

SUMMARY OF CHANGES

To better assist local government agencies in the retention, destruction, and transfer of their public records, Washington State Archives is continuing to implement improvements to records retention schedules.

All *previously approved* disposition authorities for records that are covered by the *Local Government Common Records Retention Schedule (CORE) Version 3.1* are **revoked**, including those listed in all general **and** agency unique retention schedules. Agencies should take measures to ensure that the retention and disposition of public records is in accordance with current approved records retention schedules.

This revision guide has been prepared as a helpful tool for agency staff. It highlights changes to records retention requirements as approved by the Local Records Committee on December 18, 2014 pursuant to RCW 40.14.070. **This guide is NOT the records retention schedule, itself.** Rather, it is provided as a “crosswalk” to be used while transitioning from the previous version (*CORE 3.0*) to the *current, approved* version (*CORE 3.1*).

Changes include:

- ✓ 4 new records series created to cover specific records;
- ✓ 11 records series updated/enhanced to provide clarity and user ease;
- ✓ 1 records series discontinued because the records are covered in the appropriate sector schedule;
- ✓ Corrections made to 11 DAN *revision numbers* (e.g., “Rev. 0”) so that the revision numbers in the printed *CORE* align with the revision numbers in the online database. (These alterations are NOT considered a revision for numbering purposes.)
- ✓ 4 records series designated “Archival – Appraisal Required” were modified to direct agencies to “**Contact** Washington State Archives for appraisal and selective retention”. This word-switch from “*Transfer*” to “*Contact*” is NOT considered a revision for numbering purposes (Rev. 1, etc.), but all 4 series *happen to* appear in the “REVISED RECORDS SERIES” for other reasons.

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NEW RECORDS SERIES

The records series listed below are new to CORE Version 3.1. Details and rationale are provided.

Title and Description	NEW DAN	Minimum Retention and Disposition	Designations	Rationale
Tenant Files (Residential Housing)	GS2014-029 p. 86	Retain for 6 years after termination of lease/ agreement or 6 years after conditions of grant satisfied (if applicable), whichever is later then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	Records relating to providing or subsidizing residential housing in buildings/units owned, used or maintained by the agency other than public housing/low-income housing subsidies provided pursuant to Title 24 CFR . Public Housing Authorities operate housing programs regulated by Title 24 CFR, and these records are covered in the Housing Authorities Records Retention Schedule . This new records series provides disposition authority for <i>any</i> other type of residential housing provided by <i>any</i> type of agency. Examples include unsubsidized housing, rural rental housing/assistance, farm labor housing, Rural Housing Stability Assistance Program (McKinney-Vento), etc. (Please read the records series for more details.)
Financial Transactions – Sensitive Authentication Data	GS2014-030 p. 93	Retain until completion of transaction then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM	Provides legal disposition authority for (only) “sensitive authentication data” as defined by the Payment Card Industry (PCI) Security Standards Council in its current Data Security Standard (PCI DSS). Does NOT provide disposition authority for cardholder data (primary account number/cardholder #, cardholder name, expiration date, service code, etc.) or <i>any other portion(s) of the financial transaction record</i> .
Disclosure of Former Employee Information to Prospective Employers	GS2014-031 p. 130	Retain for 3 years after disclosure of information then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	RCW 4.24.730 requires records to be retained that document disclosure of information to prospective employers. This new series covers information pertaining to <i>former</i> employees. (Records relating to the disclosure of information about <i>current</i> employees are covered by GS50-04B-06, <i>Personnel File</i> .)
Workforce Planning	GS2014-032 p. 133	Retain for 6 years after obsolete or superseded then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	This series covers records relating to planning activities used to develop the agency’s workforce (skills inventories/assessments; diversity, succession, recruitment & retention planning, etc.)

Note: **CORE** = Local Government Common Records Retention Schedule
DAN = Disposition Authority Number
SAO = State Auditor’s Office

REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided.
There have been no changes to titles or retention and disposition action.

DAN	Version 3.0 Title	Version 3.0 Retention	Version 3.1 Change and/or rationale
GS2012-018 Ver. 3.0 p. 21 Ver. 3.1 p. 21	Certification of Election – By Regulatory Agency	Retain until no longer needed for agency business then Destroy.	Added Conservation District elections (which are certified by the WA State Conservation Commission pursuant to RCW 89.08.110) to GS2012-018, and removed it from GS2012-019.
GS2012-019 Ver. 3.0 p. 22 Ver. 3.1 p. 22	Elections – Held and Certified by the Local Government Agency (Official Results)	Retain for 6 years after end of calendar year then Contact WSA for appraisal and selective retention.	
GS2012-028 Ver. 3.0 p. 42 Ver. 3.1 p. 42	Reporting/Filing (Mandatory) – Agency Management	Retain for 6 years after report or document submitted then Contact WSA for appraisal and selective retention.	Added “annual and 5-year plans submitted by Public Housing Authorities to HUD” for clarity.
GS2011-183 Ver. 3.0 p. 90 Ver. 3.1 p. 91	Financial Transactions – Bond, Grant and Levy Projects	Retain for 6 years after final bond payment or 6 years after completion of levy/ grant project or terms of grant agreement, whichever is later then Destroy.	Modified description to <u>include</u> authorized debt financing. Now <u>excludes</u> Sensitive Authentication Data covered by new series GS2014-030.
GS2011-184 Ver. 3.0 p. 91 Ver. 3.1 p. 92	Financial Transactions – General	Retain for 6 years after end of fiscal year then Destroy.	Now <u>excludes</u> Sensitive Authentication Data covered by new series GS2014-030.
GS50-04B-46 Ver. 3.0 p. 122 Ver. 3.1 p. 123	Employee Misconduct Investigation Files – Sustained	Retain for 3 years after case closed then Destroy.	Added two exclusions to each series: 1. Accusations/investigations of certain school/district employees covered more specifically in the <u>School Districts and Educational Service Districts Records Retention Schedule</u> ; 2. Records covered by LE03-01-05 or LE2010-059 in the <u>Law Enforcement Records Retention Schedule</u> . Both series will be reviewed/scrutinized during the 2015 Human Resources Management revision.
GS50-04B-47 Ver. 3.0 p. 123 Ver. 3.1 p. 124	Employee Misconduct Investigation Files – Unfounded	Retain until case closed then Destroy.	

REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided.
There have been no changes to titles or retention and disposition action.

DAN	Version 3.0 Title	Version 3.0 Retention	Version 3.1 Change and/or rationale
GS50-04B-06 Ver. 3.0 p. 130 Ver. 3.1 p. 131	Personnel File	Retain for 6 years after termination of employment then Destroy.	"Polygraph and psychological testing" added for clarity, per request from law enforcement.
GS50-06F-04 Ver. 3.0 p. 137 Ver. 3.1 p. 139	Publications – Master Set	Retain until no longer needed for agency business then Contact WSA for appraisal and selective retention.	Description enhanced to provide additional guidance. Excludes Annual Reports covered by GS50-05A-04, where they are designated "Archival – Permanent" and need no appraisal.
GS2010-017 Ver. 3.0 p. 143 Ver. 3.1 p. 145	Source Records – Imaged (Archival)	Retain until verification of successful conversion then Contact WSA for appraisal and selective retention.	Updated description to include current imaging requirements and to provide clarity. Exclusion for Superior Court records updated for accuracy.
GS50-09-14 Ver. 3.0 p. 143 Ver. 3.1 p. 145	Source Records – Imaged (Non-Archival)	Retain until verification of successful conversion then Destroy.	The current Washington State Requirements for the Destruction of Non-Archival Paper Records After Imaging can be found on our website at: http://www.sos.wa.gov/archives/RecordsManagement/Destruction-of-Public-Records.aspx/

DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANS)

Version 3.0 records series listed on the left have been discontinued. Current DANs are on the right.

Discontinued DAN Ver 3.0	Version 3.0 Title	Version 3.0 Retention	Schedule: Function: Activity	DAN	Title	Retention and Disposition	Rationale
GS2010-085 p. 148	Source Records – Reproduced (Superior Court Records)	Retain until verification of successful conversion then Destroy.	County Clerks and Superior Court Records Retention Schedule: Information Mgmt: Records Conversion	CL2010-085 p. 17	Source Records – Reproduced (Superior Court Records)	Retain until verification of successful conversion then Destroy.	Superior Court Clerks have authority to reproduce Superior Court records pursuant to RCW 36.23.065.

CORRECTED DAN REVISION NUMBERS

Corrections were made so that the **revision numbers** (e.g., "Rev. 0") in the *CORE* align with the revision numbers in the *online database*.
(History: Series transferred directly from LGRRS to CORE were manually assigned a "0" – but the database insisted on giving the relocated DANs a "1".)

CORE 3.1 (CORRECT)				CORE 3.0 (INCORRECT)
DAN	Page #	Revision #	Title	Revision #
GS50-16-09	p. 11	1	<i>Jurisdictional Boundary - Official</i>	0
GS52-03A-05	p. 12	1	<i>Jurisdictional Boundary – Development</i>	0
GS50-18-38	p. 12	1	<i>Jurisdictional Reference – Maps, Drawings, Photographs</i>	0
GS53-02-04	p. 32	1	<i>Litigation Case Files</i>	0
GS50-05A-13	p. 37	2	<i>Meetings – Governing/Executive</i>	3
GS50-06C-03	p. 44	4	<i>Accidents/Incidents – No Claim Filed (Under Age 18)</i>	3
GS50-06C-16	p. 45	1	<i>Insurance Policies Purchased</i>	0
GS50-18-08	p. 69	1	<i>Inspections – Bridges</i>	0
GS50-18-34	p. 71	1	<i>Monitoring (Traffic) – Analysis</i>	0
GS50-18-33	p. 72	1	<i>Monitoring (Traffic) – Raw Data</i>	0
GS50-03B-14	p. 90	2	<i>Financial Disputes and Collections - General</i>	1

For assistance and advice in applying records retention schedules,
please contact Washington State Archives at:

recordsmanagement@sos.wa.gov

or contact your Regional Archivist.