

ADDENDUM NO. 2

RFP NUMBER: 189199

RFP TITLE: ERP SYSTEM

DEPARTMENT: INFORMATION TECHNOLOGY

DATE OF ADDENDUM: FEBRUARY 6, 2020

DEADLINE FOR QUESTIONS: JANUARY 27, 2020, 4:00 p.m., e.s.t.

RFP DUE DATE/TIME: FEBRUARY 21, 2020, 4:00 p.m., e.s.t.

REASON: ANSWERS TO QUESTIONS

(SIGNED): _____ (DATE): _____

(COMPANY): _____

To All Offerors:

As acknowledgment of having received this information, sign one (1) copy of this cover page and return it with your proposal.

Retain a copy for your file.

ADDENDUM NO. 2

RFP NUMBER: __189199__

RFP TITLE: _____ERP SYSTEM_____

Question: Will the City allow an extension of the due date?

Answer: The City has extended the due date by addendum. Please find all related documents, including addenda, at www.chattanooga.gov , click on Doing Business With The City, then click on OPEN BIDS. Click on the appropriate solicitation title (RFP ERP System Part 1 and Part 2) to access documents. Scroll down to see all documents.

Reference Addendum 1 (called "Addition 1") at:

<http://www.chattanooga.gov/purchasing/bidssolicitations>

Question: Will the City sign a Non Disclosure Agreement?

Answer: The City of Chattanooga will not sign a Non Disclosure Agreement. Generally, all records submitted to the City of Chattanooga are subject to review through the Tennessee Public Records Act. Any firm (Offeror) submitting a proposal should assume that all information included in the proposal is subject to the Act, regardless of submitter designation. The City of Chattanooga assumes no liability for the disclosure of any information as required by law.

Question: Will bids be accepted for the HR and Payroll component only, i.e., are you accepting best in breed proposals OR are you only looking at fully integrated ERP solutions with HR and Payroll included?

Answer: The City prefers fully integrated ERP solutions. However, it is recommended that vendors complete the capabilities matrix to define the functional solution they are competent in providing.

Question: Will the organization allow us to bid solely on the Scheduling and Time & Attendance requirements of this project?

Answer: The City prefers fully integrated ERP solutions. However, it is recommended that vendors complete the capabilities matrix to define the functional solution they are competent in providing.

Question: How many employees will need the advanced shift scheduling functionality described in Appendix K items HR.89 – HR.91, for licensing purposes?

Answer: Approximately 800 to 900.

Question: How many time clock units will be required?

Answer: The City currently has 48 time clock units. This city also utilizes pc-based time clock login for many employees.

Question: Is the City looking for a SAAS Solution or will the City consider a hosted solution?

Answer: SAAS

Question: Can the City define what they mean by SAAS?

Answer: The Solution should be cloud based, hosted off premises, fully supported, patched, managed and maintained by the solution provider.

Question: What applications will the new ERP system need to integrate with? Are there others besides the ones listed in the RFP?

Answer: Please refer to the RFP document for specifics concerning current application interfaces. The solution should have the ability to integrate with others as needed; however the ones listed are currently the priorities of the City. The solution should provide an API for said integrations.

Question: Is the City considering replacing any of their existing systems and are there active RFP's for other applications?

Answer: The focus of this RFP is an ERP solution. The City periodically considers replacing existing systems and also periodically posts solicitations for other applications. Active solicitations may be found at:

<http://www.chattanooga.gov/purchasing/bidssolicitations>

Question: Of the City's 3150 employees how many are Full time, how many are part time, how many are seasonal (full and part time) and does the City have any contingent employees? How many police and fire personnel does the City have?

Answer: All numbers are variable over time.

2325 Full-Time (407 Fire and 457 Police)

229 Part-Time

340 Temporary (contingent)

Question: Section 2.01 seems to assume the Software system provider and the implementation provider are the same entity. Will the City consider separate contracts for a SaaS solution and implementation of the solution?

Answer: The bid response should be all inclusive for one contract.

Question: Will the City consider separate contracts for additional 3rd parties that are part of the proposed solution?

Answer: The bid response should be all inclusive for one contract.

Question: Section 3.11: Please define what is meant by "commence the work" in this Section.

Answer: Begin any activity related to the performance of the contract.

Question: Appendix B Data Retention: Please provide City Retention requirements.

Answer: Records Information Management Policy and Records Retention Schedule

Please see printed “Records Retention Schedule” and “Records Information Management Policy” documents at the end of this Q&A Addendum. Please be mindful of the following retention information for the following records not explicitly addressed in the attached retention schedule: General Ledger is a permanent record. Time clock and payroll records must also follow US Department of Labor requirements. Bond covenants usually require all documentation (Proceeds, uses, earnings on idle cash, bid documents, etc. be retained for 10 years after the maturity which for City is now typically 20 years + the 10 years).

Question: Can support only come from the US?

Answer: There is nothing that prevents a non-domestic entity or an entity with non-domestic subsidiaries, affiliates, partners, etc. from submitting a proposal. All contract performance factors influenced by location, such as any required physical presence or available business hours, should be addressed by the Offeror.

Question: The RFP requests that one copy be supplied in unbound pages and the other via a USB drive. Can a vendor submit their response in a three-ring binder from which the page can easily be removed instead of being unbound?

Answer: Yes, a three-ring binder containing unbound pages will be accepted. A plastic spine binder is not desired due to the difficulty of removing the binding to place the proposal into a file for record-keeping.

Question: Can the City provide a copy of the RFP and attachments in a word format?

Answer: No, Purchasing doesn't typically release solicitation documents in Word format. There is an Excel attachment available for this RFP. To receive the spreadsheet in MS Excel, please follow the instructions at: www.chattanooga.gov , click on Doing Business With The City, then click on OPEN BIDS. Click on the appropriate solicitation title to access documents.

<http://www.chattanooga.gov/purchasing/bidssolicitations>

Question: Does the City currently have a Time and Attendance system in place? If so, which one?

Answer: Yes, the City currently utilizes the Time Clock Plus solution.

Question: Does the City plan on keeping its current time clocks?

Answer: The City is open to the possibility of replacement with a time clock system that is embedded or interfaced.

Question: Will the City consider purchasing the solution off a cooperative procurement agreement such as NASPO?

Answer: The City Council must first approve cooperative purchases before they are allowed. At this time, NASPO ValuePoint is not an approved cooperative. The City may consider purchasing the solution from a cooperative agreement of an approved cooperative.

Question: Does the City have an Enterprise solution for Integration Technologies?

Answer: Not an agnostic one. The current ERP has a gateway which has not been implemented.

Question: How many references is the City requiring? How many need to be Government references? How many need to have been live in the past 5 years? How many need to be live in the last 18 months. In addition to Government references is their value to the City in having local references?

Answer: On page 20 of the RFP document, three main reference projects are requested. More than three main references should not be provided. On page 21, under 5.03 TAB 1, the last bullet point says, "List of clients and references (see Tab 13)." The correct Tab number is 12. On page 25, under 5.14 Tab 12 - References, along with a client list, three references are requested for the purpose of referrals. These three may be the same as those given for the three main project references.

State and local (preferable) government references implemented within the past 5 years and still in use are most beneficial. Local references may add value if site visits are desired. Local (county or city) governments of comparable size and complexity can hopefully be provided.

Question: Will this project be funded partially or wholly, if any, by Federal grants?

Answer: No, this project will be funded solely by the City of Chattanooga.

Question: Section 3.11 B: Can the City provide a draft agreement package?

Answer: A draft copy of a software contract is not available. Generally, the terms and conditions to which a vendor must agree to do business with the City of Chattanooga are the City's Standard Purchasing Terms and Conditions, which can be read at:

http://www.chattanooga.gov/images/City_of_Chattanooga_-_Standard_Terms_and_Conditions_Revised_7.18.2018.pdf

For technology contracts, the Appendix A "Software Standard Requirements" and Appendix B "Cloud/Hosted Solution Standards" in the main RFP 189199 solicitation document are also relevant. Where there are business needs requiring special consideration, the business needs may be considered.

Question: Will the City accept a SAAS solution that is configurable instead of customizable?

Answer: Yes

Question: When can the vendor community expect to receive the RFP related spreadsheets as submitted based on the terms of the RFP on page 23?

Answer: All vendors who requested the spreadsheet according to the instructions have been sent the spreadsheet as an attachment. If you have requested the spreadsheet and have not received it, please first check your JunkMail folder. If you cannot find your response, please notify rfp@chattanooga.gov. You may provide another email to which the file will have better likelihood of proper transmission.

Question: The City's website now indicates a bid reply due date of 2/21/2020 at 4:00pm. The related RFP document still references a due date of 2/13/2020 at 4:00PM. Please offer definitive clarification on the RFP due date.

Answer: The City has extended the due date by addendum. Please find all related documents, including addenda, at www.chattanooga.gov , click on Doing Business With The City, then click on OPEN BIDS. Click on the appropriate solicitation title (RFP ERP System Part 1 and Part 2) to access documents. Scroll down to see all documents.

Reference Addendum 1 (called "Addition 1") at:
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Question: Is it the city's expectation to replace Time Clocks Plus or to maintain that solution for vendor integration?

Answer: The City is open to the possibility of replacement with a time clock system that is embedded or interfaced.

Question: Is it the city's expectation to replace the current Accounts Receivable and Cashiering solutions as part of this effort?

Answer: Yes

Question: Is it the expectation of the city that the selected vendor will provide written procedural based documentation by functional area of the application for leave behind?

Answer: Yes

Question: The city references a desire to convert existing attachments (pdf, word, excel, notepad etc.). Do these documents maintain any standard methodology related to meaningful metadata?

Answer: Attachments in the current ERP are attached at the document or transaction level. It is unknown to the degree of standardization related to meaningful metadata.

Question: How many different document types are in need of conversion? (Eg. Benefits enrollment form, Personnel Action form, AP check, Purchase Order etc.)

Answer: The City is looking for a vendor to present a solution that can provide conversion or streamline process for a local government organization typical of the size of Chattanooga.

Question: What is the volume(number) of each document type referenced above?

Answer: The City is looking for a vendor to present a solution that can provide conversion or streamline process for a local government organization typical of the size of Chattanooga. There is approximately 8Tb of data in the current ERP.

Question: Would the City grant a two week extension for "Deadline for Proposal Submissions" to Thursday, February 27, 2020 at 4PM EST?

Answer: The City has extended the due date by addendum. Please find all related documents, including addenda, at www.chattanooga.gov , click on Doing Business With The City, then click on OPEN BIDS. Click on the appropriate solicitation title (RFP ERP System Part 1 and Part 2) to access documents. Scroll down to see all documents. Reference Addendum 1 (called "Addition 1") at:
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Question: Would the City allow bidders to leverage their offshore delivery centers?

Answer: There is nothing that prevents a non-domestic entity or an entity with non-domestic subsidiaries, affiliates, partners, etc. from submitting a proposal. All performance factors influenced by location, such as any required physical presence or available business hours, should be addressed by the Offeror.

Question: In the Application Data Section under HR.77 **Supports and processes centralized panels**, what does the City mean by panels?

Answer: Dashboard with configurable widgets.

Question: The RFP indicates that SEALED PROPOSALS MUST BE RECEIVED AS SPECIFIED AND NO LATER THAN 4:00 P.M. E.S.T. ON FEBRUARY 13, 2020. Would the City consider granting a three (3) week extension to allow vendors to incorporate fully City responses to vendor questions, which may have an impact to scope, timeline and costs?

Answer: The City has extended the due date by addendum. Please find all related documents, including addenda, at www.chattanooga.gov , click on Doing Business With The City, then click on OPEN BIDS. Click on the appropriate solicitation title (RFP ERP System Part 1 and Part 2) to access documents. Scroll down to see all documents. Reference Addendum 1 (called "Addition 1") at:
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Question: Regarding: RFP Part 2 / Appendix K / GFR 19: Please describe what is meant by "orphan" files.

Answer: Not attached to a specific system record

Question: How many ledgers are you currently using?

Answer: For General Ledger (GL), we operate daily business in the Modified Accrual Book (utilizing modified accrual accounting for government entities). Each transaction is copied to the Full Accrual Book upon posting. The Full Accrual Book contains ledger entries which are not contained in the Modified Accrual Book and which serve to fulfill the requirement to report on a full accrual basis of accounting for the entity as a whole and funds requiring full accrual accounting. The City complies with GAAP and GASB accounting standards and expects the software to provide statements which will facilitate a complete Comprehensive Annual Financial Report CAFR which will be submitted to the Government Finance Officers Association (GFOA) Award for Excellence in Financial Reporting program. Refer to the RFP for a more complete discussion.

Question: How many interfaces are there to other applications?

Answer: Application interfaces are provided in Appendix J. Because the City's software use changes over time, there may be others at implementation or throughout the lifetime of the contract.

Question: TOPIC: System Users/Data Ownership

In your estimate of the number of HCM users, you indicate 2,700. What is the estimate of:

- a. Number of daily HR, Payroll, and Benefit 'power users'?

Answer:

20 power users in centralized HR, Benefits, and Payroll.

Access and limited Data Entry at the departmental level: approximately 50 users.

- b. Are most of the 2,700 users indicated Self-Service users (both Employee and Manager Self-Service)?

Answer: Primarily Employee Self-Service.

- c. Can you provide a breakdown of full time, part time, seasonal retirees, board members etc.?

Answer:

2325 Full-Time

229 Part-Time

340 Temporary (contingent)

~3000 Retirees

Question: TOPIC: Employee Population

1. Are there any Unions/Bargaining Units? If yes, how many and what are the negotiation cycles?

Answer: The City does not have any bargaining agreements/units with the employees representative groups, we operate through Memorandums of Understanding with the representative groups.

2. Do you pay employees living outside of the state?

Answer: Yes, while the City Charter imposes a residency requirement, however, there is a small group of employees who are grandfathered-in.

3. Do you plan on maintaining non-active employees in the system? (e.g., retirees, terminated employees, volunteers).

Answer: Yes.

Question: TOPIC: Conversion

1. Is the expectation to convert employee history vs. current employee information?

Answer: Yes, both employee history and current employee information

2. Is any employee history contained in non-electronic files?

Answer: Yes.

Question: TOPIC: General Ledger

1. How many GL allocations do you do per month?

Answer: Standard with local government of our size

2. How many manual journals do you do per month?

Answer: Standard with local government of our size

Question: TOPIC: Receivables

1. How many invoices do you generate each month?

Answer: Standard with local government of our size

2. How many invoices are on your aging report (for the current month)?

Answer: Standard with local government of our size

3. How many different invoice formats do you use?

Answer: Standard with local government of our size

4. How many AR users do you have? How many are collectors?

Answer: ~60 users, all collectors

5. Do you import credit data from 3rd party credit services?

Answer: Yes

6. Do you integrate with a POS system or Permitting/Licensing system for invoices / receipts?

Answer: Yes

7. Do you use iReceivables? If so, how many customers have access to it?

Answer: Not currently but would explore if this is a solution for implementation as a replacement of any of our current systems.

Question: TOPIC: Payables

1. How many invoices do you process per month?

Answer: 4500

2. Do you have any other sources of Payables invoices coming from other systems?

Answer: Yes

3. Do you have Positive Pay?

Answer: Yes

Question: TOPIC: Fixed Assets

1. How many corporate and tax books do you have?

Answer: 2 (Full accrual and Modified accrual)

2. How many active assets will need to be migrated?

Answer: 28,000. We add about 3,000 per year

3. How many asset categories do you have?

Answer: 7 major categories encompassing 46 minor categories which determine the useful life and depreciation

Question: TOPIC: Cash Management

1. How many bank accounts do you use to process Payables and Receivables?

Answer: In our primary bank there is 1 cash pool account for receipts. There is a Payables control pay zero balance account from which we issue checks. There is a Payroll control pay zero balance account from which we issue checks. There are currently 7 other bank accounts at our primary bank. There is 1 cash pool account at our secondary bank as well as 12 other accounts currently. The city maintains a portfolio of approximately 100 investment instruments (CDs, Savings, Agency Discount Notes, Treasuries, etc.) at various financial institutions. Some are used to track specific identified money sources such as from bond issues. A fund within the General Ledger is utilized to track the city's cash position in these bank accounts and to track each fund's claim on cash.

2. How many bank account transfers do you process per month?

Answer: roughly 10 but can be lower or higher depending on sweeps of accounts

Question: TOPIC: Grants Management

1. How many Grants users do you have?

Answer: 40-70

2. How many departments use the Grants module?

Answer: 11-12

3. How do you track sub-recipient costs and contracts?

Answer: Costs are tracked thru Oracle. Contracts are kept in a manual file, on the Centralized Contract file Drive, and in the Google Shared Drive

4. Do you act as grantor to sub-recipients?

Answer: Yes, we have sub-recipients

Question: TOPIC: Projects - Financial

1. How many users are there for Project Costing & Project Billing?

Answer: Currently we do not have a Project Costing & billing system.

2. How many active projects at the end of last period?

Answer: 547

3. Are indirect costs charged to Projects? (Burdening)

Answer: Yes. Indirect costs including contingency, construction management, Resident Project Representative (RPR), mobilization, and design are charged to projects.

4. Is payroll charged directly to Projects?

Answer: As a rule, no. But we seek a system that is flexible enough to address future needs such as this.

5. Are actual benefits or an allocated percentage charged directly to Projects?

Answer: As a rule, no. But we seek a system that is flexible enough to address future needs such as this.

6. Are there billable projects, and if so, is the billing based on contracts?

Answer: As a rule, no. However, there are exceptions, including projects that are funded through Federal and State agencies. Additionally we have local agencies who provide donations. In those cases the billing is based on contracts.

7. Do you track milestone payments for projects?

Answer: The respective departments track milestones as a part of the project management.

8. What is the frequency of the billing cycles? (Monthly/quarterly/yearly)

Answer: Most contractors invoice the city on a monthly basis for active projects

9. Are there any interfaces to/from external systems and Projects?

Answer: We currently do not use the projects module of our ERP. We are certainly interested in integrations to include project management software, performance measurement platform (Socrata), etc.

Question: TOPIC: Procurement

1. How many active suppliers do you currently have? How many use a vendor portal?

Answer: Approximately 27,000. The current vendor portal is outside of the current ERP system. All suppliers must register via vendor portal to receive e-mail notifications of new solicitations at or above \$25,000.00. The vendor portal is used for vendor registration and for posting of solicitations, mainly those at or above \$25,000.00, and certain related documents. The vendor portal is not used for compilation or posting of bid tabulations, submittal or evaluation of proposals, or notifications.

2. How many punch-outs do you have?

Answer: None

3. How many requisitions / purchase orders / purchase agreements / sourcing events do you create annually?

Answer: 01/05/19 - 01/05/20 Requisitions 10,291 - Purchase Orders 993 (including standard PO's and blanket agreement releases).

Question: TOPIC: Inventory

1. How many Inventory Organizations do you have?

Answer: 4. Only 1 is currently in the ERP used for purchasing.

2. How many active items do you have?

Answer: >1500

3. Do you create internal requisitions?

Answer: One now. Used for procurement. There is a third party system doing MRO inventory.

Question: TOPIC: Human Resources

1. Workflow approval - for determining the complexity of the workflow approval, on average, how many levels of approval are required for transactions? Do you have vacation rules if the normal approval is out of office?

Answer: 4 to 5 levels (possibly more) depending on the transaction type. Vacation rules are used when the principal approves are away or on leave.

2. Recruiting – For the recruiting process, does City of Chattanooga have civil service requirements?

Answer: Only for “Fire” or “Police” academy. Generally we do not conduct Civil Service exams.

3. Human Resources - Do all employees have a position and use Position Management? Do employees have multiple assignments?

Answer:

All employees have a position; however the positions are shared. Single assignment

Question: Can the City go into more detail on its time and attendance requirements? Specifically what are the schedule requirements for Police and Fire and how do requirements differ from other departments?

Answer: We have several departments throughout the City and they each have a payclerk that is responsible for making sure all of their employees work

time and leave requests are approved by their managers. They only have access to their employees. The difference for FireFighter employees is that they are on a 27 day schedule. They are paid biweekly an equalized 120 hours every payday. They will need a scheduler in the timekeeping system. Police is on a biweekly schedule like everyone else but their overtime is different that they have to code it various ways for reporting. Weekly payroll is for only a week of hours. A biweekly department in Public Works runs 24/7 and they are on a different schedule, their work period starts on Wednesday through Tuesday. Everyone else is on a Friday through Thursday work period except Fire.

Question: You currently list City Works as an integration for inbound Inventory journal entries, do you intend to continue using City Works or will it be completely replaced by another software Inventory module?

Answer: The City expects to continue to use Cityworks at this time.

Question: Please describe your inventory management process(es)? Please include the number and different types of inventory locations, your inventory replenishment process, inventory count process/frequency, and volume of inventory transactions.

Answer: The City maintains several inventories. None are currently in the ERP but they do post Inventory values to the GL. These are MRO and equipment inventories maintained in third party applications. There is one inventory defined in the ERP for purchasing purposes. Location types include Bulk, Picking, Liquid, Inbound and Outbound. Physical Inventories are done annually with cycle counts throughout the year. Replenishment is done through procurement. Cycle counts are used on larger inventories.

Question: Do you currently track contingent workers? If not, do you wish to track them? If so, how many?

Answer: The City would like to be able to track "contingent" workers. Approximately 300 to 400 may be higher in the summer season.

Question: Do you use multiple jobs – as in one employee performs multiple job roles but is paid concurrently for those roles?

Answer: No. Each employee is assigned one job role.

Question: You currently list NeoGov in your list of integrations. Do you intend to replace the NeoGov recruiting process with a new software/module?

Answer: NeoGov is the recruitment and applicant tracking software. The City is open to the possibility of a replacement software.

Question: You list the need to create Offer Letters, how many Offer Letter Templates will you need? How many Job Posting templates will you need? Do you utilize high turnover or perpetually open job requisitions?

Answer:

10 offer letter templates

5 minimum posting templates

Yes, we use continuous recruitment for certain jobs.

Question: How many unions/collective bargaining agreements do you have?

Answer: No agreements, but Memorandum of Understanding for the following:

- Chatt Black Pol Officers
- IABPFFB
- IAFF Local 820
- IBEW Local 175
- IBPO Local 673
- Oper Engineers
- SEIU

Question: Please provide a list of all benefit plans and benefit vendors/carriers (healthcare, retirement, insurance, and additional benefits plans such as legal or pet insurance). Please indicate any plans that are specific to groups of grandfathered workers (if applicable), and include any benefit credits (e.g., wellness credits, etc.) that may exist.

Answer:

Medical PPO - BlueCross BlueShield of Tn (Two Network options AND Tobacco surcharge, 4 rate options)

Medical HDHP - BlueCross BlueShield of Tn (Two Network options AND Tobacco surcharge, 4 rate options)

Dental PPO - Cigna

Dental HMO - Cigna

Vision - BlueCross BlueShield of Tn

Long Term Disability - The Hartford

Short Term Disability - The Hartford

Leave Management - The Hartford

Group Life - Unum

Supplemental Life - Unum

FSA Admin - TASC

EAP - ComPsych

HSA - Health Equity

General Pension Plan

Deferred Compensation - Mass Mutual, Nationwide, VOYA, ICMA

Retiree Health Plans - Medical PPO - BlueCross BlueShield of Tn (Network P only AND Tobacco surcharge, 4 rate options); Medical HDHP - BlueCross BlueShield of Tn (Network P only AND Tobacco surcharge, 4 rate options); Medicare Retirees - Medicare Advantage, BCBST, 2 options.

Retiree Health Plans - Dental PPO - Cigna, Dental HMO - Cigna

Question: How many compensation plans do you need (i.e., hourly, salary, allowance, one-time/ad hoc payments, merit, bonus, etc.)? Please provide a list of the different compensation plans required.

Answer:

- Annual incentive plan
- Discretionary bonus plan
- Spot awards

- Team/small-group incentives
- Retention bonus
- Project bonus.
- Signing Bonus
- Merit
- Hourly Plan
- Salary Plan

Question: How many active earning and deduction codes do you currently have? Please provide a list of your earnings and deductions.

Answer: We have several. A list is attached at the end of the document.

Question: How many pay frequencies and pay periods do you have? Please provide a copy of your current pay calendar. Also, do you pay retirees out of payroll? If so, how many?

Answer: We have two pay frequencies weekly and biweekly, all paid on Thursday. Weekly is Friday through Thursday one week behind. One payroll is paid current on check date nothing held back Friday through Thursday. One group is on a different work period of Wednesday through Tuesday but paid for the same period biweekly as the other biweekly. All other biweekly paid are 2 weeks behind Friday through Thursday. Fire and Police are on the same frequency biweekly 2 weeks behind but have different work schedules. I have attached our Payroll schedule. We do not pay retirees out of Payroll.

Question: Please provide a list of your time off and leave plans, including all accruing and non-accruing plans.

Answer:

I) PTO accrual plans (table next page)

CITY OF CHATTANOOGA PTO (Paid Time Off) ACCRUAL RATES

LEAVE GROUP	0-10 YEARS OF SERVICE	11-17 YEARS OF SERVICE	18+ YEARS OF SERVICE
Regular	8.31	9.54	10.77
SF24	17.08	19.85	22.15
SFFD	11.08	12.62	13.85
SPOL	11.08	12.62	13.85

Head Start - element "Per Leave Accrual"

HS2608	8.31	9.54	10.77
HS26075	7.79	8.94	10.1
HS2607	7.27	8.35	9.42
HS2606	6.23	7.16	8.08
HS2408	7.67	8.81	9.94
HS24075	7.19	8.26	9.32
HS2407	6.71	7.71	8.7
HS2406	5.75	6.6	7.46

HS195 - monthly accruals from August through April

HS195 Accrual Series accrues monthly at the end of each month, employees in this category must work a minimum of 1/2 of month to accrue.

Head Start - element "HS Per Leave Accrual"

HS1958	8.31	9.54	10.77
HS19575	7.79	8.94	10.1
HS1957	7.27	8.35	9.42
HS1956	6.23	7.16	8.08

City recognized and observed holidays:

PAID HOLIDAY SCHEDULE		
1	New Year's Day	January 1
2	Martin Luther King's Birthday	Third Monday in January
3	Good Friday	Friday preceding Easter Sunday
4	Memorial Day	Last Monday in May
5	Independence Day	July 4
6	Labor Day	First Monday in September
7	Veteran's Day	November 11
8	Thanksgiving Day	Fourth Thursday in November
9	Friday After Thanksgiving	Friday after Thanksgiving
10	Christmas Eve	December 24
11	Christmas Day	December 25

Injury on Duty Leave (City's Worker's Compensation Program)

Leave of Absence:

- FMLA
- Extended Personal Medical Leave
- Military Leave
- Administrative Leave
- Bereavement Leave

Question: How many different review types (performance reviews, Performance Improvement Plans (PIPs), disciplinary action plans, development plans) will you use in the new system? How many different review templates will be required for each review

type? If possible, please provide a list of the required review templates for each review type.

Answer: To be developed. However, at a minimum will need performance reviews, improvement plans, disciplinary action plans, career/development plans, succession planning, etc.

Question: Are you currently using a Learning Management system? If so, will historical enrollment records be loaded into a new software? If so, how many years? Are you using any third-party content providers, and do you want to link or integrate to those providers? What is the number of courses in the media catalog? Do you need to report training results (completions, scores, etc.) to a regulatory body?

Answer: Yes, we have a current LMS. Historical records will need to be loaded into the new software. 3 years.

Question: You mention integrations to Bank of America and SunTrust, how many bank accounts do you have with each financial institution? Do you have relationships with other banks (financial institutions)? If so, which bank(s) and how many bank accounts? Which accounts will generate electronic payments? Which accounts will require auto-reconciliation? If possible, please provide a list of banks and accounts.

Answer:

In our primary bank there is 1 cash pool account for receipts. There is a Payables control pay zero balance account from which we issue checks. There is a Payroll control pay zero balance account from which we issue checks. There are currently 7 other bank accounts at our primary bank. There is 1 cash pool account at our secondary bank as well as 12 other accounts currently. The City maintains a portfolio of approximately 100 investment instruments (CDs, Savings, Agency Discount Notes, Treasuries, etc.) at various financial institutions. Some are used to track specific identified money sources such as from bond issues. A fund within the General Ledger is utilized to track the City's cash position in these bank accounts and to track each fund's claim on cash.

Question: Are you using Travel/Expense cards? If so, please explain the process.

Answer: No. We use Procurement Cards. From the bank, we get a file every night to upload approved P-Card expenses into the General Ledger.

Question: Please describe the process you follow to create a capital project. What is the total number of Projects and the average amount added per year?

Answer: Capital projects are predominantly created on an annual basis after adoption of the annual capital budget by the City Council. The City currently has 547 active capital projects (defined as individual cost centers with a balance greater than zero) across the general fund and three enterprise funds. Multiple capital projects may be executed out of a single cost center (for example, Facilities Maintenance may have several dozen projects from a single cost center per year); those are not included in the total. A capital project may also be funded from multiple cost centers. We add an average of 60 new projects per year; in FY20, 136 projects received funding; and, 76 of the 136 were new.

Question: How many current and active Grants exist, and what is the typical volume of Grants established per year?

Answer: There are approximately 100-115 grants for fiscal year 2020 that are funded at the amount of \$25,000 or more or use City funds as matching dollars. This number does not include grants funded at \$24,999 or below. The number of smaller grants is currently unknown. These grants are normally absorbed directly within operational budgets.

The majority of state and federal grants are maintained year to year if the funding is available. The typical volume of Grants established per year is approximately 100-150.

Question: What is the number of current and active funds?

Answer: There are 550 funds in the chart of accounts. 125 are in use currently.

Question: Who within the organization is accountable for the success of this project?

Answer: The solicitation is a team effort for which the team is responsible.

Question: How many internal, dedicated change management, communications and training resources will be provided for the new system implementation?

Answer: This would be dependent on the selected vendor's implementation plan for a successful deployment of the solution. The City is dedicated to making this project a success and is therefore open to suggestions from the selected vendor.

Question: Briefly describe your organization's culture and estimated level of resistance to change/adoption of technology.

Answer: The City of Chattanooga has a culture of service and dedication to its citizens and is open to improving its ability to deliver services, including improvement through better technology.

Question: Have you conducted any stakeholder or readiness assessments related to this initiative? If so, what were the results? If not, what is the assumed level of readiness for the organization?

Answer: There is no knowledge of this type of assessment having been done. It is safe to assume that only a basic level of readiness will exist at project initiation. There are some employees who experienced the prior ERP system implementation and who may be better prepared as a result of their experience.

Question: What are the anticipated areas of resistance related to this initiative?

Answer: There are no anticipated areas of resistance.

Question: Briefly describe the leadership style of your organization.

Answer: The City's leadership style is best not labelled but described as strong and effective with its focus on making Chattanooga streets safer, families stronger, growing middle class jobs, and using taxpayer dollars efficiently.

Question: Describe current challenges you have with communications, engagement, and training for change initiatives, if any.

Answer: The City has typical challenges for a large, diverse organization in these areas. For example, not all employees regularly use a computer or e-mail. Also, some employees seldom use the ERP system, and there is some employee turn-over, resulting in the need for ongoing communication, engagement, and training. There are no currently identified unique challenges.

Question: Have you previously engaged end-users in a Change Champion network?

Answer: Not to our knowledge, and we do not foresee the need for this.

Question: Will development of training materials (job aids, web-based training videos, PPTs, etc.) be created internally or by your partner?

Answer: The training materials are expected to be created and provided by the Offeror.

Question: Do you have an internal training team that would be leveraged for a Train-the-Trainer approach?

Answer: There is no such team in place at this time. If an Offeror proposes this, and if the City accepts, then a team will be put into place.

Question: How would you describe the success or failure of other/similar change initiatives in your organization? What worked and what were your pain points?

Answer: It has been over 10 years since a similar initiative took place. It was our first undertaking with workflow and complex ERP solutions. Overall it was a success and provides a solid foundation for moving forward.

Question: What are the big changes you expect from your new software implementation? Please summarize how the day-to-day experience of employees, managers, and HR will change as a result of this initiative.

Answer: The biggest changes expected are improvements in productivity and efficiency and a reduction of manual processes. The day-to-day experience is expected to be easier and with a better outcome.

Question: Do you anticipate any major reorganizations or reductions in force as a result of this initiative?

Answer: No, neither is anticipated at this time.

Question: Has a budget been finalized for this project?

Answer: The City has approved an estimated cost of the project. A final budget will be determined pending results of the RFP process.

Question: What is the City's preference for pricing, Fixed Cost or Time and Material?

Answer: Fixed Cost.

Question: The RFP instructs us to use Attachment E for the 3 corporate references but also refers to using Attachment E for Project Manager References. Are we to duplicate this form for the 2 separate reference types?

Answer: Yes, please use the form for both responses.

Question: What is the name/company address that should be listed for the additional insured?

Answer: City of Chattanooga, 101 E. 11th Street, Chattanooga, TN, 37402

Question: Would the City be willing to extend the RFP due date for an additional two weeks?

Answer: The City has extended the due date by addendum. Please find all related documents, including addenda, at www.chattanooga.gov , click on Doing Business With The City, then click on OPEN BIDS. Click on the appropriate solicitation title (RFP ERP System Part 1 and Part 2) to access documents. Scroll down to see all documents. Reference Addendum 1 (called "Addition 1") at:
<http://www.chattanooga.gov/purchasing/bidssolicitations>

Question: Has the City seen ERP software demonstrations prior to the release of this RFP? If so, who were the vendors?

Answer: To our knowledge in the Purchasing Department, there have been the following related software demo's given recently:

- budgeting tool for Oracle

- budgeting tool for OpenGov
- for separately solicited software under individual RFP's, see the current and expired solicitations at: <http://www.chattanooga.gov/purchasing/bidssolicitations>

Question: Is the City replacing the current Oracle solution? Is moving to a cloud solution an option?

Answer: By putting a Request For Proposals out, the City is entertaining the possibility of replacing its current system, Oracle EBS 12.1.3, but the City is not obligated to make any purchase. A cloud solution is preferred.

Question: How many EBS instances are currently in Production?

Answer: We have 1 Production instance. We have TEST, DEV and DR instances as well.

Question: Can you please provide the number of Ledgers and Business Units (equivalent to an Operating Unit in EBS) being implemented?

Answer: We have 2 General Ledgers (Modified and Full Accrual) and 1 Business Unit.

Question: Are you currently running any Oracle EPM products (i.e. Hyperion Planning)?

Answer: No.

Question: Can you share the list of Oracle EBS applications that are currently deployed?

Answer: General Ledger, AP (Payables), Payroll, HR, Purchasing, Advanced Benefits, iProcurement, Fixed Assets, Cash Management, Inventory, Cost Management, and Employee Self Service.

Question: Do you plan to implement any self-service application such as self-service procurement or expense reporting?

Answer: Yes.

Question: Can you provide a list of CEMLI's (customizations) that exist today in EBS?

Answer: 300+

Question: Do you have a list of data conversions including Master Data (i.e. customers, suppliers), Open Transactions (i.e. AP invoices, AR invoice, purchase orders), and subledger history?

Answer: Yes, the City can provide the vendors selected for the solution with a list of customers and suppliers during the implementation project.

Question: Do you have a preferred implementation methodology (i.e. Waterfall, Agile)?

Answer: No, this would be at the discretion of the vendor and should be based on best practices.

Question: Can you detail your organization of support staff (i.e. business analysts and developers) that would be available to support the implementation and transition to Cloud ERP roles?

Answer: The support staff will be the subject matter experts within the departments. The City will provide some oversight and coordination through the designated project manager.

Question: Are procurement applications being used for indirect spend only and not to manage on-hand inventory?

Answer: Yes, Though there is an inventory site used for procurement we do not track QOH. There are several MRO inventories City Works, RTA(Fleet) Fire has one tracked by third party applications.

Question: What are you using to generate and publish financial statement reporting (i.e. FSGs, EPM)?

Answer: Oracle Financial Statement Generator (FSG), EiS GL Connect (an Excel add-on), Oracle baseline reports, XXEIS express reports, data extraction to Excel.

Question: What applications or tools are you currently using for reporting (i.e. GL Wand, BI Publisher, BI)?

Answer: A combination of Oracle, EiS, and Adobe Indesign.

Question: Are there any sales and/or use tax requirements that will require an automated tax platform?

Answer: The City of Chattanooga does not pay sales or use tax. However, the City does collect sales tax in retail settings (i.e. Golf courses, events, OC programs).

Question: Are you currently using any document scanning (OCR) applications for functions like AP invoice scanning?

Answer: No, but we would like to. See RFP.

Question: How many years of Human Resource Data will be converted? (Historical Data Conversion)

- i.e. Active Users only? or All Historical Employees? How many years?

Answer: From 2008 to present. All history captured in Oracle.

Question: How many Business Units are there within the City's Operations?

Answer: The City is comprised of multiple departments and divisions.

Question: How many Legal Entities?

Answer: One.

Question: How many Employee Positions?

Answer: 538 jobs/positions (2375 authorized headcounts full-time general funds).

Question: How many Employees are there currently?

Answer: 2325 Full-Time (407 Fire and 457 Police)

229 Part-Time

340 Temporary (contingent)

Employee numbers vary over time.

Question: Are Labor Union pay considerations in scope? If so, which Labor Unions? How many?

Answer: No.

Question: Are Pension Payments in Scope? If so, how many Pension recipients are there? Number of different pension programs?

Answer: No. Pension payments are issued by external fund managers. 2 pension programs: General Pension Plan, Fire & Police Pension Fund.

Question: How many different Benefits Programs are there?

Answer: There are two main types: Active and Retirees. A list was provided to answer another question. See page 20.

Question: Please describe the integrations affecting the Human Capital subject area? (list).

Answer: Neogov and Benefits vendors. A list was provided to answer another question. See listing above.

Question: Please describe the future-state list of integrations affecting the Human Capital subject area (list).

Answer: Everything above plus: Neogov, LMS, or Performance Mgmt Systems

Question: What Time Clock Software is currently used? Future?

Answer: Currently TimeClock Plus is used. The future software depends on integration.

Question: How many Pay Frequencies?

1. Example: Biweekly?

Answer: There are 5 biweekly payrolls and 1 weekly payroll. Work periods include a 40 hour work period (7 day) for non-sworn employees (i.e., civilian employees); a 14-day 80 hour work period for sworn police employees (under the FLSA 7(k) exemption, modified to 80 hours); and a 27-day work period for sworn fire employees (under the FLSA 7(k) exemption). Certain Human Services employees are paid on an equalized pay basis similar to what you would find in a school system.

Question: In sections that point to an appendix, do you prefer the associated content be listed in both sections or just the appendix?

- Example: Tab 4 requires the Experience Reference Forms as a bullet point of needed content in the section, but directs to Appendix E. Do you prefer the content be listed in Tab 4 or in the Appendix... or both?

Answer: Tab 4.

Question: Topic: Budgeting & Forecasting: Approximately how many capital projects are planned for on an annual basis?

Answer: 60 is the typical number of new projects added per year. More than twice that number typically receive new funding each year. There are currently 547 active capital projects.

Question: Topic: Budgeting & Forecasting: What level of detail is planned at the project level? How many line items are typically associated with a capital project? What depreciation or amortization methods are used?

Answer: From a budget standpoint, most projects are budgeted with funds in a single cost center. The number of line items is variable, as most of the project budgeting is done outside of the existing ERP system. Integrating more detailed project budgeting within the ERP is a desired capability. Land and construction in progress are not depreciated. The other property, plant, equipment and infrastructure of the primary government are depreciated using the straight-line half year method.

Question: Topic: Budgeting & Forecasting: Is there a labor component planned for projects? If so, at what level of detail?

Answer: Our project cost estimating practices vary. Standardization is preferable. It is desirable to be able to plan for a labor component for projects, at least at the cost center level.

Question: Topic: Budgeting & Forecasting: Is there a materials detail planned for projects? If so, at what level of detail?

Answer: Our project cost estimating practices vary. Standardization is preferable. It is desirable to be able to plan for a materials component for projects, at least at the cost center level.

Question: Topic: Budgeting & Forecasting: Please describe the classifications of capital projects, i.e. Fixed Contract, Cost Plus, etc.

Answer: Fixed Contract price inclusive of a contingency amount for a total award not to exceed.

Question: Topic: Budgeting & Forecasting: Are soft costs allocated to projects? If so, what are the allocation methods used?

Answer: We currently do not have a uniform method for allocating soft costs. Our most typical costs are contingency, Resident Project Representative (RPR), and construction administration. These are typically estimated as a percentage of total project cost, which varies by the type of project.

Question: Topic: Budgeting & Forecasting: How many approval levels are there in the capital plan approval process?

Answer: In regard to approval of the CIP, our approval levels are as follows:

- Departmental submission
- CIP Committee Review
- Budget Leadership Team (COO, CFO, Chief of Staff) Review
- Mayoral Review
- City Council Review

The Office of Strategic Capital Planning and the Budget Office collaborate on the specifics of the capital budget and funding levels for projects.

Question: Topic: Budgeting & Forecasting: At what level is revenue budgeting? – how many line items or categories? Are these driver based? What are the drivers?

Answer: For the General Fund, as well as almost all of the funds, we budget down to the account number. (Fund, Department, Cost Center, Account). Budgetary control is desired at various levels depending on operational needs. For example, the legal level of budgetary control for the General Fund is at the fund level (hard stop on spending with the capability to override the control), with a possible desire to warn of spending above budget at a department level and/or at an account summary level. It may be the desire of the City for budgetary control at the cost center and/or project level for capital funds. There could be additional control levels in the form of warning or hard stops with the capability for management override of spending limits.

Examples of revenue categories (but not limited to) are Property Taxes, Other Local Taxes, Licenses, Fees & Permits, Intergovernmental Revenue, Charge for Service, Fines & Forfeitures, Revenue from Use of Money or Property, Miscellaneous Revenue, Customer Charges, Settlements, Department Billings.

In the capital budget, specific external revenue sources are identified, i.e. state, federal, specific non-profit partners, donations, etc. Other funding sources are transfers from other city funds and bond proceeds.

See chart of accounts.

Question: Topic: Budgeting & Forecasting: How many scenarios are used?

Answer: This varies from year to year. It could be as few as 1 or as many as 5 (in some prior years).

Question: Topic: Budgeting & Forecasting: How many levels of approval are there during budget reviews?

Answer:

- Department level - 3 to 4
- Finance level - 2
- Administration level - 2 to 3
- City Council level - 1 (The budget ordinance requires 2 readings with passage by a majority to be approved)
- Level should be flexible dependent on desires of the administration

Question: Topic: Budgeting & Forecasting: Please describe the publishing of draft Ordinances in real time.

Answer: The “budget book” presented to the Mayor, Administration and ultimately the City Council for review/action/approval is a combination of documents (and types) printed in a 3-ring binder with covers and tabs. The documents are assembled from various sources in a pdf file for printing. This printing is done in-house. Currently it is a manual process, time consuming and subject to error. If last minute changes are requested, we make the change in the respective document, re-pdf and reprint, replacing the specific page in the binder. We are investigating ways to make this more real time.

Question: Topic: Budgeting & Forecasting: How many departments are involved in the budgeting process? How many different budget contributors?

Answer: Currently there are 9-10 functional departments submitting budget requests at various operating levels plus many non profit agencies. The non profit requests could be as many as 75 or more. Some departments submit for multiple operations and capital funds.

Question: How many contributors?

Answer: Per our security list for read/write access to the budget preparation files, we have a minimum of 155 potential internal users or contributors to the operating budget process. Approximately another 30 additional potential contributors to the capital budget process.

Question: Topic: Budgeting & Forecasting: At what level are departmental expenditures planned? How many line items? How many are driver based? What are the drivers?

Answer: The chart of accounts currently has eight account segments, two of which are not currently used. Accounts include balance sheet, revenues, expenditures, transfers, other sources and uses. Budgeting is typically planned at the Fund, Department, Cost Center, Account level with an option to also utilize an activity code or work location as needed. However, we typically do not budget to this level, except for tracking bond proceeds, FEMA/TEMA tracking, or other special situations or circumstances. It is the desire to have functionality to add project and grant tracking as needed.

Question: Topic: Budgeting & Forecasting: At what level is compensation planning performed? By named employee? By Position? How many employees or positions are planned for?

Answer: We plan based on the total authorized full-time positions as approved in the annual budget ordinance. However, going forward we would like to include both regular full-time and part-time positions.

Question: Topic: Budgeting & Forecasting: How many line items are planned for payroll & related expenses? Are these driver based? What are the drivers?

Answer: Currently there are 52 Salary and Benefit related accounts; however, we desire the flexibility to add more as needed to track cost appropriately. See chart of accounts. Contributing drivers can, be but not limited, to Health insurance rates, pension rates, annual debt service requirements,

Examples of revenue categories (but not limited to) are Property Taxes, Other Local Taxes, Licenses, Fees & Permits, Intergovernmental Revenue, Charge for Service, Fines & Forfeitures, Revenue from Use of Money or Property, Miscellaneous Revenue, Customer Charges, Settlements, Department Billings.

In the capital budget, specific external revenue sources are identified, i.e. state, federal, specific non-profit partners, donations, etc. Other funding sources are transfers from other city funds and bond proceeds. See chart of accounts.

Question: Topic: Budgeting & Forecasting: Describe external budget users.

Answer: External budget users include: Citizens, Rating Agencies, Financial Advisor, Bond Counsel, Consultants, other Municipalities, and possibly others.

Question: Topic: Budgeting & Forecasting: Is there a quarterly forecast? How does the quarterly forecast differ in level of detail from the budget?

Answer: Currently there is not a quarterly forecast. However, we do monthly revenue and expenditure projections on major funds utilizing an in-house expenditure projection program. At this time, this is reviewed and prepared at the fund, department, cost center, and account number level, based on certain predetermined formulas. We had hoped to add the cost center to the available options.

ATTACHMENTS:

- Records Retention Schedule
- Records Information Management Policy
- List of Earnings and Deductions
- Payroll Schedule (separate addendum)
- Chart of Accounts (separate addendum)

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
All Departments	AD-100	General Administration. (Nonfinancial) Monthly and Quarterly Reports to City Officials	Reports from all departments, boards, or agencies of the City. These reports should be recorded in the minutes of the legislative body.	Working Paper.	Working Paper. Keep until information is incorporated into minutes or annual report, otherwise 2 years. Useful for preparing budgets in following years.
City Council	COU-600	Elections. Candidate List elections.	List of candidates participating in	EXP + 4 years	Retain 4 years after election or for duration of term.
City Council	COU-601	Elections. Certificate of Election	Copies of original certificate provided to elected officials.	EXP + 4 Years	Retain for duration of term. Based on standard election cycle.
City Council	COU-602	Elections. Election Result	Recorded minutes of the meetings of the municipal legislative body, including special call meetings. All recorded actions of the legislative body, including records of members present and their votes on matters of business presented, nature and results of votes; various items such as fixing the tax levy, adopting a budget, receiving financial reports from city officials and departments, appropriating funds for the maintenance and operations of city offices and institutions, and other items of a similar nature.	PERM	Historical significance.
City Council	COU-603	Council. Minutes and Roll Calls of City Legislature (Rough)		Working Paper	Working papers. May be destroyed after final version of minutes approved.

City of Chattanooga Records Retention Schedule_CURRENT_ Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
City Council	COU-604	Council. Minutes of City Legislative Body	Recorded minutes of the meetings of the municipal legislative body, including special call meetings. All recorded actions of the legislative body, including records of members present and their votes on matters of business presented, nature and results of votes; various items such as fixing the tax levy, adopting a budget, receiving financial reports from city officials and departments, appropriating funds for the maintenance and operations of city offices and institutions, and other items of a similar nature.	PERM	City Charter requirement, T.C.A. §§ 8-44-101, et seq. (Open Meetings law). Keep for historical purposes.
City Council	COU-605	Council. Official Bonds and Oaths of City Officials	Loose and bound original and recorded copies of the bonds and oaths of all officials required to file official bonds and/or oaths with the city recorder. Originals of many of the official bonds of city officials and constables have been deposited with the state comptroller of the treasury since 1957. Bonds generally show name of principal and sureties, amount of bond, date executed, condition of the obligation, date acknowledged and approved, signatures of principals, sureties and attorney-in-fact for bonding company, if any.	EXP + 10 Years	Retain for 10 years after term covered by bond or oath. Based on statute of limitations for actions on public officers' bonds. T.C.A. § 28-3-110.
City Council	COU-606	Council. Ordinances	Code of ordinances, ordinance book, copies of amended & repeated ordinances, resolutions.	PERM	Charter requirements. Ordinances must be retained to provide evidence of their existence and proof of their lawful enactment. Superseded ordinances have historical and legal value.
City Council	COU-607	Elections. Precinct Maps units.	Geographical descriptions of polling	PERM	Possible historical significance.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
City Council	COU-608	Elections. Public Notices	Copies of all public notices published by the Election Commission.	EXP + 4 years	Retain 4 years after election or for duration of term; Based on standard election cycle. Potentially useful in future elections.
City Council	COU-609	Elections. Reapportioned Records (if City has districts or wards)	Reports submitted to the municipal legislative body containing date on finances, work performed, plans, personnel, etc. Some reports submitted annually at the end of the fiscal year. These reports should be recorded in the municipal legislative body's minutes only at the order of the legislative body.	Keep Current	Retain until next reapportionment. Potentially useful for next reapportionment. May have legal significance until completion of next reapportionment.
City Council	COU-610	Council. Reports of City Officials, Departments, Commissions, and Committees	A written statement alleging that a person has committed an offense and alleging essential facts constituting the offense charged made upon oath before a magistrate or court clerk.	PERM	Preserve the annual report or the quarterly or monthly report if no annual report is kept.
City Court	CC-8001	Courts. Affidavit of Complaint	Bonds and recordings of bonds executed by defendants and sureties showing defendant's name, name of person serving as surety, amount of bond, and signatures of the accused and sureties.	PERM	T.C.A. § 18-1-202(a).
City Court	CC-8002	Courts. Appearance and Bail Bond Records	Ledger accounts or funds received from payments of judgments and court costs	FR + 10 years	Retain 10 years after final judgment. T.C.A. § 18-1-202(a).
City Court	CC-8003	Courts. General Account Ledgers (execution docket)	Commitments to jail, showing name of person committed, offense charged, name of prosecutor, amount of bail, date, and signature of clerk of the court.	PERM	T.C.A. § 18-1-202(a).
City Court	CC-8004	Courts. Mittimus		CY +10 Years	T.C.A. § 18-1-202.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
City Court	CC-8005	Courts. Municipal Court with Concurrent Jurisdiction Docket Book, Criminal (State)	Dockets showing date of trial, case number, name of defendant, action of the court, name of returning officer, and list of witnesses claiming fees.	PERM	Retain permanently as record of actions of the court.
City Court	CC-8006	Courts. Appeal Dockets	Record of cases going to appellate courts showing style of case, date, and ruling of last entry of the court; may show court costs.	10 Years	10 years from last entry; T.C.A. § 18-1-202(a).
City Court	CC-8007	Courts. Appearance and Rule Dockets	Record of first appearance of all causes in court, showing date filed, names of attorneys, style of case, security and action taken.	PERM	T.C.A. § 18-1-202(a).
City Court	CC-8008	Courts. Attachment and Injunction Bonds	Bonds executed in attachment and injunction cases insuring defendant against damages likely to occur as a result of wrongful suing, showing date of bond, names of principal and sureties, amount of bond, condition of the obligation, and signatures of principal and sureties.	FR + 10 Years	Retain 10 years after final judgment. T.C.A. § 18-1-202(a).
City Court	CC-8009	Courts. Attachments on Personal Property	Writs issued during court action to seize the personal property of the defendant to be held as security for the satisfaction of such judgment as the plaintiff may recover.	FR + 10 Years	Retain 10 years after final settlement of case. T.C.A. § 18-1-202(a).
City Court	CC-8010	Courts. Attachments on Real Property	Writs issued during court action to seize the real property of the defendant to be held as security for the satisfaction of such judgment as the plaintiff may recover.	FR + 10 Years	Retain 10 years after final settlement of case. T.C.A. § 18-1-202(a).

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
City Court	CC-8011	Courts. Bill of Costs-Courts with Concurrent Jurisdiction	Certified bills of cost in criminal cases in courts having concurrent general sessions court jurisdiction and submitted for payment by the city court clerk, showing names of plaintiff and defendant, offense charged, date of initial action, items of cost, amount of each, date process issued, signature of officer issuing warrant, date filed with circuit court clerk for trial (if applicable), clerk's certification, date judgment paid, and number of warrant issued in payment.	FR + 5 years	Retain 5 years after close of case. Keep for audit and review purposes.
City Court	CC-8012	Courts. Bill of Costs-Ordinance Violation Cases	Bill of costs submitted for payment, showing names of plaintiff and defendant, date of initial action, items of cost, amount of each, date process issued, signature of official issuing warrant, date filed with court for trial, clerk's certification, date judgment paid, and number of warrant issued in payment.	FR + 5 years	Retain 5 years after close of case. Keep for audit and review purposes.
City Court	CC-8013	Courts. Bond Books, Miscellaneous	Receivers, appearance, cost, etc., bonds, showing names of principal and sureties, style of case, amount and date of bond, condition of the obligation, and signatures of principal and sureties.	EX + 10 Years	Retain 10 years after release, replacement, or expiration of all bonds in book. T.C.A. § 18-1-202(a).
City Court	CC-8014	Courts. Briefs, Civil Cases	Statements of the case, legal theory and arguments for a party in a case.	FR + 3 Years	Maintain for 3 years after final disposition of the case, then destroy after notice is given to parties. T.C.A. § 18-1-202(b).
City Court	CC-8015	Courts. Capias	The general name of several types of writs that require an officer take the body of the defendant into custody; writs of attachment or arrest.	PERM	Original process kept permanently. T.C.A. § 18-1-202(a).
City Court	CC-8016	Courts. Case Ledgers	Records of case funds received and distributed.	PERM	Recommended by Comptroller; Internal Control and Compliance Manual for Tennessee Municipalities.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
City Court	CC-8017	Courts. Citation	A demand that Defendant cited appear in court at a stated time to answer a misdemeanor or civil offense charge. The citations states the name and address of person cited, name of issuing officer, and the offense charged.	PERM	Original process must be kept permanently. T.C.A. § 18-1-202(a).
City Court	CC-8018	Courts. Cost Bonds, Civil Cases	Bonds executed to insure payment of court costs, showing names of plaintiff and defendant, amount and date of bond, condition of the obligation, and signatures of the principal and sureties.	FR + 3 Years	Maintain for 3 years after final disposition of the case, then destroy after notice is given to parties. Notice permits parties to retrieve records. T.C.A. § 18-1-202(b).
City Court	CC-8019	Courts. Criminal Actions, Record of	All original process, case papers, and documents in criminal cases (including judge's orders in felony and misdemeanor cases).	PERM	T.C.A. § 18-1-202(a).
City Court	CC-8020	Courts. Delinquent Tax Collection Reports	Copies of reports made by the clerk to the cities, county and state of tax collections in litigation, showing docket number, case number, names of complainant, and respondent, amount collected, total and date of report.	CY + 10 Years	T.C.A. § 18-1-202(a).
City Court	CC-8021	Courts. Detainer Warrants	Instrument authorizing the keeper of a prison to keep a person in custody. Shows name of person in custody, length of time to be detained, and signature of issuing official.	CY + 10 Years	T.C.A. § 18-1-202(a).
City Court	CC-8022	Courts. Discovery Records, Civil Cases.	Interrogatories, depositions, and other legal devices to obtain information concerning a case prior to trial.	FR + 3 Years	Maintain for 3 years after final disposition of the case then destroy after notice is given to parties. Notice permits parties to retrieve records. T.C.A. § 18-1-202(b).
City Court	CC-8023	Courts. Distress Warrants and Warrant Stubs	Original warrants and warrant stubs issued against persons, showing name and address of person to whom warrant is issued, date of issue, amount of tax due, fees, and penalties.	FR + 5 years	5 years or until final settlement of the case. Keep for audit purposes.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
City Court	CC-8024	Courts. Executions (act or course of conduct be carried out)	Writes or orders providing that an act or course of conduct be carried out.	CY + 10 Years	Retain 10 years after issuance. T.C.A. § 18-1-202(a).
City Court	CC-8025	General Account Ledgers (execution docket)	Ledger accounts or funds received from payments of judgments and court costs; money distributed by the clerk showing style and number of case, date of collection, name of person from whom received, and amount; date of payment, name of payee, number of check issued, and amount; may show cash book and page number form which entry was posted.	PERM	T.C.A. § 18-1-202(a).
City Court	CC-8026	Courts. General Index	Index to all original case papers, showing file number and names of complainant and respondent.	PERM	Necessary for use of other permanent records.
City Court	CC-8027	Courts. Habeas Corpus, Writs	Writs issued to change the place of trial, to move from custody of one court to another, directing the detainee to be produced, etc.	PERM	Original must be kept permanently. T.C.A. § 18-1-202(a).
City Court	CC-8028	Courts. Judge's Opinions	Statements by the judge of decision reached in regard to a cause heard before him relating to laws as applied to the case and giving reasons on which the judgment is based.	PERM	T.C.A. § 18-1-202(a).
City Court	CC-8029	Courts. Litigation Tax Reports	A record of all state and city litigation taxes collected by the clerk showing number of cases and amount received.	10 Years	Retain 10 years after last entry. Keep for audit purposes.
City Court	CC-8030	Courts. Minute Books and Indexes	Minutes show the course and proceedings in all cases from their origin to termination, giving name of defendant, offense charged, date of trial, verdict, and sentence of the court.	PERM	Necessary for use of other permanent records.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
City Court	CC-8031	Courts. Processes Served, Record of	Record of warrants, capiases, summonses, and other papers served.	3 Years	Retain for 3 years after last entry. T.C.A. § 18-1-202(a). Note: Original process is a permanent record.
City Court	CC-8032	Courts. Receipts of Papers	Record of all files and papers removed from the office showing by whom, date taken, date returned.	Working Paper	Retain until all files and papers returned. Working paper as defined by T.C.A. § 10-7-301(14).
City Court	CC-8033	Courts. Reports, Municipal Court with Concurrent Jurisdiction	Duplicates of monthly reports to the county and state of all revenue collected by the clerk, showing dates of quarter, from whom received or source of collection, costs, fees and mileage of witnesses, and fees, commissions and emoluments of the sheriff, his deputies, constables, game wardens, state highway patrolmen, and other officers for services to the court, the fines and forfeitures adjudged by the court, and all other funds coming into the hands of the clerk and judge.	EXP + 10 Years	Retain 10 years after expiration of clerk's tenure. Keep for audit purposes.
City Court	CC-8034	Courts. Rule Dockets and Indexes	A record of original processes issued and files incident to cases tried in court showing number of case, date and hour filed, names of complainant, respondent, and solicitors; also date and nature of process, names of bondsmen, date process served, note of officer's return, and rules and orders of the court.	PERM	T.C.A. § 18-1-202(a).
City Court	CC-8035	Courts. Search Warrants	A written order issued in the name of the state and directed to a law enforcement officer commanding him to search a specific house, business establishment, or other premises.	CY +10 Years	T.C.A. § 18-1-202(a).
City Court	CC-8036	Courts. Subpoenas, Civil	Copies of summonses to appear in court as witnesses in lawsuits, showing name of person summoned, day and hour to appear, in whose behalf, and signature of the clerk.	CY + 3 Years	T.C.A. § 18-1-202.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
City Court	CC-8037	Courts. Subpoenas, Criminal	Copies of summonses to appear in court as witnesses in lawsuits, showing name of person summoned, day and hour to appear, in whose behalf, and signature of the clerk.	CY + 10 Years	T.C.A. § 18-1-202.
City Court	CC-8038	Courts. Summonses	A writ notifying a person that a court action has commenced against him and that he is required to appear on a day named and answer the complaint in such action.	PERM	T.C.A. § 18-1-202(a).
City Court	CC-8039	Courts. Trial Exhibits and Evidence	Any evidence and exhibits presented at trial that become part of the record of the case.	FR + 10 Years	Retain 10 years after final judgment, unless local rule of court is different; T.C.A. § 18-1-202(a).
City Court	CC-8040	Courts. Unclaimed Funds, Record of	Record of funds in hands of clerk unclaimed for 7 years and turned over to the state.	PERM	Retain for audit purposes and to allow interested parties to make inquiries.
City Court	CC-8041	Courts. Warrants	Writs issued in both civil and criminal cases requiring an officer to arrest the person named therein and bring him to court to answer charges of some offense that he is alleged to have committed.	PERM	T.C.A. § 18-1-202(a).
City Court	CC-8042	Courts. Witness Books	Record of witnesses appearing in court cases, showing date of court term, style of case, names of witnesses for complainant, names of witnesses for respondent, number of days attended, miles traveled, amount due, and date of payment.	ACT + 10 Years	Retain 10 years after last entry. T.C.A. § 18-1-202(a).

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Economic & Community Development	ECD-800	General Administration. Property File.	Documentation related to the Property. Includes a copy of request and report received from Air Pollution Control by ECD re whether a property is regulated (per HUD and City regs) (Per consultant: Property File should include the request and report; maintain a separate log to document the request and destroy the log once the report has been received and filed)	PERM	
Economic & Community Development	ECD-801	Planning & Zoning. Board of Zoning Appeals Action-Application & Disapproval	Application or documentation for hearing and decision before the Board of Zoning Appeals.	FR + 1 Year	Disapproval-retain for 1 year after action;
Economic & Community Development	ECD-802	Planning & Zoning. Board of Zoning Appeals Action-Application & Approved	Application or documentation for hearing and decision before the Board of Zoning Appeals.	PERM	Approved Action-Permanent record.
Economic & Community Development	ECD-803	Planning & Zoning. Board of Zoning Appeals-Minutes	Recorded minutes of the Board of Zoning Appeals. All recorded actions of the board of zoning appeals, including records of members present and their voted on matters presented, the nature and results of votes.	PERM	Actions recorded in minutes are effective until superseded or rescinded. Keep for legal and historical purposes.
Economic & Community Development	ECD-804	Permit Records. Building Permits and Inspections, Copies of	Show name of owner, amount of money to be expended, type of structure, location, date, and name of contractor.	FR + 3 Years	Retain for 3 years after issuance of certificate of occupancy or final inspection.
Economic & Community Development	ECD-805	Planning & Zoning. Chattanooga-Hamilton County Regional Planning Commission	Recorded minutes of the planning commission. All recorded actions of planning commission, including records of members present and their voted on matters presented, the nature and results of votes.	PERM	Actions recorded in minutes are effective until superseded or rescinded. Keep for legal and historical purposes.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Economic & Community Development	ECD-806	Public Art. Collection Inventory	An inventory of all artwork, temporary and permanent in the city's collection. Includes, artist name, date purchased, date to be de-installed if applicable, insured value, location, funding source, dimensions, materials, etc.	PERM	Retain for insurance purposes.
Economic & Community Development	ECD-807	Permit Records. Contractor License Books	Recorded copies of certificates of license issued to general contractors by the state Board for Licensing General Contractors showing certificate number, name of contractor, names of chairmen and secretary of the state board, date certificate issued, date recorded, and signature of the clerk.	EXP + 5 years	Retain until all licenses in the book have expired. Audit purposes.
Economic & Community Development	ECD-808	Public Art. Contracts/Maintenance Conservation Forms for artwork	Contracts for all purchased artwork and specifications for maintenance and conservation for all artworks in the city's public art collection.	PERM	Retain purchase record for specifications for future repairs, deaccessioning or relocation of artwork.
Economic & Community Development	ECD-809	General Administration. Demolition-Orders, Meeting Record of Attendees, Newspaper Ad; Request for Demolition with signature of Public Officer	Documentation for municipal-ordered and privately initiated demolitions of buildings; Copy of newspaper ad listing the properties going before Demolition Court; Demolition Court document summarizing all actions taken by the department and presented before the Demolition Court Officer for his/her review. He/she makes a ruling that is documented on this summary and has his/her signature.	CY + 5 Years	Legal. Retain for possible litigation and research purposes.
Economic & Community Development	ECD-810	Permit Records. Permit Violation Notices	Notices of violation of building codes.	CY + 5 Years	Retain to document municipal actions concerning violations and for reference purposes.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Economic & Community Development	ECD-811	Planning & Zoning. Plat Record	The map, plan, or drawing on which the developer's plan of a subdivision of property is presented to the Planning Commission for approval and, after such approval, to the Registrar of Hamilton County for recording. "Plat" includes plat, re-plat, plan, or replat. Shows subject property, date of drawing, boundaries, scale used, location, name of engineer making survey, name of draftsman, and certificate of registration.	PERM	Could have bearing on land title.
Economic & Community Development	ECD-812	Planning & Zoning. Reports/Recommendations of the Planning Commission to the Governing Body	All transmittals to governing body with recommendations regarding zoning, annexations, etc.	PERM	Historical and Legal.
Economic & Community Development	ECD-813	Planning & Zoning. Request for Zoning Change	Request for change to zoning map.	FR + 5 Years	Legal. Retain to address any appeals.
Economic & Community Development	ECD-817	Safe Driving Files	Internal office file for Department safe driving program.	TE + 2 Years	
Economic & Community Development	ECD-814	Planning & Zoning. Studies and Reports of the Planning Commission	All studies and reports, including comprehensive plans, community/area plans, and future facilities plans.	PERM	Historical.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Economic & Community Development	ECD-815	Planning & Zoning. Subdivision Regulations	Regulations establishing the minimum requirements for the design standards of subdivisions; for the surveying and platting requirements thereof; providing for certain preliminary and final plat requirements; and for the submission, review, and approval of same; for the recording of the final plat; defining certain terms used herein; providing for the administrations and enforcement and the penalties for violation thereof; providing for the means of adoption and amendment; repealing all regulations, resolutions, ordinances and/or codes in conflict herewith.	PERM	Retained to provide evidence of their existence and proof of their lawful enactment. Superseded documents have historical and legal value.
Economic & Community Development	ECD-816	Planning & Zoning. Zoning Map and Ordinance	Zoning ordinance describes zones used to regulate and limit the height and size of buildings; regulate and limit intensity of the use of lot areas; regulate and determine the areas of open space within the surrounding buildings; classify, regulate, and restrict the location of trades and industries; and the location of buildings, designed for specified industrial business, residential and other uses. Zoning map contains the boundaries of these zones and all overlay boundaries as described in the zoning ordinance.	PERM	Retained to provide evidence of their existence and proof of their lawful enactment. Superseded documents have historical and legal value.
Finance	FIN-300	Finance. Accounts Paid Files and Ledgers	Paid invoices filed by vendor showing company, date, amount, date paid, and invoice number. Ledgers show name of vendor, amount of each invoice, amount paid on each account, and amount outstanding.	FY +7 Years	Legal. Retain based on the statute of limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.
Finance	FIN-301	Finance. Accounts Payable	Record of money owed by the City (short-term debts).	FY +10 Years	Administrative. Recommendation of the comptroller. See Internal Control and Compliance Manual for TN Municipalities.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-302	Finance. Accounts Receivable	Record of money owed to the City for goods or services that have been delivered or used but not yet paid for.	FY + 10 Years	Administrative. Recommendation of comptroller. See Internal Control and Compliance Manual for TN Municipalities.
Finance	FIN-303	Finance. Annual Reports to City Officials	Submitted by city departments, boards or agencies.	PERM	Historical.
Finance	FIN-304	Finance. Audit Reports	All audit reports relative to city finances. Audit reports show name of office, name of fund or account, account of all receipts and disbursements, date of audit, and signature of auditor.	PERM	Administrative and Historical. Comptroller recommendation. See Internal Control and Compliance Manual for TN Municipalities. (Working papers of Internal Audit staff are confidential). Historical value. T.C.A. § 6-56-104 requires the city to place a copy of the audit in the main branch of the public library.
Finance	FIN-305	Finance. Bank Deposit Books	Bank books showing name and location of bank, amounts and dates of deposits.	ACT + 7 Years	Legal. Based on the statute of limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.
Finance	FIN-306	Finance. Bank Deposit Slips	Slips showing name and location of bank, amounts and dates of deposits.	FY + 7 Years	Legal. Statute of limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.
Finance	FIN-307	Finance. Bank Statements	Statements showing name and location of bank, and amounts and dates of deposits, amounts and dates of check withdrawals, and running balance.	FY + 7 Years	Legal. Statute of limitations for legal actions for breach of contract plus 1 year. T.C.A. § 28-3-109.
Finance	FIN-308	Finance. Bonded Indebtedness, Record of	Register book shows bond issue, date, and amount set up by year; as bonds and coupons are returned, these are shown in the book.	LJ + TAC + 3 Years	Bond retention is governed by the Post-Bond Issuance Compliance Procedure. Life of the bond is the Term/Maturity of the bond. T.C.A. § 9-21-123 and T.C.A. § 28-3-113. 26 C.F.R. 1.148-5(d)(6)(iii)(E).
Finance	FIN-309	Finance. Canceled checks	Canceled checks showing date check issued, name of bank on which drawn, check number, to whom payable, purpose of payment, amount of check, and date canceled.	FY + 7 Years	Legal. Statute of limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-310	Finance. Check books	Books containing stubs of checks issued by the recorder showing check number, date issued, name of payee, amount, and purpose of payment.	ACT+7 Years	Legal. Retain 7 years after date of last check. Based on statute of limitations for breach of contract plus one year. T.C.A. § 28-3-109.
Finance	FIN-311	Finance. Check stubs	From all city accounts and accounts of all its departments.	FY + 7 Years	Legal. Retain based on statute of Limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.
Finance	FIN-312	Finance. Development and Proposal Files, Grants received	Reports, planning memos, correspondence, studies, and similar records created for and used in the development of grant proposals submitted to state or federal agencies and contracts relating to the grant.	EXP+ 7	Administrative and Legal. Retain for the life of grant or endowment plus 7 years. Based on statute of limitations for contract actions. T.C.A. § 28-3-109.
Finance	FIN-313	Finance. Development and Proposal files, unsuccessful applications	Reports, planning memos, correspondence, studies, and similar records created for and used in the development of grant proposals submitted to state or federal agencies and contracts relating to the grant.	FR + 5 years	Legal. Retain for appeals and for use in reapplications.
Finance	FIN-314	Finance. Financial Report to City Legislative Body	(1) General; (2) Final – Report gives information on different accounts, balances on last report, receipts, disbursements, commissions, transfers, balances on this report, totals, bank balances of city accounts in different banks, and classification of receipts (sources received from, e.g., state, local, etc.). Reports of street department chief administrative officer and other officials when required by law.	PERM	Legal and Historical. Comptroller recommendation. See Internal Control and Compliance Manual for TN Municipalities. Recorded in minutes of City legislative body.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-315	Finance. General (Miscellaneous) Receipt Ledgers	Record of funds received on general accounts, including such payments as state and city taxes, interest, fees, and penalties on delinquent taxes, showing date of payment, name of payer, amount, funded credited, and balance. This information is retained in the electronic system of record used by the City. If stored electronically in compliance with EDP standards, paper copy is not necessary.	ACT + 7 years	Legal. Retain for 7 years after last entry. For electronic records retain 7 years after date of creation of record. Based on statute of limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.
Finance	FIN-316	Finance. General Ledger Accounts	Record of all receipts and disbursements for the various city accounts, showing date of entry, amount, source of receipt or purpose of payment, amount of debit or credit, and name of account credited or charged.	PERM	Administrative. Comptroller Recommendation. See Internal Control and Compliance Manual for Tennessee Municipalities. This includes General Ledger Accounts maintained for Schools. Rule 0520-1-2-.13.
Finance	FIN-317	Finance. Grant Documentation and Files grants	Records and materials regarding grants applied for and/or money received through state and federal grants.	EXP + 7 years	Retain for the life of the grant plus 7 years. Based on the statute of limitations for legal actions for breach of contract plus 1 year. T.C.A. § 28-3-109.
Finance	FIN-318	Finance. Investment ledgers	Surplus cash investments, rate of interest, date, and amount collected.	FY + 10 Years	Administrative and Legal. Retain for audit purposes and to address arbitrage concerns.
Finance	FIN-319	Finance. Miscellaneous Receipts from other Offices Receiving Money, Records of	Records of receipts collected by other city offices and departments. Examples: fees collected by the ambulance service, building permits, etc.	FY + 7 Years	Legal. Retain based on statute of limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-320	Finance. Receipt Books	Receipts for revenue collected, showing from whom received, date receipt given, receipt number, amount and purpose of payment, and account credited. Receipts may be or may have been issued for funds received from other city offices for payments or transfer tax, delinquent taxes, state funds, utilities tax, etc. Receipts may be loose rather than in books.	ACT + 7 Years	Legal. Retain for 7 years after last entry; electronic-destroy files 7 years after date of creation; additional copies of receipts not needed for any purpose are working papers-destroyed as soon as determined not needed; T.C.A. § 28-3-109. Based on statute of limitations for breach of contract plus 1 year.
Finance	FIN-321	Finance. Sales Tax Report	Report from the state showing total tax collection less cost of state collection. Report shows amounts distributed to incorporated municipalities. Contracts entered into between city and street contractors for the construction and upkeep of roads. May include bonds of contractors guaranteeing compliance with terms of contracts, showing names of principals and sureties, description, specifications, amount of consideration, dates of bonds, and signatures of principals and sureties, showing name of contractor, date, building specifications, and amount of consideration.	FY + 10 Years	Legal. In case of dispute regarding city/county distribution of revenues.
Finance	FIN-322	Finance. Street Contracts and Bonds-Bonds		EXP+7 Years	Legal. Retain bonds 7 years after release, replacement or expiration.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-323	Finance. Street Contracts and Bonds-Contracts with Guarantee, without Guarantee	Contracts entered into between city and street contractors for the construction and upkeep of roads. May include bonds of contractors guaranteeing compliance with terms of contracts, showing names of principals and sureties, description, specifications, amount of consideration, dates of bonds, and signatures of principals and sureties, showing name of contractor, date, building specifications, and amount of consideration.	EXP + 7 years	Legal. Guarantee-retain until expiration of guarantee. No Guarantee-Destroy 7 years after completion of the contract.
Finance	FIN-324	Finance. Travel authorizations		CY + 5 years	Administrative. Audit purposes.
Finance	FIN-325	Finance. Unclaimed funds, record of	Records of funds in hands of official unclaimed for 7 years and turned over to state, showing information about source of funds and amount.	FY + 10 Years	Legal. Audit purposes. Reasonable period to allow interested parties to make inquiries.
Finance	FIN-326	Finance. Appropriation Ordinance or Resolution	Record of appropriations made by the municipal legislative body for maintenance of city offices and departments, and for the payment of claims against the city, showing date of meeting, date claim filed, to whom payable, nature of claim or purpose of appropriation, and amount.	PERM	Audit and Historical.
Finance	FIN-327	Finance. Budget Records and Reports, Annual Budget	These pertain to the general fund and the street fund, debt service fund, the general purpose school fund and all other city funds. They show anticipated revenues, anticipated expenditures for the year, and fund balance at the end of the year.	PERM	Historical and Audit. Preserved permanently in City legislative body minutes.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-328	Finance. Budget Records and Reports, not Annual	These pertain to the general fund and the street fund, debt service fund, the general purpose school fund and all other city funds. They show anticipated revenues, anticipated expenditures for the year, and fund balance at the end of the year.	FY + 5 years	Audit purposes.
Finance	FIN-329	Finance. Cash journals	Records of all receipts and disbursements as distributed to various city accounts, showing date of entry, amount, source of receipt or purpose of payment, amount of debit or credit, and name of account credited or charged.	PERM	Legal and Historical. Comptroller recommendation. See Internal Control and Compliance Manual for TN Municipalities. Demonstrates patterns in investigations of misappropriation of funds. The Recorder's Cash Journal was the best record for tracking the total revenue stream of the city and has historical value.
Finance	FIN-330	Finance. Cash reconciliation report	Shows balances at beginning of the month, outstanding checks, cash balances, checks issued during month, checks paid, cash and outstanding checks at end of the month.	TAC + 1 year	Administrative. Retain 1 year after audit. Maintain for audit and review purposes.
Finance	FIN-331	General Administration, Beer Tax Reports and Receipts	Reports from wholesale beer distributors showing brands of beer, number of units sold, unit prices, and tax remitted. Receipts from money submitted should also be in file.	FY + 3 Years	Legal. Wholesalers and Retailers must keep source documents for 2 years. T.C.A. § 57-5-206(b).
Finance	FIN-332	General Administration, Business Tax Returns	Returns filed under the Business Tax Act under T.C.A. § 67-4-715.	7 Years	Legal. Retain 7 years after January of the year in which the taxes accrue. T.C.A. § 67-1-1501(a); Westinghouse Electric Corp. v. King, 678 S.W. 2d 19 (Tenn. 1984).
Finance	FIN-333	General Administration, Contracts	Contracts between the City and other contractors. Contracts between the departments and contractors for construction work, showing name of contractor, date, building specifications, and amount of consideration.	EXP + 7 Years	Legal. Retain for 7 years after termination of the contract. Based on statute of limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.
Finance	FIN-334	General Administration, Contracts, Construction with and without Guarantees	Contracts between the departments and contractors for construction work, showing name of contractor, date, building specifications, and amount of consideration.	EXP+ 7 Years	Legal. Based on the statute of limitations for actions for breach of contract plus 1 year. T.C.A. § 28-3-109.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-335	Finance. Invoices	Original invoices, purchase orders, and requisitions used in purchasing goods.	FY + 7 Years	Retain based on statute of limitations for legal actions for breach of contract plus 1 year. T.C.A. § 28-3-109.
Finance	FIN-336	Finance. Monthly Trustee's Report	Monthly record of funds collected, showing amounts distributed to the city school system and to any special district in the county.	FY + 5 Years	Audit standard authorized by Tennessee Department of Education Administration Rule 0520-1-2.13.
Finance	FIN-337	Permits and Licenses. Pawnbroker's Licenses, Applications for and related Records	Record of application for pawnbroker's license, related affidavits and certificates, copies of bonds or insurance policies.	EXP + 5 years	After license is terminated; Permits do not expire after a certain term. Keep record for audit purposes and to maintain accurate record of licensed pawnbrokers.
Finance	FIN-338	Payroll. Payroll Records - Title VII	Rates of pay or other terms of compensation. Bona fide executive, administrative and professional employees. Including: name of employee and identifying number of symbol if used on payroll records, home address w/ zip, Date of Birth (if under 19), sex, occupation, time of day in which day of week workweek begins (otherwise a single notation for the entire establishment will suffice); total wages paid each pay period, dates of payment and pay period covered.	TE + 5 years	Retain for 5 years from date record is made or personnel action taken, whichever is later; 28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004).
Finance	FIN-339	Payroll. Payroll Records for FLSA-Exempt Employees	Payroll. Payroll Records for FLSA-Exempt Employees	TE + 5 years	28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004); Records of hours worked for Department of Labor Wage and Hour Audits

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
			Regular hourly rate of pay for any week when overtime is worked and overtime compensation is due. (May be in the form of vouchers or other payment data). Daily hours worked and total hours worked each work week (Workday may be any consecutive 24-hour period, and work week is any fixed and regularly recurring period of 7 consecutive days). Total daily or weekly straight-time earnings or wages due for hours worked during the workday or work week. Total premium pay for overtime hours. This premium pay for overtime hours excludes the straight-time earnings for overtime hours recorded under the above item. Total additions to or deductions from wages paid each pay period, including employee purchase orders or wage assignments. Also, in individual employee records, the dates, amount, and nature of the items that make up the total additions and deductions.		
Finance	FIN-340	Payroll. Payroll Records for FLSA-Non-Exempt Employees		TE + 5 years	28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004).
Finance	FIN-341	Payroll. Payroll Records-Additions or Deductions from Wages Paid		TE + 5 years	28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004).
Finance	FIN-342	Payroll. Payroll Records-Age Discrimination in Employment Act	Payroll or other records containing each employee's name, address, date of birth, occupation, rate of pay, and compensation earned per week.	TE + 5 years	28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004).

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-343	Payroll. Payroll Records- Basis on which wages are paid	The basis on which wages are paid must be documented in sufficient detail to permit calculation for each pay period. The records may include payments of wages, wage rates, job evaluation, merit and incentive programs, and seniority systems; The basic reason for these records is to give the Wage and Hour Division an indication of whether or not sex discrimination exists; Although there is no specific form furnished by the Wage and Hour Division to calculate benefits costs, the data necessary to calculate these costs should be readily available to Wage and Hour audit personnel.	SU + 5 years	Data necessary to calculate these costs should be readily available to Wage and Hour audit personnel. 28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004).
Finance	FIN-344	Payroll. Time Worked Records	All basic time and earnings cards or sheets and work production sheets of individuals where all or part of the employee's earnings are determined.	TE + 5 years	28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004).
Finance	FIN-345	Payroll. Wage Rate Tables	All tables or schedules (from their last effective date) of the employer that provide rates used to compute straight-time earnings, wages, or salary or overtime computation.	SU + 3 Years	Legal. Fair Labor Standards Act (29 C.F.R. 516.6) requires 2-year retention, but Department of Labor can request records going back 3 years.
Finance	FIN-346	Payroll. W-2s	Annual wage and tax statements.	TE + 5 years	Legal. Retain 5 years.
Finance	FIN-347	Payroll. W-4s	Withholding allowance certificates.	TE + 5 years	Retain 5 years after superseded or upon separation of employee. Keep for audit purposes.
Finance	FIN-348	Permits & Licenses. Affidavit of Exemption from Business Licenses under T.C.A. § 67-4-712, granted	Affidavits of blind persons or disabled former members of the armed services made for the purpose of obtaining free ad valorem or privilege license, showing duration of service, nature of disability, if any, amounts of affidavit, signature of affiant, and clerk's acknowledgment.	EXP + 10 years	Legal. Audit purposes. T.C.A. § 67-4-712(a).

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-349	Permits & Licenses. Affidavit of Exemption from Business Licenses under T.C.A. § 67-4-712, not granted	Affidavits of blind persons or disabled former members of the armed services made for the purpose of obtaining free ad valorem or privilege license, showing duration of service, nature of disability, if any, amounts of affidavit, signature of affiant, and clerk's acknowledgment.	CY + 1 year	Legal. Audit purposes. T.C.A. § 67-4-712(a).
Finance	FIN-350	Permits & Licenses. Alcoholic Beverage Commission Applications, granted	Permits & Licenses. Alcoholic Beverage Commission Applications, not granted	EXP + 1 year	Legal. If the application is granted retain for life of permit. Retain successful applications for audit purposes.
Finance	FIN-351	Permits & Licenses. Alcoholic Beverage Commission Applications, not granted	The application and permits issued to persons selling legalized beverages (beer), showing name of licensee, business address, date issued, permit number, and signature of beer board approving the issuance of the license.	CY + 1 year	Legal. Retain denied applications to have available in case of appeal(s) under T.C.A. § 27-9-101 et seq.
Finance	FIN-352	Permits & Licenses. Beer Applications and Permits	Original applications and licenses to engage in business or for exercising taxable privileges, showing name of applicant, kind of license, duration of license, date filed, signature of applicant, fee/tax paid, and license number.	EXP + 5 years	Administrative. Audit purposes.
Finance	FIN-353	Permits & Licenses. Business and Privilege Licenses	These records consist of notice of hearing, name of property owner, appeal from county board of equalization, assessment, address, and time and place of hearing. Also included in this group of documents are documents involving appeal to the courts. Consider getting copies from the assessor's office.	EXP + 5 years	Legal. Audit purposes.
Finance	FIN-354	Property Tax. Appeals and Reports to the State Board of Equalization and Court Appeals	Property Tax. Appeals and Reports to the State Board of Equalization and Court Appeals	FR + 1 year	Legal. Retain until final determination of the issue. Keep to make certain the ruling is properly applied and that all parties understand the final determination of the issue.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-355	Property Tax. Assessment Exemptions, Applications for	Copies of applications showing property owner's name, address, ward or district, date acquired, lot size or acreage, value, how property used, other purposes to be used for, signature of applicant, and notarization. Consider getting copies from the assessor's office.	CY + 2 Years	Administrative. Retain to identify exempt property owners.
Finance	FIN-356	Property Tax. Board of Equalization, Certification of Assessment, copies of	Certificate required by T.C.A. § 67-5-1410 wherein members of board of equalization certify that all appeals of assessments and classifications of property have been examined and changes made that are proper, just, and equitable and are prescribed by law. Consider getting copies from the Assessor's office.	CY +2 Years	T.C.A. § 67-5-1410. Audit purposes.
Finance	FIN-357	Property Tax. Certificates of Public Utilities Tax Valuations By Office of State Assessments, copy of	Tax roll listing total assessment of public utilities in the city by the Office of State Assessed Properties.	CY+1 Year	Legal. Retain annual assessments 1 year then destroy. State office maintains the record. Record is like a tax roll for public utilities that are assessed by the State.
Finance	FIN-358	Property Tax. Delinquent Real Estate Tax Reports	Annual reports to the county trustee by the collector of city taxes of all delinquent taxpayers.	CY + 15 Years	Legal. Retain 15 years after date of creation. Keep for audit purposes. Report is required by T.C.A. § 67-5-1903 (a). Collection is barred after 10 years past due date. T.C.A. § 67-5-1806.
Finance	FIN-359	Property Tax. Delinquent Tax Receipt Books	Receipts issued for payment of delinquent realty and personal taxes, showing receipt number, date issued, name of taxpayer, amount, year of assessment, etc. Does not have to be kept in book. The book or receipt is obsolete if computerized and in compliance with electronic data processing (EDP) standards.	ACT + 15 years	Legal. Retain 15 years after issuance of last receipt in book; or 15 years after creation of receipt if not in book or information is stored electronically. Keep for audit purposes. Collection is barred 10 years past due date. T.C.A. § 67-5-1806.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-360	Property Tax. Land sold for taxes, record of	Record of court land sales, showing name of the court, style of case, location and description of property, by what process land was sold, and date of sale.	PERM	Legal. Record affects land title.
Finance	FIN-361	Property Tax. Liens, Tax	Record of tax lien notices filed against property owners, including violators of the internal revenue law, showing name and address of property owner, date of filing, amount of assessment and penalty, and discharge notice date.	PERM	Legal.
Finance	FIN-362	Property Tax. Personal Property, Audit Records	Supporting information and documentation for audit.	TAC + 2 Years	Legal. Retain in case of forced assessments. Destroy after use. Consider obtaining from the Assessor's office.
Finance	FIN-363	Property Tax. Property Tax Relief Application and Reports	Record of property tax deferrals for elderly low-income homeowners, disabled homeowners, and disabled veterans.	TAC + 2 years	Legal. Retain until audited and updated version received. Working paper as defined in T.C.A. § 10-7-301—(14). Tenn. Admin. Rules 0600-03-.10(1)(c).
Finance	FIN-364	Property Tax. Tax Bills		1 Year	Administrative. Working paper.
Finance	FIN-365	Property Tax. Tax Cases Sent to Clerk and Master, Record of	Record of delinquent land tax cases filed in chancery court (sometimes circuit court) showing property owner's name, district or ward, property boundaries, acres, valuation, total tax due, and remarks.	FR + 15 Years	Administrative and Legal. General statute of limitations on property tax actions is 10 years from April 1 of year following year taxes became delinquent. T.C.A. § 67-5-1806. Additional time is given for cases that may be delayed due to bankruptcy.
Finance	FIN-366	Property Tax. Tax Maps (Ownership Maps and Index, Rural and Urban)	These maps reflect the status of real property as of January 1 of each year.	PERM	Retain Active only current and one previous generation of ownership maps and indexes. Older generations of photographs may be removed from the office but if removed should be transferred to an archive or library. Useful in office for tracking property changes and as evidence of challenges to tax sales. High historical and archival value and should be preserved for those reasons, although not necessary to maintain the older records that are in the assessor's office.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-367	Property Tax. Tax/Assessment Rolls	Record of all assessments on real and personal property showing name of taxpayer, civil district or ward, location and description of property, assessed valuation, date of assessments, acreage of farm land, and number of town lots.	CY + 4 Years	Retention based on time period for corrections and rollback issues. The record is stored for a longer term with the Trustee.
Finance	FIN-368	Schools. Financial Report, Annual Public School	An annual report of the school system's financial condition made to the Tennessee Commissioner of Education. Internal School Activity Funds-Audit report of activity funds handled by individual schools. Local School Systems-Audits of funds administered by the Superintendent of education showing date of audit, balances under previous audits, receipts and disbursements, balances carried forward, and total figures.	CY + 10 Years	Administrative. Important for research purposes and performing statistical analysis. Audit standard authorized by Tennessee Department of Education Administration Rule 0520-1-2.13.
Finance	FIN-369	Schools. Audits of Internal School Activity Funds and Local School Systems.	Annual approved budget document conforming to standards of the Tennessee Department of Education. Document shows anticipated revenues from all sources and estimated expenditures for the fiscal year.	PERM	Legal. T.C.A. § 6-56-105, T.C.A. § 6-56-104.
Finance	FIN-370	Schools. Budget, Annual Operating	Listing of monthly customer billings (account number, amount, etc.)	FY + 5 Years	Administrative. Audit standard authorized by Tennessee Department of Education Administration Rule 0520-1-2.13.
Finance	FIN-371	Utilities Billing & Collection. Billing Register	Listing of rates for utility services.	FY + 7 Years	Administrative and Legal. Electronic format acceptable. Paper copy may be destroyed after audit if record is kept in an electronic format. Keep to resolve billing disputes with customers.
Finance	FIN-372	Utility Billing & Collection. Rate Schedules		PERM	Historical.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Finance	FIN-373	Utility Billing & Collections. Collection Agency Reports	Listing of accounts turned over for collection and how resolved.	FY + 7 Years	Legal. Keep to resolve billing disputes with customers.
Finance	FIN-374	Utility Billing & Collections. Customer Complaints	Complaints by customers re: meter checks, billing inquiries, service problems, etc.	CY + 5 Years	Legal. Keep in case of litigation.
Finance	FIN-375	Utility Billing & Collections. Deposits from Customers	Customer name, date of service, and amount of deposit.	FR + 3 Years	Legal. Retain 3 years after service is discontinued and deposit applied for refunded. TN courts have allowed utilities to back bill customers 3 years.
Fire Department	CFD-700	Fire. Arson Investigation Reports	Reports made by Fire Investigators regarding investigation of fires that appear suspicious in nature or where an injury has occurred. Report includes information pertinent to the investigation, such as the name of the investigator, date, time, location, initial observations, witness contact information, evidence collected, etc.	FR + 30 Years	Retain until convicted person is released from prison.
Fire Department	CFD-701	Fire. Bloodborne Pathogens/Infectious Material Standard-Employee Exposure Records	Protects employees who may be occupationally exposed to blood or other infectious materials.	TE + 30 Years	
Fire Department	CFD-702	Fire. Bloodborne Pathogens/Infectious Material Standard-Medical Records	Protects employees who may be occupationally exposed to blood or other infectious materials.	TE + 30 Years	Retain for duration of employment + 30 years; OSHA 29 C.F.R. 1910.1030
Fire Department	CFD-703	Fire. Bloodborne Pathogens/Infectious Material Standard-Training Records	Protects employees who may be occupationally exposed to blood or other infectious materials.	TE + 3 Years	OSHA 29 C.F.R. 1910.1020
Fire Department	CFD-704	Fire. Bloodborne Pathogens/Infectious Material Standard-Written Exposure Plan	Protects employees who may be occupationally exposed to blood or other infectious materials.	PERM	OSHA 29 C.F.R. 1910.1030.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Fire Department	CFD-705	Fire. Burn Permits	Record of permission granted for open burning within the city limits. Reports detailing date, time location, call time (Fire, EMS, Rescue, etc.), responding fire department units and personnel, what was found upon arrival, actions taken to mitigate incident, any injuries/deaths occurring during incident, additional resources requested, incident conclusion, etc.	FR + 2 Years	Unless issued in conjunction w/ building permit; then retain until certificate of occupancy granted; SOL for malicious burning + 1 year. Final Resolution is either expiration of the permit or grant of a certificate of occupancy, recommendation for burn permits to be issued with building permit based on increased likelihood of lawsuit against the City before certificate of occupancy is granted.
Fire Department	CFD-706	Fire. Fire Incident Reports	Reports made by Tennessee Department of Insurance, Division of Fire Prevention, or local fire department showing date, name of inspector, location inspected, etc.	PERM	Consider archiving; retain to track history of property, loss claims, repeats; based on SOL for foreseeable causes of action; consider archiving
Fire Department	CFD-707	Fire. Fire Safety Inspection and Similar Reports	Records detailing sworn personnel's ability to perform minimum physical tasks. Includes minimal strength, agility, and endurance qualifications, including lifting hoses, carry a small weight up steps, raising a ladder, hoisting a hose, climbing a ladder, climbing through small tunnel, simulating forcible entry, climbing a short wall, dragging a weighted training aid, etc.	SU + 3 Years	Or at minimum until new inspection report is received; Administrative: enforcement purposes; retain one generation back to show a history of inspection
Fire Department	CFD-708	Fire. Firefighter Annual Certification of Fitness to Perform Job Functions.	Fire. Firefighter Annual Certification of Fitness to Perform Job Functions.	TE + 3 Years	29 C.F.R. 1910.156(b)(2)) and (29 C.F.R. 1910.135 (m)). Department of Labor can request information going back 3 years. Retention allows the fire department to show a history of testing and compliance as required by OSHA. At minimum, retain until next Certification completed.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Fire Department	CFD-709	Fire. Firefighter Annual Facemask Fit Test Records	Records detailing that sworn personnel have passed the annual fit test of the Self-Contained Breathing Apparatus (SCBA) mask to ensure that a proper seal is created for safety of the firefighter.	TE + 3 Years	Required by OSHA. (29 C.F.R. 1910.156 (f)) and (29 C.F.R. 1910.135 (m)). Department of Labor can request information going back 3 years. Retention allows the fire department to show a history of testing and compliance.
Fire Department	CFD-710	Fire. Material Safety Data Sheets	Employers must have an MSDS on file for each hazardous chemical they use and ensure that copies are readily accessible to employees in their work area; Employer must keep records of chemicals used, where they were used, when they were used, and for how long.	CY + 30 Years	Maintain in current fashion; no specific time; Occupational Safety and Health Act (29 C.F.R. 1910.1020(d)(1)(ii)(B)); Retain record of chemicals used for 30 years; Occupational Safety and Health Act (29 C.F.R. 1910.1020(d)(1)(ii)(B)).
Fire Department	CFD-711	Fire. Medical records of patients in EMS Run Records	Patients medical histories, reports, summaries, diagnosis, prognosis, records of treatment, medication, X-ray and radiology interpretation, physical therapy charts and lab reports.	FR + 10 Years	Retain 10 years following discharge of patient or patient's death during treatment. T.C.A. §§ 68-11-305 and 68-140-519.
Fire Department	CFD-712	Fire. Medical records of patients in EMS Run Records-Patient under mental disability or minority	Patients medical histories, reports, summaries, diagnosis, prognosis, records of treatment, medication, X-ray and radiology interpretation, physical therapy charts and lab reports.	FR + 10 years	For patients under mental disability or minority, records should be retained for period of minority or disability plus 1 year or 10 years following discharge, whichever is longer. T.C.A. §§ 68-11-305 and 68-140-519.
Fire Department	CFD-713	Fire. Medical records of patients in EMS Run Records-XRAYS		4 Years	when radiologist's interpretation is made. T.C.A. §§ 68-11-305 and 68-140-519.
Fire Department	CFD-714	Fire. Physical/Medical Records	Complete and accurate records of all medical examinations require by OSHA law.	TE + 30 years	Duration of employment + 30 years, unless specific OSHA standard requires otherwise. Occupational Safety and Health Act (29 C.F.R. 1910.1020).
Fire Department	CFD-715	Fire. Radio and Telephone Logs	Dispatching and telephone communications with outside agencies.	CY + 5 years	For use in defense of lawsuits. Based on SOL for foreseeable causes of action.
Fire Department	CFD-716	Fire. Training Records		TE + 3 years	Duration of employment + 3 years ; proof of training for ISO and OSHA.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Fire Department	CFD-717	Fire, Vehicle and Equipment Maintenance Records	Records detailing daily preventive maintenance performed by the fire apparatus driver/operator. Includes deficiencies, repairs, or adjustments needed to ensure proper operation of the apparatus. Includes checklist items such as checking the engine oil, engine coolant, fuel level, water tank level, tires (for damage, inflation and tread depth), visual warning lights, pump operations, body damage, discharge/intake caps, emergency brake operation, tool inventory, hose loads, etc.	LI + 5 Years	Life of the equipment.
General Services	GS-6000	General Administration. Building Plans	Blueprints and specifications for all municipal buildings.	LI + 5 Years	Retain for life of the building. Consider retaining for additional time if litigation could arise from a building's early demise. Necessary for maintenance and operation of City-owned facilities.
General Services	GS-6001	General Administration. Deeds, Easements, Highway Rights-of-Way, etc.	Instruments of conveyance of interests in real property. Shows signatures of property owner, date, tax map number of parcels, width of easement, and name of road. Includes copies of warranty deeds evidencing proof of city's ownership of real property.	PERM	Recorded copy is necessary to preserve City property rights. City should retain its own copy as a record of its property right.
General Services	GS-6002	General Administration. Facility Inspection and Maintenance Records	Records documenting inspection of and repairs or improvements made to municipal buildings and structures, includes: regulatory inspections such as elevator, boiler, fire sprinkler and alarm, backflow devices, etc.	LI + 5 Years.	Retain for life of the building plus additional time if litigation could arise from a building's early demise). Necessary for maintenance and operation of City-owned facilities. Potential significance in tort cases.
General Services	GS-6003	General Administration. Federal Programs and Grant Compliance files	Federal Program and Grant Compliance, including: EPA Brownfield, HUD Section 108, DOE EE/RE and QECB Programs.	PERM	Permanent record for programs and grants involving real property. For all others: Retain for the life of the Program, Grant or Bond plus 7 years. Per City Code, executed Agreements are retained by Finance.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
General Services	GS-6004	General Administration. Fixed assets	Comprehensive inventory of all fixed assets.	LI + 5 years	Retain 5 years after disposal of asset. Audit standard authorized by Tenn. Admin. Rule 0520-1-2-.13.
General Services	GS-6005	General Administration. Insurance Policies, Property Insurance	Insurance policies of all types insuring the city and all its departments for various risks of loss, showing name of company, name of agent issuing policy, date of policy, date of expiration, amount of premium, amount of coverage, and description of any property covered.	LI + 10 Years.	Retain for life of building or structure plus 10 years for property insurance. Retention is based on statute of limitations for breach of contract actions plus 1 year. T.C.A. § 28-3-109.
General Services	GS-6013	General Administration. Insurance Policies, General Liability, Automotive	Insurance policies of all types insuring the city and all its departments for various risks of loss, showing name of company, name of agent issuing policy, date of policy, date of expiration, amount of premium, amount of coverage, and description of any property covered.	EXP + 10 Years	Retain for 10 years after expiration or replacement of policy for other insurance types such as general liability or automobile policies. Retention is based on statute of limitations for breach of contract actions plus 1 year. T.C.A. § 28-3-109.
General Services	GS-6006	General Administration. Leases (Real Property)	Copies of leases or rental contracts on real estate, showing names of lessor and lessee, description of property including tax map number of parcel, terms of the contract, date of execution, and signatures of parties involved.	PERM	Keep to track property rights. Note: If lease is more than 3 years, it is eligible for recordation under T.C.A. § 66-24-101(a) (15).
General Services	GS-6007	General Administration. Leases, Agreements(Automobiles and Equipment)	Leases and Agreements for Use of Automobiles and Equipment.	EXP + 7 Years	Retain for 7 years after completion or expiration of lease or agreement. Based on statute of limitation for breach of contract plus 1 year. T.C.A. § 28-3-109.
General Services	GS-6008	General Administration. Material Safety Data Sheets	A material safety data sheet on file for each hazardous chemical or material they use. Employer must keep records of chemicals used, where they were used, when they were used and for how long.	CY + 30 Years	Keep a current copy accessible in employee work areas and retain record for 30 years. OSHA Compliance. 29 C.F.R. 1910.10209d)(1)(ii)(B).
General Services	GS-6009	General Administration. Swimming Pool Records	Records related to swimming pool use, including: users, safety measures.	LI + 2 years	Retain based on statute of limitations for tort actions plus 1 year.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
General Services	GS-6010	General Administration. Vehicle and Equipment Purchase and Maintenance Records	Vehicle and equipment maintenance records, including: motor vehicle city stickers	LI + 2 years	Retain for the life of vehicle or equipment plus 2 years; determination of replacement, proof of maintenance, possible tort action. . Audit purposes.
General Services	GS-6011	General Administration. Training Records, copy of	Training records, certifications, etc.	For Retention Period, see Record Series: HR-444. Record Custodian: Human Resources. Record Category & Record Name: Personnel. Training Records.	
General Services	GS-6012	General Administration. Contracts, copy of	Contracts between City and other contractors.	For retention period, See Record Series: FIN-333. Record Custodian: Finance Record Category & Record Name: General Administration. Contracts.	
Human Resources	HR-400	Personnel. Advertisements Regarding Job Openings, Records of Promotions, Training Programs, and Overtime Work		CY + 5 years	Under MTAS, retain 5 years. 28 U.S.C. § 1658; Jones v. R.R. Donnelley & Sons Co., 541 U.S. 369 (2004).

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Human Resources	HR-401	Personnel. Age Records	Includes Child Labor-verification of minors.	TE + 5 years	Under MTAS, retain 3 years. Fair Labor Standards Act (29 C.F.R. 516). Age Discrimination in Employment Act (29 C.F.R. 1627.3).
Human Resources	HR-402	Personnel. Americans with Disabilities Act—Employer Records	Requests for reasonable accommodations.	TE + 5 years	HR requests retention for 5 years post separation.
Human Resources	HR-403	Personnel. Annual wage and tax statements		TE + 7 Years	Under MTAS, retain 2 years. Same employer record retention requirements as the Civil Rights Act of 1964 as amended. Title VII of the Civil Rights Act (29 C.F.R. 1602.31).
Human Resources	HR-404	Personnel. Applications, Resumes, or other Replies to Job Advertisements, including Temporary Positions, etc.		FR + 5 years	Retain for audit purposes.
Human Resources	HR-405	Personnel. Bloodborne Pathogens/Infectious Material Standard. Written Exposure Plan.	Protect employees who may be occupationally exposed to blood or other infectious materials.	PERM	No retention for unsolicited resumes. 28 U.S.C. § 1658; Jones v. R.R. Donnelley & Sons Co., 541 U.S. 369 (2004). Written Exposure Plan—Retention period not specified. Must be available to co-workers and kept current. OSHA (29 C.F.R. 1910.1030).
Human Resources	HR-406	Personnel. Bloodborne Pathogens/Infectious Material Standard	Protect employees who may be occupationally exposed to blood or other infectious materials.	TE + 30 years	Retain for employment plus 30 years. OSHA (29 C.F.R. 1910.1020).
Human Resources	HR-407	Personnel. Bloodborne Pathogens/Infectious Material Standard Employee Exposure Records	Protect employees who may be occupationally exposed to blood or other infectious materials.	TE + 30 years	Retain for 30 years (29 C.F.R. 1910.1020).
Human Resources	HR-408	Personnel. Bloodborne Pathogens/Infectious Material Standard	Training Records.	TE + 5 years	(29 C.F.R. 1910.1030).

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Human Resources	HR-409	Personnel. Citizenship or Authorization to Work	Immigration and Naturalization Services Form I-9 (employment eligibility verification form) for all employees hired after November 6, 1986.	TE + 5 Years	MTAS advises to retain for 3 years from date of hire, or 1 year after separation. Immigration Reform and Control Act (8 C.F.R. 274A.2).
Human Resources	HR-410	Personnel. Contracts, Employee	Contracts between City and the employees.	TE + 7 Years 7 Years See Record Series: FIN-333. Record Custodian: Finance Record Category & Record Name: General Administration. Contracts	Based on statute of limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.
Human Resources	HR-411	Personnel. Contracts, Personal Service of Independent Contractor	Contracts between the City and Independent Contractors		Based on statute of limitations for breach of contract plus 1 year. T.C.A. § 28-3-109.
Human Resources	HR-413	Personnel. Demotion records	[Need to add a description for this record category] Personnel records relevant to a charge of discrimination or enforcement against employer, including records relating to charging party and to all other employees holding positions similar or sought after, such as application forms or performance documentation.	TE + 5 Years	28 U.S.C. § 1658; Jones v. R.R. Donnelley & Sons Co., 541 U.S. 369(2004); 29 C.F.R. 1602.31.
Human Resources	HR-414	Personnel. Discrimination or Enforcement Charges		FR + 1 year	Retain until final disposition of charge or action. Age Discrimination in Employment Act (29 C.F.R. 1627.3(b) (3)). Title VII of the Civil Rights Act (29 C.F.R. 1602.31). Executive Order 11246.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Human Resources	HR-415	Personnel. Drug Testing Records	Breath alcohol test with results of .02 or higher. Positive controlled substance tests. Documentation of refusal of test. Calibration documentation. Evaluation and referrals. Copy of calendar year summary. Substance abuse professional reports. Records related to the administration of drug and alcohol testing; follow-up tests and schedules for follow-up. Information on the alcohol and controlled substances testing process. Records of inspection and maintenance. Information on training. Negative and canceled controlled test results. Alcohol test results of less than .02 alcohol concentration.	TE + 5 years	Omnibus Transportation Employee Testing Act of 1991 (49 C.F.R. 40.83, 49 C.F.R. 653.71(b)).
Human Resources	HR-416	Personnel. EEOC Information	Records kept by local governments. Any political subdivision with 15 or more employees must keep records and information that are necessary for completion of Report EEO-4 (Local Government Information Reports) regardless of whether or not the political jurisdiction is required to file a report.	TE + 5 Years	29 C.F.R. 1602.31.
Human Resources	HR-417	Personnel. Employee Earnings Records		TE + 70	Age Discrimination in Employment Act (29 C.F.R. 1627.3); Fair Labor Standards Act (29 C.F.R. 516.5).
Human Resources	HR-418	Personnel. Employee Evaluations		TE + 5 years	Administrative. Not specifically required under 29 C.F.R. § 516.5 or 516.6. Retained under Payroll Records-Basis for Which Wages are Paid. Jones v. R.R. Donnelley & Sons Co., 514 U.S. 369 (2004)

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Human Resources	HR-419	Personnel. Employer Information Report (EEO-4)	For political jurisdictions with 100 or more employees and other political jurisdictions with 15 or more employees from whom the commission requests an EEO-4 report, a copy of EEO-4 form (Employer Information Report) must be kept. Employers shall keep records pertaining to their obligations under the act in accordance with the record keeping requirements of the Fair Labor Standards Act (FLSA). Records kept must disclose the following: Basic payroll identifying employee data, rate or basis of pay and terms of compensation, daily and weekly hours worked per pay period, additions to or deductions from wages, total compensation paid; Dates FMLA leave is taken; Hours of the leave if FMLA is taken in increments; Copies of employee notices of leave furnished to the employer and copies of all general and specific notices given to employees; Documents describing employee benefits or employer policies and practicing regarding the taking of paid and unpaid leave; premium payments of employee benefits; Records of any dispute between employer and an employee regarding the designation of leave as FMLA leave.	CY + 5 years	Minimum requirement is 3 years at each central office. 29 C.F.R. 1602.30; Title VII Civil Rights Act (29 C.F.R. 825.500).
Human Resources	HR-420	Personnel. Employer Records of Leave under FMLA-Non-Exempt Employees	Individual employment contracts (where contracts or agreements are not in writing, a written memorandum summarizing the terms), including collective bargaining agreements, plans and trusts.	TE + 5 years	Minimum requirement Family and Medical Leave Act (29 C.F.R. 825.500) is 3 years; section 11 (c) of the FLSA. Fair Labor Standards Act (29 C.F.R. 516.5) requires preserving Collective Bargaining Agreements, Plans, Trusts, and Employment contracts for 3 years minimum; Equal Pay Act provision (29 C.F.R. 1620.32 (b)) requires 2 years minimum. 28 U.S.C. § 1658.
Human Resources	HR-421	Personnel. Employment Contracts-FLSA		TE + 5 years	

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Human Resources	HR-422	Personnel, Employment Tax Records	If employees are not subject to FLSA's record-keeping regulations for purposes of minimum wage or overtime compliance, an employer need not keep a record of actual hours worked provided that: Eligibility for FMLA leave is presumed for any employee who has been employed for 12 months; and a written record is maintained as to the agreement between the employer and employee regarding reduced or intermittent leave and the employee's normal schedule or average hours.	TE + 5 years	Internal Revenue Code (26 C.F.R. 31.6001-1) requires retaining for 4 years minimum.
Human Resources	HR-423	Personnel, FMLA Employer Records of Leave Under FMLA-Exempt Employees		TE + 5 years	Minimum requirement per Family and Medical Leave Act (29 C.F.R. 825.500, 29 C.F.R. 825.110, 29 C.F.R. 825.206) is 3 years.
Human Resources	HR-424	Personnel, Garnishment Documents	Federal garnishment laws are enforced under the Fair Labor Standards Act. (Refer to "Payroll Records - Additions or Deductions from Wages Paid.") Employers need records showing covered employees and their spouses and dependents: documentation employees have received written notice of continuing group health insurance and COBRA rights; and whether the employee and his or her spouse and dependents elected or rejected coverage.	TE + 5 years	Fair Labor Standards Act (29 C.F.R. 516.5) requires a minimum 3-year retention. Equal Pay Act (29 C.F.R. 1620.32 (c)) requires a minimum 2-year retention.
Human Resources	HR-425	Personnel, Group health insurance coverage after certain qualifying events		TE + 7 Years	Internal Revenue Code (26 C.F.R. 54.4980B).
Human Resources	HR-426	Personnel, Hiring Records	Includes HR Screening Tests	TE + 5 years	28 U.S.C. § 1658; Jones v. R.R. Donnelley & Sons Co., 541 U.S. 369 (2004) 29 C.F.R. § 1627.3(b)(1)(iv).

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Human Resources	HR-427	Personnel Insurance/Retirement Plans	Benefit plan descriptions. Records providing the basis for all required plan descriptions and reports necessary to clarify the information, including vouchers, worksheets, receipts and applicable resolutions.	EXP+ 6 years	Age Discrimination in Employment Act (29 C.F.R. 1627.3 (b) (2)); Employee Retirement Income Security Act (29 C.F.R. § 2520.101-1 through 2520.104b-30).
Human Resources	HR-428	Personnel Layoff Selection	Maintain on file for each hazardous chemical used. Include chemicals used, where used, when used, for how long with copies readily accessible to employees in their work area.	TE + 5 years	Legal. 29 C.F.R. 1627.3(b)(1)(i)-(vi); 28 U.S.C. § 1658; Jones v. R.R. Donnelley & Sons Co., 541 U.S. 369 (2004).
Human Resources	HR-429	Personnel Material Data Safety Sheets		CY + 30 years	Legal. Occupational Safety and Health Act (29 C.F.R. 1910.1020 (d) (1) (ii) (B).
Human Resources	HR-430	Personnel Minimum Wage and Overtime Charges		TE + 5 years	Fair Labor Standards Act (29 C.F.R. 516.6) requires retention for 2 years, but Department of Labor can request documents going back 3 years.
Human Resources	HR-431	Personnel Occupational Injuries and Illness	OSHA Form 300 Log of Work Related Injuries and Illnesses; OSHA Form 300A Summary of Work Related Injuries and Illnesses; OSHA Form 301 Injury and Illness Incident Report.	TE+ 5 years	Occupational Safety and Health Act (29 C.F.R. 1904.9).
Human Resources	HR-432	Personnel Older Workers Benefit Protection Act- Employer Records	Waiver of Age Discrimination in Employment Act rights.	TE + 5 Years	Recommend keeping waiver forever even though statute says minimum 3 years for use in defense of Older Workers Benefits Protection Act waiver of rights discrimination charge. Age Discrimination in Employment Act. 29 C.F.R. 1627.3, 29 C.F.R. § 1602.30.
Human Resources	HR-433	Personnel Payroll-Rate of Pay, Compensation		TE + 5 Years	At minimum, must retain for 4 years after the due date of the tax per 26 C.F.R. § 31.6001-1.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Human Resources	HR-434	Permit-Required Confined Space	Canceled permit entry forms and training certification.	EXP + 5 years	Occupational Health and Safety Act (29 C.F.R. 1910.146(e) (6)). (29 C.F.R. 1910.146 (g) (4) requires retaining for a minimum of 1 year.
Human Resources	HR-435	Personnel. Personnel Files.	Files for each employee tracking pay, benefits, performance evaluations, personnel actions, and employee's hiring and termination. Policies of the office regarding hiring procedures, leave, benefits, personnel rules and regulations, fair and reasonable complaint conference and hearing procedures for employees dismissed, demoted, or suspended, etc. Certain policies are required under T.C.A. §§ 6-54-123, et seq. Additional policies would be optional. The policy may not grant a property right or contract rights to a job to any employee.	TE + 7	Retain 7 years after termination. Retention is based on a 5 year statute of limitations for personnel actions plus two years. (29 C.F.R. 1910.1020(d)(1)).
Human Resources	HR-436	Personnel. Personnel Policies		SU + 5 years	Policy adopted by resolution or ordinance, published in newspaper before final adoption. A copy is kept in office of city recorder or clerk; available to employee on request. 28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004).
Human Resources	HR-437	Personnel. Physical Examination	Results of physical exams considered in connection with personnel action.	TE +5 years	28 U.S.C. § 1658; Jones v. R.R. Donnelley & Sons Co., 541 U.S. 369 (2004). 29 CFR 1627.3(b)(1)(i)-(vi) requires retaining the records for a minimum of one year.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Human Resources	HR-438	Personnel Physical/Medical Records under FMLA	Records and documentation relating to an employer's obligations under FMLA, including an FMLA leave request relating to medical certifications, re-certifications, or medical histories of employees or employee's family members shall be maintained in separate files/records and be treated as confidential medical records, except that: Supervisors and managers may be informed regarding necessary restrictions and accommodations, not the true nature of the condition; First aid and safety personnel may be informed (when appropriate) if the employee might require emergency treatment; Government officials investigating compliance with FMLA shall be provided relevant information.	TE + 5 years	Retaining for a minimum of 3 years is required. Must be available for inspection by the Department of Labor upon request. Family and Medical Leave Act (29 C.F.R. 825.500) requires recordkeeping in accordance with section 11(c) of the FLSA. No particular order or form is required (29 C.F.R. 825.500).
Human Resources	HR-439	Personnel Physical/Medical Records under OSHA- all medical exams required under OSHA	Complete and accurate records of all medical examinations required under OSHA law.	TE + 30 years	Occupational Safety and Health Act (29 C.F.R. 1910.1020).
Human Resources	HR-440	Personnel. Polygraph Test		TE + 5 Years	2 U.S.C.A. §§§ 1314, 414, 2002.
Human Resources	HR-441	Personnel. Promotion Records or Notices		TE + 5 years	28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004). 29 C.F.R. 1627.3(b)(1)(i)-(vi).
Human Resources	HR-442	Personnel. Seniority or Merit rating systems		SU + 5 years	; 28 U.S.C. § 1658; Jones v. R.R Donnelley & Sons Co., 541 U.S. 369 (2004). 29 C.F.R. 1627.3(b)(2)
Human Resources	HR-443	Personnel. Termination Records		TE + 5 years	29 C.F.R. 1627.3(b)(1)(i)-(vi)
Human Resources	HR-444	Personnel. Training Records	Employee training records and certifications.	TE + 3 years	

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Human Resources	HR-445	Personnel Transfer Records		TE + 5 years	28 U.S.C. § 1658; Jones v. R. R. Donnelley & Sons Co., 541 U.S. 369 (2004). 29 C.F.R. 1627.3(b)(1)(i)-(vi)
Human Resources	HR-446	Personnel Travel Authorizations		TE + 5 years	Keep for audit purposes.
Human Resources	HR-447	Personnel, Veterans, Military Leave	Organizations must grant leaves of absence to perform military obligations. Service limits are set on the amount of time an employee may spend on active duty and still be eligible for reemployment. Employees are reemployed to their former positions or a position of like status and pay with seniority and vacation as if they had not taken military leave.	TE + 7 Years	Uniform Services Employment and Reemployment Rights Act (5 C.F.R. 1208); NOTE: Retention period not specified by regulations. The service limit on the time an employee may spend in active duty and still be eligible for reemployment can be up to 5 years.
Information Technology	IT-900	IT. Service Orders	User requests for support submitted to the Help Desk.	PC + 2 years	Administrative. Consider maintaining in the form of a quarterly or annual report.
Information Technology	IT-901	IT. Hardware Inventory	Inventory of hardware maintained by the City's IT Department.	CY + 1 year	Administrative. Retain to provide evidence of equipment and to whom it is assigned.
Information Technology	IT-902	IT. Technology Response, Recovery Plans, Policies and Procedures	Incident, Disaster Recovery, Network Use and Security Policies	PERM	Administrative and Legal. Disaster Recovery Plans and Procedures are considered confidential.
Information Technology	IT-903	IT. Network Performance Documentation	Information related to the performance of the network, including downtime.	CY + 2 Years	Administrative.
Information Technology	IT-904	IT. System and Software Documentation		LI+ 2 years.	Administrative. Retain 2 years or for the lifespan of the system or software, whichever is longer.
Information Technology	IT-905	IT. Project Documentation	All documentation and files related to projects undertaken by the Department.	PC+ 2 years.	Administrative. Retain for 2 years after project completion and/or termination.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Information Technology	IT-906	IT. Video	All video from all cameras and devices at all facilities and sites for the City.	30 Days	Administrative and Legal. The default for video retention is 30 days, unless the video is part of an ongoing investigation, record request, related to a hold, or necessary for an audit.
Information Technology	IT-907	IT. Web Analytics, reporting	Any measurements, collection, analysis and reporting of web data for purposes of understanding and optimizing web usage.	CY + 2 Years	Administrative. Retain for programming/planning purposes and/or marketing/communications needs.
McKamey Animal Center	MAC-1000	Animal Control. Activity Reports	Monthly report showing activity of the animal control operations	CY + 2 years	Planning
McKamey Animal Center	MAC-1001	Animal Control. Adoption Contracts	Adoption agreements	CY + 4 Years	Proof of ownership and patterns of behavior of animals, owners.
McKamey Animal Center	MAC-1002	Animal Control. Annual Reports	Shows the activity of the animal control operations	PERM	Planning
McKamey Animal Center	MAC-1003	Animal Control. Bite Reports	Documents investigations related to dog bites.	CY + 4 Years	
McKamey Animal Center	MAC-1004	Animal Control. Complaints, Record of	May contain date, time of complaint, complainant's name, address, and telephone number, owner's name and address, animal's license number, and details of problems.	FR + 4 Years	Until resolution of any litigation.
McKamey Animal Center	MAC-1005	Animal Control. Controlled Substances, Log		CY + 3 Years	Tenn. Admin. Rule 1730-4-.09.
McKamey Animal Center	MAC-1006	Animal Control. Dispatch Logs		CY + 4 Years	
McKamey Animal Center	MAC-1007	Animal Control. Euthanasia Report	Must be kept for each animal euthanized; includes date, estimated age, breed, weight, sex, amount of euthanasia solution administered, and description of verification of death	CY + 4 Years	Tenn. Admin. Rule 1730-4-.09. 3 years is acceptable but may retain 4 years for consistency with other retention requirements.
McKamey Animal Center	MAC-1008	Animal Control. Field Reports, Daily	Report of Officer's daily activities.	CY + 1 Year	Used for compiling monthly activity reports.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
McKamey Animal Center	MAC-1009	Animal Control. Impoundment Log	Log of all animals brought into the animal shelter and whether animal was ad	CY + 4 Years	Retain for animal/owner history, tracking shelter activity, lost animal return.
McKamey Animal Center	MAC-1010	Animal Control. Rabies Certificate	Proof of rabies vaccination. Certificates are forwarded to animal control by veterinarians.	CY + 4 Years	Retain for lost animal return. TCA § 68-8-104.
McKamey Animal Center	MAC-1011	Animal Control. Return to Owner, Record of	Log of animals being returned to owner.	CY + 4 Years	Retain as proof of ownership and/or assignment of liability to owner for violations.
McKamey Animal Center	MAC-1012	Animal Control. Spay/Neuter Deposit, Record of	Required deposit for all animals not already neutered that are adopted from an animal shelter	CY + 4 Years	Retain as documentation of animal/owner history. T.C.A. § 44-17-503.
McKamey Animal Center	MAC-1013	Animal Control. Surrender of Animal, Record of	Record of owner surrender of animal.	CY + 4 Years	Retain to defend against liability for taking animals. Consistent with statute of limitations for offense against property plus 1 year.
Office of Multicultural Affairs	OMA-7000	Finance. Grant documentation and files, copy of.	Copy of records, reports and documentation regarding federal grants applied for and received.	For Retention Period, see Record Series FIN-317, Records Custodian: Finance. Record Category and Record Name: Grant Documentation and Files	
Office of Multicultural Affairs	OMA-7001	Personnel. Surveys, employee satisfaction.	Annual employee survey issued by OMA regarding employee satisfaction and suggestions for improvement. Reported out to the Mayor for planning purposes.	PERM	Administrative. Retain permanently to provide year-year comparison.
Office of Multicultural Affairs	OMA-7002	General Administration. Project Files	Includes Harriet Tubman demolition hiring files.	PC + 5 Years	

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Office of Multicultural Affairs	OMA-7003	General Administration. OMA History	Records related to the history of the Office of Multicultural Affairs—newspaper clippings, press releases, etc.	PERM	Historical.
Office of the City Attorney	CAO-3000	Legal. Legal Opinions and Court Decisions	Records, including correspondence, stating or referencing court decision or legal opinions dealing with or affecting City departments, including any pertaining to the Chattanooga Department of Education.	PERM	Permanent for historical value.
Office of the City Attorney	CAO-3001	Legal. Settlement Agreements	Instruments evidencing settlement of claims against the City.	PERM	Consider retaining for historical value.
Office of the City Attorney	CAO-3002	Legal. Recorded Liens & Release of Liens	Liens recorded with the Register of Deeds indicating debts owed for work performed by the City and recorded releases after final pay-off.	PERM	
Office of the City Attorney	CAO-3003	Legal. Minutes of Boards	Minutes of the meetings of other boards, such as a planning commission, utility board, beer board, etc., including members present, votes, and actions taken.	PERM	Actions recorded in minutes are effective until superseded/amended or rescinded/repealed. Also keep for historical purposes.
Office of the City Attorney	CAO-3004	Legal. Powers of Attorney, Record of	Record of legal appointment of persons to act as agents for individuals or estates in such matters as signing documents, giving receipts, collecting and distributing funds, paying utility deposits and bills; shows name of appointee and person making appointment, date of appointment, and contains requirements of notarization.	PERM	
Office of the City Attorney	CAO-3005	Legal. Bonds (HEB, IDB)	Bond documentation for all bonds issued by HEB and IDB.	PERM	
Police Department	CPD-201	Police. Armory Records	Records regarding acquisitions, requisitions, check-ins, etc.	CY+ 10 Years	Retain in case of potential liability.
Police Department	CPD-202	Police. Arrest Index Card	No longer used after 1994. Now part of the Arrest Record.	CY + 100 Years or death of subject	Active until death of subject

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Police Department	CPD-203	Police. Arrest Records	Includes offense and incident reports, indexes, and citation in lieu of arrest form. Information includes: name, alias, address, date and time of offense, date of birth, age, place of birth, description, place of arrest, charge, disposition at time of arrest, warrant number, name of court, accomplices, vehicle information, arresting officer, remarks, and signature of arresting officer.	CY + 100 Years	<p>Minimum requirement is to retain 100 years. Retaining originals is necessary for continuing investigation purposes.</p> <p>NOT GUILTY-The original arrest records should be retained until the records are transferred to an acceptable storage medium.</p> <p>CONVICTED-Retain original until exhaustion of all appeals or termination of probation or sentence; further, the originals are not to be destroyed thereafter until transferred to an acceptable space-saving medium for storage or the retention period has elapsed.</p> <p>Arrest index card should remain active until the death of the subject, which can be presumed 100 years after the event.</p>
Police Department	CPD-204	Police. Body Worn Cameras, audio	The audio created by body worn cameras that documents incidents and happenings that occur while a person is acting in his/her capacity as a law enforcement officer. Footage produced by body-worn cameras may be used as evidence in civil or criminal investigations, reviewed administratively for officer compliance with department policies, used as a tool in law enforcement training, or utilized as a reference in incident documentation, to improve evidence collection, to strengthen officer performance and accountability, to enhance agency transparency, to document encounters between police and the public, and to investigate and resolve complaints.	FR + 1 Year	<p>Non-evidentiary footage—30 days, consistent with the City's video retention for all City maintained cameras, if no citizen contact is recorded.</p> <p>Evidentiary footage—Involves footage of an incident or encounter that could prove useful for investigative purposes (crime, arrest or citation, search, use of force incident or confrontation with a member of the public). Homicide-retain indefinitely. Otherwise retain until the conclusion of the investigation or final disposition of any court proceeding, or administrative hearing for which it was used.</p>

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Police Department	CPD-205	Police. Body Worn Cameras, video	The video created by body worn cameras that documents incidents and happenings that occur while a person is acting in his/her capacity as a law enforcement officer. Footage produced by body-worn cameras may be used as evidence in civil or criminal investigations, reviewed administratively for officer compliance with department policies, used as a tool in law enforcement training, or utilized as a reference in incident documentation, to improve evidence collection, to strengthen officer performance and accountability, to enhance agency transparency, to document encounters between police and the public, and to investigate and resolve complaints.	FR + 1 Year	Non-evidentiary footage—30 days, consistent with the City's video retention for all City maintained cameras, if no citizen contact is recorded. Evidentiary footage—Involves footage of an incident or encounter that could prove useful for investigative purposes (crime, arrest or citation, search, use of force incident or confrontation with a member of the public). Homicide-retain indefinitely. Otherwise retain until the conclusion of the investigation or final disposition of any court proceeding, or administrative hearing for which it was used.
Police Department	CPD-206	Police. Case Files	Retained independently by Detectives. Copies of all pertinent records for whatever nature relevant to a particular case under or pending investigation, accumulated in a single file by the investigator or the agency to facilitate the investigation or prosecution of offenders. May include copies of incident reports, supplementary report, missing persons/runaway report, arrest report if part of criminal case file, copies of citation-in-lieu of arrest, property receipt, vehicle tow slip, statement form, blood alcohol test and accident report, other relevant reports, and relevant photos or drawings.	CY + 100 Years	Retaining originals is necessary for investigative purposes. Minimum requirement is to keep originals 1 year after statute of limitations has run and then move to storage for 100 years in an acceptable space-saving storage medium. Missing Persons/Runaway records--Not to be destroyed if needed by juvenile authorities and destruction should not violate National Crime Information Center (NCIC) requirements.
Police Department	CPD-207	Police. Domestic Violence Forms and Statements	Form provided to the victim that acknowledges receipt of information related to immediate assistance.	FR + 1 year	Retain for the length of any investigative file opened involving the victim.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Police Department	CPD-208	Police. Fingerprint Records-Juvenile, misdemeanor and not adjudicated a delinquent child	Child fingerprint records.	FR + 0 Years.	Child fingerprint records are to be kept separate from adult fingerprint records and maintained in an automated fingerprint ID system. T.C.A. § 37-1-155. Destroy if child charged with misdemeanor and not adjudicated a delinquent child, petition alleging delinquency is not filed or case is transferred to juvenile court. [needed to separate these into different categories since they have different retention periods]
Police Department	CPD-209	Police. Fingerprint Records-Juvenile-Felony, not adjudicated delinquent	Child fingerprint records.	Until 18 years of age.	Child fingerprint records are to be kept separate from adult fingerprint records and maintained in an automated fingerprint ID system. T.C.A. § 37-1-155. Record subject to expunction at Court's direction after 18 years of age.
Police Department	CPD-210	Police. Fingerprint Records-Juvenile, Felony, adjudicated delinquent	Child fingerprint records.	PERM	Child fingerprint records are to be kept separate from adult fingerprint records and maintained in an automated fingerprint ID system. T.C.A. § 37-1-155.
Police Department	CPD-211	Police. Fingerprint Records-Juvenile, misdemeanor, adjudicated delinquent, UNDER 14 YOA	Child fingerprint records.	Until 18 years of age.	Child fingerprint records are to be kept separate from adult fingerprint records and maintained in an automated fingerprint ID system. T.C.A. § 37-1-155. Retain until the child is 18 if the child was UNDER 14 when the offense was committed.
Police Department	CPD-212	Police. Fingerprint Records-Juvenile-Misdemeanor, adjudicated delinquent, 14 YOA+	Child fingerprint records.	PERM	Child fingerprint records are to be kept separate from adult fingerprint records and maintained in an automated fingerprint ID system. T.C.A. § 37-1-155. PERM if the child was 14+ when the offense was committed.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
					Child fingerprint records are to be kept separate from adult fingerprint records and maintained in an automated fingerprint ID system. T.C.A. § 37-1-155.
					Latent prints found during an investigation-destroy immediately if comparison is negative.
					If no referral to the court or case is dismissed-destroy immediately. Confidential record.
					Destroy if child charged with misdemeanor and not adjudicated a delinquent child, petition alleging delinquency is not filed or case is transferred to juvenile court.
Police Department	CPD-213	Police. Fingerprint Records-Juveniles, no adjudication.	Child fingerprints. Misdemeanor, not adjudicated delinquent; latent prints; non-referrals/dismissals. Crime scene related. Records kept for identification purposes, including: fingerprints, photographs, measurements, descriptions, outline pictures, and other available information. Refer to the specific retention requirements for juvenile fingerprints and photographs.	No retention. Immediate destruction.	
Police Department	CPD-214	Police. Identification Files	Shows name and address of person reporting offense, file and case number, place of occurrence, investigating officer, time, date, how report was made, and Officer assigned to the case. May include dispatcher cards regarding calls. This includes Tennessee Basic Law Enforcement Records System (TBLERS) Complaint, Offense, Supplementary, Missing Person, and Runaway Reports (individual and collective).	CY + 100 years	Death of subject or reasonable presumption of death-100 years.
Police Department	CPD215	Police. Incident Reports (Offense of Complaint Reports)-Capital Offenses		PERM	

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Police Department	CPD-216	Police. Incident Reports (Offense or Complaint Reports)-Felony	<p>Show name and address of person reporting offense, file and case number, place of occurrence, investigating officer, time, date, how report was made, and officer assigned to the case. May include dispatcher cards regarding calls. This includes Tennessee Basic Law Enforcement Records System (TBLERS) Complaint, Offense, Supplementary, Missing Person, and Runaway Reports (individual and collective).</p>	CY + 100 Years	Death of subject or reasonable presumption of death-100 years.
Police Department	CPD-217	Police. Incident Reports (Offense or Complaint Reports)-Misdemeanor	<p>Show name and address of person reporting offense, file and case number, place of occurrence, investigating officer, time, date, how report was made, and officer assigned to the case. May include dispatcher cards regarding calls. This includes Tennessee Basic Law Enforcement Records System (TBLERS) Complaint, Offense, Supplementary, Missing Person, and Runaway Reports (individual and collective).</p>	CY + 2 Years	<p>Based on statute of limitations for the incident. Pertains to incident reports not related to another case under investigation.</p> <p>Verify incident is not related to a Missing Person/RunawayFiles currently maintained electronically in RMS.</p>
Police Department	CPD-218	Police. Internal Investigation Records	<p>Records of investigations resulting from a complaint against an employee of the police department. Includes notification of complaint, investigative files, any associated medical records, and any written decisions, orders, or disciplinary actions. Maintain security and confidentiality of files.</p>	TE + 10 Years	Record retains significance in personnel decisions, promotion, dismissal, and for defense of litigation.
Police Department	CPD-219	Police. Interviews	<p>Detective records of suspect interviews, usually for property crimes and homicides.</p>	CY + 100 years	Death of subject or reasonable presumption of death-100 years.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Police Department	CPD-220	Police. Juvenile Arrest Records	Includes offense and incident reports, indexes, and citation in lieu of arrest form. Information includes name, alias, address, date and time of offense, date of birth, age, place of birth, description, place of arrest, charge, disposition at time of arrest, warrant number, name of court, accomplices, vehicle information, arresting officer, remarks, signature of arresting officer.	CY + 100 Years	Retaining originals is necessary for continuing investigation purposes. NOT GUILTY- The original arrest records should be retained until the records are transferred to an acceptable space saving storage medium. CONVICTED- Retain original until exhaustion of all appeals or termination of probation or sentence; further, the originals are not to be destroyed thereafter until transferred to an acceptable space-saving medium for storage or the retention period has elapsed. Arrest index card should remain active until the death of the subject, which can be presumed 100 years after the event.
Police Department	CPD-221	DELETE-DUPLICATE			Retention necessary for continuing investigative purposes and is based on life of individual.
Police Department	CPD-222	Police. Missing Persons/Runaway records	Documentation on missing persons and run-aways. May include an incident report and a case file retained by the missing persons' detective.	CY + 100 Years	Verify whether needed by juvenile authorities or needed for further NCIC compliance prior to destruction. Can move information to an acceptable space-saving storage medium.
Police Department	CPD-223	Police. Motor Vehicle Accident Reports ("Crash/Wreck Reports")	Motor vehicle accident reports giving location of the accident, persons and vehicles involved, time of accident, injuries, witnesses, diagram of accident, and condition of persons involved.	CY + 4 Years	Record may be used in litigation. Retention period is based on the statute of limitations for actions for injury to personal property plus 1 year. T.C.A. § 28-3-105. CPD retains diagram and witness statements. All other information related to a motor vehicle accident is accessible via Titan.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Police Department	CPD-224	Police. Parking Ticket, Copy of	Copy of parking tickets issued.	CY	MTAS requirement says retain 3 years for statistical purposes, but CPD does not formally retain a copy. A copy may be retained by the issuing officers until the case is resolved.
Police Department	CPD-225	Police. Photographs and Video and Audio Recording of Juvenile	Photographs, video and audio recording involving a Juvenile.	FR	If no charges are brought within the statute of limitations-destroy unless a court of competent jurisdiction orders otherwise. T.C.A. § 37-1-155 (e)(1)(C)(2)-(3).
Police Department	CPD-226	Police. Processes Served, Record of	Record of warrants, capiases, summonses, and other papers served. Warrant goes to the Court once served. Officer may keep a copy in case file until case disposition.	FR + 3 Years	
Police Department	CPD-227	Police. Property turned in	Property Sheets also called "Blue Sheets."	FR + 1 year	Found property is held for 90 days. The Blue Sheet is then moved to an Inactive file, unless related to a major crime. Retain until final disposition of any incidents or cases that may involve this property.
Police Department	CPD-228	Police. Radio Logs	A record of radio calls giving time called, car or station calling, car or station called, car location, nature of call, and acknowledgement.	NO RETENTION	Based on likely time for complaint or legal action. CPD does not retain radio logs. Retained by Hamilton County 911. Access to Tiburon system only.
Police Department	CPD-229	Police. Tow Records	Record of vehicle that has been towed by CPD or at owner request due to accident or roadway hazard or obstruction on a City street. Includes record of vehicle release to owner and typically considered part of the accident report.	CY + 4 years	Retain for 4 years consistent with the Accident Report. For DUI wrecks, the vehicle is kept at CPD confiscation lot indefinitely.
Police Department	CPD-230	Police. Traffic Citation, copy of	Traffic tickets.	FR + 60 days	CPD does not keep an official copy of traffic citations. The issuing officer may keep a copy until case disposition, typically 60 days or less.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Police Department	CPD-231	Police. Training Records	Records of participation in training programs, sign-in sheets, lesson plans, videotapes, certifications, etc.	For Retention Period, see Record Series: HR-444. Record Custodian: Human Resources. Record Category & Record Name: Personnel. Training Records.	
Public Library	CPL-5000	Library. Standard Operating Procedures, Reports & Policies	Procedures, Reports and Operations documentation, including: manuals, reports, software manuals, etc.	SU + 2 years	3 years or the life of the equipment, whichever is longer. Library currently handles all maintenance internally.
Public Library	CPL-5001	Library. Equipment & Service Records	Records related to maintenance of the library buildings and equipment (Elevator permits, HVAC records, exterminator service)	LI + 3 years	Administrative. Certain patron use information (circulation records, internet sign-up, computer search history may be subject to Section 215 of the Patriot Act. Federal Government can issue an order requesting this information.
Public Library	CPL-5002	Library. Patron Use of Services documentation	Visitor logs, meeting sign-in sheets, photo release forms, laptop checkout forms, comment/feedback forms	CY + 1 year	
Public Library	CPL-5003	Library. Statistical data & analytics	Program statistics, data on, services used, equipment and books borrowed	CY + 1 year	Administrative.
Public Library	CPL-5004	Library. Grants, copies of	Local, state, federal and private grants received by the library, documentation of	For Retention Period, see Record Series: FIN-317, Record Custodian: Finance. Record Category & Record Name: Finance. Grant Documentation and Files.	

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Library	CPL-5005	Library. Library Board	minutes from Library board meetings, bylaws	PERM	Local history. Archive.
Public Library	CPL-5006	Library. Director's Reports	reports, meeting minutes, correspondence, studies and photographs from the Director	PERM	Local history. Archive.
Public Library	CPL-5007	Library. Facility/Room Rental documentation	Information on requests to rent rooms in the libraries.	CY + 1 year	Time necessary to gather any statistical information for operations use.
				For Retention Period, see Record Series FIN-317; Record Custodian: Finance. Record Category & Record Name: Grant Documentation and Files.	
Public Library	CPL-5008	Library. Endowment Documentation	Information related to income derived from donations.		Submit originals to State Department. Subject to the Privacy Act of 1974, as amended 5 U.S.C. § 552a. Requests for passport information go through Passport Services for the U.S. Department of State.
Public Library	CPL-5009	Library. Passport applications	Information pertaining to passport applications	CY + 1 year	
Public Library	CPL-5010	Library. Marketing, Promotions	Information used for advertising library events and programs, including photographs, flyers, ads, etc.	180 days	
Public Library	CPL-5011	Library. Book Inventory	A record of all collections retained by the library.	Keep Current	Maintain an up-to-date collection inventory. Currently electronic.
Public Library	CPL-5012	Library. eRate documentation	eRate phone bills	CY + 2 Years	Retain for purposes of federal rebates for internet and phone services.
Public Library	CPL-5013	Library. Patron Incident Reports	Documentation of patron incidents that do not result in contacting CPD or instituting formal claims process with City Attorney for purposes of monitoring banned patrons.	CY + 2 years	Administrative.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2000	Cemeteries. Deed Books	May contain deed number, purchaser's name, deed date, lot number, etc.	PERM	Legal. Establishes property rights.
Public Works	PW-2001	Cemeteries. Internment Records	May contain name of the deceased, burial permit number, dates of death and interment, sex and age of deceased, place of death, location of grave, date and place of birth, owner of lot, deed number and removal information.	PERM	Historical.
Public Works	PW-2002	Cemeteries. Perpetual Care Records	Records regarding funds for the continued upkeep of the cemetery.	PERM	Historical.
Public Works	PW-2003	City-Wide Services. Complaints, Record of	Citizen complaints pertaining to quality of service.	CY + 5 years	Legal. Retain as potential evidence in lawsuits.
Public Works	PW-2004	City-Wide Services. Container Warranty Sheets	List of serial number, manufacturer and description of damage sustained. Necessary for warranty process.	CY + 5 Years	Administrative and Legal. Retain to ensure accuracy and efficacy of container part warranty claims.
Public Works	PW-2005	City-Wide Services. Daily Trip Sheets	Information from drivers on job address and vehicle information.	CY + 5 Years	Administrative and Legal. Retain for evidence of where work was performed.
Public Works	PW-2006	City-Wide Services. Facility Inspection and Maintenance Records	Records documenting inspection of and repairs or improvements made to municipal buildings and structures.	CY + 5 Years	Legal. Potential significance in tort cases.
Public Works	PW-2007	City-Wide Services. Household hazardous waste grant	Annual grant offered by TDEC for reimbursing the city collection costs incurred for its monthly collection of hazardous materials generated by Hamilton County residents.	For Retention Period, see Records Custodian: Finance Record Series: FIN-317	
Public Works	PW-2008	City-Wide Services. Landfill and Wood Recycle	Customer files, payments & adjustments, reports.	LI + 5 Years	Administrative. .

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
				For Records Retention Period, see Record Custodian: Finance Record Series: FIN-317	
Public Works	PW-2009	City-Wide Services. Recycle Programs Information	All information related to recycle programs, including: container registration logs, wood recycle center information, and recycle delivery route sheets.	Record Category & Record Name: Finance.Grant Documentation and Files	
Public Works	PW-2010	City-Wide Services. Refuse Collection Container Participation Log	Log of recipients of refuse containers.	CY + 1 Year	Administrative.
Public Works	PW-2011	Drinking Water. Drinking Water Records: Turbidity	Records include daily worksheets, calibration data, and strip charts.	SU + 1 Year	Legal. Retain until next sanitary survey: Tenn. Admin. Rule. 1200-5-1-.20 (1)(f).
Public Works	PW-2012	Drinking Water. Drinking Water Records: Variance or Exceptions Granted		CY + 5 Years	Legal. Tenn. Admin. Rule 1200-5-1-.20 (1)(d).
Public Works	PW-2013	Drinking Water. Drinking Water Records: Violation, Corrective Action	Records of actions taken to correct violations of primary drinking water regulations.	CY + 5 Years	Legal. Tenn. Admin. Rule 1200-5-1-.20(1)(b).
Public Works	PW-2014	Drinking Water. Drinking Water Records: Written Reports, etc., related to Sanitary Survey		CY + 10 Years	Legal. Tenn. Admin. Rule 1200-5-1-.20- (1)(c).
Public Works	PW-2015	Drinking Water. Drinking Water Records-Cross Connection Record		CY + 5 Years	Legal. Tenn. Admin. Rule 1200-5-.20 (1)(h).
Public Works	PW-2016	Drinking Water. Drinking Water Records-Storage Tank Inspections		LI + 5 Years	Administrative and Legal. Retention for life of tank recommended to track depreciation and repairs. Tenn. Admin. Rule 1200-5-1-.20 (1)(h).

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2017	Drinking Water. Drinking Water Records- Bacteriological Analysis		CY+ 5 Years	Legal. Tenn. Admin. Rule 1200-5-1-.20(1)(b).
Public Works	PW-2018	Drinking Water. Drinking Water Records- Chemical Analysis		CY + 10 Years	Legal. Tenn. Admin. Rule 1200-5-1-.20 (1)(a).
Public Works	PW-2019	Drinking Water. Drinking Water Records- Consumer Confidence Reports		CY + 5 Years	Legal. Tenn. Admin. Rule 1200-5-.35(5 (h).
Public Works	PW-2020	Drinking Water. Drinking Water Records-Monthly Operating Reports (MORs)		SU + 5 Years	Legal.
Public Works	PW-2021	Engineering. Building Plans	Blueprints and specs for all municipal buildings, including school buildings.	PERM	Administrative.
Public Works	PW-2022	Engineering. Underground Utilities, Location of	Record of location of all underground utilities maintained by the City.	PERM	Administrative and Legal. Necessary for maintenance and operation of city infrastructure. City must record location of utilities with county; listing where the facilities are located, contact info for operator's rep. County keeps this record Permanently. T.C.A. § 65-31-105.
Public Works	PW-2023	Engineering-GIS. Aerial Photographs		PERM	Administrative.
Public Works	PW-2024	Engineering-GIS. Deeds, Easements, Highway Right-of-Ways, etc.	Showing conveyance of interests in real property, signature of property owner, date, width of easement, and name of road.	PERM	Legal. Recorded with County Recorder to preserve City's property rights.
Public Works	PW-2025	Engineering-GIS. Maps and Map Books	City and civil district maps and single parcel maps.	PERM	Historical.
Public Works	PW-2026	Engineering-GIS. Ownership Maps and Index, Rural and Urban	These maps reflect the status of real property as of January 1 each year.	PERM	Historical. Retain one current and one previous generation of ownership maps and indexes as Active; older versions may be archived.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2027	Engineering-GIS. Plats, Plat Books, Surveyors' Books and Indexes. Drawings of subdivisions, cemeteries, utilities, city lots and street improvements.	Drawings of subdivisions, cemeteries, utilities, city lots and street improvements	PERM	Administrative and Legal. Necessary for maintenance and operation of city infrastructure. Eligible for recordation. T.C.A. § 13-3-402.
Public Works	PW-2028	Engineering-GIS. Sewer Index	Completed maps for storm water structures with facility IDs	PERM	Administrative.
Public Works	PW-2029	Engineering-GIS: Stormwater Mapping	Copies of Water Quality Fee exemption and credit request applications and corresponding letters.	PERM	Administrative. Maintain up-to-date Facility IDs for asset management.
Public Works	PW-2030	Engineering-Water Quality. Water Quality Fee exemption and Credit Request	Includes all calibration and maintenance records and all original strip chart recordings for continuous monitoring instrumentation; Copies of all reports required by the MS4 permit, copy of the MS4 permit, and records of all data used to complete the application of the permit and data used to complete the annual report; Copies of all field inspections and site inspection reports. Copies of all training records.	FR + 10 Years	Legal. City Code Sec. 31-355 and Sec. 31-356.
Public Works	PW-2031	Engineering-Water Quality. MS4 Permit files	Original citizen complaint; investigation notes, Photographs, video, contributing drainage basin delineations; sizing calculations; plan and profile drawings; survey data; letters from property owners	EXP + 10 Years	Legal. Required to retain permit.
Public Works	PW-2032	General Administration. Complaints-Citizen service request for maintenance and repair issues	All Public Works work orders (from all sources including 311) for repair, maintenance of streets, stormwater drainage, sidewalks, etc.	CY + 5 Years	Legal. Potential notice of unsafe condition.
Public Works	PW-2033	General Administration. Work/Service Orders and Requests		CY + 5 Years	Legal. Retain as evidence in lawsuits.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2034	Parks. Documentation for Playgrounds and playground equipment	Original manufacturer's plans, original purchasing documents, warranty documents, reports of injuries, work orders.	LI + 2 Years	Administrative and Legal.
Public Works	PW-2035	Parks. Safety inspections of playground and equipment	Inspection forms for playground and equipment.	LI+ 2 Years	Administrative and Legal.
Public Works	PW-2036	State Audits	Audit reports as required by the State of Tennessee	PERM	
Public Works	PW-2037	Wastewater. Accident Investigation files, copy of	Documentation related to accident involving personnel.	For Records Retention Period, see Human Resources. Record Series: HR-435 Record Category & Record Name: Personnel. Personnel Files.	
Public Works	PW-2038	Wastewater. Annual Reports	Includes all Annual reports to any entity-local, state or federal.	PERM	Administrative and Historical.
Public Works	PW-2039	Wastewater. Chemical analysis files	All files related to chemical analysis, metering, requirements, etc. for any chemicals used in the treatment of wastewater.	LI + 10 years	Administrative. Tenn. Admin. Rule 1200-5-1-20(1)(a).
Public Works	PW-2040	Wastewater. Chlorine files	All documentation related to operations of the chlorine building.	LI + 5 Years	Administrative.
Public Works	PW-2041	Wastewater. Computer Mapping/GIS Systems file	Hamilton County maintains the base map data.	PERM	Historical.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2042	Wastewater. Contract and Vendor information	Vendor information files for administrative purposes.	For Records Retention Period, see Record Custodian: Finance Record Series: FIN-333 Record Category & Record Name: General Administration. Contracts.	
Public Works	PW-2043	Wastewater. Contracts, copies of	Restrooms, Bridges.	For Records Retention Period, see Record Custodian: Finance Record Series: FIN-333 Record Category & Record Name: General Administration. Contracts	
Public Works	PW-2044	Wastewater. Customer Complaint files	Written or recorded complaints from sewer customers regarding service and/or billing.	FR + 5 years	Legal. Retain in case of litigation.
Public Works	PW-2045	Wastewater. Daily Sheets	I & I, SM, Sanitech, etc. Includes all facilities that maintain daily sheets.	EXP + 7 years	Legal. Retain 7 years after termination of contract. T.C.A. § 28-3-109.
Public Works	PW-2046	Wastewater. Discharge Monitoring Reports (DMRs)	State-required monthly reporting to maintain NPDES permit.	PERM	Legal and Administrative. Provides record of operations and loading to assist in planning. NPDES Permit Requirements Part I, Subpart B.5.
Public Works	PW-2047	Wastewater. Easements	Sewer utility easements.	PERM	Historical.
Public Works	PW-2048	Wastewater. Flow & Rain Gauge Monitoring File	Describes the amount of sewage flow coming into the plant and the amount of monthly rainfall contributing to the flow.	CY + 5 Years	Administrative. Used as part of internal audit, monthly operating reports and capacity evaluation studies.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2049	Wastewater. Industrial Pretreatment	All Information resulting from monitoring activities, includes industry compliance reports.	CY + 5 Years	Legal. . 40 C.F.R. 403.12 (o) (1-3).
Public Works	PW-2050	Wastewater. Inventory files	Inventory related to the warehouse operations which includes pumps and electrical components. Includes inventory on hand and history.	CY+ 2 Years	Administrative.
Public Works	PW-2051	Wastewater. IT Files	Cityworks documentation, computer system replacement files.	LI + 1 Year	Administrative.
Public Works	PW-2052	Wastewater. Land Application of Cumulative Pollutant Loading Rate Sludge under 40 C.F.R. 503.13.(a) (2)(i)	Biosolids	PERM	Legal. 40 C.F.R. 503.17 (a) (5) (ii).
Public Works	PW-2053	Wastewater. Logs, Records and Reports-Daily, Monthly. Quarterly	Daily crew records, daily batch reports, daily operator logs; monthly reports, quarterly reports. Includes Operator log books.	CY+ 3 Years	Administrative.
Public Works	PW-2054	Wastewater. Maps	Sewer Basins priority map, severe and cannot issue I & I map, WWTA Sewer map, and other miscellaneous maps.	PERM	Legal. Necessary for maintenance and operations of City Infrastructure. T.C.A. § 13-3-402.
Public Works	PW-2055	Wastewater. Mask Fit Records	Tests to ensure proper fit for masks worn.	TE + 30 Years	Legal. . Occupational Health and Safety Act. 29 C.F.R. 1910.1030.
Public Works	PW-2056	Wastewater. Material Analysis Reports	Reports detailing materials used within the wastewater treatment arena.	CY + 5 Years	Administrative. Used as R&D on previously used materials, the life expectancy vs. actual life, and the material value as a whole.
Public Works	PW-2057	Wastewater. Material Safety Data Sheets	Current MSDS on file for each hazardous chemical used and copies readily accessible to employees in their work area. Records of chemicals used, where used, when used and for how long.	CY + 30 years	Legal. Occupational Safety and Health Act. 29 C.F.R. 1910.1020 (d)(1)(ii)(B).

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2058	Wastewater. Mechanical/Equipment, Building and Fleet Maintenance files	Files related to equipment used and maintenance of and all plans related to the equipment and building layout; product manuals and warranty and maintenance information for every building or process inside the plant and pump stations; operational machinery log sheets for filter press and centrifuge; building maintenance including files for vendors used for maintenance and service, inspection records.	LI + 2 Years	Administrative.
Public Works	PW-2059	Wastewater. Moccasin Bend-History and Visitor files	Tour materials	PERM	Historical value. Records are also used in annual biosolids audit as required by the National Biosolids Partnership.
Public Works	PW-2060	Wastewater. Monthly Operating Reports (MORs)	State-required monthly reporting to maintain NPDES permit.	PERM	Legal. Minimum retention for life of the facility is recommended. NPDES Permit Requirements Part I, Subpart B.5. Provides record of operations and loading to assist in planning.
Public Works	PW-2061	Wastewater. Open CM contractor work orders and contractor status reports	Records of contractor status for signed contracts.	For Retention Period, see Record Custodian: Finance Record Series: FIN-333. Record Category & Record Name: General Administration. Contracts	
Public Works	PW-2062	Wastewater. Oxygen Plant	All documentation related to the operations of the Oxygen Plant.	LI + 5 Years	Administrative.
Public Works	PW-2063	Wastewater. Permits	Copies of and documentation on all permits retained by the Wastewater Resources division of Public Works, including NPDES Permits.	EXP + 7	Legal.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2064	Wastewater. Polymer Trials files	Vendor files pertaining to Polymer trials.	EXP + 7 Years	Legal. T.C.A. § 28-3-109.
Public Works	PW-2065	Wastewater. Project Files	All documentation related to specific projects. Includes project engineering reports, and project design specifications.	PC + 7 years	Legal.. T.C.A. § 28-3-109.
Public Works	PW-2066	Wastewater. Pump Stations, Storm Stations, Lift Station, SCADA, Telemetry and Backflow Testing files	All information related to Pump Stations - facility information, map, correspondence re: pump stations, capacities, remote telemetry file, backup power spreadsheets, water meter files, electric meter files, flow rate files, spec files.	LI + 2 Years	Administrative.
Public Works	PW-2067	Wastewater. Purchasing Information, copies of	Cost estimates, bid information.	For Retention Period, see Record Custodian: Purchasing Record Series: PUR-100	
Public Works	PW-2068	Wastewater. Regional User files	All documentation related to entities that pay the City to treat its sewage.	EXP + 10 Years	Administrative and Legal.
Public Works	PW-2069	Wastewater. Remediation	State and federal files regarding environmental clean-up.	LI + 2 Years	Legal.
Public Works	PW-2070	Wastewater. Safety Files	Safety training records, safety briefing files	TE + 5 Years	Legal.
Public Works	PW-2071	Wastewater. Sanitary Sewer Overflow (SSO)	Monthly reporting; data lives in the Monthly Operating Report.	Working Paper	Administrative. Working Paper. Retain until incorporated into the Monthly Operating Report.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2072	Wastewater. Sewers & Sewer Billing	Includes sewer service invoices, sewer credits, sewer leak adjustments, location files, and all billing activities performed by Public Works.	CY + 7 years	Legal. Retain in the event of billing errors. Tennessee courts have allowed customers to be back-billed up to 3 years.
Public Works	PW-2073	Wastewater. Studies & Surveys	Includes solids studies and wastewater surveys.	CY + 10 years	Administrative. Necessary for research and development.
Public Works	PW-2074	Wastewater. Supervisor notes (disciplinary warnings)	Pre-write up warnings noted and signed by employee.	For Retention Period, see Record Custodian: Human Resources Record Series: HR-435 Record Category & Record Name: Personnel. Personnel Files.	
Public Works	PW-2075	Wastewater. Trainings and Certifications, copy of	All documentation related to trainings taken and certifications received by employees (Copies of). (Originals retained with official HR Personnel file).	For Retention Period, see Record Series: HR-444. Record Custodian: Human Resources. Record Category & Record Name: Personnel. Training Records.	
Public Works	PW-2076	Wastewater. Uniform files	All documentation related to the purchasing of uniforms, shoes, etc. for Department employees.	LI + 2 Years	Administrative. LI refers to Life of the uniform or equipment.
Public Works	PW-2077	Wastewater. Utilities Information, including meter readings	All information pertaining to utilities, including: power, water and natural gas.	CY + 5 years	Administrative. Tenn. Admin. Rule 1200-5-1.17-.20.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2079	Wastewater. Vulnerability Assessments	An assessment of drinking water system vulnerability to terrorist attack or other intentional acts; includes certified copy submitted to the EPA Administrator.	PERM	Legal. Required by the Bioterrorism Act for drinking water systems serving 3,300 persons or more. Retain as proof of compliance. Confidential documents. Limit access to as-needed.
Public Works	PW-2080	Wastewater. Sludge Disposal via Land Application, Surface Disposal, Incineration		PERM	Legal. Land Application (40 C.F.R. 503.17); Surface Disposal (503.27), Incineration (503.47).
Public Works	PW-2081	Wastewater. Wastewater Systems	Reports, manuals, industrial sampling, spill response, field screening, SCORE, auto sampler maintenance forms, illicit discharge, benithic, ambients, and wet weather sampling.	CY + 10 Years	Administrative.
Public Works	PW-2082	Wastewater. Biosolids files	Includes land application and farmer consent files.	LI + 7 Years	Legal.. T.C.A. § 1200-01-07 (4)(d)2.
Public Works	PW-2083	Wastewater. Biosolids Information Files	Previous application files.	LI + 7 Years	Legal.. T.C.A. § 1200-01-07-13 (d)(1-2).
Public Works	PW-2084	Wastewater. Chemical Analysis Certificates	Laboratory data for use in treatment process.	CY + 10 Years	Administrative. Tenn. Admin. Rule 1200-5-.20(1)(a).
Public Works	PW-2085	Wastewater. Consent Decree Files	All files evidencing compliance with the EPA consent decree and all other consent decrees entered into, including the Nashville Consent Decree	EXP + 30 Years	Legal. Retain for life of consent decree. Work schedule is 16 years. Financial schedule is 30+. City financial responsibility to repay monies borrowed to make requirement improvements. Operational life of any facility built with SRF monies.
Public Works	PW-2086	Wastewater. Lab Reports-Non-Industry	Sampling Data, Bacteriological analysis	CY + 5 Years	Administrative. Tenn. Admin. Rule 1200-2-1.20(1)(b).
Public Works	PW-2087	Wastewater. Lab-Mechanical and Equipment	Includes all files related to lab equipment, servicing and maintenance of lab equipment, lab bench sheets and calibration and maintenance of equipment.	LI + 5 Years	Legal. NPDES Permit Requirements Part I Subpart B.5.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2088	Wastewater. Lab-raw data files	Lab bench testing sheets.	CY + 3 Years	Legal. NPDES permit requirements. Part 1, Subpart B-5.
Public Works	PW-2089	Wastewater. Operations Plans, Policies, Procedures and Manuals	Emergency Response Plan (EPA required), Org Chart, Operational Manuals for the entire plant and pump stations. Includes EPA certification of response plan completion.	SU + 5 Years	Administrative. Maintain current copies of all required plans, policies and procedures.
Public Works	PW-2090	Wastewater. Retainage files	Escrow information.	PC + 10 Years	Administrative. Retain onsite until completion of project.
Public Works	PW-2091	Wastewater. Scale Tickets, Biosolids	BIOSOLIDS ONLY for land application sites or to landfill when special waste permit is required (Biosolids not meeting EPA requirement for land application).	LI + 5 Years	Legal. Retain for operational life of the facility. T.C.A. § 1200-01-07-13 (d)(1-2).
Public Works	PW-2092	Wastewater. Scale Tickets, non-Biosolids	Dumpsters, haulers, etc. (every category except Biosolids)	CY + 1 Year	Administrative. Consistent with Rule S-5 (Billing Register) of MTAS recommendations for Utilities (Billing & Collection).
Public Works	PW-2093	Wastewater. Work Orders	All work orders completed by the wastewater resources division.	CY + 5 Years	Legal. Consistent with the retention requirement for work orders across City departments. Retain to defend against potential litigation.
Public Works	PW-2094	Wastewater/Engineering -Water Quality. Correspondence-smoke test notification, written warnings, fee letters, educational, etc.	Notification and other enforcement letters sent; site schematics (piping, other structures); map of anomaly location; letters & emails from property owners; proof of anomaly correction by home owner; receipts, photographs -- testing, repair, landmarks.	CY + 10 Years	Legal. Retain 10 years unless action pending. Based on EPA Order requiring corrections.
Public Works	PW-2095	Wastewater-Solid Waste. Annual Report of Materials Collected at Recycling Center by Operator	Copy of annual report of recovered materials processed at the facility, listed by type of material sent to the Department of Environment and Conservation.	CY +10 Years	Legal. Retention period based on planning cycle of 10-year regional plan. Mandatory only if the City operates a landfill. T.C.A. § 68-211-871.

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Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2096	Wastewater-Solid Waste. Approval Permit Applications for Solid Waste Disposal Facilities		LI	Administrative. Retain for active life of facility and through post-closure care period.
Public Works	PW-2097	Wastewater-Solid Waste. Gas Migration Control Standard	Records of monitoring to ensure compliance with gas migration control standards. Monitoring must occur at least quarterly and must conform to standards for Monitoring Records.	LI	Administrative and Legal. Tenn. Admin Rule 1200-1-7-.04(7) (a) 4. (vii). Retain throughout active life of the facility and through post-closure care period. Retain to demonstrate compliance with regulations in order to defend against Superfund liability.
Public Works	PW-2098	Wastewater-Solid Waste. Groundwater Sampling Records	Records of all groundwater sampling activities conducted, sample analysis results, and associated groundwater surface elevation. Keep at the facility or another approved location.	LI	Administrative and Legal. Retain throughout active life of the facility and through post-closure care period. Tenn. Admin Rule 1200-1-7-.04(5) (a)4. Retain to demonstrate compliance with regulations in order to defend against Superfund liability.
Public Works	PW-2099	Wastewater-Solid Waste. Landfill-Closure/Post-Closure Plans	Plan identifying the steps necessary to completely or partially close the facility at any point during its intended operating life and to completely close the facility at the end of its intended operating life, identifying the activities that will be carried on after closure and the frequency of these activities.	LI	Administrative and Legal. Retain up to date plan throughout active lifecycle of the facility and through the post-closure care period; Tenn. Admin. Rule 1200-1-7-.03(2) (b) 2. (iii). Retain to demonstrate compliance with regulations in order to defend against Superfund liability.
Public Works	PW-2100	Wastewater-Solid Waste. Monitoring Records	Records of facility monitoring, including date, place, and time of sampling or measurements; individual performing the measurement; date of analysis; individual performing the analysis; analytical techniques used; and the results of the analysis.	LI	Administrative and Legal. Retain throughout active life of the facility and through post-closure care period. Tenn. Admin Rule 1200-1-7-.02(4)(a)9. Retain to demonstrate compliance with regulations in order to defend against Superfund liability.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Public Works	PW-2101	Wastewater-Solid Waste. Permit-By-Rule Authorization and Records	Copy of authorization from Department of Environment and Conservation to operate as a permit-by-rule facility and additional related records required by the department.	LI	Legal. Retain throughout active life of the facility and through post-closure care period. Tenn. Admin Rule 1200-1-7-.02(1)(c)1. Retain to demonstrate compliance with regulations in order to defend against Superfund liability.
Public Works	PW-2102	Wastewater-Solid Waste. Special Waste Approvals and Records	Copies of approvals from the Dept. of Environment and Conservation authorizing a facility to accept special wastes and records of receipt and management of certain special wastes.	LI	Retain throughout the active life cycle of the facility and through post-closure care period. Tenn. Admin. Rule. 1200-1-7-.01 (4) (d) 2. To demonstrate compliance with the regulations in order to defend against superfund liability.
Public Works	PW-2103	Wastewater-Solid Waste. Amount of Solid Waste (in tons) received at Municipal Solid Waste Facilities. Record of	Records for the current month shall be maintained at the facility and open for inspection by the Tennessee Department of Environment and Conservation. All other records shall be maintained to protect them from damage or loss.	CY+ 3 Years	Legal. Required by T.C.A. § 68-211-871 (e). Tenn. Admin. Rule 1200-1-7-.08(3). Mandatory only if City operates a landfill.
Public Works	PW-2078	Wastewater-Solid Waste. Approved Permit Applications for Solid Waste Disposal Facilities.	Records of all data and supplemental information used to complete permit applications. Includes copy of the permit and the approved Part I and Part II application. Maintain at the facility or another location with the approval of the department.	EXP + 10 Years	Administrative and Legal. Tenn. Admin. Rules 1200-1-7-.02 (a) (2) 4. and 1200-1-7-.02 (4) (a) 7. Retain to demonstrate compliance with regulations to defend against Superfund liability. Applies only if City operates a landfill.
Purchasing	PUR-100	Purchasing. Bids including Bids on Equipment and Supplies.	Records showing bidder's name, complete description of item(s), delivery date, amount of bid, and any correspondence with the bidder. Includes any advertisements. Includes unsuccessful bids.	TE + 7 Years	Retain for 7 years after contract expires. Based on statute of limitations for legal action based on breach of contract plus 1 year. T.C.A. § 28-3-109.
Purchasing	PUR-101	Purchasing. Minutes of Bid Openings	Record of bid openings showing item, vendor, bid price, and whether bid was successful.	CY + 1 Year	Retain 1 year after award for possible challenge to bid award.
Purchasing	PUR-102	Purchasing. Requisitions and Requisitions for Purchase	Records for requests for supplies and equipment in cities with centralized purchasing departments or offices.	CY+ 5 years	Retain for 5 years after creation.

City of Chattanooga Records Retention Schedule_CURRENT Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Purchasing	PUR-103	Purchasing. Pre-Bid Meeting Minutes	Record of notes from pre-bid meetings	CY + 1 year	Retain 1 year after award for possible challenge to bid award.
Purchasing	PUR-104	Purchasing. Purchase Orders	Document indicating the agreed to types, quantities and prices for goods or services.	CY + 5 years	Retain 5 years after creation of the record. Audit purposes.
Schools	SCH-10001	Schools. Membership/Attendance Records	All records related to attendance described in T.C.A. 49-6-3007.	5 Years	Procedures established by the TN Department of Education Administration, Office of Accountability. T.C.A. § 49-6-3007
Schools	SCH-10002	Schools. Membership/Attendance Information System data file	File Dump from the Membership/Attendance Information System--An electronic file dump from the membership/attendance information system data file, including demographic and event data for each student.	PERM	Need to confirm the City remains custodian of this information. Was it transferred to HCS.
Schools	SCH-10003	Schools. Minutes-Board of Education	Record of regular and called meetings of the Board of Education, showing place of meeting, date, members present, record of proceedings, and action taken, date of final approval and signature of chairman and secretary.	PERM	Keep for historical purposes.
Schools	SCh-10004	Schools. Requisition for Equivalency High School Diplomas	Record of students passing GED examinations and earning equivalent diplomas.	PERM	Historical document. Proof of education.
Schools	SCH-10005	Schools. School Food Service Reports	Described in T.C.A. § 49-6-2303. Record of all pertinent information required by the Tennessee Department of Education dealing with school food service.	CY + 4 Years	Retain all items (excluding payroll records) for the current year plus 3 years unless there is an active audit or investigation. Tennessee Department of Education Administration Rule 0520-1-2-.13.
Schools	SCH-10006	Schools. School Registers	Obsolete record. Daily log showing pupil name, grade, age, address, parent/guardian, school attended, record of attendance. Computerized or paper form.	PERM	This record is no longer created, but older copies should be kept permanently. Historical purposes.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Schools	SCH-10007	Schools. Special Education	Census--Detailed count of all students with disabilities with options(s) of service. Certification of Services and Listing of Inappropriately Served and of Suspected Students with Disabilities-- court required report of number of students with disabilities in special categories. Record-cumulative record of all specific information related to the referral process, assessment, placement and option of service by each special education child.	PERM	Census--Keep in case of litigation regarding services rendered or withheld from a student. T.C.A. § 49-10-302©(2), Tennessee Department of Education Administration Rule 0520-1-9-.03(4). Certification-keep in compliance with Court order. Record--Keep in case of litigation regarding services rendered or withheld. T.C.A. § 49-10-302(c)(2) and Tennessee Department of Education Administration Rule 0520-1-9. Combines MTAS Q41-Q43.
Schools	SCH-10026	Schools. Annual Report of Professional Personnel	Permanent Certificates issued to employed teachers and other certificated personnel by the Tennessee Department of Education. TE	10 Years	Necessary record for length of employment.
Schools	SCH-10027	Schools. Certificated Personnel.	Contracts between Board of Education and all employees	TE + 7 Years	Based on statute of limitations for breach of contract + 1 Year. T.C.A. § 28-3-109.
Schools	SCH-10028	Schools. Contracts, Employee	Career Ladder-Certification Recommendation Form; Career Ladder-Local Evaluation Report Form for Probationary, Apprentice, and Career Level I Teachers.	PERM	Career Ladder-Certification Recommendation Form (Permanent photographically recorded consistent with requirements under T.C.A. § 10-7-501), Local Evaluation Report Form (Permanent, Original maintained 1 year then returned to educator if requested or destroyed).
Schools	SCH-10008	Schools. Professional Personnel	Yearly bonds, executed by school bus drivers acting as independent contractors, to insure faithful performance of the driver as specified in contract with the city school system.	EXP + 3 Years	Retain 3 years after release, replacement, or expiration of the bond. Keep for reasonable period of time for claims to be made against bond.
Schools	SCH-10009	Schools. Bus Operator's Bonds	List of graduating seniors and preparation of diplomas.	PERM	Important historical value and useful for proof of graduation.
Schools	SCH-10010	Schools. High School Diploma, Certification and Roster of Graduates			

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Schools	SCh-10011	Schools. Home School Registration Form	Application conducting a home school as described in T.C.A. § 49-6-3050(b). Approved home schools must provide test results for students grades 2,5,7,9. Requests for waivers should be included in records.	TE + 5 Years.	Keep for audit purposes. Retain 5 years after student graduates or drops.
Schools	SCH-10012	Schools. Petitions	Petitions submitted to the superintendent or the board of education requesting that the superintendent or the board take certain actions	CY + 3 Years	. Retain 3 years from the submittal date.
Schools	SCH-10013	Schools. Preliminary Report-Grades PK-12 School Report	Report made to the Tennessee Department of Education showing the school's name, the number of full-time and part-time teachers, the number of boys and girls in each grade for each school, and such other information as the state requires for school approval decisions.	CY + 3 Years	Audit standard authorized by Tennessee Department of Education Administration Rule 0520-1-2.13.
Schools	SCH-10014	Schools. Report of School System/School Compliance	Local school district report to the Tennessee Department of Education certifying that the school district/school is in compliance with the laws, rules, regulations, and minimum standards governing K-12 education.	CY + 5 Years	Audit standard authorized by Tennessee Department of Education Administration Rule 0520-1-2.13.
Schools	SCH-10015	Schools. Immunization Records	Original record of immunizations must remain with each pupil's active cumulative folder. Original accompanies pupil's cumulative folder when transferring to another school. A copy of the immunization record should be kept with the pupil's inactive cumulative record.	TE + 100 years	Retain for 100 years after student graduates or drops. Important health record.
Schools	SCH-10016	Schools. Invoices	Original invoices, purchase orders, and requisitions used in purchasing goods for the school system.	CY + 5 years	Audit standard authorized by Tennessee Department of Education Administration Rule 0520-1-2.13.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Schools	SCH-10017	Schools. Annual Report of Professional Personnel	Report made to the TN Department of Education listing all teachers and other professional personnel in the school system. Shows for each professional the name of the school assigned, grades taught, whether FT or PT, number of months paid, number of principals, number of teachers or other professionals in the school, kinds of certificates or permits, expiration date, date on training, experience, salary, such other information as required by the TN Department of Education.	CY + 10 Years	Eligible for destruction after 10 Years. Audit standard authorized by the Tennessee Department of Education Administration Rule 0520-1-2-.13 (No retention schedule in the rule).
Schools	SCH-10018	Schools. Attendance Agreements of Out-of-District and Out-of-State Students	Agreements from the superintendent of education regarding students attending schools out of the district or state in which the student resides.	TE +5 Years	Audit standard authorized by Tennessee Department of Education Administration Rule 0520-1-2.13.
Schools	SCH-10019	Schools. Accountability for 200 Days	Record details use of 200 required school days and in-service training.	TE + 5 Years	Audit standard authorized by Tennessee Department of Education Administration Rule 0520-1-2.13. T.C.A. § 49-6-3004.
Schools	SCH-10020	Schools. Census Records	Census of all school aged children in the city, showing name, age, and address of the child; district number, names of parents, grade in school, name of school attended. Record no longer required.	PERM	Audit standard authorized by Tennessee Department of Education Administration Rule 0520-1-2.13.
Schools	SCH-10021	Schools. Eighth Grade Graduates Report.	Duplicates of reports to the TN Department of Education of those eligible to receive diplomas, showing year of graduation, name of school, name of student, and date of report. Record no longer required.	PERM	Historical document. Proof of education.
Schools	SCH-10022	Schools. Federal Title Project	Record of federal "title" projects of all types, including funds received and disbursed.	CY + 3 Years	Current year records plus 3 years of records must be maintained. Other records to facilitate an effective audit, whether in process or not, must be maintained. Audit standard authorized by the TN Department of Education Administration Rule 0520-1-2-.13.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Schools	SCH-10023	Schools. Final BEP Accountability Summary	Report showing how the local school district has spent improvement funds received from the state through the Basic Education Program (BEP).	CY + 5 Years	Audit standard authorized by TN Department of Education Administration Rule 0520-1-2-.13.
Schools	SCH-10024	Schools. Fire Safety Inspection and Similar Reports	Duplicates of reports made by the TN Department of Insurance, Division of Fire Prevention, showing date, name of inspector, name and location of school, condition, etc.	SU + 2 Years	Retain until a new inspection report is received. Liability.
Schools	SCH-10025	Schools. Preliminary Staff Report	Report prepared by each teacher in the local school district and sent to the Tenn. Dept. of Education. The report shows the teacher's classroom assignments period by period.	CY + 3 Years	Keep for reasonable review period.
Transportation	CDOT-500	Aerial Photographs	Aerial photographs of flyovers.	PERM	Retain for use in reappraisal, process and greenbelt re-certification appeal.
Transportation	CDOT-501	Project Files	Project files, including contracts (copies of) and invoices.	PC + 7 YEARS	Retain for street regulation, maintenance and protection from allegations of working on private property.
Transportation	CDOT-502	City Street List	Record of all streets under City ownership.	PERM	Necessary for street regulation and maintenance to protect department from allegations of working on private property.
Transportation	CDOT-503	City Streets List	Record of all streets under City ownership.	PERM	Retain as notice of potential notice of unsafe condition.
Transportation	CDOT-504	Complaints-Citizen service request for maintenance and repair	May include: original citizen complaint, investigation notes, photographs, video, contributing drainage basin delineations, sizing calculations, plan and profile drawings, survey data, letters from property owners.	FR + 5 years	Recorded copy necessary to preserve city property rights. City to retain own copy as record of its property rights.
Transportation	CDOT-505	Deeds, Easements, Highway Rights-of-Way, etc.	Instruments of conveyance of interests in real property.	PERM	Retain for verification of program enrollment.
Transportation	CDOT-506	Driver's Ed Applications	Student/parent information, including financial information in some cases.	CY + 2 years	

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Transportation	CDOT-507	Driver's Ed student tracking forms	Signed student/parent permission to track driving records for 5 years.	PERM	Retain to provide data that can be used to track program success/failure trends and make changes to program curriculum to address problems areas that the tracking forms can identify.
Transportation	CDOT-508	Flag Donation Forms	Donor information and honorees' service highlights.	CY + 2 years	Retain for recreation of Mayoral proclamation, if necessary.
Transportation	CDOT-509	Mutual Aid Documents	Declarations of a state of emergency, written requests for assistance, invoices for reimbursement.	2 Years	Retain to defend against potential litigation.
Transportation	CDOT-510	Project Plans	All project related materials, including maps, research, payments, vendor information.	PC + 7 years	Retain for insurance and warranty purposes and as-built information.
Transportation	CDOT-511	Sign Inventory	List of all traffic signs and traffic signals in the City.	CY + 2 years	Administrative. Keep a current copy at all times; tracking inventory and maintenance of signs.
Transportation	CDOT-512	Special Event Permit Applications	Application for permit for any event on City property.	CY + 2 years	Administrative. Information may be used in future events.
Transportation	CDOT-513	Temporary Use Applications/ Abandonment requests	Temporary use of ROW Abandonments of ROW	CY + 2 years	To incorporate into GIS and record of property changes. City Council retains application for resolution and executed resolution.
Transportation	CDOT-514	Work Orders and Work Requests/SRs	For repair and maintenance of streets, traffic signs, traffic signals, and utilities.	FR + 5 years	Retain to defend against potential litigation.
Youth & Family Development	YFD-4000	Recreation. Liability Releases	Forms signed by participants in recreation activities absolving municipality of liability.	CY + 2 Years	Legal. Retain based on statute of limitations for tort actions plus 1 year.
Youth & Family Development	YFD-4001	Recreation. Rosters of Activity Participants	Lists of persons participating in recreation activities.	CY + 2 Years	Legal. Retain based on statute of limitations for tort actions plus 1 year.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Youth & Family Development	YFD-4002	Human Services. Program Administration and Development	<p>All program fiscal, administrative and development documentation for all programs, including: Career Development, Head Start/Early Head Start and Foster Grandparents, including: Applications with approving documentation, invoices and payments.</p> <p>Foster Grandparent Program documentation includes: Notice of grant award, grant application, Financial Status Reports, Program Progress Reports, Volunteer data, Volunteer station MOUs, Participant data, Participant enrollment forms, Participant Designation of Beneficiary, Stipend payments to volunteers (report), copy of reported outcomes for each childcare plan, income eligibility review documentation, annual program performance appraisal, budget documentation, Program Staff timesheets, Volunteer timesheets, Documentation of in-kind contributions, Reimbursement claims for volunteer expenses, staff reimbursement documentation, liability insurance policy information, Accident claims, Sponsor's policies for program staff and volunteers, documentation of data collection, advisory council minutes and reports.</p> <p>Career Development records include program forms and sign-in sheets.</p> <p>DELETE and INCLUDE WITH Program Administration record series.</p>	PC + 7 years	Administrative and Legal.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Youth & Family Development	YFD-4004	Human Services. Social Services-Commodity Distribution	Applications with approving documentation, distribution sign-in sheets, distribution reports, invoices and payments.	For Retention Period, see Records Custodian: Finance Record Series: FIN-333 Record Category & Record Name: General Administration. Contracts.	
Youth & Family Development	YFD-4005	Human Services. Social Services - LIHEAP Program	Applications with approving documentation, LIHEAP proof & payment lists. Copies of vouchers and voucher payments. Child File includes: State Fee Certification, Enrollment Form, Authorization for Release, Emergency Authorization, Authorization to pick up, Certification of Immunization, Health issue form, Health history form, Health history checklist, Community Health Center Registration, Influenza Form, Pre-enrollment Checklist, Grievance form, Policy Statement, Social Security Card, Birth Certificate, Personal Safety Curriculum Notification – signed, Photo Release Form.	For Retention Period, see Records Custodian: Finance Record Series: FIN-317 Record Category & Record Name: Finance. Grant Documentation and Files	
Youth & Family Development	YFD-4006	Human Services. Child Care Services- Child Participant Records		TE + 1 year	Legal. Per child care licensing regulations of the TN Department of Human Services, children's files must be kept for one year following the child leaving the agency.

City of Chattanooga Records Retention Schedule_CURRENT_Revised_2_19_2016

Record Custodian	Record Series	Record Name	Record Description	Retention Period	Explanation
Youth & Family Development	YFD-4007	Human Services. Child Care Services-Program Administration	Daily attendance, inspections, insurance, licensing reviews, volunteer timesheets, field trip log, staff records, and reports of incidents, accidents, injuries and fatalities.	TE + 5 years	Legal. Per child care licensing regulations of the TN Department of Human Services, children's files must be kept for one year following the child leaving the agency.
Youth & Family Development	YFD-4008	Human Services. Child Care Services- Personnel Records, copy of	File includes name, date of birth, social security number, address, telephone number, educational background, physical, 3 references, employment history, criminal history disclosure, criminal background check, driver license, passed drug screen, CPR and First Aid Certification.	For Retention Period, see Records Custodian: Human Resources, Record Series: HR-435 Record Category & Record Name: Personnel Files.	
Youth & Family Development	YFD-4009	Recreation. Safety inspections of playgrounds and equipment	Records of inspections and maintenance or repairs to grounds and equipment.	LI + 5 Years	Legal.
Youth & Family Development	YFD-4010	Recreation. Swimming Pool Records	Records relative to swimming pool use, including users and safety measures.	LI+ 5 years	Legal.
Youth & Family Development	YFD-4011	Education. Lexia Reading Program	Online data stored through the Lexia Database.	PC + 2 years	Administrative.
Youth & Family Development	YFD-4012	Human Services. Facility License and Report Card	Documentation of right to operate the facility.	Keep Current + 2 Years	Post in a visible location.



CITY OF CHATTANOOGA

RECORD AND INFORMATION MANAGEMENT POLICY

EFFECTIVE DATE December 1, 2015

This Policy and Schedule have been reviewed by the Office of the City Attorney, Department Administrators, and the Record and Information Management Team.

The City of Chattanooga acknowledges its use of *Records Management for Municipal Governments* created by the Municipal Technical Advisory Service (MTAS) as the foundation for this Guide with additions as necessary to better address the specific business needs of the City of Chattanooga.

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SECTION 1: Purpose

Tennessee law authorizes the Municipal Technical Advisory Service (MTAS) to compile and print records retention manuals to be used as guides by municipal officials in establishing record retention schedules for all records created by municipal governments in Tennessee. T.C.A. § 10-7-702. Tennessee law also permits a municipality to adopt reasonable rules and policies relative to the making, filing, storing, exhibiting, copying and disposal of municipal records. T.C.A. 10-7-702(b). In 2012, the City of Chattanooga adopted the MTAS Guidelines as the City's Record Retention Schedule.

While still utilizing MTAS as a guide for record retention, the City has updated its Record and Information Management Policy ("Policy") and its Records Retention Schedule in an effort to better address the ever-growing record and information management needs of the City.

The purpose of the Policy is to provide adequate and proper controls over the City of Chattanooga's records in order to meet legal, business and individual needs. The Policy will be administered by the Records and Information Management Team ("RIMT"). In coordination with the Office of the City Attorney, the RIMT will be responsible for developing the supporting procedures and guidelines to ensure compliance with the Policy and for updating and maintaining the Policy and Records Retention Schedule, attached hereto as Appendix A.

By facilitating the strategic management of the City of Chattanooga's information, the Policy will:

- (1) Protect the integrity and availability of business critical information;
- (2) Facilitate access to necessary information;
- (3) Leverage information capital to enhance decision-making;
- (4) Reduce risk and potential exposure during litigation, investigations or audits;
- (5) Reduce operating and storage costs;
- (6) Improve efficiency and productivity;
- (7) Preserve the City memory; and
- (8) Comply with applicable legal retention obligations.

In addition, by authorizing the creation and enforcement of the Records Retention Schedule, the Policy facilitates City of Chattanooga's compliance with retention obligations arising out of existing or reasonably anticipated audits, investigations or litigation, which may be broader and more extensive than statutory and regulatory obligations.

SECTION 2: Scope

This Policy governs the management of records and information across all Departments of the City of Chattanooga. This Policy is applicable to all City of Chattanooga employees and third parties, who interact with City of Chattanooga information in any way. **This Policy is applicable to information in all formats, regardless of storage medium.**

This Policy is to be construed in conjunction with other City of Chattanooga policies addressing litigation holds, security, privacy, and appropriate use of technology and electronic communications.

SECTION 3: Definitions

City Departments: The Departments, divisions or functional areas within the City of Chattanooga.

City Information: Content created, used or stored by any City of Chattanooga employee or third party, to satisfy a legal requirement or to transact City of Chattanooga business. City of Chattanooga owns all information created for and received by the City. Employees have no property interest in such information.

Disposition: The final decision pertaining to a record, not necessarily destruction. RIMT shall conduct a round of disposition twice a year. To be eligible for disposition, a record or non-record must meet the following criteria: (1) It is past its calculated disposition date; (2) the retention schedule for that series or file plan has been approved by RIMT; and (3) no Holds have been assigned to that record or non-record.

Hold: A request may be made to retain a particular record series beyond its scheduled disposition due to a Hold Order issued by the Office of the City Attorney to respond to investigations, current court orders or reasonably anticipated litigation, audit, or pending project. The record series can be placed on temporary hold only for valid, specific administrative reasons. The status of the material will be reviewed again at the next disposition round. If a specific reason cannot be found for continuing the Hold, it may indicate a need to review the retention schedule to re-assess the retention period.

Non-Records: Non-records are information retained for convenience, reference, or research, and is not subject to the retention requirements specified in the Records Retention Schedule. Examples of non-records include, but are not limited to, emails sent and received unrelated to business transacted on behalf of the City (e.g. personal appointments, lunch schedules, emails exchanges unrelated to work, text messages unrelated to work responsibilities, IM/Chat unrelated to work responsibilities).

Non-Records that are covered by a Hold Order must be retained until the termination of that Order. Examples of such include reference materials such as copies of original documents—e.g. magazine articles, copies of memos, forms, external professional development materials and letterhead and printed legal research. Alterations or annotations of copies may, under some circumstances, make a copy an original Retention Required Record.

Permanent Records: Permanent Records are records of such value that they must always be retained. An example of a permanent record is a Deed. It continues to have legal significance forever.

Record Retention Schedule: The record retention schedule dictates what City information should be

kept, for how long, and in what form it should be kept, if a specific form or storage medium is required. The Records Retention Schedule assigns a Record Custodian for each record category, provides a description of the records contained in that category, sets forth a retention period, and explains the reason for retaining the record for that time period.

The RIMT is authorized to amend the Records Retention Schedule from time to time as it coincides with the disposition review meeting. Such amendments shall be submitted to the Mayor and City Council for informative purposes only. The Schedule and changes to it shall be posted on the City website to inform the public.

A retention period may be extended due to an active Hold Order.

Records: Records are City information created or received by City of Chattanooga in connection with the transaction of City of Chattanooga business that is preserved or is appropriate for preservation by City of Chattanooga. These records may offer evidence of City of Chattanooga's departments, functions, policies, decisions, procedures, operations, or other business matters, or they may have value because of data in them. Records subject to retention include, but are not limited to, books, papers, maps, photographs, machine readable materials or other documentary materials, regardless of physical form or storage medium. These records are described in the City of Chattanooga Records Retention Schedule as having a specified period of time for retention based upon provisions of law, judicial decisions, standards of practice, or specified business need. Records may be designated as confidential under federal, state and local law, court rules and common law. Any records designated as confidential must be retained, and when appropriate destroyed, in a manner such that the record cannot be read, interpreted or reconstructed by someone who is not the record custodian.

Retention Trigger: The activity that causes the retention period to begin.

Temporary Records: Temporary Records are Records that are not kept permanently. These records often must be kept for a specific period of time to comply with federal statutes and regulations and potentially in the case of an audit. Once a Temporary Record is retained for the period defined in the Records Retention Schedule, it may be disposed of consistent with an approved disposition policy as part of the review and approval of the RIMT.

Third Party: Absent specific written agreement to the contrary, Third Parties referred to in this Policy are business entities or individuals with a contractual relationship with City of Chattanooga that have access to City information to conduct City activities with City of Chattanooga or to provide services to City of Chattanooga.

Working Paper: Working Papers are informal records created to accomplish a particular purpose that become obsolete after use. Examples may include rough drafts of documents and reports or notes from a meeting. Destruction of working papers does not require the approval of the RIMT and may be destroyed without retaining the originals.

SECTION 4: Requirements

All City of Chattanooga information will be retained and destroyed in accordance with this Policy, its supporting procedures, the Records Retention Schedule, and the advice and recommendations of a Certified Record Management professional as set forth in the supporting procedures, to comply with applicable legal, regulatory and business requirements.

Retention of non-Records: Non-Records generally have personal value and not business value. If a non-record is determined to possess business value, then consistent with the appropriate procedure, it should be included as a record and subject to retention. Otherwise, non-records are not subject to the retention requirements set forth in the City Record Retention Schedule and do not require RIMT approval prior to destruction, unless it has been determined they are subject to a Hold Order.

Record Preservation and Storage: For all Records, preservation and storage practices shall be documented in supporting procedures to assure authenticity, reliability, integrity and usability. The retention and storage practices shall provide for efficient data retrieval and assembly to meet appropriately identified business and legal discovery timeframes, and shall include provisions concerning records located in any disaster recovery, backup or third party systems, as well as in archival systems.

Storage Medium: The timelines set forth in this schedule apply to any medium used to collect and share information. This includes, but is not limited to, email, social media, online forums, text messaging, instant messaging and chat. To remain consistent with the retention requirements set forth in the Records Retention Schedule, records that exist in a temporary medium such as email, chat or text may need to be moved to a different storage medium to ensure ongoing compliance with the retention timeline.

Alternative Formats & Electronic Records: Any records required to be kept by a government official in Tennessee may be maintained on a computer or removable computer storage media, instead of bound books or as paper records provided certain standards are met. T.C.A. § 10-7-702. However, destruction of original physical records or transition to an electronic format and the resulting destruction of the original, physical record must first be approved by the RIMT to ensure compliance with federal law, any funding requires, as well as to ensure the record is maintained in an appropriate archival format, where necessary.

Email: It is the City's policy to generally retain emails for five(5) years. Chat messaging is generally retained for sixty (60) days. However, retention is based on the subject matter of the email or chat. The appropriate retention period for the specific record type should be applied and the email or chat communication stored in a manner that ensures it is retained for the duration of the retention period or any applicable hold.

Personnel and Finance records: All records pertaining to Personnel and Finance, including contract documents, must be retained consistent with the appropriate records category as identified in the Human Resources and/or Finance Record Series. Please refer to these record series to identify the appropriate category and adhere to the appropriate retention period.

Format for Permanent Records: Supporting procedures will properly outline the steps that must be taken to ensure that Permanent Records exist in the proper format.

The City Information Technology Department is responsible for ensuring proper backup and data recovery for all electronically stored records on City maintained systems or City records stored in a manner whereby the storage medium or system is maintained by a third party on behalf of the City. The City Information Technology Department must ensure that electronic records are maintained in a media or transferred to an appropriate media to protect them from obsolescence. Where necessary, the Information Technology Department must perform data migration to ensure that records outlined in this schedule are being retained as required under the law. Moreover, the storage medium utilized must allow for full compliance with all public records laws.

Records Administration: Processes and procedures will be implemented to classify and manage all Records. The following capabilities will be included:

- Capture of data concerning each Record, including, at a minimum: storage location, record type, retention period, and retention trigger;
- Capture of appropriate additional data concerning each Record to facilitate search, retrieval, and disposition scheduling;
- View and report capabilities concerning the data associated with Record Categories;
- Capture of data concerning dispositions of records to allow for posting on the open data portal and City Website;
- Capture of appropriate data concerning all Hold Orders applicable to City of Chattanooga information in a manner that they can be related to a specific record category;
- A demonstrably reliable process to ensure that City of Chattanooga information subject to Hold Order is not altered or destroyed.

Disposition: After a determination that no Hold Order applies, City information that has reached the end of the retention period, as set forth in the Records Retention Schedule, will be disposed. Records eligible for destruction shall be disposed of in a manner that precludes the record from being reassembled or recognized and protects any private or confidential information.

A. All disposition of records, in any format regardless of storage medium, must first be approved by the RIM Team, consistent with the following guidelines:

1. Physical records shall be destroyed by a trusted vendor as approved by City

Purchasing rules and regulations.

2. Unless specified otherwise, or otherwise required by law, records may be imaged, microfilmed or electronically reproduced and the paper copy destroyed upon verification of an archival quality reproduction.
3. Records may be disposed of by a method approved by the RIMT, which includes, but is not limited to, the following methods:
 - a. **Discard/Recycle:** This is the standard, non-confidential destruction method. Information scheduled under this method may be purged of reusable stock (such as binders or folders) and then sent for recycling.
 - b. **Shred:** Information under this method is processed under strict security. For paper records, destruction is accomplished by a trusted vendor as approved by the RIMT. Non-record material may also be shredded. For electronic records, they are deleted using secure technology that ensures they cannot be recovered.
 - c. **Archives:** Information that is permanently stored is archived in a location, physically or electronically, that has been approved by the RIMT.
 - d. **Imaging:** Physical records falling under this designation will be converted to digital images, after which, the original paper documents will be destroyed. The digital images shall then receive a new classification, which includes a new record retention schedule. The IRMT will conduct a careful review and approval to ensure that they physical record is not required for auditing or legal reasons.
 - e. **Partial Destruction:** This is a special designation that includes records which need to be purged before destruction. Usually this means removing material based on specified criteria. The remaining material is then re-cataloged under a separate record classification with an appropriate retention schedule.
4. Where permissible under the law and standards set for maintaining records of historical value, physical records required to be retained permanently may be destroyed after verification of an archival quality electronic reproduction.
5. Actions by the RIMT shall be communicated to all Records Liaisons. Records Liaisons, under the oversight of their Department Administrators, have the authority and responsibility to prepare the appropriate records for disposition review by the RIMT in accordance with approved records disposition processes and procedures.
 - a. Prior to the destruction of any records, the Liaison must determine if the action should be delayed due to audit or litigation requirements as communicated by the City Attorney's Office. That determination is then reviewed by the RIMT.

- b. After RIMT approval, these specific records can be retained in a suspense file, while all other records not under pending investigation should be disposed of in accordance with established disposition procedures. If there is a partial destruction, the remaining records shall be reclassified with the appropriate retention period assigned.
- 6. The public shall be notified of all record disposition decisions through the local media.
- B. The RIMT will authorize the utilization of a Certificate of Destruction form in order to track the volume of records destroyed and to insure that records have met the criteria necessary for destruction.

SECTION 5: Training

City of Chattanooga Employees: Training shall be developed and delivered to all employees of City of Chattanooga and its subsidiaries concerning this Policy, the Records Retention Schedule, and any supporting procedures.

Compliance with this Policy, the Records Retention Schedule, and the supporting procedures shall be a condition of employment for all employees and a contractual requirement for all Third Parties. Compliance will be monitored and enforced. Failure to comply with this Policy, the supporting procedures and the City of Chattanooga Records Retention Schedule shall result in appropriate disciplinary action and/or sanctions.

SECTION 6: Responsibilities

City of Chattanooga Employees: All City of Chattanooga employees are expected to read, understand and adhere to this Policy, the supporting procedures and the City of Chattanooga Records Retention Schedule. Department Heads shall appoint a record liaison who shall represent that Department. The liaison shall certify annually that he/she is familiar with the provisions of this Policy.

City of Chattanooga Administrators: Administrators responsible for management of City of Chattanooga departments have ultimate responsibility to monitor the business activities under their control and the information and records-related activities of those City of Chattanooga employees and Third Parties under their supervision and will enforce the provisions of this Policy, the supporting procedures and the City of Chattanooga Records Retention Schedule.

City of Chattanooga Employees with Management or Supervisory Duties: All managers and supervisors will monitor the information and records-related activities of those City of Chattanooga employees and Third Parties under their supervision and will enforce the provisions of this Policy, the supporting procedures and the Records Retention Schedule.

The City of Chattanooga Records and Information Management Team: The Office of the City Attorney in concert with the RIM Team will oversee the City of Chattanooga Records and Information Management Program and ensure that all appropriate interests and organizational needs are recognized. The Committee will meet at minimum annually, and at appropriate intervals, to approve records for disposition, approve any changes to the records retention schedule and assess the current state of the Program.

SECTION 7: Administrative Provisions

Approval: Adoption of this policy or changes to this policy must be approved by the RIM Team and the City Attorney or designee.

Effective Date: December 1, 2015.

Policy and Schedule Maintenance (review cycle): Reviews and changes to this Policy and Schedule, with the appropriate due diligence performed on all laws and regulations affecting this Policy, as determined by the City Attorney or designee and RIMT, will occur at minimum (1) annually, commencing December 1, 2015, and/or (2) upon the passage of new legislation or guidance impacting Information retention. The City Attorney or designee shall be responsible for approving changes to the Policy and Schedule, with changes reported to the City Council and Mayor.

Exceptions: Exceptions to the provisions of this Policy may be issued by the City Attorney, for a specific period of time. Exceptions will be documented.

Revised with RIM Team approval on February 19, 2016.

Earnings and Deductions

Element Name	Element Description	Element Creation Date	Classification Name	Element Category
Accident Ins	Accident Insurance (OAB)	19-Feb-2010	Voluntary Deductions	No
Admin Leave	Administration leave with pay t	19-Aug-2013	Earnings	Regular Non-worked
AFLAC Insurance	AFLAC Insurance	15-May-2008	Voluntary Deductions	No
Alimony	Alimony	15-May-2008	Voluntary Deductions	No
Assurant Dental HMO	Assurant Dental HMO	21-May-2008	Pre-Tax Deductions	No
Assurant Dental HMO Taxable	Assurant Dental HMO Taxable	17-Nov-2010	Voluntary Deductions	No
Assurant Dental PPO	Assurant Dental PPO	21-May-2008	Pre-Tax Deductions	No
Assurant Dental PPO Taxable	Assurant Dental PPO Taxable	17-Nov-2010	Voluntary Deductions	No
Auto Rental	Auto Rental fee for employee's	15-Oct-2010	Voluntary Deductions	No
Award	Award	14-May-2008	Earnings	Regular Non-worked
Away With Pay	Away With Pay	14-May-2008	Earnings	Regular Non-worked
Bankruptcy	Bankruptcy	15-May-2008	Voluntary Deductions	No
BC BS Dental	BC BS Dental	21-May-2008	Pre-Tax Deductions	No
BC BS Dental Taxable	BC BS Dental Taxable	17-Nov-2010	Voluntary Deductions	No
BC BS Medical	BC BS Medical	21-May-2008	Pre-Tax Deductions	No
BC BS Medical Taxable	BC BS Medical Taxable	17-Nov-2010	Voluntary Deductions	No
BC BS PPO Medical Employer Liability	BC BS PPO Medical Employer	28-May-2008	Employer Liabilities	No
BC BS Vision	BC BS Vision	25-Apr-2012	Pre-Tax Deductions	No
BC BS Vision Taxable	BC BS Vision Taxable	26-Apr-2012	Voluntary Deductions	No
Bereavement	Bereavement	19-Sep-2018	Earnings	Regular Non-worked
Bonus	Bonus	14-May-2008	Supplemental Earnings	Shift
Call Back Pay	Call Back Pay	18-Sep-2015	Earnings	Regular Non-worked
Car Allowance	Car Allowance	25-Jun-2008	Earnings	No
Cell Phone	Cell Phone Allowance non-tax	07-Feb-2012	Supplemental Earnings	No
Cellphone	Cellphone	21-Nov-2011	Voluntary Deductions	No
Cellphone Allowance	Cellphone Allowance	23-Dec-2009	Supplemental Earnings	No
Central United Life	Central United Life	20-May-2008	Voluntary Deductions	No
Chatt Black Pol Officers	Chatt Black Pol Officers	15-May-2008	Voluntary Deductions	No
Child Support 1	Child Support 1	15-May-2008	Voluntary Deductions	No
Child Support 2	Child Support 2	15-May-2008	Voluntary Deductions	No
Child Support 3	Child Support 3	15-May-2008	Voluntary Deductions	No
Child Support 4	Child Support 4	15-May-2008	Voluntary Deductions	No
Child Support 5	Child Support 5	15-May-2008	Voluntary Deductions	No
Child Support 6	Child Support 6	19-Sep-2017	Voluntary Deductions	No
Child Support 7	Child Support 7	19-Sep-2017	Voluntary Deductions	No
Child Support 8	Child Support 8	16-Oct-2017	Voluntary Deductions	No
Cigna Dental	Cigna Dental new 2017 OE	25-May-2017	Pre-Tax Deductions	No
Cigna Dental Taxable	Cigna Dental Taxable new 201	25-May-2017	Voluntary Deductions	No
City Basic Life	Calculate the employer premiu	15-Oct-2008	Employer Liabilities	No
City ID Badge	City ID Badge Replacement Fe	20-Nov-2019	Voluntary Deductions	No
Colonial Insurance	Colonial Insurance	15-May-2008	Voluntary Deductions	No
Colvin Farm	Colvin Farm CSA Program	01-Jul-2015	Voluntary Deductions	No

Element Processing Type	Flsa Hours	Grossup Flag	Overtime Base	Reporting Name	Separate Check
Recurring	No		No	Accident	No
Nonrecurring				Admin Leave	
Recurring				AFLAC Insurance	
Recurring				Alimony	
Recurring				Assur Den HMO	
Recurring				Assur Dent HMO Taxable	
Recurring				Assur Den PPO	
Recurring				Assur Den PPO Taxable	
Recurring				Auto Rental	
Nonrecurring	No		No	Award	No
Nonrecurring	No		No	Away With Pay	No
Recurring				Bankruptcy	
Recurring				BC BS Dental	
Recurring				BC BS Dental Taxable	
Recurring				BC BS Medical	
Recurring				BC BS Medical Taxable	
Recurring		N		BC BS PPO Medical Employer Liability	
Recurring				BC BS Vision	
Recurring				BC BS Vision Tax	
Nonrecurring	No		No	Bereavement	No
Nonrecurring				Bonus	Yes
Nonrecurring	Yes		Yes	Call Back Pay	No
Nonrecurring	No		No	Car Allowance	No
Recurring				Cell Phone	No
Recurring				Cellphone	
Recurring				Cellphone Allowance	No
Recurring				Central United Life	
Recurring				Chatt Blk Pol Offic	
Recurring				Child Support 1	
Recurring				Child Support 2	
Recurring				Child Support 3	
Recurring				Child Support 4	
Recurring				Child Support 5	
Recurring				Child Support 6	
Recurring				Child Support 7	
Recurring				Child Support 8	
Recurring				Cigna Dental	
Recurring				Cigna Dent Taxable	
Recurring		N		City Basic Life	
Nonrecurring				City ID Badge	
Recurring				Colonial Ins	
Recurring				Colvin Farm	

Element Name	Element Description	Element Creation Date	Classification Name	Element Category
Colyco Farm	Colyco Farm CSA Program	02-Jun-2015	Voluntary Deductions	No
Comp Premium Add		24-Jun-2008	Information	
Comp Premium Taken		24-Jun-2008	Earnings	Regular Non-worked
Company Car	Pre-defined element for income	14-Nov-1993	Imputed Earnings	
Compbenefits Dental	Voluntary	15-May-2008	Voluntary Deductions	No
Conseco Insurance	Conseco Insurance	15-May-2008	Voluntary Deductions	No
Copying Expense	Reimbursement for Copying E;	02-Aug-2017	Non-payroll Payments	
Council Expense	Council Expense Reimburse	02-Mar-2015	Non-payroll Payments	
Critical Illness Ins	Critical Illness Insurance (OAB	19-Feb-2010	Voluntary Deductions	No
CSA	Curminity Supported Agricultu	05-May-2015	Voluntary Deductions	No
Extra Pay		13-Jun-2008	Supplemental Earnings	
Extra Pay 2		29-Jun-2008	Supplemental Earnings	
Extra Pay Flat		03-Jul-2008	Supplemental Earnings	
Fill In Pay	Fill In Pay	19-Sep-2018	Earnings	Regular
Fire and Police Military Pension	Fire and Police Military Pension	15-Jul-2009	Pre-Tax Deductions	
Fire and Police Military Pension ER Contribution	Generated Element for :F and	15-Jul-2009	Employer Liabilities	
Fire and Police Outing Club	Fire and Police Outing Club	20-May-2008	Voluntary Deductions	No
Fire and Police Pension	Fire and Police Pension	15-May-2008	Pre-Tax Deductions	
Fire and Police Pension Drop	Fire and Police Pension Drop (09-Feb-2009	Pre-Tax Deductions	
Fire and Police Pension ER Contribution	Generated Element for :F and	15-May-2008	Employer Liabilities	
FIT	FIT TAX Element for Vertex Pz	12-Jul-1994	Tax Deductions	
FP Pension	Fire and Police Pension paid to	06-Nov-2013	Pre-Tax Deductions	
FP Pension Drop	Fire and Police Pension Drop f	06-Nov-2013	Pre-Tax Deductions	
FP Pension ER Contribution	Generated Element for :FP Pen	06-Nov-2013	Employer Liabilities	
Fraternal Order of Fire Fighters	Fraternal Order of Fire Fighters	20-May-2008	Voluntary Deductions	No
Fraternal Order of Police	Fraternal Order of Police	20-May-2008	Voluntary Deductions	No
FSA Dependent Care	FSA Dependent Care	21-May-2008	Pre-Tax Deductions	
FSA Dependent Care Taxable	FSA Dependent Care Taxable	17-Nov-2010	Voluntary Deductions	No
FSA Medical	FSA Medical	21-May-2008	Pre-Tax Deductions	
FSA Medical Taxable	FSA Medical Taxable	17-Nov-2010	Voluntary Deductions	No
Garnishment	Garnishment	20-May-2008	Involuntary Deductions	
Garnishment 2	Garnishment 2	19-Mar-2009	Involuntary Deductions	
Gas Reimbursement	Gas Purchase Reimbursement	17-Aug-2017	Non-payroll Payments	
General Pension	General Pension	15-May-2008	Pre-Tax Deductions	
General Pension ER Contribution	Generated Element for :Gener	15-May-2008	Employer Liabilities	
General Pension Military	General Pension Military - for r	15-Jul-2009	Pre-Tax Deductions	
General Pension Military ER Contribution	Generated Element for :Gen P.	15-Jul-2009	Employer Liabilities	
Golf Membership	Golf Membership	15-May-2008	Voluntary Deductions	No
Group Hospital Indemnity	Group Hospital Indemnity	12-May-2016	Voluntary Deductions	No
Hartford 457	Hartford 457	08-Sep-2011	Pre-Tax Deductions	
Hartford 457 Catchup	Generated Element For:Hartfo	08-Sep-2011	Pre-Tax Deductions	
Hartford 457 Roth	Roth Contribution element for:	08-Sep-2011	Voluntary Deductions	No

Element Processing Type	Flsa Hours	Grossup Flag	Overtime Base	Reporting Name	Separate Check
Recurring				Colyco Farm	
Nonrecurring	No	N	No	Comp Premium Add	No
Recurring				Comp Premium Taken	
Recurring				Company Car	
Recurring				Combenefits Dental	
Nonrecurring				Conseco Ins	No
Nonrecurring				Copying Expense	No
Nonrecurring				Council Expense	
Recurring				Critical Illness	
Recurring				Crabtree Farm	
Nonrecurring				Extra Pay	Yes
Nonrecurring				Extra Pay	Yes
Nonrecurring				Extra Pay Flat	No
Nonrecurring	Yes		Yes	Fill In Pay	No
Recurring				F and P Miltry Pen	
Recurring				F and P Miltry Pen ER Contribution	
Recurring				F and P Outing Club	
Recurring				F and P Pension	
Recurring				FP Pension Drop	
Recurring				F and P Pension ER Contribution	
Nonrecurring				FIT	
Recurring				FP Pension	
Recurring				FP Pension Drop C	
Recurring				FP Pension ER Contribution	
Recurring				Fraternal Ord of FF	
Recurring				Fritl Order of Pol	
Recurring				FSA Dependent Care	
Recurring				FSA Dep Care Taxable	
Recurring				FSA Medical	
Recurring				FSA Medical Taxable	
Recurring				Garnishment	
Recurring				Garnishment 2	
Nonrecurring				Gas Reimbursement	No
Recurring				General Pension	
Recurring				General Pension ER Contribution	
Recurring				Gen Pen Milt	
Recurring				Gen Pen Milt ER Contribution	
Recurring				Golf Membership	
Recurring				Group Hospital In	
Recurring				Hartford 457	
Recurring				Hartford 457 Catchup	
Recurring				Hartford 457 Roth	

Element Name	Element Description	Element Creation Date	Classification Name	Element Category
Health Savings Account	Health Savings Account	21-May-2008	Pre-Tax Deductions	No
Health Savings Account Taxable	Health Savings Account Taxable	17-Nov-2010	Voluntary Deductions	Regular Non-worked
Holiday	Holiday	19-Sep-2018	Earnings	Regular Non-worked
Hotel	Hotel Reimbursement	07-Jan-2015	Non-payroll Payments	Regular Non-worked
HS Annual Leave		07-Aug-2008	Earnings	Regular Non-worked
HS Personal Leave		07-Aug-2008	Earnings	Regular Non-worked
HSA EE Premium	HSA EE Premium	29-Apr-2011	Pre-Tax Deductions	No
HSA EE Premium Taxable	HSA EE Premium Taxable	29-Apr-2011	Voluntary Deductions	No
HSA Medical ER Contribution	new element for 2017 OE	25-May-2017	Employer Liabilities	No
IABPFFB Dues	IABPFFB Dues	15-May-2008	Voluntary Deductions	No
IAFF Local 820 Burn	IAFF Local 820 Burn	15-May-2008	Voluntary Deductions	No
IAFF Local 820 Dues	IAFF Local 820 Dues	02-Jun-2008	Voluntary Deductions	No
IAFF Local 820 Firepac	IAFF Local 820 Firepac	15-May-2008	Voluntary Deductions	No
IAFF Local 820 Insurance	IAFF Local 820 Insurance	20-May-2008	Voluntary Deductions	No
IBEW Local 175	IBEW Local 175	15-May-2008	Voluntary Deductions	No
IBPO Local 673		02-Jun-2008	Voluntary Deductions	No
ICMA 457	ICMA 457 Deferred Comp	09-Sep-2011	Pre-Tax Deductions	No
ICMA 457 Catchup	Generated Element For:ICMA 457	09-Sep-2011	Pre-Tax Deductions	No
ICMA 457 Roth	Roth Contribution element for:ICMA 457	09-Sep-2011	Voluntary Deductions	No
ING 457		09-Sep-2011	Pre-Tax Deductions	No
ING 457 Catchup	Generated Element For:ING 457	09-Sep-2011	Voluntary Deductions	No
ING 457 Roth	Roth Contribution element for:ING 457	09-Sep-2011	Voluntary Deductions	No
Injured On Duty	Injured On Duty	14-May-2008	Earnings	Regular Non-worked
Injury On Duty	Injury On Duty (75% of pay no	25-Sep-2018	Supplemental Earnings	Regular Non-worked
IOD Extension FP Drop Pension	IOD Extension FP Drop Pension	18-Oct-2010	Pre-Tax Deductions	
IOD Extension FP Pension	IOD Extension FP Pension (65	18-Oct-2010	Pre-Tax Deductions	
IOD Extension General Pension	IOD Extension General Pension	18-Oct-2010	Pre-Tax Deductions	
IOD Extension General Pension ER Contribution	Generated Element for :IOD G	18-Oct-2010	Employer Liabilities	
IOD F and P Drop Pension	IOD F and P Drop Pension (75	18-Oct-2010	Pre-Tax Deductions	
IOD F and P Pension	IOD F and P Pension (75%)	18-Oct-2010	Pre-Tax Deductions	
IOD F and P Pension ER Contribution	Generated Element for :IOD F	18-Oct-2010	Employer Liabilities	
IOD General Pension	IOD General Pension (75%)	18-Oct-2010	Pre-Tax Deductions	
IOD General Pension ER Contribution	Generated Element for :IOD G	18-Oct-2010	Employer Liabilities	
Leave Donation Pay	Leave Donation Pay	15-Dec-2015	Earnings	Regular Non-worked
Leave of Absence	Leave of Absence - must use F	28-May-2009	Information	
Leave Without Pay	Information Element for Trackir	17-Jun-2008	Information	
License and Permits	License and Permit Expense for	20-Apr-2017	Non-payroll Payments	No
Life and LTC	Life and LTC	20-May-2008	Voluntary Deductions	No
Life Investors Ins	Life Investors Ins	15-May-2008	Voluntary Deductions	No
Local Mileage	Local Mileage Reimbursement	12-Nov-2013	Non-payroll Payments	
Local Registration Fees	Local Business Expense for Lc	04-Feb-2015	Non-payroll Payments	
Local Transportation	Local Business Expense for Lc	12-Nov-2013	Non-payroll Payments	

Element Processing Type	Flsa Hours	Grossup Flag	Overtime Base	Reporting Name	Separate Check
Recurring				HSA	
Recurring				HSA Taxable	
Nonrecurring	Yes		No	Holiday	No
Nonrecurring				Travel	No
Nonrecurring	No		No	HS Annual Leave	No
Nonrecurring	No		No	HS Personal Leave	No
Recurring				HSA EE Premium	
Recurring				HSA EE Prem Taxable	
Recurring		N		HSA Employer Contribution	
Recurring				IABPFFB Dues	
Recurring				IAFF Local 820 Burn	
Recurring				IAFF Local 820 Dues	
Recurring				IAFF Loc 820 Firpac	
Recurring				IAFF Local 820 Ins	
Recurring				IBEW Local 175	
Recurring				IBPO Local 673	
Recurring				ICMA 457	
Recurring				ICMA 457 Catchup	
Recurring				ICMA 457 Roth	
Recurring				ING 457	
Recurring				ING 457 Catchup	
Recurring				ING 457 Roth	
Nonrecurring	No		No	Injured On Duty	No
Nonrecurring				Injury On Duty	No
Recurring				IOD FP Pension	
Recurring				IOD FP Pension	
Recurring				IOD General Pension	
Recurring				Gen Pen Ext Taxable ER	
Recurring				IOD FP Pension	
Recurring				IOD FP Pension	
Recurring				FP Taxable Pension ER	
Recurring				IOD General Pension	
Recurring				Gen Pens Taxable ER	
Nonrecurring			No	Leave Donation Pay	No
Nonrecurring		N		Leave of Absence	
Nonrecurring		N		Leave Without Pay	
Nonrecurring				Local Business Exp	No
Recurring				X Life and LTC	
Recurring				Life Investors Ins	No
Nonrecurring				Local Mileage	No
Nonrecurring				Local Business Exp	No
Nonrecurring				Local Business Exp	No

Element Name	Element Description	Element Creation Date	Classification Name	Element Category
Long Term Care Ins	Long Term Care Insurance (Or	22-Apr-2010	Voluntary Deductions	No
Long Term Disability	Calculate Monthly Premium for	15-Oct-2008	Employer Liabilities	
Longevity	Longevity	14-May-2008	Supplemental Earnings	
Meals	Meals Reimbursement	07-Jan-2015	Non-payroll Payments	
MED EE Tax Adjustment	Element to adjust EE taxes and	09-Jun-2008	Tax Deductions	
MED ER Tax Adjustment	Element to adjust ER taxes and	09-Jun-2008	Employer Taxes	
Medicare_EE	Medicare_EE TAX Element for	12-Jul-1994	Tax Deductions	
Medicare_ER	Medicare_ER TAX Element for	12-Jul-1994	Employer Taxes	
Meeting Expense	Local Business Expense for Mi	04-Feb-2015	Non-payroll Payments	
Military Day	Military Day (20 days)	15-Dec-2015	Earnings	Regular Non-worked
Military Pay	Military Supplemental Pay	24-Jul-2008	Supplemental Earnings	
Misc Expense	Misc Expense	20-May-2008	Voluntary Deductions	No
Miscellaneous Services	Local Business Expense for Mi	04-Feb-2015	Non-payroll Payments	
Nationwide 457	Nationwide 457 Deferred Com	09-Sep-2011	Pre-Tax Deductions	
Nationwide 457 Catchup	Generated Element For: Nation	09-Sep-2011	Pre-Tax Deductions	
Nationwide 457 Roth	Roth Contribution element for: i	09-Sep-2011	Voluntary Deductions	No
On Call Pay	On Call Pay	18-Sep-2015	Earnings	Shift
On Site Medical	On Site Medical Employer Liab	03-Sep-2009	Employer Liabilities	
On Site Medical Facility ER	On Site Medical Facility ER Lia	29-Jul-2011	Employer Liabilities	
OPEB Civilian Amortize ER Contribution	Generated Element for: OPEB	07-Jan-2014	Employer Liabilities	
OPEB Civilian Normal Cost ER Contribution	Generated Element for: OPEB	07-Jan-2014	Employer Liabilities	
OPEB Comm Dev Amortize ER Contribution	Generated Element for: OPEB	16-Mar-2011	Employer Liabilities	
OPEB Comm Dev Normal Cost ER Contribution	Generated Element for: OPEB	16-Mar-2011	Employer Liabilities	
OPEB HSD Amortize ER Contribution	Generated Element for: OPEB	25-Jan-2011	Employer Liabilities	
OPEB HSD ER Contribution	Generated Element for: OPEB	28-Feb-2011	Employer Liabilities	
OPEB Sworn ER Contribution	Generated Element for: OPEB	23-Aug-2010	Employer Liabilities	
OPEB Sworn ER Contribution SF	Generated Element for: OPEB	23-Aug-2010	Employer Liabilities	
OPEB Sworn Grant ER Contribution	Generated Element for: OPEB	25-Oct-2011	Employer Liabilities	
Oper Engineers Dues	Oper Engineers Dues	20-May-2008	Voluntary Deductions	No
Operating Engineer Pension	Operating Engineers Pension	20-May-2008	Pre-Tax Deductions	
Operating Engineer Pension ER Contribution	Generated Element for: OE Pe	20-May-2008	Employer Liabilities	
Other Travel Expenses	Other Travel Expenses Reimbu	07-Jan-2015	Non-payroll Payments	
Out of Town Mileage	Out of Town Mileage Reimbur	07-Jan-2015	Non-payroll Payments	
OverPayment	OverPayment	24-Jun-2008	Earnings	Regular Non-worked
Overtime	Pre-defined element for overtim	14-Nov-1993	Earnings	Overtime
Parking	Parking	15-May-2008	Voluntary Deductions	No
Parking Expense	Local Business Expense for Pe	04-Feb-2015	Non-payroll Payments	
Parttime Entry Wages	City created element for Partir	14-Oct-2009	Earnings	Regular
Pay Adjustment	Pay Adjustment	07-Jan-2011	Supplemental Earnings	
Per Leave	Personal Leave balance pay o	18-Aug-2008	Earnings	Regular Non-worked
PER Pay Out	Personal Leave Buy Back	25-Jun-2008	Supplemental Earnings	
Personal Leave Buy Back	Personal Leave Buy Back	14-May-2008	Supplemental Earnings	

Element Processing Type	Flsa Hour S	Grossup Flag	Overtime Base	Reporting Name	Separate Check
Recurring		N		LT Care Ins	
Nonrecurring				Long Term Disability	No
Nonrecurring				Longevity	No
Nonrecurring				Travel	
Nonrecurring		N		MED EE ADJ	
Nonrecurring		N		MED ER ADJ	
Nonrecurring				Medicare EE	
Nonrecurring				Medicare ER	
Nonrecurring				Local Business Exp	No
Nonrecurring	No		No	Military Day	No
Nonrecurring				Milt Supp Pay	Yes
Recurring				Misc Expense	
Nonrecurring				Local Business Exp	No
Recurring				Nationwide 457	
Recurring				Nationwide 457 Catchup	
Recurring				Nationwide 457 Roth	
Nonrecurring			Yes	On Call Pay	No
Recurring		N		On Site Medical	
Recurring		N		On Site Med Faculty ER	
Recurring				OPEB Civ Amortize ER Contribution	
Recurring				OPEB Civ Norm ER Contribution	
Recurring				OPEB CD Amortize ER Contribution	
Recurring				OPEB CD Normal ER Contribution	
Recurring				OPEB HSD Amortize ER Contribution	
Recurring				OPEB HSD Grant ER Contr	
Recurring				OPEB Sworn ER Contribution	
Recurring				OPEB Sworn ER Contribution SF	
Recurring				OPEB Sworn Grant ER Contribution	
Recurring				Oper Engineers Dues	
Recurring				OE Pension	
Recurring				OE Pension ER Contribution	
Nonrecurring				Travel	No
Nonrecurring				Travel	No
Nonrecurring			No	OverPayment	No
Nonrecurring				Overtime	
Recurring				Parking	
Nonrecurring				Local Business Exp	No
Nonrecurring	Yes		Yes	Parttime Entry Wage	No
Nonrecurring				Pay Adjustment	No
Nonrecurring	No		No	Per Leave	No
Nonrecurring				PER Pay Out	Yes
Nonrecurring				Per Lv Buy Back	No

Element Name	Element Description	Element Creation Date	Classification Name	Element Category
Police Benevolent	Police Benevolent	02-Jun-2008	Voluntary Deductions	No
Police Court OT	Police Court OT	04-Jun-2008	Earnings	Overtime
Police Overtime	Police Overtime	04-Jun-2008	Earnings	Overtime
Postage Expense	Reimbursement for Postage E;	02-Aug-2017	Non-payroll Payments	
Postage Expense Special Features	Special Features element for F	02-Aug-2017	Non-payroll Payments	
PR Youth Exempt Wages	Element to capture wages exe	24-Dec-2015	Information	
Prepaid Legal	Prepaid Legal	15-May-2008	Voluntary Deductions	No
Prepaid Legal ID Theft	Prepaid Legal ID Theft	20-May-2008	Voluntary Deductions	No
Professional Ins	Professional Ins	15-May-2008	Voluntary Deductions	No
Provident Life and Accident	Provident Life and Accident	20-May-2008	Voluntary Deductions	No
Qualified Moving Expense	Qualified Moving Expense	24-Sep-2014	Non-payroll Payments	
Refund	Refund	29-Sep-2008	Non-payroll Payments	
Registration Fees	Registration Fees Reimburse	07-Jan-2015	Non-payroll Payments	
Regular Hours Worked	Pre-defined indirect result elem	13-Jan-1994	Information	
Regular Overtime	Premium Overtime	01-Jul-2008	Earnings	Overtime
Regular Salary	Pre-defined element for salarie	11-Nov-1993	Earnings	Regular
Regular Salary Hours Adjustment	Regular Salary Hours Adjustm	22-Nov-2003	Information	
Regular Wages	Pre-defined element for waged	12-Nov-1993	Earnings	Regular
Rental Car	Rental Car Reimbursement	07-Jan-2015	Non-payroll Payments	
Rental Property	Rental Property	04-Jun-2008	Imputed Earnings	
Rental Property Deduction	Rental Property Deduction offs	04-Jun-2008	Voluntary Deductions	No
Retirement 401A	Retirement 401A	17-Jul-2014	Pre-Tax Deductions	
Retirement 401A ER Contribution	Generated Element for :Retirer	17-Jul-2014	Employer Liabilities	
Retro Double OT Flat	Retro Double OT Flat	14-May-2008	Earnings	Regular
Retro Double OT Flat Special Features	Special Features element for F	14-May-2008	Earnings	Regular
Retro Double Overtime	Retro Double Overtime	14-May-2008	Earnings	Regular
Retro Injured On Duty	Retro Injured On Duty	14-May-2008	Earnings	Regular Non-worked
Retro IOD Flat	Retro IOD Flat	14-May-2008	Earnings	Regular Non-worked
Retro OT Flat	Retro OT Flat	14-May-2008	Earnings	Regular
Retro Overtime	Retro Overtime	14-Jul-2008	Earnings	Overtime
Retro Regular Wages	Retro Regular Wages	14-May-2008	Earnings	Regular
Retro Regular Wages Flat	Retro Regular Wages Flat	14-May-2008	Earnings	Regular
Retro Straight OT Flat	Retro Straight OT Flat	14-May-2008	Earnings	Regular
Retro Straight Overtime	Retro Straight Overtime	14-May-2008	Earnings	Regular
SEIU COPE	SEIU COPE	11-Mar-2014	Voluntary Deductions	No
SEIU Dues	SEIU Dues	15-May-2008	Voluntary Deductions	No
Severance	Severance pay for employees	02-Aug-2010	Supplemental Earnings	
Signal Mtn Farm	Signal Mtn Farm CSA program	02-May-2016	Voluntary Deductions	No
SIT Tax Adjustment	SIT Element to adjust EE, Tax,	10-Dec-2008	Tax Deductions	
Sonic Payday	Sonic Payday	15-May-2008	Involuntary Deductions	
Special 401A Plan	Special 401A Plan	15-May-2008	Voluntary Deductions	No
Special 401A Plan ER Contribution	Special 401A Plan ER Contribut	04-Jun-2008	Employer Liabilities	

Element Processing Type	Flisa Hours	Grossup Flag	Overtime Base	Reporting Name	Separate Check
Recurring	No			Police Benev	No
Nonrecurring	No		No	Police Court OT	No
Nonrecurring	No		No	Premium Overtime	No
Nonrecurring				Postage	No
Nonrecurring				Postage SF	
Nonrecurring				PR Youth Exempt Wages	
Recurring				Prepaid Legal	
Recurring				Prepd Legl ID Theft	
Recurring				Professional Ins	
Recurring				Prov Life and Acc	
Nonrecurring				Moving Exp	No
Nonrecurring				Refund	No
Nonrecurring				Travel	No
Nonrecurring	No		No	Regular Overtime	No
Recurring	Yes		Yes	Regular Salary	
Nonrecurring	Yes		Yes	Regular Wages	
Nonrecurring				Travel	No
Recurring				Rental Property	No
Recurring				Rental Property Ded	
Recurring				Retirement 401A	
Recurring				Retirement 401A ER Contribution	
Nonrecurring			No	Retro Double OT	No
Nonrecurring			No	Retro Double OT SF	
Nonrecurring	No		No	Retro Double OT	No
Nonrecurring	No		No	Retro IOD	No
Nonrecurring			No	Retro IOD Flat	No
Nonrecurring			No	Retro OT Flat	No
Nonrecurring	No		No	Retro Overtime	No
Nonrecurring	No		No	Retro Regular Wages	No
Nonrecurring			No	Retro Reg Wage Flat	No
Nonrecurring			No	Retro Straight OT	No
Nonrecurring	No		No	Retro Straight OT	No
Recurring				SEIU COPE	
Recurring				SEIU Dues	
Nonrecurring				Severance	Yes
Recurring				Signal Mtn Farm	
Nonrecurring		N		SIT Tax Adjustment	
Recurring				Sonic Payday	
Recurring				Special 401A Plan	
Recurring		N		Spec 401A ER Contribution	

Element Name	Element Description	Element Creation Date	Classification Name	Element Category
Special FP Pension				
Sports Barn	Sports Barn	09-Jun-2008	Pre-Tax Deductions	No
SS EE Tax Adjustment	Element to adjust EE tax W/H I	15-May-2008	Voluntary Deductions	
SS ER Tax Adjustment	Element to adjust ER tax liabili	09-Jun-2008	Tax Deductions	
SS_EE	SS_EE TAX Element for Verte	09-Jun-2008	Employer Taxes	
SS_ER	SS_ER TAX Element for Verte	12-Jul-1994	Tax Deductions	
State Tax Levy	State Tax Levy	12-Jul-1994	Employer Taxes	
State Training	State Training	15-May-2008	Involuntary Deductions	
Stipend	Stipend	14-Apr-2009	Supplemental Earnings	
Straight Hours	Straight Hours paid for hours w	12-Nov-2013	Non-payroll Payments	Overtime
Straight OT		04-Jan-2011	Earnings	Overtime
Student Loan	Student Loan	21-Jul-2008	Earnings	
Supplemental Life Children	Supplemental Life Children	15-May-2008	Involuntary Deductions	No
Supplemental Life Ins	Supplemental Life Insurance (C	25-Apr-2012	Voluntary Deductions	No
Supplemental Life Spouse	Supplemental Life Spouse	19-Feb-2010	Voluntary Deductions	No
Take Home Car	Take Home Car	25-Apr-2012	Voluntary Deductions	No
Tax Levy	Tax Levy	14-May-2008	Imputed Earnings	
Tax Levy Calculator	Generated calculation element	15-May-2008	Involuntary Deductions	
Tax Levy Fees	Generated Fee results elemen	15-May-2008	Involuntary Deductions	
Tax Levy Special Inputs	Generated adjustments elemen	15-May-2008	Involuntary Deductions	
Tax Refund	Tax Refund	10-Jul-2008	Earnings	Regular Non-worked
Time Entry Wages	Pre-defined element for hourly	12-Nov-1993	Earnings	Regular
TN Auto Assoc	TN Auto Assoc	15-May-2008	Voluntary Deductions	No
Tool Allowance	Tool Allowance	10-Jul-2008	Supplemental Earnings	
Tool Tax Adjustment	Tool Tax Adjustment	12-Nov-2008	Earnings	Regular Non-worked
Tool Tax Refund	Tool Tax Refund	10-Nov-2008	Voluntary Deductions	No
Training Costs	Local Business Expense for Tr	04-Feb-2015	Non-payroll Payments	
Transportation	Transportation Reimbursemen	07-Jan-2015	Non-payroll Payments	
Travel Advance	Travel Advance Reimbursemei	07-Jan-2015	Non-payroll Payments	
Travel Expense	Travel Expense	16-Jun-2008	Voluntary Deductions	No
Tuition and Books	Local Business Expense for Tu	04-Feb-2015	Non-payroll Payments	
Uniform Allowance	Uniform Allowance	10-Jul-2008	Supplemental Earnings	
Uniform Tax Adjustment	Uniform Tax Adjustment	11-Nov-2008	Earnings	Regular Non-worked
Uniform Tax Refund	Uniform Tax Refund	10-Nov-2008	Voluntary Deductions	No
United Way	United Way	15-May-2008	Voluntary Deductions	No
Unum Future Life	Unum Future Life	15-May-2008	Voluntary Deductions	No
Wage Assignment	Wage Assignment	15-May-2008	Involuntary Deductions	
Wellness Incentive	Wellness Incentive	14-May-2008	Supplemental Earnings	
Whole Life Insurance	Whole Life Insurance (OAB)	22-Apr-2010	Voluntary Deductions	No
Whole Life plus LT Care	Whole Life + Long Term Care i	19-Feb-2010	Voluntary Deductions	No

Element Processing Type	Flisa Hours	Grossup Flag	Overtime Base	Reporting Name	Separate Check
Recurring				FP Special Pension	
Recurring				Sports Barn	
Nonrecurring	N			SS EE ADJ	
Nonrecurring	N			SS ER ADJ	
Nonrecurring				SS EE	
Nonrecurring				SS ER	
Recurring				State Tax Levy	Yes
Nonrecurring				State Training	No
Nonrecurring				Stipend	No
Nonrecurring	No		No	Straight Overtime	No
Nonrecurring	No		No	Straight OT	No
Recurring				Student Loan	
Recurring				Supp Life Child	
Recurring				Supp Life Ins	
Recurring				Supp Life Spouse	
Recurring				Take Home Car	No
Recurring				Tax Levy	
Nonrecurring				Tax Levy Calculator	
Nonrecurring				Tax Levy Fees	
Nonrecurring				Tax Levy Special Inputs	
Nonrecurring	No		No	Tax Refund	No
Nonrecurring	Yes		Yes	Time Entry Wages	
Recurring				TN Auto Assoc	
Nonrecurring				Tool Allowance	Yes
Nonrecurring			No	Tool Tax Adjustment	No
Nonrecurring				Tool Tax Refund	
Nonrecurring				Local Business Exp	No
Nonrecurring				Travel	No
Nonrecurring				Travel Advance	No
Nonrecurring				Travel Expense	
Nonrecurring				Local Business Exp	No
Nonrecurring				Uniform Allowance	Yes
Nonrecurring			No	Uniform Tax Adjust	No
Nonrecurring				Uniform Tax Refund	
Recurring				United Way	
Recurring				Unum Future Life	
Recurring				Wage Assignment	
Nonrecurring				Wellness Incentive	No
Recurring				Whole Life Ins	
Recurring				Whole Life LTC	