**This schedule applies to: Department of Corrections**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Corrections (DOC) relating to the unique functions of managing all state-operated adult correctional facilities and supervising adult offenders in facilities and who live in the community. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS),* 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 agency 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 Department of Corrections (and its predecessor agencies, including the formerly separate Indeterminate Sentence Review Board) are revoked. The Department of Corrections 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 April 5, 2023.

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| *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:**  **Heather Hirotaka** |

Revision History

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| --- | --- | --- |
| Version | Date of Approval | Extent of Revision |
| 1.0 | September 18, 2013 | Consolidation of all existing disposition authorities with some additions, deletions and minor revisions. | |
| 1.1 | December 4, 2013 | Added records for asbestos abatement to the Legacy section. | |
| 1.2 | March 12, 2015 | Added two new records series for cost of supervision and legal obligation and evidence management with other minor revisions. | |
| 1.3 | December 2, 2015 | Minor revisions to the Offender Custody and Security and Control sections and designation of “Essential” records. | |
| 1.4 | September 6, 2017 | Added two new series – Requests for Use of Medical Cannabis and Offender Family Support Services, revoked “Community Supervision Records – Life Sentence Offenders (DAN 02-03-60357)”. | |
| 1.5 | April 4, 2018 | Minor revisions to the Offender Health Information Management and Offender Custody sections. | |
| 1.6 | April 5, 2023 | Added two new records series for Department of Institutions patient treatment files to the Legacy section. | |

For assistance and advice in applying this records retention schedule,

please contact the Department of Corrections’ Records Officer

or Washington State Archives at:

[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)

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1. COMMUNITY CORRECTIONS MANAGEMENT

This section covers records relating to the management of previously incarcerated offenders requiring supervision and monitoring after release into the community.

| * 1. COMMUNITY CORRECTIONS   *The activity of monitoring offenders under supervision or probation in community corrections.* | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 01-12-60300  Rev. 1 | ***Chemical Dependency – County Boarders***  Records relating to offenders assigned to Department of Corrections’ supervision from counties around the state for chemical dependency treatment only.  Includes, but is not limited to:   * Referral forms; * Evaluations; * Treatment plans; * Discharge records. | **Retain** for 6 years after end of treatment  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 02-03-60356  Rev. 1 | ***Community Supervision Records – Registered/Sex Offenders (Deceased)***  Records relating to a non-incarcerated offender while under supervision documenting legal authority for the supervision and release of the offender where the offender was either registered and/or was a sex offender in accordance with RCW 9A.44.130 and is deceased.  Includes, but is not limited to:   * Criminal history; * Classification; * Infractions; * Sentencing information.   *Note: Commonly referred to as “field files”. These files are used by field supervisors and correctional officers of Community Corrections Offices.* | **Retain** for 10 years after date of death  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 02-03-60358  Rev. 1 | ***Community Supervision Records – Registered/Sex Offenders (General)***  Records relating to a non-incarcerated offender while under supervision documenting legal authority for the supervision and release of the offender where the offender is registered and/or is a sex offender in accordance with RCW 9A.44.130.  Includes, but is not limited to:   * Criminal history; * Classification; * Infractions; * Sentencing information.   Excludes records covered by:   * *Community Supervision Records – Registered/Sex Offenders (Deceased) (DAN 02-03-60356)*.   *Note: Commonly referred to as “field files”. These files are used by field supervisors and correctional officers of Community Corrections Offices.* | **Retain** for 50 years after last supervised sentence closed  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 13-09-68469  Rev. 1 | ***Community Supervision Records – Asbestos Worker Offenders***  Records relating to a non-incarcerated offender while under supervision documenting legal authority for the supervision and release of the offender where the offender was involved with asbestos abatement/exposure while under Department of Corrections’ jurisdiction.  Includes, but is not limited to:   * Criminal history; * Classification; * Infractions; * Asbestos worker information; * Sentencing information.   Excludes records covered by:   * *Community Supervision Records – Registered/Sex Offenders (Deceased) (DAN 02-03-60356)*; * *Community Supervision Records – Registered/Sex Offenders (General) (DAN 02-03-60358)*.   *Note: Commonly referred to as “field files”. These files are used by field supervisors and correctional officers of Community Corrections Offices.* | **Retain** for 30 years after last supervised sentence closed  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 82-02-29579  Rev. 4 | ***Community Supervision Records – Offenders (General)***  Records relating to a non-incarcerated offender while under supervision giving legal authority for the supervision and release of each offender where not covered by a more specific records series.  Includes, but is not limited to:   * Criminal history; * Classification; * Infractions; * Sentencing information.   Excludes records covered by:   * *Community Supervision Records – Registered/Sex Offenders (Deceased) (DAN 02-03-60356)*; * *Community Supervision Records – Registered/Sex Offenders (General) (DAN 02-03-60358)*; * *Community Supervision Records – Asbestos Worker Offenders (DAN 13-09-68469)*.   *Note: Commonly referred to as “field files”. These files are used by field supervisors and correctional officers of Community Corrections Offices.* | **Retain** for 10 years after last supervised sentence closed  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 15-03-68734  Rev. 0 | ***Evidence/Property In Custody – Management***  Records documenting the intake, management, and disposition of property acquired by the agency as evidence or for safekeeping. **Does not include the actual evidence which should be managed in accordance with applicable federal, state or local law, court order, and/or agency policy.**  Includes, but is not limited to:   * Evidence/property in/out logs; * Documentation relating to disposition (destruction, return to owner, return to jurisdictional agency, etc.). | **Retain** for 6 years after disposition of evidence/property  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 02-03-60353  Rev. 1 | ***Infractions Hearings***  Records relating to offender hearings resulting from an infraction which occurred during any kind of community supervision.  Includes, but is not limited to:   * Formal legal motions and checklists; * Decisions and appeals.   Excludes records covered by *Prison Hearings (DAN 83-06-32474)*. | **Retain** for 10 years after date of hearing  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 17-09-69121  Rev. 0 | ***Requests for Use of Medical Cannabis***  Records documenting the process initiated by offenders requesting permission to use medical marijuana when prescribed by a health care professional.  Includes, but is not limited to:   * Valid, signed request; * Request for medical use of cannabis verification; * Authorization for disclosure of health information; * Copy of the notification letter of approval or denial; * Individual’s medical background information; * Any appeals. | **Retain** for 6 years after request is approved/denied and appeal period has expired  *then*  **Destroy**. | non-archival  non-essential  OPR |

| * 1. OFFENDER RELEASE   *The activity of the review and determination of parole eligibility, status and release to community custody, or return to incarceration.*  *NOTE: These records series were created and retained by the Indeterminate Sentence Review Board prior to transfer to Department of Corrections.* | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 15-03-68735  Rev. 0 | ***Cost of Supervision (COS)/Legal Financial Obligation (LFO) – Tracking***  Records relating to Department of Corrections’ (DOC) interaction with offenders and/or superior court regarding the DOC-assigned cost of supervision or the court-ordered legal financial obligation which document the collection process.  Includes, but is not limited to:   * Communication with individual offenders or their representatives; * Documentation of offender account adjustments, assessments, or corrections.   Excludes account/debt collection records covered by *Legal Financial Obligations (LFO) – Processing (DAN 95-12-56269)*.  *Note: Reference RCWs 9.94A3030(30); 9.94A.780; 72.11.020; 9.94A.753.* | **Retain** for 6 years after death of offender  *or*  financial obligation paid in full  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 13-09-68467  Rev. 0 | ***Hearing Docket Lists***  Records relating to the administrative development and scheduling of hearings for the Indeterminate Sentence Review Board.  Includes, but is not limited to:   * Hearing calendars, docket lists and schedules; * Hearing preparation and development notes.   *Note: Replaces DAN 09-04-61992 granted to the formerly separate Indeterminate Sentence Review Board.* | **Retain** for 2 years after date of hearing  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 13-09-68468  Rev. 0 | ***Offender Records – Indeterminate Sentence Review Board***  Records relating to the Indeterminate Sentence Review Board (ISRB) determinations if offender is eligible for release from incarceration or return.  Includes, but is not limited to:   * Complete offender criminal information; * Relevant history, reports, analysis; * Statements (attorney, victims, family, friends); * Judgment and sentence; * Decisions, votes, and orders; * Release decisions/Release orders; * Violations, suspensions, parole revocations; * Discharge (conditional or final).   Excludes records covered by *Offender Records – Indeterminate Sentence Review Board (Deceased Offenders) (DAN 13-09-68468)*.  *Note: Replaces DAN 80-05-24969 granted to the formerly separate Indeterminate Sentence Review Board.* | **Retain** for 50 years after maximum term of sentence  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 13-09-68471  Rev. 0 | ***Offender Records – Indeterminate Sentence Review Board (Deceased Offenders)***  Records relating to the Indeterminate Sentence Review Board (ISRB) determinations if offender was eligible for release from incarceration or return and the offender is deceased.  Includes, but is not limited to:   * Complete offender criminal information; * Relevant history, reports, analysis; * Statements (attorney, victims, family, friends); * Judgment and sentence; * Decisions, votes, and orders; * Release decisions/Release orders * Violations, suspensions, parole revocations; * Discharge (conditional or final). | **Retain** for 10 years after death  *then*  **Destroy**. | non-archival  non-essential  OPR |

1. FACILITY AND INCARCERATION MANAGEMENT

This section covers records relating to managing correctional facilities and incarcerated offenders.

| * 1. FINANCIAL AND PROPERTY   *The activity of managing offender finances and property while incarcerated.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 95-12-56268  Rev. 2 | ***Financial and General Issues – Offender***  Provides a record of responses to questions for resolving other issues and for inquiries related to Trust Fund and debt activity and ***that are not covered by a more specific records series.*** | **Retain** for 2 years after end of fiscal year  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 95-12-56269  Rev. 4 | ***Legal Financial Obligations (LFO) – Processing***  Records relating to disbursement vouchers certified for payment to the State Treasurer which includes the account classification for each transaction.  Maintains records of legal financial obligation payments showing:   * Offender's name and dollar amount; * County owed, and cause number.   Withdrawals are listed by:   * Institutions and offender name; * Amount of payment due for current month. | **Retain** for 10 years after end of fiscal year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 95-12-56264  Rev. 4 | ***Local Funds***  Records relating to local fund financial activities. Lists of amounts and debtors of the Community Service Revolving Fund (CSRF) loan account and monthly replenishment to the appropriate funds. Also includes promissory notes signed upon receipt of CSRF loans.  Includes, but is not limited to:   * Banking transactions; * Funds/vouchers used to pay for supplies for offender programs; * Commissions paid to the department for offender telephone services; * Revenues received/vouchers paid for direct payment for payroll error correction; * Gate release money; * Supplies and emergency purchases and legal photocopy requests; * Postage transfers and indigent offender postage requests; * Offender fund/personal accounts. | **Retain** for 6 years after end of fiscal year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 95-12-56265  Rev. 3 | ***Non-Legal Financial Obligation (Non-LFO) Court Orders***  Records relating to requests from the Attorney General's Office for collecting fines and restitution from offenders as per court order.  Includes, but are not limited to:   * Cost/bill documents and correspondence; * Monthly summaries to the Attorney General’s office. | **Retain** for 6 years after end of fiscal year  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 82-12-30735  Rev. 3 | Offender Earnings/Payroll  Records relating to payroll deductions and disbursements of offender earnings in accordance with RCW 72.65.050, including employment by Correctional Industries.  Includes, but is not limited to:   * Pay status; * Rate of pay; * Hours worked; * Attendance records. | **Retain** for 6 years after end of fiscal year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 89-06-44443  Rev. 2 | ***Personal Property – Offender***  Records relating to offender personal property while in the custody of a particular institution.  Includes, but is not limited to:   * Inventory of offender property; * Release and return; * Unclaimed personal property disposition. | **Retain** for 1 year after transfer/release/death  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 95-12-56366  Rev. 2 | ***Store Orders – Offenders***  Provides a record of supplies ordered by individual offenders from the Offender Stores for monitoring purposes.  Includes, but is not limited to:   * Invoices and receipts.   Excludes the financial transactions or purchasing records for supplies covered in the *State Government General Records Retention Schedule (SGGRRS)*. | **Retain** for 1 year after end of fiscal year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 95-12-56262  Rev. 3 | ***Unclaimed Property – Funds***  Records relating to requests for proper authorization to return funds due to an offender.  Includes, but is not limited to:   * Offender names and amounts of unclaimed funds; * Records of monies sent to the Community Service Revolving Fund (CSRF) when owner cannot be found. | **Retain** for 6 years after end of fiscal year  *then*  **Destroy**. | non-archival  non-essential  OPR |

| * 1. FOOD AND COMMISSARY SERVICES   *The activity of providing for the dietary and hygiene needs of offenders and access to commissary services.*  *See State Government General Records Retention Schedule for additional records relating to asset management (such as inventory, usage, purchasing and acquisitions) and financial management (such as accounting and auditing).* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 13-09-68452  Rev. 0 | ***Commissary – Free Issue***  Provides records of items provided to offenders at no cost to the offender. | **Retain** for 6 years after end of fiscal year  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 13-09-68453  Rev. 0 | Food Services – General  Records relating to meals and food programs provided to the general offender population.  Includes, but is not limited to:   * Daily meal counts; * Menus. | **Retain** until no longer needed for agency business  *then*  **Destroy**. | non-archival  non-essential  OFM |

| * 1. OFFENDER CUSTODY   The activity relating to offenders currently and previously incarcerated in the state’s correctional facilities. | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 11-12-62897  Rev. 1 | ***Offender Incarceration Records – Ordered to be Destroyed/Expunged***  Records relating to the legal authority and history for the incarceration and release of an offender where the records have been ordered to be destroyed/expunged in accordance with RCW 10.97.060 and RCW 13.50.050. | **Retain** until criteria in destruction order has been met  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 13-09-68466  Rev. 1 | ***Offender Incarceration Records – Summary Information (All Offenders)***  Summary records of each offender documenting:   * Name of offender, age, offender photo identification; * Summary of crimes and convictions; * Physical characteristics and other relevant information.   Includes, but is not limited to:   * “Face Sheets” in the hardcopy offender incarceration files; * Records in the Department of Corrections’ offender databases (such as OMNI, etc.).   Excludes records covered by more specific Offender Incarceration Records series:   * *Ordered to be Destroyed (DAN 11-12-62897)*. | **Retain** until relevant offender record is eligible for disposition in accordance with this records retention schedule  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  OPR |
| 13-09-68465  Rev. 0 | ***Offender Incarceration Records – Registered/Sex Offenders (Notorious/Historically Significant)***  Records relating to the legal authority and history for the incarceration and release of an offender where the offender was a convicted registered offender or sex offender (or both) in accordance with RCW 9A.44.130 and was convicted for notorious or historically significant major crimes such as kidnapping or rape, such as a serial rapist. Criteria includes, but is not limited to:   * Public notoriety and level of media coverage, worthy of making headlines (such as “Barefoot Bandit”, “Green River Killer”, etc.); * Unusual circumstances of crime or conviction (e.g., cattle rustling – common in 1896 and not so common now, or conviction due to self-incriminating YouTube, etc.); * Life-sentence offenders; * Any famous personalities or celebrities involved (not necessarily committing the crime, maybe involved as a victim).   Files may include, but is not limited to:   * Criminal history; * Classification; * Infractions; * Sentencing information; * Release documentation.   Excludes records covered by more specific Offender Incarceration Records series:   * *Ordered to be Destroyed (DAN 11-12-62897)*; * *Summary Information (All Offenders) (DAN 13-09-68466)*.   *Note: Commonly referred to as “central files”. These files are used by staff and correctional officers for those incarcerated or previously incarcerated in the state’s correctional facilities.* | **Retain** for 50 years after last prison sentence closed  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 02-03-60354  Rev. 1 | ***Offender Incarceration Records – Registered/Sex Offenders (Deceased)***  Records relating to the legal authority and history for the incarceration and release of an offender where the offender was a convicted registered offender or sex offender (or both) in accordance with RCW 9A.44.130 and has deceased.  Includes, but is not limited to:   * Criminal history; * Classification; * Infractions; * Sentencing information; * Release documentation.   Excludes records covered by more specific Offender Incarceration Records series:   * *Ordered to be Destroyed (DAN 11-12-62897)*; * *Summary Information (All Offenders) (DAN 13-09-68466)*; * *Registered/Sex Offenders (Notorious/Historically Significant) (DAN 13-09-68465)*.   *Note: Commonly referred to as “central files”. These files are used by staff and correctional officers for those incarcerated or previously incarcerated in the state’s correctional facilities.* | **Retain** for 10 years after death  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 98-11-58951  Rev. 2 | ***Offender Incarceration Records – Registered/Sex Offenders (General)***  Records relating to the legal authority and history for the incarceration and release of an offender where the offender is a convicted registered offender or sex offender (or both) in accordance with RCW 9A.44.130.  Includes, but is not limited to:   * Criminal history; * Classification; * Infractions; * Sentencing information; * Release documentation.   Excludes records covered by more specific Offender Incarceration Records series:   * *Ordered to be Destroyed (DAN 11-12-62897)*; * *Summary Information (All Offenders) (DAN 13-09-68466)*; * *Registered/Sex Offenders (Notorious/Historically Significant) (DAN 13-09-68465)*; * *Registered/Sex Offenders (Deceased) (DAN 02-03-60354)*.   *Note: Commonly referred to as “central files”. These files are used by staff and correctional officers for those incarcerated or previously incarcerated in the state’s correctional facilities.* | **Retain** for 50 years after last prison sentence closed  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 13-09-68464  Rev. 0 | ***Offender Incarceration Records – Notorious/Historically Significant Offenders***  Records relating to the legal authority and history for the incarceration and release of an offender where the offender has been convicted for notorious or historically significant major crimes such as serial murder or a major crime spree. Criteria includes, but is not limited to:   * Public notoriety and level of media coverage, worthy of making headlines (such as “Barefoot Bandit”, “Green River Killer”, etc.); * Unusual circumstances of crime or conviction (e.g., cattle rustling – common in 1896 and not so common now, or conviction due to self-incriminating YouTube, etc.); * Life-sentence offenders; * Any famous personalities or celebrities involved (not necessarily committing the crime, maybe involved as a victim).   Files may include, but is not limited to:   * Criminal history; * Classification; * Infractions; * Sentencing information; * Release documentation.   Excludes records covered by more specific Offender Incarceration Records series:   * *Ordered to be Destroyed (DAN 11-12-62897)*; * *Summary Information (All Offenders) (DAN 13-09-68466)*; * *Registered/Sex Offenders (Notorious/Historically Significant) (DAN 13-09-68465)*; * *Registered/Sex Offenders (Deceased) (DAN 02-03-60354)*; * *Registered/Sex Offenders (General) (DAN 98-11-58951)*.   *Note: Commonly referred to as “central files”. These files are used by staff and correctional officers for those incarcerated or previously incarcerated in the state’s correctional facilities.* | **Retain** for10 years after last prison sentence closed  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 02-03-60355  Rev. 1 | ***Offender Incarceration Records – Asbestos Worker Offenders***  Records relating to the legal authority and history for the incarceration and release of an offender where the offender was involved with asbestos abatement/exposure while under Department of Corrections’ jurisdiction.  Includes, but is not limited to:   * Criminal history; * Classification; * Infractions; * Sentencing information; * Release documentation; * Documentation regarding exposure to asbestos.   Excludes records covered by more specific Offender Incarceration Records series:   * *Ordered to be Destroyed (DAN 11-12-62897)*; * *Summary Information (All Offenders) (DAN 13-09-68466)*; * *Registered/Sex Offenders (Notorious/Historically Significant) (DAN 13-09-68465)*; * *Registered/Sex Offenders (Deceased) (DAN 02-03-60354)*; * *Registered/Sex Offenders (General) (DAN 98-11-58951)*; * *Notorious/Historically Significant Offenders (DAN 13-09-68464)*.   *Note: Commonly referred to as “central files”. These files are used by staff and correctional officers for those incarcerated or previously incarcerated in the state’s correctional facilities.* | **Retain** for 30 years after last prison sentence closed, release or death, whichever is sooner  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 82-02-29580  Rev. 4 | ***Offender Incarceration Records – Offenders (General)***  Records related to the legal authority and history for the incarceration and release of an offender where not covered by a more specific records series.  Includes, but is not limited to:   * Criminal history; * Classification; * Infraction; * Sentencing information; * Release documentation.   Excludes records covered by more specific Offender Incarceration Records series:   * *Ordered to be Destroyed (DAN 11-12-62897)*; * *Summary Information (All Offenders) (DAN 13-09-68466)*; * *Registered/Sex Offenders (Notorious/Historically Significant) (DAN 13-09-68465)*; * *Registered/Sex Offenders (Deceased) (DAN 02-03-60354)*; * *Registered/Sex Offenders (General) (DAN 98-11-58951)*; * *Notorious/Historically Significant Offenders (DAN 13-09-68464)*; * *Asbestos Worker Offenders (DAN 02-03-60355)*.   *Note: Commonly referred to as “central files”. These files are used by staff and correctional officers for those incarcerated or previously incarcerated in the state’s correctional facilities.* | **Retain** for 10 years after last prison sentence closed  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 11-12-62899  Rev. 2 | ***Offender Work Supervision***  Documentation tracking the Department of Corrections’ or local county offender’s job assignments (receiving compensation or not) while working for a Corrections facility, Correctional Industries, or while working on any Corrections work crew or Corrections Community Restitution crew.  Includes, but is not limited to:   * Offender job descriptions and job applications; * Performance evaluations; * Work time tracking; * Safety orientations and specialized safety training; * Workplace rules, expectations and policies; * Certificates and awards; * Program applications and recommendation referral; * Release of information form; * Signed OSHA forms.   Excludes records covered by *Offender Earnings/Payroll (DAN 82-12-30735)*. | **Retain** for 6 years afterwork assignment terminated  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 83-06-32474  Rev. 3 | ***Prison Hearings***  Records relating to any Indeterminate Sentencing Review Board (ISRB) infractions or other types of infractions committed by an offender while incarcerated and in response to an offender appeals. Also covered are hearings by the juvenile board, community custody board and in-person progress hearings.  Includes, but is not limited to:   * Hearing packet documents; * Tapes or other media used to record hearings, WAC 137-28-310 (1)(c); * Disciplinary actions, duration of confinement; * Reduction of serious to minor infraction; * Not guilty findings and appeals.   Excludes ISRB decisions covered by *Offender Records – Indeterminate Sentence Review Board (DAN 13-09-68468)*.  *Note: Reference WAC 381-60-180; WAC 381-90-170; RCW 34.05.220.* | **Retain** for 2 years after date of hearing  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 15-12-68843  Rev. 0 | ***Sex Offender Treatment Program (SOTP)***  Records related to the voluntary sex offender treatment program offered by the Department of Corrections to qualifying offenders.  Includes, but is not limited to:   * SOTP inmate application; * Consent forms; * Risk assessment and addendum; * Psychological evaluation; * Behavior Contract; * Treatment and Release Plan; * Monthly/Quarterly/Weekly/Bi-Weekly Group/Progress Notes and Summaries; * Authorization to release information; * Miscellaneous related documentation.   *Note: Series contains confidential information. Judgment and Permanent Injunction #91-2-02281-7 limited release of SOTP information on offenders who participated in treatment prior to 10/17/1990. The release of information is now governed by existing Public Disclosure laws (chapter 42.56 RCW) and any applicable exemptions.* | **Retain** for 50 years after end of participation in program  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 15-12-68844  Rev. 0 | ***Sex Offender Treatment Program (SOTP) – Deceased Offender***  Records related to the voluntary sex offender treatment program offered by the Department of Corrections to qualifying offenders.  Includes, but is not limited to:   * SOTP inmate application; * Consent forms; * Risk assessment and addendum; * Psychological evaluation; * Behavior Contract; * Treatment and Release Plan; * Monthly/Quarterly/Weekly/Bi-Weekly Group/Progress Notes and Summaries; * Authorization to release information; * Miscellaneous related documentation.   *Note: Series contains confidential information. Judgment and Permanent Injunction #91-2-02281-7 limited release of SOTP information on offenders who participated in treatment prior to 10/17/1990. The release of information is now governed by existing Public Disclosure laws (chapter 42.56 RCW) and any applicable exemptions.* | **Retain** for 10 years after end of participation in program  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 01-05-60069  Rev. 2 | ***Work Release***  Records relating to individual offenders participating in work release programs.  Includes, but is not limited to:   * Point to point passes; * Job related assignments; * Pertinent contractor documents. | **Retain** for 3 years after last date of work release participation  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 83-06-32524  Rev. 2 | ***Working/Reference File – Offender***  Working/reference files maintained by correctional officers relating to their particular assigned offenders.  Includes, but is not limited to:   * Reference/duplicate copies of other records; * Transitory records not covered by a more specific records series. | **Retain** for 2 years after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OFM |

| * 1. OFFENDER HEALTH INFORMATION MANAGEMENT   *The activity of providing health care services and managing medical records for offenders while incarcerated. Includes medical, dental and psychiatric records.* | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 83-06-32507  Rev. 2 | ***Diagnostic Images and X-Rays***  Records relating to diagnostic imaging or X-rays taken of an offender to satisfy treatment and/or diagnose a medical problem.  Excludes interpretive reports and other records covered by *Offender Health Records (DAN 83-06-32502)*. | **Retain** for 5 years after date of image or x-ray  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 93-05-54595  Rev. 2 | ***Health Record Disclosure***  Records relating to the disclosure of information from an offender's health record. | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 83-06-32503  Rev. 3 | ***Health Services – Facilities***  Records relating to the administrative operations of the facilities that provide healthcare services to offenders.  Includes, but is not limited to:   * Reports of operations; * Levels of services provided; * General tracking information of facility use. | **Retain** for 6 years after end of fiscal year  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 83-06-32506  Rev. 2 | ***Health Services – Logs***  Records relating to log of usage and other documentation of medical equipment, supplies, and instruments used in the facilities.  Includes, but is not limited to:   * Testing of autoclave; * Needle/syringe counts; * Daily inventory and counts of instruments; * Inventory of medications issued in living units. | **Retain** for 2 years after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 83-06-32502  Rev. 5 | ***Offender Health Records***  Provides records of healthcare services provided to individual offenders while under the jurisdiction of the Department of Corrections.  Includes, but is not limited to:   * Screenings and health history information; * Provider documentation of medical, dental, and mental health encounters with patients. * Notes and correspondence related to patient care; * Laboratory and diagnostic test results; * Diagnostic images interpretive reports; * Outpatient, infirmary, consultation, and emergency care.   Excludes records covered by *Diagnostic Images and X-Rays (DAN 83-06-32507)*. | **Retain** for 10 years after release from prison  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OPR |
| 94-11-54753  Rev. 2 | ***Sick Call Register***  Provides records of scheduling offender medical appointments and sick call requests.  Includes, but is not limited to:   * Scheduling calendars/appointment books; * Sick call requests by offenders. | **Retain** for 1 year after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OPR |

| * 1. OFFENDER MOVEMENT   *The activity of tracking and monitoring movement of offenders into, within or out of the correctional facility.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 13-09-68454  Rev. 0 | Extraditions  Records relating to agency planning and coordination of offender extraditions to out-of-state detention facilities. | **Retain** for 6 years after extradition fulfilled, cancelled or expired  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 83-06-32467  Rev. 3 | ***Movement Rosters – Counts and Lists***  Records relating to tracking offender populations.  Includes, but is not limited to:   * Offender movement and location; * Offender population; * Various lists of offenders relating to work assignments, name and identification numbers, release dates; * Offender lists of lay-in status or not released from assigned units for work or other assignments. | **Retain** for2 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 95-05-54932  Rev. 2 | ***Transportation – Offenders***  Records relating to the transport of offenders to and from the institutions or offenders transporting into a facility from the county of origin.  Includes, but is not limited to:   * Transportation officer receipts; * Transport records from county facility. | **Retain** for3 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

| * 1. SECURITY AND CONTROL   *The activity of imposing control over offender populations in an effort to provide protection and prevent security disturbances and improper conduct.* | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 83-06-32479  Rev. 2 | ***Cell Search Reports and Findings***  Records relating to offender cell searches and any findings. | **Retain** for 1 year after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 86-06-36802  Rev. 4 | ***Grievances – Offender***  Records relating to informal complaints, formal grievances and appeals through three levels of review.  Includes, but is not limited to:   * Grievance investigative reports and documentation; * U.S. District Court cases remanded to local facilities for processing through the grievance mechanism.   *Note: The Offender Grievance Program may be accessed by all offenders under the jurisdiction of the Department of Corrections.* | **Retain** for6 years after end of complaint or grievance  *and*  close of any appeals  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 83-06-32529  Rev. 2 | ***Incident Report***  Records relating to the summary and circumstances of any reportable incident in any facility.  Includes, but is not limited to:   * Records of physical force used against offenders and the date, times and circumstances; * Recordings of incidents (e.g. tapes, CDs, DVDs).   Excludes records covered by *Incident Report – Official Copy (DAN 09-07-62084)*. | **Retain** for6 years after incident closes  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 09-07-62084  Rev. 3 | ***Incident Report – Official Copy***  Final report generated and submitted to Department of Corrections (DOC) headquarters as the result of any reportable incident(s) at or in any DOC facility.  Includes, but is not limited to:   * Summary and circumstances surrounding any reportable incident(s); * Date, time and location of incident; * Names of all parties involved, i.e. staff, offender(s) or visitor(s) involved in the reportable incident; * Documentation of deterrents implemented by the Security Threat Group process.   Excludes records covered by *Incident Report (DAN 83-06-32529)*. | **Retain** for10 years after final report completed  *then*  **Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**  **(Appraisal Required)**  NON-ESSENTIAL  OPR |
| 07-09-61627  Rev. 1 | ***Intelligence Analysis***  Records used to anticipate, prevent, or monitor possible unethical and/or criminal activity.  Includes, but is not limited to:   * Reports and complaints; * Photographs and profile information; * Interoffice memoranda generated or accumulated in connection with investigations. | **Retain** for1 year after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 85-04-35249  Rev. 2 | ***Investigations***  Records relating to intelligence gathering information relating to investigations of security disturbances and/or improper conduct that may involve:   * Offenders and staff; * Vendors and contractors; * Visitors and volunteers.   Includes, but is not limited to:   * Incident and investigation reports; * Copies of evidence cards; * Photographs; * Interview acknowledgement forms.   Excludes records covered by *Investigations – Prison Rape Elimination Act (PREA) (DAN 13-09-68455)*. | **Retain** for5 years after close of investigation  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 13-09-68455  Rev. 0 | ***Investigations – Prison Rape Elimination Act (PREA)***  Records relating to prison rape investigations as designated by 28CFR Parts 115.71 and 115.271 involving but not limited to offenders and staff.  Includes, but is not limited to:   * Incident and investigation reports; * Copies of evidence cards; * Photographs; * Interview acknowledgement forms. | **Retain** for50 years after close of investigation  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 13-09-68456  Rev. 0 | ***Law Library Access***  Records relating to requests from offenders for access to facility’s law library.  Includes, but is not limited to:   * Granted or denied requests; * Scheduling; * Call-out logs; * Copies of offender’s filed court documents. | **Retain** for2 years after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 83-06-32469  Rev. 3 | ***Logs – Security and Control***  Logs relating to the various types of tracking throughout the facility to include movements of physical items (vehicles, keys, tools), staff and offenders.  Includes, but is not limited to:   * Custody, key, tool and vehicle control; * Cell block and unit tower security and control; * Drug screening and urinalysis; * Administrative segregation; * Telephone logs; * Offender mail logs; * Offenders who were in lay-in status or not released from assigned units for work or other assignments. | **Retain** for 2 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 13-09-68457  Rev. 0 | Mail and Property Surveillance  Records relating to the inspection and review of mail and other materials or items sent to or received by inmates. Mail and materials are reviewed for appropriate content and usage and may be rejected or held from inmate as necessary.  Includes, but is not limited to:   * Mail rejection notices and appeals.   Examples of unauthorized mail may include, but are not limited to:   * Mail to and from restricted persons; * Threats, blackmail, extortion; * Plans for constructing weapons, bombs, incendiary devices; * Escape plans; * Facility security device plans; * Codes; * Pornography. | **Retain** for 3 years after conclusion of review  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 17-09-69122  Rev. 0 | ***Offender Family Support Services***  Records relating to Department of Corrections’ sponsored/supported social activities or events designed to support relationships between offenders and their families. Activities may be on a one-to-one basis or may involve participation in organizations such as Boy or Girl Scouts or other approved clubs or organizations that promote family interaction.  Includes, but is not limited to:   * Parent/child or husband/wife related activities; * Seasonal, holiday or other special occasion (birthday, anniversary) related activities and events; * Applications for participation (denied and accepted); * Waivers/releases; * Related documentation.   *Note: This series does not cover mandated or policy-activated department programs, any financial documentation, planning or organizational documentation.* | **Retain** until activity/event is completed  *or*  participation has ended  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 82-12-30772  Rev. 3 | ***Population Management Report***  Records relating to the daily record of movement of offenders throughout the prison system. The statistical data is a composite of all institutions. | **Retain** for 3 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 83-06-32482  Rev. 3 | ***Roster Management***  Records relating to staff rosters and assignments.  Includes, but is not limited to:   * Requested staff holdovers, and reason for holdover; * Staff assignments and duty stations worked; * Special and emergency post orders; * Sign off sheets. | **Retain** for2 years after end of assignment/duty  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  OFM |
| 07-09-61628  Rev. 1 | ***Security Audio Recordings and Monitoring***  Records relating to any audio recordings (including telephones) for any facility or site per RCW 9.73.095(3)(c). | **Retain** for 1 year after date of recording  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 83-06-32472  Rev. 2 | ***Security Checks***  Records relating to all security checks for any facility or site.  Includes, but is not limited to:   * Custody and maintenance; * Area searches and perimeter inspections; * Fence checks; * Reports and monitoring information. | **Retain** for 2 years after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 13-09-68458  Rev. 0 | ***Strip/Body Cavity Searches***  Records relating to strip or body cavity searches performed on offenders.  Includes, but is not limited to:   * Authorizations; * Warrants; * Statements of results/reports. | **Retain** for 6 years after date of search  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 83-06-32481  Rev. 2 | ***Visitor Records – Non-Offender***  Records relating to visitors touring or visiting facility not related to an offender visit, such as students, legislators, law enforcement and vendors.  Includes, but is not limited to:   * Signed "Consent to Search" documents; * Records of those approved, disapproved, removed, suspended, or terminated from visiting. | **Retain** for 1 year after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OFM |
| 83-06-32465  Rev. 2 | ***Visitor Records – Offender***  Records relating to visitors applying to visit an offender in an institution.  Includes, but is not limited to:   * Signed “Consent to Search” documents; * Records of those approved, disapproved, removed, suspended, or terminated from visiting. | **Retain** for 2 years after end of calendar year  *then*  **Destroy**. | non-archival  non-essential  OFM |

| * 1. SENTENCING   *The activity of the review and determination of offender civil commitments and pre-release review of sentence.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 97-08-58038  Rev. 4 | ***Civil Commitment Referrals***  Records relating to referrals to the End of Sentence Review Sub-Committee (ESRC) for Civil Commitment Referrals (Pre-Filing) for offenders such as sexual predators who have been identified by the ESRC for a forensic psychological evaluation to determine whether they meet criteria for civil commitment under chapter 71.09 RCW.  Includes, but is not limited to:   * Referrals and recommendations for review; * Evaluation results; * Committee decision for commitment action. | **Retain** for 50 years after committee decision date  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 97-08-58037  Rev. 4 | ***End of Sentence Review (ESR)***  Records relating to the End of Sentence Review Committee (ESRC) files for offenders referred for review at the end of serving their sentence.  Includes, but is not limited to:   * Criminal and mental health history; * Copies of other documentation from the offender’s file. | **Retain** for 50 years after actual release date from institutional custody  *then*  **Destroy**. | non-archival  non-essential  OPR |
| 02-03-60359  Rev. 3 | ***End of Sentence Review (ESR) and Civil Commitment – Deceased Offender Files***  Records relating to the End of Sentence Review (ESR) Offender Files (DAN 97-08-58037) or Civil CommitmentReferrals (DAN 97-08-58038) in the event of the death of the offender. | **Retain** for 10 years after date of death  *then*  **Destroy**. | non-archival  non-essential  OPR |

1. LEGACY RECORDS

This section covers records no longer being created or received by the Department of Corrections and the remaining records have yet to reach their minimum retention period.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 13-12-68484  Rev. 0 | ***Asbestos Abatement and Remediation***  Records relating to asbestos-related projects undertaken by the Correctional Industries section while training and utilizing offenders. Information retained per WAC 296-62-07727.  Includes, but is not limited to:   * Environmental Assessments and Reports; * Permits, licenses, certifications, accreditations; * Hazardous waste control and disposal plans/slips; * Subcontracts to include shipping of hazardous materials; * Exposure and occupational-related forms signed by offenders; * Project proposals.   *Note: Correctional Industries stopped performing asbestos-related projects at the end of 2013.* | **Retain** for 35 years after completion of project  *then*  **Destroy**. | NON-archival  non-essential  OPR |
| 23-04-69691  Rev. 0 | ***Department of Institutions Patient Treatment Files – Historically Significant***  Records created under the former Department of Institutions (DOI) relating to historically significant or groundbreaking patient treatment prior to 1981, including treatments that prompted the adoption of new methods or were the subject of controversy.  Includes, but is not limited to:   * Records relating to the development and/or implementation of historically significant treatment; * Annual reports for medical facilities documenting participation in historically significant treatment; * Correspondence proposing/requesting and approving or rejecting/denying treatment options.   *Note: Documents may contain confidential health care information. Release of medical information is governed by chapter 70.02 RCW and RCW 42.56.365(2).* | **Retain** for 10 years after end of treatment  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OPR |
| 23-04-69692  Rev. 0 | ***Department of Institutions Patient Treatment Files – Routine***  Records created under the former Department of Institutions (DOI) relating to routine patient treatment prior to 1981.  Includes, but is not limited to:   * Patient treatment files; * Monthly reports and population counts; * Related correspondence and memos.   *Note: Documents may contain confidential health care information. Release of medical information is governed by chapter 70.02 RCW and RCW 42.56.365(2).* | **Retain** for 10 years after end of treatment  *then*  **Destroy**. | NON-archival  NON-ESSENTIAL  OPR |

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| ***Appraisal*** |
| The process of determining the value and disposition of records based on their administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records. |
| ***Archival (Appraisal Required)*** |
| Designation for public records that may possess enduring legal and/or historical value and must be appraised by the Archives. Such records are to be evaluated, sampled, and weeded according to archival principles by Archives staff. Records appraised as non-archival may be destroyed after their retention has been met. |
| ***Archival (Permanent Retention)*** |
| Designation for public records that possess enduring legal and/or historical value and must not be destroyed. State government agencies must transfer these records to the Archives at the end of their minimum retention period. Local government agencies must either transfer these records to the Archives or retain and preserve them according to archival best practice until transferred to the Archives. Other than removing and disposing of duplicates, the Archives will not sample, weed, or otherwise dispose of records with this designation. |
| ***Disposition*** |
| Actions taken with records when they are no longer required to be retained by an agency. Possible disposition actions include transfer to the Archives and destruction. |
| ***Disposition Authority Number (DAN)*** |
| Control number for a specific records series in a retention schedule that authorizes a retention period and disposition action for records belonging to that series. |
| ***Essential Records*** |
| Public records that agencies must have in order to maintain or resume business continuity or to document the legal standing and rights of individuals and organizations. 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 the Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases, and other finding aids should also be transferred with the records. |
| ***Local Records Committee*** |
| Committee established by RCW 40.14.070 to review and approve disposition of local government records through records retention schedules. The Committee’s three members include the State Archivist and one representative each from the Office of the Attorney General and the State Auditor. |
| ***Non-Archival*** |
| Designation given to public records that do not possess sufficient historical 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 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 not defined and classified as official public records in RCW 40.14.010 and other documents or records as determined by the records committee to be office files and memoranda. |
| ***OPR (Official Public Records)*** |
| Public records necessary to document transactions relating to public property, public finances, and other agency business, or records determined by the records committee to be official public records. |
| ***Public Records*** |
| Records that have been created or received by any government agency in Washington State in connection with the transaction of public business regardless of physical form or characteristics. |
| ***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 or a number of different types of documents that are filed together to document a specific function. |
| ***State Records Committee*** |
| 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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