



**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.

*Signature on File*

**For the State Auditor: Mark Rapozo**

*Signature on File*

**For the Attorney General: Cindy Evans**

*Signature on File*

**The State Archivist: Jerry Handfield**



## 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.)   |

**SUPERSEDED**

**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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**SUPERSEDED**



## 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<br>Rev. 0              | FORECASTS – ELECTRIC UTILITIES<br>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.<br><i>Note: See 18 CFR §125.3 39.</i> | Retain for 3 years<br><i>then</i><br>Transfer to Washington State Archives for appraisal and selective retention. | ARCHIVAL<br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |



## 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<br>Rev. 0               | <p><b>Corrective Action Reports – Quality Assurance Records (Lifetime)</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<br/><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OPR</p> |



## 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<br>Rev. 0               | <p><b>Corrective Action Reports – Quality Assurance Records (Nonpermanent)</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<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## 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<br>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><br/>(Appraisal Required)<br/>NON-ESSENTIAL<br/>OPR</p> |
| UT2012-003<br>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><br/>(Appraisal Required)<br/>NON-ESSENTIAL<br/>OPR</p> |



### 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<br>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><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OPR</p> |
| UT2012-005<br>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><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OPR</p> |





### 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<br>Rev. 0               | <p><b>Agency-Provided Training – Radiological</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><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OPR</p> |



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



## 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<br>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>Retain for 6 years after plant decommissioned<br/><i>then</i><br/>Transfer to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OPR</p> |
| UT55-05G-06<br>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<br/>NON-ESSENTIAL<br/>OPR</p>                                |
| UT55-05G-05<br>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<br/>NON-ESSENTIAL<br/>OPR</p>                                |



**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<br>Rev. 0              | WORK ORDERS – ELECTRIC POWER SYSTEMS<br><i>Note: See 18 CFR §125.3 17(a).</i> | 5 years after clearance to plant account. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

**SUPERSEDED**



## 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<br>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<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



## 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<br>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</p> <p><i>and</i></p> <p>50 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><br/><b>(Appraisal Required)</b><br/><b>ESSENTIAL</b><br/>OPR</p> |



## 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<br>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<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/><b>(Appraisal Required)</b><br/><b>ESSENTIAL</b><br/>OPR</p> |



## 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<br>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 has 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<br/><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for permanent retention until 10 years after plant decommissioned<br/><i>then</i></p> <p><b>Reappraise</b> for selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OPR</p> |





## 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<br>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<br>NON-ESSENTIAL<br>OPR |



### 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<br>Rev. 0               | <p><b>Employee Assignment History – Radiological</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</p> <p><i>then</i></p> <p><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/><b>(Appraisal Required)</b><br/>NON-ESSENTIAL<br/>OPR</p> |



#### 4. IRRIGATION UTILITIES

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION  |
|------------------------------------|---|--|--|
| UT50-32-01<br>Rev. 0               | FORECLOSURE FILES – IRRIGATION UTILITIES  | Foreclosure of account plus 6 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| UT50-32-03<br>Rev. 0               | LAND OWNER WATER QUALITY VIOLATION FILES – IRRIGATION UTILITIES<br>Includes landowner water quality plans submitted to resolve violations.  | <b>Retain</b> for 6 years after resolution<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention.             | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR    |
| UT50-32-04<br>Rev. 0               | LAND USE HISTORY FILES – IRRIGATION UTILITIES<br>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<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |
| UT50-32-05<br>Rev. 0               | LINE LOCATION REQUESTS – IRRIGATION UTILITIES   | 1 year   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |



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

SUPERSEDED



## 5. POWER DISTRIBUTION

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION                      | DESIGNATION                          |
|------------------------------------|--|---|--------------------------------------|
| UT55-05E-01<br>Rev. 0              | APPARATUS FAILURE REPORTS<br><i>Note: See 18 CFR §125.3 13.</i>  | 3 years   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| UT2010-089<br>Rev. 0               | <b>Control Performance Standards</b><br>Records relating to Control Performance Standards (CPS) submitted to Western Electricity Coordinating Council (WECC) in accordance with BAL-001-0.1a.  | Retain for 1 year after submitted<br>then<br>Destroy. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| UT55-05E-25<br>Rev. 0              | ELECTRICAL WORK PERMITS (HARD CARDS)<br>Permits for individuals to install residential alarms, communications, etc.  | Termination plus 6 years                              | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| UT55-05G-07<br>Rev. 0              | ELECTRICITY DIVERSION INVESTIGATION RECORDS<br>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<br>NON-ESSENTIAL<br>OPR |
| UT55-05E-14<br>Rev. 0              | FACILITY INSPECTION AND MAINTENANCE REPORTS<br>Periodic reports on the condition of substations, underground vaults, and other distribution system facilities.<br><i>Note: See 18 CFR §125.3 14(b).</i>  | 6 years   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION | DESIGNATION                          |
|------------------------------------|---|----------------------------------|--------------------------------------|
| UT55-05E-02<br>Rev. 0              | FACILITY RETIREMENT AUTHORIZATION<br><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<br>NON-ESSENTIAL<br>OPR |
| UT55-05E-03<br>Rev. 0              | FACILITY RETIREMENT WORK ORDER<br>Basic record of facility removal and/or replacement.<br><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<br>NON-ESSENTIAL<br>OPR |
| UT55-05E-04<br>Rev. 0              | INSULATOR TEST RECORDS<br><i>Note: See 18 CFR §125.3 14(d).</i>   | 3 Years                          | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION   |
|------------------------------------|---|---|---|
| UT2010-090<br>Rev. 0               | <p><b><i>Interchange Transactions and Reliability Coordination</i></b><br/>Records relating to the coordination of power distribution through the Western Interconnection electric grid.<br/>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.<br/><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<br/><i>then</i><br/><b>Destroy.</b></p>   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                                      |
| UT55-05E-05<br>Rev. 0              | LIGHTNING AND STORM DATA  | <p><b>Retain</b> until no longer needed for agency business<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br><b>ESSENTIAL</b><br>OFM |
| UT55-05E-06<br>Rev. 0              | LINE INSPECTION REPORTS<br><i>Note: See 18 CFR §125.3 14(b).</i>  | 3 years   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                      |



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





| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|---|---|--|
| UT55-05E-13<br>Rev. 0              | POWER DEMAND CHARTS   | <b>Retain</b> for 6 years<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OFM |
| UT55-05E-17<br>Rev. 0              | STREET LIGHT HISTORY RECORDS  | Life of equipment   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                               |
| UT55-05E-18<br>Rev. 0              | STREET OPENING INSPECTION AND REPAIR REPORTS<br><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<br>NON-ESSENTIAL<br>OFM                               |
| UT55-05E-20<br>Rev. 0              | TRANSFORMER HISTORY DATA – NON-PCB<br>Records documenting the history of transformers which do not contain Polychlorinated Biphenyls (PCBs). Includes specifications, location, and maintenance history.<br><i>Note: See UT55-05E-29 for history data of transformers containing Polychlorinated Biphenyls (PCBs).</i>  | Life of equipment plus 10 years.  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                            |
| UT55-05E-29<br>Rev. 0              | TRANSFORMER HISTORY DATA – PCB<br>Records documenting the history of transformers which contain Polychlorinated Biphenyls (PCBs). Includes specifications, location, and maintenance history.<br><i>Note: See UT55-05E-20 for history data of transformers not containing Polychlorinated Biphenyls (PCBs).</i><br><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<br><b>ESSENTIAL</b><br>OFM                            |

SUPERSEDED



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION | DESIGNATION                             |
|------------------------------------|--|----------------------------------|---|
| UT55-05E-21<br>Rev. 0              | TRANSFORMER INSPECTION REPORTS<br><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<br>NON-ESSENTIAL<br>OFM    |
| UT55-05E-26<br>Rev. 0              | TURBINE HISTORY FILES<br>Documentation of installation, operation, and maintenance logs, etc.<br><i>Note: See 18 CFR §125.2(g)(1).</i>   | Life of equipment                | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |
| UT55-05E-23<br>Rev. 0              | UNDERGROUND LINE FILES<br>Data on underground lines, including location and specification.<br><i>Note: See 18 CFR §125.3 21.</i>   | Life of equipment.               | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM |
| UT55-05E-24<br>Rev. 0              | VOLTAGE CHARTS<br>Documentation of voltage delivered to the power distribution system.<br><i>Note: See 18 CFR §125.3 13.1(b).</i>  | 3 years                          | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM    |



## 6. POWER GENERATION

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION                          |
|------------------------------------|--|--|--------------------------------------|
| UT2010-091<br>Rev. 0               | <p><b>Automatic Generation Control (AGC)</b></p> <p>Records documenting the management of the automatic generation system as it balances power distribution on the electric grid (and deploys reserve power when required).<br/>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<br/><i>then</i><br/><b>Destroy.</b></p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| UT55-05D-01<br>Rev. 0              | <p>BOILER TUBE FAILURE REPORT</p> <p><i>Note: See 18 CFR §125.3 13.1(a).</i></p>   | 3 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| UT55-05D-02<br>Rev. 0              | <p>COAL LOGS</p> <p><i>Note: See 18 CFR §125.3 13.1(a).</i></p>  | 3 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| UT55-05E-27<br>Rev. 0              | <p>DAM SAFETY COMPLIANCE REVIEW FILES - FEDERAL ENERGY REGULATORY COMMISSION (FERC)</p> <p>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<br>NON-ESSENTIAL<br>OFM |



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION  |
|------------------------------------|--|--|--|
| UT55-05D-03<br>Rev. 0              | EQUIPMENT LOGS<br>Records of use and performance, including in and out times.<br><i>Note: See 18 CFR §125.3 13.1(b).</i>   | 3 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                     |
| UT55-05D-04<br>Rev. 0              | FISH COUNT REPORTS<br>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.   | Retain for 10 years<br><i>then</i><br>Transfer to Washington State Archives for appraisal and selective retention. | ARCHIVAL<br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| UT55-05D-05<br>Rev. 0              | GAUGE READING REPORTS (OTHER THAN WATER OR RIVER FLOW)<br><i>Note: See 18 CFR §125.3 13.1(f).</i>  | 2 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                     |
| UT55-05D-06<br>Rev. 0              | GENERATION AND OUTPUT LOGS WITH SUPPORTING DATA<br><i>Note: See 18 CFR §125.3 13.1(b).</i>   | 6 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                     |
| UT55-05D-07<br>Rev. 0              | HIGH-TENSION AND LOW-TENSION GENERATING LOAD RECORDS<br><i>Note: See 18 CFR §125.3 13.1(d).</i>  | 3 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                     |
| UT55-05D-08<br>Rev. 0              | HYDRO-ELECTRIC OPERATIONS LOGS AND REPORTS<br>Includes daily and hourly logs, shift records, supervisors and plant operations daily diaries. May be needed for documentation of issues in litigation.<br><i>Note: See 18 CFR §125.3 14(b) and 18 CFR §125.3 13.1(b).</i> | 3 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                     |

SUPERSEDED



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

**SUPERSEDED**



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|--|---|--|
| UT2012-013<br>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<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OPR</p> |



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|---|---|--|
| UT2012-014<br>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<br/><i>then</i><br/><b>Destroy.</b></p>   | <p>NON-ARCHIVAL<br/>NON-ESSENTIAL<br/>OPR</p>                                |
| UT55-05D-12<br>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<br/><i>then</i><br/><b>Transfer</b> to Washington State Archives for appraisal and selective retention.</p> | <p><b>ARCHIVAL</b><br/>(Appraisal Required)<br/><b>ESSENTIAL</b><br/>OFM</p> |



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

SUPERSEDED





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

**SUPERSEDED**



## 7. SEWER AND WATER SYSTEM DOCUMENTATION

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION                          |
|------------------------------------|--|---|--------------------------------------|
| UT55-06A-03<br>Rev. 0              | BACKFLOW INCIDENT RECORDS<br>Documentation of incidents of backflow contamination in water systems.<br><i>Note: See WAC 246-290-490 (8)(a)(iii).</i>   | 5 years   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| UT55-06A-01<br>Rev. 0              | BACKFLOW PREVENTER INSPECTION AND INVENTORY<br>Documentation required to be maintained on individual approved backflow preventers installed at water system service connections.<br><i>Note: See WAC 246-290-490 (8)(a)(ii).</i> | 5 years or life of backflow preventer, whichever is shorter.  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| UT55-06A-02<br>Rev. 0              | BACKFLOW PREVENTER MASTER LIST<br>Master list of connections and premises for which backflow preventers are required, including names and addresses of owners.<br><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<br>NON-ESSENTIAL<br>OPR |
| UT55-06B-01<br>Rev. 0              | CAPACITY STUDIES – SEWAGE TREATMENT PLANTS<br>Studies of peak and average flow used to evaluate the status of treatment plant operating capacity.  | 3 years   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION   |
|------------------------------------|---|--|---|
| UT55-06A-27<br>Rev. 0              | CHEMICAL ANALYSIS REPORTS – REGULATORY COMPLIANCE<br>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.<br><i>Note: See 40 CFR § 141.33 and WAC 246-290-480(a).</i>                                     | <b>Retain</b> for the life of the water system<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| UT55-06A-28<br>Rev. 0              | CHEMICAL RAW DATA RECORDS – REGULATORY COMPLIANCE<br>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.<br><i>Note: See 40 CFR § 141.33; WAC 246-290-480(a).</i> | Life of water system   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| UT55-06A-25<br>Rev. 0              | CROSS-CONNECTION CONTROL ANNUAL SUMMARY REPORTS<br>Annual reports summarizing cross-connection control activities by water utilities required by the Washington State Department of Health.<br><i>Note: See WAC 246-290-490 (8)(a)(iii).</i>  | 5 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| UT55-06A-35<br>Rev. 0              | DEFECTIVE SIDE SEWER NOTICE<br>Notification sent to individual property owners with defective side sewers, including a description of defects and requirements for repair.  | 6 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| UT55-06B-02<br>Rev. 0              | DISCHARGE MONITORING REPORTS – SEWAGE TREATMENT PLANTS<br>Daily reports required by the Washington State Department of Ecology.   | 6 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |



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



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



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION  |
|------------------------------------|---|------------------------------------|--|
| UT55-06A-29<br>Rev. 0              | LEAD AND COPPER COMPLIANCE RECORDS<br>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.<br><i>Note: See 40 CFR § 141.91.</i> | End of calendar year plus 12 years | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                               |
| UT55-06A-30<br>Rev. 0              | LIMNOLOGY REPORTS<br>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<br>NON-ESSENTIAL<br>OPR                               |
| UT55-06A-11<br>Rev. 0              | MANHOLE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION<br>Documentation of location, installation, size, flow direction, maintenance, materials, etc.   | PERMANENT                          | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |
| UT55-06A-18<br>Rev. 0              | MAPS AND GEOGRAPHIC DATA – SEWER AND WATER SYSTEM DOCUMENTATION   | PERMANENT                          | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| UT55-06A-12<br>Rev. 0              | METER RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION<br>Account of water meter installation, serial number, location, etc.  | Life of equipment                  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |
| UT55-06B-06<br>Rev. 0              | OPERATIONS AND MAINTENANCE MANUALS – SEWAGE TREATMENT PLANTS  | PERMANENT                          | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                            |



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|---|---|--|
| UT55-06B-08<br>Rev. 0              | OPERATORS LOG – SEWAGE TREATMENT PLANTS   | PERMANENT   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OPR                                |
| UT55-06A-13<br>Rev. 0              | PIPE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION<br>Records of pipe installation, location, specifications, maintenance history, etc.  | Life of equipment   | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                                |
| UT55-06A-14<br>Rev. 0              | POLLUTION AND POLLUTION CONTROL STUDIES – SEWER AND WATER SYSTEM DOCUMENTATION<br>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<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OFM |
| UT55-06A-15<br>Rev. 0              | POLLUTION CONTROL INSPECTION REPORTS – SEWER AND WATER SYSTEM DOCUMENTATION<br>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<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OFM |
| UT55-06A-19<br>Rev. 0              | PROJECT FILES – SEWER AND WATER SYSTEM DOCUMENTATION<br>Official account of various water system construction projects, including work orders, ledgers, studies, etc.   | Life of facility plus 6 years   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION                                     | DESIGNATION  |
|------------------------------------|--|--|--|
| UT55-06A-31<br>Rev. 0              | SANITARY SURVEY COMPLIANCE FILES<br>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.<br><i>Note: See WAC 246-290-480(c).</i> | Completion of survey and applicable corrective action plus 10 years. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |
| UT55-06A-16<br>Rev. 0              | SEWER JETTING AND VACTORING RECORDS<br>Documentation of routine cleaning of sewer lines.   | 3 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                                   |
| UT55-06B-12<br>Rev. 0              | SURFACE WATER GROUNDWATER PERMIT FILES<br>Documents the amount, function, and use of surface and groundwater. Includes background and permit files   | Termination of permit plus 6 years.                                  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                                   |
| UT55-06A-20<br>Rev. 0              | VALVE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION<br>Account of valve location, specifications, maintenance history, etc.   | Life of equipment  | NON-ARCHIVAL<br><b>ESSENTIAL</b><br>OFM                                |
| UT55-06B-10<br>Rev. 0              | VIBRATION ANALYSIS DATA – SEWAGE TREATMENT PLANTS<br>Data collected on treatment plant equipment for use in preventative maintenance and troubleshooting.  | 3 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM                                   |
| UT55-06A-22<br>Rev. 0              | WATER AND SEWER SYSTEM COMPREHENSIVE PLANS   | PERMANENT  | <b>ARCHIVAL</b><br><b>(Appraisal Required)</b><br>NON-ESSENTIAL<br>OPR |

SUPERSEDED





| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION                              | DESIGNATION                          |
|------------------------------------|--|---|--------------------------------------|
| UT55-06A-26<br>Rev. 0              | WATER AND SEWER SYSTEM EMERGENCY INCIDENT REPORTS<br>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<br>NON-ESSENTIAL<br>OPR |
| UT55-06A-36<br>Rev. 0              | WATER AVAILABILITY / SEWER SYSTEM HOOKUP REQUEST FORMS<br>May be required for building permit for properties hooked up to a provider's water supply and/or sewer system.   | 2 years   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| UT55-06B-11<br>Rev. 0              | WATER CONSUMPTION REPORTS – SEWAGE TREATMENT PLANTS  | 6 years   | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| UT55-06A-32<br>Rev. 0              | WATER FACILITIES INVENTORY (WFI) FORM<br>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<br>NON-ESSENTIAL<br>OPR |
| UT55-06A-33<br>Rev. 0              | WATER QUALITY MONITORING WAIVERS<br>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.<br><i>Note: See 40 CFR § 141-33(d).</i>                      | Upon revocation, expiration or denial of waiver plus 6 years. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

SUPERSEDED



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION   |
|------------------------------------|---|--|---|
| UT55-06A-34<br>Rev. 0              | <b>WATER QUALITY VIOLATION NOTICES</b><br>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.).<br>Note: See WAC 246-290-480(f). | <b>Retain</b> for 6 years after issuance of notice<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| UT55-06A-21<br>Rev. 0              | <b>WATER TEST REPORTS</b><br>Tests and correspondence related to Health Department or District requirements.  | 6 years  | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR                            |
| UT55-06A-23<br>Rev. 0              | <b>WILDLIFE HABITAT MANAGEMENT PLAN – SEWER AND WATER SYSTEM DOCUMENTATION</b>  | PERMANENT  | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |

**SUPERSEDED**



## 8. SURFACE WATER DRAINAGE DOCUMENTATION

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

SUPERSEDED



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION   | DESIGNATION  |
|------------------------------------|--|--|--|
| UT50-27-05<br>Rev. 0               | DRAINAGE BASIN AND WATERSHED HISTORY FILES<br>Background documentation for planning and capital improvement projects as well as lawsuits.                                    | <b>Retain</b> until no longer needed for agency business<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM    |
| UT50-27-06<br>Rev. 0               | FLOOD CONTROL PLAN<br>Comprehensive management plans for flood control within the agency's jurisdiction.   | Clerk of governing council, commission, or board -<br><b>PERMANENT</b> - 1 copy archival.  | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |
| UT50-27-07<br>Rev. 0               | FLOOD CONTROL PLAN DEVELOPMENT FILES<br>Documentation of the development of the agency's current flood control plan.   | <b>Retain</b> until no longer needed for agency business<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM    |
| UT50-27-08<br>Rev. 0               | FLOOD DAMAGE SURVEY REPORTS<br>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<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention.                                | <b>ARCHIVAL</b><br>(Appraisal Required)<br><b>ESSENTIAL</b><br>OPR |

SUPERSEDED



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS  | RETENTION AND DISPOSITION ACTION   | DESIGNATION   |
|------------------------------------|---|--|---|
| UT50-27-09<br>Rev. 0               | FLOOD FILES<br>Documentation of significant individual floods and flooding issues.  | <b>Retain</b> for 6 years<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention.                            | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| UT50-27-10<br>Rev. 0               | MONITORING, TEST AND SAMPLE DATA SURFACE WATER, DRAINAGE, AND FLOOD CONTROL<br>Surface water, flood, and drainage related data collected by the agency, including stream flow, rainfall, and water samples. | <b>Retain</b> for 6 years<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention.                            | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |
| UT55-06A-24<br>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<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention. | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OPR |
| UT50-01-57<br>Rev. 0               | PLANNING REPORTS, STUDIES, MODELS AND ANALYSIS – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL   | <b>Retain</b> for 5 years<br><i>then</i><br><b>Transfer</b> to Washington State Archives for appraisal and selective retention.                            | <b>ARCHIVAL</b><br>(Appraisal Required)<br>NON-ESSENTIAL<br>OFM |



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



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



## 9. UTILITIES ACCOUNTING

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





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



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



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



## 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.*



**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.**

**SUPERSEDED**

**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.*



**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.



**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.



### **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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"LGRRS" refers to the Local Government General Records Retention Schedule.**

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