



NYC SUPPLEMENTAL RECORDS RETENTION AND DISPOSITION SCHEDULE

Department of
Records and
Information
Services

December 2018

Introduction

This **Supplemental Records Retention and Disposition Schedule** “Supplemental Retention Schedule” Schedule has been developed by the Department of Records and Information Services “DORIS,” in consultation with the Law Department to supplement the use of the New York State Schedules, the MU-1 or ED-1. The purposes of this Schedule are to:

- (1) ensure that records are retained in accordance with their respective administrative, legal and fiscal purposes;
- (2) ensure compliance with all relevant city, state and federal standards;
- (3) ensure that record series with enduring historical and other research value are identified and retained permanently in the New York City Municipal Archives; and
- (4) encourage and facilitate the systematic disposal of obsolete records.

City agencies should review the Records Retention and Disposition Schedule (MU-1, or ED-1 for the Department of Education) prepared and issued by the New York State Archives and Records Administration (SARA) for guidance on retaining most records.

The Supplemental Schedule provides retention periods, specifically for New York City agencies that differ from the retention periods recommended by the MU-1, in order to satisfy business, legal, audit and legal requirements. Agencies should adhere as closely as possible to the retention periods prescribed on the General Retention Schedule and the Supplemental Retention Schedule.

Retention that differs from the guidance in the Supplemental Schedule should be submitted to DORIS, for review by DORIS and the NYC Law Department.

We will continue to review and update the Supplemental Retention Schedule. These updates may include the addition, modification, and/or deletion of records categories descriptions and retention periods.

December, 2018

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RETENTION CATEGORY	CATEGORY DESCRIPTION	RETENTION
<p>1. ATTENDANCE AND LEAVE RECORDS</p>	<p>3.[366] Employee's time records covering leave, absences, hours worked and scheduling, and including but not limited to employee's time cards or sheets, request for change of work schedule, vacation schedule, report of absence and request for leave without pay.</p>	<p>RETENTION: 0 retention by agency, CityTime is the official record holder.</p>
	<p>Physical Timesheets</p> <p>Employee's time records that are manually entered into CityTime.</p>	<p>RETENTION: 3 years after the data has been entered into the CityTime.</p> <p>CityTime is the official record holder.</p>
<p>2. AUDIT</p>	<p>Reports</p> <p>1.[260] Report of audit of financial affairs</p> <p>a. Audit filed pursuant to Section 35, General Municipal Law, conducted by New York City Comptroller's Office or by the NYS Comptroller's Office</p>	<p>RETENTION: Permanent.</p>
	<p>Workpapers / Background Documentation</p> <p>b. including summaries, posting records, and related records created by an auditing office as part of the auditing procedure.</p>	<p>RETENTION: 6 years.</p>
	<p>c. Internal audits, conducted by NYC officials.</p>	<p>RETENTION: 6 years.</p>

3. CAPITAL BUDGET	1.[418] Annual expenditure report or budget submitted to City, State or Federal agencies.	RETENTION: 1 year agency retention. OMB is the official record holder. Copies are also in the NYC Municipal Library.
	2.[54] Annual budget a. Official copy when not included in minutes.	RETENTION: 1 year agency retention. OMB is the official record holder. Copies are also in the NYC Municipal Library.
4. AGENCY HEAD GENERAL SUBJECT FILES	Agency Head subject files: including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts, and other legal documents.	RETENTION: 1 year after the agency head's term ends; offer to MA.
	1.[581] Citywide Elected Officials: Mayor, Comptroller, Public Advocate: office files, including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts, and other legal documents a. Where file documents a significant subject, or major policy-making or program-development process.	RETENTION: End of service; offer to MA.
	2. City Council Member Files: office files, including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts, and other legal documents. a. Where file documents a significant subject, or major policy-making or program-development process.	RETENTION: End of service; offer to MA.
5. DISCIPLINARY CASE FILES	2.[365] Investigative Records and Disciplinary Proceedings, including but not limited to statement of charge, transcript of hearing, notice of decision, letter of termination or	RETENTION: 56 years after the employee leaves city service.

	<p>resignation, letter of reinstatement, record of appeal procedure, and correspondence:</p> <p>NOTE: Records covered by this item may be destroyed before this retention period has been reached, if specified either in a union contract or settlement between the employer and employee.</p>	
	<p>1.[294] Individual complaint or problem case file of human rights, economic opportunity, equal employment, community relations or similar function, including individual case summary record</p> <p>These individual complaint files should be stored separately from the Personnel Files.</p> <p>NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be transferred to the MA. Contact NYC Department of Records</p>	<p>RETENTION: 56 years after the employee leaves city service.</p>
<p>6. EEO FILES</p>	<p>Diversity and EEO Plans</p> <p>8.[371] Diversity and EEO plans set forth the annual strategies established by agency heads, focused on diversity, inclusion and EEO compliance. Agency heads are required by the NYC Charter to annually prepare, adopt and implement.</p>	<p>RETENTION: 10 years from the date of the report.</p> <p>Citywide Diversity and EEO is the official record holder.</p>

	<p>Reports of Audits of Diversity and EEO Programs</p> <p>a. Documents submitted in response to audits by the NYC Equal Employment Practices Commission (EEPC), or any other government agency audits of EEO Programs</p>	<p>RETENTION: 5 years from date of the report.</p> <p>Citywide Diversity and EEO is the official record holder.</p>
	<p>Quarterly and Annual Reports</p> <p>b. Periodic reports, statistics and other records used in compiling annual, long-term or special (narrative or statistical) reports, goals and achievements:</p>	<p>RETENTION: 10 years from date of the report.</p> <p>Citywide Diversity and EEO is the official record holder.</p>
	<p>Discrimination Complaint Case Files</p> <p>c. Includes agency's files containing complaints with related correspondence, reports, exhibits, withdrawal notices, copies of decisions, records of interviews and meetings, and any other records related to the complaint. Includes documents held by Diversity and EEO office related to internal and external complaints of litigation.</p>	<p>RETENTION: 56 years after the employee leave city service.</p>
<p>7. FOIL REQUEST/PUBLIC ACCESS TO RECORDS</p>	<p>1.[409] Freedom of Information records request file</p> <p>a. Request for access to public records, when request is granted:</p>	<p>RETENTION: 6 years.</p>

	b. Request for access to public records, when request is denied, including statement of denial, appeal records, documentation of review and decision:	RETENTION: 6 years after final determination.
	c. Certificate that record does not exist or cannot be found:	RETENTION: 6 years.
8. GENERAL CORRESPONDENCE	10.[10] Correspondence, and supporting documentation maintained in a subject file (generated or received by City office/agency), except correspondence that is part of a case file or other record series listed elsewhere on this Schedule. a. Containing routine legal, fiscal or administrative information:	RETENTION: 6 years.
	b. Of no fiscal, legal or administrative value (including letters of transmittal, invitations and cover letters).	RETENTION: 0 retention. Convenience copies.
9. INCIDENT REPORT	Report of incident of theft, arson, vandalism, property damage or similar occurrence: NOTE: This item does not apply to records found in the public safety area. See the Public Safety section of the NYS Records and Disposition Schedules (MU-1).	RETENTION: 6 years.
10. MEDICAL RECORDS	22.[384] Employee medical records a. First aid records of one-time treatment and subsequent observation of minor illnesses and injuries, as defined in 29 CFR 1910.1020 (d-1) (i-B), if made on-site by a non-physician and maintained	RETENTION: 3 years after completion of treatment and subsequent observation.

	separately from the employee medical records.	
	b. Medical records, other than those covered by part “a”, including medical questionnaires and histories, FMLA and the results of medical examinations and laboratory tests, medical opinions, diagnoses and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints, and related records.	RETENTION: 56 years after the employee leaves city service.
11. PAYMENT VOUCHERS	1.[275] Claim for payment (approved or disallowed), including claim, vendor's voucher and bill:	RETENTION: 6 years
	3.[278] Summary record of outstanding or paid warrants or claims:	RETENTION: 6 years
12. INVOICE	5.[564] Invoice, packing slip, shipping ticket, copy of bill of lading or similar record used to verify delivery and/or receipt of materials or supplies.	RETENTION: 6 years.
13. PERSONNEL/CIVIL SERVICE	1.[364] Personnel records of NYC Employees (includes volunteers and interns)	RETENTION: 56 years after the employee leaves city service.
	b. Personnel case file materials, except summary information record, and including but not limited to application for	

	employment, resume, report of personnel change, evaluation, civil service examination results, notice of resignation or termination, and correspondence.	
14. PETTY CASH	5.[249] Cash transaction record showing cash received from collection of various fees and petty cash disbursed.	RETENTION: 7 years.
15. PROCUREMENT FILES	1.[559] Purchase order, purchase requisition, or similar record, used to obtain materials, supplies, or services. 2.[561] Purchasing file, including but not limited to bid (successful, unsuccessful), contract and specifications, and related records, for purchase of materials, supplies and services not connected with capital construction.	RETENTION: 7 years.
16. CONTRACTS	6.[6] Legal agreement, including personal service contracts, lease, and release involving NYC agencies. NOTE: This item does not apply to contracts (collective bargaining agreements) between a local government and a public employee labor organization. These contracts are covered by item no. 375 in the Personnel/Civil Service section, and must be retained permanently by the negotiating agency.	RETENTION: 7 years after the close of the contract.
17. CITY-OWNED BUILDINGS: OFFICIAL PLANS, MAPS, ARCHITECTURAL DRAWINGS AND PHOTOGRAPHS	RESERVED	RESERVED

18. PAYROLL	REGISTER 320 (PAPER & MICROFILM) Maintained as primary source for agency payroll data. Report lists pay date and cycle, entity, payroll distribution code, name, social security number, pension number and designator, marital status, gross pay data, deductions and related information.	RETENTION: 0 after no longer needed.
	PAYCYCLE EVENT DETAIL 700 (PAPER & MICROFILM) Provides detailed account of pay and leave transactions with current pay cycle processed deduction and summary adjustments. Report lists payroll number and distribution code, employee's title, budget code, pension and salary, transaction indicator, detail type, event codes, units entered, event amount, effective date gross pay, total deductions and net pay.	RETENTION: 0 after no longer needed.
	QUARTERLY EARNINGS REPORT (366) Report lists accumulated employee earning and taxes. Sorted by social security number, and various other criteria.	RETENTION: 56 years. 1960-1973 & 1984 (retained by agency) >1974 (retained by OPA-FISA; 1974-2000 stored on microfiche)
	QUARTERLY PAYMENT SUMMARY REPORT (990) Report lists quarterly payroll deductions and details entity, pay cycle, payroll number, pay deduction description.	Agencies may destroy convenience copies after 1 year. This does not include the DOE, NYCHA or HHC or CUNY.
19. CAPITAL CONSTRUCTION CONTRACTS OR PUBLIC	Including but not limited to bids, specifications, contracts,	RETENTION: 6 years after the close of the project.

<p>IMPROVEMENT PROJECT FILE</p>	<p>performance guarantees, inspection reports, and environmental impact statements.</p> <p>a. Feasibility studies; successful bids; plans, specifications and designs; project description; in-progress and completion photographs; inspection reports; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; and significant correspondence.</p> <p>NOTE: Appraise these records for historical significance prior to disposition. Records for important projects or historic structures have historical value and should be retained permanently. Contact the NYC Municipal Archives for additional advice.</p>	<p>RETENTION: 6 years after building or facility no longer exists or is no longer owned by local government.</p>
<p>20. CREDIT CARD RECORDS</p>	<p>Documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted, with full credit card information.</p>	<p>RETENTION: 0 after no longer needed.</p>

	A. Documenting payments received by credit cards or electronic transactions, including credit card payment receipts, and statements showing amounts of payments received and fees deducted, with partial credit card information or no credit card information.	RETENTION: 6 years after payment is received.
21. SOCIAL MEDIA	Tools and platforms that people use to publish, communicate and share information, and user-generated content online. Social media includes blogs, wikis social networks, photo libraries, virtual worlds, location-based services and video sharing sites.	RETENTION: Permanent; the responsible agency must register the platform(s) and content is automatically transferred to the Municipal Library.
22. EMAIL	<i>Non-Policymakers:</i> Email (including calendars, appointments, tasks and attachments) created and received by agency employees not designated as having substantial policy discretion under section 26704(b)(12)(15) of the City Charter. Non-record email (transitory, personal, spam) may be culled upon receipt.	RETENTION: 8 years.
	<i>Policymakers:</i> Policymakers are the employees designated by the agency head as having substantial policy discretion under section 2604(b) (12)(15) of the City Charter. Agency General Counsel may assign capstone status to select users not designated as policymakers.	RETENTION: End of service; offer to MA.

	<p>Email created and received by senior officials in the process of conducting business on behalf of New York City, including calendars, appointments, tasks and associated attachments. Non-record email (transitory, personal, spam) may be culled.</p>	
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23. WEBSITES	A set of interconnected webpages, usually including a homepage, generally located on the same server, and prepared and maintained as a collection of information by a person, group, or organization.	
	Agency Web Site Content	RETENTION: PERMANENT; Web Content on sites will automatically be transferred to the Municipal Library.
	All Related Web Management & Operations Records	RETENTION: Retain at the agency for 6 years and then dispose.
24. ACTIVE AGENCY RECORDS.	ACTIVE RECORDS	RETENTION: PERMANENT. NOTE: Agency Records that are used on a continuous basis for administrative, legal, fiscal or other value to warrant continued preservation.
	INACTIVE RECORDS	RETENTION: 25 YEARS Records that are listed on an agency's retention schedule as having a permanent retention period but have not been used in an administrative, legal or fiscal capacity in 25 years. NOTE: These records should be reviewed by the NYC Municipal Archives for historical value and determination whether to continue the retention period or to deem the records historical and transfer to the Municipal Archives for continued permanent preservation.

<p>25. LEGAL CASE FILES</p>	<p>Legal case files, including but not limited to notice of claim, attorney and investigator activity logs, complaints, court order, motions, notes, briefs, releases and closing sheet. Includes chronological listing of case history and related events, and notations on case-related activities.</p>	<p>RETENTION PERIOD: CL=Close of Case.</p> <p>Retain for twelve (12) years after close of case.</p>
<p>26. REGULATION AND RULEMAKING FILES</p>	<p>Correspondence, and supporting documentation maintained in a subject file, concerning Regulatory and or Rulemaking processes and significant policy or decision making, or significant events. Most correspondence is with the Office of the Mayor, and includes background documentation on CAPA ("City Administrative Procedure Act") process for new rules and amendments.</p>	<p>RETENTION: PERMANENT: MA = Municipal Archives.</p>
<p>27. UNION LABOR MANAGEMENT MEETING FILES</p>	<p>Labor management meeting records, including meeting agenda, correspondence, and other related records.</p>	<p>RETENTION: Retain for six (6) years.</p>

<p>28. MINORITY AND WOMEN-OWNED BUSINESS VENDOR FILES</p>	<p>Summary record listing agency outreach to minority and women-owned businesses, including agency filings and correspondence with the Mayor's Office of Minority and Women-owned Business Enterprises, Small Business Services, and Mayor's Office of Contract Services. Includes supporting documentation maintained in subject files, evidencing agency decision-making regarding M/WBE efforts and procurements.</p>	<p>RETENTION: Retain for six (6) years. List is administered by the Mayor's office of Minority and Women-Owned Business Enterprises (M/WBE).</p>
<p>29. EMPLOYEE JOB CLASSIFICATION FILES</p>	<p>Records include attorney review and analysis of job duties and classification/reclassification and supporting documentation regarding agency policy and actions.</p>	<p>RETENTION PERIOD: Retain for ten (10) years</p>

<p>30. MANUAL OF PROCEDURES</p>	<p>Documentation involving routine day-to-day procedures. Includes policies and standards pertaining to internal administration of agency.</p>	<p>RETENTION PERIOD: SU=Superseded. Retain for six (6) years after superseded.</p>
<p>31. LOGS AND STATISTICAL REPROTS</p>	<p>Daily, weekly, monthly, quarterly, or other periodic internal or external reports, summaries, reviews, evaluation, logs, lists, statements, or statistics.</p>	<p>RETENTION PERIOD: Retain for twelve (12) years.</p>
<p>32. INTELLECTUAL PROPERTY CASE FILES/COPYRIGHT</p>	<p>Copyright records, for materials copyrighted by the agency (or City). Including but not limited to: Copy of application, notice of copyright, and correspondence.</p>	<p>RETENTION PERIOD: EX=Expiration. Retain for six (6) years after expiration of copyright.</p>
<p>33. DISASTER PREPAREDNESS FILES</p>	<p>Background materials and supporting documentation used in preparation of disaster preparedness or crisis relocation plans.</p>	<p>RETENTION PERIOD: SU=Superseded. Retain for three (3) years after superseded.</p>
<p>34. SPECIAL FRANCHISE AND CONCESSION FILES</p>	<p>Records document franchises or concessions granted by the City to private organizations. Includes: Applications, record of negotiations, franchise bonds, consumer surveys, reports, and correspondence.</p>	<p>RETENTION PERIOD: EX=Expiration. Retain for six (6) years after expiration.</p>

