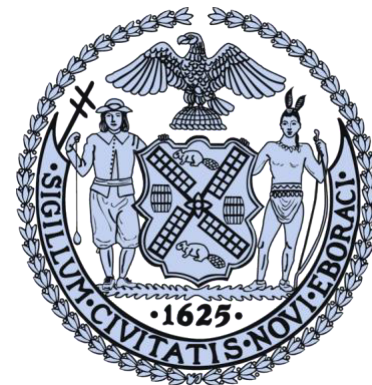


NYC SUPPLEMENTAL RECORDS RETENTION AND DISPOSITION SCHEDULE



Department of
Records and
Information
Services

September 2023

OUT THIS SCHEDULE

This **Supplemental Records Retention and Disposition Schedule** “*Supplemental Retention Schedule*” has been developed by the Department of Records and Information Services “DORIS” after consultation with the Law Department and other stakeholders. It supersedes guidance for certain record series found in the retention schedules developed by the New York State Archives. 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.

New York City agencies and offices should review the new schedule, **Retention and Disposition Schedule for New York Local Government Records (LGS-1)**, which supersedes and replaces the CO-2, MU-1, MI-1, and ED-1 Schedules.

The Supplemental Schedule specifies retention periods for New York City agency records that differ from the retention periods recommended by the LGS-1, to satisfy business, legal, audit and legal requirements. Agencies should adhere as closely as possible to the retention periods prescribed on the Local Government Records (LGS-1) and the Supplemental Retention Schedules.

Proposed retention periods that differ from the guidance in the Supplemental Schedule should be submitted to DORIS prior to implementation.

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

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RETENTION CATEGORY	CATEGORY DESCRIPTION	RETENTION PERIOD
I. GENERAL ADMINISTRATION		
1. Active Agency Records	1.1.1 Agency Active Permanent Records	PERMANENT. NOTE: Agency Records that are used on a continuous basis for administrative, legal, fiscal, or possess other value to warrant continued preservation.
	1.1.2 Inactive Permanent Records	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 or used only infrequently. NOTE: These records should be reviewed by the NYC Municipal Archives for historical value and determination whether to 1) continue the retention period, 2) deem the records historical and transfer to the Municipal Archives for continued permanent preservation or 3) recommend destruction <i>Supersedes [LGS-1 (2022) item 88,90,92; pg.20].</i>

<p>2. Agency Head’s General Subject Files</p>	<p>1.2.1 Agency Head subject files: including but not limited to correspondence, memoranda, reports, studies, publicity items.</p>	<p>1 year after the agency head’s term ends; offer to MA.</p>
	<p>1.2.2 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 when the record documents a significant subject, major policymaking initiative or program-development process.</p> <p>1.2.3 Borough President Files office files, including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts, and other legal documents when the record documents a significant subject, major policymaking initiative, or program-development process.</p> <p>1.2.4 City Council Member Files: office files, including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts, and other legal documents When the record documents a significant subject, major policymaking initiative, or program-development process.</p>	<p>End of service; offer to MA.</p> <p>MA=Municipal Archives.</p> <p>Supersedes [LGS-1 (2022) item 471, pg.118]</p>

<p>3. City-Owned Building data – Official Plans, Maps, Architectural Drawings and Photographs</p>	<p>1.3.1 Feasibility studies; successful bids; plans, specifications, and designs; project description; in-progress and completion photographs.</p> <p>1.3.2 Architecture Project Files; construction inspection reports; final or "as built" plans, maps, designs, sketches, architectural drawings and photographs; environmental impact statement; annual project statement; fiscal and other final reports; significant change orders; retrofitting records; and significant correspondence.</p>	<p>PERMANENT Offer to the M.A. if no longer a City-owned building.</p> <p><i>Supersedes [LGS-1 (2022) item 807, pg.216]</i></p>
<p>4. Compliance Reports</p>	<p>1.4.1 Consists of various internal agency compliance reports (and associated documentation) that the agency is required to submit. Includes reports that are submitted to the Mayor’s Office and City Council regarding the agency’s performance and enforcement of laws under its purview.</p> <p>1.4.2 Background materials and supporting documentation used in report preparation.</p>	<p>Offer to M.L.</p> <p>All agency publications are required to be submitted to the NYC Municipal Library for permanent retention, as per section 1133 of the NYC Charter.</p> <p><i>Supersedes [LGS-1(2022) item 52, pg. 11-12; item 68, pg.14; item 74, pg. 16]</i></p> <p>3 years after superseded.</p>

<p>5. COVID Health Screening Logs</p>	<p>1.5.1 Data provided by staff and visitors during the mandated health assessment of people entering city-owned buildings, including but not limited to proof of completion of the health screening tool.</p>	<p>0 after no longer needed.</p> <p>NOTE: Data may be destroyed immediately.</p>
<p>6. COVID Test Proof</p>	<p>1.6.1 Vaccination/Weekly COVID Test Proof – forms and images of vaccination cards and COVID tests maintained by Human Resources showing proof agency staff vaccinations and/or tests for COVID and the results of the tests.</p>	<p>4 years (eligible for auto deletion)</p>
<p>7. Disaster Recovery Media</p>	<p>1.7.1 Back-up tapes and other media created for disaster recovery purposes are not normally considered records unto themselves as they contain only duplicates of records stored elsewhere. System Administrators may recycle (overwrite) or dispose of back-up media as appropriate within a documented back-up cycle unless they have received instructions to preserve a specific backup. Special handling should be applied to back-ups that are known to contain the only extant copy of particular records.</p>	<p>Retain for 6 months.</p> <p>NOTE: The NYC Office of Information Technology (OIT) currently maintains data back-ups for disaster recovery for a period of 6 months. It is recommended that City agencies align to this standard and retain data for no more than 6 months.</p>

<p>8. Email</p>	<p>1.8.1 Transitory Email: Transitory, non-record, email includes but is not limited to broadcast messages, personal messages, spam, listserv messages, lunch dates, out-of-office auto responses, etc.</p> <p>1.8.2 Non-Policymakers: Email (including calendars, appointments, tasks, and attachments) created and received by agency employees not designated as having substantial policy discretion. Non-record email (transitory, personal, spam) may be culled upon receipt.</p> <p>1.8.3 Policymakers: Policymakers are the employees designated by the agency head as having substantial policy discretion in the annual COIB filing. Agency General Counsel may assign capstone status to select users not designated as policymakers. 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.</p>	<p>CU=Current. Retain until no longer needed.</p> <p>8 years (eligible for auto deletion).</p> <p>End of service; offer to MA.</p>
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<p>9. Emergency Planning and Response Files</p>	<p>1.9.1 Emergency Planning and Response Files: Records accumulated from the formulation and implementation of emergency plans, standard operating procedures to handle large scale emergencies, disasters, and pandemics.</p> <p>1.9.2 Emergency Planning and Response Administrative Files Includes but is not limited to correspondence files relating to surveys, health check policies, agency restart safety plans, logs, checklists for building prep and cleaning, etc.</p>	<p>3 years after superseded.</p> <p>3 years.</p> <p><i>Supersedes [LGS-1(2022) item 139, pg.36]</i></p>
<p>10. Fleet Record Series</p>	<p>1.10.1 Vehicle Coordinator Files: records documenting agency vehicle use including but not limited to vehicle registration, copies of vehicle mileage, service reports, inspection reports, and gas/toll receipts.</p> <p>1.10.2 Annual Update of fleet-related information - report provided annually by an Agency Transportation Coordinator to NYC Fleet-DCAS listing agency vehicle assignments, authorized drivers and their respective drivers' licenses, take-home vehicles, vehicles used by on- call emergency responders, and fuel card users.</p>	<p>7 years.</p> <p>7 years at the agency.</p>

	<p>1.10.3 Vehicle Incident Records: reports and supporting materials maintained in the Fleet Focus/CRASH) management system that document accidents, thefts and other incidents involving city owned or leased vehicles including car share vehicles.</p> <p>1.10.4 Equipment and Motor Vehicle Maintenance: records maintained in the Fleet Focus/CRASH system that document service repairs of City Vehicles, take home vehicles, car share, and long-term agency rentals assigned to or owned by agencies. These records are including but are not limited to maintenance orders, NYC Fleet copies of fiscal documents such as requisition or purchase order for parts or services, warranties, operation and repair manuals and parts lists.</p> <p>1.10.5 EZ – Pass: is an electronic toll collection system, which debits an agency account upon usage. Agencies are responsible for setting up agency’s account, tracking usage and cost.</p>	<p>10 years (Fleet Focus/CRASH)</p> <p>10 years (Fleet Focus/CRASH)</p> <p>7 years.</p> <p>NOTE: <i>These records should not be auto deleted.</i> This information is kept outside of the NYC Fleet Systems. The EZ-Pass monies are deducted from the P-Card account.</p>
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	1.10.6 Telematic data – for City vehicles, take home vehicles and long-term agency rentals provided real time Automatic Vehicle Location (AVL) for vehicles.	7 years (Fleet Focus/CRASH) (eligible for auto-delete)
11. General Correspondence	1.11.1 Correspondence, and supporting documentation maintained in a subject file (generated or received by City office/agency) containing routine legal, fiscal, or administrative information except correspondence that is part of a case file or other record series listed elsewhere on this Schedule.	6 years. <i>Supersedes [LGS-1 (2022), item 53b, pg. 11]</i>
	1.11.2 Correspondence of no fiscal, legal, or administrative value (including letters of transmittal, drafts, invitations, and cover letters).	0 after no longer needed. Convenience copies can be deleted when no longer needed. <i>Supersedes [LGS-1(2022) item 53c, pg. 11]</i>
12. Geolocation Data and Metadata (NYC Fleet)	1.12.1 Geolocation data is information associated with an electronic device that can be used to identify its physical location. This data is used to monitor and track the City’s fleet of vehicles.	7 years (eligible for auto deletion).

<p>13. Geolocation Data and Metadata (Sheriff Department)</p>	<p>1.13.1 Geolocation Data and Metadata (Sheriff Department) - Geolocation data and Metadata used by the Sheriff in connection with electronic monitoring cases. Defined as location coordinates captured by contractor retained by the City in connection with electronic monitoring of defendants. All such Geolocation data and Metadata is owned by the City of New York.</p>	<p>70 days (eligible for auto deletion).</p> <p>Authority: Criminal Procedure Law 510.40 4. (d) Electronic monitoring of a principal's location may be for a maximum period of sixty days, and may be renewed for such period, after notice, an opportunity to be heard and a de novo, individualized determination in accordance with this subdivision, which shall be explained on the record or in writing.</p>
<p>14. Gifts</p>	<p>1.14.1 Gifts received in an official capacity - A gift to officials or agencies that is received in an official capacity and which is not governed by the City's Conflict of Interest Laws shall be documented as instructed by the Director of the Municipal Archives.</p>	<p>2 years.</p> <p>Transfer occurs every 2 years to the Municipal Archives.</p> <p>NOTE: Those records deemed to have sufficient historical or other value will be managed following the gifts policy established by the Municipal Archives.</p>
<p>15. Health Affirmation</p>	<p>1.15.1 Responses to the health questionnaire completed by agency staff before they arrive to work.</p>	<p>0 after no longer needed.</p> <p>NOTE: Employees may delete daily.</p>

<p>16. Health Affirmation Response Logs</p>	<p>1.16.1 A log of responses received by agency Human Resources showing the affirmation received from agency staff before arrival to work. This affirmation attests that the employee completed the COVID_19 health questionnaire. It does not include answers to the questionnaire.</p>	<p>4 years (eligible for auto deletion).</p>
<p>17. Individuals' Notes & Working Papers</p>	<p>1.17.1 Documents and data that an employee generates during the normal course of business for the purpose of convenience or self-reference, and which are not intended to communicate or document information for posterity.</p>	<p>0 after no longer needed.</p>
<p>18. Instant Electronic Messages</p>	<p>Electronic Messages other than electronic mail, sent via a messaging platform designed primarily for the exchange of short, informal messages between a small group of individuals in near-real time. Refer to DORIS Policy on Instant Electronic Messaging Records (Doc. No. RMD-P-2022-01) for a non-exhaustive list of electronic messaging systems. Note: this policy does not apply to electronic mail platforms such as Microsoft Exchange/Outlook and Gmail.</p> <p>1.18.1 Substantive Messages which document or relate to the decisions, actions, or policies of a City office or agency. Employees are strongly discouraged from</p>	<p>AV=Administrative Value Determine the record status of the message based on the content, see subcategories below.</p> <p>TR= Transfer to a format and platform that allows for their proper preservation pursuant to the agency's regular record retention schedule, and in</p>

	<p>creating instant electronic messages that are substantive in nature.</p> <p>1.18.2 Transitory Messages which do not document or relate to the decisions, actions, or policies of an agency, such as personal messages between co-workers and time dependent communications regarding purely logistical matters, such as arranging a time or place for a meeting or call.</p>	<p>accordance with any role-based retention considerations applicable to Email or Subject Files.</p> <p>0 after no longer needed.</p>
<p>19. License Plate Recognition Technology (LPR) Data and Photographs</p>	<p>1.19.1 License Plate Recognition Technology data and photographs - LPR data used by the Sheriff in connection with law enforcement investigations. Defined as location coordinates and corresponding photographs of motor vehicles captured by contractor and retained by the City in connection with the provision of motor vehicle immobilization, towing and related services. All such Geolocation data and photographs are owned by the City of New York.</p>	<p>1 year (eligible for auto deletion).</p>

<p>20. Manual of Procedures</p>	<p>1.20.1 Documentation involving routine day-to-day procedures. Includes policies and standards pertaining to internal administration of the agency.</p>	<p>6 years after superseded.</p> <p><i>Supersedes [LGS-1(2022) item 52, pg.11b]</i></p>
<p>21. Organizational Chart</p>	<p>1.21.1 As mandated by the city charter, a written plan or chart describing the organization and structural relationships of an agency.</p>	<p>MA=Municipal Archives.</p> <p><i>Supersedes [LGS-1 (2022) Item 641, Pg. 171].</i></p>
<p>22. Outreach and Public Education Campaign Materials</p>	<p>1.22.1 Records created for or during agency outreach. May include leaflets, posters, videos, podcasts, DVDs and other promotional or educational materials.</p>	<p>Offer to M.L. within ten days of issuance.</p> <p>NOTE: All agency published content is required to be submitted to the NYC Municipal Library, as per section 1133 of the NYC Charter.</p> <p><i>Supersedes [LGS-1(2022) item 372, pg.86].</i></p>

<p>23. Regulation and Rulemaking files</p>	<p>1.23.1 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>PERMANENT; keep in office for 25 years, then review with MA (Municipal Archives).</p>
<p>24. Social Media</p>	<p>1.24.1 Tools and platforms that agencies 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.</p>	<p>PERMANENT; each agency must register the platform(s) with DORIS. Content from all official government accounts is automatically harvested and transferred to the Municipal Library.</p> <p>Supersedes [LGS-1(2022) item 68, pg.14]</p>
<p>25. Special Franchise and Concession Files</p>	<p>1.25.1 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>6 years after expiration.</p>

<p>26. Statistical Reports</p>	<p>Statistical reports, studies and/or data queries.</p> <p>1.26.1 Reports, studies or queries having legal or fiscal value, including annual reports created from automated system.</p> <p>1.26.2 Reports, studies or queries having no legal or fiscal value, such as daily activity or other routine internal reports:</p> <p>1.26.3 Daily, weekly, monthly, quarterly, or other periodic internal or external reports, summaries, reviews, including but not limited to inspection logs, evaluation, logs, lists, statements, with the exception of legal case logs.</p>	<p>12 years.</p> <p>NOTE: Appraise records covered by part "a" for archival value. Reports and studies containing data needed to supplement or explain narrative reports (which are maintained permanently and are covered in the Financial and/or legal section) may be valuable as well as the narrative reports themselves.</p> <p>0 after no longer needed.</p> <p>3 years after superseded.</p> <p>NOTE: Certain inspection logs must be retained for 7 years after date of inspection. If no logs containing summary information are generated, City Agencies facilities may wish to retain all or some records covered by part "c" of this item, for both long-term administrative use and for potential research purposes.</p>
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<p>27. Temporary Commission & Task Forces</p>	<p>1.27.1 Temporary Commissions and Tasks Forces – files include but are not limited to legislative files, proposed rules, regulations and recommendations, transcripts, hearings file, agendas, guidance documents, research files, program files, case files, reports, and correspondence.</p>	<p>Transfer to MA at close of Commission or Task Force. MA=Municipal Archives</p>
<p>28. Union Labor Management Meeting Files</p>	<p>1.28.1 Labor management meeting records, including meeting agenda, correspondence, and other related records.</p>	<p>6 years.</p>
<p>29. Websites</p>	<p>1.29.1 Agency Web Site Content: 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.</p> <p>1.30.2 All Related Web Management & Operations Record.</p>	<p>PERMANENT; Web Content on sites will automatically be collected and transferred to the Municipal Library on a quarterly basis.</p> <p>6 years.</p> <p><i>Supersedes [LGS-1(2022) item 68, pg.14]</i></p>

II. HUMAN RESOURCE		
<p>1. Attendance and Leave Records</p>	<p>2.1.1 Employee's time records covering leave, absences, hours worked and scheduling, and including but not limited to employees' timecards or sheets, request for change of work schedule, vacation schedule, report of absence and request for leave without pay.</p> <p>2.1.2 Time records for transient employees covering leave, absences, hours worked and scheduling, and including but not limited to employee's timecards or sheets, request for change of work schedule and report of absence.</p>	<p>0 (zero) retention by agency, City Time is the official record holder.</p> <p>NOTE: City Time will retain these records for 56 years.</p> <p>6 years.</p> <p>Supersedes [LGS-1(2022) item 638, pg.170]</p>
<p>2. Disciplinary Case Files</p>	<p>2.2.1 Investigative records and Disciplinary Proceedings, including but not limited to statement of charge, transcript of hearing, notice of decision, letter of termination or resignation, letter of reinstatement, record of appeal procedure, and correspondence: Individual complaint or problem case file of human rights, economic opportunity, equal employment, community relations or similar function, including individual case summary record. These individual complaint files should be stored separately from the Personnel Files.</p>	<p>56 years after employee leaves city service.</p> <p>Supersedes [LGS-1(2022) item 637, pg.170]</p>

<p>3. EEO Files</p>	<p>2.3.1 Diversity and EEO Plans 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>2.3.2 Reports of Audits of Diversity and EEO Programs 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>2.3.3 Quarterly and Annual Reports Periodic reports, statistics and other records used in compiling annual, long-term, or special (narrative or statistical) reports, goals, and achievements:</p> <p>2.3.4 Discrimination Complaint Case Files 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 or litigation.</p>	<p>10 years from the date of the report.</p> <p>NOTE: Citywide Diversity and EEO is the official record holder.</p> <p>5 years from date of the report.</p> <p>NOTE: EEPC is the official record holder.</p> <p>10 years from date of the report.</p> <p>NOTE: Citywide Diversity and EEO is the official record holder.</p> <p>56 years after employee leaves city service.</p> <p>Supersedes [LGS-1(2022) item 643, pg.172]</p>
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<p>4. Employee Job Classification Files</p>	<p>2.4.1 Records include attorney review and analysis of job duties and classification/ reclassification and supporting documentation regarding agency policy and actions.</p>	<p>10 years.</p> <p><i>Supersedes [LGS-1(2022) item 689, pg.183]</i></p>
<p>5. Incident Reports</p>	<p>2.5.1 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 <i>General Administration</i> section of the Retention and Disposition Schedule for New York Local Government Records (LGS-1).</p>	<p>6 years.</p> <p><i>Supersedes [LGS-1(2022) item 26, pg. 6]</i></p>
<p>6. Interview Rating Material</p>	<p>2.6.1 Interview Materials created by the interview panel during the applicant interview process for applicants who are hired.</p>	<p>5 years after the interview.</p>

	<p>2.6.2 Interview Materials created by the interview panel during the applicant interview process for applicants who are not hired.</p>	<p>3 years after the interview.</p> <p>NOTE: The files may include but are not limited to the interview panel’s confidentiality agreements, rating sheets, resumes with comments and any other completed questionnaires.</p> <p>Supersedes [LGS-1(2022) item 694, pg.184]</p>
<p>7. Medical Records</p>	<p>2.7.1 Employee medical records. 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 <u>maintained separately from the employee medical records.</u></p> <p>2.7.2 Medical records, other than those covered by part “2.7.1”, 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.</p> <p>2.7.3 Doctor’s Notes, document signed by the Doctor: certifying employee’s visit to the Doctor’s office.</p>	<p>3 years after completion of treatment and subsequent observation.</p> <p>56 years after submitted or upon termination of employment.</p> <p>3 years after employee leaves city service.</p> <p>Supersedes [LGS-1(2022) item 662, pg.177]</p>

<p>8. Payroll</p>	<p>2.8.1 REGISTER 320 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.</p> <p>2.8.2 QUARTERLY EARNINGS REPORT (366) Report lists accumulated employee earning and taxes. Sorted by social security number, and various other criteria.</p> <p>2.8.3 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.</p> <p>2.8.4 QUARTERLY PAYMENT SUMMARY REPORT (990) Report lists quarterly payroll deductions and details entity, pay cycle, payroll number, pay deduction description.</p>	<p>0 after no longer needed.</p> <p>NOTE: OPA/FISA is the record holder (will retain these records for 56 years).</p> <p>56 years.</p> <p>1960-1973 & 1984 (retained by agency) >1974 (retained by OPA-FISA; 1974-2000 stored on microfiche)</p> <p>0 after no longer needed.</p> <p>Agencies may destroy convenience copies after 1 year. This does not include records at the DOE, NYCHA, HHC or CUNY.</p> <p><i>Supersedes [LGS-1(2022) item 524, pg.128].</i></p>
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<p>9. Personnel/Civil Service</p>	<p>2.9.1 Personnel records of NYC Employees: 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.</p> <p>2.9.2 Volunteers and interns' personnel records.</p>	<p>56 years after employee leaves city service.</p> <p>3 years after service ends</p> <p><i>Supersedes [LGS-1(2022) item 636, pg.169]</i></p>
<p>10. Workers Compensation Files</p>	<p>2.10.1 Comprehensive case files from date of claim to final payment. Includes Synopsis of claims, compensation payment lists, physician's reports, and notice of hearing yellow copy of statistical report form and employer's reports.</p>	<p>20 years after the close of the case.</p> <p>Close of case/date of final payment. NYC Law Department is the agency of record.</p>

<p>III. FINANCIAL/FISCAL</p>		
<p>1. Audit Reports</p>	<p>3.1.1 Reports Report of all audits.</p> <p>3.1.2 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>3.1.3 Work papers / Background Documentation including summaries, posting records, and related records created by an auditing office as part of the auditing procedure.</p> <p>3.1.4 Internal audits conducted by NYC officials.</p>	<p>25 years.</p> <p>7 years.</p> <p>7 years.</p> <p>7 years.</p> <p>Supersedes [LGS-1(2022) item 472, pg.119]</p>
<p>2. Capital Budget</p>	<p>3.2.1 Annual Expenditure reports submitted to City, State and/or Federal agencies: highlights the Mayor's proposed budget initiatives; including estimates of expenditures and revenues; proposed expenditure reductions, recommended federal and State actions; the Capital Plan and financial program for the next four fiscal years.</p>	<p>7 years after the close of the project.</p> <p>NOTE: OMB is the official record holder.</p>

	<p>3.2.2 The Capital Budget as adopted by the City Council by program and source. The Adopted Capital Budget includes documentation submitted by agencies used to prepare the capital budgets: listing of statutory periods of probable usefulness (PPU's) by budget line; rescindment of amounts from prior capital budgets; and borough analysis by budget line.</p> <p>3.2.3 Certificates to Proceed; section 219 of the New York City Charter and directives of the Mayor authorizes capital spending by agencies for proposed and adopted capital budgets.</p>	<p>Offer to M.L.</p> <p>All agency publications are required to be submitted to the NYC Municipal Library for permanent retention, as per Section 1133 of the NYC Charter.</p> <p>7 years after funds have been expensed.</p> <p>Capital budget must be submitted to Municipal Library within 10 days of issuance.</p>
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<p>3. Capital Construction Contracts or Public Improvement Project Files</p>	<p>3.3.1 Including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements.</p> <p>3.3.2 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>7 years after the close of the project.</p> <p>7 years after building or facility no longer exists or is no longer owned by local government.</p> <p>Offer to the M.A. NOTE: Appraise these records for historical significance prior to disposition. Records for important projects or structures that have historical value should be transferred to the NYC Municipal Archives</p>
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<p>4. Contracts</p>	<p>3.4.1 Legal agreement, including personal service contracts, commodity contracts leases, involving NYC agencies.</p> <p>NOTE: This item does not apply to 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.</p>	<p>7 years after the close of the contract.</p> <p>Supersedes [LGS-1(2022) item 32, pg.7]</p>
<p>5. Credit Card Records</p>	<p>3.5.1 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>3.5.2 Credit Card receipts with account numbers.</p>	<p>7 years after payment is received.</p> <p>Supersedes [LGS-1(2022) item 521, pg.127]</p> <p>Destroy after transaction is completed.</p>
<p>6. Invoices</p>	<p>3.6.1 Invoice, packing slip, shipping ticket, copy of bill of lading or similar record used to verify delivery and/or receipt of materials or supplies.</p>	<p>7 years.</p> <p>Supersedes [LGS-1(2022) item 513, pg.125; item 551, pg.132]</p>

<p>7. Mayor’s Management Report (MMR) Backup Data and Drafts</p>	<p>3.7.1 Data demonstrating the agency’s performance in relation to delivery of services throughout the first four months of the fiscal year. Used for compiling the agency’s section of the Preliminary Mayor’s Management Report (PMMR) and the Mayor’s Management Report (MMR). Data demonstrating the agency’s performance in relation to delivery of services throughout the entire year.</p>	<p>0 after no longer needed.</p> <p>Finalized MMR reports are maintained by the Mayor’s Office of Operations, which submits these reports to the NYC Municipal Library.</p> <p>NOTE: Mayor’s Office of Operations is the official record holder.</p>
<p>8. Minority and Women-Owned Business Vendor Files</p>	<p>3.8.1 MWBE Monthly Turn Around Documents; 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.</p> <p>3.8.2 Quarterly Reports - These are quarterly reporting and auditing reports from both the MWBE and MOCS.</p> <p>3.8.3 List of qualified MWBE and backup application material: 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</p>	<p>6 years after vendor certification has expired.</p> <p>6 years</p> <p>6 years after vendor certification has expired.</p> <p>Supersedes [LGS-1(2022) item 8, pg.2]</p>

	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.	
9. Payment Vouchers	<p>3.9.1 Claim for payment (approved or disallowed), including claim, vendor's voucher, and bill:</p> <p>3.9.2 Summary record of outstanding or paid warrants or claims:</p>	<p>7 years.</p> <p>7 years.</p> <p><i>Supersedes [LGS-1(2022) item 495, pg.123; item 554, pg.133]</i></p>
10. Petty Cash	3.10.1 Cash transaction record showing cash received from collection of various fees and petty cash disbursed.	<p>7 years.</p> <p><i>Supersedes [LGS-1(2022) item 506, pg.125]</i></p>

<p>11. Procurement Files</p>	<p>3.11.1 Purchase order, purchase requisition, or similar record, used to obtain materials, supplies, or services.</p> <p>3.11.2 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.</p>	<p>7 years after last transaction.</p> <p>7 years.</p> <p><i>Supersedes</i> [LGS-1(2022) item 546, pg.132]</p>
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IV. LEGAL		
1. Legal Case Files	<p>4.1.1 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>12 years after close of case.</p> <p><i>Supersedes [LGS-1(2022) item 32, pg.7; item 53, pg.11]</i></p>
2. FOIL Request/Public Access to Records	<p>4.2.1 Freedom of Information records request file Request for access to public records when request is granted:</p> <p>4.2.2 Request for access to public records, when request is denied, including statement of denial, appeal records, documentation of review and decision:</p>	<p>10 years.</p> <p>10 years after final determination.</p> <p><i>Supersedes [LGS-1(2022) item 706, pg.191]</i></p>

	<p>5.2.4 Arrest and Homicide Recordings – visual and audio recordings of certain interactions between uniformed members of the service and the public for official law enforcement purposes.</p>	<p>5 years</p>
<p>3. Investigative Social Media Accounts</p>	<p>5.3.1 Accounts used during an investigation to publish, communicate, and share information, and user-generated content online. Social Media may include but is not limited to blogs, wikis, social networks, photo libraries, virtual worlds, location-based services, and video sharing.</p>	<p>0 after no longer needed.</p> <p>NOTE: Investigative Social Media Accounts are not registered with DORIS and their content is not harvested for permanent retention in the Municipal Library.</p>
<p>4. Video Footage</p>	<p>5.4.1 Digitally recorded video and other recordings including information collected through the operation of an unmanned aerial vehicle.</p> <p>5.4.2 Recordings related to a specific case investigation.</p>	<p>6 months (eligible for auto deletion, absent litigation hold).</p> <p>Retain for the same period as the case investigation to which the recording relates.</p>