



NYC SUPPLEMENTAL RECORDS RETENTION AND DISPOSITION SCHEDULE

Department of
Records and
Information
Services

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Introduction

This **Supplemental Records Retention and Disposition Schedule** “Supplemental Retention Schedule” defines the life cycle of all New York City agency records . The Supplemental Retention Schedule has been developed by the Department of Records and Information Services “DORIS,” in consultation with the Law Department .

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.

The Supplemental Retention Schedule is largely based on the *Records Retention and Disposition Schedule MU-1*, prepared and issued by the New York State Archives and Records Administration (SARA). However, agencies should be aware that there may be differences from the retention periods recommended by the MU-1, in order to satisfy business, legal, audit, and legal requirements that are more specific to City agencies.

Agencies should adhere as closely as possible to the retention periods prescribed on the General Retention Schedule.

The Supplemental Retention Schedule is only subset of NYC records that are maintained across agencies and offices – agencies should review their business processes, identify all line-of-business records and ensure that they are reflected on the agency retention schedule. DORIS 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. DORIS will communicate with agencies any changes to the Supplemental Retention Schedule.

If there are questions regarding the retention periods or the retention schedule in general, agencies may contact their DORIS Liaison for assistance.

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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>a. 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.	RETENTION: 6 years.
	a. Containing routine legal, fiscal or administrative information: 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 separately from the employee medical records.	RETENTION: 3 years after completion of treatment and subsequent observation.

	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.[559] Purchase order, purchase requisition, or similar record, used to obtain materials, supplies, or services:	RETENTION: 6 years
	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: 6 years after expiration or termination of contract OR 6 years after final payment under contract, whichever is later.
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) 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.	RETENTION: 56 years after the employee leaves city service.

14. PETTY CASH	5.[249] Cash transaction record showing cash received from collection of various fees and petty cash disbursed.	RETENTION: 6 years.
15. PROCUREMENT FILES	<p>1.[559] Purchase order, purchase requisition, or similar record, used to obtain materials, supplies, or services.</p> <p>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.</p>	RETENTION: 6 years.
16. CONTRACTS	<p>6.[6] Legal agreement, including personal service contracts, lease, and release involving NYC agencies.</p> <p>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.</p>	RETENTION: 6 years after the close of the contract.
17. CITY-OWNED BUILDINGS: OFFICIAL PLANS, MAPS, ARCHITECTURAL DRAWINGS AND PHOTOGRAPHS	RESERVED	RESERVED
18. PAYROLL	<p>REGISTER 320 (PAPER & MICROFILM)</p> <p>Maintained as primary source for agency payroll data. Report lists pay date and cycle, entity, payroll distribution code, name, social security number, pension</p>	RETENTION: 0 after no longer needed.

	number and designator, marital status, gross pay data, deductions and related information.	
	<p>PAYCYCLE EVENT DETAIL 700 (PAPER & MICROFILM)</p> <p>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>	RETENTION: 0 after no longer needed.
	<p>QUARTERLY EARNINGS REPORT (366)</p> <p>Report lists accumulated employee earning and taxes. Sorted by social security number, and various other criteria.</p> <p>QUARTERLY PAYMENT SUMMARY REPORT (990)</p> <p>Report lists quarterly payroll deductions and details entity, pay cycle, payroll number, pay deduction description.</p>	<p>RETENTION: 56 years.</p> <p>1960-1973 & 1984 (retained by agency)</p> <p>>1974 (retained by OPA-FISA; 1974-2000 stored on microfiche)</p> <p>Agencies may destroy convenience copies after 1 year.</p> <p>This does not include the DOE, NYCHA or HHC or CUNY.</p>
19. CAPITAL CONSTRUCTION CONTRACTS OR PUBLIC IMPROVEMENT PROJECT FILE	Including but not limited to bids, specifications, contracts, performance guarantees, inspection reports, and environmental impact statements.	RETENTION: 6 years after the close of the project.
	a. Feasibility studies; successful bids; plans, specifications and	RETENTION: 6 years after building or facility no longer

	<p>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>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>
	<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.</p>	<p>RETENTION: 6 years after payment is received.</p>

<p>21. SOCIAL MEDIA</p>	<p>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.</p>	<p>RETENTION: Permanent; the responsible agency must register the platform(s) and content is automatically transferred to the Municipal Library.</p>
<p>22. EMAIL</p>	<p><i>Non-Policymakers:</i></p> <p>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.</p>	<p>RETENTION: 8 years.</p>
	<p><i>Policymakers:</i></p> <p>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. 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>	<p>RETENTION: End of service; offer to MA.</p>