

This schedule applies to: Office of the Lieutenant Governor

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Office of the Lieutenant Governor relating to the unique functions of acting Governor, president of the Senate as well as economic development and international relations. 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. 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 Office of the Lieutenant Governor are revoked. The Office of the Lieutenant 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 October 7, 2020.

Signature on File

**For the State Auditor:
Al Rose**

Signature on File

**For the Attorney General:
Suzanne Becker**

Signature on File

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

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**The State Archivist:
Steve Excell**

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	October 7, 2020	Initial records retention schedule for the Office of the Lieutenant Governor.

For assistance and advice in applying this records retention schedule,
please contact the Office of the Lieutenant Governor's Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. CONSTITUENT SERVICES

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69557 Rev. 0	<p>Constituent Affairs Files – Significant/Historic</p> <p>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.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Initial contact by constituent; • Responses by Lieutenant Governor’s office; • Tracking and contact information. 	<p>Retain for 1 year after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM</p>
20-10-69558 Rev. 0	<p>Constituent Affairs Files – Significant/Historic (Imaged Source Records)</p> <p>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:</p> <ul style="list-style-type: none"> • Source records are imaged in accordance with Washington State Archives’ <i>Requirements for the Destruction of Non-Archival Paper Records after Imaging</i>; • Digital images of significant/historic contacts are retained in accordance with <i>Constituent Affairs Files – Significant/Historic (DAN 20-10-69557)</i>; <p><i>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.</i></p>	<p>Retain until verification of successful image capture <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69559 Rev. 0	<p>Constituent Affairs Files – Routine/General/Outside Jurisdiction</p> <p>Records of communications that are routine or general in nature or the sender’s concerns are outside of state jurisdiction and the Lieutenant Governor’s authority.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Initial contact; • Response (if any), referrals or forwards to another agency • Requests for information; • Tracking and contact information. 	<p>Retain for 2 years after communication received or provided, <i>whichever is later</i></p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

2. LIEUTENANT GOVERNOR’S RULINGS

This section covers records relating to the Office of the Lieutenant Governor’s role as president of the Senate.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69560 Rev. 0	<p><i>Rulings – Senate</i> Records documenting rulings made on the resolution of disputes on the floor or questions on procedure as president of the Senate.</p>	<p>Retain until end of term <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM</p>

3. LIEUTENANT GOVERNOR’S SCHEDULING

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69561 Rev. 0	<p><i>Briefing and Scheduling Files</i></p> <p>Records of requests for meetings or events with the Lieutenant Governor and the background or informational materials gathered and presented to the Lieutenant Governor for briefings, consultations and updates.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests; • Internal processes; • Approvals and regrets; • Logistics and arrangements; • Daily register of schedule; • Background information prior to an event/appearance; • Reference materials or agendas as preparation for meetings and consultations. 	<p>Retain until end of term <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69562 Rev. 0	<p><i>Briefing and Scheduling Files (Imaged Source Records)</i></p> <p>Paper based records of requests for a meeting or event with the Lieutenant Governor provided that:</p> <ul style="list-style-type: none"> • Source records are imaged in accordance with Washington State Archives' <i>Requirements for the Destruction of Non-Archival Paper Records after Imaging</i>; • Digital images of scheduling files are retained in accordance with <i>Scheduling Files (DAN 20-10-69561)</i>; <p><i>Note: The "Archival" records series for significant/historic contacts was appraised by Washington State Archives in December 2016 and determined that the digital images could be retained in lieu of the paper source records.</i></p>	<p>Retain until verification of successful image capture <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
20-10-69563 Rev. 0	<p><i>Delegation of Authority</i></p> <p>Records documenting the designation of the Lieutenant Governor as acting governor and the authority to sign/authorize on the state's behalf or other actions.</p>	<p>Retain until end of term <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM

GLOSSARY

Appraisal

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

Archival (Appraisal Required)

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

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

Archival (Permanent Retention)

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

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

Disposition

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

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

Disposition Authority Number (DAN)

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

Essential Records

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

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

Non-Archival

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

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

Non-Essential Records

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

OFM (Office Files and Memoranda)

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

RCW 40.14.010 – Definition and classification of public records.

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

OPR (Official Public Records)

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

RCW 40.14.010 – Definition and classification of public records.

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

Public Records

RCW 40.14.010 – Definition and classification of public records.

“... The term “public records” shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business...”

Records Series

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

State Records Committee

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

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

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