



This schedule applies to: Licensing, Permitting and Tax Compliance Agencies

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of public records of all local government agencies relating to functions including the issuing of permits and licenses and/or tax compliance in a regulatory capacity. It is to be used in conjunction with the *Local Government Common Records Retention Schedule (CORE)*, which authorizes the destruction/transfer of public records common to all local government agencies. CORE can be accessed online at: <http://www.sos.wa.gov/archives/recordsretentionschedules.aspx>.

Disposition of public records

Public records covered by records series within this records retention schedule must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of local resources.

Public records designated as Archival (Permanent Retention) or Non-Archival (with a retention period of "Life of the Agency" or "Permanent") must not be destroyed. Records designated as Archival (Appraisal Required) must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency's policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency's policies and procedures for public records requests.

In addition to the minimum retention requirements specified in this schedule, there may be additional (longer) retention requirements mandated by federal, state and/or local statute, grant agreement, and/or other contractual obligations.

Revocation of previously issued records retention schedules

All previously approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. Local government agencies should take measures to ensure that the retention and disposition of public records is in accordance with current approved records retention schedules.

Authority

This records retention schedule was approved by the Local Records Committee in accordance with RCW 40.14.070 on November 29, 2012.

For the State Auditor: Cindy Evans

For the Attorney General: Sharon Payant

The State Archivist: Jerry Handfield



REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	November 29, 2012	New sector schedule created from records series imported from version 5.2 of the <i>Local Government General Records Retention Schedule (LGRRS)</i> , which has been dismantled, plus one new series, <i>Boiler/Conveyance Regulation</i> (LP-BOILER). All disposition authority numbers (DANs) have been assigned a prefix of "LP" and a revision number of "0" (zero). A glossary of terms is located in the <i>Local Government Common Records Retention Schedule (CORE)</i> .



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For assistance and advice in applying this records retention schedule,

please contact Washington State Archives at:

recordsmanagement@sos.wa.gov

or contact your Regional Archivist.



1. LICENSING AND PERMITTING

The function of the local government agency **granting authorization or approval** in a regulatory capacity, **pursuant to** federal, state or local law. Includes compliance monitoring.

Excludes authorizations received by the local government agency from regulatory agencies, which are covered in CORE.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
LP2012-077 Rev. 0	<p>Boiler/Conveyance Regulation</p> <p>Records relating to the permitting and regulating of boilers in accordance with RCW 70.79.290 and of conveyances in accordance with chapter 70.87 RCW by certain municipalities pursuant to WAC 296-104-130 and RCW 70.87.200(2). Includes installation, inspection, corrective action, and removal of boilers, unfired pressure vessels, and conveyances (elevators, escalators, moving walks, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Permit applications and permits;• Plans and specifications;• Variances/code exceptions;• Notices of violations and corrective actions;• Equipment data sheets;• Safety inspections, tests, and reports;• Photographs;• Correspondence. <p>Excludes elevator/conveyance and boiler/pressure vessel permits received from a regulatory agency, which are covered in <i>CORE</i>.</p>	<p>Retain for 6 years after boiler or conveyance no longer in service <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
LP50-12D-24 Rev. 0	<p>BUSINESS LICENSE ENFORCEMENT INSPECTIONS</p> <p>Inspections of businesses licensed in an agency's jurisdiction to ensure compliance with Municipal Code and licensing regulations. Information is input into database to create notices to comply and fix violations. Re-inspection is only done if violations are found. Includes inspection notes, notices to comply, etc.</p>	<p>Retain until completion of inspection and resolution of violation (if any) <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
LP50-12D-06 Rev. 0	BUSINESS LICENSES Application to run businesses within an agency's jurisdiction. Includes original application to start business and any relevant correspondence.	Retain for 6 years after expiration of license <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
LP50-12D-12 Rev. 0	BUSINESS LICENSES - REGULATORY AND PERSONAL Applications for businesses operating within the agency's jurisdiction that need to be regulated (i.e. occupations, professional or personal licenses) . Files may include applications, background checks, appeals, hearings, suspensions and photographs.	Retain for 6 years after expiration of license <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP50-12D-23 Rev. 0	BUSINESS LICENSES RENEWALS Forms document businesses that are renewing their license to operate within an agency's jurisdiction. Includes correspondence from business for changes to business, renewal form, notice of closure, etc.	Retain for 6 years after end of license year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP50-01-40 Rev. 0	DOMESTIC PARTNERSHIP REGISTRATION DOCUMENTATION Notarized application signed by both applicants that wish to register a domestic partnership, accompanied by a registration fee. May include certificate and termination form.	Retain for 3 years after end of calendar year <i>and</i> completion of State Auditor's examination report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP50-12D-27 Rev. 0	DRINKING WATER SYSTEM PERMIT FILES Permit and monitoring report for drinking water, required for continuous system operation. Monitoring requirements of water systems are to ensure safe drinking water standards which are set by Washington State Department of Health.	Retain for 6 years after termination of permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
LP50-12D-10 Rev. 0	NON-BUSINESS LICENSES AND PERMITS Application form, stub, or copy of licenses and permits for pet and bicycle owners, parades or public gatherings, temporary use of public facilities, displays, and other non-business or occupation activities within the agency's jurisdiction.	Retain for 3 years after expiration of license/permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP50-12D-22 Rev. 0	<i>Passport Application Transmittals – Separate Receipt Not Issued</i> Records relating to the transmittal of passport applications to the United States Department of State's Passport Services by local government agencies designated as passport acceptance facilities, where a separate receipt is not issued for the execution fee.	Retain for 6 years after end of fiscal year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP2010-022 Rev. 0	<i>Passport Application Transmittals – Separate Receipt Issued</i> Records relating to the transmittal of passport applications to the United States Department of State's Passport Services by local government agencies designated as passport acceptance facilities, <i>provided that</i> a separate receipt <u>is</u> issued for the execution fee. <i>Note: Use GS50-12A-22 if a separate receipt is <u>not</u> issued.</i> <i>Note: Receipts are covered by GS2011-184, Financial Transactions – General.</i>	Retain for 2 years after end of fiscal year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP50-12D-17 Rev. 0	PERSONAL LICENSE VIOLATIONS Files document the investigation into violations of the business code by individuals holding a personal license. Includes incident report, correspondence, hearing examiner information, final decisions, monitoring information, etc.	Retain for 6 years after completion of suspension <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP50-12D-13 Rev. 0	REGISTERS OF LICENSES OR PERMITS ISSUED	Retain for 6 years after expiration of last entry <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
LP50-12D-25 Rev. 0	<p>TAXICAB AND FOR-HIRE VEHICLE LICENSE FILES Taxicab license application package for annual renewal, change of owner, change of equipment, change of association, and change of number. Includes taxicab license files for King County as provided by a 1995 cooperative agreement. Application packet includes: license application, vehicle registration, for-hire certificate, safety inspection report issued by ASE-certified mechanic, and evidence of insurance (policy declarations, endorsement, binders). May also include: taxicab license, release of interest, power of attorney authorization, license action forms (suspension, revocation, denial). Records may be contained in database or hard copy.</p>	<p>Retain for 6 years after expiration of license/permit <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
LP50-12D-26 Rev. 0	<p>TAXICAB INDUSTRY ENFORCEMENT RECORDS Taxicab inspection records including: taxicab safety inspections and taximeter tests. Records include taxicab field enforcement logs, notice of violation forms (association, owner, driver), summary suspension forms, license action forms, passenger complaints and decisions on appeal.</p>	<p>Retain for 6 years after completion of suspension <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
LP50-12D-19 Rev. 0	<p>WEIGHING AND MEASURING DEVICE INSPECTIONS Inspection and testing of retail motor-fuel dispensers, scales, vehicle-tank meters, taxi meters, mass flow meters, length-measuring devices, timing devices, and other weighing and measuring devices used commercially. Inspections are performed at the Test Station or on location in order to verify compliance with allowable tolerances and other technical standards. Inspection reports include description of inspection, results, and corrective actions required. Also includes inspection reports for price scanning systems and checking net contents of packaged goods.</p>	<p>Retain for 6 years after completion of inspection <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
LP50-12D-21 Rev. 0	<p>WEIGHTS AND MEASURES – ENFORCEMENT FILES Criminal complaints (for misdemeanor violations), off-sale orders, out-of-service orders and correspondence. Includes consumer complaints.</p>	<p>Retain for 6 years after case closed/matter resolved <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
LP50-12D-20 Rev. 0	WEIGHTS AND MEASURES – CALIBRATION OF FIELD TEST STANDARDS Documents issued by State of WA metrology lab certifying field test weights and measures used by inspectors.	Retain for 6 years after completion of testing <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



2. TAXATION

The function of the local government agency levying taxes, pursuant to federal, state or local law. Includes compliance monitoring. Excludes taxes and fees **paid by the local government agency to regulatory agencies**, which is covered in CORE, Financial Management.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
LP50-12D-14 Rev. 0	AUDIT FILES Audits of businesses completed to ensure compliance with tax regulations. Files include correspondence, working papers, history of business, narrative of audit, gross income of business, deductions and business finance summary.	Retain for 10 years after completion of audit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP50-12D-16 Rev. 0	AUDIT STATISTIC LOG Statistics on completed audits per year. Used to evaluate audit selection methodology for 2 audit cycles (each audit cycle is a five year period). Includes time spent on audit, audit results, date completed, who completed audit.	Retain for 10 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP50-12D-18 Rev. 0	BUSINESS TAX REFUND FILES Requests for refund of overpayment on quarterly or annual business taxes. Files may include request, copy of tax forms, supporting documents, review, justification for refund, approval, and signatures.	Retain for 6 years after refund issued or denied <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
LP50-12D-15 Rev. 0	FINAL AUDIT REPORTS Final report of completed audits. Reports describe all findings and audit results and recommendations.	Retain for 10 years after completion of audit <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
LP50-11-31 Rev. 0	HISTORIC SITE SPECIAL VALUATION – TAX FILES Files track and monitor landmarks, which are part of Special Valuation Tax program per chapter 84.26 RCW . Includes assessment of taxes, agreements, financial information, and application.	Retain for 10 years after termination of special valuation <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
LP50-12D-09 Rev. 0	MONTHLY REPORT OF FEE AND TAX COLLECTIONS	Retain for 3 years after date of report <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



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