

Summary of Changes

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

New Records Series Added

- Three (3) new records series have been added to this records retention schedule:
 1. **Electric Reliability Standards Compliance Program Documents and Evidence (Not Submitted for Audit) (DAN UT2021-001) p.7**
“Retain until completion of audit (Non-Archival)”
Rationale: Retention based on NERC’s Compliance Monitoring and Enforcement Program Rules of Procedure: Appendix 4C, Section 3.1.4.2.
 2. **Electric Reliability Standards Compliance Program Documents and Evidence (Submitted for Audit) (DAN UT2021-002) p.8**
“Retain for 8 years after completion of audit and investigations completed/violations corrected (if any) (Non-Archival)”
Rationale: Retention based on NERC’s Compliance Monitoring and Enforcement Program Rules of Procedure: Appendix 4C, Section 3.1.4.2.
 3. **Security—Reportable Cyber Security Incidents (Electric Power Agencies) (DAN UT2021-003) p.20**
“Retain for 3 years after date of incident and investigations completed/violations corrected (if any) (Non-Archival)”
Rationale: Retention based on CIP-008-5.

Retention Changes

- Eleven (11) records series have changes to their retention period/cutoff:
 1. **Automatic Generation Control (AGC) (DAN UT2010-091) p.29**
Increased from “1 year after data collected (Non-Archival)” to “3 years after end of calendar year and investigations completed/violations corrected (if any) (Non-Archival)”
Rationale: Retention based on BAL-005-1.
 2. **Control Performance Standards (DAN UT2010-089) p.24**
Increased from “1 year after submitted (Non-Archival)” to “3 years after end of calendar year and investigations completed/violations corrected (if any) (Non-Archival)”
Rationale: Retention based on BAL-001-2.
 3. **Electric Power Reports Required by Regulatory Agencies and Commissions (DAN UT55-05D-21) p.7**
Increased from “5 years after submitted to regulatory agency (Archival-Appraisal Required) to “6 years after submitted to regulatory agency and dismissal or completion of enforcement actions (if any) (Archival-Appraisal Required)”
Rationale: Retention based on 18 CFR §125.3 41 and WECC auditing recommendations.
 4. **Electrical Work Permits (DAN UT55-05E-25) p.24**
Changed from “6 years after termination (Non-Archival)” to “6 years after expiration/termination of permit (Non-Archival)”

5. **Interchange Transactions and Reliability Coordination (DAN UT2010-090) p.26**
 Changed from “3 months or 90 days after report of data, whichever is later (Non-Archival)” to “3 months after end of calendar month and investigations completed/violations corrected (if any) (Non-Archival)”
Rationale: Retention based on INT-004-3.1, INT-009-2, and INT-010-2.
6. **Security—Cyber Vulnerability Assessments (Electric Power Agencies) (DAN UT2010-088) p.17**
 Increased from “1 year after completion of assessment (Non-Archival)” to “3 years after end of calendar year and investigations completed/violations corrected (if any) (Non-Archival)”
Rationale: Retention based on CIP-005-5.
7. **Sanitary Survey Compliance Files (DAN UT55-06A-31) p.41**
 Changed from “10 years after completion of survey and applicable corrective action (Non-Archival)” to “10 years after completion of survey and violations corrected (if any) (Non-Archival)”
Rationale: Retention based on WAC 246-290-480(1)(e).
8. **Utility Infrastructure (Location and Specifications) (was Underground Line Files) (DAN UT55-05E-23) p.13**
 Changed from “Retain for life of equipment (Non-Archival)” to “Retain until infrastructure is removed (Non-Archival)”
Rationale: Retention Based on WAC 246-290-480(1)(d).
9. **Utility Meter Readings – For Billing (DAN UT55-05B-18) p.55**
 Changed from “3 years after end of fiscal year (Non-Archival)” to “3 years after end of fiscal year or until completion of State Auditor’s examination, whichever is sooner (Non-Archival)”
10. **Water Quality Violation Notices (DAN UT55-06A-34) p.43**
 Increased from “6 years after issuance of notice (Archival-Appraisal Required)” to “10 years after last corrective action taken (Archival-Appraisal Required)”
11. **Water/River Flow Gauge-Reading Reports (DAN UT55-05D-19) p.34**
 Changed from “Until no longer needed for agency business (Archival-Permanent)” to “Life of corporation (Archival (Permanent))”
Rationale: Retention based on 18 CFR §125.3 13.1(f).

Other Minor Changes

- Eleven (11) records series have changes to their title and/or description:
 1. **Automatic Generation Control (AGC) (DAN UT2010-091) p.29**
 2. **Coal Logs (DAN UT55-05D-02) p.29**
 3. **Control Performance Standards (DAN UT2010-089) p.24**
 4. **Electrical Work Permits (DAN UT55-05E-25) p.24**
 5. **Interchange Transactions and Reliability Coordination (DAN UT2010-090) p.26**

6. **Sanitary Survey Compliance Files (DAN UT55-06A-31) p.41**
7. **Security—Cyber Vulnerability Assessments (DAN UT2010-088) p.17**
8. **Street Opening Inspection and Repair Reports (DAN UT55-05E-18) p.27**
9. **Utility Infrastructure (Location and Specifications) (was Underground Line Files) (DAN UT55-05E-23) p.13**
10. **Utility Meter Readings – For Billing (DAN UT55-05B-18) p.55**
11. **Water Quality Violation Notices (DAN UT55-06A-34) p.43**

Essential Designation Changes

- None

Archival Designation Changes

- None

Archival Series Being Revoked

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

Non-Archival Series Being Revoked

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

6. **Meter Records—Sewer and Water System Documentation (DAN UT55-06A-12)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23)
7. **Pipe Records—Sewer and Water System Documentation (DAN UT55-06A-13)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)
8. **Pole List (DAN UT55-05E-12)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23)
9. **Street Light History Records (DAN UT55-05E-17)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)
10. **Valve Records—Sewer and Water System Documentation (DAN UT55-06A-20)** covered by Utility Infrastructure (Location and Specifications) (DAN UT55-05E-23), Maintenance – Major and/or Regulated (DAN GS2012-039), and Maintenance – Minor Non-Regulated (DAN GS2012-040)

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