration Files</u> Records document the application, award, administration and closeout of grants awarded to the City. May include applications, proposal evaluations, award notification, project summaries, progress reports, equipment inventories, audit reports and related documentation. Includes final grant expenditure report, financial support documents (continuing and non-continuing).</p>	<p>All Departments: 6 years after completion of grant project or terms of grant agreement, whichever is later</p>		<p>Potentially Archival: Final Grant Project Reports/ Deliverables</p>	GS50-03C-01 Rev. 1, GS50-03C-02 Rev. 1, GS2011-183

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
7	<u>Grant Applications - Denied</u> Records include grant proposals and applications submitted by or to the City that did not receive funding. May include applications, project proposals and narratives, evaluations, correspondence, notes, etc.	All Departments: 1 year after denial or withdrawal			GS50-03C-07
8	<u>Financial Transactions – Bond, Grant and Levy Projects</u> Records documenting all resources received and expended by the City for bond, levy and grant funded projects. Includes, but is not limited to: Contracts and agreements (bond, grant and levy projects); Grant announcements, applications, evaluation summaries, award notifications, etc., for grant funds issued or received by the City; Documents supporting purchase/acquisition/contraction price and disposition/sales price; Cancelled (and voided) checks, credit card slips, project cost record, etc., for capital assets constructed by the City; Financial statements and reports (cash receipts transmittals, daily cash reports/summary, expenditure transactions, treasurer/finance officer reports, etc.); Project cost/expenditure tracking record (staff time, etc.); Registers and journals for all funds and functions (including numerical listing of checks/warrants/vouchers, etc.); Revenue bonds and coupons, registers, etc.; Trust indenture, loan agreement, etc.	All Departments: 6 years after final bond payment or 6 years after completion of levy/grant project or terms of grant agreement, whichever is later			GS2011-183 Rev. 0

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
9	<p><u>Inter-Agency Agreements</u> Records document the development and administration of agreements made by outside agencies (State, County, Port Authority, Private Parties, etc.) with the City.</p> <p>Includes , but is not limited to: lease, escrow, and rental agreements, liability waivers (hold harmless, insurance, etc.), warrantees, personal service, client service, purchasing agreements</p> <p>May also include documentation related to funding, oversight, agreement development, modifications and closeout.</p>	All Departments: 6 years after termination of agreement	Office of the City Clerk: 6 years after termination of agreement	File with Office of the City Clerk – final inked copy of agreement	GS50-01-11 Rev. 2
10	<p><u>Intra-Agency Agreements</u> Agreements made between City Departments documenting arrangements for various services such as technology support, maintenance responsibilities, customer service support, program management, etc.</p> <p>Includes , but is not limited to: lease, escrow, and rental agreements, liability waivers (hold harmless, insurance, etc.), warrantees, personal service, client service, purchasing agreements</p> <p>May also include documentation related to funding, oversight, agreement development, modifications and closeout.</p>	All Departments: 6 years after termination of agreement	Office of the City Clerk: 6 years after termination of agreement	File with Office of the City Clerk – final inked copy of agreements between City departments regarding transfer of authority, control, maintenance responsibility, or administration over a Department's facilities or functions	GS50-01-11 Rev.2
11	<p><u>WMBE/HUB Use Reports</u> Reports produced to document the City's use of women-owned, minority-owned, and historically underutilized business contracts.</p>	Department of Finance & Administrative Services – Contracting Services: 6 years after report issued	Other Departments: 3 years after report issued		GS50-08A-13

5.0 ELECTRONIC MAIL (E-MAIL)

Electronic mail is a communication system. E-mail messages may constitute public records under RCW Chapter 40.14 with legally mandated retention requirements, or may be transitory information with no retention value. E-mail messages are public records when they are created or received in the transaction of public business and are retained as evidence of official policies, actions, decisions, or transactions. E-mail that has other valuable informational content relating to City business is also a public record. E-mail messages that are public records must be identified, scheduled and retained just like records in other formats.

In determining the proper length of retention for messages and attachments sent or received electronically; consider each message just as if it was conveyed on paper. E-mail messages do not have equal retention value, but must be managed individually according to the approved retention for the information contained in the messages.

Whenever possible, e-mail should be retained for the required retention period in its native Outlook format in order to preserve the metadata associated with the message. **There are two options for retaining messages with the associated metadata:**

- 1. Use the Mimosa e-mail archiving system by filing e-mail in the appropriate pre-set folder in Outlook**
- 2. Save the message in .msg format and file it with related records on the network**

Examples of messages that are usually records that must meet specific retention requirements before being destroyed are those which:

- approve or authorize actions or expenditures;
- are communications between staff relating to official business;
- signify a policy change or development;
- create a precedent, such as messages issuing instructions or advice;
- relate to the primary business of the office;
- involve negotiations on behalf of the City;
- contain complaints or requests from the public and the City's responses;
- provide clarification and/or interpretation of City policies and procedures;
- document and/or provide clarification of actions or decisions related to City projects/actions;
- commit the City to any type of action;
- contain guidance/direction on job performance or duties

PLEASE NOTE: *The Washington State Supreme Court ruled on October 8, 2010 that metadata associated with e-mail is considered a public record and can be requested by the public. If you do not retain e-mail in its native format, in either the Mimosa system or as an .msg document on the network, the metadata is not properly retained.*

6.0 ENVIRONMENTAL MANAGEMENT

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
1	<u>Dangerous Waste Annual Reports</u> Records are annual reports documenting hazardous waste activities (generation, accumulation, on-site recycling, disposal, etc.). Used to document compliance with Washington Department of Ecology (WDOE) requirements.	All Departments: 50 Years after report completed		Archival	GS50-19-02
2	<u>Dangerous Waste Notification Records</u> Records are forms used to document compliance with Washington Department of Ecology (WDOE) hazardous waste notification requirements and track issued site identification numbers. Files may include WDOE Form 2 that documents site information, land ownership information, generator status and activity information, waste codes and assigned RCRA site identification numbers, correspondence and related information.	All Departments: Permanent			GS50-19-13
3	<u>Dangerous Waste Profiles</u> Forms document the characteristics of dangerous waste being disposed of by the department through the use of a certified waste disposal contractor. Information may include generator identification, material composition, hazard classifications, toxicity characteristics, and instructions for waste handling and treatment.	All Departments: Permanent			GS50-19-12
4	<u>Environmental Site Assessments – Property</u> Environmental assessments conducted prior to disposal or acquisition of City property. Assessment details description of site, if location was contaminated, and reports laboratory results.	All Departments: 10 years after disposal of property		Potentially Archival	GS50-06B-24
5	<u>Facility Operations Plan – Temporary Hazardous Waste Storage Facilities</u> Operating manuals for temporary hazardous waste storage sites. May include policies and procedures for emergency response, waste disposal, employee training, spill response, inspection requirements, etc.	All Departments: 50 years after revised or superseded			GS50-19-08
6	<u>Generator Compliance Monitoring Logs</u> Records track the weight, content, and unique identification numbers of hazardous waste containers. Used to designate the risk level status of the facility.	All Departments: 50 years after the end of the calendar year			GS50-19-07

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
7	<u>Hazardous Chemical/Material Inventory</u> Inventory of chemicals and other hazardous materials present in each work area. Information includes chemical, common or trade name of substance, and where and when the chemical was used.	All Departments: 50 years after report completed			GS50-19-07
8	<u>Hazardous Material Inspection Files</u> Files document WDOE inspection results or internal review of environmental protection practices and procedures. Records may include field notes, audit reports, photographs, inspection summaries, corrective action plans and supporting documentation.	All Departments: 50 years after completion of inspection and applicable corrective action			GS50-19-06
9	<u>Hazardous Waste Shipping Manifests</u> Records are forms that document the transportation of hazardous waste from the point of generation to the ultimate disposal site. Information includes name and address of generator, name of transporter, US EPA identification numbers, material description and handling instructions, quantity and signatures of certification. May also include exception reports, waste profiles, and land disposal restriction certifications.	All Departments: 50 years after end of calendar year			GS50-19-12
10	<u>Industrial Hygiene Monitoring Files</u> Files document the monitoring of agency work environments for industrial health issues. May be for air quality noise level, presence of chemicals, etc. Includes sample, test results, corrective action taken if any, etc.	City Personnel-Employee Health Services – Safety: 30 years after corrective action taken	Other Departments: 6 years after corrective action taken		GS50-06C-33
11	<u>Material Safety Data Sheets (MSDS) – When Hazardous Chemical Inventory is NOT Completed</u> Records are manufacturer safety guidelines on the proper use, storage and disposal of hazardous substances. Documents hazardous materials used and stored by the department.	All Departments: 30 years after chemical is no longer in use			GS50-19-11
12	<u>Material Safety Data Sheets (MSDS) – When Hazardous Chemical Inventory is Completed</u> Records are manufacturer safety guidelines on the proper use, storage and disposal of hazardous substances. Documents hazardous materials used and stored by the department.	All Departments: Destroy when chemical is no longer in use			GS50-19-11

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
13	<u>Pesticide Spray Application Documentation</u> Records document the application of pesticides to City buildings and/or grounds. Information may include but is not limited to location of application, type of pesticide used, dates, weather descriptions, amount used, applicator license information, notes, work orders, etc.	All Departments: 7 years after spray event * SDOT – Landscape Unit: Refer to department schedules for specific retention		* If department does not complete a chemical inventory, pesticide spray follow retention for <u>Hazardous Chemical/Material Inventory</u>	GS50-18-43
14	<u>Pollution Prevention Annual Summaries</u> Annual reports documenting work completed for pollution prevention. Includes details on site visits, technical support provided procedures or policies reviewed or developed, and training provided related to prevention of pollution from City facilities.	All Departments: 5 years after summary completed or revised		Archival	GS55-05H-01
15	<u>Pollution Prevention Compliance</u> Records document compliance with State waste reduction regulations. May include waste reduction plans, plan revisions, annual pollution prevention progress reports, summaries and related information documenting the City's pollution prevention efforts. Also includes background information used for report development.	All Departments: 5 years after annual report revised		Archival	GS55-05H-01
16	<u>Safety Policies and Procedures</u> Files are used to document the City's safety policies and procedures. Records may include evacuation plans, emergency response guidelines, worker protection standards, etc.	All Departments: 3 years after revision			GS50-01-01
17	<u>SEPA/NEPA Environmental Review Records</u> Records document City compliance with federal, state and local environmental laws, regulations, guidelines and agreements including SEPA/NEPA requirements. Records may include classification summaries, environmental assessments, environmental impact statements, discipline reports (section 106 historic resources reports, air quality analysis, property acquisition, site assessments, etc.) categorical exclusion documentation, public meeting materials, memorandums of agreement (MOAs) and other interagency coordinator correspondence, checklists, forms and related documentation.	All Departments: 10 years after life of approved activity		For environmental review records related to City capital improvement projects see: <u>Capital Improvement Projects - Core Files</u>	GS55-05H-02 GS55-05H-03 GS55-05H-04

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
18	<u>Underground Storage Tanks – History Files</u> Records document the installation, corrective action and closure of city-owned underground storage tanks containing regulated substances. May include installation notices, drawings and diagrams of tank installation, tank specifications, financial responsibility documentation, reports of spills or leaks, documentation of contaminate cleanup actions and major repairs. Also includes records needed to document compliance with tank closure requirements such as site assessments and additional supporting documentation.	All Departments: 50 years after closure of tank			GS50-19-10
19	<u>Underground Storage Tanks – Routine Operation and Maintenance Files</u> Files are used to document routine testing, inspection, and monitoring of city-owned underground storage tanks containing regulated substances. May include correspondence, inspection and testing reports related to equipment integrity, corrosion, tightness, calibration, etc. Also includes repair and modification documentation and additional records used to demonstrate that tanks are operated in compliance with State regulations.	All Departments: 10 years after the end of the calendar year			GS50-19-18

7.0 FACILITY AND PROPERTY MANAGEMENT

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
1	<u>Access Entry Logs</u> A log of visitors and/or staff to a work site. May also include after hours information.	All Departments: 3 years after end of the calendar year			GS50-06B-20
2	<u>Boiler and Pressure Vessel Reports</u> Documents inspections of boiler and pressure vessels owned, operated, or maintained by the City.	All Departments with Facility Management Responsibilities: 3 years after end of the calendar year			GS50-06B-01
3	<u>Capital Asset Record</u> Tracking record created for each of the City's capital assets as required by the Office of the State Auditor in accordance with RCW 43.09.200. Includes information summarizing: •Acquisition (when & how purchased or constructed, purchase price); •Improvements; •Depreciation; •Deductions; •Disposal (when & how disposed of, expenses related to the sale, etc.).	All Departments: 4 years after disposition of asset or completion of State Auditor's Examination Report, whichever is sooner			GS2011-182

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
4	<p><u>Capital Improvement Projects - Core Files</u></p> <p>Files document the construction history of capital improvement projects where the City is an owner of the asset or has on-going operational, management, or maintenance responsibilities. Records commonly relate to structural engineering and environmental due diligence. The following are examples of items which must be separated from the Project Management Files when the project is completed and retained for the longer retention period:</p> <p>EIS (Final Draft and Final) Determination of Non-Significance Boring Reports Geo-Technical Reports Soils Testing Hazardous Materials Testing and Abatement Work SEPA Checklist Report Warranties Inspection Test Results Concrete Test Results Piston X-Rays</p> <p>NOTE: SDOT & SPU Inspector Books are transferred to SPU Engineering Support and retained permanently</p>	<p>All Departments: 6 years after sale or disposal of property, removal of infrastructure item, or termination of agreement, whichever is later</p> <p>Seattle City Light: Refer to department schedule for retention</p>		<p>Potentially Archival</p> <p>Records for projects in which the City is acting as a technical consultant to the asset owner, and is providing review and comment services only, should be retained as <u>Capital Improvement Projects - Project Management Files</u> records series.</p>	GS50-18-10
4	<p><u>Capital Improvement Projects - Maps/Drawings/Plans - Final</u></p> <p>Final mechanical, electrical, structural, architectural maps, drawings or plans related to capital improvement projects in which the City is the asset owner or has ongoing operational, management, or maintenance responsibilities. Including</p> <p>* Pre Design & Bid Design</p> <p>Construction Red Lines and As-Builts (or As-Designed if As-Builts not received)</p> <p>NOTE: These records are transferred to SPU Engineering Support and retained permanently</p> <p>Others necessary to document construction of asset.</p>	<p>All Departments: 6 years after sale or disposal of property</p> <p>Seattle City Light: Refer to department schedule for retention</p>		<p>Archival</p>	GS50-18-06 GS50-18-07

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
5	<u>Capital Improvement Projects - Project Management Files</u> Project files document capital improvement projects from pre-design to construction completion. Specific types of records vary depending on size and nature of the project but typically include: RFP/RFQ for pre-design, selection materials, site selection materials, contracts, amendments, change orders, community outreach documentation, correspondence, plans, estimates, meeting minutes, payment information, permit applications, submittals, inspection reports, corrective actions, finance materials, construction related permits, copies of approved vouchers and invoices, council briefing materials, photos, etc.	All Departments: 6 years after completion of project Seattle City Light: Refer to department schedule for retention		See also: <u>Financial Transactions – Bond, Grant and Levy Projects</u>	GS50-18-10
6	<u>Deeds/Titles</u> Deeds to property acquired by the City	All Departments: 10 years after sale or disposal of property	Office of the City Clerk: Permanent	File with Office of the City Clerk	GS55-05A-02
7	<u>Easements – Permanent</u> Long-term easements to property acquired by the City	All Departments: 10 years after reassignment or vacation of easement	Office of the City Clerk: Permanent	File with Office of the City Clerk	GS55-05A-03
8	<u>Maintenance Reports</u> Reports details maintenance projects completed and in progress.	All Departments with Facility Management Responsibilities: 1 year after end of the calendar year			GS50-06B-08
9	<u>Operating Manuals</u> Manuals to operate and maintain installed equipment installed in buildings.	All Departments: Retain until sale or disposal of equipment			GS50-06B-09
10	<u>Property Leases</u> Official documentation of leases for property leased by and from other parties and agency property leased to the public.	All Departments: 6 years after termination of lease			GS50-01-11 Rev. 2
11	<u>Security Patrol Log</u> Records are activity reports completed by security guards for areas they patrol. Information may include name of site, date, time and specific locations patrolled, summary of observations, etc.	All Departments: 1 year after last entry			GS50-06B-16

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
12	<u>Security Surveillance Recordings</u> Visual recordings (CCTV, digital, analog videotape, etc.) created during the monitoring of City facilities or other properties for security purposes.	All Departments: 30 days after date of recording DPR & DoIT: See department specific schedules for retention of Seattle parks surveillance videos as stipulated by SMC 18.14.050		For recordings containing incidents, follow retention for <u>Vandalism/Incident Reports</u>	GS50-06B-18
13	<u>Surplus Property Release Form</u> Records used to transfer surplus equipment and office supplies to Warehousing Services for disposal. Information includes department, item, condition, signature of individual, equipment tag (for computer equipment only), etc.	Department of Finance & Administration – Facility Operations: 3 years after materials transferred	Other Departments: 1 year after materials transferred		GS50-08C-07
14	<u>Vandalism/Incident Reports</u> Reports document vandalism to city-owned property. Also includes security/incident reports regarding theft, unlocked doors, suspicious behavior, etc. Reports may include description of the incident, day and time the incident occurred and information regarding follow-up actions taken.	All Departments: 6 years after end of the calendar year			GS2010-008 Rev. 1
15	<u>Vehicle History Files</u> Includes purchase information, proof of ownership documentation (registration and certification of title) vehicle assignments, and correspondence related to city-owned vehicles. FAS Fleet Services retains information in FMS Fleet – Anywhere system.	All Departments with Fleet Management Responsibilities: 6 years after vehicle sold or decommissioned	Other Departments: 3 years after disposal or sale of vehicle		GS50-06E-06
16	<u>Vehicle Leases</u>	All Departments: 6 years after termination of lease			GS50-01-11 Rev. 2
17	<u>Vehicle Maintenance/Inspection Reports</u> Documentation of inspections and maintenance performed on city-owned or operated vehicles.	All Departments with Fleet Management Responsibilities: 3 years after end of the calendar year			GS50-06E-20

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
18	<u>Vehicle Parts Orders</u> Records used to document parts ordered to make repairs and perform maintenance on City fleet.	All Departments with Fleet Management Responsibilities: 3 years after end of the calendar year			GS50-06E-21
19	<u>Vehicle Use Request</u> Requests submitted by employees for use of city-owned vehicles including overnight slips. Used for billing purposes.	All Departments with Fleet Management Responsibilities: 3 years after end of the calendar year	Other Departments: 1 year after end of calendar year		GS50-06E-09
20	<u>Work Orders</u> Requests for performance of maintenance work. May show location, date of request work to be performed, etc.	All Departments: 3 years after end of the calendar year			GS50-06B-13

8.0 HUMAN RESOURCE MANAGEMENT

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
1	<p><u>Accidents/Incidents – Human Exposure to Hazardous Materials</u> Records documenting accidents, incidents, and any other occurrences within the City's jurisdiction that are known to have involved human exposure to potentially hazardous materials. Includes employees, contractors, volunteers, and the public.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> •Description of accident/incident, response, and investigation; •Personal exposure information, physical examination reports, etc.; •Analyses of medical or exposure records (WAC 296-802-20015); •Toxic and hazardous substances records (29 CFR § 1926.1101(n)); •Personal exposure records as defined by American Nuclear Insurers (ANI) Information Bulletin 80-1A Section VIII; •Employment records for persons entering radiologically-controlled areas as defined by American Nuclear Insurers (ANI) Information Bulletin 80-1A Section I; •Other records as specified in WAC 296-802-20010. 	<p>All Departments: 100 years after individual's date of birth</p>			GS2011-177
2	<p><u>Accreditation, Certification, and License Documentation for Agency Functions and Operations</u></p> <p>Includes documentation of any mandatory or voluntary accreditation, certification, or licenses for any aspect of the City's functions and/or operations.</p>	<p>All Departments: 6 years after superseded or terminated</p>			GS50-01-42
3	<p><u>Affirmative Action Monitoring Reports</u></p> <p>Reports track and monitor the City's progress to meet affirmative action plans and goals.</p>	<p>All Departments: 5 years after report completed</p>	<p>City Personnel Department: Completion of Annual Affirmative Action Plan</p>	Potentially Archival	GS50-01-54
4	<p><u>Affirmative Action Plans</u></p> <p>Plans compiled by City departments to address affirmative action hiring goals.</p>	<p>City Personnel Department: 6 years after revised or superseded</p>			GS50-04C-03

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
5	<u>Applications for Employment (Not Hired)</u> Copies of employment applications submitted by applicants who were not hired. May include applications, resumes, cover letters, reference checks, test scores, background checks, etc.	All Departments: 3 years after selection of successful candidate	City Personnel Department: 3 years after selection of successful candidate		GS50-04B-01
6	<u>Charity Fundraising</u> Records documenting the City's coordination and support of and/or participation in charity fundraising campaigns, including promotion of employee payroll deductions. Includes, but is not limited to: <ul style="list-style-type: none"> • Decision process for selecting charity campaigns to support; • Communication between the agency and charities; • Dissemination of charity information; • Arrangements and promotion of campaign events. 	All Departments: 6 years after end of calendar year		Excludes authorizations of payroll deductions covered by GS50-03E-01	GS2011-167

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
7	<p><u>City Provided Training - Certificated, Hours/Credits Earned, or Mandatory</u> Records documenting training courses, seminars and workshops provided by the City to the public, customers, contractors, or agency employees, where:</p> <ul style="list-style-type: none"> •Certificates/credentials/licenses may be awarded; or, •Continuing education hours/credits/points may be earned; or •Training is required by federal, state or local statute, and/or by department. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> •Curricula, materials presented, tests administered, etc.; •Attendee lists and sign-in sheets, test results, evaluations, etc.; •Certification/hours/credits/points awarded. <p>City-provided training includes, but is not limited to:</p> <ul style="list-style-type: none"> •Continuing education clock hours, continuing legal education (CLE) credits, etc.; •Certification (and recertification) such as Emergency Medical Technician (EMT), Certified Municipal Clerk (CMC), cardiopulmonary resuscitation (CPR), disaster response/emergency preparedness, automated external defibrillator (AED), first aid, lifeguard, childcare, etc.; •(Non-radiological) hazardous materials, hazardous waste, hazardous exposure, and other safety training. 	All Departments: 6 years after training provided			GS2011-180
8	<p><u>City Provided Training - Curriculum Development</u> Records relating to the development of training courses, seminars and/or workshops. Includes research, materials development, etc.</p>	All Departments: Dispose of when curriculum no longer offered			GS2011-178

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
9	<p><u>City Provided Training – General</u> Records documenting training courses, seminars and workshops provided by the City to the public, customers, contractors, or agency employees where:</p> <ul style="list-style-type: none"> •Certificates/credentials/licenses are NOT awarded; and, •Continuing education hours/credits/points are NOT earned; and •Training is NOT required by federal, state or local statute or by the department. <p>Records include, but are not limited to:</p> <ul style="list-style-type: none"> •Curricula, materials presented, tests administered, •Attendee lists and sign-in sheets, test results, evaluations, •Arrangement records, etc. 	All Departments: 3 years after training provided			GS2011-181
10	<p><u>Civil Rights – Compliance</u> Records documenting departmental compliance with federal, state and local statute governing employee (including contractors and volunteers), student, and the general public's civil rights. May include surveys, reports, notifications, communications, meetings, agreements, training materials, etc.</p>	All Departments: 6 years after end of calendar year, project completed, or conditions of grant satisfied, whichever is later			GS2011-171
11	<p><u>Civil Rights – Compliance (Section 504 Accommodations)</u> Records relating to departmental compliance with Section 504 of the Rehabilitation Act of 1973 which requires that qualified individuals with disabilities have equal opportunity to benefits and services. Records may include applications, agreements, surveys, reports, notifications, meetings, communications, training materials, etc.</p>	All Departments: 6 years after completion or denial of accommodation(s)			GS50-04C-01 Rev. 1

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
12	<p><u>Civil Rights – Violation Complaints</u> Records relating to departmental investigations of complaints of civil rights violations occurring within its jurisdiction, where civil litigation has not commenced. Complaints may be made by employees (including contractors and volunteers), students, or the general public.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> •Complaints, investigations, witness statements, evidentiary documents; •Notifications, communications, contact logs, notes; •Findings, settlement agreements, post-finding materials. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> •Americans with Disabilities Act (ADA), Title II, etc.; •Civil Rights Act of 1964 (voter registration, facilities, transportation, equal employment opportunity, education, race, color & national origin [Title VI], etc.); •Federal Fair Housing Amendments Act of 1988; •Health Insurance Portability and Accountability Act (HIPAA); •Rehabilitation Act of 1973 (Section 504 accommodations, etc.); •Individuals with Disabilities Education Act (IDEA). 	<p>All Departments: Internal Employee Complaints: 6 years after resolution, completion, closure, or decision not to proceed</p> <p>Seattle Office of Civil Rights: External / Public Complaints: 6 years after resolution, completion, closure, or decision not to proceed</p>			GS50-04C-04 Rev. 1
13	<p><u>Collective Bargaining Agreements</u> Finalized labor agreements between City departments and employee unions.</p>	<p>City Personnel Department - Labor Relations: 6 Years after termination of union relationship</p>	<p>Other Departments: 6 years after termination of agreement</p>	Potentially Archival	GS50-01-50
14	<p><u>Collective Bargaining Contract and Agreement Negotiation Files</u> Files document development of contracts and agreements between City departments and employee unions and associations. May include correspondence, meeting minutes, reports, etc.</p>	<p>City Personnel Department - Labor Relations: 6 Years after termination of union relationship</p>	<p>Other Departments: 6 years after approval of agreement</p>	Potentially Archival	GS50-04E-04
15	<p><u>Continuing Professional Education Records</u> Records document City staff compliance with continuing education requirements associated with their job classification.</p>	<p>All Departments: 4 years after expiration of license or reporting period</p>			GS50-05A-23

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
16	<u>Disciplinary Action Reports</u> Official reports on findings of misconduct by agency employees and corrective action taken by the agency.	All Departments: 6 years after termination of employment		Retain in Employee Personnel File	GS50-04B-48 Rev. 0
17	<u>Disciplinary Action Files</u> Records related to investigations and disciplinary actions. May include actions taken to correct employee behaviors that are negatively impacting his or her work. May include non-retaliation agreements, fact finding reports, management recommendations, decision letters, policies and procedures, last chance agreements, reprimands, correspondence, and additional supporting documentation.	All Departments: 6 years after completion of probation period or corrective action			GS50-04B-15
18	<u>Drug/Alcohol Test Results – Negative Results or Canceled Tests</u> Records document testing of current or prospective employees for use of prohibited substances. Used to support hiring practices, licensing requirements, or other terms of employment. May include documentation of test results, collection process, etc.	All Departments: 1 year after results posted or test canceled			GS50-04B-33
19	<u>Drug/Alcohol Test Results – Positive Results or Refusal to Test</u> Files document drug/alcohol testing for cases with reasonable suspicion of abuse/use of prohibited substances. May include test results, corrective action, treatment, etc.	All Departments: 5 years after date of results			GS50-04B-27
20	<u>Employee Award Files</u> Files contain records related to employee award programs such as recognition of outstanding performance, length of service, incentive plans, etc. May include recommendations, approved nominations, appreciation letters and additional related information.	All Departments: 2 years after awarded			GS50-04B-44
21	<u>Employee Benefit Participation/Enrollment Agreements and Withdrawals</u> Series consists of forms completed to enroll in benefit programs.	All Departments: 6 years after termination of employment or benefit withdrawal			GS50-04D-03
22	<u>Employee Contracts/Service Agreements</u> Contracts for employment. Includes those for temporary loan of specific employees from one department to another.	All Departments: 6 years after termination of employment		Retain in Employee Personnel File	GS50-04B-06

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
23	<u>Employee Grievances and Appeals</u> Documentation of action and investigation into personnel grievances and appeals. Records may include notices of grievance, discussion notes, hearing transcripts, correspondence, appeal documentation and related information.	All Departments: 6 years after case resolution City Personnel Department (for level 3 and 4 grievances only): 6 years after case resolution			GS50-04E-03
24	<u>Employee Medical Records</u> A record concerning the health status of an employee which is made or maintained by a physician, nurse or other health care personnel or technician. Can also include CDL medical certificates, base line reports, existing condition reports, pre-employment physicals, etc.	All Departments: 30 years after employee termination		See: <u>Accident/ Incidents – Human Exposure to Hazardous Materials</u> for retention of records related to an employee's exposure to hazardous substances	GS50-04B-30 Rev. 1
25	<u>Employee Medical Records – Employed Less Than One Year</u> Records documenting the medical condition of employees (includes contractors and volunteers) whose service with the City is less than one year and where the medical records are provided to the employee in accordance with 29 CFR § 1910.1020(14)(d)(i)(C). Excludes hazardous materials exposure records covered by GS2011-177, <u>Accidents/Incidents – Human Exposure to Hazardous Materials</u>	All Departments: Retain until termination of employment then provide to employee upon departure		Note: Reference WAC 296-802-20005	GS2011-192 Rev. 0
26	<u>Employee Training History File</u> Files documenting the training history of individual employees who have participated in training and staff development programs. May include in-service and class registrations, confirmations and documentation of training completed.	All Departments: 6 years after termination of employment	City Personnel Department – Training, Development & EEO Unit (TDE): 3 years after training event provided by TDE		GS50-04G-01

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
27	<u>Ergonomic Files</u> Files document the analysis, action and, measures taken to adjust workplace environment to help prevent work related injuries. Information may include name of employee, supervisor, organizational unit, location and a description of adjustments made to workstations or work environment.	All Departments: 3 years after last action taken			GS51-05D-11
28	<u>Hazardous Materials Safety – Trained Personnel List</u> Includes certifications and lists of persons trained in handling hazardous materials, such as asbestos. Includes attendance information and completion date.	All Departments: 50 years after course completed			GS50-19-09
29	<u>Identification Badge Records for Contract and Temporary Employees</u> Photo ID badges and supporting paperwork to track badges issued to contract and temporary employees.	All Departments: 1 year after expiration or termination of employment			GS50-04B-21
30	<u>Job Announcements and Postings</u> Advertisements and notices of City employment opportunities.	City Personnel Department: 3 years after announcement published	Other Departments: Until position filled		GS50-04B-18
31	<u>Job Descriptions</u> Statement of qualifications, responsibilities, and duties of each position.	City Personnel Department: 6 years after revised or superseded	Other Departments: Retain until no need to administrative purposes		GS50-04B-05
32	<u>Leave/Overtime Requests</u> Documentation of requests and approval of leave (sick, vacation, Family Medical Leave, etc.) and overtime.	All Departments: 6 years after end of the calendar year			GS50-04B-09
33	<u>Noise Exposure Reports – Individual Employees</u> Records document monitoring and measurements used to evaluate employee noise exposure in the workplace. May include noise dosimeter readings, sound level meter reports, and other supporting documentation.	City Personnel – Employee Health Services – Safety: 30 years after termination of employment	Other Departments: 2 years after report completed		GS50-06C-33

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
34	<u>OSHA 200/300 Logs</u> Logs required to be maintained regarding occupational injuries or illnesses as per the Occupational Safety and Health Act.	All Departments: 5 years after end of calendar year			GS50-06C-21
35	<u>Performance Evaluation Background File</u> Records used by employees with supervisory responsibilities to track and monitor worker performance	All Departments: Retain until completion of employee performance evaluation			GS50-04B-31
36	<u>Personnel Data Action Forms (PDAF)</u> Forms used by human resources staff to enter information into city-wide human resources tracking system. Includes information for address changes, salary changes, etc.	All Departments: Dispose of at the end of the calendar year			GS50-01-02
37	<u>Personnel Files</u> May include application for employment when applicant is hired, identification, criminal background checks, oaths of officials elected and appointed, bonds of officials elected and appointed, evaluation reports on job performance, investigation reports, records of employment status, position description and job classification, citations, letters of recommendation, personal history cards and qualification audits.	City Personnel Department: Eligible for Rehire: 6 years after termination of employment* Not Eligible for Rehire: 15 years after termination of employment		*All Departments: <u>Employees Transferring to New Department -</u> Transfer all parts of the Personnel File to the New Department <u>Employees Leaving the City -</u> Transfer Personnel File to City Personnel Department per instructions at: http://inweb/personnel/records/termination.htm	GS50-04B-06
38	<u>Position Classification Studies</u> Details on specific role and position of each job title, duties, obligations, etc.	City Personnel Department: 6 years after revised, superseded or obsolete			GS50-04B-07
39	<u>Position Service Agreement</u> Agreement between departments to loan a position (not specific employee) to another department for a specific length of time.	All Departments: 6 years after termination of agreement			GS50-01-11

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
40	<u>Recruitment and Hiring Files</u> Files document recruitment and selection process for city positions. May include newspaper announcements, OFAs, position descriptions, applicant lists, interview questions, notes, test results including pass/fail pre-employment physical test results, background check authorization and result records, screening criteria, telephone screening notes, and additional information used during the selection process. May also include applications and/or resumes for candidates not hired.	All Departments: 3 years after selection of successful candidate *		* The City Personnel Department's online job application system retains applications for 3 years. Applications for individuals hired should be printed and retained in the employee's personnel file. If the position is Civil Service exempt, and the department has chosen not to use the Employment System, the department is responsible for all applications collected and must retain them for the 3 year retention period.	GS50-04B-22
41	<u>Safety Policies and Procedures</u> Files are used to document the agency's safety policies and procedures. Records may include evacuation plans, emergency response guidelines, worker protection standards etc.	All Departments: 1 year after end of calendar year			GS50-01-01
42	<u>Salary Schedule</u> Records of employee salaries based on job classification	City Personnel Department: 6 years after revised, superseded or obsolete	Other Departments: 3 years after revised, superseded or obsolete	Potentially Archival	GS50-04A-07
43	<u>Supervisors' Files</u> Files document the supervision of an employee by their supervisor. Used for day-to-day management of employee. May include: confirmation of workplace expectations, copies of performance evaluations, information regarding employee coaching, performance plans, informal notes on employee performance, etc.	City Personnel Department: 6 years after termination of employment*		*All Departments: <u>Employees Transferring to New Department -</u> Transfer all parts of the Personnel File to the New Department <u>Employees Leaving the City -</u> Transfer Personnel File to City Personnel per instructions at: http://inweb/personnel/records/termination.htm	GS50-04B-31

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
44	<u>Title Description History Files</u> A history of titles, classifications, and corresponding job descriptions as these positions are revised. Serves as reference tool for the development of future classifications.	City Personnel Department: Permanent	Other Departments: 6 years after affected title abrogated		GS50-04B-08
45	<u>Tuition Reimbursement Requests</u> Form documents the approval to reimburse City employees for tuition expenses incurred while taking courses relevant to their positions.	All Departments: 6 years after payment completed			GS2011-183
46	<u>Union Arbitration Files:</u> Case histories of disputes between agency and union settled through arbitration.	City Personnel Department: Labor Relations: 6 years after settlement	Other Departments: 3 years after settlement		
47	<u>Volunteer Applications Not Accepted or Ineligible</u> Applications and supporting documents of individuals not selected as City volunteers.	All Departments: 1 year after application denied			GS50-04B-24
48	<u>Volunteer Coordination Files</u> Files document citizen participation in City sponsored volunteer opportunities, programs or community projects. May include meeting notes, flyers, insurance requirement information, condition of volunteer service forms, volunteer hour statistics, and sign-in sheets listing project locations, dates, participant names, phone numbers and address information	All Departments: 6 years after termination of service or project completion			GS50-04B-10
49	<u>Whistleblower Investigation Reports</u> Agency copies of investigations of allegations of fraud or violations of State laws or regulations.	Ethics and Elections Commission: 6 years after case closed.	Other Departments: 3 years after case closed		GS50-04B-25
50	<u>Whistleblower Retaliation Case Files</u> Records document the investigation into alleged retaliation against individuals reporting improper government activities. May include retaliation letter, investigation notes and reports, retaliation response, etc.	All Departments: 6 years after resolution or closure of the case		Note: Departments are responsible for retention of case files delegated by the Mayor's Office	GS50-04B-25
51	<u>Work Assignment, Schedule or Attendance Log</u> Used to document employee attendance, plan staffing levels, schedule time off, etc.	All Departments: 3 years after end of calendar year			GS50-04B-29

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
52	<u>Worker's Compensation Claims</u> Files contain documentation of actions and investigations into on-the-job injury claims. May include incident reports, claim forms, correspondence and related medical and investigator records.	City Personnel Department – Workers Compensation: 60 years after date of injury	Other Departments: 6 years after claim resolved		GS50-06C-27
53	<u>Workplace Violence Case Files</u> Case files document incidents involving internal workplace violence. May include investigation records, treatment, follow-up, correspondence, corrective measures, etc. May include secondary copies of documentation filed in an individual's personnel file.	All Departments: 6 years after case closed			GS50-05A-24

9.0 LEGAL AND RISK MANAGEMENT RECORDS

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
1	<u>Accidents/Incidents – No Claim Filed (Age 18 and Older)</u> Records relating to accidents/ incidents involving individuals age 18 and older, and where claims for damages are not filed. Includes, but is not limited to, reports and investigations.	All Departments: 3 years after incident			GS2010-081 Rev. 0
2	<u>Accidents/Incidents – No Claim Filed (Under Age 18)</u> Records relating to accidents/incidents involving individual(s) younger than age 18, and where claims for damages are not filed. Includes, but is not limited to, reports and investigations.	All Departments: 3 years after individual reaches 18			GS50-06C-03 Rev. 1
3	<u>Claims for Damages</u> Claims filed against the City by citizens alleging personal injury or property damages. May include letter to the department regarding claim, photos, damage assessments and appraisals, maps, correspondence, copies of work orders, and additional supporting documentation.	Risk Management: 6 years after claim closed	Other Departments: 3 years after claim closed		GS50-01-10
4	<u>Legal Issues and Advice</u> Records containing legal advice provided to City departments on a variety of topics, or records generated in the course of providing such legal advice. Records may include but, are not limited to, requests for legal advice and supporting material, legal research, reports, hard copy and electronic correspondence, meeting handouts, presentation materials, meeting notes, draft formal opinions, etc.	Law Department: Retain until administrative purpose is served	Other Departments: Follow retention schedule for related records	Potentially Archival	GS53-02-05
5	<u>Legal Opinions- Formal</u> Records consist of formal legal opinions prepared by the City Attorney's Office and published in order to provide guidance to the general public about legal issues.	Law Department: Permanent	Other Departments: 10 years after opinions ceases to be relevant	Potentially Archival	GS53-02-03
6	<u>Litigation Case Files</u> Files document civil suits brought by the City against another party or in defense of the City and/or City employees against suits filed by another party.	Law Department: 10 years after case closed	Other Departments: 3 years after case closed		GS53-02-04

10.0 OFFICE MANAGEMENT

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
1	<u>Administrative Procedures and Instructions</u> Documentation of internal office policies, procedures and guidelines related to routine day-to-day operations. Records may include advisory memos, manuals documenting departmental policies and procedures, handbooks, desk manuals, supporting background materials and related documentation.	All Departments: Retain until next revision		Excludes: Policies and procedures related to the conduct of official city business. See: <u>Policies and Procedures, Directives, Regulations and Rules - Official</u>	GS50-01-01
2	<u>Advertising and Promotion</u> Records relating to the planning and/or execution of educational or promotional events, campaigns, and contests conducted by the City to promote its mission or business.	All Departments: Dispose of when no longer needed			GS2011-165 Rev. 0
3	<u>Appointment Calendars</u> Records document scheduled meetings, appointments, business travel and other activities. May include appointment books, diaries, paper and electronic calendars, etc. Records are used for work planning purposes.	All Departments: 18 months		Information is retained in the Mimosa Archive System	GS50-01-36
4	<u>Awards and Recognitions</u> Records document international, national, or other significant awards and recognition received by the City in relation to its functions and assets. Includes, but is not limited to: •Awards (design, efficiency, sustainability, etc.) for agency-owned buildings, monuments, bridges, dams, and features (archeological, geographical or topological), etc.; •Recognition for web site or electronic information system designs, transit efficiency/service, customer service excellence, etc. Excludes artifacts (plaques, trophies, etc.)	All Departments: Transfer to SMA when no longer needed		Potentially Archival See also: <u>Employee Award Files</u>	GS2011-166 Rev. 0
5	<u>Biographical Files - Agency Staff</u> Biographies of City staff used for reference purposes.	All Departments: Retain until updated or no longer employed with City			GS50-06F-01

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
6	<p><u>Biographical Files - Appointed or Elected Officials</u> Biographies of appointed or elected officials used as reference, or to provide information to media.</p>	All Departments: Retain until reference purpose has been served		Potentially Archival	GS50-06F-01
7	<p><u>Chronological Reference Files</u> Records are duplicate copies of all, or selected correspondence, sent or received by the department. Records are arranged chronologically and used as reference files for the convenience of office personnel.</p>	All Departments: 1 year after end of calendar year			GS50-01-08
8	<p><u>Citizen Complaints and/or Requests</u> Documentation of citizen complaints or requests to the department concerning a variety of City responsibilities and services. Files may consist of reports, logs or similar records documenting name and address of complainant, date received, description of problem/request and action taken.</p>	<p>Departments Using CRM System: FAS: Business Technology retains in system 4 years after matter closed</p> <p>All Departments: Complaints not in CRM system (direct email, paper, etc.) : 4 years after matter closed</p> <p>Seattle Department of Transportation – Street Maintenance: Refer to department schedules for retention of Citizen Complaints</p>			GS50-01-09
9	<p><u>Communications – Executive</u> Internal and external communications to or from the City's elected official(s) and/or executive management team, that are made or received in connection with the transaction of City business, and that are not covered by a more specific records series.</p> <p>Includes all communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, instant messages, social networking posts and comments, etc.</p> <p>Includes but is not limited to requests for and provision of information/advice and City-initiated information/advice</p>	All Departments: 2 years after communication received or provided		Potentially Archival	GS50-01-12 Rev. 1

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
10	<p><u>Communications – Non-Executive</u> Internal and external communications to or from employees (includes contractors and volunteers), that are made or received in connection with the transaction of City business, and that are not covered by a more specific records series.</p> <p>Includes all communication types, regardless of format (examples: letters, memos, e-mail, web sites/forms/pages, instant messages, social networking posts and comments, etc.</p> <p>Includes but is not limited to requests for and provision of information/advice and City-initiated information/advice</p>	All Departments: 2 years after communication received or provided			GS2010-001 Rev. 1
11	<p><u>Conference/Seminar Materials – Not City Sponsored</u> Documents employee attendance at professional seminars, conferences, workshops, conventions and similar meetings not sponsored by the City but, attendance or time paid for with City funds. Records include reports, recommendations, instruction material and similar records.</p>	All Departments: Dispose of when no longer needed			GS50-02-03 Rev. 0
12	<p><u>Delegation of Authority</u> Written delegation of authority to specific individuals to sign documents and financial instruments, and to make decisions acting in lieu of a superior officer.</p>	All Departments: 6 years after superseded			GS50-03B-11
13	<p><u>Disaster Preparedness and Recovery Plans</u> Records document plans to maintain City operations during a disaster or under emergency conditions (earthquake, snow, flooding, fire, acts of terrorism, etc.). Final plans may include staffing directives, organizational charts, maps and drawings, vital records inventories, etc. Also includes vulnerability assessments, risk analyses, and other final studies and reports used to support mitigation and response decisions identified in disaster plans.</p>	All Departments: 6 years after update or revision		Archival	GS50-14-03
14	<p><u>Historical Files of the Agency</u> Records document the development of City departments/programs.</p>	All Departments: Transfer to the Municipal Archives when no longer needed		Archival	GS50-06F-02

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
15	<u>Internal Progress Reports</u> Reports produced weekly, monthly or quarterly to provide basic information on a specific project or issue. Used to inform upper management of project/program status.	All Departments: 3 years after report completed		Potentially Archival	GS50-06F-03
16	<u>Mail Delivery and Receipt Records</u> Records document the City's incoming and outgoing physical mail (letters, packages, etc.). Includes, but is not limited to: <ul style="list-style-type: none"> • Certified/registered/insured mail logs and return receipts; • Postage meter logs/reports; • Private ground delivery registers/receipts (UPS, Federal Express, etc.); • Signed pick-up and delivery receipts; • United States Postal Service (USPS) forms (certificate of bulk mailing, etc.) 	All Departments: 3 years after end of calendar year			GS50-06D-02
17	<u>Mailing and/or Distribution Lists</u> Records are lists of names and addresses used for various departmental mailings such as billings or other administrative purposes.	All Departments: Destroy when superseded or no longer needed			GS50-01-21
18	<u>Mayor's Cabinet Briefing Records</u> Records are summary reports presented to the Mayor by department directors at executive cabinet meetings. Information may include review of key issues, complaints, litigation actions, etc.	Mayor's Office: 3 years after term of office	Other Departments: 3 years after report completed	Potentially Archival	GS50-06F-03
19	<u>Meetings – Arrangements</u> Records relating to the administrative arrangements of meetings held by or on behalf of the local government agency. Includes, but is not limited to: <ul style="list-style-type: none"> • Meeting date and place scheduling records; • Agenda requests; • Arrangement of catering, facilities and equipment. 	All Departments: Destroy when no longer needed		Excludes financial records (facilities, catering, travel expense, etc.).	GS2011-176

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
20	<p><u>Meetings – Inter-Agency</u> Records documenting all meetings held between the City and one or more other public agencies. May include multi-agency staff meetings, committees, task forces that coordinate activities, communications, solutions to problems, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> •Agendas, meeting packets, sign-in lists, meeting notices (affidavits of mailing, posting and publication), etc.; •Minutes, audio/visual recordings, transcripts, etc. 	All Departments: 6 years after end of calendar year or 6 years after completion of project, whichever is later			GS2011-175
21	<p><u>Meetings – Staff</u> Records documenting meetings held by (and/or for) general staff of the City. May include staff meetings, internal committees/task forces, and other groups that meet for various reasons (to plan activities, coordinate communications, solve problems, coordinate employee safety, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> •Agendas, meeting packets, sign-in lists, meeting notices, etc.; •Minutes, audio/visual recordings, transcripts, etc. 	All Departments: 2 years after end of calendar year then Destroy		Excludes meetings regulated by the Open Public Meetings Act	GS50-01-43 Rev. 1
22	<p><u>Newsletters</u> Records are periodic publications related to, or reporting on, various City programs and activities. Includes newsletters used to distribute information to City employees and those used for community outreach purposes.</p>	All Departments: Retain until no longer needed		1 Copy to Municipal Archives	GS50-06F-04 Rev. 1
23	<p><u>Newspaper Clippings</u> Includes clippings from newspapers, journals, etc... that highlight City departments or areas of interest.</p>	All Departments: Destroy when no longer needed for reference purposes		Potentially Archival	GS50-06F-05
24	<p><u>Office Equipment Leases</u> Leases for office equipment (i.e. copiers, fax machines, etc.). Includes lease, correspondence, supporting documentation, etc.</p>	All Departments: 6 years after termination			GS50-06E-05
25	<p><u>Office Equipment Maintenance and History Files</u> Files document the history and maintenance of office equipment (large scale, fixed assets). Includes major maintenance repair information, purchasing information, etc.</p>	All Departments: 6 years after disposal or sale of equipment			GS50-06E-06

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
26	<u>Ordinance and Resolution Development Files</u> Documentation of the analysis and development of ordinances and/or resolutions submitted for the approval of the agency's governing council, commission or board.	All Departments: 3 years after submission to City Council			GS50-01-25
27	<u>Organizational Charts</u> Records document department / office structure and delegation of staff responsibilities.	All Departments: 2 years after update or revision		Archival	GS50-01-02
28	<u>Packing Slips</u> A record of departmental receipt of goods or equipment from outside vendors.	All Departments: Retain until confirmation of materials received			GS50-08B-08
29	<u>Photographs, Audio/Visual Materials</u> Records consist of photographs, visual/audio recordings, slides and negatives used to document agency activities and events. Includes information necessary to identify materials (date, name, place, event, etc.).	All Departments: Contact the Municipal Archives when no longer needed for reference purposes		Archival	GS50-06F-06
30	<u>Policies and Procedures Directives, Regulations and Rules - Official</u> Officially adopted City policies, procedures or public rules affecting the entire City. Activated through executive or department head signature, ordinance or resolution	Office of the City Clerk: Permanent	Other Departments: Destroy when updated, revised or superseded	File with the Office of the City Clerk	GS50-01-24
31	<u>Press Releases</u> Files consist of prepared statements or announcements issued for distribution to the news media.	All Departments: 3 years after event held or announcement made		Potentially Archival	GS50-06F-07
32	<u>Project Files</u> Files document special or routine projects undertaken by an agency.	All Departments: 6 years after project completion		Potentially Archival This series does NOT apply to construction projects. Please refer to Capital Improvement Projects or department specific records for the retention of these records.	GS50-01-39

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
33	<u>Public Disclosure Request Files</u> Records relating to requests from the general public for access to the City's public records in accordance with RCW 42.56. Includes but is not limited to: -internal and external correspondence relating to the request, -records documenting the public records provided to the requestor (copies or lists of the records provided, etc.), R-records documenting the public records (or portions of the record) withheld (exemption logs, -copies of redacted portions, -records documenting administrative reviews relating to the request.	All Departments: 2 years after the end of the calendar year in which the response was completed *	.	*Response is considered complete when all complaints, appeals, or challenges related to the request have been resolved.	GS2010-014 Rev. 2
34	<u>Public Disclosure Request Logs</u> Records are logs of public disclosure requests and are used for status tracking purposes.	All Departments: 3 years after date of latest entry			GS50-09-13 Rev. 2
35	<u>Public Opinion Polls</u> Completed by City or by consultant for City	All Departments: 3 years after poll completed		Potentially Archival	GS50-01-30
36	<u>Records Center Box Retrieval Requests</u> Documentation of materials pulled from and/or returned to the City Records Center or the City Light Records Center.	Finance and Administrative Services - Warehousing Services Section: 3 years after end of calendar year City Light - Office Services: 3 years after end of calendar year	Requesting Office: Retain until item returned		GS50-09-02 Rev. 1
37	<u>Records Center Transmittals</u> Provides City departments with information regarding boxes/records stored at the City Records Center or the City Light Records Center. May include box inventories or lists.	Office of the City Clerk - City Records Management Program: 25 years after records disposition of all listed boxes	Other Departments: 3 years after destruction of all listed boxes	For records not stored at the City Records Center, contact the CRMP for retention	GS50-09-02 Rev. 1
38	<u>Records Destruction Authorization Forms – In-House</u> Forms from the City Records Management Program authorizing City departments to dispose of records that have been retained in-house for their entire retention period.	Office of the City Clerk - City Records Management Program: Permanent	Other Departments: 3 years after records disposition		GS50-09-06 Rev. 1

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
39	<u>Records Destruction Authorization Notice - Records Centers</u> Listing of boxes stored the City Records Center or the City Light Records Center that are eligible for disposition. May include notice, transmittal forms, box inventories, certificates of destruction, and additional supporting materials.	Office of the City Clerk - City Records Management Program: Permanent	Other Departments: 3 years after records disposition	For records not stored at the City Records Center or City Light Records Center, contact the CRMP for retention	GS50-09-06 Rev. 1
40	<u>Records Retention Schedules</u> Records retention schedules that provide City Departments with a continuing authorization for disposition of public records.	Office of the City Clerk - City Records Management Program: Permanent	Other Departments: Retain until revised, superseded or obsolete		GS50-09-01 Rev. 1
41	<u>Reports - Published</u> Includes reports published by City agencies, reports by consultants hired by the City, and publications of joint projects supported by Seattle City Government. Examples include published studies and reports, pamphlets, and brochures.	All Departments: 5 years after report completed		Potentially Archival File with Office of the City Clerk	GS50-01-32
42	<u>Space Planning/Design Files</u> Records document projects related to the design and planning of public space in City buildings and internal office space. Records may include meeting notes, comments, focus group materials, correspondence, copies of blueprints and layouts and supporting documentation.	All Departments: 6 years after project completion			GS50-01-39
43	<u>Speeches</u>	All Departments: 3 years after event held or announcement made		Potentially Archival	GS50-06F-09
44	<u>Strategic Plans – Development</u> Records relating to the development of the City's strategic plan.	All Departments: Dispose of when no longer needed			GS2010-079
45	<u>Strategic Plans – Final</u> Final version of strategic, long-term plans used to align the City's organization and budget structure with its priorities, missions, and objectives.	All Departments: Transfer to the Municipal Archives when no longer needed		Archival	GS2010-080
46	<u>Subject Files</u> Basic subject files on programs and divisions for general informational use.	All Departments: 5 years after end of calendar year		Directors Office Files –Archival	GS50-01-02
47	<u>Telephone Coordinator Records</u> Records are used to track requests for telephone installations, repairs, moves, etc. May include change orders, move schedules, service requests, completion reports, etc.	DoIT – Telephone Services Network: see department specific schedule for retention	Other Departments: 1 year after end of calendar year in which the request was completed		GS50-01-02

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
48	<u>Telephone Logs and Usage Detail Reports</u> Series is used to track and account for City employee telephone charges. Records include information on charges, credits, long distance calls and number billed for call.	All Departments: 3 years after end of calendar year			GS50-03A-02 Rev. 0
49	<u>Web Logs / Blogs</u> City web sites with regular entries of commentary, descriptions of events, or other material such as graphic or video. Used for communication purposes. Includes blog content as well as reader comments.	Dolt Managed: 2 years after end of calendar year All Others: 2 years after end of calendar year*		Potentially Archival * Content created on third party social media sites must be retained according to retention if content is created or used in the conduct of City business.	GS50-01-12
50	<u>Work Assignment, Schedule or Attendance Log</u> Used to document actual work performed. May include number and type of labor hours, date, time and location of each job, materials and/or equipment used, task numbers for charge back or other project tracking purposes, and management cost codes.	All Departments: 3 years after end of calendar year			GS50-04B-29
51	<u>Work Plans</u> Plans describing work to be performed by departments, divisions and units of the City. Includes timelines and areas of responsibility for specific actions. Also includes records relating to the development of work plans.	All Departments: 3 years after end of calendar year			GS50-01-38

11.0 PAYROLL RECORDS

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
1	<u>Authorization for Payroll Deductions</u> Records are documentation of employee authorization for payroll deductions.	All Departments: 6 years after termination of authorization			GS50-03E-01
2	<u>Benefit Detail Reports</u> Reports detail employee benefit eligibility and payroll deductions.	Department of Finance & Administrative Services – Accounting Services: 6 years after end of calendar year	Other Departments: 3 years after end of calendar year		GS50-03E-02
3	<u>Direct Payroll Deposit Records</u> Authorization to deposit employee pay directly to bank accounts. Includes authorization forms, change requests and cancellation notices.	All Departments: 4 years after cancellation			GS50-03E-05 GS50-03E-06
4	<u>Garnishments of Salaries or Wages</u> Records of garnishments or levies for debts owed by employees which are attached to earnings	Department of Finance & Administrative Services – Accounting Services: 6 years after release of garnishment	Other Departments: 3 years after release of garnishment		GS50-03E-23
5	<u>HRIS/CSS Payroll Reports</u> Reports from the HRIS system for payroll or time/labor functions. Includes payroll deduction reports, transaction error report.	Department of Finance & Administrative Services – Accounting Services: See Department schedules for retention periods on specific HRIS reports.	Other Departments: 3 years after the end of the calendar year	Note: Does not include Payroll Certification Report	GS50-03E-25
6	<u>Leave Sharing Authorization</u> Records authorizing leave to be donated to another employees account.	Department of Finance & Administrative Services – Accounting Services: 6 years after termination of sick leave transfer request	Other Departments: 3 years after termination of sick leave transfer request		GS50-03E-18

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
7	<u>Manual Warrants</u> Authority to issue duplicated check or warrant in case of loss or destruction.	Department of Finance & Administrative Services – Accounting Services: 6 years after warrant issued	Other Departments: 3 years after warrant issued		GS50-03B-10
8	<u>Paycheck Receipt Log</u> An internal office record of the names and signatures of employees indicating receipt of their paychecks for a particular pay period.	All Departments: 6 months after end of calendar year			GS50-01-02
9	<u>Payroll Certification Report</u> Documents the information submitted for a specific pay period has been reviewed and verified by the department	All Departments: 3 years after end of the calendar year	Department of Finance & Administrative Services – Accounting Services: 6 years after end of pay cycle		GS50-03E-22
10	<u>Payroll Supporting Documents and Reports</u> Documentation of status of and adjustments to payroll accounts	All Departments: 3 years after end of calendar year			GS50-03E-25
11	<u>Time Cards/Sheets</u> Used to document time worked, attendance and to support payroll functions. May include hard copy or electronic time cards.	All Departments: 6 years after end of calendar year		For timesheets needed to support FEMA claims, see schedule “Federal Emergency Management Agency (FEMA) Claims – Supporting Documentation” in Section 3 for retention	GS50-03E-04

12.0 RECORDS WITH MINIMAL RETENTION VALUE

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
1	<u>Agency Information – Routine</u> Internal and external requests for, and provision of, routine information about the operations of the agency, such as: Business hours, locations, directions, web/email addresses; Meeting dates/times	<u>All Departments:</u> Dispose of when no longer needed			GS50-02-01 Rev. 0
2	<u>Agency-Generated Forms and Publications – Copies</u> Blank forms and duplicate copies of publications, provided that the agency retains the primary record in accordance with the current approved minimum retention period. Includes, but is not limited to: -Reports, catalogs, brochures, calendars, posters; -Multi-media presentations (videos, CDs, etc.)	<u>All Departments:</u> Dispose of when no longer needed			GS50-02-02 Rev. 0
3	<u>General Information – External</u> Information received from other agencies, commercial firms, or private institutions, which requires no action and is no longer needed for agency business purposes. Includes, but is not limited to: -Catalogs, reports, multi-media presentations (videos, CDs, etc.); -Informational copies, notices, bulletins, newsletters, announcements; -Unsolicited information (junk mail, spam, advertisements, etc.).	<u>All Departments:</u> Dispose of when no longer needed			GS50-02-03 Rev. 0
4	<u>Secondary (Duplicate) Copies</u> Copies of records (created or received), provided that the agency retains the primary record in accordance with the current approved minimum retention period.	<u>All Departments:</u> Dispose of when no longer needed			GS50-02-04 Rev. 0

Item No.	Description	Location and Retention of Official Record Copy	Location and Retention of Secondary Copy	Archival Designation /Comments	Disposal Authority Number
5	<p><u>Transitory Records</u></p> <p>Public records that only document information of temporary, short-term value, and provided that the records are: Not needed as evidence of a business transaction; and, Not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> -Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of community affairs, employee meetings, holidays, etc.); -Preliminary drafts of letters, memoranda, reports, work sheets, spreadsheets, presentations, and informal notes, etc., which do not represent significant basic steps in the preparation of record document(s); -Routing slips used to direct the distribution of documents; -Shorthand notes, stenotype tapes, and mechanical records, after they have been transcribed into typewritten or printed form on paper or microfilm; -Telephone messages (including voicemail, digital voice messages, etc.); -Letters of transmittal which do not add any information to the transmitted materials. 	<p><u>All Departments:</u></p> <p>Dispose of when no longer needed</p>			GS50-02-05 Rev. 0

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