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# GOVERNMENT OF THE DISTRICT OF COLUMBIA

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## RECORDS RETENTION SCHEDULE

### Department of Human Resources



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## Introduction to Agency Retention Schedule

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### The Importance of Records

Records are the institutional memory of government. Every agency is responsible for creating and maintaining records that adequately document the organization, functions, policies, procedures, and major activities of the agency. An agency's records should reflect the evolution of agency policies and decisions, provide the information needed by successor officials to make intelligent decisions, and provide a lasting record of the unique contributions of the agency. Proper records must be kept to document the financial and legal commitments and interests of the government and of its citizens, and to permit oversight of an agency's activities.

### Records Management

It is not only important that every agency create and maintain adequate documentation, but also that it provide for the proper disposition of its records by adopting a comprehensive records management program. Such a program establishes controls over records from the time of their creation to the time of their final disposition. It seeks to (a) provide for the timely and systematic removal of inactive records from an agency and the eventual destruction of those of a temporary nature after an appropriate length of time; and (b) identify those records of such historical or other importance that they should be preserved permanently in the District of Columbia Archives. A records management program is vital to the efficient and economical operation of government. Without it, offices would be drowning in records, at tremendous costs to the government in space, filing equipment, staff, and general efficiency of operations.

### Records Schedule

The records schedule forms the heart of a good records management system. A schedule identifies those records of continuing value that are suitable for accessioning into the D.C. Archives and authorizes agencies to dispose of those records of temporary importance. A schedule is a detailed timetable that specifies the length of time records should be kept in active and inactive status prior to their final disposition. It prescribes how long a record should be maintained within an office before it may be destroyed, moved to low-cost storage in the Federal Records Center, where applicable, D.C. Records Center, or transferred to the D.C. Archives to be preserved permanently.

There are two (2) types of records schedules: (1) an agency retention schedule; and (2) a general records schedule.

- (1) Agency Retention Schedules – The attached schedule is an agency retention schedule. It is based on a survey of the specific records created, received, utilized, and maintained in the various offices of your agency, and its disposition instructions are tailored to those records

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unique to your agency. It provides legal authority for the disposition of official records of your agency alone.

- (2) General Records Schedule - In addition to agency records schedules, there are also general records schedules. These schedules provide disposition authority for records common to most or all agencies of government. They cover records relating to personnel, fiscal functions, accounting, budget, procurement, transportation, and other common or housekeeping functions. An agency may implement or utilize the disposition instructions of a general records schedule where applicable or may apply a retention period that differs from that in the general schedule by submitting a retention schedule for that particular record series. However, General Schedules do not apply to documents dated before January 1, 1921. If you have records in your office dated earlier than 1921, please contact the D.C. Archives for an appraisal of those records.

The general records schedules that have been developed for the District of Columbia are embodied in D.C. General Records Schedules 1-18 and 20-24. The Office of Public Records is currently in the process of updating the DC General Schedule to reflect changes in the government, the implementation of new procedures, policies, and practices, as well technology over the past 30 to 40 years. Changes will be posted and agency records management officers will be notified.

## Amending an Agency Records Retention Schedule

An agency records retention schedule is not a static document, it must be reviewed and revised on a regular basis. The organization of an agency, its functions, and programs are constantly changing, and the schedule must be continually updated to incorporate these changes. Amendments to agency schedules may be initiated either by the agency or by the Office of Public Records. Regulation 1 DCMR 1504.1(h) requires Agencies to review their schedules annually to ensure that they are up-to-date and that they provide for the disposition of all series of records not covered by the general records schedules.

In order to understand and apply the records retention schedule for your agency, it is important to define certain terms that are used in records management and archives.

## What are Public Records?

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Public records are defined by the District of Columbia law as “any document, book, photographic image, electronic data recording, electronic mail, paper, video recording, sound recording, microfilm, computer disk, or other material, regardless of physical form or characteristic, that documents a transaction or activity made, received, or retained pursuant to law or in connection with the transaction of public business by or with any officer or employee of the District.”<sup>1</sup>

Records are made or received and utilized by an office as it conducts its business. They relate directly to the mission of an agency and document the functioning of an agency. Although a paper document is the most common form of a record, a record can be of any physical characteristic. Computer tapes and disks, sound and video recordings, photographs and motion picture film, microfilm, maps, and charts, may each constitute an official record. Records as defined above belong to the District of Columbia. In no sense are they the personal property of an individual. They may not be destroyed except under legal procedures established by the government. One of the major purposes of an approved agency records retention schedule is to provide authority for the legal disposition of official records.

## What is Non-Record Material?

Not every document in a government office is an official record. The following types of material are usually considered non-record: duplicate copies of documents; pamphlets, periodicals, books, printed reports, and other materials maintained for reference purposes; reference copies of Mayor’s Orders, Mayor’s Memoranda, and the D.C. Register; reading files (“chron files”); copies of memoranda, correspondence, reports, and similar materials received from other agencies that require no action; drafts of reports and correspondence and related working papers that don’t impact or are not considered essential to a final decision regarding policies, laws, and regulations, and that don’t demonstrate the thought processes and reasoning behind making those decisions; blank forms, transmittals, and routing slips; and materials relating to fringe activities of an agency such as charitable fund drives.

Non-record materials are disposable on agency authority alone. If you are unsure as to the status of certain kinds of material, please call the Office of Public Records for assistance.

## What are Personal Papers?

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Some officials and employees keep personal papers within their offices. These are documents of an unofficial, private nature that pertain to an individual's personal affairs and do not relate to official business. Such papers might include files accumulated by an official (or employee) before they assumed office, or documents relating to one's private concerns, such as outside business activities or memberships in professional organizations, or personal notes or diaries that are totally unrelated to public business.

It is important that such papers be kept apart from official records and that they are clearly labeled as private papers. Please take care to see that personal papers do not become intermingled and confused with official records.

## Retention Schedule Basic Terms and Use:

|                                       |   |
|---------------------------------------|---|
| Close Date                            | The date or timeframe from which no further information may be added to a record.   |
| Cutoff Date                           | After records close, a date or timeframe is selected as the "cut off", designating when the record becomes inactive. This date starts the retention timeclock and occurs at regular intervals. Please note, close, and cut off may be the same date.  |
| Destroy/Delete                        | Records may be destroyed or deleted in accordance with DC Code § 2-1701, and agency policy. Care should be taken to ensure proper destruction of government records.  |
| PHI                                   | Personal Health Information defines the information covered under the HIPAA privacy rule. Federal protections apply to personal health information held by covered entities and gives patients an array of rights with respect to that information. At the same time, the privacy rule is balanced so that it permits the disclosure of personal health information needed for patient care and other important purposes. |
| PII                                   | Personally Identifiable Information (PII), or Sensitive Personal Information (SPI), as used in US privacy law, is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context.   |
| Remaining Retention in Records Center | Total retention period minus length of time records are maintained on-site. For permanent records, this is the remainder of the period that the records remain in the legal custody of the agency before transferring to the Archives.  |
| Transfer of Records (Physical)        | Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the  |

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Record Center remain in the legal custody of the agency. FOIA requests for these records are sent to the agency, and the agency is responsible for responding to and releasing information as appropriate.

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Transfer of Records (Legal)      Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the DC Archives transfer legal custody to the Archives. FOIA requests for these records are the responsibility of the Archives.

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Total Retention      The total time a record is to be retained in the legal custody of the District after cut off.

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Years in Office      Length of time records are maintained on-site at the agency after cut off.

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## Organization

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Department of Human Resources

## Policy and Procedures

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Two hardcopies or a single electronic copy accompany this submission.

## List of Directors

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Where possible, a complete listing is provided below:

|                     |        |         |
|---------------------|--------|---------|
| Ventris C. Gibson   | Aug-15 | Current |
| Karla Kirby         | Jan-15 | Jul-15  |
| Shawn Y. Stokes     | Apr-11 | Dec-14  |
| Angelia Rowe-Garner | Apr-11 | Mar-11  |
| Judy D. Banks       | Jan-11 | Mar-11  |
| Brender L. Gregory  | Feb-07 | Dec-10  |

### Directors of the Office of Personnel (Below)

|                    |        |        |
|--------------------|--------|--------|
| Brender L. Gregory | Jan-07 | Jan-07 |
| Lisa R. Marin      | Oct-04 | Dec-06 |
| Rosalind R. Inge   | Mar-04 | Sep-04 |
| Judy D. Banks      | Nov-02 | Feb-04 |
| Milou Carolan      | Oct-99 | Oct-02 |
| Judy D. Banks      | Apr-99 | Sep-99 |
| Millicent D. Few   | Jun-98 | Mar-99 |
| Elliott L. Wheelan | Nov-97 | May-98 |
| Millicent D. Few   | Jun-97 | Oct-97 |
| Larry A. King      | Aug-93 | May-97 |

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|                           |        |        |
|---------------------------|--------|--------|
| Lorraine A. Green         | Jan-91 | Jul-93 |
| Calvin C. Tildon          | Mar-89 | Dec-90 |
| Theodore E. Thornton, Sr. | Mar-87 | Feb-89 |
| Calvin C. Tildon          | Jan-87 | Feb-87 |
| Clinton A. Hilliard       | May-81 | Dec-86 |
| Jose Gutierrez            | Aug-79 | Apr-81 |

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## Citations Impacting Retention

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### Federal

2 CFR § 200.333 (Grants)

### DC Legislation

DC Code § 2-1701

DC Code § 2-1706

DCMR 1-1504.1(d)

### Court Orders

None

## Audits Impacting Retention

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None

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## Record Schedule

The District of Columbia Department of Human Resources (DCHR) provides human resource management services that strengthen individual and organizational performance and enable the District government to attract, develop and retain a well-qualified, diverse workforce. The DCHR was originally designated as the Office of Personnel under DC Code § 1-604.02. In February of 2007 the department was renamed as the DC Department of Human Resources under Mayoral Order 2007-61.

| Series # | Records Series Description   | Total Retention | Years in Office | Remaining Retention in Records Center |
|----------|--|-----------------|-----------------|---------------------------------------|
| 1        | <p>Directives (Executive Staff) Formal communications that impact the mission or execution of the mission and programs of the agency. Series includes, but is not limited to, orders and operating manuals. Records are organized chronologically.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Secure agency network)</p> <p>Permanent: Records close when the directive is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p> | Permanent       | None            | 4 Years                               |

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| Series # | Records Series Description   | Total Retention | Years in Office | Remaining Retention in Records Center |
|----------|--|-----------------|-----------------|---------------------------------------|
| 2        | <p><b>Public Relations Files</b></p> <p><b>a</b> Speeches: Text and audio or video recordings of formal speeches, announcements, and remarks to the press. Remarks made at formal ceremonies and during interviews by the agency executive staff and other high-ranking officials concerning agency programs. Records are organized chronologically.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Secure agency network)</p> <p>Permanent: Records close upon conclusion of the presentation or event and cut off at the end of the corresponding Mayor’s administration. Records are transferred to the DC Archives within 30 days of cut off.</p>   | Permanent       | None            | None                                  |
|          | <p><b>b</b> News releases: Prepared statements or announcements issued for distribution to the news media. News releases announce events such as the adoption of new agency programs, termination of old programs, major shifts in policy, and changes in senior agency personnel and may be textual records such as a formal press release or nontextual records, such as film and video or sound recordings. Records are organized chronologically.</p> <p>Restrictions: None.</p> <p>Media: Paper and Electronic (Secure agency network)</p> <p>Permanent: Records close upon conclusion of the presentation or event and cut off at the end of the corresponding Mayor’s administration. Records are transferred to the DC Archives within 30 days of cut off.</p> | Permanent       | None            | None                                  |

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| Series # | Records Series Description   | Total Retention | Years in Office  | Remaining Retention in Records Center |
|----------|--|-----------------|--|---------------------------------------|
| 3        | <p>Agency Policy and Procedures (Policy and Compliance) defining operational guidelines. Policies are arranged numerically by an assigned control number. The control number is aligned to a topic (three-or four-digit number with sub categories, for example (100.1 Background, 2400.1 Reduction in Force).</p> <p>Restrictions: None</p> <p>Media: Electronic (SharePoint, Shared Drives)</p> <p>Permanent: Records close when directive is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records on site four years after cut off, then transfer to the D.C. Archives.</p> | Permanent       | <p>4 Years</p> <p>Electronic copy</p> <p>Permanent</p> | None                                  |
| 4        | <p>Schedule of official activities of Agency Executive Staff</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Secure agency network)</p> <p>Permanent: Records close at the end of the fiscal year and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>   | Permanent       | None   | 4 Years                               |

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| Series # | Records Series Description   | Total Retention | Years in Office | Remaining Retention in Records Center |
|----------|--|-----------------|-----------------|---------------------------------------|
| 5        | <p>Strategic Plans (Strategic Human Capital) Plans and supporting documentation utilized to set the strategic direction for the Director’s Office including, but not limited to studies, benchmarking of other jurisdictions, and statistics and data supporting current and planned future state. Organized by subject and date.</p> <p>Restrictions: Restricted</p> <p>Media: Electronic (Secure agency network)</p> <p>Permanent: Records close when the plan is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor’s administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p> | Permanent       | None            | 4 Years                               |
| 6        | <p>Performance Reports (Executive Staff, note some reports are published on-line) The Director’s office maintains statistical data regarding the population served, and types of services rendered. Statistics are both quantitative and qualitative in nature. Records are arranged by topic and year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Secure agency network) and Paper</p>   |                 |                 |                                       |
| a        | <p>Published</p> <p>Permanent. Records close upon publication of the report and cut off at the end of the corresponding Mayor’s tenure. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>   | Permanent       | None            | 4 Years                               |

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| Series # | Records Series Description  | Total Retention                           | Years in Office | Remaining Retention in Records Center |
|----------|---|---|-----------------|---------------------------------------|
| b        | <p>Unpublished</p> <p>Appraisal: Records close upon completion of the final version of the report and cut off at the end of the corresponding Mayor's tenure. Records are transferred within 30 days of cut off to the Record Center for Appraisal.</p>   | <p>Appraisal required by DC Archivist</p> |                 |                                       |
| 7        | <p>Project Subject Files (Executive Staff) Program-related projects and initiatives. Record consists of all documents and data relating to a specific project from inception to completion. Included are correspondence, memoranda, questionnaires, studies and reports, and related records. Excludes records that impact the mission or vision of the Director's Office which are to be retained permanently. Organized by subject and fiscal year.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Secure agency network)</p> <p>Appraisal: Records close upon completion or conclusion of the project and cut off at the end of the corresponding Mayor's tenure. Records are transferred within 30 days of cut off to the Record Center for Appraisal.</p> | <p>Appraisal required by DC Archivist</p> |                 |                                       |

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| Series # | Records Series Description   | Total Retention | Years in Office | Remaining Retention in Records Center |
|----------|--|-----------------|-----------------|---------------------------------------|
| 8        | <p>Organization Files (Executive Staff) Organizational Charts and reorganization studies that define descriptions of the arrangement and administrative structure of the functional units within the Director's Office. Organized by date.</p> <p>Media: Electronic (Secure agency network) and Paper</p> <p>Permanent: Records close when the directive is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p> | Permanent       | None            | 4 Years                               |
| 9        | <p>Publications (Communication) Publications on various topics of interest or concern that provide insight and awareness. Organized by topic and year.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Secure agency network)</p>  |                 |                 |                                       |
| a        | <p>Printed Materials</p> <p>Permanent: Records close when publication is replaced or discontinued and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.</p>  | Permanent       | None            | None                                  |
| b        | <p>Agency Websites (Network and Communications Team)</p> <p>Media: Electronic (stored on Enterprise Drupal Platform)</p> <p>Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.</p>  | Permanent       | 1 Quarter       | None                                  |

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| Series # | Records Series Description  | Total Retention     | Years in Office | Remaining Retention in Records Center |
|----------|---|---------------------|-----------------|---------------------------------------|
| c        | <p>Social Media Posts (Network and Communications Team)</p> <p>Media: Electronic (Stored on twitter, LinkedIn, and Facebook)</p> <p>Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.</p>   | Permanent           | 1 Quarter       | None                                  |
| 10       | <p>Budget Estimates and Justification Files (Office of the Director) Agency Budget Prep Work papers and analysis that support the budget submission. Inclusive of budget requests, proposals and justifications for allocation and reallocation of funds. Records are organized by fiscal year and department.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared drive)</p> <p>Appraisal: Records close and cut off at the end of the fiscal year. Records are transferred within 30 days of cut off to the Record Center for Appraisal.</p> | Appraisal           |                 |                                       |
| 11       | <p>Budget Prep Files: (Office of the Director) Work papers documenting bottom up planning, requests, and justification for budget increases over prior year. Records are organized by fiscal year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared drive)</p> <p>Temporary: Records close and cut off at the end of the fiscal year covered by the budget. Retain records for 1 year after cut off, and then destroy.</p>  | Temporary<br>1 Year | 1 Year          | None                                  |

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| Series # | Records Series Description  | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|---|----------------------|-----------------|---------------------------------------|
| 12       | <p>Budget Report Files (Office of the Director) Agency Financial Reports, Spending Analysis, and statistical data analysis to assist in evaluating program spending, and reporting performance progress. Records are organized by date.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared drive)</p> |                      |                 |                                       |
| a        | <p>Annual Report</p> <p>Permanent: Permanent. Records close upon publication of the report and cut off at the end of the corresponding Mayor's tenure. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>     | Permanent            | None            | 4 Years                               |
| b        | <p>All other reports</p> <p>Temporary: Records close and cut off at the end of the fiscal year. Retain records for 3 years after cut off, and then destroy</p>  | Temporary<br>3 Years | 3 Years         | None                                  |

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| Series # | Records Series Description   | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|--|------------------------------|-----------------|---------------------------------------|
| 13       | <p>Emergency Plan and Continuity of Operations Plan (Office of the Director) ensures the agency achieves a state of constant readiness to respond to potential emergencies. Continuity of Operations Plans (also referred to as COOP) are essential to ensuring that vital criminal justice functions continue seamlessly during an emergency and thereafter. This record may include but is not limited to evacuation plans, identification of essential personnel, work plans for different departments and plans to re-connect after an emergency or event. Records are organized by year.</p> <p>Restrictions: None<br/> Media: Electronic (Shared Drive)<br/> Temporary: Records close when superseded or obsolete, and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p> | <p>Temporary<br/>3 Years</p> | <p>3 Years</p>  | <p>None</p>                           |
| 14       | <p>Agency Space Files (Facilities Manager) This record documents the utilization of space in buildings occupied by DCHR. This record may include but is not limited to Records relating to the allocation, utilization, and release of space under agency control, and related reports. Records are organized by department or project name.</p> <p>Restrictions: None<br/> Media: Electronic (Shared Drive)<br/> Temporary: Records close upon termination of the assignment, when the lease is cancelled, or when the plans are superseded/obsolete. The record cuts off at the end of the fiscal year. Retain record for 2 years after cutoff, and then destroy</p>   | <p>Temporary<br/>2 Years</p> | <p>2 Years</p>  | <p>None</p>                           |

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| Series # | Records Series Description   | Total Retention               | Years in Office | Remaining Retention in Records Center |
|----------|--|-------------------------------|-----------------|---------------------------------------|
| 15       | <p>Fleet Management and Fleet Share Cost Files (Office of the Director) This series contains the monthly billing for all fleet usage, documentation contains repair and maintenance fees, fuel cost, agency fleet service, inspections. This record is organized chronologically by fiscal year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p> <p>Temporary: Records close and cut off at end of fiscal year. Retain records for 3 years after cutoff and then destroy.</p>  | <p>Temporary:<br/>3 Years</p> | <p>3 Years</p>  | <p>None</p>                           |
| 16       | <p>Fleet Management and Fleet Share Participant files (Office of the Director) This record documents staff usage of fleet vehicles. The record includes but is not limited to application to participate, contact information, and a copy of participant driver's licenses. Records are organized by participant.</p> <p>Restrictions: PII</p> <p>Media: Electronic (Shared Drive)</p> <p>Temporary: Records close upon the termination of user's authority to operate a vehicle and satisfaction of all personal responsibilities associated with the program (i.e., payment of tickets), and cut off at the end of the fiscal year. Retain records for 1 year, and then destroy.</p> | <p>Temporary<br/>1 Year</p>   | <p>1 Year</p>   | <p>None</p>                           |

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| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 17       | <p>Fleet Management Records [Program records] (Office of the Director)-This record documents the management of vehicle procurement at the agency. This record includes but is not limited to fleet activity reports. i.e. vehicle leasing activity, and fuel consumption. Reports are used for budget allocations and internal audits to monitor or eliminate excess fuel usage and manage the replacement of vehicles as needed. Records are organized by fiscal year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p> <p>Temporary: Records close and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>   | Temporary<br>3 Years | 3 Years         | None                                  |
| 18       | <p>Fleet Management and Fleet Share Accident Files (Office of the Director) Record documents the date and time of the accident, parties involved and other vital statistics required to maintain the program. Record may include references to litigation files. This record is organized chronologically by fiscal year</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p> <p>Temporary: Records close upon satisfaction of all financial and legal obligations associated with accident, including the exhaustion of all appeals and satisfaction of required actions by all parties. The records cut off at the end of the fiscal year and are retained for 3 years after cut off. The records are then transferred to the Record Center for additional 3 years retention.</p> | Temporary<br>6 Years | 3 Years         | 3 Years                               |

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| Series # | Records Series Description   | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|--|------------------------------|-----------------|---------------------------------------|
| 19       | <p>Travel Requests: (Office of the Director) This series documents travel authorizations for DCHR employees and contains copies of travel orders, travel authorization, subsequent payments, and standard vouchers. This record is arranged by date.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p> <p>Temporary: Records close upon conclusion of travel or upon rejection or withdrawal of the request and cut off at the end of the fiscal year. Retain records for 3 years after cut off, and then destroy.</p> | <p>Temporary<br/>3 Years</p> | 3 Years         | None                                  |
| 20       | <p>Memorandums of Understanding (Office of the Director) This record documents agreements between DCHR and other District agencies to complete mission critical work of joint interest and minimize duplication of effort across the District. This record is organized by Agency</p> <p>Restrictions: None</p> <p>Media: Electronic (SharePoint, Shared Drives)</p>   |                              |                 |                                       |
| a        | <p>Under \$100,000</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. Retain the record for 3 years after cut off, and then destroy.</p>  | <p>Temporary<br/>3 Years</p> | 3 Years         | None                                  |
| b        | <p>\$100,000 +</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cut off and then destroy.</p>  | <p>Temporary<br/>6 Years</p> | 6 Years         | None                                  |

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| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 21       | <p>Employee Award Files (Office of the Director) This record documents recommendations, approved nominations, correspondence, copies of letters recognizing length of service and retirement, and letters of appreciation and commendation for performance, excluding copies filed in the Official Personnel Folder. Records are organized by employee name.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (SharePoint, Google One Drive, Shared drive by Department)</p> <p>Temporary: Records close upon approval and or denial and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p> | Temporary<br>2 Years | 2 Years         | None                                  |

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## Benefits

| Series # | Records Series Description  | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|---|------------------------------|-----------------|---------------------------------------|
| 22       | <p>Police and Fire Retirement and Relief Board (Benefits) The Police and Fire Retirement and Relief Board hears and rules on retirement and benefit eligibility for the Metropolitan Police Department, Fire and Emergency Medical Services Department, U.S. Park Police, and U.S. Secret Service. The board rules on optional retirement eligibility, eligibility for a survivor (s), disability retirement eligibility, and reviews annual medical verification for disabled retirees. Records may include but are not limited to application form, name of retiree candidate, name of officer and survivor, contact information, date of requested retirement, reason for retirement request, copies of medical records including x-rays, doctor notes/analysis, death certificates, marriage licenses, birth certificates, and other documentation that assist the board in making accurate retirement decisions. Records are organized by employee name.</p> <p>Restrictions: PII/PHI<br/>Media: Electronic (SharePoint)</p> |                              |                 |                                       |
| a        | <p>Approved</p> <p>Temporary: Records close when all benefits have been disbursed to the retiree or beneficiaries and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the Record Center for 4 years.</p>   | <p>Temporary<br/>7 Years</p> | <p>3 Years</p>  | <p>4 Years</p>                        |

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| Series # | Records Series Description  | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|---|------------------------------|-----------------|---------------------------------------|
| b        | <p>Denied</p> <p>Temporary: Records close upon final determination or exhaustion of all appeals and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.</p>   | <p>Temporary<br/>5 Years</p> | <p>5 Years</p>  | <p>None</p>                           |
| 23       | <p>Employee Discount Program Contracts (Benefits) This record documents contracts with vendors to offer discounts to District Government Employees. Examples of discount programs include entertainment, health and wellness and discounts for travel. Records may include but are not limited to term of the agreement, special terms and conditions, discount schedule. Records are organized by discount name.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p> <p>Temporary: Records close upon expiration of the contract and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.</p> | <p>Temporary<br/>5 Years</p> | <p>5 Years</p>  | <p>None</p>                           |

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### Center for Learning and Development

| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 24       | <p>Training Programs-Employee (Center for Learning and Development) This record documents training programs and materials available to District employees. Records may include but are not limited to manuals, textbooks, training plans, employee survey forms, and catalogs of courses. Records are organized by course title and fiscal year.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (PeopleSoft and Shared drive)</p> <p>Temporary: Records close when superseded or obsolete and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.</p>                        | Temporary<br>5 Years | 5 Years         | None                                  |
| 25       | <p>Training Programs-Public (Center for Learning and Development) This record documents training programs offered to the public to educate and promote awareness and utilization of District programs and services. Records may include, but are not limited to, curriculum, agendas, and lists of participants. Records are organized by program name.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Shared drive)</p> <p>Temporary: Record closes when training materials are superseded or become obsolete, and cuts off at the end of the fiscal year. Retain record for 5 years after cut off and then destroy.</p> | Temporary<br>5 Year  | 5 Year          | None                                  |

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| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 26       | <p>Development Program Files (Center for Learning and Development) This record documents participants in the Mayor’s development programs. Records include but are not limited to applications, name of applicant, work history of applicant, interview and selection documentation, agency placement documents. Records are organized by applicant name and program name.</p> <p>Restrictions: PII<br/> Media: Electronic (Google Drive)<br/> Temporary: Records close upon completion of the developmental opportunity and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.</p> | Temporary<br>5 Years | 5 Years         | None                                  |
| 27       | <p>Memoranda of Understanding (Center for Learning and Development) This record documents agreements between DCHR and other District agencies to complete mission critical work of joint interest and minimize duplication of effort across the District. This record is organized by Agency.</p> <p>Restrictions: None<br/> Media: Electronic (SharePoint, Shared Drives)</p>   |                      |                 |                                       |
| a        | <p>Under \$100,000</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. Retain the record for 3 years after cut off, and then destroy.</p>  | Temporary<br>3 Years | 3 Years         | None                                  |

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| Series # | Records Series Description   | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|--|------------------------------|-----------------|---------------------------------------|
| b        | <p>\$100,000 +</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cut off and then destroy.</p>  | <p>Temporary<br/>6 Years</p> | <p>6 Years</p>  | <p>None</p>                           |
| 28       | <p>Employee Award Files (Center for Learning and Development) This record documents recommendations, approved nominations, correspondence, copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, excluding copies filed in the Official Personnel Folder. Records are organized by employee name.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (SharePoint, Google One Drive, Shared drive by Department)</p> <p>Temporary: Records close upon approval and or denial and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p> | <p>Temporary<br/>2 Years</p> | <p>2 Years</p>  | <p>None</p>                           |

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### Office of the General Counsel

| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 29       | <p>Freedom of Information Act Requests (Office of the General Counsel) This record documents requests from the public for document (s) to be released under the Freedom of Information Act. Records include the request, a copy of the reply, and all related supporting files. Records are by response date.</p> <p>Restriction: None</p> <p>Media: Electronic (FOIA Xpress/ProLaw)</p> |                      |                 |                                       |
| a        | <p>Approved Requests</p> <p>Temporary: Records close upon response to the requester and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p>  | Temporary<br>2 Years | 2 Years         | None                                  |
| b        | <p>Denied Requests</p> <p>Temporary: Records close upon response to the requester and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.</p>  | Temporary<br>5 Years | 5 Years         | None                                  |

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| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 30       | <p>Freedom of Information Act Appeals (Office of the General Counsel) This record documents requests denied by an agency, commission, or formal office in the District of Columbia to release documents under the Freedom of Information Act. Records include the request, a copy of the denial, and all related supporting files. Records are organized in response date.</p> <p>Restriction: None</p> <p>Media: Electronic (FOIA Xpress/ProLaw)</p> <p>Temporary: Records close upon exhaustion of all appeals and cut off at the end of the fiscal year. Retain the record 4 years, and then destroy.</p> |                      |                 |                                       |
| a        | <p>Denied requests appealed to a District official</p> <p>Temporary: Records close upon decision by District official and cut off at the end of the fiscal year. Responses are entered into FOIA Express, and any records held at the originating agency are retained for 4 years after cut off and then destroyed.</p>  | Temporary<br>4 Years | 4 Years         | None                                  |
| b        | <p>Denied requests appealed to the DC Court of Appeals</p> <p>Temporary: Records close upon decision by the court and cut off at the end of the fiscal year. Responses are entered into FOIA Express, and any records held at the originating agency are retained for 3 years after cut off and then destroyed.</p>  | Temporary<br>3 Years | 3 Years         | None                                  |

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| Series # | Records Series Description  | Total Retention       | Years in Office | Remaining Retention in Records Center |
|----------|---|-----------------------|-----------------|---------------------------------------|
| 31       | <p>Legal Opinions (Office of the General Counsel) This record documents advisement to agencies on the legality &amp; stipulations of ideas, proposals, and decisions. This record includes but is not limited to settlement proposals, legal sufficiency reviews, proposed legislation, and implications of agency decisions. This record is organized by subject and date.</p> <p>Restrictions: Restricted to OGC<br/>Media: Electronic (ProLaw, OGC Shared Drive)<br/>Permanent: Records close upon rendering of the legal opinion and cut off at the end of the fiscal year. Retain records permanently in the agency.</p>   | Permanent             | Permanent       | None                                  |
| 32       | <p>Litigation Case Files (Office of the General Counsel) This record documents the Office of the General Counsel's preparation and litigation of administrative cases against DCHR. Records may include but are not limited to copies of official complaints, response motions, subpoenas, evidence, communications, litigation-hold material, and other records necessary to the litigation. Arranged by case number.</p> <p>Restrictions: PII<br/>Media: Electronic (ProLaw)<br/>Temporary: Records close upon court order or exhaustion of all appeals and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then transfer to the Record Center for 7 years.</p> | Temporary<br>12 Years | 5 Years         | 7 Years                               |

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| Series # | Records Series Description  | Total Retention   | Years in Office | Remaining Retention in Records Center |
|----------|---|-------------------|-----------------|---------------------------------------|
| 33       | <p>Americans with Disabilities Act requests (Office of the General Counsel)</p> <p>This record documents the request, review, and recommendations for accommodation approval under the Americans with Disability Act (ADA). This record includes the request, medical documentation, timeframe for the accommodation. Records are organized by employee name.</p> <p>Restrictions: Restricted to ADA Coordinator</p> <p>Media: Electronic (ADA Coordinator drive)</p> <p>Temporary: Records close on the last date of accommodation or employment, whichever is later and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.</p> | Temporary 5 Years | 5 Years         | None                                  |

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| Series # | Records Series Description  | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|---|----------------------|-----------------|---------------------------------------|
| 34       | <p>Audit Case Files (Office of the General Counsel) This record documents audits of District agencies, agency programs, operations, and procedures. The focus is to recommend improvements, promote organizational performance, and provide an independent appraisal of whether desired results and objectives are achieved efficiently, economically, and in accordance with prescribed laws, regulations, policies, and procedures. Records are organized by year and name of the audit.</p> <p>Restrictions: None</p> <p>Media: Electronic (SharePoint, shared drive)</p> <p>Temporary: Records close upon acceptance of the final audit report and cut off at the end of the fiscal year. Retain record for 5 years after cut off and then destroy.</p> | Temporary<br>5 Years | 5 Years         | None                                  |

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| Series # | Records Series Description  | Total Retention      | Years in Office                   | Remaining Retention in Records Center |
|----------|---|----------------------|-----------------------------------|---------------------------------------|
| 35       | <p>Legislative Drafting (Office of the General Counsel) This record documents the creation of Council submission packages for legislative review and approval. Records include working drafts, supporting documentation, analysis, and final submission package. Records are organized by subject and date.</p> <p>Restrictions: None</p> <p>Media: Electronic (SharePoint)</p> <p>Permanent: Records close when proposed legislation has been approved or denied and cut off at the end of the Council Period. Record is to be retained until the end of the corresponding Mayor's administration, and then transferred to the Record Center for 4 years before transfer to the DC Archives.</p>   | Permanent            | End of the Mayor's Administration | 4 Years                               |
| 36       | <p>Investigative Case Files (Office of the General Counsel) This record documents investigations of alleged violations of laws, regulations, and directives by agency personnel; external investigations of contractors or grantees. Records may include, but are not limited to case initiations, case summaries, official reports of investigation, polygraph reports, agents' notes, sworn statements and affidavits and subpoenas; supplemental reports on closed cases. This reference copy is maintained in the Office of the General Counsel.</p> <p>Temporary: Records close upon publication of final report or resolutions of associated action plans; whichever is later. Records cut off at the end of the fiscal year. Retain records for 2 years after cut off and then transfer to the Records Center for 3 years.</p> | Temporary<br>5 Years | 2 Years                           | 3 Years                               |

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## Human Resource Solutions

| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 37       | <p>Job Fairs (Human Resources Solutions) This record documents event planning for job fairs conducted by the District. Records may include but are not limited to vendor engagements, rentals, speakers, agenda, or schedules of events. Records are organized by event date.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p> <p>Temporary: Records close upon conclusion of the event and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>                                       | Temporary<br>3 Years | 3 Years         | None                                  |
| 38       | <p>Classification Files: (Human Resources Solutions) This record documents review and approval process to classify positions. Records may include but are not limited to establishment or updating of position classifications, reduction in force actions and analysis, names of employees impacted by classification work and the associated agency, classification surveys and audit reports and correspondence. Records are organized by name of agency and date.</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic (Peoplesoft, shared drive)</p> |                      |                 |                                       |

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| Series # | Records Series Description   | Total Retention                 | Years in Office | Remaining Retention in Records Center |
|----------|--|---------------------------------|-----------------|---------------------------------------|
| a        | <p>Establishment and Updates</p> <p>Temporary: Records close when the classification is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain the record for 5 years after cut off and then destroy.</p>  | <p>Temporary</p> <p>5 Years</p> | <p>5 Years</p>  | <p>None</p>                           |
| b        | <p>Case Files</p> <p>Temporary: Records close upon final action or exhaustion of all appeals and cut off at the end of the fiscal year. Retain the record for 3 years after cut off and then destroy.</p>  | <p>Temporary</p> <p>3 Years</p> | <p>3 Years</p>  | <p>None</p>                           |
| 39       | <p>Community Events (Human Resource Solutions) This record documents event planning, inclusive of vendor engagements, rentals, speakers, and agenda or schedule. Records are organized by event name.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p> <p>Temporary: Records close upon conclusion of the event and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p> | <p>Temporary</p> <p>3 Years</p> | <p>3 Years</p>  | <p>None</p>                           |

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| Series # | Records Series Description  | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|---|------------------------------|-----------------|---------------------------------------|
| 40       | <p>Merit Staffing Case Files (Human Resource Solutions) Consist of all documents used in the evaluation and selection of applicants under the provisions of the D.C. Merit Staffing Plan. Files may include: position description; vacancy announcement; job analysis documentation; ranking plan or citation; information used to develop ranking factors; record of actions taken under priority consideration referrals; Initial Screening Worksheet (DCSF-1210); rating material or notes; Selection Certificate (OP. 325); DC2000 or online electronic application, as applicable, and all other application material; a copy of Form 1 (Personnel Action) for the selectee(s); and all other written material required by this plan. Records are organized by applicant.</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic (Peoplesoft)</p> <p>Temporary: Records close upon selection or cancellation of posting and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p> | <p>Temporary<br/>2 Years</p> | <p>2 Years</p>  | <p>None</p>                           |

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| Series # | Records Series Description  | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|---|------------------------------|-----------------|---------------------------------------|
| 41       | <p>Employee Award Files (Human Resource Solutions) This record documents recommendations, approved nominations, correspondence, Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, excluding copies filed in the Official Personnel Folder. Records are organized by employee name.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (SharePoint, Google One Drive, Shared drive by Department)</p> <p>Temporary: Records close upon approval and or denial and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p> | <p>Temporary<br/>2 Years</p> | <p>2 Years</p>  | <p>None</p>                           |

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## Information Technology

| Series # | Records Series Description   | Total Retention                                 | Years in Office                    | Remaining Retention in Records Center |
|----------|--|---|------------------------------------|---------------------------------------|
| 42       | <p>Infrastructure Project Records Information Technology (IT) This record documents the basic systems and services used to supply the agency and its staff with access to computers and data telecommunications. Records are organized by program and may include requirements for and implementation of functions such as maintaining network servers, desktop computers, and other hardware.</p> <p>Restrictions: None<br/> Media: Electronic (Shared Drive)<br/> Temporary: Records close when superseded or obsolete and cut off at the end of the fiscal year. Destroy when no longer needed for audit, legal, or operational purposes.</p> | Temporary<br>Until<br>superseded or<br>obsolete | Until<br>superseded or<br>obsolete | None                                  |
| 43       | <p>Surplus Management (IT Team) This series documents DCHR's process to secure or transfer surplus property to OCP. Records may include, but not limited to, transfer form, pictures, and condition of property. Records are organized chronologically by fiscal year.</p> <p>Restrictions: None<br/> Media: Electronic (Shared Drive)<br/> Temporary: Records close when property is transferred to OCP Surplus Property Division and cut off at the end of the fiscal year. Retain record 1 year after cutoff, and then destroy.</p>   | Temporary:<br>1 Years                           | 1 Years                            | None                                  |

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## Policy and Compliance

| Series # | Records Series Description  | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|---|----------------------|-----------------|---------------------------------------|
| 44       | <p>Memoranda of Understanding (Policy and Compliance) This record documents agreements between DCHR and other District agencies to complete mission critical work of joint interest and minimize duplication of effort across the District. This record is organized by Agency</p> <p>Restrictions: None</p> <p>Media: Electronic (SharePoint, Shared Drives)</p> |                      |                 |                                       |
| a        | <p>Under \$100,000</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. Retain the record for 3 years after cut off, and then destroy.</p>   | Temporary<br>3 Years | 3 Years         | None                                  |
| b        | <p>\$100,000 +</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cut off and then destroy.</p>   | Temporary<br>6 Years | 6 Years         | None                                  |

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| Series # | Records Series Description  | Total Retention | Years in Office              | Remaining Retention in Records Center |
|----------|---|-----------------|------------------------------|---------------------------------------|
| 45       | <p>Human Resource Orders and Opinions (Policy and Compliance) This record documents orders and guidance opinions relating to personnel management issued by DCHR. Issuances are binding for agencies without independent Human Resource authority. Records may include but are not limited to drafts, background materials, and approval documentation. Records are organized by topic and date of issue.</p> <p>Restrictions: None</p> <p>Media: Electronic (SharePoint, Intranet)</p> <p>Permanent: Records close when directive is superseded or becomes obsolete and cut off at the end of the fiscal year. Records are transferred within 30 days of cut off to the D.C. Archives.</p> | Permanent       | Electronic Copy<br>Permanent | None                                  |

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| Series # | Records Series Description  | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|---|------------------------------|-----------------|---------------------------------------|
| 46       | <p>Suitability Files (Policy and Compliance) These records document employee compliance with suitability standards established for their position. Records may include but are not limited to pre and post-employment background checks, social security number verification, criminal record searches, sexual offender registry searches. Records are organized by employee name.</p> <p>Restrictions: PII</p> <p>Media: Electronic (TrueScreen, SharePoint)</p> <p>Temporary: Records close when employee separates from the job requiring the standard or separates from the District Government and cut off at the end of the fiscal year. Retain records for 7 years after cut off and then destroy.</p> | <p>Temporary<br/>7 Years</p> | <p>7 Years</p>  | <p>None</p>                           |

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| Series # | Records Series Description   | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|--|------------------------------|-----------------|---------------------------------------|
| 47       | <p>Grievance (Policy and Compliance) This record documents grievances raised by agency employees, except EEO complaints. These case files include statements from witnesses, reports of interviews and hearings, examiner’s findings and recommendations, a copy of the original decision, related correspondence and exhibits, and a final determination. These records are organized by employee name.</p> <p>Restrictions: PII</p> <p>Media: Electronic (TrueScreen, SharePoint)</p> <p>Temporary: Records close upon final determination, satisfaction or all required actions or exhaustion of all appeals, whichever is later. Records cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p> | <p>Temporary<br/>3 Years</p> | <p>3 Years</p>  | <p>None</p>                           |

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| Series # | Records Series Description   | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|--|------------------------------|-----------------|---------------------------------------|
| 48       | <p>Corrective or Adverse Action Files (Final). This record documents the review process conducted within DCHR or case files resulting in a corrective or adverse action. Actions subject to this review include disciplinary or non-disciplinary removal, suspension, leave without pay, and reduction-in-force. The record may include but is not limited to a copy of the proposed corrective or adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of actions; and appeal records, excluding letters of reprimand. Records are organized by employee name.</p> <p>Restrictions: PII</p> <p>Media: Electronic (TrueScreen, SharePoint)</p> <p>Temporary: Records close upon final determination, satisfaction or all required actions or exhaustion of all appeals, whichever is later. Records cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p> | <p>Temporary<br/>3 Years</p> | <p>3 Years</p>  | <p>None</p>                           |

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| Series # | Records Series Description  | Total Retention                                   | Years in Office                      | Remaining Retention in Records Center |
|----------|---|---|--------------------------------------|---------------------------------------|
| 49       | <p>Labor Management Relations Records (Policy and Compliance Administration) This record documents correspondence, memoranda, reports, copies of collective bargaining agreements, and other records relating to the relationship between management and employee unions or other groups. General and Case Files, excluding records of the EOM/Office of Labor Relations and Collective Bargaining.</p> <p>Restrictions: PII</p> <p>Media: Electronic (SharePoint)</p> <p>Temporary: Records close when the case or issue is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain record until no longer needed for reference and then destroy.</p>   | Temporary<br>Until no longer needed for reference | Until no longer needed for reference | None                                  |
| 50       | <p>Audit (Policy and Compliance) This record documents audits of District agencies, agency programs, operations, and procedures. The focus is to recommend improvements, promote organizational performance, and provide an independent appraisal of whether desired results and objectives are achieved efficiently, economically, and in accordance with prescribed laws, regulations, policies, and procedures. Records are organized by year and name of the audit.</p> <p>Restrictions: PII</p> <p>Media: Electronic (SharePoint, shared drive)</p> <p>Temporary: Records close upon acceptance of the final audit report and cut off at the end of the fiscal year. Retain record for 5 years after cut off and then destroy.</p> | Temporary<br>5 Years                              | 5 Years                              | None                                  |

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| Series # | Records Series Description   | Total Retention      | Years in Office              | Remaining Retention in Records Center |
|----------|--|----------------------|------------------------------|---------------------------------------|
| 51       | <p>Employee Award Files (Policy and Compliance) This record documents recommendations, approved nominations, correspondence, reports, and related handbooks pertaining to monetary or non-monetary incentive awards such as safe driving award, quality salary increase, suggestion/invention award, special act or service award, time off award, and honorary award. Copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, excluding copies filed in the Official Personnel Folder. Records are organized by employee name.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (SharePoint, Google One Drive, Shared drive by Department)</p> |                      |                              |                                       |
| 52     a | <p>Case Files</p> <p>Temporary: Records close upon approval and or denial and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p>  | Temporary<br>2 Years | 2 Years                      | None                                  |
| 53     b | <p>Handbooks and Policy</p> <p>Permanent: Records close when directive is superseded or becomes obsolete and cut off at the end of the fiscal year. Records are transferred within 30 days of cut off to the D.C. Archives.</p>  | Permanent            | Electronic Copy<br>Permanent | None                                  |

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| Series # | Records Series Description  | Total Retention | Years in Office                   | Remaining Retention in Records Center |
|----------|---|-----------------|-----------------------------------|---------------------------------------|
| 54 c     | <p>Subject Files (Correspondence pertaining to the operation of the Program</p> <p>Appraisal: Records close when determination resulting from the correspondence is superseded or becomes obsolete and cut off at the end of the fiscal year. Records are transferred within 30 days of cut off to the Record Center for Appraisal.</p>   | Appraisal       |                                   |                                       |
| 55       | <p>Legislative Drafting (Policy and Compliance) This record documents the creation of Council submission packages for legislative review and approval. Records include working drafts, supporting documentation, analysis, and final submission package. Records are organized by subject and date.</p> <p>Restrictions: None</p> <p>Media: Electronic (SharePoint)</p> <p>Permanent: Records close when proposed legislation has been approved or denied and cut off at the end of the Council Period. Record is to be retained until the end of the corresponding Mayor's administration, and then transferred to the Record Center for 4 years before transfer to the DC Archives.</p> | Permanent       | End of the Mayor's Administration | 4 Years                               |

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| Series # | Records Series Description   | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|--|------------------------------|-----------------|---------------------------------------|
| 56       | <p>Investigative Case Files (Policy and Compliance) This record documents investigations of alleged violations of laws, regulations, and directives by agency personnel; external investigations of contractors or grantees. Records may include, but are not limited to case initiations, case summaries, official reports of investigation, polygraph reports, agents' notes, sworn statements and affidavits and subpoenas; supplemental reports on closed cases.</p> <p>Restrictions: PII</p> <p>Media: Electronic (SharePoint)</p> <p>Temporary: Records close upon publication of final report or resolutions of associated action plans; whichever is later. Records cut off at the end of the fiscal year. Retain records for 2 years after cut off and then transfer to the Records Center for 3 years.</p> | <p>Temporary<br/>5 Years</p> | <p>2 Years</p>  | <p>3 Years</p>                        |

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## Strategic Human Capital

| Series # | Records Series Description  | Total Retention        | Years in Office | Remaining Retention in Records Center |
|----------|---|------------------------|-----------------|---------------------------------------|
| 57       | <p>Credential Files Identification (Strategic Human Capital) This record documents credentials including access cards, badges, and parking permits. Records may include but are not limited to name and contact information, copies of government issued identification, emergency contacts, photographs, authorizations. Records are organized by employee or contractor name and fiscal year.</p> <p>Restrictions: PII</p> <p>Media: Electronic (Shared drive)</p> <p>Temporary: Records close when the credential is returned or canceled by the issuing office and cut off at the end of the quarter. Retain record for 18 months after cut off and then destroy.</p> | Temporary<br>18 Months | 18 Months       | None                                  |

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| Series # | Records Series Description   | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|--|------------------------------|-----------------|---------------------------------------|
| 58       | <p>Audit (Strategic Human Capital) This record documents audits of District agencies, agency programs, operations, and procedures. The focus is to recommend improvements, promote organizational performance, and provide an independent appraisal of whether desired results and objectives are achieved efficiently, economically, and in accordance with prescribed laws, regulations, policies, and procedures. Records are organized by year and name of the audit.</p> <p>Restrictions: None</p> <p>Media: Electronic (SharePoint, shared drive)</p> <p>Temporary: Records close upon acceptance of the final audit report and cut off at the end of the fiscal year. Retain record for 5 years after cut off and then destroy.</p> | <p>Temporary<br/>5 Years</p> | <p>5 Years</p>  | <p>None</p>                           |

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| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 59       | <p>Employee Award Files (Strategic Human Capital) This record documents recommendations, approved nominations, correspondence, copies of letters recognizing length of service and retirement and letters of appreciation and commendation for performance, excluding copies filed in the Official Personnel Folder. Records are organized by employee name.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (SharePoint, Google One Drive, Shared drive by Department)</p> <p>Temporary: Records close upon approval and or denial and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p>                     | Temporary<br>2 Years | 2 Years         | None                                  |
| 60       | <p>Package Tracking Log (Strategic Human Capital) This record documents packages received in DCHR by mail and from delivery services and packages sent by DCHR via mail and delivery services. This record may include but is not limited to pick up receipts, delivery requests, fulfillment forms, signatures of the person receiving the package from the carrier, and signature of the addressee or a designee. This record is organized by date and by fiscal year.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close upon daily and cut off at the end of the fiscal year. Retain records for 1 year after cut off and then destroy.</p> | Temporary<br>1 Year  | 1 Year          | None                                  |

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| Series # | Records Series Description   | Total Retention  | Years in Office | Remaining Retention in Records Center |
|----------|--|--|-----------------|---------------------------------------|
| 61       | <p>Official Personnel Folder (Strategic Human Capital) The official personnel folder consists of records of civilian personnel in subordinate agencies under the personnel authority of the Mayor maintained by the Department of Human Resources, or an agency with independent personnel authority. Included are permanent records filed chronologically on the right side of the folder, such as qualification inquiries, personnel record cards, performance ratings (role model and fails expectations (or equivalent)), personnel actions, health and life insurance forms, and other pertinent documents that provide the official record of personnel actions pertaining to the employee's status and employment history. Records are organized by last name.</p> <p>Restrictions: PII<br/>Media: Paper/Electronic (FileNet)</p> |  |                 |                                       |
| a        | <p>Separated Employees-Federal Employees Retirement Records</p> <p>Temporary- Records close after all benefits have been paid to all eligible heirs and cut off at the end of the fiscal year. Retain records for 2 years after cut off and transfer to the DC Archives or Federal Records Center, as applicable, for 127 years from the date of employee's birth or 28 years from date of death, whichever is sooner.</p>   | <p>Temporary<br/>129 Years<br/>from the date<br/>of birth or 30<br/>Years from<br/>date of death</p> | 2 Years         | None                                  |

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| Series # | Records Series Description   | Total Retention  | Years in Office | Remaining Retention in Records Center |
|----------|--|--|-----------------|---------------------------------------|
| b        | Separated Employees-Official Personnel Files-<br>Temporary- Records close upon last date of employment and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then transfer to the District Archives or Federal Records Center, as applicable, for 73 Years.  | Temporary<br>75 Years                                  | 2 Years         | 73 years                              |
| c        | Employees transferring to an Agency with Personnel Authority<br>Record closes and cut off on the last day assigned to agency under the personnel authority of the Mayor and maintained by DCHR. Transfer records to agency with independent authority within 30 days of cut off.   | Transfer to<br>agency with<br>independent<br>authority | None            | None                                  |
| 62       | Employee Performance Rating Files (Strategic Human Capital) This record documents employee performance management as executed in the District. Records may include but are not limited to official employee evaluations, mid-year evaluations, and performance improvement plans, manuals and guidance materials for managers and employees including step-by-step guides. |  |                 |                                       |
| a        | Employee Files-Records are organized by employee name<br>Restrictions: PII<br>Media: PeopleSoft/paper<br>Temporary: Records close upon employee separation and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.   | Temporary<br>3 Years                                   | 3 Years         | None                                  |

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| Series # | Records Series Description  | Total Retention | Years in Office | Remaining Retention in Records Center |
|----------|---|-----------------|-----------------|---------------------------------------|
| b        | <p>Manuals and guidance materials</p> <p>Restrictions: None</p> <p>Media: Electronic (Intranet)</p> <p>Permanent: Records close when directive is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records on site four years after cut off, then transfer to the D.C. Archives.</p>  | Permanent       | 4 Years         | None                                  |
| 63       | <p>Compensation Reports (Strategic Human Capital) This record documents District employee compensation trends and patterns as compared to other local and national jurisdictions. Data is presented in an aggregate way. Records are organized by report name and year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared drive)</p> <p>Permanent: Records close upon publication of the report and cut off at the end of the fiscal year. Retain the record for 3 years after cut off and then transfer to the DC Archives.</p> | Permanent       | 3 Years         | None                                  |

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| Series # | Records Series Description   | Total Retention | Years in Office | Remaining Retention in Records Center |
|----------|--|-----------------|-----------------|---------------------------------------|
| 64       | <p>Compensation (Salary) Schedules (Strategic Human Capital) These records document the open range and step salary tables applicable to certain District government employees. Changes to salary schedules may be approved each fiscal year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p> <p>Permanent: Records close upon the authorization and approval of a change to the salary schedule(s) and cut off at the end of the fiscal year. Retain the record for 3 years after cut off and then transfer to the DC Archives</p>   | Permanent       | 3 Years         | None                                  |
| 65       | <p>Data Analysis Reports (Strategic Human Capital) This record documents the examination of trends on various Human Resource topics including overtime, appointment types, demographics, retirement eligibility, District residency. Data is aggregated and records are organized by report name and year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared drive)</p> <p>Permanent. Records close upon publication of the report and cut off at the end of the corresponding Mayor's tenure. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p> | Permanent       | None            | 4 Years                               |

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| Series # | Records Series Description  | Total Retention                 | Years in Office | Remaining Retention in Records Center |
|----------|---|---------------------------------|-----------------|---------------------------------------|
| 66       | <p>Employee Employment Verification Files (Strategic Human Capital)</p> <p>Documents sent from outside sources such as lenders or potential employers to verify District employment of an individual. Records may include but are not limited to name and contact information of requestor, name, and contact information of the individual for which the information is being requested, an information release authorization by the current or former employee, and verification of employment. Records are organized by employee name.</p> <p>Restrictions: PII</p> <p>Media: Electronic (Shared drive)</p> <p>Temporary: Records close upon release or denial of verification of employment and cut off at the end of the fiscal year. Retain records for 3 years and then destroy.</p> | <p>Temporary</p> <p>3 Years</p> | <p>3 Years</p>  | <p>None</p>                           |

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| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 67       | <p>Help Desk (Strategic Human Capital) This series contains help desk reports, call logs and other files related to customer query and problem response; query monitoring and clearance; and customer feedback records; and related trend analysis and reporting. This record is organized by month and fiscal year or ticket number.</p> <p>Restrictions: PII</p> <p>Media: Electronic (GoogleDocs (customer sign-in), Avaya (Call logs) RemedyForce (IT help desk) Excel (Shared drive))</p> <p>Temporary: Records close upon resolution or referral to the appropriate resource and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p> | Temporary<br>2 Years | 2 Years         | None                                  |

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**Administrative Records** The records covered in this section relate to routine internal administrative and housekeeping activities and are generally facilitative or informational. *They are not basic program records and are not part of official program files.* They are often extra copies of documents whose record copies must be scheduled by submitting a request for records disposition authority.

| Series # | Records Series Description   | Total Retention      | Years in Office | Remaining Retention in Records Center |
|----------|--|----------------------|-----------------|---------------------------------------|
| 68       | Asset Inventory (Facilities Manager) Inventory of physical assets (non-transitory) held by the agency, including furniture, technology equipment, or other physical assets. Inventories are organized by Control ID and Asset Name, and record both location and the last inventory date.<br><br>Restrictions: None<br>Media: Paper<br>Temporary: Records close and cut off when superseded. Retain records for 2 years after cut off, and then destroy. | Temporary<br>2 Years | 2 Years         | None                                  |
| 69       | Records Disposition Files (Records Manager) Basic documentation of records description and disposition programs, including but not limited to: <ul style="list-style-type: none"> <li>• Retention Schedules</li> <li>• SF135-Records Transmittal and Receipt</li> <li>• Requests for Records Disposition Authority</li> <li>• Notice of intent to destroy</li> <li>• Confirmation of Destruction of Records</li> </ul> Records are organized by date.    | Permanent            | Permanent       | None                                  |



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| Series # | Records Series Description  | Total Retention                                  | Years in Office        | Remaining Retention in Records Center |
|----------|---|--|------------------------|---------------------------------------|
|          | Temporary: Records close and cut off at end of the fiscal year. Destroy when no longer needed for administrative or reference purposes.   |  |                        |                                       |
| 72       | <p>Schedules of Daily Activities (Non-Senior Officials) Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of D.C. employees.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Agency Secure Network)</p> <p>Temporary: Records close and cut off at the end of the fiscal year. Destroy when no longer needed for administrative or reference purposes.</p> | Temporary<br>Destroy when no longer needed       | Until no longer needed | None                                  |
| 73       | <p>Mailing and Invitation Lists: This record identifies individuals and organizations that are to receive copies of newsletters, reports, invitations to events, and other issuances.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Agency Secure Network)</p> <p>Temporary: Records close and cut off upon conclusion of the event, meeting, conference, etc. Destroy records when no longer needed for administrative or reference purposes.</p>                        | Temporary<br>Destroy when obsolete or superseded | Until no longer needed | None                                  |
| 74       | <p>Suspense Files (Files noting actions to be taken) Papers arranged in chronological order as a reminder that an action is required on a given date or that a reply should be traced on a given date.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Agency Secure Network)</p>   | Temporary<br>Destroy after action is taken       | Until no longer needed | None                                  |

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| Series # | Records Series Description   | Total Retention  | Years in Office | Remaining Retention in Records Center |
|----------|--|--|-----------------|---------------------------------------|
|          | <p>Temporary: Records close and cut off upon completion of review or action. Destroy records when no longer needed for administrative or reference purposes.</p>   |  |                 |                                       |
| 75       | <p>Transitory Files Papers of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Letters of Transmittal</li> <li>• Quasi-Official notices</li> <li>• Memos and other papers that do not serve as basis for official action</li> <li>• Holiday notices</li> <li>• Charity notices</li> <li>• Bond Campaigns</li> </ul> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Agency Secure Network)</p> <p>Temporary: Records close upon completion of review or action and cut off at end of the quarter. Retain record for 3 months after cut off and then destroy when no longer needed for administrative, audit or reference purposes.</p> | <p>Temporary Destroy when 3 months old or when no longer needed, whichever is sooner</p> | 3 Months        | None                                  |

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| Series # | Records Series Description   | Total Retention              | Years in Office | Remaining Retention in Records Center |
|----------|--|------------------------------|-----------------|---------------------------------------|
| 76       | <p>Contract Administration-Agency Copies (Agency Procurement Staff) Files containing documentation pertaining to the acquisition physical goods, services, products, and personal property. Procurement files consists of contracts, requisitions, purchase orders work orders, invoices. Records are organized by fiscal year.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Secure agency network)</p> |                              |                 |                                       |
| a        | <p>Under \$100,000</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. Retain the record for 3 years after cut off, and then destroy.</p>  | <p>Temporary<br/>3 Years</p> | <p>3 Years</p>  | <p>None</p>                           |
| b        | <p>\$100,000 +</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cut off and then destroy.</p>  | <p>Temporary<br/>6 Years</p> | <p>6 Years</p>  | <p>None</p>                           |

**Non-Records**

Non-record materials are disposable upon agency authority. Please direct questions to the Office of Public Records for assistance.

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| <b>Description</b>   |
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| Duplicate copies of documents  |
| Printed Reports from Computer Programs that can be recreated on-demand   |
| Reference or Convenience Copies of official documents (i.e.: copies of Mayor's orders, or correspondence)                      |
| Working papers that don't impact or are not considered essential to a final decision regarding policies, laws, and regulations |
| Library or other reference materials or records maintained solely for convenience or reference                                 |
| Blank forms  |
| Materials relating to fringe activities of an agency such as charitable fund drives.   |