**This schedule applies to: Department of Archaeology and Historic Preservation**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Washington State Department of Archaeology and Historic Preservation relating to the unique functions of the preservation of historic and cultural physical reminders of the past, including archaeological sites, structures, objects, and buildings. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS),* which authorizes the destruction/transfer of public records common to all state agencies.

**Disposition of public records**

Public records covered by records series within this records retention schedule (regardless of format) 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 state resources.

Public records designated as “Archival (Permanent Retention)” must not be destroyed. Records designated as “Archival (Appraisal Required)” 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 issued records retention schedules to the Department of Archaeology and Historic Preservation are revoked. The Department of Archaeology and Historic Preservation 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 State Records Committee in accordance with RCW 40.14.050 on June 1, 2022.

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| *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the State Auditor:****Al Rose** | *-**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Attorney General:****Suzanne Becker** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Office of Financial Management:****Cheri Keller** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***Acting State Archivist:** **Terry Badger** |

Revision History

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| --- | --- | --- |
| Version | Date of Approval | Extent of Revision |
| 1.0 | March 5, 2014 | Consolidation of all existing disposition authorities (with some minor revisions). |
| 1.1 | December 3, 2014 | Minor revisions to the Environmental Review and Compliance and the Historic Sites and Resources sections. |
| 1.2 | June 3, 2015 | Elimination of records series Historic Preservation Grants – Final (DAN 87-03-39516) to use grants section in the State Government General Records Retention Schedule. |
| 1.3 | June 29, 2016 | Reducing retention for Mitigation of Impact to Sites – Memoranda of Agreement (DAN 87-03-39511). |
| 1.4 | June 1, 2022 | Minor revisions. |

For assistance and advice in applying this records retention schedule,

please contact the Department of Archaeology and Historic Preservation’s Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

**TABLE OF CONTENTS**

[1. Archaeological Sites 4](#_Toc104975164)

[1.1 Archaeological Site Protection 4](#_Toc104975165)

[2. ENVIRONMENTAL REVIEW 8](#_Toc104975166)

[2.1 ENVIRONMENTAL REVIEW AND COMPLIANCE 8](#_Toc104975167)

[3. HISTORIC SITES 10](#_Toc104975168)

[3.1 HISTORIC SITE PRESERVATION 10](#_Toc104975169)

[3.2 HISTORIC SITES AND RESOURCES 12](#_Toc104975170)

[glossary 14](#_Toc104975171)

[INDEXES 16](#_Toc104975172)

1. Archaeological Sites

This section covers records relating to the protection and preservation of archaeological sites.

| * 1. Archaeological Site Protection

*The activity of the discovery, development, excavation and monitoring of archaeological sites and those containing human remains.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 87-03-39518Rev. 3 | ***Cultural Resources Reports***Final reports and drafts (if no final received) which provide a record of cultural resource areas surveyed by archaeologists and historians within the state. Includes, but is not limited to:* Survey reports;
* Ethnographic studies;
* Monitoring plans;
* Overviews;
* Data Recovery reports;
* Predetermination reports;
* Historic Structure Survey reports;
* Historic Structure reports.

*Note: Archaeological site* *information is exempt from public disclosure in accordance with RCW 42.56.300.* | **Retain** for 3 years after date entered in DAHP database *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)** **ESSENTIAL****(for Disaster Recovery)**OPR |
| 14-03-68485Rev. 1 | ***Excavation Permits/Violations***Records relating to excavations performed on designated sites.Includes, but is not limited to:* Applications for permit;
* Inspection of site, photos;
* Violations and remedial actions;
* Correspondence with applicants and commenting parties.

*Note: Retention based on 6-year statute of limitation for breach of contract/agreement (RCW 4.16.040).**Note: Archaeological site information is exempt from public disclosure in accordance with RCW 42.56.300.* | **Retain** for 6 years after expiration of permit/matter resolved *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)****ESSENTIAL**OPR |
| 14-03-68486Rev. 1 | ***Human Remains***Records relating to human remains discovered either during a dig, onsite in the development of property, during erosion, or through a law enforcement investigation.Includes, but is not limited to:* Maps and other documentation of the location of remains;
* Inventories of remains;
* Final disposition actions.

*Note: Archaeological site information is exempt from public disclosure in accordance with RCW 42.56.300.* | **Retain** for 1 year after case closed *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)** **ESSENTIAL****(for Disaster Recovery)**OPR |
| 87-03-39515Rev. 3 | ***Inventory – Archaeological Sites***Final forms and drafts (if no final received) relating to all recorded archaeological sites within the state.Includes, but is not limited to:* Archaeological Site Forms;
* Isolated Artifact Feature/Forms;
* Updates to existing Site Forms;
* Traditional Cultural Places and Properties (TCP) forms with written Tribal permission to share with secure WISAARD users.

Excludes:* Traditional Cultural Places and Properties (TCP) forms *without* written Tribal permission to share with secure WISAARD users covered by *Traditional Cultural Places and Properties (TCP) Reports – Internal Use Only (DAN 22-06-69652)*
* Working notes and correspondence covered by *Records Documented as Part of More Formalized Records (DAN GS 50012)*.

*Note: Archaeological site information is exempt from public disclosure in accordance with RCW 42.56.300.* | **Retain** for 1 year after end of calendar year *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)** **ESSENTIAL****(for Disaster Recovery)**OPR |
| 22-06-69651Rev. 0 | ***Inventory – Cemetery and Burial Sites***Forms and photos relating to the Cemetery Program. Includes, but is not limited to:* Care and Maintenance Applications and Certifications;
* Cemetery reports and inventories;
* Court notices to have dedication removed;
* Public cemetery forms;
* Photos.

Excludes working notes and correspondence covered by *Records Documented as Part of More Formalized Records (DAN GS 50012)*.*Note: Archaeological site information is exempt from public disclosure in accordance with RCW 42.56.300.* | **Retain** for 3 years after date entered in DAHP database *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)** **ESSENTIAL****(for Disaster Recovery)**OPR |
| 22-06-69652Rev. 0 | ***Traditional Cultural Places and Properties (TCP) Reports – Internal Use Only***Reports given to the agency for use in project reviews with the understanding they will not be shared outside of the agency. Forms submitted in WISAARD on the DAHP staff only layer for DAHP’s use in project reviews. * TCP forms without written Tribal permission to share with secure WISAARD users;
* TCP reports.

Excludes Traditional Cultural Places and Properties (TCP) forms *with* written Tribal permission to share with secure WISAARD users covered by *Inventory – Archaeological Sites (DAN 87-03-39515).* | **Retain** permanently. | NON-ARCHIVALNON-ESSENTIALOPR |

1. ENVIRONMENTAL REVIEW

This section covers records relating to environmental oversight for archaeological and historic sites and its administration which are not covered by the *State Government General Records Retention Schedule.*

| * 1. ENVIRONMENTAL REVIEW AND COMPLIANCE

*The activity of review and compliance in accord with local, state, and federal government regulations.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 87-03-39511Rev. 4 | ***Mitigation of Impacts to Sites***Final Agreement/Plan relating to the course of action for a project which has been determined to have an adverse effect on archaeological/historic sites.Includes, but is not limited to:* Memoranda of Agreement;
* Memoranda of Understanding;
* Programmatic Agreements;
* Historic Preservation Management Plans.

Excludes working notes and correspondence covered by *Records Documented as Part of More Formalized Records (DAN GS 50012)*.*Note: Pursuant to RCW 4.16.040, the statute of limitations for the commencement of action upon a contract in writing, or liability express or implied out of written agreement is 6 years.**Note: Archaeological site information is exempt from public disclosure in accordance with RCW 42.56.300.* | **Retain** for 6 years after termination or expiration of agreement/plan *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)** **ESSENTIAL****(for Disaster Recovery)**OPR |
| 87-03-03509Rev. 3 | ***Notifications – Proposed Construction and Development of Sites***Records relating to notifications of proposed or recommended federal or state funded, licensed, or permitted construction or development projects for the determination of any potential adverse effects on historic/archaeological sites.Includes, but is not limited to:* Notifications of proposed or recommended projects;
* Description of project including any blueprints and drawings of proposed development/project;
* Forest Practice Applications (FPA);
* State Environmental Policy Act (SEPA) submittals;
* Determinations by Department of Archaeology and Historic Preservation.

*Note: Archaeological site information is exempt from public disclosure in accordance with RCW 42.56.300.* | **Retain** for 50 years after end of calendar year *then***Destroy.** | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |

1. HISTORIC SITES

This section covers records relating to the protection and preservation of historic sites, structures, and objects.

| * 1. HISTORIC SITE PRESERVATION

*The activity of restoration and preservation of historic sites.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 87-03-39513Rev. 2 | ***Historic Preservation – Easement Agreements and Covenants***Records relating to agreements entered into voluntarily by owners of properties listed in the National Historic Register of Historic Places, the Heritage Barn Register or Washington Heritage Register, and the Department of Archaeology and Historic Preservation (DAHP). These agreements bind the property owner for period of time defined in the agreement, to consult with and receive written approval from DAHP before undertaking any changes that may alter the historic character of the listed property. Owners of a historic property receive a benefit (usually monetary) in exchange for entering into such an agreement.  | **Retain** for 10 years after agreement expires *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)** NON-ESSENTIALOPR |
| 87-03-39525Rev. 2 | ***Tax Incentive Projects – Completed*** Records documenting completed commercial historic property rehabilitation projects applied for under the 1976 Tax Reform Act/Economic Recovery Tax Act of 1981. Includes, but is not limited to:* Applications;
* Descriptions and drawings of project;
* Certifications;
* Related correspondence/communications.
 | **Retain** for 15 years after completion of project *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 22-06-69653Rev. 0 | ***Tax Incentive Projects – Withdrawn/Abandoned***Records documenting uncompleted commercial historic property rehabilitation projects applied for under the 1976 Tax Reform Act/Economic Recovery Tax Act of 1981. Includes, but is not limited to:* Applications;
* Descriptions and drawings of project;
* Certifications;
* Related correspondence/communications.
 | **Retain** for 20 years after project withdrawn/abandoned *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

| * 1. HISTORIC SITES AND RESOURCES

*The activity of inventorying, listing and registering historic properties, structures and resources within the state.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 87-03-39520Rev. 2 | ***Historic American Building Survey and Historic American Engineering Record Mitigation***Records documenting a property’s historic and/or architectural significance as mitigation when slated for demolition or otherwise adversely affected by development. Includes, but is not limited to:* Engineering records, recording reports and surveys;
* Supporting research and historic documentation;
* Letters of acceptance;
* Photographic documentation:
* Level II Mitigation documents.
 | **Retain** for 10 years after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 87-03-39512Rev. 3 | ***State and National Register Nomination Applications – Accepted***Records documenting a property’s historic, archaeological, or architectural merit listing in the State and/or National Register of Historic Places. Includes, but is not limited to:* Applications;
* Supporting research and historic documentation;
* Letters of acceptance.

Excludes:* State and National Register Nomination Applications that *are not* accepted covered by *Survey- Historic Resources (DAN 87-03-39514)*;
* Working notes and correspondence covered by *Records Documented as Part of More Formalized Records (DAN GS 50012)*.

*Note: Archaeological site information is exempt from public disclosure in accordance with RCW 42.56.300.* | **Retain** for 5 years after date approved by the Advisory Council  *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)** **ESSENTIAL****(for Disaster Recovery)**OPR |
| 87-03-39514Rev. 2 | ***Survey – Historic Resources***Records relating to historic resources not yet listed in or evaluated by DAHP for eligibility to the State or National Registers. Includes, but is not limited to:* Final survey inventory forms;
* State and National Register nomination applications that *are not* accepted;
* Historic property inventory forms or reports.
 | **Retain** for 3 years after date entered in DAHP database *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)** **ESSENTIAL****(for Disaster Recovery)**OPR |

glossary

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| ***Appraisal***  |
| The process of determining the value and disposition of records based on their administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records. |
| ***Archival (Appraisal Required)***  |
| Designation for public records that may possess enduring legal and/or historical value and must be appraised by the Archives. Such records are to be evaluated, sampled, and weeded according to archival principles by Archives staff. Records appraised as non-archival may be destroyed after their retention has been met. |
| ***Archival (Permanent Retention)***  |
| Designation for public records that possess enduring legal and/or historical value and must not be destroyed. State government agencies must transfer these records to the Archives at the end of their minimum retention period. Local government agencies must either transfer these records to the Archives or retain and preserve them according to archival best practice until transferred to the Archives. Other than removing and disposing of duplicates, the Archives will not sample, weed, or otherwise dispose of records with this designation. |
| ***Disposition*** |
| Actions taken with records when they are no longer required to be retained by an agency. Possible disposition actions include transfer to the Archives and destruction. |
| ***Disposition Authority Number (DAN)***  |
| Control number for a specific records series in a retention schedule that authorizes a retention period and disposition action for records belonging to that series. |
| ***Essential Records*** |
| Public records that agencies must have in order to maintain or resume business continuity or to document the legal standing and rights of individuals and organizations. 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 the 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. |
| ***Local Records Committee*** |
| Committee established by RCW 40.14.070 to review and approve disposition of local government records through records retention schedules. The Committee’s three members include the State Archivist and one representative each from the Office of the Attorney General and the State Auditor. |
| ***Non-Archival*** |
| Designation given to public records that do not possess sufficient historical 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 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. |
| ***OFM (Office Files and Memoranda)***  |
| Public records not defined and classified as official public records in RCW 40.14.010 and other documents or records as determined by the records committee to be office files and memoranda. |
| ***OPR (Official Public Records)*** |
| Public records necessary to document transactions relating to public property, public finances, and other agency business, or records determined by the records committee to be official public records. |
| ***Public Records*** |
| Records that have been created or received by any government agency in Washington State in connection with the transaction of public business regardless of physical form or characteristics. |
| ***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 or a number of different types of documents that are filed together to document a specific function. |
| ***State Records Committee*** |
| Committee established by RCW 40.14.050 to review and approve disposition of state government records. Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management. |

INDEXES

ARCHIVAL RECORDS INDEX

*See the State Government General Records Retention Schedule for additional “Archival” records.*

ARCHAEOLOGICAL SITES

Archaeological Site Protection

Cultural Resources Reports 4

Excavation Permits/Violations 5

Human Remains 5

Inventory – Archaeological Sites 6

Inventory – Cemetery and Burial Sites 7

ENVIRONMENTAL REVIEW

Environmental Review and Compliance

Mitigation of Impacts to Sites 8

HISTORIC SITES

Historic Site Preservation

Historic Preservation – Easement Agreements and Covenants 10

Historic Sites and Resources

Historic American Building Survey and Historic American Engineering Record Mitigation 12

State and National Register Nomination Applications – Accepted 13

Survey – Historic Resources 13

ESSENTIAL RECORDS INDEX

*See the State Government General Records Retention Schedule for additional “Essential” records.*

ARCHAEOLOGICAL SITES

Archaeological Site Protection

Cultural Resources Reports 4

Excavation Permits/Violations 5

Human Remains 5

Inventory – Archaelogical Sites 6

Inventory – Cemetery and Burial Sites 7

ENVIRONMENTAL REVIEW

Environmental Review and Compliance

Mitigation of Impacts to Sites 8

Notifications – Proposed Construction and Development of Sites 9

HISTORIC SITES

Historic Sites and Resources

State and National Register Nomination Applications – Accepted 13

Survey – Historic Resources 13

DISPOSITION AUTHORITY NUMBERS (dan’S) INDEX

14-03-68485 5

14-03-68486 5

22-06-69651 7

22-06-69652 7

22-06-69653 11

87-03-03509 9

87-03-39511 8

87-03-39512 13

87-03-39513 10

87-03-39514 13

87-03-39515 6

87-03-39518 4

87-03-39520 12

87-03-39525 10

Subject INDEX

*Note: The use in this index of SGGRRS refers to the State Government General Records Retention Schedule.*

A

agreements

historic preservation easements and covenants 10

mitigation of impacts to sites 8

other *see SGGRRS*

applications

state and national register nomination 13

archaeological sites inventory 6

asset management *see SGGRRS*

audits *see SGGRRS*

B

backups *see SGGRRS*

budgeting *see SGGRRS*

C

cemetery and burial sites inventory 7

complaints *see SGGRRS*

contracts *see SGGRRS*

cultural resources reports 4

E

excavation

permits 5

violations 5

F

facilities *see SGGRRS*

financial records *see SGGRRS*

G

grants *see SGGRRS*

grievances *see SGGRRS*

H

historic american buildings survey mitigation 12

historic american engineering record mitigation 12

historic resources surveys 13

human remains 5

human resources *see SGGRRS*

I

information systems *see SGGRRS*

inventory

archaeological sites 6

cemetery and burial sites 7

L

leave *see SGGRRS*

legal affairs *see SGGRRS*

M

mail services *see SGGRRS*

meetings *see SGGRRS*

mitigation of impacts to sites 8

motor vehicles *see SGGRRS*

N

notifications

proposed construction and development of sites 9

P

payroll *see SGGRRS*

permits

excavation 5

plans

mitigation of impacts to sites 8

policies/procedures *see SGGRRS*

public disclosure *see SGGRRS*

public records requests *see SGGRRS*

publications *see SGGRRS*

R

records management *see SGGRRS*

reports

cultural resources 4

risk management *see SGGRRS*

S

security *see SGGRRS*

state and national register nomination applications 13

surveys

historic resources 13

T

tax incentive projects

completed 10

withdrawn/abandoned 11

telecommunications *see SGGRRS*

timesheets *see SGGRRS*

traditional cultural places and properties (TCP) reports

internal use only 7

shareable 6

training *see SGGRRS*

transitory records *see SGGRRS*

travel *see SGGRRS*

V

vehicles *see SGGRRS*

violations

excavation 5