



STATE OF WASHINGTON

## LOCAL RECORDS COMMITTEE

*Office of the State Auditor • Office of the Attorney General • Office of the State Archivist*

*PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900*

**April 26, 2012 – 10:00 a.m.**

**Archives Conference Room**

1129 Washington St SE, Olympia, WA, 98504

## AGENDA

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### **I. ROUTINE ITEMS**

- A. Call to Order
- B. Introduction of Guests
- C. Approval of Minutes for December 15, 2011
- D. Adoption of Today's Agenda

### **II. OLD BUSINESS/ACTION ITEMS**

- A. *Public Utilities Records Retention Schedule Version 1.1*

### **III. WASHINGTON STATE ARCHIVES UPDATES**

- A. Revision of Records Retention Schedules – Julie Woods
- B. Requirements for the Destruction of Non-Archival Paper Records After Imaging – Julie Woods
- C. Announcements from the State Archivist – Jerry Handfield

### **IV. NEXT MEETING – July 26, 2012.**

### **V. ADJOURNMENT**



STATE OF WASHINGTON  
LOCAL RECORDS COMMITTEE

Office of the State Auditor • Office of the Attorney General • Office of the State Archivist  
PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

**December 15, 2011 – 10:00 a.m.**  
**State Archives Conference Room**  
1129 Washington St SE, Olympia, WA 98504

## MEETING MINUTES

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**Members Present:** Mark Rapozo (Chair) – State Auditor's Office, Cindy Evans – Attorney General's Office, Jerry Handfield – State Archivist.

**Staff Present:** Russell Wood – State Records Manager, Julie Woods – Local Government Records Management Specialist, Megan Shoemaker – Electronic Records Management Consultant, Leslie Koziara – Electronic Records Management Consultant, Patrick Williams, Forms and Records Analyst, Scott Sackett – Electronic Records Consultant (via video conference)

**Guests Present:** Kyle Stannert – City of Bellevue, Caitlin Olya – King County, Shannon Payant – Attorney General's Office, Terri Stolz – City of Olympia, Tami Micheau – City of Olympia, Nicole Phillipson – City of Olympia, Aaren Purcell – Seattle Public Schools, Patty Holmquist – Tacoma Public Utilities, Tri Howard – Port of Tacoma, Maureen Duncan – Thurston County

**Guests Present via teleconference:** Jon Cohen – Energy Northwest

### I. ROUTINE ITEMS

**A. Call to Order**

Mark Rapozo called the meeting to order at 10:00 a.m.

**B. Introduction of Guests**

**C. Approval of Minutes for September 29, 2011**

Motion to adopt the minutes as presented; Cindy Evans, second by Rapozo.

**Resolution:** Motion carried

**D. Adoption of December 15, 2011 Agenda**

Motion to adopt the agenda as amended to move the State Archivist's Budget report to the first item on the agenda; Evans, second by Jerry Handfield.

**Resolution:** Motion carried

### II. WASHINGTON STATE ARCHIVES UPDATES

**C. Announcements from the State Archivist**

- i. **Budget Update** – Jerry Handfield updated the committee about the budget projections and their impact on the services Washington State Archives (WSA) provides to its customers. Staffing is continuing to shrink as revenue stays stagnant and General funds are reduced for the past three years. A graph was provided to show the number of employees over the past ten years. Concerned citizens and users are sending letters in support of WSA employees and their work. County Auditors are meeting to talk about potential strategies for the next session. The Office of Financial Management is watching the local fund balance closely. Some scenarios project the significant furloughs for the remaining staff. November revenue was up slightly over the past year. Four million of the \$12.5 million removed from the Heritage Center Fund in 2009 came from the Archives Account. Kyle Stannert from the City of Bellevue asked what the public could do to help the situation. Handfield suggested that the most effective way to get help is to inform the elected officials in your area about your concerns.

### III. OLD BUSINESS/ACTION ITEMS

#### A. *Public Utilities Records Retention Schedule Version 1.1*

- i. **Nuclear utilities update** – Russell Wood provided the committee with the proposed changes to the Nuclear Utilities section of the *Public Utilities Record Retention Schedule*. Evans appreciated the information about other nationally owned nuclear facilities. 231 series have been mapped to either the utility schedule, or the CORE. 176 of the series had no change, and 55 series had changes in retention. All nuclear utility series were researched by Archives staff based on the governing CFR, ANSI standards and the nuclear licensing agreement.

**Motion:** Move to table for more information and additional time for the committee to review the revised crosswalk; Evans, Seconded by Handfield.

### IV. NEW BUSINESS/ACTION ITEMS

#### A. *Local Government Common Records Retention Schedule (CORE) Ver. 2.2 – Julie Woods*

Julie Woods provided the committee with the updated *Common Records Retention Schedule (CORE) Version 2.2*. Major changes include:

- **Communications - Executive** (DAN 50-01-12) has been enhanced to include communications of governing and advisory bodies. Implementation guidance will be provided via a published advice sheet.
- A new Meetings and Hearings section has allowed a reduction of 13 records series.
- Two Financial Transaction series have allowed consolidation of 31 records series.
- Banking Section has consolidated six records series to 2.
- Training Section has been created to fill existing gaps.
- **Secondary (Duplicate) Copies** (DAN 50-02-04) has been revised to include data extracts and printouts that are not required to substantiate point-in-time evidence of business transactions.

Formatting changes to the schedule include the following items:

- Some retention periods have been adjusted for the four-year audit schedule.
- Item numbers have been removed.
- Remarks column has been removed, with some remarks transferring to the description.

The CORE now contains 398 series, which is a decrease of 48 series.

Since the distribution of the LRC agenda packet, a few additional changes were made based on feedback from agencies, as follows:

- “County Board of Equalization property tax exemption appeals” was added to ***Appeals Hearings – Local Decision-Making Bodies (General)*** (GS2011-173).
- The word “valuation” was added to the description of ***Appeals Hearings – Local Decision-Making Bodies (Land Use/Valuation)*** (GS2011-174).
- The cut-off language for DAN GS50-05A-23, ***Continuing Professional Education Records***, was changed from “End of licensing or reporting period plus 4 years” to “Retain for 4 years after end of licensing or reporting period then Destroy”.
- The cut-off language for DAN GS2011-165, ***Advertising and Promotion***, was changed from “retain for 6 years then Transfer to WSA for appraisal and selective retention” to “retain until no longer needed for agency business then Transfer to WSA for appraisal and selective retention”.
- “IT” was removed from the title of DAN GS50-06A-02, ***Backups for Disaster Preparedness/Recovery***.

**Motion:** Move to approve CORE 2.2 as presented at the meeting with the effective date of January 1, 2012. CORE 2.1 will remain in effect through December 31, 2011, Evans; Seconded by Handfield.

**Resolution:** Motion carried

## V. OTHER BUSINESS

### A. Amendment of WAC 434.630.060 – Committee Meetings – Russell Wood

The Local Records Committee will meet “at least quarterly”, in accordance with the draft revised WAC. The revision has been filed with the Code Reviser and will take effect if there is no public comment before February 20, 2012.

### B. 2012 Meeting Schedule – Russell Wood

The Committee reviewed meeting date options for quarterly meetings.

**Motion:** Move to adopt quarterly meeting schedule of January, April, July, October and submit to the Code Reviser, Evans; Seconded by Handfield.

**Resolution:** Motion Carried.

## VI. WASHINGTON STATE ARCHIVES UPDATES

### A. Revision of Records Retention Schedules – Julie Woods

- The CORE is being revised, with a specific focus on the Asset Management function. It may be submitted for approval in April or July of 2012.
- The *Local Government General Records Retention Schedule (LGRRS)* will be dismantled and re-submitted in individual sectors, hopefully by April of 2012.

### B. Destruction after Digitization (DAD) – Russell Wood

Although the Archives is no longer accepting applications for this process, we are developing a standard and best practices for agencies to follow. This will serve as a tool for auditors, as well.

### C. Announcements from the State Archivist – Jerry Handfield

The contract with the Washington State Patrol (to provide a cadet for WSA front desk) will expire at the end of the year due to the budget costs. The \$600,000 Disaster Recovery Fund does not exist at this time.

**D. Local Government Records Management Listserv – Julie Woods**

The local government listserv now has 2,005 subscribers, which reflects 88 new members since the last meeting.

**VII. NEXT MEETING – January 26, 2011, 10 a.m.**

**VIII. ADJOURNMENT**

The chair adjourned the meeting at 12:20 p.m.

**CERTIFICATION OF MEETING MINUTES OF THE LOCAL RECORDS COMMITTEE:**

*I, Mark Rapozo, Chair of Local Records Committee, certify that the above is a true and correct transcript of the minutes of a public meeting of the Local Records Committee of the State of Washington held in the State Archives Building conference room on December 15, 2011, and that the public meeting was duly called and held in all respects in accordance with the laws of the State of Washington, and that a quorum was present.*

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*Chair Signature*

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*Date*

## II. OLD BUSINESS/ACTION ITEMS

### A. *Public Utilities Records Retention Schedule (Ver. 1.1)*

#### **New Records Series Added**

1. **Agency-Provided Training – Licensed Nuclear Operator Qualification Data (DAN UT2012-004)** p.8
2. **Agency-Provided Training – Nuclear Plant Staff (Accredited) (DAN UT2012-005)** p.8
3. **Agency-Provided Training – Radiological (DAN UT2012-006)** p.9
4. **Corrective Action Reports – Quality Assurance Records (Lifetime) (DAN UT2012-001)** p.5
5. **Corrective Action Reports – Quality Assurance Records (Nonpermanent) (DAN UT2012-002)** p.6
6. **Employee Assignment History – Radiological (DAN UT2012-012)** p.18
7. **Nuclear Facilities Maintenance – Safety-Related (DAN UT2012-009)** p.15
8. **Nuclear Operations – Quality Assurance Records (Lifetime) (DAN UT2012-013)** p.30
9. **Nuclear Operations – Quality Assurance Records (Nonpermanent) (DAN UT2012-014)** p.31
10. **Nuclear Plant Construction and Pre-Operational Phase (DAN UT2012-007)** p.11
11. **Radiological/Contamination Monitoring (DAN UT2012-008)** p.14
12. **Reportable Occurrence Records – Nuclear Power Plants (DAN UT2012-003)** p.7
13. **Security Monitoring (Nuclear Facilities) – Incident (DAN UT2012-010)** p.16
14. **Security Monitoring (Nuclear Facilities) – No Incident (DAN UT2012-011)** p.17

In addition, a note was added to the existing series, ***Security – Cyber Vulnerability Assessment*** on page 68 (DAN UT2010-088), which redirects nuclear utility providers to their appropriate series.

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Washington State Archives  
Office of the Secretary of State

*Public Utilities Records Retention Schedule (UTILITIES)*  
*LRC Draft – Version 1.1 (April 2012)*

## **This schedule applies to: Public Utility Providers**

### **Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of public records documenting the unique functions and activities of local government agencies that provide utility services (power generation/distribution, water and sewer, surface water drainage, irrigation water, etc.). It is to be used in conjunction with the *Local Government Common Records Retention Schedule (CORE)*, which can be found at: <http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx>.

### **Disposition of public records**

Public records covered by records series within this records retention schedule must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of local resources.

Public records designated as Archival or Permanent must not be destroyed. Records designated as Potentially Archival must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency's policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency's policies and procedures for public records requests.

### **Revocation of previously issued records retention schedules**

All previously approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. All previously approved records retention schedules for the former Washington Public Power Supply System (WPPSS) are revoked. Local government agencies must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

### **Authority**

This records retention schedule was approved by the Local Records Committee in accordance with RCW 40.14.070 on April 26, 2012.

For the State Auditor: Mark Rapozo

For the Attorney General: Cindy Evans

The State Archivist: Jerry Handfield

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Office of the Secretary of State

*Public Utilities Records Retention Schedule (UTILITIES)*  
*LRC Draft – Version 1.1 (April 2012)*

## REVISION HISTORY

Version	Date of Approval	Extent of Revision
Initial	1981	First public utilities retention schedule.
1.0	December 2, 2010	All records series relating to the provision of public utilities were transferred from the <i>Local Government General Records Retention Schedule (LGRRS) Ver. 5.1</i> . Records series prefix changed from GS to UT, and all notes about previous revisions and corrections removed. Some titles were shortened by removing functions/activities (“UTILITIES ACCOUNTING”, “ELECTRIC POWER GENERATION”, etc.). Electric Utilities section was restructured, and three new records series added: two to Power Generation, and one to Power Distribution. An additional series covering critical cyber assets was added, and additional series were revised. (See Revision Guide.)
1.1	April 26, 2012	Added new series related to nuclear power utilities. Updated format and disposition actions for consistency. (No Revision Guide issued.)

**For assistance and advice in applying this records retention schedule,**

**please contact Washington State Archives at:**

**[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)**

**or contact your Regional Archivist.**

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*Public Utilities Records Retention Schedule (UTILITIES)*  
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## 1. AGENCY MANAGEMENT

The function relating to the overarching management of the local government agency and its general administration, where not covered by the *Local Government Common Records Retention Schedule (CORE)*.

### 1.1 PLANNING, MISSION, AND CHARTER

*The activity of documenting and determining the local government agency's objectives, and the means for obtaining them.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05D-20 Rev. 0	<p>FORECASTS – ELECTRIC UTILITIES</p> <p>Includes forecasts of estimated power loads, future income, receipts and expenditures in connection with financing, construction and operations, including acquisitions and disposals of properties or investments prepared for internal administrative or operating purposes.</p> <p><i>Note: See 18 CFR §125.3 39.</i></p>	<p><b>Retain</b> for 3 years <i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OFM</p>

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## 1.2 REPORTING

*The activity of reporting information relating to the agency as required by federal, state, and local law.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-001 Rev. 0	<p><b><i>Corrective Action Reports – Quality Assurance Records (Lifetime)</i></b></p> <p>Records documenting the reporting of plant issues requiring cause analysis and meeting the criteria of Lifetime Quality Assurance Records.</p> <p>Lifetime Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to the identification, cause, and corrective action of a condition adverse to quality.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Failures, malfunctions, deficiencies, and deviations;</li> <li>• Defective material and equipment;</li> <li>• Nonconformance.</li> </ul> <p><i>Note: See ANSI N45.2.9-1974 Appendix A reference to Nonconformance Reports and ANSI N45.2.9-1974 section 2.2.1 for definition of Lifetime Quality Assurance Record.</i></p>	<p><b>Retain</b> for 6 years after plant decommissioned <i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> <b>(Appraisal Required)</b> <b>ESSENTIAL</b> OPR</p>

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*Public Utilities Records Retention Schedule (UTILITIES)*  
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## 1.2 REPORTING

*The activity of reporting information relating to the agency as required by federal, state, and local law.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-002 Rev. 0	<p><b><i>Corrective Action Reports – Quality Assurance Records (Nonpermanent)</i></b></p> <p>Records documenting the reporting of non-significant plant issues recorded for the purpose of documenting and communicating, not requiring cause analysis and meeting the criteria of Nonpermanent Quality Assurance Records.</p> <p>Nonpermanent Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to the identification, cause, and corrective action of a condition adverse to quality.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Lighting issues;</li> <li>• Potential procedure enhancement.</li> </ul> <p><i>Note: See ANSI N45.2.9-1974 Appendix A section A.6.1 reference to records designated as Nonpermanent and ANSI N45.2.9-1974 section 2.2.2 for definition of Nonpermanent Quality Assurance Record.</i></p>	<p><b>Retain</b> for 6 years after matter resolved <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

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## 1.2 REPORTING

The activity of reporting information relating to the agency as required by federal, state, and local law.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05D-21 Rev. 0	<p><b>Electric Power Reports Required by Regulatory Agencies and Commissions</b></p> <p>Records relating to reports submitted to the Federal Energy Regulatory Commission (FERC), North American Electric Reliability Corporation (NERC), Western Electricity Coordinating Council (WECC), or other regulatory bodies.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Mitigation plans (retractions, updates, etc.);</li> <li>• Self reports (reports of non-compliance);</li> <li>• Self certifications;</li> <li>• Data requests from NERC and WECC.</li> </ul> <p><i>Note: See 18 CFR §125.3 41.</i></p>	<p><b>Retain</b> for 5 years after submitted to regulatory agency</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR</p>
UT2012-003 Rev. 0	<p><b>Reportable Occurrence Records – Nuclear Power Plants</b></p> <p>Reportable occurrence records where copies of the records have been sent to the United State Nuclear Regulatory Commission (U.S. NRC).</p> <p><i>Note: Nuclear Regulatory Commission’s records are retained permanently in accordance with National Archives and Records Administration (NARA) Control Numbers N1-431-87-1 and N1-431-00-19.</i></p>	<p><b>Retain</b> for 6 years after submitted to regulatory agency</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR</p>

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## 1.3 TRAINING

*The activity of the local government agency providing training to agency employees, contractors, customers, or the public.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-004 Rev. 0	<p><b>Agency-Provided Training – Licensed Nuclear Operator Qualification Data</b></p> <p>Records relating to operator license status, medical status, and administration of the licensed operator requalification program.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Certification of Medical Examination by Facility License (NRC Form 396);</li> <li>• Licensee Personal Qualification Statements (NRC Form 398);</li> <li>• Requalification examination results;</li> <li>• Requalification test question responses;</li> <li>• Requalification Job Performance Measurement (JPM) results;</li> <li>• Requalification simulator training results.</li> </ul> <p>Excludes exam results covered by “Agency-Provided Training – Nuclear Plant Staff (Accredited)” (DAN UT2012-005).</p>	<p><b>Retain</b> until operator no longer maintains operator license</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR</p>
UT2012-005 Rev. 0	<p><b>Agency-Provided Training – Nuclear Plant Staff (Accredited)</b></p> <p>Official exam results (score and/or pass/fail) of workers who are directly involved in the operation and maintenance of a nuclear power facility.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Licensed operator initial and requalification training;</li> <li>• Equipment operator training;</li> <li>• Engineering training.</li> </ul> <p>Excludes records relating to radiation protection training covered by “Agency-Provided Training – Radiological” (DAN UT2012-006).</p>	<p><b>Retain</b> for 6 years after plant decommissioned</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR</p>

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## 1.3 TRAINING

*The activity of the local government agency providing training to agency employees, contractors, customers, or the public.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-006 Rev. 0	<p><b><i>Agency-Provided Training – Radiological</i></b></p> <p>Records relating to the radiation protection training of employees (including contractors), visitors, and escorted personnel, which provide evidence of training/education/sufficient knowledge of radiation hazards and safe work practices.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Instructor manuals, syllabi, lesson plans, handouts and exam results;</li> <li>• Training attendance records;</li> <li>• Initial and periodic quantitative respirator fit tests.</li> </ul> <p><i>Note: See ANI Information Bulletin 80-1A Section II.</i></p>	<p><b>Retain</b> for 100 years after training provided</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR</p>

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Office of the Secretary of State

*Public Utilities Records Retention Schedule (UTILITIES)*  
*LRC Draft – Version 1.1 (April 2012)*

## 2. ASSET MANAGEMENT

The function of managing the local government agency's physical assets (facilities, land, equipment, vehicles, supplies, etc.), where not covered by the *Local Government Common Records Retention Schedule (CORE)*. Includes asset acquisition, maintenance, inventory, and disposal.

### 2.1 DESIGN AND CONSTRUCTION

*The activity of designing, constructing, or remodeling of buildings, structures, infrastructure, etc., owned, leased or otherwise occupied by the local government agency.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05G-01 Rev. 0	CONSTRUCTION COST ANALYSIS – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(f).</i>	<b>Retain</b> for 5 years after clearance to plant account <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT55-05G-02 Rev. 0	CONSTRUCTION PROJECT FILES – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(b), (e) and (g).</i>	Completion of project plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05G-03 Rev. 0	EXPENDITURE REQUISITION AND AUTHORIZATION FILES – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 11.</i>	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR

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## 2.1 DESIGN AND CONSTRUCTION

The activity of designing, constructing, or remodeling of buildings, structures, infrastructure, etc., owned, leased or otherwise occupied by the local government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-007 Rev. 0	<p><b>Nuclear Plant Construction and Pre-Operational Phase</b></p> <p>Records documenting the construction and startup of nuclear power facilities (including independent spent fuel storage installations (ISFSI)) which would either provide required baseline data for in-service inspection or be of significant value in:</p> <ul style="list-style-type: none"> <li>• Demonstrating capability for safe operation;</li> <li>• Maintaining, reworking, repairing, replacing, or modifying plant components;</li> <li>• Determining the cause of an accident or malfunction of a plant component.</li> </ul> <p>Includes records defined as “Lifetime Quality Assurance Records” in accordance with ANSI N45.2.9 – 1974, Section 2.2.1.</p> <p><i>Note: Other records related to the construction of nuclear power facilities are covered by “Construction Project Files (DAN GS50-18-10)” in the Local Government Common Records Retention Schedule (CORE).</i></p>	<p><b>Retain</b> for 6 years after plant decommissioned <i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR</p>
UT55-05G-06 Rev. 0	<p><b>UTILITY PLANT CONSTRUCTION CONTRACTS – ELECTRIC UTILITIES</b></p> <p>Official documentation of contracts and agreements for purchase of goods or services relating to the construction of utility plants. May include consultant contracts, public work contracts, or non-stock material contract.</p> <p><i>Note: See 18 CFR §125.3 22(b).</i></p>	<p>Sale or retirement of plant plus 6 years</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
UT55-05G-05 Rev. 0	<p><b>WORK IN PROGRESS LEDGERS OR REPORTS – ELECTRIC POWER SYSTEMS</b></p> <p><i>Note: See 18 CFR §125.3 17(a).</i></p>	<p>5 years after clearance to plant account.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

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## 2.1 DESIGN AND CONSTRUCTION

*The activity of designing, constructing, or remodeling of buildings, structures, infrastructure, etc., owned, leased or otherwise occupied by the local government agency.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT50-06B-28 Rev. 0	WORK ORDERS – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(a).</i>	5 years after clearance to plant account.	NON-ARCHIVAL NON-ESSENTIAL OPR

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## 2.2 ELECTRONIC INFORMATION SYSTEMS

This section covers records relating to electronic information systems which are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2010-088 Rev. 0	<p><b>Security – Cyber Vulnerability Assessment</b></p> <p>Records documenting annual vulnerability assessments of the agency's Critical Cyber Assets (CCA) in accordance with CIP-005-03.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Access control lists;</li> <li>• All access and external connection points (physical and electronic);</li> <li>• Multiple user accounts and account passwords;</li> <li>• Network management and protocols;</li> <li>• IP addresses;</li> <li>• Final report of assessment.</li> </ul> <p><i>Note: Records relating to cyber security at a nuclear facility will be covered in either Security Monitoring (Nuclear Facilities) – Incident or Security Monitoring (Nuclear Facilities) – No Incident.</i></p>	<p><b>Retain</b> for 1 year after completion of assessment <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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## 2.3 ENVIRONMENTAL MANAGEMENT

This section covers records relating to environmental management which are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-008 Rev. 0	<p><b><i>Radiological/Contamination Monitoring</i></b></p> <p>Records relating to the processes, equipment used, and results for the monitoring of radiological contamination.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Plant radiation and contamination surveys;</li> <li>• Environmental licensing, monitoring and effluent measure records;</li> <li>• Radioactive shipment and release/waste disposal reports;</li> <li>• Instrumentation and calibration records;</li> <li>• Equipment tests;</li> <li>• Sealed source and fission detector leak tests and results;</li> <li>• Annual physical inventory of all sealed source material of record.</li> </ul> <p><i>Note: See ANI Information Bulletin 80-1A Section III and IV.</i></p>	<p><b>Retain</b> for 100 years after end of calendar year <i>and</i> 50 years after plant decommissioned <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> <b>(Appraisal Required)</b> <b>ESSENTIAL</b> OPR</p>

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## 2.4 MAINTENANCE

*The activity of repairing or servicing the assets of the local government agency. Includes buildings, vehicles, and equipment.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-009 Rev. 0	<p><b><i>Nuclear Facilities Maintenance – Safety-Related</i></b></p> <p>Records documenting maintenance activities associated with safety-related structures, systems and components of nuclear power facilities.</p> <p>Includes records defined as “Lifetime Quality Assurance Records” in accordance with ANSI N45.2.9 – 1974, Section 2.2.1.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Completed work orders;</li> <li>• Performed surveillances;</li> <li>• Completed design modifications/change packages;</li> <li>• Performed test plans.</li> </ul> <p><i>Note: Other records related to the maintenance of nuclear facilities are covered by the “Asset Management – Maintenance” section in the Local Government Common Records Retention Schedule (CORE).</i></p>	<p><b>Retain</b> for 6 years after plant decommissioned <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> <b>(Appraisal Required)</b> <b>ESSENTIAL</b> OPR</p>

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## 2.5 SECURITY

*The activity of protecting the local government agency's physical goods and resources against danger, loss or threat.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-010 Rev. 0	<p><b>Security Monitoring (Nuclear Facilities) – Incident</b></p> <p>Records relating to the investigation of threats, thefts, and sabotage (actual or suspected) relating to special nuclear material, high-level radioactive wastes, nuclear facilities, and other radioactive materials and activities regulated by the United States Nuclear Regulatory Commission (U.S.NRC), <b>where an incident <u>has</u> occurred.</b></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Investigation records and reports;</li> <li>• Routine patrol logs;</li> <li>• Access/entry logs;</li> <li>• Vital area door tests;</li> <li>• Records relating to the protection of safety-related systems.</li> </ul> <p>Excludes official agency policy and procedure directives and plans (physical security, local law enforcement, cyber security, etc.) covered by CORE DAN GS50-01-24.</p> <p><i>Note: See 10 CFR 73.54 and 10 CFR 73.55.</i></p> <p><i>Note: If litigation commences, these records become part of the litigation case file and are covered by GS53-02-04.</i></p> <p><i>Note: Records designated as Safeguards or other records that could hinder the security objectives of the nuclear facility per 10 CFR 2.390 shall be retained at the nuclear facility.</i></p>	<p><b>Retain</b> for 6 years after investigation finalized</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for permanent retention until 10 years after plant decommissioned</p> <p><i>then</i></p> <p><b>Reappraise</b> for selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR</p>

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## 2.5 SECURITY

*The activity of protecting the local government agency's physical goods and resources against danger, loss or threat.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-011 Rev. 0	<p><b>Security Monitoring (Nuclear Facilities) – No Incident</b></p> <p>Records relating to the implementation of security programs and contingency plans designed to prevent (and respond to) threats, thefts, and sabotage relating to special nuclear material, high-level radioactive wastes, nuclear facilities, and other radioactive materials and activities regulated by the United States Nuclear Regulatory Commission (U.S.NRC), <b>where no incident has occurred.</b></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Routine patrol logs;</li> <li>• Access/entry logs;</li> <li>• Vital area door tests;</li> <li>• Records relating to the protection of safety-related systems.</li> </ul> <p>Excludes official agency policy and procedure directives and plans (physical security, local law enforcement, cyber security, etc.) covered by CORE DAN GS50-01-24.</p> <p><i>Note: See 10 CFR 73.54 and 10 CFR 73.55.</i></p>	<p><b>Retain</b> for 3 years after end of calendar year</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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## 3. HUMAN RESOURCE MANAGEMENT

The function of managing the local government agency's workforce, where not covered by the *Local Government Common Records Retention Schedule (CORE)*.

### 3.1 OCCUPATIONAL HEALTH AND SAFETY

*The activity of creating and maintaining a safe and healthy work environment for employees.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-012 Rev. 0	<p><b><i>Employee Assignment History – Radiological</i></b></p> <p>Records documenting employee (includes contractors and volunteers) work assignments and activities at the nuclear facility, which may be used to reconstruct a worker's history and thus estimate their radiation dose.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Radiation Work Permits;</li> <li>• ALARA (As Low as Reasonably Achievable) Plans;</li> <li>• ALARA Briefs;</li> </ul> <p><i>Note: See ANI Information Bulletin 80-1A Section V and ANSI N45.2.9 Appendix A section A.6.</i></p>	<p><b>Retain</b> for 100 years after employee's date of birth <i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OPR</p>

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## 4. IRRIGATION UTILITIES

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT50-32-01 Rev. 0	FORECLOSURE FILES – IRRIGATION UTILITIES	Foreclosure of account plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT50-32-03 Rev. 0	LAND OWNER WATER QUALITY VIOLATION FILES – IRRIGATION UTILITIES Includes landowner water quality plans submitted to resolve violations.	<b>Retain</b> for 6 years after resolution <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
UT50-32-04 Rev. 0	LAND USE HISTORY FILES – IRRIGATION UTILITIES Includes water right contracts, permits, easements, reclassification, water allotment and other land use documentation for district service area organized by section, township and range.	<b>Retain</b> until no longer need for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM
UT50-32-05 Rev. 0	LINE LOCATION REQUESTS – IRRIGATION UTILITIES	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT50-32-06 Rev. 0	WATER DIVERSION REPORTS – IRRIGATION UTILITIES	<b>Retain</b> for 6 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
UT50-32-07 Rev. 0	WATER QUALITY MONITORING DATA – IRRIGATION UTILITIES	<b>Retain</b> for 3 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT50-32-08 Rev. 0	WATER USE REPORTS – IRRIGATION UTILITIES	<b>Retain</b> for 6 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

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## 5. POWER DISTRIBUTION

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05E-01 Rev. 0	APPARATUS FAILURE REPORTS <i>Note: See 18 CFR §125.3 13.</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT2010-089 Rev. 0	<b>Control Performance Standards</b> Records relating to Control Performance Standards (CPS) submitted to Western Electricity Coordinating Council (WECC) in accordance with BAL-001-0.1a.	<b>Retain</b> for 1 year after submitted <i>then</i> <b>Destroy.</b>	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05E-25 Rev. 0	ELECTRICAL WORK PERMITS (HARD CARDS) Permits for individuals to install residential alarms, communications, etc.	Termination plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05G-07 Rev. 0	ELECTRICITY DIVERSION INVESTIGATION RECORDS Inquiry regarding problems or discrepancies with meters, either from meter reader or other parties. Investigation records may include: site visit dates, notes regarding location, pictures of meter or surrounding area, consumption history, special meter read, and service order for technical support.	Investigation closed plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05E-14 Rev. 0	FACILITY INSPECTION AND MAINTENANCE REPORTS Periodic reports on the condition of substations, underground vaults, and other distribution system facilities. <i>Note: See 18 CFR §125.3 14(b).</i>	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05E-02 Rev. 0	FACILITY RETIREMENT AUTHORIZATION <i>Note: See 18 CFR §125.3 18(b). If equipment or facility has PCB content, retain record permanently to protect the agency's open-ended liability for the handling and disposal of hazardous substances.</i>	10 years after facility retired.	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05E-03 Rev. 0	FACILITY RETIREMENT WORK ORDER Basic record of facility removal and/or replacement. <i>Note: See 18 CFR §125.3 18(a). If equipment or facility has PCB content, retain record permanently to protect the agency's open-ended liability for the handling and disposal of hazardous substances.</i>	10 years after facility retired.	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05E-04 Rev. 0	INSULATOR TEST RECORDS <i>Note: See 18 CFR §125.3 14(d).</i>	3 Years	NON-ARCHIVAL NON-ESSENTIAL OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2010-090 Rev. 0	<p><b><i>Interchange Transactions and Reliability Coordination</i></b> Records relating to the coordination of power distribution through the Western Interconnection electric grid. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• E-tag schedules;</li> <li>• Estimated load, forecast or contracted amount;</li> <li>• Daily, next day and contingency coordination;</li> <li>• Scheduled, unscheduled, and pre-scheduled;</li> <li>• Real-time transactions;</li> <li>• Real-time systems monitoring (logs, computer screen shots, etc.);</li> <li>• Outage coordination.</li> </ul> <p>Excludes reports of non-compliance covered by UT55-05D-21. <i>Note: See INT-001-3, INT-003-2, INT-004-2, INT-009-1, INT-010-1, IRO-004-1, and IRO-005-2.</i></p>	<p><b>Retain</b> for 3 months or 90 days after report of data, whichever is later <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-05 Rev. 0	LIGHTNING AND STORM DATA	<p><b>Retain</b> until no longer needed for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> <b>ESSENTIAL</b> OFM
UT55-05E-06 Rev. 0	LINE INSPECTION REPORTS <i>Note: See 18 CFR §125.3 14(b).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OPR

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UT55-05E-07 Rev. 0	LINE TROUBLE REPORTS AND RECORDS <i>Note: See 18 CFR §125.3 14(b).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-08 Rev. 0	METER HISTORY DATA Historical data on each meter, including specification, serial number, location, and maintenance history.	Life of equipment	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-09 Rev. 0	METER SHOP REPORTS Monthly/periodic reports summarizing test, repairs, and other work done on meters. <i>Note: See 18 CFR §125.3 14(b).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-10 Rev. 0	OPERATIONS LOGS AND REPORTS Including, but not limited to, equipment, operator, storage battery, substation, and transmission. <i>Note: See 18 CFR §125 14(a) and 14(b).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-11 Rev. 0	OUTAGE LOG <i>Note: See 18 CFR §125.3 14(b).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-12 Rev. 0	POLE LIST Record of utility pole type, description, location, ancillary equipment, etc. <i>Note: See 18 CFR §125.3 14(c).</i>	Life of equipment	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05E-13 Rev. 0	POWER DEMAND CHARTS	<b>Retain</b> for 6 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM
UT55-05E-17 Rev. 0	STREET LIGHT HISTORY RECORDS	Life of equipment	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-18 Rev. 0	STREET OPENING INSPECTION AND REPAIR REPORTS <i>Note: See 18 CFR §125.3 23.1(j), National Association of Regulatory Utility Commissioners NARUC 23.1(j).</i>	Destroy when obsolete or superseded.	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-20 Rev. 0	TRANSFORMER HISTORY DATA – NON-PCB Records documenting the history of transformers which do not contain Polychlorinated Biphenyls (PCBs). Includes specifications, location, and maintenance history. <i>Note: See UT55-05E-29 for history data of transformers containing Polychlorinated Biphenyls (PCBs).</i>	Life of equipment plus 10 years.	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
UT55-05E-29 Rev. 0	TRANSFORMER HISTORY DATA – PCB Records documenting the history of transformers which contain Polychlorinated Biphenyls (PCBs). Includes specifications, location, and maintenance history. <i>Note: See UT55-05E-20 for history data of transformers not containing Polychlorinated Biphenyls (PCBs).</i> <i>Note: See 18 CFR §125.3 14(c). For PCB retention requirements. See 40 CFR § 761.180(b).</i>	Life of equipment plus 20 years.	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05E-21 Rev. 0	TRANSFORMER INSPECTION REPORTS <i>Note: See 18 CFR §125.3 14(d) If equipment of facility has PCB content, retain record permanently to protect the agency's open-ended liability for the handling and disposal of hazardous substances.</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-26 Rev. 0	TURBINE HISTORY FILES Documentation of installation, operation, and maintenance logs, etc. <i>Note: See 18 CFR §125.2(g)(1).</i>	Life of equipment	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-23 Rev. 0	UNDERGROUND LINE FILES Data on underground lines, including location and specification. <i>Note: See 18 CFR §125.3 21.</i>	Life of equipment.	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
UT55-05E-24 Rev. 0	VOLTAGE CHARTS Documentation of voltage delivered to the power distribution system. <i>Note: See 18 CFR §125.3 13.1(b).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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## 6. POWER GENERATION

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2010-091 Rev. 0	<p><b>Automatic Generation Control (AGC)</b> Records documenting the management of the automatic generation system as it balances power distribution on the electric grid (and deploys reserve power when required). Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Actual and scheduled frequency (megawatts distributed);</li> <li>• Actual and scheduled interchange transactions (size, start/end times, ramp times and rates, type required for delivery, receipt of power between utilities, etc.);</li> <li>• Disturbance occurrence;</li> <li>• Error corrections.</li> </ul> <p><i>Note: See BAL-005-0.1b.</i></p>	<p><b>Retain</b> for 1 year after data collected <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05D-01 Rev. 0	<p>BOILER TUBE FAILURE REPORT <i>Note: See 18 CFR §125.3 13.1(a).</i></p>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05D-02 Rev. 0	<p>COAL LOGS <i>Note: See 18 CFR §125.3 13.1(a).</i></p>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-27 Rev. 0	<p>DAM SAFETY COMPLIANCE REVIEW FILES - FEDERAL ENERGY REGULATORY COMMISSION (FERC) Files document the FERC regulatory process ensuring all incoming correspondence, outgoing correspondence, documentation, reports to FERC or reports from FERC are sent and received officially by the agency.</p>	3 Years	NON-ARCHIVAL NON-ESSENTIAL OFM

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UT55-05D-03 Rev. 0	EQUIPMENT LOGS Records of use and performance, including in and out times. <i>Note: See 18 CFR §125.3 13.1(b).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05D-04 Rev. 0	FISH COUNT REPORTS Periodic reports on fish population, including charts, summaries, and accounts of population increase and decrease and projects located in, on or adjacent to surface water.	<b>Retain</b> for 10 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT55-05D-05 Rev. 0	GAUGE READING REPORTS (OTHER THAN WATER OR RIVER FLOW) <i>Note: See 18 CFR §125.3 13.1(f).</i>	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05D-06 Rev. 0	GENERATION AND OUTPUT LOGS WITH SUPPORTING DATA <i>Note: See 18 CFR §125.3 13.1(b).</i>	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05D-07 Rev. 0	HIGH-TENSION AND LOW-TENSION GENERATING LOAD RECORDS <i>Note: See 18 CFR §125.3 13.1(d).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05D-08 Rev. 0	HYDRO-ELECTRIC OPERATIONS LOGS AND REPORTS Includes daily and hourly logs, shift records, supervisors and plant operations daily diaries. May be needed for documentation of issues in litigation. <i>Note: See 18 CFR §125.3 14(b) and 18 CFR §125.3 13.1(b).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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UT55-05D-09 Rev. 0	LOAD CURVES <i>Note: See 18 CFR §125.3 13.1(e).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05D-10 Rev. 0	LOAD DISPATCHER PERMITS <i>Note: See National Association of Regulatory Utility Commissioners NARUC 22.1(k).</i>	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05D-11 Rev. 0	MAINTENANCE REPORTS For hydroelectric equipment and facilities performance and repairs. <i>Note: See National Association of Regulatory Utility Commissioners NARUC 22.1(b).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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UT2012-013 Rev.0	<p><b><i>Nuclear Operations – Quality Assurance Records (Lifetime)</i></b></p> <p>Records documenting the operations of nuclear facilities (including power levels and periods of operation at each power level) which would provide required baseline data for in-service inspection or be of significant value in:</p> <ul style="list-style-type: none"> <li>• Demonstrating capability for safe operation;</li> <li>• Maintaining, reworking, repairing, replacing, or modifying safety related plant components;</li> <li>• Determining the cause of an accident or malfunction of a plant component;</li> <li>• Safety related component testing.</li> </ul> <p>Includes records defined as “Lifetime Quality Assurance Records” in accordance with ANSI N45.2.9 – 1974, Section 2.2.1.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Fuel program quality assurance records (fuel inspection records, fuel design documents, as-built fuel QA records, nuclear materials accountability records);</li> <li>• Transient or operational cycling records for those plant components designed to operate safely for a limited number of transients or operation cycles.</li> </ul> <p><i>Note: See ANSI N45.2.9 Appendix A sections A.6 for additional examples.</i></p>	<p><b>Retain</b> for 6 years after plant decommissioned <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR</p>

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT2012-014 Rev. 0	<p><b><i>Nuclear Operations – Quality Assurance Records (Nonpermanent)</i></b></p> <p>Records documenting the operations of nuclear facilities (including power levels and periods of operation at each power level) which would <u>NOT</u> provide required baseline data for in-service inspection or be of significant value in:</p> <ul style="list-style-type: none"> <li>• Demonstrating capability for safe operation;</li> <li>• Maintaining, reworking, repairing, replacing, or modifying safety related plant components;</li> <li>• Determining the cause of an accident or malfunction of a plant component.</li> </ul> <p>Includes records defined as “Nonpermanent Quality Assurance Records” in accordance with ANSI N45.2.9 – 1974, Section 2.2.2.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Confined space permit logs;</li> <li>• Transient material permits;</li> <li>• Shift turnover sheets.</li> </ul> <p>Excludes records covered by “Employee Assignment History – Radiological” (DAN UT2012-012) and “Radiological/Contamination Monitoring” (DAN UT2012-008).</p> <p><i>Note: See ANSI N45.2.9 Appendix A sections A.6 for additional examples.</i></p>	<p><b>Retain</b> for 6 years after end of calendar year</p> <p style="text-align: center;"><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05D-12 Rev. 0	<p>POLLUTION REPORTS/STUDIES</p> <p>Documentation and data compiled on to waste accumulation and pollution generated by or around facilities. Does not include hazardous materials.</p> <p><i>Note: For documentation of pollution involving hazardous materials, see GS50-19-03 and GS50-19-06 in the Local Government Common Records Retention Schedule (CORE).</i></p>	<p><b>Retain</b> for 10 years</p> <p style="text-align: center;"><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM</p>

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05D-13 Rev. 0	RECORDING INSTRUMENT CHARTS <i>Note: See 18 CFR §125.3 13.1(g).</i>	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05E-28 Rev. 0	SPILL GATE DATA COLLECTED FOR ANNUAL REPORT TO THE FEDERAL ENERGY REGULATORY COMMISSION (FERC) REGARDING OPERATION OF EACH SPILLWAY	3 Years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05D-14 Rev. 0	STATION AND SYSTEM GENERATION REPORTS Periodic reports on the amount of power being generated. <i>Note: See 18 CFR §125.3 13.1(c1).</i>	25 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05D-15 Rev. 0	STATION LOAD PERMITS <i>Note: See National Association of Regulatory Utility Commissioners NARUC 22.1(k).</i>	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05D-16 Rev. 0	TECHNICAL DATA FILES Periodic reports, charts, and miscellaneous data on weather, geology, hydrology, and topography created for reference use. <i>Note: See 18 CFR §125.3 38.</i>	<b>Retain</b> for 5 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT55-05D-17 Rev. 0	TEMPERATURE LOGS <i>Note: See 18 CFR §125.3 13.1(e).</i>	<b>Retain</b> for 3 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05D-18 Rev. 0	WATER LOGS <i>Note: See 18 CFR §125.3 13.1(e).</i>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05D-19 Rev. 0	WATER/RIVER FLOW REPORTS <i>Note: See 18 CFR §125.3 13.1(f).</i>	<b>Retain</b> until no longer needed for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.	<b>ARCHIVAL</b> (Permanent Retention) <b>ESSENTIAL</b> OPR

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## 7. SEWER AND WATER SYSTEM DOCUMENTATION

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-06A-03 Rev. 0	BACKFLOW INCIDENT RECORDS Documentation of incidents of backflow contamination in water systems. <i>Note: See WAC 246-290-490 (8)(a)(iii).</i>	5 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-01 Rev. 0	BACKFLOW PREVENTER INSPECTION AND INVENTORY Documentation required to be maintained on individual approved backflow preventers installed at water system service connections. <i>Note: See WAC 246-290-490 (8)(a)(ii).</i>	5 years or life of backflow preventer, whichever is shorter.	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-06A-02 Rev. 0	BACKFLOW PREVENTER MASTER LIST Master list of connections and premises for which backflow preventers are required, including names and addresses of owners. <i>Note: See WAC 246-290-490 (8)(a)(i).</i>	Retain documentation of individual backflow preventers until connection no longer pose a contamination threat to the water distribution system.	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06B-01 Rev. 0	CAPACITY STUDIES – SEWAGE TREATMENT PLANTS Studies of peak and average flow used to evaluate the status of treatment plant operating capacity.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-06A-27 Rev. 0	<p>CHEMICAL ANALYSIS REPORTS – REGULATORY COMPLIANCE</p> <p>Records are compilations of finished data used to document compliance with State and Fed water quality regulations. Includes but is not limited to, annual inorganic reports and additional data summaries used to document compliance with State water quality regulations.</p> <p><i>Note: See 40 CFR § 141.33 and WAC 246-290-480(a).</i></p>	<p><b>Retain</b> for the life of the water system</p> <p style="text-align: center;"><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR</p>
UT55-06A-28 Rev. 0	<p>CHEMICAL RAW DATA RECORDS – REGULATORY COMPLIANCE</p> <p>Records document chemical testing results of water samples taken from various locations throughout the water system and supply sources. Used to document compliance with State drinking water regulations. May include tab worksheets, sample run data, calibration test results, lab notebooks, bench sheets, etc.</p> <p><i>Note: See 40 CFR § 141.33; WAC 246-290-480(a).</i></p>	Life of water system	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-25 Rev. 0	<p>CROSS-CONNECTION CONTROL ANNUAL SUMMARY REPORTS</p> <p>Annual reports summarizing cross-connection control activities by water utilities required by the Washington State Department of Health.</p> <p><i>Note: See WAC 246-290-490 (8)(a)(iii).</i></p>	5 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-35 Rev. 0	<p>DEFECTIVE SIDE SEWER NOTICE</p> <p>Notification sent to individual property owners with defective side sewers, including a description of defects and requirements for repair.</p>	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06B-02 Rev. 0	<p>DISCHARGE MONITORING REPORTS – SEWAGE TREATMENT PLANTS</p> <p>Daily reports required by the Washington State Department of Ecology.</p>	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR

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UT55-06B-03 Rev. 0	EQUIVALENT CUSTOMER UNIT (ECU) REPORTS – SEWAGE TREATMENT PLANTS Annual report on volume of customers served by treatment plant.	6 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-06A-04 Rev. 0	FACILITY RETIREMENT AUTHORIZATION – SEWER AND WATER SYSTEM DOCUMENTATION Official authorization for facility retirement, including basis of determination and estimates of cost.	Disposition or sale of facility plus 10 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-05 Rev. 0	FACILITY RETIREMENT WORK ORDER – SEWER AND WATER SYSTEM DOCUMENTATION Basic record of facility removal and replacement.	Disposition or sale of facility plus 10 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-06 Rev. 0	FLOW RECORD – WATER SYSTEM DOCUMENTATION Documentation of volume in distribution system.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-06B-04 Rev. 0	FLOW REPORTS – SEWAGE TREATMENT PLANTS Daily reports of influent and effluent flow.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-06A-07 Rev. 0	FLUORIDE CHARTS – WATER SYSTEM DOCUMENTATION Test reports showing water usage and amount of fluoride in water system.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-06A-08 Rev. 0	GRINDER PUMP MAINTENANCE AND LOCATION RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION	Life of equipment	NON-ARCHIVAL <b>ESSENTIAL</b> OFM

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UT55-06B-07 Rev. 0	HISTORY FILES – SEWAGE TREATMENT PLANTS Documentation of plant operations and compliance with state and federal permit requirements.	<b>Retain</b> for the life of the facility plus 6 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
UT55-06A-09 Rev. 0	HYDRANT RECORDS – WATER SYSTEM DOCUMENTATION Documentation of hydrant location, specifications, maintenance history, etc.	Life of equipment	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
UT55-06A-10 Rev. 0	INDUSTRIAL WASTE PERMITS – SEWER SYSTEM DOCUMENTATION Permits issued to industrial customers allowing them to discharge industrial waste into the local government sewer system.	<b>Retain</b> for 6 years after expiration of permit <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
UT55-06A-17 Rev. 0	INSPECTION AND MONITORING REPORTS – SEWER AND WATER SYSTEM DOCUMENTATION Reports on the system operating conditions such as chlorine test, laboratory reports, television surveillance tapes, telemetry, etc.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-06B-05 Rev. 0	LABORATORY PERFORMANCE EVALUATIONS – SEWAGE TREATMENT PLANTS Periodic blind test performed by the Washington State Department of Ecology.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR

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UT55-06A-29 Rev. 0	LEAD AND COPPER COMPLIANCE RECORDS Records used to document compliance with State and Federal drinking water regulations related to lead and copper monitoring. May include sampling data and analyses, reports, surveys, letters, evaluations, schedules, etc. <i>Note: See 40 CFR § 141.91.</i>	End of calendar year plus 12 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-30 Rev. 0	LIMNOLOGY REPORTS Reports summarize long-term data used to evaluate changes in reservoir water quality and ecology. Includes biological, chemical, and physical data related to the water body in addition to conclusions and recommendations for improved water quality.	Life of the water system	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-11 Rev. 0	MANHOLE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Documentation of location, installation, size, flow direction, maintenance, materials, etc.	PERMANENT	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
UT55-06A-18 Rev. 0	MAPS AND GEOGRAPHIC DATA – SEWER AND WATER SYSTEM DOCUMENTATION	PERMANENT	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
UT55-06A-12 Rev. 0	METER RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Account of water meter installation, serial number, location, etc.	Life of equipment	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
UT55-06B-06 Rev. 0	OPERATIONS AND MAINTENANCE MANUALS – SEWAGE TREATMENT PLANTS	PERMANENT	NON-ARCHIVAL <b>ESSENTIAL</b> OPR

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UT55-06B-08 Rev. 0	OPERATORS LOG – SEWAGE TREATMENT PLANTS	PERMANENT	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
UT55-06A-13 Rev. 0	PIPE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Records of pipe installation, location, specifications, maintenance history, etc.	Life of equipment	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
UT55-06A-14 Rev. 0	POLLUTION AND POLLUTION CONTROL STUDIES – SEWER AND WATER SYSTEM DOCUMENTATION Studies and reports regarding levels and means of control for water, air and other types of pollution caused by district facilities and operations.	<b>Retain</b> for 5 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OFM
UT55-06A-15 Rev. 0	POLLUTION CONTROL INSPECTION REPORTS – SEWER AND WATER SYSTEM DOCUMENTATION Reports on levels of pollutants being discharged, processed, and removed through the system. Also measurements of pollutants in system's effluent.	<b>Retain</b> for 6 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OFM
UT55-06A-19 Rev. 0	PROJECT FILES – SEWER AND WATER SYSTEM DOCUMENTATION Official account of various water system construction projects, including work orders, ledgers, studies, etc.	Life of facility plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR

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UT55-06A-31 Rev. 0	<p>SANITARY SURVEY COMPLIANCE FILES</p> <p>Records document the agency's response to sanitary survey findings. May include list of findings or deficiencies submitted by the State, documentation of corrective action taken or explanations of why repairs cannot be made, out of service orders, spreadsheets used to track completion of repairs, and additional supporting documentation.</p> <p><i>Note: See WAC 246-290-480(c).</i></p>	Completion of survey and applicable corrective action plus 10 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-16 Rev. 0	<p>SEWER JETTING AND VACTORING RECORDS</p> <p>Documentation of routine cleaning of sewer lines.</p>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-06B-12 Rev. 0	<p>SURFACE WATER GROUNDWATER PERMIT FILES</p> <p>Documents the amount, function, and use of surface and groundwater. Includes background and permit files</p>	Termination of permit plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-20 Rev. 0	<p>VALVE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION</p> <p>Account of valve location, specifications, maintenance history, etc.</p>	Life of equipment	NON-ARCHIVAL <b>ESSENTIAL</b> OFM
UT55-06B-10 Rev. 0	<p>VIBRATION ANALYSIS DATA – SEWAGE TREATMENT PLANTS</p> <p>Data collected on treatment plant equipment for use in preventative maintenance and troubleshooting.</p>	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-06A-22 Rev. 0	<p>WATER AND SEWER SYSTEM COMPREHENSIVE PLANS</p>	PERMANENT	<b>ARCHIVAL</b> <b>(Appraisal Required)</b> NON-ESSENTIAL OPR

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-06A-26 Rev. 0	WATER AND SEWER SYSTEM EMERGENCY INCIDENT REPORTS Reports documenting incidents that damage or disrupt the operation of water and sewer systems, including date, time, type of incident, and measures taken to resolve the problem, clean up contaminants and restore service.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-36 Rev. 0	WATER AVAILABILITY / SEWER SYSTEM HOOKUP REQUEST FORMS May be required for building permit for properties hooked up to a provider's water supply and/or sewer system.	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-06B-11 Rev. 0	WATER CONSUMPTION REPORTS – SEWAGE TREATMENT PLANTS	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-32 Rev. 0	WATER FACILITIES INVENTORY (WFI) FORM Inventory of water system updated and reported annually to the Washington State Department of Health. Information includes identification of water sources, number of connections, population served, type of treatment used, type of system, contact information, etc.	End of calendar year plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-33 Rev. 0	WATER QUALITY MONITORING WAIVERS Requests submitted to the Washington State Department of Health for exceptions from the water quality monitoring requirements. May include waiver application, approval/denial from State, correspondence, etc. <i>Note: See 40 CFR § 141-33(d).</i>	Upon revocation, expiration or denial of waiver plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-06A-34 Rev. 0	<p>WATER QUALITY VIOLATION NOTICES</p> <p>Records are notices to consumers informing them when water supply is out of compliance with drinking water regulations. Information includes description of violation, violation date, populations affected, actions consumers can take, summary of corrective action, etc. Also includes documentation of notice distribution (media, web, mail, etc.).</p> <p>Note: See WAC 246-290-480(f).</p>	<p><b>Retain</b> for 6 years after issuance of notice</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p>	<p><b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR</p>
UT55-06A-21 Rev. 0	<p>WATER TEST REPORTS</p> <p>Tests and correspondence related to Health Department or District requirements.</p>	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-06A-23 Rev. 0	<p>WILDLIFE HABITAT MANAGEMENT PLAN – SEWER AND WATER SYSTEM DOCUMENTATION</p>	PERMANENT	<p><b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR</p>

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## 8. SURFACE WATER DRAINAGE DOCUMENTATION

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT50-27-01 Rev. 0	DIKING AND DRAINAGE DISTRICT HISTORY FILES Documentation on the formation, location, and activities in each district.	<b>Retain</b> until no longer needed for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT50-27-02 Rev. 0	DIKING AND DRAINAGE FACILITY MAINTENANCE HISTORY FILES Documentation of ongoing inspection and maintenance.	Life of facility.	NON-ARCHIVAL NON-ESSENTIAL OPR
UT50-27-03 Rev. 0	DIKING AND DRAINAGE MAINTENANCE PROJECT FILES Documentation of requests for funding and execution of non-routine maintenance projects.	Completion of project plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
UT50-27-04 Rev. 0	DRAINAGE AND WATER QUALITY COMPLAINT AND INVESTIGATION FILES Complaints filed by citizens regarding drainage and surface water quality conditions in areas of agency jurisdiction.	<b>Retain</b> for 6 years after resolution of complaint <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

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UT50-27-05 Rev. 0	DRAINAGE BASIN AND WATERSHED HISTORY FILES Background documentation for planning and capital improvement projects as well as lawsuits.	<b>Retain</b> until no longer needed for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT50-27-06 Rev. 0	FLOOD CONTROL PLAN Comprehensive management plans for flood control within the agency's jurisdiction.	Clerk of governing council, commission, or board - PERMANENT - 1 copy archival.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
UT50-27-07 Rev. 0	FLOOD CONTROL PLAN DEVELOPMENT FILES Documentation of the development of the agency's current flood control plan.	<b>Retain</b> until no longer needed for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT50-27-08 Rev. 0	FLOOD DAMAGE SURVEY REPORTS Documentation of physical and monetary damage done by individual floods submitted in support of requests for federal disaster assistance aid.	<b>Retain</b> for 6 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR

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UT50-27-09 Rev. 0	FLOOD FILES Documentation of significant individual floods and flooding issues.	<b>Retain</b> for 6 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT50-27-10 Rev. 0	MONITORING, TEST AND SAMPLE DATA SURFACE WATER, DRAINAGE, AND FLOOD CONTROL Surface water, flood, and drainage related data collected by the agency, including stream flow, rainfall, and water samples.	<b>Retain</b> for 6 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT55-06A-24 Rev. 0	NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM (NPDES) PERMIT – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL	<b>Retain</b> for 6 years after expiration of permit <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
UT50-01-57 Rev. 0	PLANNING REPORTS, STUDIES, MODELS AND ANALYSIS – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL	<b>Retain</b> for 5 years <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT50-27-12 Rev. 0	RIVER MANAGEMENT PROJECT FILES Document requests for funding and execution of river improvement projects.	<b>Retain</b> for 6 years after completion of project <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
UT50-27-13 Rev. 0	RIVER MODELING FILES Documentation of characteristics and conditions of individual rivers used for developing plans and projects.	<b>Retain</b> until no longer needed for agency business <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM
UT50-27-15 Rev. 0	SURFACE WATER/DRAINAGE CAPITAL IMPROVEMENT PROJECTS Documentation of design and development work done on construction projects intended to relieve drainage and other surface water management problems.  Note: For construction project files, plans, and specifications retention requirements, see the Public Works - Engineering section in the Local Government General Records Retention Schedule (LGRRS).	<b>Retain</b> for 6 years after completion of project <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT50-27-14 Rev. 0	SURFACE WATER MANAGEMENT PROJECT PLANS AND SPECIFICATIONS	<b>Retain</b> for 6 years after completion of project <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) <b>ESSENTIAL</b> OPR
UT50-27-16 Rev. 0	WATER QUALITY PROJECT FILES – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL Documentation of planning projects for improvement of surface water quality.	<b>Retain</b> for 6 years after completion of project <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
UT50-27-17 Rev. 0	WATERSHED MANAGEMENT POLICY FILES Background documentation for agency surface water management policy development projects.	<b>Retain</b> for 6 years after completion of project <i>then</i> <b>Transfer</b> to Washington State Archives for appraisal and selective retention.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OFM

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## 9. UTILITIES ACCOUNTING

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05B-01 Rev. 0	BILLING STATEMENTS (CARDS) Statements of money due for utility services, including amount due, balance, account number, and customer's name.	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05B-02 Rev. 0	BILLING STUBS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-03 Rev. 0	BILLING SUMMARIES (REGISTERS)	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-04 Rev. 0	COLLECTION AGENCY REPORTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-05 Rev. 0	CUSTOMER ACCOUNT ADJUSTMENT FILES Includes applications for low income/senior discount/rate reduction.	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-06 Rev. 0	CUSTOMER ACCOUNT INDEX	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-07 Rev. 0	CUSTOMER CREDIT FILES	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05B-08 Rev. 0	DELINQUENT ACCOUNT LISTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-09 Rev. 0	DEPOSIT RECEIPTS	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT50-03B-15 Rev. 0	DEPOSIT REGISTER	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05B-11 Rev. 0	DISCONNECTION NOTICES	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-13 Rev. 0	ELECTRIC UTILITY ADVERTISEMENTS File copies of advertisements for service provided by electric utilities as individual entities or as part of a larger group. <i>Note: See 18 CFR §125.3 3(42).</i>	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05B-12 Rev. 0	ELECTRIC UTILITY GENERAL AND SUBSIDIARY LEDGERS, JOURNALS, AND INDEXES Ledgers, journals, and indexes documenting funds and functions relating to the finances of electric utilities. <i>Note: See 18 CFR §125.3 6(a).</i>	10 years	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
UT55-05B-28 Rev. 0	ELECTRIC UTILITY PLANT LEDGERS <i>Note: See 18 CFR §125.3 16(a).</i>	25 years	NON-ARCHIVAL NON-ESSENTIAL OPR

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05B-14 Rev. 0	FEDERAL AND STATE REGULATORY COMMISSIONS Includes annual financial, operating and statistical and PURPA reports. <i>Note: See 18 CFR §125.3 41.</i>	5 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05B-15 Rev. 0	FINAL CLOSURE OF ACCOUNT SCHEDULES	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-17 Rev. 0	JOURNAL VOUCHERS AND INDEXES FOR ELECTRIC UTILITIES <i>Note: See 18 CFR §125.3 8(a).</i>	10 years	NON-ARCHIVAL <b>ESSENTIAL</b> OPR
UT55-05B-27 Rev. 0	LOW INCOME/SENIOR CITIZEN DISCOUNT/TAX EXEMPTION APPLICATIONS	Termination plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05B-19 Rev. 0	METER READING CARDS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-20 Rev. 0	RATE AND BILLING SYSTEM DEVELOPMENT DOCUMENTATION Service rate calculations and documentation on billing and collection systems. <i>Note: See 18 CFR §125.3 30.</i>	Completion of rate schedule plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-21 Rev. 0	RATE AND COLLECTION SYSTEM REVISION NOTICES Notices to customers of changes in billing rates and collection policies and procedures.	Destroy when obsolete or superseded.	NON-ARCHIVAL NON-ESSENTIAL OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
UT55-05B-22 Rev. 0	RATE SCHEDULES Official proceedings and approval. <i>Note: See 18 CFR §125.3 30.</i>	Clerk of governing council, commission or board - PERMANENT - 1 copy archival.	<b>ARCHIVAL</b> (Appraisal Required) NON-ESSENTIAL OPR
UT55-05B-24 Rev. 0	SERVICE APPLICATIONS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-25 Rev. 0	SERVICE ORDERS	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05B-26 Rev. 0	UNCOLLECTABLE ACCOUNT LISTS	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
UT55-05B-29 Rev. 0	UTILITY CUSTOMER DEPOSIT LISTING <i>Note: See 18 CFR §125.3 36.</i>	Termination of account plus 3 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
UT55-05B-18 Rev. 0	UTILITY METER READINGS/USAGE DOCUMENTATION	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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## GLOSSARY

### **Appraisal**

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

### **Archival (Appraisal Required)**

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

*Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.*

### **Archival (Permanent Retention)**

Public records which possess enduring legal and/or historic value and must not be destroyed. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives (WSA).

*WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention)” other than the removal of duplicates. Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.*

### **ANI**

**American Nuclear Insurers.**

*A joint underwriting association created by insurance companies in the United States with a purpose to pool the financial assets pledged by member companies to provide the significant amount of property and liability insurance required for nuclear power plants and related facilities throughout the world.*

### **ANSI**

**American National Standards Institute.**

*A private not-for-profit organization with a purpose to coordinate the development of voluntary consensus standards for products, processes and systems in the United States.*

### **BAL**

**Resource and Demand Balancing reliability standards.**

*Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.*

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## **CFR**

### **Code of Federal Regulations.**

*The codification of the general and permanent rules published in the Federal Register by the executive departments and agencies of the Federal Government.*

## **CIP**

### **Critical Infrastructure Protection.**

*Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.*

## **Disposition**

### **Actions taken with records when they are no longer required to be retained by the agency.**

*Possible disposition actions include transfer to Washington State Archives and destruction.*

## **Disposition Authority Number (DAN)**

**Control numbers systematically assigned to records series or records retention schedules when they are approved by the Local Records Committee.**

## **Essential Records**

**Public records that local government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.**

*Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases and other finding aids should also be transferred with the records.*

## **INT**

### **Interchange Scheduling and Coordination reliability standards.**

*Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.*

## **IRO**

### **Interconnection Reliability Operations and Coordination reliability standards.**

*Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.*

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## **Lifetime Quality Assurance Records** (as defined in ANSI N45.2.9 – 1974, Section 2.2.1)

2.2.1 Lifetime Quality Assurance Records. Lifetime records are those which meet one or more of the following criteria:

1. Those which would be of significant value in demonstrating capability for safe operation.
2. Those which would be of significant value in maintaining, reworking, repairing, replacing, or modifying the item.
3. Those which would be of significant value in determining the cause of an accident or malfunction of an item.
4. Those which provide required baseline data for inservice inspection.

## **Local Records Committee**

The committee established by RCW 40.14.070 to review and approve disposition of local government records.

Its three members include the State Archivist and one representative each from the Offices of the Attorney General and the State Auditor.

## **Migration**

The periodic transfer of data from one electronic system to another in order to ensure continued integrity and accessibility of data despite changes over time in hardware, software, and storage media.

## **Non-Archival**

Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

## **Non-Essential Records**

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in chapter 40.10 RCW.

## **Nonpermanent Quality Assurance Records** (as defined in ANSI N45.2.9 – 1974, Section 2.2.2)

2.2.2 Nonpermanent Quality Assurance Records. Nonpermanent Records are those which meet all of the following criteria:

1. Those of no significant value in demonstrating capability for safe operation.
2. Those of no significant value in maintaining, reworking, repairing, replacing, or modifying the item.
3. Those of no significant value in determining the cause of an accident or malfunction of an item.
4. Those which do not provide baseline data for inservice inspection.

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## **Obsolete**

Public records which are no longer relevant to current program or primary functional responsibilities of a department or office.

## **Office of Record**

The group, department, or office within an agency responsible for maintaining a primary record from creation (or receipt) through disposition.

## **OFM (Office Files and Memoranda)**

Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.

*RCW 40.14.010 – Definition and classification of public records.*

(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”

## **OPR (Official Public Records)**

Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

*RCW 40.14.010 – Definition and classification of public records.*

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records.”

**Permanent** – See *Archival (Permanent Retention)* and *Non-Archival*.

**Potentially Archival** or **Potential Archival Value** – See *Archival (Appraisal Required)*.

## **Primary Records**

The original record (whether created or received by the agency) which serves as the official record, and must be retained in accordance with a current approved records retention schedule.

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## **Public Records**

**RCW 40.14.010 – Definition and classification of public records.**

*“... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business...”*

## **Records Series**

**A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.**

## **Secondary Records**

**Copies (or duplicates) of the agency’s primary records used for specific legal, fiscal, or administrative purposes.**

*Secondary records exist for convenience of reference, or for informational purposes, and may be discarded when no longer needed for agency business in accordance with GS50-02-04.*

## **Security Microfilm**

**Silver duplicate or first-generation microfilm which is stored at Washington State Archives under strictly-controlled environmental conditions and serves as an emergency/disaster back-up, in accordance with chapter 40.10 RCW.**

*Washington State Archives provides security microfilm storage and inspection services to local government agencies.*

## **U.S.NRC**

**United States Nuclear Regulatory Commission.**

*An independent agency of the United States government with a purpose to regulate commercial nuclear power plants and other uses of nuclear materials, such as in nuclear medicine, through licensing, inspection, and enforcement of its requirements.*

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### **III. WASHINGTON STATE ARCHIVES UPDATES**

#### *B. Requirements for the Destruction of Non-Archival Paper Records After Imaging*



# Requirements for the Destruction of Non-Archival Paper Records after Imaging “Scanning and Tossing”

## Purpose

This document outlines the minimum requirements that state and local government agencies in Washington State must meet in order to lawfully destroy paper-based source records after they have been converted to a digital format by imaging (scanning).

The requirements and guidelines in this document are drawn from state and national records-imaging standards to provide additional guidance on scanning procedures, design and maintenance for scanning systems, and quality control measures to ensure complete and accurate copies of paper-based source documents.

These requirements and guidelines promote best practices for ensuring access to, and retrieval of, digital images throughout their legally-required minimum retention period(s), and assist state and local government agencies with the implementation of:

- Washington State records retention schedules;
- Chapter [40.14 RCW](#) *Preservation and Destruction of Public Records*;
- Chapter [434-662 WAC](#) *Preservation of Electronic Records*; and,
- Chapter [434-663 WAC](#) *Imaging Systems, Standards for Accuracy and Durability*.

For standards and guidelines on microfilm, refer to the publication, *Washington State Standards for the Production and Use of Microfilm* at <http://www.sos.wa.gov/archives/pdf/Microfilm%20Standards.pdf>.

## Authorization

The State Records Committee and the Local Records Committee have approved destruction authorities for paper-based source records that have been imaged in accordance with these requirements. The destruction authority for state government agency source records is provided by DAN GS 11012. The destruction authority for local government agency source records is provided by DAN GS50-09-14.

Retention Schedule	Disposition Authority Number (DAN)	To Whom Does This DAN Apply?
<b>State Government General Records Retention Schedule (SGGRRS)</b> <a href="http://www.sos.wa.gov/archives/RecordsManagement/RecordsRetentionScheduleforStateGovernmentAgencies.aspx">http://www.sos.wa.gov/archives/RecordsManagement/RecordsRetentionScheduleforStateGovernmentAgencies.aspx</a>	GS 11012	All <b>state</b> government agencies
<b>Local Government Common Records Retention Schedule (CORE)</b> <a href="http://www.sos.wa.gov/archives/RecordsManagement/UsingtheLocalGovernmentCommonRecordsRetentionScheduleCORE.aspx">http://www.sos.wa.gov/archives/RecordsManagement/UsingtheLocalGovernmentCommonRecordsRetentionScheduleCORE.aspx</a>	GS50-09-14	All <b>local</b> government agencies

## Effective Date

Approved by Jerry Handfield, State Archivist, on March 14, 2012, in accordance with [RCW 40.14.020\(6\)\(a\)](#).



## Minimum Requirements to “Scan and Toss” CHECKLIST

### 1. ARE THEY ELIGIBLE?

- Only “NON-ARCHIVAL” records are eligible for early destruction after scanning. (See page 3.)

### 2. ARE THE RECORDS BEING SCANNED TO ENSURE A COMPLETE AND ACCURATE COPY?

- Quality control procedures implemented to ensure capture of complete and accurate copies. (See page 3.)
- Short-term records (6 years or fewer) imaged with an acceptable file format such as PDF, PDF/A, JPEG or TIFF. (See page 4.)
- Long-term records (longer than 6 years) imaged with an acceptable lossless file format such as TIFF or PNG. (See page 4.)
- Black & White (bitonal) documents containing fonts no smaller than 6-point and grayscale records scanned with a resolution of at least 200 dpi. (See page 4.)
- Black & White (bitonal) maps, engineering drawings, and other bitonal documents containing fonts smaller than 6-point, fine detail, or poor contrast, scanned with a resolution of at least 300 dpi. (See page 4.)
- Color records scanned with a resolution of at least 150 dpi. (300 dpi recommended. See page 4.)

### 3. ARE IMAGES ACCESSIBLE AND PROTECTED FOR THE ENTIRE REQUIRED RETENTION PERIOD?

- Appropriate steps taken to protect images from deletion, alteration, or other damage/loss. (See page 5.)
- Appropriate planning and strategies implemented for migration and technology changes. (See page 5.)

*Note: State government agency staff **MUST** consult with the agency’s Records Officer on all matters relating to the maintenance, retention, transfer and/or destruction of public records in accordance with [RCW 40.14.040](#).*



## KEY COMPONENTS for “Scanning and Tossing”

### What Records Are Eligible For “Scanning and Tossing”?

Eligible records **MUST** be “NON-ARCHIVAL” and covered by a current, approved records retention schedule.

- State government agencies are to use only records retention schedules approved for their use by the State Records Committee in accordance with RCW 40.14.050.
- Local government agencies are to use only records retention schedules approved for their use by the Local Records Committee in accordance with RCW 40.14.070.
- Current approved records retention schedules for both state and local government agencies are available on Washington State Archives’ website at [www.sos.wa.gov/archives](http://www.sos.wa.gov/archives).

“ARCHIVAL” records **MUST** not be destroyed.

- An agency may scan “ARCHIVAL” records in accordance with these requirements. However, after imaging is completed and verified, an agency is to arrange for appraisal and/or transfer of both the paper and the images to Washington State Archives for preservation.

*Note: For county clerks, there is an exemption regarding the destruction and reproduction of court records. For details, see RCW 36.23.065 at <http://apps.leg.wa.gov/RCW/default.aspx?cite=36.23.065>.*

### How Do The Records Need To Be Scanned?

Records **MUST** be scanned in a systematic and consistent fashion that ensures a complete and accurate copy of the source record.

Agencies should develop written quality control procedures and work instructions to ensure a consistent capture of complete and accurate copies of original records. Train all staff with scanning responsibilities to ensure that they are familiar with these requirements and procedures. *Agencies are not required to use any specific systems, applications, or scanners.*

Examples of specific quality control procedures are:

- Enhancements or other manipulations of the scanned images (such as de-skew, de-speckle, etc.) in order to improve the quality of the resulting image.
- Routine use of scanning targets to verify configuration settings.
- Visual comparisons and inspections of each imaged record and source document, or of selected images and source documents.
- Regular calibration and testing of systems and scanners.
- Periodic checks that the indexing/metadata is accurate and appropriate.
- In instances where the source document cannot be captured completely and accurately, the image should be labeled or tagged as “best scan possible”.

If vendors are doing the imaging:

- Vendors are to comply with the same requirements as outlined in this document.



## What Formats Should Be Used?

There are some differences between the most commonly used formats. Formats are subject to changes and updates, and newer versions may not be always be backwards compatible or be suitable for long-term preservation.

For shorter-term retention (fewer than 6 years total), either a lossless or lossy image format may be used. Acceptable file formats include:

- TIFF, PNG
- PDF, PDF/A
- JPEG, JPEG 2000

Long-term records (more than 6 years total retention) require lossless image formats in order to ensure preservation. The current recommended formats are:

- TIFF (Group 4 for Black & White (bitonal) images; Group 5 for grayscale and color images).
- PNG
- For “ARCHIVAL” images that are to be transferred to Washington State Digital Archives, the recommended format is TIFF (Group 4 or Group 5 for scanned images).
- If an agency chooses to use data compression to save space, a lossless compression method must be used for long-term records.

## Image Density (Resolution) Table (Chapter 434-663 WAC)

OUTPUT	DENSITY
<b>Black &amp; White (Bitonal)</b> (fonts no smaller than 6-point)	Minimum of 200 DPI Recommended 300 DPI
<b>Black &amp; White (Bitonal)</b> (maps, engineering drawings, and other documents containing fonts smaller than 6-point, fine detail, or poor contrast)	Minimum of 300 DPI Recommended 300 DPI
<b>Grayscale 8-bit</b>	Minimum of 200 DPI Recommended 300 DPI
<b>Color 24-bit RGB</b>	Minimum of 150 DPI Recommended 300 DPI

## What About Organizing, Indexing, And Metadata?

- Indexing is a way to attach metadata that facilitates access, retrieval, and management of information. Developing a consistent structure is key to managing and maintaining images.
- An agency should develop consistent naming conventions and file/directory structures to facilitate organization, identification, access and retrieval for users.
- Agencies should capture appropriate business and recordkeeping metadata (such as type of record, Disposition Authority Number (DAN), destruction date, etc.)



## **How Do I Manage, Store, And Retain Images?**

**Images MUST be stored, maintained and accessible for the entire length of the required retention period.**

An agency needs to factor in not only the retention period (e.g., six years), but also the trigger or the cut-off that starts the retention clock. For example, a record with a minimum retention of “six years after life of building” would likely need to be retained for much longer than just six years.

**Agencies MUST retain legal custody of the imaged records.**

- If agencies choose to use outside providers (including other government agencies other than the State Archives and “cloud” storage) to store/host the imaged records.
- Contracts/agreements must require that legal custody of the records remains with the originating agency and that all imaged records (including associated metadata) be returned to the agency, in a format accessible by the agency, at the end of the contract/agreement.
- Agencies should undertake appropriate mitigation strategies to ensure that they can fully recover records (including associated metadata) which have not met their minimum retention period in the event of vendor failure.

**Imaged records MUST be protected against alteration and/or deletion, damage, or loss throughout the entire retention period.**

Specific protective measures may include, but are not limited to:

- Establishment of security protocols, and approved administrators and users.
- Employment of system checks and error-checking utilities.
- Implementation of back-ups and disaster preparedness measures.
- Storage of a regular backup at least 50 miles off-site to enable recovery and access to the imaged records in the event of a wide-spread disaster or emergency.

**Imaged records MUST remain accessible for the minimum retention period. To address technology changes, agencies are to either:**

- Maintain the ability to retrieve and view imaged records in systems and file formats that the agency is currently using; or,
- Migrate or export the record images (including associated metadata) to succeeding systems and file formats throughout their required retention periods.

**It is recommended that an agency use a records management application which has been certified as DoD 5015.2 compliant for the ongoing storage and management of the imaged records.**

- A link to a list of DOD 5015.2-certified products is available at <http://jitic.fhu.disa.mil/cgi/rma/>.

*Note: For Non-Archival records with a required retention of “Permanent” or “Life of the Agency”, it is strongly recommended that the agency create state standard-compliant 35mm security microfilm from the digital scans and transfer it to Washington State Archives’ Security Microfilm vault in Olympia. This microfilm will be inspected for compliance and stored as a disaster backup at no cost.*



## **When Can The Images Be Destroyed?**

Imaged records are to be destroyed only after the minimum required retention period as specified by the approved records retention schedule currently in effect.

Records **MUST NOT** be destroyed when required for:

- a) Existing public records requests in accordance with chapter 42.56 RCW; or,
- b) Ongoing or reasonably anticipated litigation; or,
- c) Other legal requirements, federal statutes, grant agreements, etc.; or,
- d) Archival transfer.

If changes to the records retention schedules have occurred between the digitizing of the record and their planned destruction, and those changes have altered the minimum retention period (or the ARCHIVAL designation) of the imaged records, agencies must follow the current approved records retention schedule.

Agencies should follow defensible disposition practices for the destruction of imaged records. This includes following a regular and systematic schedule for destruction processes. These practices should be consistent with the agency's procedures for the lawful destruction of public records in other formats.

**Agencies should document the destruction of both paper and scanned records.**

- Documenting the destruction of public records, *including scanned images*, provides agencies with evidence to prove that they retained their records for at least the minimum retention periods.
- Agencies will want to document that the paper was converted and destroyed lawfully under the appropriate disposition authority, and that the images are also destroyed lawfully once the retention requirements have been met.

## **References**

### **State**

[Washington State Archives](#)

[Washington State Laws and Agency Rules](#)

[Washington State Standards for the Production and Use of Microfilm](#)

### **Federal**

[Department of Defense 5015.2 Standards](#)

[JITC Records Management DOD5015.2 Certification](#)