



This schedule applies to: Washington State Gambling Commission

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Washington State Gambling Commission relating to the unique functions of licensing and regulation of all authorized gambling activities in the state, excluding the lottery and horse racing. 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 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 Washington State Gambling Commission are revoked. The Washington State Gambling Commission 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 June 7, 2023.

Signature on File

For the State Auditor:
Al Rose

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REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	March 2, 2016	Consolidation of all existing disposition authorities (with some minor revisions).
1.1	June 7, 2023	Minor changes to proprietary system and game submissions & software series.

For assistance and advice in applying this records retention schedule,
please contact the Washington State Gambling Commission's Records Officer
or Washington State Archives at:
recordsmanagement@sos.wa.gov



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1. ENFORCEMENT

This section covers records relating to the enforcement of gambling regulations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68961 Rev. 0	<p>Adjudicated Case Files – Routine</p> <p>Records relating to routine violations and cases of laws and rules of the agency, including those cases heard by an administrative law judge.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Hearing minutes, depositions, subpoenas; • Audio or video recordings; • Correspondence, penalty assessments • Collection notices, orders, and other related materials. 	<p>Retain for 6 years after closure of case <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
16-03-68962 Rev. 0	<p>Adjudicated Case Files – Significant</p> <p>Records relating to significant enforcement cases heard by an administrative law judge, that either impacted the industry or changed the way the agency does business.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Hearing minutes, depositions, subpoenas; • Audio or video recordings; • Correspondence, penalty assessments • Collection notices, orders, and other related materials. 	<p>Retain for 6 years after closure of case <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL (for Disaster Recovery) OPR</p>
16-03-68963 Rev. 0	<p>Complaints – Unfounded</p> <p>Records relating to complaints that are uncertified, unfounded or frivolous, without merit, and contain insufficient evidence to proceed.</p> <p><i>Note: Complaints leading to preliminary or formal investigations become part of the investigative case files.</i></p>	<p>Retain for 1 year after completion of review <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68964 Rev. 0	<p>Forfeited Property</p> <p>Records related to personal and/or real property forfeited to the agency under RCW 9.46.231.</p> <p>Includes, but not limited to:</p> <ul style="list-style-type: none"> • Documentation of proceeds realized from disposition; • Property retained for agency use; • Forfeiture hearing records. <p><i>Note: RCW 9.46.231(7) requires the agency to retain records relating to forfeited property for at least 7 years.</i></p>	<p>Retain for 7 years after date of forfeiture <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
83-08-32867 Rev. 1	<p>Intelligence Files</p> <p>Records related to intelligence information gathered by gambling agents in the course of investigating suspected or alleged criminal activity.</p> <p>Includes, but not limited to:</p> <ul style="list-style-type: none"> • Interoffice notes and memorandum; • Police investigative reports; • Other related documents. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
76-08-17542 Rev. 2	<p>Investigative Case Files</p> <p>Records related to the investigations conducted against suspected or alleged illegal or unauthorized gambling activities, including tribal regulation, licensed and un-licensed facilities and games.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original complaints (if founded); • Compilation of evidence; • Case documentation. 	<p>Retain for 6 years after case closed <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR



2. LICENSING OPERATIONS

This section covers records relating to the licensing of authorized gambling activities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
76-08-17518 Rev. 2	<p><i>Gambling Licenses</i> Records related to the licensing and authorizing of gambling establishments and games for both individuals and organizations, including tribal facilities. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications; • Required financial information for verification (tax returns, bank statements); • Confidential investigative files from justice systems (dockets, police reports, any citations, other background checks); • Agent notes and other supplemental documents. <p>Excludes records covered by <i>Gambling Licenses – Summary Records (DAN 16-03-68965)</i>.</p>	<p>Retain for 6 years after expiration or revocation of license <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
16-03-68965 Rev. 0	<p><i>Gambling Licenses – Summary Records</i> Summary record of each gambling license issued by the Gambling Commission to gambling establishments and games for both individuals and organizations and includes tribal facilities. Summary documents the name of the licensee, licensee location, type of license, license number, date issued, and date expired. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Licensing data in Gambling Commission’s databases; • Other summary cards or compilations. 	<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) ESSENTIAL (for Disaster Recovery) OPR</p>



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68966 Rev. 0	<p>Identification Stamps Records related to identification/tax stamps required for gambling devices and equipment. Includes, but not limited to:</p> <ul style="list-style-type: none"> • Licensee orders for stamps; • Identification stamp tax records. <p>Excludes financial records covered by <i>Financial Transactions – General (DAN GS 01001)</i>.</p>	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
16-03-68967 Rev. 0	<p>Inspections Records documenting inspections of licensee establishments and operations by agents of the gambling commission. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Compliance modules; • Manufacturer and program reviews; • Qualification and financial statement reviews; • Inspection reports. 	<p>Retain for 6 years after date of inspection <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
16-03-68968 Rev. 0	<p>Licensee Reporting Records documenting the required financial reporting of gambling activities, including commercial, non-profits/charitable and manufacturer licensees. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Quarterly and annual reports. 	<p>Retain for 6 years after date of report <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68969 Rev. 1	<p><i>Proprietary System and Game Submissions – Review & Approval</i></p> <p>Records relating to approved submissions of electronic or mechanical gambling equipment, and/or proprietary table games including Tribal Lottery Systems.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications and approval documentation; • Submission documentation and test scripts; • Layouts and photographs; • Other related documentation. <p>Excludes software submitted by the manufacturer covered by <i>Proprietary System and Game Software (DAN 23-06-69694)</i>.</p>	<p>Retain for 6 years after game is approved, disapproved, or withdrawn</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
23-06-69694 Rev. 0	<p><i>Proprietary System and Game Software</i></p> <p>Records documenting game software submitted to the agency for electronic or mechanical gambling equipment and/or proprietary table games including Tribal Lottery Systems.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Software submitted by the manufacturer. <p>Excludes all other documentation of the review and approval or disapproval of game submissions covered by <i>Proprietary System and Game Submissions – Review & Approval (DAN 16-03-68969)</i>.</p>	<p>Retain until game is approved, disapproved, or withdrawn</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



3. TRIBAL RELATIONS

This section covers records relating to tribal gaming regulations and relations with the Gambling Commission.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68971 Rev. 0	<p><i>Tribal Community Investment Reports</i></p> <p>Records documenting the Community Investment and Contributions Report submittals that recognizes the contributions and efforts of the Tribe’s gambling investments that benefit the community.</p> <p>Excludes tribal compacts signed by the Governor and held in the Governor’s Office of Indian Affairs.</p>	<p>Retain for 4 years after submitted <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>
16-03-68972 Rev. 0	<p><i>Tribal Gaming</i></p> <p>Records related to the rules and regulations developed by the tribes for their gambling operations and submitted to the commission for review and approval.</p> <p>Includes, but not limited to:</p> <ul style="list-style-type: none"> • Administrative and internal controls; • Casino and game rules; • Casino minimum supervisor standards; • Casino job descriptions. 	<p>Retain until superseded <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



GLOSSARY

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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