**This schedule applies to: Office of the Governor**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Office of the Governor relating to the unique functions of appointments, constituent services, executive orders, Governor’s scheduling, Ombuds offices, pardon and extraditions, regulatory and technical assistance, and tribal affairs. 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 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 and 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 and 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 Office of the Governor are revoked. The Office of the Governor 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 1, 2018.

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| *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the State Auditor:****Al Rose** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Attorney General:****Sharon James** | *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 | October 5, 2011 | Consolidation of all existing disposition authorities (with some minor revisions). |
| 1.1 | September 5, 2012 | Reduction of retention of Judicial Files (Not Appointed). |
| 1.2 | September 18, 2013 | Addition of new record series for Briefing Book, Ombudsmen Offices and Regulatory and Technical Assistance. |
| 1.3 | March 12, 2015 | Addition of new series and modifications for constituents and contacts, adding authorization for destruction of paper records after scanning. Modified language from “ombudsmen” to “ombuds”. |
| 1.4 | August 1, 2018 | Removal of Legislation Management section as this function is performed by the Office of Financial Management. |

For assistance and advice in applying this records retention schedule,

please contact the Office of the Governor’s Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. APPOINTMENTS

This section covers records relating to the appointment by the Governor of people to agencies, boards, and commissions.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 81-09-28927Rev. 2 | ***Applicant Files (Appointed)***Records of applicants appointed to Board, Commission, Agency Director, or any other appointed positions. Includes, but is not limited to:* Applications, resumes, letters of recommendations;
* Reports and correspondence of appointment;
* Confirmations and oaths of office.
 | **Retain** until termination of appointment *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOFM |
| 92-11-51453Rev. 1 | ***Applicant Files (Not Appointed)***Records of applicants applying for Board, Commission, or Agency Director appointment. Includes, but is not limited to:* Applications, resumes, letters of recommendations;
* Reports and correspondence of non-appointment.
 | **Retain** until position filled *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 92-11-51457Rev. 2 | ***Judicial Files (Appointed)***Records of candidates for judicial appointments. Includes, but is not limited to:* Applications, resumes, letters of recommendations, background investigations;
* Reports and correspondence regarding candidate;
* Recommendations, non-recommendations and inquiries;
* Confirmations of appointment and oaths of office.
 | **Retain** for 30 years after position filled *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOFM |
| 92-11-51456Rev. 1 | ***Judicial Files (Not Appointed)***Records of candidates that applied for a vacant position for judicial appointment, but were not appointed.Includes, but is not limited to:* Applications, resumes, letters of recommendations, background investigations;
* Reports and correspondence regarding candidate;
* Recommendations, non-recommendations and inquiries;
* Washington State Bar Association ratings.
 | **Retain** for 3 years after position filled *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

1. CONSTITUENT SERVICES

This section covers records relating to the activities of the Governor’s office and communications with constituents.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 92-11-51443Rev. 2 | ***Constituent Affairs Files – Significant/Historic***Records of constituent and other contacts of a significant or historic nature such as heads of state, celebrities, persons of local, state, national or international renown received and responded to directly by this office or referred to agency for response. Includes but is not limited to:* Initial contact by constituent;
* Responses by Governor’s office;
* Tracking and contact information.
 | **Retain** for 1 year after end of calendar year *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOFM |
| 15-03-68730Rev. 0 | ***Constituent Affairs Files – Significant/Historic (Imaged Source Records)***Paper based records of significant or historic constituent contacts received and responded to directly by this office or referred to agency for response that have been imaged provided that: * Source records are imaged in accordance with Washington State Archives’ *Requirements for the Destruction of Non-Archival Paper Records after Imaging*;
* Digital images of significant/historic contacts are retained in accordance with Constituent Affairs Files – Significant/Historic (DAN 92-11-51443);

*Note: The “Archival” records series for significant/historic contacts was appraised by Washington State Archives in March 2014 and determined that the digital images could be retained in lieu of the paper source records.* | **Retain** until verification of successful image capture *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 15-03-68731Rev. 0 | ***Constituent Affairs Files – Routine/General/Outside Jurisdiction***Records of communications that are routine or general in nature or the sender’s concerns are outside of state jurisdiction and the governor’s authority. Includes but is not limited to:* Initial contact;
* Response (if any), referrals or forwards to another agency
* Requests for information;
* Tracking and contact information.
 | **Retain** for 2 years after communication received or provided, *whichever is later* *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 81-09-28936Rev. 3 | ***Topical Policies Issues***Records relating to research and information related to current and topical policy issues of state wide impact.  | **Retain** until end of term  *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOFM |

1. EXECUTIVE ACTIONS

This section covers records relating to the Governor’s office executive actions.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 81-09-28950Rev. 2 | ***Day Book***Provides a daily record of executive action. Includes, but is not limited to:* Appointments and executive orders;
* Extraditions and pardons;
* Official proclamations, terminations of proclamations;
* Deeds and certificates.
 | **Retain** for 6 years after completion of book *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 92-02-49737Rev. 2 | ***Executive Orders***Records of executive direction for state agencies; may establish an office, council, committee or task force without legislative action.  | **Retain** for 6 years after not in force *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |

1. GOVERNOR’S SCHEDULING

This section covers records relating to Governor’s public affairs and communications, including events and activities.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 13-09-68448Rev. 0 | ***Briefing Book***Records relating to the materials and information gathered and presented to governor for briefing prior to a meeting, event, appearance or other type of involvement. Includes, but is not limited to:* Background information prior to an event/appearance;
* Reference materials or agendas related to meeting.
 | **Retain** until end of term *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 11-10-62773Rev. 0 | ***Scheduling Files***Records of requests for a meeting or event with the governor. Includes, but is not limited to:* Requests;
* Internal processes;
* Approvals and regrets;
* Logistics and arrangements;
* Daily register of schedule.
 | **Retain** until end of term *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOFM |

1. OMBUDS OFFICES

This section covers records relating to ombuds offices which handle complaints, disputes and problems between the citizens and public entities as an alternative to lawsuit and administrative hearings. Ombuds offices may also report and make recommendations for legislation and policy.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 13-09-68449Rev. 1  | ***Complaints and Dispute Resolution***Records relating to complaints and disputes mediated by the Ombuds offices. Includes, but it not limited to:* Complaints and disputes;
* Investigative materials;
* Decisions/resolutions.
 | **Retain** for6 years after final decision or resolution *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. PARDONS AND EXTRADITIONS

This section covers records relating to clemency, pardons and extradition of criminals.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 81-09-28946Rev. 2 | ***Extraditions Files***Provides a record of those criminals being returned to their original state of crime commitment or to the State of Washington. Also includes County waivers for extraditions. Filed per RCW 10.88.430.  | **Retain** for 6 years after end of calendar year *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 92-11-51461Rev. 1 | ***Hearing Files on Requests for Clemency and Pardon***Records of requests for clemencies and pardons. Includes, but is not limited to:* Applications;
* Correspondence;
* Hearings;
* Board Decisions.
 | **Retain** for 6 years after end of fiscal year *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |

1. REGULATORY AND TECHNICAL ASSISTANCE

This section covers records relating to assisting the public regarding agency regulations and permitting /licensing in the state of Washington.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 13-09-68450Rev. 0 | ***Technical Assistance and Consultation***Records relating to the routine non-binding assistance and consultation given to the public regarding licenses/permits issued and/or required by other agencies and related government regulations. Includes, but is not limited to:* Environmental permitting;
* Small businesses licensing/permitting;
* Government regulations.
 | **Retain** for 6 years after date of last contact *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. TRIBAL AFFAIRS

This section covers records relating to tribal relations and issues.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 81-08-28797Rev. 2 | ***Indian Tribes Retrocession***Provide a record of petitions and proclamations for criminal civil jurisdiction over Indian tribal lands in the State of Washington. | **Retain** for 5 years after not in effect *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOFM |
| 92-11-51454Rev. 1 | ***Tribal Affairs***Provides a record of issues with tribal rights (i.e. gambling, fishing, shellfish, etc.) and the agency's actions which are approved by the Governor, Legislature and Federal Government.  | **Retain** for 4 years after issue resolved *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOFM |

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| ***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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