

This schedule applies to: Board of Registration for Professional Engineers and Land Surveyors

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Board of Registration for Professional Engineers and Land Surveyors relating to the unique functions of advancing public safety and consumer protection by the licensing, regulating and educating of professional engineers, land surveyors, on-site wastewater treatment system designers and inspectors. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGRRS)*, which authorizes the destruction/transfer of public records common to all state agencies.

Disposition of public records

Public records covered by records series within this records retention schedule (regardless of format) 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 state resources.

Public records designated as “Archival (Permanent Retention)” 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.

Revocation of previously issued records retention schedules

All previously issued records retention schedules to the Board of Registration for Professional Engineers and Land Surveyors are revoked. The Board of Registration for Professional Engineers and Land Surveyors must 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 State Records Committee in accordance with RCW 40.14.050 on August 5, 2020.

Signature on File

**For the State Auditor:
Al Rose**

Signature on File

**For the Attorney General:
Suzanne Becker**

Signature on File

**For the Office of Financial Management:
Gwen Stamey**

Signature on File

**The State Archivist:
Steve Excell**

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	August 5, 2020	Consolidation of all existing disposition authorities (with some minor revisions).

For assistance and advice in applying this records retention schedule,
please contact the Board of Registration for Professional Engineers and Land Surveyors’

Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. INVESTIGATIONS AND COMPLIANCE

This section covers records related to the activities associated with conducting investigations (including advising) for compliance.

1.1 INVESTIGATIONS AND COMPLIANCE MONITORING

The activity of conducting investigations and monitoring professional performance and ethical behavior for compliance.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-08-69543 Rev. 0	<p>Board Orders</p> <p>Orders issued by the Board of Registration for Professional Engineers and Land Surveyors in relation to investigations. Orders summarize the complaint, investigation, determination of any sanctions/remedies imposed, and are used for ensuring consistency and comparing circumstances.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Orders of the Board, brief adjudicative orders; • Stipulation and agreed orders, stipulated agreements; • Default Orders and Orders in Lieu of Disciplinary Action. <p>Excludes records covered by <i>Professional License Suspensions - Child Support (DAN 20-08-69548)</i>.</p>	<p>Retain for 6 years after end of appeal period <i>or</i> 6 years after resolution of any litigation, <i>whichever is later</i> <i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>

1.1 INVESTIGATIONS AND COMPLIANCE MONITORING

The activity of conducting investigations and monitoring professional performance and ethical behavior for compliance.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-08-69545 Rev. 0	<p><i>Investigation Files – Unfounded</i></p> <p>Records relating to complaints regarding a professional licensee or firm, or an unlicensed individual or firm performing licensee tasks where the complaint is unfounded and no action is taken.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original complaint and respondent information; • Investigation records; • Activity report; • Contact list; • Case Manager worksheet/recommendation or Director/Deputy Director recommendation. <p><i>Note: If the agency takes action as a result of the investigation, the investigation file is incorporated into Disciplinary/Legal Files (DAN 20-08-69544)</i></p>	<p>Retain for 1 year after completion of investigation <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.1 INVESTIGATIONS AND COMPLIANCE MONITORING

The activity of conducting investigations and monitoring professional performance and ethical behavior for compliance.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-08-69544 Rev. 0	<p><i>Disciplinary/Legal Files</i></p> <p>Records relating to complaints and associated investigation regarding a professional licensee, licensed business, or unlicensed individual or business where action is taken.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original complaint and respondent information; • Investigation records; • Activity report; • Contact list; • Case Manager worksheet/recommendation; • Statement of charges or other charging document. <p>Excludes records covered by <i>Board Orders (DAN 20-08-69543)</i>.</p>	<p>Retain for 6 years after case closed <i>or</i> 6 years after sanction is completed, <i>whichever is later then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
20-08-69548 Rev. 0	<p><i>Professional License Suspensions – Child Support</i></p> <p>Records relating to the suspension of a professional license due to non-compliance with child support violations per RCW 18.43.170.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notice of suspension from Department of Social and Health Services (DSHS); • Letters of suspension to licensees; • Release of suspension letter, resolution notices, and supporting documents. <p>Excludes records covered by <i>Board Orders (DAN 20-08-69543)</i>.</p>	<p>Retain for 1 year after resolution <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

2. PROFESSIONAL AND BUSINESS LICENSING

This section covers records relating to the activity of managing the agency’s professional and business licensing.

2.1 APPLICATIONS AND RENEWALS

The activity of reviewing and approving applications and renewals for professional and business licenses.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-08-69546 Rev. 0	<p><i>Professional and Business License Records – Granted/Denied/Withdrawn</i></p> <p>Records relating to the approval, denial, withdrawal, renewal, awarding, or tracking of professional engineers, professional land surveyors, on- site designers, on-site certificate of competency holders (inspector), engineers-in-training, land surveyors-in-training, and business licenses (certificates of authority) as required to operate as a professional or business in the State of Washington. Also includes records relating to the approval, denial, withdrawal, and issuance of temporary licenses for individuals which do not become standard licenses.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Application and renewal information; • Changes to name/address/location; • Changes to designated licensee(s)/licensee affidavit/business resolution; • College transcripts; • National Board Examination scores; • Verification of out-of-state licenses; • Work experience verifications; • Proof of professional development hours (PDH); • Other related documentation. <p>Excludes records covered by <i>Professional and Business Licenses Granted – Summary Records (DAN 20-08-69547)</i>.</p>	<p>Retain for 6 years after expiration or cancellation <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

2.1 APPLICATIONS AND RENEWALS

The activity of reviewing and approving applications and renewals for professional and business licenses.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-08-69547 Rev. 0	<p><i>Professional and Business Licenses Granted – Summary Records</i></p> <p>Summary record of each license granted to individuals and business by the Board of Registration for Professional Engineers and Land Surveyors documenting some or all of the following:</p> <ul style="list-style-type: none"> • Full name of applicant; • Previous names/old aliases; • Gender; • Birthdate; • Home address; • School(s) attended; • Location of license/business; • Type of business; • License type; • License number; • Date license first granted; • Date license last expired. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applicable paper documents containing summary information; • Records in the Department of Licensing’s databases. 	<p>Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>

2.2 LICENSING EXAMINATIONS

The activity of testing for professional licensure.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-08-69550 Rev. 0	<p>State Specific Examination Answer Sheets</p> <p>Records relating to the examination multiple choice answer sheets filled out by exam applicants.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • State specific Land Surveyor pass/fail answer sheets; • State specific On-site Wastewater Treatment System Designer/Inspector pass/fail answer sheets. 	<p>Retain for 1 year after exam administration <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
20-08-69551 Rev. 0	<p>State Specific Examination Booklet (Master)</p> <p>Records relating to the examination given to applicants for licensure. The master examination booklet is copied and given to each exam applicant.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Land Surveyor examination booklets; • On-site Wastewater Treatment System Designer examination booklets. 	<p>Retain for 6 years after exam superseded <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>

3. LEGACY RECORDS

This section covers records no longer being created/received by the Board of Registration for Professional Engineers and Land Surveyors, but the existing records have not yet reached their minimum retention period.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-08-69549 Rev. 0	<p>Registration Examination Ledger</p> <p>Provides a record of all licensees in certificate number order, together with exam scores and description of the basis of licensure.</p> <p><i>Note: The use of the ledger was discontinued in 2015, as the information is now included in each licensees' electronic record.</i></p>	<p>Retain for 6 years after license issued <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>

GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival (Appraisal Required)

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention)” other than the removal of duplicates.

Disposition

Actions taken with records when they are no longer required to be retained by the agency.

Possible disposition actions include transfer to Washington State Archives and destruction.

Disposition Authority Number (DAN)

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.

Essential Records

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.

Non-Archival

Public records which do not possess sufficient historic value to be designated as “Archival.” Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.

Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.

OFM (Office Files and Memoranda)

Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”

OPR (Official Public Records)

Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

RCW 40.14.010 – Definition and classification of public records.

(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records.”

Public Records

RCW 40.14.010 – Definition and classification of public records.

“... The term “public records” shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and

including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business...”

Records Series

A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.

State Records Committee

The committee established by RCW 40.14.050 to review and approve disposition of state government records.

Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.

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