Summary of Changes
Utility Services Records Retention Schedule v.1.5 (June 2021)

New Records Series Added

- Three (3) new records series have been added to this records retention schedule:
  1. Electric Reliability Standards Compliance Program Documents and Evidence (Not Submitted for Audit) (DAN UT2021-001) p.7
     “Retain until completion of audit (Non-Archival)"
     Rationale: Retention based on NERC’s Compliance Monitoring and Enforcement Program Rules of Procedure: Appendix 4C, Section 3.1.4.2.
  2. Electric Reliability Standards Compliance Program Documents and Evidence (Submitted for Audit) (DAN UT2021-002) p.8
     “Retain for 8 years after completion of audit and investigations completed/violations corrected (if any) (Non-Archival)"
     Rationale: Retention based on NERC’s Compliance Monitoring and Enforcement Program Rules of Procedure: Appendix 4C, Section 3.1.4.2.
     “Retain for 3 years after date of incident and investigations completed/violations corrected (if any) (Non-Archival)"
     Rationale: Retention based on CIP-008-5.

Retention Changes

- Eleven (11) records series have changes to their retention period/cutoff:
  1. Automatic Generation Control (AGC) (DAN UT2010-091) p.29
     Increased from “1 year after data collected (Non-Archival)” to “3 years after end of calendar year and investigations completed/violations corrected (if any) (Non-Archival)"
     Rationale: Retention based on BAL-005-1.
     Increased from “1 year after submitted (Non-Archival)” to “3 years after end of calendar year and investigations completed/violations corrected (if any) (Non-Archival)"
     Rationale: Retention based on BAL-001-2.
     Increased from “5 years after submitted to regulatory agency (Archival-Appraisal Required) to “6 years after submitted to regulatory agency and dismissal or completion of enforcement actions (if any) (Archival-Appraisal Required)"
     Rationale: Retention based on 18 CFR §125.3 41 and WECC auditing recommendations.
     Changed from “6 years after termination (Non-Archival)” to “6 years after expiration/termination of permit (Non-Archival)”
5. **Interchange Transactions and Reliability Coordination (DAN UT2010-090) p.26**
   Changed from “3 months or 90 days after report of data, whichever is later (Non-Archival)” to “3 months after end of calendar month and investigations completed/violations corrected (if any) (Non-Archival)”
   *Rationale: Retention based on INT-004-3.1, INT-009-2, and INT-010-2.*

   Increased from “1 year after completion of assessment (Non-Archival)” to “3 years after end of calendar year and investigations completed/violations corrected (if any) (Non-Archival)”
   *Rationale: Retention based on CIP-005-5.*

7. **Sanitary Survey Compliance Files (DAN UT55-06A-31) p.41**
   Changed from “10 years after completion of survey and applicable corrective action (Non-Archival)” to “10 years after completion of survey and violations corrected (if any) (Non-Archival)”
   *Rationale: Retention based on WAC 246-290-480(1)(e).*

8. **Utility Infrastructure (Location and Specifications) (was Underground Line Files) (DAN UT55-05E-23) p.13**
   Changed from “Retain for life of equipment (Non-Archival)” to “Retain until infrastructure is removed (Non-Archival)”
   *Rationale: Retention based on WAC 246-290-480(1)(d).*

   Changed from “3 years after end of fiscal year (Non-Archival)” to “3 years after end of fiscal year or until completion of State Auditor’s examination, whichever is sooner (Non-Archival)”

10. **Water Quality Violation Notices (DAN UT55-06A-34) p.43**
    Increased from “6 years after issuance of notice (Archival-Appraisal Required)” to “10 years after last corrective action taken (Archival-Appraisal Required)”

11. **Water/River Flow Gauge-Reading Reports (DAN UT55-05D-19) p.34**
    Changed from “Until no longer needed for agency business (Archival-Permanent)” to “Life of corporation (Archival (Permanent))”
    *Rationale: Retention based on 18 CFR §125.3 13.1(f).*

**Other Minor Changes**

- Eleven (11) records series have changes to their title and/or description:
  1. **Automatic Generation Control (AGC) (DAN UT2010-091) p.29**
  2. **Coal Logs (DAN UT55-05D-02) p.29**
  3. **Control Performance Standards (DAN UT2010-089) p.24**
  4. **Electrical Work Permits (DAN UT55-05E-25) p.24**
  5. **Interchange Transactions and Reliability Coordination (DAN UT2010-090) p.26**
6. Sanitary Survey Compliance Files (DAN UT55-06A-31) p.41
7. Security—Cyber Vulnerability Assessments (DAN UT2010-088) p.17
8. Street Opening Inspection and Repair Reports (DAN UT55-05E-18) p.27
9. Utility Infrastructure (Location and Specifications) (was Underground Line Files) (DAN UT55-05E-23) p.13
11. Water Quality Violation Notices (DAN UT55-06A-34) p.43

**Essential Designation Changes**

- None

**Archival Designation Changes**

- None

**Archival Series Being Revoked**

- One (1) “Archival” records series is being revoked as it is covered by another “Archival” records series:
  1. Diking and Drainage District History Files (DAN UT50-27-01) covered by Establishment/Development History of Agency/Programs (DAN GS50-06F-02)

**Non-Archival Series Being Revoked**

- Ten (10) “Non-Archival” records series are being revoked as they are covered by another “Non-Archival” records series:
  1. Foreclosure Files—Irrigation Utilities (DAN UT50-32-01) covered by Financial Disputes and Collections—General (DAN GS50-03B-14)
  2. Grinder Pump Maintenance and Location Records—Sewer and Water System Documentation (DAN UT55-06A-08) covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)
  3. Hydrant Records—Water System Documentation (DAN UT55-06A-09) covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)
  4. Manhole Records—Sewer and Water System Documentation (DAN UT55-06A-11) covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)
  5. Meter History Data (DAN UT55-05E-08) covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)
6. **Meter Records—Sewer and Water System Documentation (DAN UT55-06A-12)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23)

7. **Pipe Records—Sewer and Water System Documentation (DAN UT55-06A-13)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)

8. **Pole List (DAN UT55-05E-12)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23)

9. **Street Light History Records (DAN UT55-05E-17)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)

10. **Valve Records—Sewer and Water System Documentation (DAN UT55-06A-20)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)

    
    **Net Decrease in Records Series: 8 (from 169 series down to 161 series)**