

This schedule applies to: All State Government Agencies

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of public records documenting common functions and activities of state government agencies, including Universities and Community and Technical Colleges. It is to be used in conjunction with the other approved schedules that relate to the unique functions of the agency.

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 previous versions of the State Government General Records Retention Schedule are revoked. State Agencies must ensure 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 29, 2016.

Signature on File

**For the State Auditor:
Cindy Evans**

Signature on File

**For the Attorney General:
Isaac Williamson**

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**For the Office of Financial Management:
Shane Hamlin**

Signature on File

**The State Archivist:
Steve Excell**

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	November 1991	General Update
2.0	July 1997	General Update
3.0	Summer 2001	General Update
3.5	April 2005	General Update
4.0	November 2005	General Update
5.0	October 6, 2010	Changes to format, glossary updated, indexes added, standardized Archival designations and proper citation of RCW's.
5.1	August 3, 2011	All records series reorganized into six functional areas: Agency Management, Asset Management, Financial Management, Human Resource Management, Records Management and Records With Minimal Retention Value. Major revision to Information Management function. New activities added including Banking, Community Relations, Library Services, Public Disclosure, Publishing, Records Conversion, Risk Management and Security. Please reference the Revision Guide for detailed information.
6.0	June 29, 2016	Major revision of entire schedule.

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

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SUPERSEDED

1. AGENCY ADMINISTRATION AND MANAGEMENT

The function relating to the overarching management of the state government agency and its general administration. Also includes managing the agency's interaction with its community, and legal matters.

1.1 ADVICE AND TECHNICAL ASSISTANCE

The activity of providing advice, technical assistance and information about the agency, its core business, programs and services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09022 Rev. 1	<p><i>Provision of Advice, Assistance or Information</i></p> <p>Records relating to requests received and provision of advice, technical assistance and information (including agency-initiated communications) concerning the agency, its core business, programs and services, <i>where not covered by a more specific records series.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Internal and external correspondence/communications (regardless of format) relating to the request/agency-initiated advice, assistance or information. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <i>Public Disclosure/Records Requests (DAN GS 05001);</i> <i>State Publications (DAN GS 15008);</i> <i>Requests for Basic/Routine Agency Information (DAN GS 50002).</i> 	<p>Retain for 2 years after communication received or provided, <i>whichever is later then</i></p> <p>Destroy.</p> <p><i>Note: Information/advice published online by the agency continues to be "provided" until the date it is removed/withdrawn.</i></p>	NON-ARCHIVAL NON-ESSENTIAL OFM

1.2 AUDITING

The activities associated with conducting internal audits of the agency (including advising) and coordinating external audits of the agency by the State Auditor's Office and others. Also includes performance audits and whistleblower investigations.

See Human Resource Management – Misconduct/Discipline/Grievances for personnel investigations; Financial Management – Grants Management for audits relating to grants; agency-specific schedule for audits conducted by the agency on other agencies, local government and external organizations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 04007 Rev. 0	<p>Corrective Actions – Audits</p> <p>Records relating to the actions taken by the agency to address issues/findings raised in internal and external audits/reviews.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Corrective action plans; • Certificates of completion; • Reporting of corrective action, plans, progress on corrective actions and certificates of completion to the Office of Financial Management in accordance with <i>State Administrative and Accounting Manual (SAAM)</i> Section 55.10; • Related correspondence/communications. <p>Excludes:</p> <ul style="list-style-type: none"> • Records covered by <i>Corrective Actions – Audits (Development of Plans)</i> (DAN GS 04008); • Records of the Office of Financial Management of corrective action reports received from other agencies. 	<p>Retain for 6 years after matter resolved <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.2 AUDITING

The activities associated with conducting internal audits of the agency (including advising) and coordinating external audits of the agency by the State Auditor's Office and others. Also includes performance audits and whistleblower investigations.

See Human Resource Management – Misconduct/Discipline/Grievances for personnel investigations; Financial Management – Grants Management for audits relating to grants; agency-specific schedule for audits conducted by the agency on other agencies, local government and external organizations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 04008 Rev. 0	<p>Corrective Actions – Audits (Development of Plans)</p> <p>Records relating to the development of corrective action plans to address issues/findings raised in internal and external audits/reviews.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Preliminary drafts of corrective action plans; • Working notes; • Related correspondence/communications. 	<p>Retain until completion and acceptance of final plan <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>
GS 04006 Rev. 1	<p>External Audits/Reviews of Agency – Final Reports</p> <p>Records relating to the final outcome of audits conducted by either the State Auditor's Office or other external organizations.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Final reports of audits and examinations; • Management letters; • Exit items; • Other documentation provided at the final exit conference. <p>Excludes:</p> <ul style="list-style-type: none"> • Records covered by <i>Grants Received by State Agencies (DAN GS 23004)</i>; • Records of the State Auditor's Office. 	<p>Retain for 6 years after audit report date <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

1.2 AUDITING

The activities associated with conducting internal audits of the agency (including advising) and coordinating external audits of the agency by the State Auditor's Office and others. Also includes performance audits and whistleblower investigations.

See Human Resource Management – Misconduct/Discipline/Grievances for personnel investigations; Financial Management – Grants Management for audits relating to grants; agency-specific schedule for audits conducted by the agency on other agencies, local government and external organizations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 04009 Rev. 0	<p>External Audits/Reviews of the Agency – Interactions</p> <p>Records relating to the agency's interactions with the external agency/organization conducting the audit/review of the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for information; • Entrance documents; • Status reports; • Related correspondence/communications. <p>Excludes records covered by <i>External Audits/Reviews of the Agency – Final Reports (DAN GS 04006)</i>.</p>	<p>Retain until conclusion of audit <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>
GS 04010 Rev. 0	<p>Internal Audits/Consultations – Development</p> <p>Records related to the conducting of internal audits/consultations which are either documented in the audit working papers or which proved not to be relevant to the conclusions of the audit/consultation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Preliminary drafts; • Review notes; • Related correspondence/communications. 	<p>Retain until conclusion of audit/consultation <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

1.2 AUDITING

The activities associated with conducting internal audits of the agency (including advising) and coordinating external audits of the agency by the State Auditor's Office and others. Also includes performance audits and whistleblower investigations.

See Human Resource Management – Misconduct/Discipline/Grievances for personnel investigations; Financial Management – Grants Management for audits relating to grants; agency-specific schedule for audits conducted by the agency on other agencies, local government and external organizations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 04001 Rev. 1	<p>Internal Audits/Consultations – Final Reports and Audit Working Papers</p> <p>Final reports, audit working papers and other supporting documentation relating to the planning, methodology, conduct and conclusions of internal audits/consultations.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Planning procedures and communications (such as engagement letters, memoranda of understanding, etc.); • Internal control reviews; • Substantive tests and criteria used; • Audit strategies and procedures performed; • Audit evidence; • Conclusions reached; • Final reports. 	<p>Retain for 6 years after conclusion of audit/consultation <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 04011 Rev. 0	<p>Internal Audit Programs – Quality Assurance Reviews (Development)</p> <p>Records relating to external independent reviews of agency's internal audit programs required by the Institute of Internal Auditors' International Professional Practices Framework.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Preliminary drafts; • Related correspondence/communications. 	<p>Retain until conclusion of review <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

1.2 AUDITING

The activities associated with conducting internal audits of the agency (including advising) and coordinating external audits of the agency by the State Auditor's Office and others. Also includes performance audits and whistleblower investigations.

See Human Resource Management – Misconduct/Discipline/Grievances for personnel investigations; Financial Management – Grants Management for audits relating to grants; agency-specific schedule for audits conducted by the agency on other agencies, local government and external organizations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 04012 Rev. 0	<p>Internal Audit Programs – Quality Assurance Reviews (Final Reports)</p> <p>Records relating to final outcome of external independent reviews of agency's internal audit programs required by the Institute of Internal Auditors' International Professional Practices Framework.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Final reports; • Working papers; • Self-assessment documentation. 	<p>Retain for 6 years after review report date <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>
GS 04004 Rev. 1	<p>Whistleblower Investigations</p> <p>Records relating to the referral of whistleblower complaints (made to an agency's "designated official") to the State Auditor's Office and agency copies of State Auditor's Office reports of allegations of fraud or violations of state laws or regulations as a result of the complaint in accordance with chapter 42.40 RCW.</p> <p>Excludes the records of the State Auditor's Office.</p>	<p>Retain for 3 years after date of report <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

1.3 CALENDARS

The activity of documenting staff appointments/activities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 10008 Rev. 1	<p>Calendars – Elected Officials and Agency Heads</p> <p>Records documenting the day-to-day meetings and other official appointments of elected officials and agency heads.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Calendar records stored in Microsoft Outlook and other calendaring software/apps; • Hardcopy calendars/appointment books/diaries/etc. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Organizing/Monitoring Work in Progress (DAN GS 50011);</i> • <i>Scheduling – Appointments/Meetings (DAN GS 50014).</i> 	<p>Retain for 4 years 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>
GS 09023 Rev. 1	<p>Calendars – Employees (Other than Elected Officials and Agency Heads)</p> <p>Records documenting the day-to-day meetings and other work-related appointments of agency employees other than elected officials and agency heads.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Calendar records stored in Microsoft Outlook and other calendaring software/apps; • Hardcopy calendars/appointment books/diaries/etc. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Calendars – Elected Officials and Agency Heads (DAN GS 10008);</i> • <i>Organizing/Monitoring Work in Progress (DAN GS 50011);</i> • <i>Scheduling – Appointments/Meetings (DAN GS 50014).</i> 	<p>Retain for 1 year after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

SUPERSEDED

1.4 COMMUNITY AND EXTERNAL RELATIONS

The activity of the state government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 05006 Rev. 1	<p>Advertising and Promotion</p> <p>Records relating to the planning and/or execution of advertising and promotional activities conducted by the agency to promote the agency's mission or business.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Marketing plans/strategies; • Records relating to the development of advertising campaigns/materials (such as original artwork, designs, storyboards, etc.); • Samples of advertising materials (regardless of format); • Records relating to the evaluation of campaigns/strategies; • Records relating to the design/selection of agency branding (such as logos, mottos, slogans, etc.); • Related correspondence/communications. <p>Excludes:</p> <ul style="list-style-type: none"> • Advertising materials covered by <i>Publications (DAN GS 15008)</i>; • Financial records covered by <i>Financial Transactions – General (DAN GS 01001)</i>; • Intellectual property ownership records covered by <i>Acquisition and Disposal – Assets (Other than Real Property) (DAN GS 21001)</i>. 	<p>Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>

1.4 COMMUNITY AND EXTERNAL RELATIONS

The activity of the state government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 05008 Rev. 0	<p><i>Celebrations/Ceremonies/Events – Routine</i></p> <p>Records relating to the agency's involvement in routine celebrations/ceremonies/events (such as Health and Wellness Fair, Public Service Week, staff recognition, retirement ceremonies, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Photographs, audio/visual recordings, etc.; • Websites, social media sites, etc.; • Planning and coordination records. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Advertising and Promotion (DAN GS 05006);</i> • <i>Celebrations/Ceremonies/Events – Significant (DAN GS 05009);</i> • <i>Financial Transactions – General (DAN GS 01001).</i> 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.4 COMMUNITY AND EXTERNAL RELATIONS

The activity of the state government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 05009 Rev. 0	<p><i>Celebrations/Ceremonies/Events – Significant</i></p> <p>Records relating to the agency's involvement in celebrations/ceremonies/events of particular significance to the agency and/or the state of Washington (such as milestone anniversaries, openings/dedications of major buildings or monuments, inaugurations, noteworthy appointments, national/international recognition, state funerals, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Programs, lists of VIPs in attendance, etc.; • Photographs, audio/visual recordings, transcripts of speeches; • Samples/designs of logos, commemorative items; • Websites, social media sites, etc.; • Planning and coordination records. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Advertising and Promotion (DAN GS 05006);</i> • <i>Celebrations/Ceremonies/Events – Routine (DAN GS 05008);</i> • <i>Financial Transactions – General (DAN GS 01001).</i> 	<p>Retain until no longer needed for agency business <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

1.4 COMMUNITY AND EXTERNAL RELATIONS

The activity of the state government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09021 Rev. 2	<p>Charity Fundraising</p> <p>Records relating to the agency's coordination, participation and support of fundraising campaigns and promoting employee payroll deductions for charities.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Decision process for selecting charity campaigns to support; • Communication between the agency and charities; • Dissemination of charity information; • Arrangements and promotion of campaign events. <p>Excludes:</p> <ul style="list-style-type: none"> • Authorization of payroll deductions covered by <i>Payroll Files – Employee Pay History (DAN GS 03031)</i> and <i>Payroll Register (DAN GS 01060)</i>; • Office of the Secretary of State's records related to the whole of government coordination of the Combined Fund Drive. 	<p>Retain for 6 years after end of fiscal year</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

SUPERSEDED

1.4 COMMUNITY AND EXTERNAL RELATIONS

The activity of the state government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09016 Rev. 1	<p><i>Client/Customer Feedback and Complaints</i></p> <p>Records relating to the capturing and receiving of feedback/information/data (including complaints) from the agency's clients/customers concerning policies, procedures, business practices, customer service, etc., <i>where not covered by a more specific records series.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Thank-you messages, kudos, etc.; • Client/customer satisfaction surveys (including the design and distribution of such surveys); • Internal and external correspondence/communications relating to complaints, their investigation and resolution. <p>Excludes records covered by <i>Whistleblower Investigations (DAN GS 04004)</i>.</p> <p><i>Note: Retention based on 3-year statute of limitations for personal injury (RCW 4.16.080).</i></p>	<p>Retain for 3 years after feedback received/resolution of complaint</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

1.4 COMMUNITY AND EXTERNAL RELATIONS

The activity of the state government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 05003 Rev. 1	<p>Media Releases and Coverage</p> <p>Records relating to the agency's communications with the media and coverage in the media of the agency's activities and accomplishments.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Press/news releases issued by the agency to the media for distribution; • Audio/visual recordings/transcripts of press conferences, speeches, etc., by the head of the agency or senior executives; • Copies of guest editorials written by the head of the agency; • Copies of news clippings/media coverage of the agency's activities (if compiled by the agency). <p>Excludes information distributed through the agency's website/social media channels and correspondence/communications with the media covered by <i>Provision of Advice, Assistance or Information (DAN GS 09022)</i>.</p>	<p>Retain for 2 years after end of calendar year</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>

1.4 COMMUNITY AND EXTERNAL RELATIONS

The activity of the state government agency's interaction with its community.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 05010 Rev. 0	<p><i>Stakeholder Group Relations</i></p> <p>Records relating to developing and maintaining cooperative working relationships with stakeholder groups (such as community groups, government agency associations/ taskforces/committees, professional associations, etc.) <i>where not covered by a more specific records series.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Copies of agendas/minutes/conference proceedings; • Newsletters/notices of stakeholder groups' activities; • Non-financial records relating to corporate memberships with external organizations; • Related correspondence/communications. <p>Excludes records:</p> <ul style="list-style-type: none"> • Covered by <i>Contact Information (DAN GS 50007)</i>; • Documenting the payment of membership dues/fees covered by <i>Financial Transactions – General (DAN GS 01001)</i>. 	<p>Retain for 2 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

1.5 LEGAL AFFAIRS

The activity of managing the agency's legal affairs, including litigation and legal advice.

Note: This section does not apply to the records of the Office of the Attorney General.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 18006 Rev. 1	<p>Compulsory Process Served on the Agency (Not Party to Litigation)</p> <p>Records relating to court orders, subpoenas and other compulsory legal process served on the agency, where the agency is <u>not</u> a party to the litigation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Personnel/staff summonses or notices of deposition; • Subpoenas or court orders for agency records. <p>Excludes records covered by <i>Litigation Case Files – Significant (DAN GS 18009)</i> and <i>Litigation Case Files – Routine (DAN GS 18004)</i>.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.5 LEGAL AFFAIRS

The activity of managing the agency's legal affairs, including litigation and legal advice.

Note: This section does not apply to the records of the Office of the Attorney General.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 18003 Rev. 1	<p>Legal Advice and Issues</p> <p>Records relating to legal advice and opinions received by the agency concerning the agency's actions, statutes, rules, policies and procedures, etc.</p> <p>Also includes records relating to legal issues of concern to the agency where not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Advice and opinions (formal/informal) requested and/or received from the Office of the Attorney General; • Copies of legal documents and other materials pertaining to specific issues; • Related correspondence/communications. <p>Excludes:</p> <ul style="list-style-type: none"> • Records covered by <i>Litigation Case Files – Significant (DAN GS 18009)</i> and <i>Litigation Case Files – Routine (DAN GS 18004)</i>; • Records of the Office of the Attorney General. 	<p>Retain for 6 years after issue resolved <i>and</i> until advice no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

1.5 LEGAL AFFAIRS

The activity of managing the agency's legal affairs, including litigation and legal advice.

Note: This section does not apply to the records of the Office of the Attorney General.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 18004 Rev. 1	<p>Litigation Case Files – Routine</p> <p>Agency records related to a particular litigation case involving the agency which does <u>not</u> have profound influence on the administration of state government and/or the state of Washington.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Background information; • Lawsuit documentation; • Pleadings, appeals, court orders; • Agency working files; • Related correspondence/communications. <p>Also includes litigation with no Office of the Attorney General involvement.</p> <p>Excludes:</p> <ul style="list-style-type: none"> • Records covered by <i>Litigation Case Files – Significant (DAN GS 18009)</i>; • Records of the Office of the Attorney General. 	<p>Retain for 6 years after resolution of case (including appeals)</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

1.5 LEGAL AFFAIRS

The activity of managing the agency's legal affairs, including litigation and legal advice.

Note: This section does not apply to the records of the Office of the Attorney General.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 18009 Rev. 0	<p>Litigation Case Files – Significant</p> <p>Agency records related to a particular litigation case involving the agency which has profound influence on the administration of state government and/or the state of Washington (such as Boldt, McCleary, WPPSS Bondholders, Doran, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Background information; • Lawsuit documentation; • Pleadings, appeals, court orders; • Agency working files; • Related correspondence/communications. <p>Also includes litigation with no Office of the Attorney General involvement.</p> <p>Excludes:</p> <ul style="list-style-type: none"> • Records covered by <i>Litigation Case Files – Routine (DAN GS 18004)</i>; • Records of the Office of the Attorney General. 	<p>Retain for 6 years after resolution of case (including appeals)</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>

1.6 LEGISLATION AND RULE MAKING

The activities associated with the development of agency request legislation/agency rules (Washington Administrative Code) and the monitoring/tracking/providing input to legislation, rules and regulations proposed by other entities at federal, state and local government levels.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 19001 Rev. 1	<p>Legislation – Development and Analysis</p> <p>Records relating to the development of agency request legislation and analysis of the impact on the agency of any legislation (federal or state).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Bill drafts; • Fiscal notes; • Bill analysis reports; • Related correspondence/communications. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Legislation/Regulations/Rules – Monitoring/Tracking (DAN GS 19002);</i> • <i>Reporting to External Agencies (Mandatory) (DAN GS 19004).</i> 	<p>Retain for 2 years after end of legislative session <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>
GS 19002 Rev. 1	<p>Legislation/Regulations/Rules – Monitoring/Tracking</p> <p>Records relating to the monitoring/tracking of proposed legislation/regulations/rules with possible impact on the agency under consideration by the Legislature, other state agencies, federal or local governments.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Bill drafts, amendments, fiscal notes, memos; • Committee reports, monitoring reports and related records. <p>Excludes records (such as public agency lobbying L-5 reports) covered by <i>Reporting to External Agencies (Mandatory) (DAN GS 19004).</i></p>	<p>Retain for 2 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

1.6 LEGISLATION AND RULE MAKING

The activities associated with the development of agency request legislation/agency rules (Washington Administrative Code) and the monitoring/tracking/providing input to legislation, rules and regulations proposed by other entities at federal, state and local government levels.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 10009 Rev. 1	<p>Rule Making (Washington Administrative Code – WAC)</p> <p>Records relating the development of agency rules and amendments (Washington Administrative Code).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Records comprising the official agency rule making file in accordance with RCW 34.05.370(2); Internal agency documents described in RCW 34.05.370(3) (other than preliminary drafts), such as notes, recommendations, intra-agency memoranda, etc.; Related correspondence/communications. <p>Excludes:</p> <ul style="list-style-type: none"> Preliminary drafts covered by <i>Drafting and Editing (DAN GS 50008)</i>; Rules development agendas in accordance with RCW 34.05.314 covered by <i>Reporting to External Agencies (Mandatory) (DAN GS 19004)</i>. 	<p>Retain until rule superseded/not proceeded with</p> <p>then</p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>

1.7 MEETINGS AND BOARD/COMMITTEE SUPPORT

The activities associated with documenting staff appointments/activities and assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 10015 Rev. 0	<p>Advisory Body Records</p> <p>Records documenting the actions, meetings and membership of boards, commissions, committees, councils, task forces, etc., that are created to act strictly in an advisory capacity to the agency and have no final decision-making powers.</p> <p>Also includes interagency/national/external advisory bodies for which the agency acts as secretary/keeper of the official records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas, meeting/agenda packets (briefs, reference materials, etc.); • Speaker sign-up, written testimony; • Audio/visual recordings and transcripts of proceedings; • Minutes; • Reports/correspondence/communications sent/received on behalf of the body; • Appointment, reappointment and termination correspondence/communications; • Selected images/photographs showing the committee membership at particular points in time (such as board/committee portraits, etc.) and/or significant stages of the board/committee's life. <p>Excludes appointment records of the Office of the Governor and other records covered by:</p> <ul style="list-style-type: none"> • <i>Governing/Executive/Policy-Setting Body Records (DAN GS 10004);</i> • <i>Meeting Arrangements (DAN GS 09024);</i> • <i>Meeting Materials – Members' Copies/Notes (DAN GS 09026);</i> • <i>Meetings – Staff and Internal Committees (DAN GS 09009).</i> 	<p>Retain for 6 years after end of calendar year</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

1.7 MEETINGS AND BOARD/COMMITTEE SUPPORT

The activities associated with documenting staff appointments/activities and assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 10004 Rev. 1	<p>Governing/Executive/Policy-Setting Body Records</p> <p>Records documenting the actions, meetings and membership of the agency's governing body, executive management team and other policy-setting/decision-making boards, committees, commissions, councils, task forces, etc.</p> <p>Also includes interagency/national/external policy-setting/decision-making bodies for which the agency acts as secretary/keeper of the official records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas, meeting/agenda packets (briefs, reference materials, etc.); • Speaker sign-up, written testimony; • Audio/visual recordings and transcripts of proceedings; • Minutes; • Reports/correspondence/communications sent/received on behalf of the body; • Orders, resolutions, etc.; • Appointment, reappointment and termination correspondence/communications; • Selected images/photographs showing the committee membership at particular points in time (such as board/committee portraits, etc.) and/or significant stages of the board/committee's life. <p>Excludes appointment records of the Office of the Governor and other records covered by:</p> <ul style="list-style-type: none"> • <i>Advisory Body Records (DAN GS 10015);</i> • <i>Meeting Arrangements (DAN GS 09024);</i> • <i>Meeting Materials – Members' Copies/Notes (DAN GS 09026).</i> 	<p>Retain for 6 years after end of calendar year</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>

1.7 MEETINGS AND BOARD/COMMITTEE SUPPORT

The activities associated with documenting staff appointments/activities and assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09024 Rev. 0	<p>Meeting Arrangements</p> <p>Records relating to the administrative arrangements of meetings held by or on behalf of the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agenda requests; • Arrangement of catering, facilities and equipment. <p>Excludes:</p> <ul style="list-style-type: none"> • Records covered by <i>Scheduling – Appointments/Meetings (DAN GS 50014)</i>; • Financial records (facilities, catering, etc.) covered by <i>Financial Transactions – General (DAN GS 01001)</i>; • Open Public Meeting Act notices filed with the Code Reviser/State Register in accordance with RCW 42.30.075 covered by <i>Reporting to External Agencies (Mandatory) (DAN GS 19004)</i>; • Travel arrangements/expenses covered by <i>Travel (DAN GS 07001)</i>. 	<p>Retain until no longer needed for agency business</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

1.7 MEETINGS AND BOARD/COMMITTEE SUPPORT

The activities associated with documenting staff appointments/activities and assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09025 Rev. 0	<p>Meeting Materials – Ballots</p> <p>Ballots used in voting by boards, committees, commissions, councils, task forces, etc., to determine:</p> <ul style="list-style-type: none"> Members and/or positions (such as chair, secretary, etc.); Decisions of the board/committee, etc.; <p><u>Provided</u> the outcome of the vote is documented in other records of the board/committee (such as minutes).</p>	<p>Retain until no longer needed for agency business</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 09026 Rev. 0	<p>Meeting Materials – Members’ Copies/Notes</p> <p>Individual members’ meeting materials from participating in advisory, governing/ executive/policy-setting, internal/external committees (including national/external bodies), <u>provided</u> the Committee’s records are retained by the secretary/responsible agency/member.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Copies of agendas, meeting packets, minutes, etc.; Working notes/drafts, etc.; Related correspondence/communications. 	<p>Retain until no longer needed for agency business</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

1.7 MEETINGS AND BOARD/COMMITTEE SUPPORT

The activities associated with documenting staff appointments/activities and assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09009 Rev. 1	<p>Meetings – Staff and Internal Committees</p> <p>Records documenting meetings of the agency’s staff and those of internal committees, commissions, councils, boards, task forces, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas, meeting/agenda packets (briefs, reference materials, etc.); • Speaker sign-up, written testimony; • Audio/visual recordings and transcripts of proceedings; • Minutes. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Meetings – Advisory Body Records (DAN GS 10015);</i> • <i>Meetings – Governing/Executive/Policy-Setting Body Records (DAN GS 10004);</i> • <i>Meeting Arrangements (DAN GS 09024);</i> • <i>Meeting Materials – Members’ Copies/Notes (DAN GS 09026).</i> 	<p>Retain for 2 years after end of calendar year <i>and</i> until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

1.8 PLANNING

The activity of documenting and determining the agency's objectives and the means for obtaining them.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09008 Rev. 1	<p><i>Business/Work Plans</i></p> <p>Records relating to plans for the management of the agency's business divisions/units, projects, assets, workforce, etc., including timelines, performance measures and areas of responsibility.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Final plan; • Records relating to the development of the plan. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Disaster Preparedness/Emergency and Recovery Plans (DAN GS 14010);</i> • <i>Organizing/Monitoring Work in Progress (DAN GS 50011);</i> • <i>Strategic Plans – Final (Unpublished) (DAN GS 10001);</i> • <i>Strategic Plans – Development (DAN GS 09027).</i> 	<p>Retain for 2 years after completion/expiration of plan <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

1.8 PLANNING

The activity of documenting and determining the agency's objectives and the means for obtaining them.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 10013 Rev. 1	<p>Establishment/Development History of Agency/Programs</p> <p>Records documenting the planning, establishment and significant changes/developments of the agency and its programs.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Summaries/histories of the agency/programs; • Scrapbooks, news clippings, photographs, etc., documenting the history of the agency/programs; • Organizational charts and other planning records documenting significant changes/restructures (such as agency mergers/splits, creation/combinations of divisions, major changes of agency functions/roles, etc.); • Transitional documentation prepared for incoming officials/agency heads. 	<p>Retain for 6 years after end of calendar year</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
GS 09027 Rev. 0	<p>Strategic Plans – Development</p> <p>Records relating to the development of the agency's strategic plans.</p>	<p>Retain until no longer needed for agency business</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>
GS 10001 Rev. 1	<p>Strategic Plans – Final (Unpublished)</p> <p>Final version of agency-wide strategic, long-term plans used to align the agency's organizational and budget structure with its priorities, missions and objectives developed in accordance with RCW 43.88.090 and <u>not</u> published.</p> <p>Excludes published strategic plans covered by <i>State Publications (DAN GS 15008)</i>.</p>	<p>Retain until no longer needed for agency business</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>

1.9 POLICIES AND PROCEDURES

The activity of creating systematic approaches to operations and processes.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09028 Rev. 0	<p><i>Policies and Procedures – Administrative Functions</i></p> <p>Records relating to the development, implementation and interpretation of the policies and procedures developed by the agency to implement internal administrative functions (such as facility management, finance, human resources, purchasing, information management, etc.) where these functions are <u>not</u> the agency’s core mission.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Each adopted/approved version of policies and procedures; • Records documenting the development of policies and procedures. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Rule Making (Washington Administrative Code – WAC) (DAN GS 10009);</i> • <i>Work Instructions/Desk Manuals (DAN GS 09001).</i> 	<p>Retain for 6 years after superseded <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

SUPERSEDED

1.9 POLICIES AND PROCEDURES

The activity of creating systematic approaches to operations and processes.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 10002 Rev. 1	<p><i>Policies and Procedures – Agency Core Mission</i></p> <p>Records relating to the development, implementation and interpretation of the policies and procedures developed by the agency to implement its core functions and mission.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Each adopted/approved version of policies and procedures; • Records documenting the development of policies and procedures; • Legal advice related to the development, implementation and interpretation of the policies and procedures; • Policy statements; • Papers of executive direction. <p>Excludes records covered by <i>Rule Making (Washington Administrative Code – WAC) (DAN GS 10009)</i>.</p>	<p>Retain for 6 years after superseded</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>

1.9 POLICIES AND PROCEDURES

The activity of creating systematic approaches to operations and processes.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09012 Rev. 1	<p>Process Improvement</p> <p>Records relating to process improvements undertaken by the agency to improve the efficiency and effectiveness of the agency, its programs and services.</p> <p>Includes process improvement initiatives at both the:</p> <ul style="list-style-type: none"> • Agency level (such as employee suggestion programs, etc.); and • Government-wide level (such as LEAN; Government Management, Accountability and Performance Program (GMAP); Plain Talk; Balanced Scorecard; Performance Partnership; Brainstorm or Team Incentive Program (TIP); etc.). <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Plans and studies (such as Time-in-Motion, etc.); • Performance measures/statistics/reports; • Evaluations; • Related correspondence/communications. 	<p>Retain for 6 years after end of improvement cycle/project</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 09001 Rev. 1	<p>Work Instructions/Desk Manuals</p> <p>Routine day-to-day task/work instructions, desk manuals, etc.</p>	<p>Retain until superseded</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

1.10 REPORTING AND STUDIES

The activities associated with internal agency reporting/statistics, reporting/notifying to external agencies/organizations as required by federal, state or local statute, or by court order/rule, and with conducting studies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09029 Rev. 0	<p>Reporting Internally – Routine Program/Project/Work Unit Reports/Statistics</p> <p>Records relating to routine internal statistical and narrative reports provided to management documenting/tracking the activities and work accomplishments of a division/program/project for a given time period.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Monthly/quarterly/yearly reports. <p>Excludes:</p> <ul style="list-style-type: none"> • Annual reports of the agency and other published reports covered by <i>State Publications (DAN GS 15008)</i>; • Records covered by <i>Records Documented as Part of More Formalized Records (DAN GS 50012)</i>. 	<p>Retain for 2 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

1.10 REPORTING AND STUDIES

The activities associated with internal agency reporting/statistics, reporting/notifying to external agencies/organizations as required by federal, state or local statute, or by court order/rule, and with conducting studies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 19004 Rev. 1	<p>Reporting to External Agencies (Mandatory)</p> <p>Records relating to the mandatory reporting/notifying/filing by the agency to external agencies in accordance with federal, state or local law or by court order/rule where not covered by a more specific records series, such as reporting to:</p> <ul style="list-style-type: none"> • Federal agencies; • Code Reviser/State Registrar; • Public Disclosure Commission (Public Agency Lobbying L-5 Report); • Office of Financial Management; • Other state agencies, local government entities, etc. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency copy of reports/forms/certificates/lists submitted; • Submission confirmation and inquiries; • Related correspondence/communications. <p>Excludes:</p> <ul style="list-style-type: none"> • Notifications covered by <i>Security Incidents and Data/Privacy Breaches (DAN GS 25008)</i>; • Records covered by <i>Reporting/Filing (Mandatory) – Employment-Related (DAN GS 03056)</i>; • Voluntary reporting/notifying, responding to surveys, etc., covered by <i>Provision of Advice, Assistance or Information (DAN GS 09022)</i>; • Reports/notifications/filings <u>received</u> by the agency from other entities covered by the agency-specific records retention schedule. 	<p>Retain for 6 years after submitted <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.10 REPORTING AND STUDIES

The activities associated with internal agency reporting/statistics, reporting/notifying to external agencies/organizations as required by federal, state or local statute, or by court order/rule, and with conducting studies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 10016 Rev. 0	<p>Studies (Major) – Final Reports (Unpublished)</p> <p>Unpublished final reports of major studies initiated at the executive level and/or conducted in response to a legislative order, executive order, federal requirement or court order. Generally addresses agency-wide operations or issues, affects the most important or most critical agency functions, or addresses areas of public visibility or concern.</p> <p>Excludes:</p> <ul style="list-style-type: none"> Published final reports covered by <i>State Publications (DAN GS 15008)</i>; Records covered by <i>Studies (Major) – Working Papers/Development (DAN GS 09030)</i>. 	<p>Retain for 6 years after conclusion of study <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>
GS 09030 Rev. 0	<p>Studies (Major) – Working Papers/Development</p> <p>Records relating to the conducting of major studies initiated at the executive level and/or conducted in response to a legislative order, executive order, federal requirement or court order. Generally addresses agency-wide operations or issues, affects the most important or most critical agency functions or addresses areas of public visibility or concern.</p> <p>Excludes:</p> <ul style="list-style-type: none"> Published final reports covered by <i>State Publications (DAN GS 15008)</i>; Unpublished final reports covered by <i>Studies (Major) – Final Reports (Unpublished) (DAN GS 10016)</i>. 	<p>Retain for 6 years after conclusion of study <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

1.10 REPORTING AND STUDIES

The activities associated with internal agency reporting/statistics, reporting/notifying to external agencies/organizations as required by federal, state or local statute, or by court order/rule, and with conducting studies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09006 Rev. 1	<p>Studies (Minor/Routine)</p> <p>Records relating to the conducting of minor/routine studies and developing ad hoc reports <u>not</u> initiated at the executive level or conducted in response to a legislative order, executive order, federal requirement or court order where not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Reports and compiled survey results; • Charts, diagrams and statistics; • Research materials; • Related correspondence/communications. <p>Excludes collections of external materials covered by <i>Reference Materials (DAN GS 50013)</i>.</p>	<p>Retain for 2 years after conclusion of study <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

1.11 RISK MANAGEMENT AND DISASTER PREPAREDNESS/RESPONSE

The activity of identifying and mitigating risks to the state government agency including disaster preparedness.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 18008 Rev. 0	<p>Accidents/Incidents – No Claim Filed (Age 18 and Older)</p> <p>Records relating to accidents/incidents involving individual(s) age 18 and older, and where claims for damages are <u>not</u> filed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Reports and investigations. <p>Excludes accidents and incidents involving hazardous materials.</p>	<p>Retain for 3 years after date of incident <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 18007 Rev. 0	<p>Accidents/Incidents – No Claim Filed (Under Age 18)</p> <p>Records relating to accidents/incidents involving individual(s) younger than age 18, and where claims for damages are <u>not</u> filed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Reports and investigations. <p>Excludes accidents and incidents involving hazardous materials.</p>	<p>Retain for 3 years after individual reaches age 18 <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 25004 Rev. 0	<p>Emergency/Disaster Preparedness – Contact Information</p> <p>Personal contact information for employees, students, volunteers, etc., compiled to facilitate contact in the event of an emergency or disaster.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Personal contact information (cell/home phone, email address, etc.); • Medical information (provider name, blood type, allergies, ADA requirements, etc.). 	<p>Retain until obsolete or superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM

1.11 RISK MANAGEMENT AND DISASTER PREPAREDNESS/RESPONSE

The activity of identifying and mitigating risks to the state government agency including disaster preparedness.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 14010 Rev. 2	<p><i>Emergency/Disaster Preparedness and Recovery Plans</i> Records relating to disaster preparedness, response and recovery plans prepared for any aspect of the agency's operations and assets. Includes, but is not limited to:</p> <ul style="list-style-type: none"> Employee emergency plans and fire prevention plans prepared in accordance with WAC 296-24-567. <p><i>Note: Retention based on 3-year statute of limitations for personal injury (RCW 4.16.080).</i></p>	<p>Retain for 3 years after obsolete or superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
GS 25005 Rev. 0	<p><i>Emergency/Disaster Response/Recovery – Minor/Routine</i> Records relating to the agency's response to and recovery from minor/routine emergencies/disasters (such as leaking pipes, building flooding, snow closure, etc.) where the agency manages the recovery with minimal assistance and/or disruption to normal agency operations. Excludes records of the Military Department.</p>	<p>Retain for 6 years after matter resolved/recovery complete <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

1.11 RISK MANAGEMENT AND DISASTER PREPAREDNESS/RESPONSE

The activity of identifying and mitigating risks to the state government agency including disaster preparedness.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 25006 Rev. 0	<p>Emergency/Disaster Response/Recovery – Significant</p> <p>Records relating to the agency’s response to and recovery from significant emergencies/disasters (such as volcanic eruptions, major fires/flooding, landslides, etc.) where the agency deploys non-routine procedures, mobilizes special resources, requires significant outside assistance and/or where normal agency operations are suspended or significantly disrupted.</p> <p>Excludes records of agencies that respond to emergencies/disasters as part of their core mission (such as Military Department, Department of Health, Washington State Patrol, etc.).</p>	<p>Retain for 6 years after matter resolved/recovery complete</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>
GS 25002 Rev. 1	<p>Safety Drills/Disaster Recovery Exercises</p> <p>Records relating to agency fire/safety drills and disaster recovery exercises.</p>	<p>Retain for 6 years after date of drill/exercise</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

SUPERSEDED

1.12 TRAINING OTHERS

The activity of the agency providing training (including through contracted trainers) to agency employees, contractors, customers/clients or the public.

See Human Resource Management – Staff Development for records documenting training received by employees.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 22001 Rev. 1	<p>Training – Arrangements</p> <p>Records relating to the administrative arrangements of agency-provided training courses, seminars and workshops.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Training date and place scheduling records; • Training availability announcements and notices; • Participant registration; • Arrangement of catering, facilities and equipment. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Contracts and Agreements (DAN GS 01050);</i> • <i>Financial Transactions – General (DAN GS 01001);</i> • <i>Travel (DAN GS 07001).</i> 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 22006 Rev. 0	<p>Training – Development</p> <p>Records relating to the development of training courses, seminars, workshops, etc., such as research, materials development, etc.</p> <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Training – General (DAN GS 22007);</i> • <i>Training – Mandatory or Certification/Hours/Credit Provided (DAN GS 22008).</i> 	<p>Retain until training no longer provided by agency <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

1.12 TRAINING OTHERS

The activity of the agency providing training (including through contracted trainers) to agency employees, contractors, customers/clients or the public.

See Human Resource Management – Staff Development for records documenting training received by employees.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 22007 Rev. 0	<p>Training – General</p> <p>Records documenting training courses, seminars, workshops, etc. <u>provided by</u> the agency (including through contracted trainers) to agency employees, contractors, customers/clients or the public where either:</p> <ul style="list-style-type: none"> • Training is <u>not</u> required by federal, state or local statute and/or the employer; • Qualifications/credentials/licenses are <u>not</u> earned; • Continuing education hours/credits/points are <u>not</u> awarded. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Copies of materials presented (PowerPoint slide deck, handouts, etc.); • Attendee lists/sign-in sheets documenting who attended; • Tests administered and results; • Course/seminar/workshop evaluation feedback/surveys. <p><i>Note: Records documenting training <u>received</u> by employees are covered by Training Files – Employee (DAN GS 22003).</i></p>	<p>Retain for 3 years after training provided <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

1.12 TRAINING OTHERS

The activity of the agency providing training (including through contracted trainers) to agency employees, contractors, customers/clients or the public.

See Human Resource Management – Staff Development for records documenting training received by employees.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 22008 Rev. 0	<p>Training – Mandatory or Certification/Hours/Credit Provided</p> <p>Records documenting training courses, seminars, workshops, etc. <u>provided by</u> the agency (including through contracted trainers) to agency employees, contractors, customers/clients or the public where either:</p> <ul style="list-style-type: none"> • Training is required by federal, state or local statute and/or the employer; • Qualifications/credentials/licenses may be earned; • Continuing education hours/credits/points are awarded. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Copies of materials presented (PowerPoint slide deck, handouts, etc.); • Attendee lists/sign-in sheets documenting who attended; • Tests administered and results; • Course/seminar/workshop evaluation feedback/surveys; • Certification/hours/credits/points awarded. <p><i>Note: Records documenting training <u>received by</u> employees are covered by Training Files – Employee (DAN GS 22003).</i></p>	<p>Retain for 6 years after training provided <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

2. ASSET MANAGEMENT

The function of managing the state government agency's assets, including physical assets (facilities, land, equipment, technology, vehicles, supplies, hazardous materials, etc.) and intangible assets (copyrights, easements, water and timber rights, etc.). Includes hazardous materials. Excludes financial assets (stocks, bonds, etc.), which are covered in the Financial Management section.

2.1 ACQUISITION AND DISPOSAL

The activities associated with acquiring/owning and disposing of state agency assets.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21001 Rev. 1	<p>Acquisition and Disposal – Assets (Other than Real Property)</p> <p>Records relating to the acquisition and disposal of assets other than real property (such as equipment, intellectual property, vehicles, vessels, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Purchase orders; • Surplus property disposition records; • Registration of intellectual property rights; • Vehicle/vessel titles or copy of title if original is transferred to new owner/Department of Licensing; • Related correspondence/communications. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Acquisition and Disposal – Real Property/Land/Water Rights (DAN GS 24004).</i> 	<p>Retain for 6 years after disposal of asset <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

2.1 ACQUISITION AND DISPOSAL

The activities associated with acquiring/owning and disposing of state agency assets.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 24004 Rev. 1	<p><i>Acquisition and Disposal – Real Property/Land/Water Rights</i></p> <p>Records relating to the acquisition and disposal of real property/land and water rights by state agencies through purchase/sale, condemnation, escheatment or donation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Contracts/agreements; • Planning reports, studies, etc., regarding the acquisition/disposal; • Conveyance documentation (title searches, deeds, patents, etc.); • Related correspondence/communications. <p><i>Note: Retention based on 10-year statute of limitations relating to real property transactions (RCW 4.16.020).</i></p>	<p>Retain for 10 years after disposal of asset <i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>
GS 21012 Rev. 0	<p><i>Lost and Found Property</i></p> <p>Records relating to the receipt of personal property left behind in/at agency facilities, vehicles and/or events and the return/disposal of the item.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Records documenting discovery of items, attempts to locate the owner of the items, and return/retention/disposal of items; • Related correspondence/communications. <p>Excludes records of the Department of Revenue relating to unclaimed property.</p> <p><i>Note: Retention based on 3-year statute of limitations for taking, detaining, or injuring personal property (RCW 4.16.080).</i></p>	<p>Retain for 3 years after return/disposal of item <i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

2.2 AUTHORIZATION/CERTIFICATION

The activity of receiving permission or approval in relation to asset management. Excludes authorizations granted by the agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21013 Rev. 0	<p>Authorizations/Certifications – Assets</p> <p>Records relating to licenses, permits, accreditations, certifications, inspections, and other authorizations <u>acquired by</u> the agency in relation to its assets <u>from</u> regulating authorities (local, state, federal agencies and/or courts), where not covered by a more specific records series, such as:</p> <ul style="list-style-type: none"> • Certificates of occupancy and other building/facility permits; • Elevator permits/inspections; • Equipment/vehicle registration, etc.; • Fire and life safety permits/inspections (fire extinguishers, alarms, sprinklers, suppression systems, etc.). <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Application/filing and confirmation; • Records relating to violations/corrections; • Reports; • Related correspondence/communications. 	<p>Retain for 6 years after authorization expired/superseded/terminated <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

2.3 DESIGN AND CONSTRUCTION

The activities associated with the designing, planning and construction of state facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21014 Rev. 0	<p>Capital Construction Projects – Project Administration and Process</p> <p>Records not required beyond the warranty period that relate to the project administration/process for new construction or additions/remodels (affecting the structure of the building/facility) for both routine and significant structures, <u>provided</u> the longer-term records documenting the project are retained in accordance with either:</p> <ul style="list-style-type: none"> • <i>Capital Construction Projects – Routine Buildings/Facilities (DAN GS 21010);</i> • <i>Capital Construction Projects – Significant Buildings/Facilities (DAN GS 21011).</i> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Phone lists; • Work requisitions; • Meeting coordination records; • Shop drawings not affecting the structure or operating systems of the building; • Schedules; • Punch lists; • “Red-line” drawings (“as-designed” drawings reflecting updates) that have been superseded by “as-built” drawings. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Capital Construction Projects – Routine Buildings/Facilities (DAN GS 21010);</i> • <i>Capital Construction Projects – Significant Buildings/Facilities (DAN GS 21011).</i> 	<p>Retain for 6 years after project completion/acceptance</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

2.3 DESIGN AND CONSTRUCTION

The activities associated with the designing, planning and construction of state facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21010 Rev. 1	<p>Capital Construction Projects – Routine Buildings/Facilities</p> <p>Records relating to the design, new construction or additions/remodels (affecting the structure of the building/facility) of <u>routine</u> structures.</p> <p>Also includes records relating to the preliminary planning of the agency’s routine capital construction projects where the project was not proceeded with/completed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Project meeting minutes, approval, program review and/or comments; • Plans and drawings (including “as-built” and “as-designed” drawings and shop drawings affecting the structure or operating systems of the building (such as elevators, structural steel, HVAC, etc.)); • Permits and Environmental Impact Statements (EIS); • Specifications, design calculations, contracts, test results, reports (including engineering, commissioning and balancing reports), modification proposals and manuals; • Selected images/photographs showing major/significant stages of the project; • Allotment and payment records and related documentation. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Capital Construction Projects – Project Administration and Process (DAN GS 21014);</i> • <i>Capital Construction Projects – Significant Buildings/Facilities (DAN GS 21011);</i> • <i>Maintenance – Major and/or Regulated (DAN GS 21008);</i> • <i>Maintenance – Minor Non-Regulated (DAN GS 21002).</i> 	<p>Retain for 6 years after disposal of asset/ abandonment of project</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

2.3 DESIGN AND CONSTRUCTION

The activities associated with the designing, planning and construction of state facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21011 Rev. 1	<p>Capital Construction Projects – Significant Buildings/Facilities</p> <p>Records relating to the design, new construction or additions/remodels (affecting the structure of the building/facility) of <u>significant</u> structures, such as:</p> <ul style="list-style-type: none"> • Buildings and other facilities on the Capitol Campus; • Headquarters/main office of the agency; • Major buildings/facilities approved by the governing body/Board of Regents on university/college campuses; • Major facilities operated by the agency (such as jails, hospitals, etc.); • Historic or heritage-listed buildings and structures. <p>Also includes records relating to the preliminary planning of the agency's significant capital construction projects where the project was not proceeded with/completed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Project meeting minutes, approval, program review and/or comments; • Plans and drawings (including "as-built" and "as-designed" drawings and shop drawings affecting the structure or operating systems of the building); • Permits and Environmental Impact Statements (EIS); • Specifications, design calculations, contracts, test results, reports (including engineering, commissioning and balancing reports), modification proposals and manuals; • Selected images/photographs showing major/significant stages of the project; • Allotment and payment records and related documentation. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Capital Construction Projects – Project Administration and Process (DAN GS 21014);</i> • <i>Capital Construction Projects – Routine Buildings/Facilities (DAN GS 21010);</i> • <i>Maintenance – Major and/or Regulated (DAN GS 21008);</i> • <i>Maintenance – Minor Non-Regulated (DAN GS 21002).</i> 	<p>Retain for 6 years after completion/abandonment of project <i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>

2.3 DESIGN AND CONSTRUCTION

The activities associated with the designing, planning and construction of state facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21015 Rev. 0	<p>Facility Systems and Equipment – Installation</p> <p>Records relating to the installation of systems and equipment in agency facilities that are <u>not</u> integral to the structure of the facility and that may be replaced during the life of the facility, such as:</p> <ul style="list-style-type: none"> • Audio/visual systems/equipment; • Fire and life safety (alarms, sprinklers, etc.); • Heating, ventilating and air conditioning (HVAC); • Information technology (IT) wiring; • Security systems/equipment (alarms, keys, locks, etc.). <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Installation drawings and other documentation integral to the maintenance and operation of the system or equipment; • System layout descriptions/specifications; • Warranties. 	<p>Retain for 6 years after disposal of systems/equipment <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

2.4 INFORMATION SERVICES

The activities associated with providing the agency with information technology and services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 14037 Rev. 1	<p>Applications/Systems – Implementation Projects</p> <p>Records relating to the implementation of the agency's computer software applications, databases and websites (internet and intranet). Excludes records covered by <i>Applications/Systems – Technical Design (DAN GS 14001)</i>.</p>	<p>Retain for 6 years after end of project <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 14001 Rev. 1	<p>Applications/Systems – Technical Design</p> <p>Records relating to the technical design of the agency's computer software applications, databases and websites (internet and intranet). Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Design documentation/detail; • Database schema and dictionaries; • Source code; • System and program change descriptions/authorizations; • Development plans (for testing, training, conversion and acceptance); • Release notes; • Operational and user instructions; • Acceptance testing. <p>Excludes records covered by <i>Applications/Systems – Implementation Projects (DAN GS 14037)</i>.</p>	<p>Retain until application or version is no longer needed for agency business <i>and</i> all records within the application have been migrated/deleted/transferred in accordance with a current approved records retention schedule <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM

2.4 INFORMATION SERVICES

The activities associated with providing the agency with information technology and services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 14020 Rev. 1	<p>Audit Trails and System Usage Monitoring</p> <p>Records documenting the use of the agency's information technology and communication systems to ensure security and appropriate use.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Audit trails; • Authorizations for and modifications to the configurations and settings of the agency's IT infrastructure (such as firewalls, routers, ports, network servers, etc.); • Log-in records, security logs and system usage files; • Internet activity logs (sites visited, downloads/uploads, video/audio streaming, etc.); • Fax and telephone logs. <p>Excludes records covered by <i>Internet Browsing (DAN GS 50010)</i>.</p>	<p>Retain for 1 year after date of activity <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 14012 Rev. 1	<p>Authorization – Systems/Telecommunications Access</p> <p>Records documenting the authorization of employees (including contractors and volunteers) to use agency systems/applications and telecommunication services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • User account creation/change requests; • Network access authorization requests; • Related correspondence/communications. 	<p>Retain for 6 years after end of fiscal year in which user account/access was terminated <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM

2.4 INFORMATION SERVICES

The activities associated with providing the agency with information technology and services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 14015 Rev. 1	<p>Automated/Scheduled Tasks and Work/Intermediate/Test Files</p> <p>Records relating to scheduled, computer-driven tasks and other work/intermediate files.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Event logs; • Run reports and requests; • Task schedules; • Test data sets; • Successful completion reports; • Valid transaction files; • Work/intermediate files. 	<p>Retain until no longer needed for agency business</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 14011 Rev. 1	<p>Backups for Disaster Preparedness/Recovery</p> <p>Routine/cyclical backups of IT systems and data for the purposes of disaster preparedness and recovery.</p>	<p>Retain until no longer needed for agency business</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL OFM
GS 14029 Rev. 1	<p>Helpdesk Requests</p> <p>Records relating to requests for advice and assistance in using the agency's information technology and telecommunications equipment, systems and applications.</p>	<p>Retain until finalization of request</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

2.4 INFORMATION SERVICES

The activities associated with providing the agency with information technology and services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 14031 Rev. 1	<p>Network – Design and Build</p> <p>Records relating to the design and construction of the agency’s information technology networks.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Network diagrams and build guides; • Master control list of Internet Protocol (IP) address assignments; • Uniform Resource Locator (URL) addresses and passwords. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

2.5 INVENTORY

The activity of detailing or itemizing goods, materials and resources on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 16008 Rev. 2	<p><i>Inventories – Capital Assets</i></p> <p>Records relating to inventories of land, buildings, furniture, equipment and other capital assets. May be used for input into the statewide reporting system.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Records within the Capital Assets Management System (or equivalent systems); Asset tracking and depreciation schedules; Running inventory control documents that describe each piece of agency-owned or leased equipment and furniture; Data Input Sheet; Reports (Asset, Added, Changes, Purge, Summary of Monthly File Activity). 	<p>Retain for 6 years after superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
GS 16004 Rev. 1	<p><i>Inventories – Supplies, Commodities and Parts</i></p> <p>Running inventories used to manage stocks of expendable materials such as office supplies, parts and other expendable supplies, describing the materials and indicating current stock balances.</p>	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

2.6 MAINTENANCE, INSPECTION AND MONITORING

The activity of performing legally required or voluntary actions on assets owned or used by the agency, with the aim of preventing unsafe conditions, advancing security, reducing equipment decline/failure and avoiding unnecessary loss. Includes routine, preventive, scheduled and unscheduled repair, remediation and abatement. **Excludes records documenting financial transactions which are covered in the Financial Management section of SGRRS.**

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21016 Rev. 0	<p>Inspections/Monitoring – Regulated</p> <p>Records relating to inspecting/monitoring of assets owned, used or maintained by the agency where required by regulatory agencies and where not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Underground storage tank (UST) inspections (40 CFR § 280.45). <p><i>Note: Records documenting inspecting/monitoring of other entities' assets by the agency in its regulatory capacity are covered by the agency's specific records retention schedule.</i></p>	<p>Retain for 6 years after end of calendar year <i>and</i> correction of any violations <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 21017 Rev. 0	<p>Inspections/Monitoring – Routine/Non-Regulated</p> <p>Records relating to the routine inspecting/monitoring of assets owned, used or maintained by the agency where not required by regulatory agencies and not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Temperature and humidity records; Equipment functionality/safety checks (vehicle daily checks, etc.). 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

2.6 MAINTENANCE, INSPECTION AND MONITORING

The activity of performing legally required or voluntary actions on assets owned or used by the agency, with the aim of preventing unsafe conditions, advancing security, reducing equipment decline/failure and avoiding unnecessary loss. Includes routine, preventive, scheduled and unscheduled repair, remediation and abatement. **Excludes records documenting financial transactions which are covered in the Financial Management section of SGRRS.**

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21008 Rev. 1	<p>Maintenance – Major and/or Regulated</p> <p>Records documenting <u>all</u> major maintenance (which is beyond regular upkeep) <u>and all</u> regulated maintenance (<u>required</u> by regulatory agencies and/or local, state or federal statute and/or court order/rule) which is performed on assets owned, used or maintained by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Instructions, maintenance manuals, vendor statements; • Maintenance/repair history (logs, summaries, reports, etc., which may also include non-regulated minor maintenance); • Original defect and inspection reports; • Service, repair and maintenance records (regulated and/or major); • Work orders; • Related correspondence/communications. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Capital Construction Projects – Routine Buildings/Facilities (DAN GS 21010);</i> • <i>Capital Construction Projects – Significant Buildings/Facilities (DAN GS 21011);</i> • <i>Contracts and Agreements (DAN GS 01050);</i> • <i>Financial Transactions – General (DAN GS 01001).</i> 	<p>Retain for 6 years after disposal of asset <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

2.6 MAINTENANCE, INSPECTION AND MONITORING

The activity of performing legally required or voluntary actions on assets owned or used by the agency, with the aim of preventing unsafe conditions, advancing security, reducing equipment decline/failure and avoiding unnecessary loss. Includes routine, preventive, scheduled and unscheduled repair, remediation and abatement. **Excludes records documenting financial transactions which are covered in the Financial Management section of SGRRS.**

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21002 Rev. 1	<p>Maintenance – Minor Non-Regulated</p> <p>Records documenting minor maintenance (regular upkeep) performed on assets owned, used or maintained by the agency <u>and</u> is <u>not</u> required by a regulatory agency, such as:</p> <ul style="list-style-type: none"> • Custodial, floor and window cleaning, mowing/gardening, indoor plant care, etc.; • Painting, furniture upholstery/refinishing, etc.; • Vehicle and equipment oil changes, tune-ups, filters, tires, etc. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Service, repair and maintenance records; • Work orders, lists/logs and reports; • Related correspondence/communications. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Capital Construction Projects – Routine Buildings/Facilities (DAN GS 21010);</i> • <i>Capital Construction Projects – Significant Buildings/Facilities (DAN GS 21011);</i> • <i>Contracts and Agreements (DAN GS 01050);</i> • <i>Facility Systems and Equipment – Installation (DAN GS 21015);</i> • <i>Financial Transactions – General (DAN GS 01001);</i> • <i>Maintenance – Major and/or Regulated (DAN GS 21008);</i> • <i>Pesticide Applications (DAN GS 21018).</i> 	<p>Retain for 6 years after completion of work <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

2.6 MAINTENANCE, INSPECTION AND MONITORING

The activity of performing legally required or voluntary actions on assets owned or used by the agency, with the aim of preventing unsafe conditions, advancing security, reducing equipment decline/failure and avoiding unnecessary loss. Includes routine, preventive, scheduled and unscheduled repair, remediation and abatement. Excludes records documenting financial transactions which are covered in the Financial Management section of SGRRS.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 21018 Rev. 0	<p>Pesticide Applications</p> <p>Records relating to the agency's application of pesticides to agricultural land, roadsides, and/or landscapes and property as regulated by RCW 17.21.100 and WAC 16-228-1320.</p>	<p>Retain for 7 years after date of pesticide application <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

SUPERSEDED

2.7 OPERATIONS AND USE

The activity of the state government agency (staff, contractors and volunteers) using (or granting temporary authority to use) its assets (buildings, vehicles, equipment, IT systems, goods, materials, resources, etc.).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 16010 Rev. 1	<p>Accidents – Vehicles/Vessels</p> <p>Records relating to accidents involving agency vehicles and vessels and any subsequent inquiries/investigations.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Vehicle Accident Report Form (State Form 137) or agency equivalent; • Related correspondence/communications. 	<p>Retain for 3 years after matter resolved <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 16005 Rev. 1	<p>Disbursement of Agency Supplies/Consumables</p> <p>Records documenting the disbursement of agency supplies (such as office supplies, fuel, parts and other consumables).</p>	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 16011 Rev. 0	<p>Operating Manuals</p> <p>Operating manuals, specifications, vendor statements and other related documentation for assets owned, used or maintained by the agency where not covered by a more specific records series.</p>	<p>Retain until superseded or disposal of asset, <i>whichever is sooner</i> <i>then</i> Destroy <i>or</i> Transfer to new owner.</p>	NON-ARCHIVAL ESSENTIAL OFM

2.7 OPERATIONS AND USE

The activity of the state government agency (staff, contractors and volunteers) using (or granting temporary authority to use) its assets (buildings, vehicles, equipment, IT systems, goods, materials, resources, etc.).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 07003 Rev. 1	<p><i>Use of Agency Facilities/Equipment/Vehicles</i></p> <p>Records relating to allowing use of agency assets (such as meeting rooms, other facilities, equipment, vehicles/vessels, etc.) by agency staff (including contractors and volunteers), other agencies, students/clients and the general public.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Allocation of parking spaces/permits; • Bookings/reservations/requests for use; • Check-in/-out logs; • Rental/use schedules; • Vehicle logs/usage data; • Related correspondence/communications. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Contracts and Agreements (DAN GS 01050);</i> • <i>Financial Transactions (General) (DAN GS 01001);</i> • <i>Records Documented as Part of More Formalized Records (DAN GS 50012).</i> 	<p>Retain for 3 years after asset returned/use completed <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

2.8 SECURITY

The activity of protecting the state government agency's assets against danger, loss or threat.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 25001 Rev. 1	<p>Authorization – Building/Facility Access</p> <p>Records documenting the authorization of access for employees (including contractors and volunteers) to agency buildings and facilities.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests and approvals for access and permissions; • Assignment of security identification badges, building/card keys, access codes, etc. <p>Excludes records covered by <i>Entry/Exit Logs – Facilities (DAN GS 25007)</i>.</p>	<p>Retain for 6 years after termination of access <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
GS 25007 Rev. 0	<p>Entry/Exit Logs – Facilities</p> <p>Records documenting the entry and exit of staff, contractors, volunteers and visitors to agency facilities (including secure areas) where not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Keycard transaction logs; • Secure area logs (such as safe logs); • Visitor books/logs. <p>Excludes records covered by <i>Security Incidents and Data/Privacy Breaches (DAN GS 25008)</i>.</p>	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

2.8 SECURITY

The activity of protecting the state government agency's assets against danger, loss or threat.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 25008 Rev. 0	<p>Security Incidents and Data/Privacy Breaches</p> <p>Records documenting security incidents, data/privacy breaches, responses and investigations relating to agency facilities, vehicles, equipment, supplies, information, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Incident documentation (such as security recordings, alarm logs/reports, entry/exit logs, incident reports, witness statements, etc.); • Notification documentation; • Reports to law enforcement agencies, agency management, regulating authority, etc.; • Records documenting services provided by outside vendors (such as notifications, credit monitoring, call center reports/logs/notes, etc.); • Records documenting corrective action taken; • Records documenting decision not to proceed with investigation/notification; • Related correspondence/communications. 	<p>Retain for 6 years after matter resolved <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 25003 Rev. 1	<p>Security Monitoring – No Incident</p> <p>Records relating to the routine security monitoring of the agency's infrastructure, buildings, vehicles, equipment, etc., where an incident has <u>not</u> occurred.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Alarm reports; • Audio/visual recordings (digital or analog); • Security patrol logs. <p>Excludes records covered by <i>Security Incidents and Data/Privacy Breaches (DAN GS 25008)</i>.</p>	<p>Retain for 30 days after date record created <i>or</i> until determined that no security incident has occurred, <i>whichever is sooner</i> <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

3. FINANCIAL MANAGEMENT

The function of managing the state government agency's financial resources, obligations and monetary infrastructure.

3.1 ACCOUNTING AND FISCAL

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the financial assets, liabilities and performance of the state government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01013 Rev. 1	<p>Banking – Accounts and Transactions</p> <p>Records relating to the agency's banking activities and documenting its banking transactions.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Deposits and withdrawals (including Electronic Funds Transfers (EFT), International Money Transfers (IMT), Automated Clearing House (ACH), etc.); • Statements (bank, dividend, investment, etc.) and reconciliations; • Records documenting the status of and adjustments to accounts; • Checks and warrants <u>issued by</u> the agency (if returned by bank); • Checks returned by the bank due to non-sufficient funds (NSF). <p>Excludes:</p> <ul style="list-style-type: none"> • Deposited items covered by <i>Banking – Deposited Items (DAN GS 01068)</i>; • Master depository contracts covered by <i>Contracts and Agreements (DAN GS 01050)</i>. 	<p>Retain for 6 years after end of fiscal year</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

3.1 ACCOUNTING AND FISCAL

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the financial assets, liabilities and performance of the state government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01068 Rev. 0	<p>Banking – Deposited Items</p> <p>Negotiable instruments <u>received</u> by the agency and deposited to the bank in a different format.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original paper checks/warrants imaged using Remote Deposit Capture (RDC) or Imaged Cash Letter (ICL), or returned by the bank after redemption; • Images of checks/warrants created in lieu of depositing the original item (such as Imaged Cash Letter (ICL)). <p>Excludes checks returned to agency (due to non-sufficient funds) covered by <i>Banking – Accounts and Transactions (DAN GS 01013)</i>.</p>	<p>Retain for 14 days after date of deposit <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 01003 Rev. 1	<p>Financial Disputes and Collections</p> <p>Records relating to the agency’s financial disputes and attempts to collect funds where litigation has <u>not</u> commenced.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Accounts receivable and payable; • Checks/warrants returned due to non-sufficient funds (NSF); • Correspondence, notices, invoices/statements, account closure; • Damage and loss claims (purchasing); • Warrant claims/refunds; • Settlement documentation. <p>Excludes records covered by <i>Litigation Case Files – Routine (DAN GS 18004)</i>.</p>	<p>Retain for 6 years after matter resolved <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

3.1 ACCOUNTING AND FISCAL

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the financial assets, liabilities and performance of the state government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01001 Rev. 1	<p>Financial Transactions – General</p> <p>Records documenting all resources received and expended by the agency <u>provided</u> the receipts and expenditures are <u>not</u> for bond or grant projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Accounts payable/receivable; • Purchase and sales (purchase/field orders, bills of sale, receipts, petty cash, cash books, remittance advices, vouchers, vendor rebates, fiscal purchasing/receiving documents, etc.); • Billing statements, billing summaries (registers/ledgers), adjustments to accounts (error corrections, overpayment refunds, conservation rebates, etc.), delinquent account lists; • Financial statements and reports (created/saved electronically or printed) required to be retained as evidence of the agency’s financial status at a specific point in time (such as reports that need to be approved/signed or reports that cannot be regenerated at a later date); • Registers and journals (general and subsidiary) for all funds and functions; • Reconciliations; • Check/warrant registers. <p>Excludes financial transaction records covered by:</p> <ul style="list-style-type: none"> • <i>Grants Received by Agency (DAN GS 23004);</i> • <i>Tax-Exempt Bonds (DAN GS 01069).</i> <p>Excludes financial reports that are able to be regenerated and which are covered by <i>Secondary (Duplicate) Records (DAN GS 50005).</i></p>	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

3.1 ACCOUNTING AND FISCAL

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the financial assets, liabilities and performance of the state government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01070 Rev. 0	<p>Financial Transactions – Sensitive Cardholder Data</p> <p>Specific sensitive cardholder data elements obtained during electronic financial transactions where the agency stores, processes or transmits cardholder data received via point of sale systems, phone, email, internet, paper, etc.</p> <p>Sensitive cardholder data elements include:</p> <ul style="list-style-type: none"> • Primary Account Number (PAN) and credit card number, <i>if different</i>; • Sensitive Authentication Data (SAD) as defined by the <i>Payment Card Industry Data Security Standard (PCI DSS)</i>. Includes full track data, IN/PIN blocks, and three or four-digit customer identification (CID) number printed on the front or back of payment card such as Card Identification Number (CIN), Card Verification Value (CVV), or Card Validation Code (CVC). <p>Excludes data elements other than PAN and SAD that are received by the agency (such as transaction number, date, amount, etc.) which must be retained in accordance with <i>Financial Transactions – General (DAN GS 01001)</i> or other relevant records series.</p>	<p>Retain until completion of transaction <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

3.1 ACCOUNTING AND FISCAL

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the financial assets, liabilities and performance of the state government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01069 Rev. 0	<p><i>Tax-Exempt Bonds</i> Records documenting all resources received and expended by the agency for bond-funded projects. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Documents supporting purchase/acquisition/construction price and disposition/sales price; • Cancelled (voided) checks and credit card slips, project cost record, etc. (if capital asset constructed by agency); • Project cost/expenditure tracking record (staff time, etc.); • Registers (numerical listing of checks/warrants, etc.); • Trust indenture, loan agreements, bond counsel opinions, etc.; • Transcripts of bond issuance documents. 	<p>Retain for 6 years after final bond payment <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 01019 Rev. 1	<p><i>Tax Reporting>Returns – Internal Revenue Service (IRS)</i> Records relating to the reporting of vendor payments to the Internal Revenue Service (IRS) (such as forms 1098, 1099, 5498, W-2G, etc.). Excludes IRS Form W-9 covered by <i>Vendor Payment Information (DAN GS 01066)</i>.</p>	<p>Retain for 4 years after filing <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

3.1 ACCOUNTING AND FISCAL

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the financial assets, liabilities and performance of the state government agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01071 Rev. 0	<p>Tax Reporting>Returns – State and Local Taxes</p> <p>Returns and reports submitted for taxes paid to state and/or local government agencies (such as excise tax, etc.).</p> <p>Excludes Department of Revenue's records related to the collection of taxes.</p> <p><i>Note: Reference RCW 82.32.070 and Department of Revenue Advisory No. 3131.2009.</i></p>	<p>Retain for 5 years after filing <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 01066 Rev. 1	<p>Vendor Payment Information</p> <p>Records relating to vendor payment information.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • IRS Form W-9; • Vendor Registration Forms; • Electronic Funds Transfer Authorization Forms. 	<p>Retain for 6 years after final payment <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

3.2 AUTHORIZATION/DELEGATION

The activity of granting and/or receiving permission or approval in relation to financial management.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01072 Rev. 0	<p>Signature Authority/Delegation Records</p> <p>Records documenting the designating of agency personnel with the authority to sign for purchases, leave authorizations or other actions.</p>	<p>Retain for 6 years after end of fiscal year in which signature authority was superseded/rescinded <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

SUPERSEDED

3.3 BUDGETING

The activities of preparing budget submissions and managing the allotment of revenues and expenditures.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01040 Rev. 1	<p>Allotment Management and Budget Development</p> <p>Records relating to the development of agency budget proposals and the management of allotments.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Allotment submittals; • Budget proposals/decision packages; • Legislative notes; • Supporting/backup documentation; • Related correspondence/communications. <p>Excludes:</p> <ul style="list-style-type: none"> • Strategic plans developed in accordance with RCW 43.88.090 and covered by <i>Strategic Plans – Final (Unpublished) (DAN GS 10001)</i>; • Office of Financial Management’s records related to the whole of government coordination of allotment management and budget development. 	<p>Retain for 6 years after end of biennium <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

SUPERSEDED

3.4 CONTRACTS AND PURCHASING

The activity of managing purchasing records generated by state agencies in the course of procuring services, supplies, and equipment.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 06004 Rev. 1	<p><i>Bids and Proposals – Successful</i></p> <p>Records relating to bids and proposals made by other parties to provide the agency with goods, services, revenue or other benefits, which <u>are</u> accepted by the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Request for proposal or bid (RFP), request for qualifications/quotations (RFQQ), specifications, etc.; Notices (filed with newspaper, etc.); Bid proposals, evaluation documents, statements of qualification, applications, etc. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <i>Bids and Proposals – Unsuccessful (DAN GS 06007);</i> <i>Contracts and Agreements (DAN GS 01050).</i> 	<p>Retain for 6 years after completion of purchase or fulfillment of contract</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

3.4 CONTRACTS AND PURCHASING

The activity of managing purchasing records generated by state agencies in the course of procuring services, supplies, and equipment.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 06007 Rev. 1	<p><i>Bids and Proposals – Unsuccessful</i></p> <p>Records relating to bids and proposals to provide the agency with goods, services, revenue or other benefits, which are <u>not</u> accepted by the agency. Includes bid proposals, evaluation documents, statements of qualification, applications (rental/lease), etc.</p> <p>If agency decides not to proceed with a purchase or agreement, records also include:</p> <ul style="list-style-type: none"> Request for proposal or bid (RFP), request for qualifications/quotations (RFQQ), specifications, etc.; Notices (filed with newspaper, etc.). <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <i>Bids and Proposals – Successful (DAN GS 06004);</i> <i>Contracts and Agreements (DAN GS 01050).</i> 	<p>Retain for 3 years after bid award or cancellation date <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

3.4 CONTRACTS AND PURCHASING

The activity of managing purchasing records generated by state agencies in the course of procuring services, supplies, and equipment.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01050 Rev. 2	<p>Contracts and Agreements</p> <p>Instruments signed by the agency and one or more parties that set out terms and conditions to which the signing parties agree or submit.</p> <p>Also includes records relating to negotiations, amendments and contract monitoring.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Interagency, intraagency and inter-governmental agreements; • Lease, escrow and rental agreements; • Lending agreements (facility, equipment, vehicle); • Liability waivers (hold harmless, insurance, etc.); • Loan agreements (long-term debt, etc.); • Master depository contract (banking); • Personal service, client service, purchasing agreements; • Purchase and sales agreements (non-capital asset purchases only); • Vendor bonds; • Warranties; • Related correspondence/communications. <p>Excludes:</p> <ul style="list-style-type: none"> • Bond project loan agreements covered by <i>Tax-Exempt Bonds (DAN GS 01069)</i>; • Public records transfer agreements with Washington State Archives covered by <i>Transfer of Legal Custody (DAN GS 11001)</i>. 	<p>Retain for 6 years after termination or expiration of instrument</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

3.4 CONTRACTS AND PURCHASING

The activity of managing purchasing records generated by state agencies in the course of procuring services, supplies, and equipment.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 06002 Rev. 0	Purchase Authority Authority for an agency to accomplish its own purchases. May be state form GEN-PUR-007 or similar agency-specific form.	Retain for 6 years after superseded <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OPR
GS 06001 Rev. 0	Supply and Equipment Requests Internal agency documents used to request the purchase of supplies and equipment.	Retain for 30 days after date of receipt <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

3.5 GRANTS MANAGEMENT

The activities associated with the administration of grants received by state agencies and grants given out by the agency including the re-granting of federal grant monies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 23002 Rev. 1	<p>Grants Issued by Agency – Applications (Denied) Records relating to grant applications that were denied by the agency. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications; • Grant evaluation summaries; • Letters of denial; • Related correspondence/communications. 	<p>Retain for 1 year after grant application denied <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 23001 Rev. 1	<p>Grants Issued by Agency – Applications (Successful) Records relating to grants administered and/or issued by state agencies, including continuous grants. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Announcement parameters, applications, evaluation summaries; • Notification of grant awards, project status, fiscal reports; • Grant monitoring, audit reports; • Modifications and amendment requests; • Progress and compliance reports prepared and submitted by the grantee; • Related correspondence/communications. <p>Excludes final deliverables/reports received covered by:</p> <ul style="list-style-type: none"> • <i>State Publications (DAN GS 15008);</i> • <i>Studies (Major) – Final Reports (Unpublished).</i> 	<p>Retain for 6 years after end of funding period/grant cycle <i>and</i> completion of all grant requirements <u>for that cycle</u> <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

3.5 GRANTS MANAGEMENT

The activities associated with the administration of grants received by state agencies and grants given out by the agency including the re-granting of federal grant monies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 23003 Rev. 1	<p>Grants Issued by Agency – Program Administration</p> <p>Records relating to the agency’s administration of grant and other financial assistance programs (such as loans, scholarships, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Fiscal reports; • Auditing reports; • Related correspondence/communications. <p>Excludes records covered by <i>Advertising and Promotion (DAN GS 05006)</i>.</p>	<p>Retain for 6 years after end of funding period/grant cycle <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

3.5 GRANTS MANAGEMENT

The activities associated with the administration of grants received by state agencies and grants given out by the agency including the re-granting of federal grant monies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 23004 Rev. 1	<p>Grants Received by Agency</p> <p>Records relating to grant projects and funds received and expended by state agencies, including any continuous grants.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for Proposals (RFPs), agency application; • Notifications of grant awards, fiscal reports and supporting documentation; • Grant monitoring, audit reports, compliance reports; • Time keeping/time and effort reports and supporting documentation (if required); • Modification requests, progress and status reports; • Related correspondence/communications. <p>Excludes final deliverables/reports covered by:</p> <ul style="list-style-type: none"> • <i>State Publications (DAN GS 15008);</i> • <i>Studies (Major) – Final Reports (Unpublished) (DAN GS 10016).</i> <p><i>Note: If federal retention requirements are shorter than 6 years, the records must still be retained for the minimum 6 years after end of grant period/cycle to satisfy state requirements.</i></p>	<p>Retain for 6 years after end of funding period/grant cycle <i>and</i> completion of all grant requirements for that cycle (such as federal retention requirements, submission of financial status report, etc.) <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR
GS 23006 Rev. 0	<p>Grants Received by Agency – Unsuccessful Applications</p> <p>Records relating to unsuccessful grant applications made by the state agency to grant-issuing entities.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

3.6 TRAVEL

The activity relating to the authorization, arrangement and reimbursement for travel.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 07001 Rev. 2	<p>Travel</p> <p>Records documenting travel undertaken by employees and non-employees.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Travel authorizations; • Arrangements (including visas for overseas travel); • Travel receipt documentation; • Reimbursement of expenses (including advance payments). 	<p>Retain for 6 years after end of fiscal year in which travel was completed</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

SUPERSEDED

4. HUMAN RESOURCE MANAGEMENT

The function of managing the state government agency's workforce.

4.1 ATTENDANCE AND LEAVE

The activity of documenting employee attendance and authorizing leave.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03030 Rev. 1	<p><i>Attendance and Leave Records</i> Records relating to employee requests and approvals of attendance and leave. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Annual and sick leave, personal and contractual holidays; • Compensatory, exchange or overtime earned; • Requests/approvals/denials for any form of leave (including leave without pay); • Approvals and designations; • Leave donation documentation; • Returned/unused leave administration; • Time cards and time sheets, etc., documenting hours worked (including overtime). <p>Excludes:</p> <ul style="list-style-type: none"> • Records required to document time and effort as part of grant requirements covered by <i>Grants Received by Agency (DAN GS 23004)</i>. • Requests/approvals for use of Family and Medical Leave Act (FMLA) and shared leave covered by <i>Personnel – Health-Related Records (Routine) (DAN GS 03054)</i>. <p><i>Note: Time cards or time sheets that are required for retirement verification prior to the use of HRMS are to be retained under Retirement Verification (DAN GS 03032).</i></p>	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.2 AUTHORIZATION/CERTIFICATION

The activity of agency **employees** (including contractors and volunteers) receiving authorization/approval, or fulfilling certification requirements, as required by regulating authorities for purposes relating to employee job activities. Excludes the granting of approval by state government agencies acting in a regulatory capacity, which is covered in agency schedules.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03046 Rev. 0	<p>Authorizations/Certifications – Human Resources (General)</p> <p>Records relating to licenses, permits, accreditations, certifications and other authorizations (such as driver’s licenses, etc.) <u>acquired by</u> state government agency employees in certain positions (including contractors and volunteers) that are either required by or received from regulating authorities (such as local, state or federal agencies and/or court order/rule), where not covered by a more specific records series.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications/confirmations; • Reports; • Violations/corrections, etc.; • Related correspondence/communications. 	<p>Retain for 6 years after authorization/certification superseded or terminated</p> <p>or</p> <p>6 years after separation from agency, <i>whichever is sooner then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 03047 Rev. 0	<p>Authorization to Use Personal Equipment/Devices for Work Purposes</p> <p>Records relating to the agency granting approval for employees to use their personally-owned equipment/devices, known as BYOD – Bring Your Own Device (such as laptops, phones, tablets, furniture, weapons, vehicles, etc.) for work-related purposes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests from employees; • Approvals (including conditions of use); • Revocation of approvals. 	<p>Retain for 6 years after approval superseded/terminated/request denied</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.3 BENEFITS

The activity of compensating employees via means other than salaries and wages.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03048 Rev. 0	<p><i>Benefits Enrollment and Participation</i></p> <p>Records relating to the enrollment and participation of employees in various benefit programs and packages offered to state employees such as health/disability/life insurance, deferred compensation, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Determinations of eligibility; • Applications for enrollment/participation; • Name, address, status and dependent modifications/changes. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Voluntary Employee Beneficiary Association (VEBA) (DAN GS 03045);</i> • <i>Retirement Verification (DAN GS 03032).</i> 	<p>Retain for 6 years after date of separation from agency</p> <p><i>or</i></p> <p>6 years after withdrawal from participation, <i>whichever is sooner</i></p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

4.3 BENEFITS

The activity of compensating employees via means other than salaries and wages.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03037 Rev. 1	<p><i>Commute Trip Reduction (CTR) Program</i></p> <p>Records relating to an agency's promotion and administration of reducing employee commute trips such as encouraging use of public transit, ride sharing, bicycle commute options, incentives and alternatives such as telecommuting.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Bonus voucher certification forms; • Registration and participant forms; • Incentives; • Parking tracking files; • CTR performance evaluations/reports/surveys/questionnaires. <p>Excludes records covered by <i>Reporting/Filing (Mandatory) – Employment-Related (DAN GS 03056)</i>.</p>	<p>Retain for 6 years after end of fiscal year</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

4.3 BENEFITS

The activity of compensating employees via means other than salaries and wages.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03032 Rev. 1	<p>Retirement Verification</p> <p>Records relating to an employee’s state service to document eligibility and entitlement to retirement benefits.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Enrollment; • Salary and employment dates; • Appointment letters; • Monthly salary; • Hours worked; • Time cards, time sheets or payroll registers if necessary to verify retirement information; • Other eligibility documentation such as position retirement worksheets or retirement reviews as necessary. <p>Excludes:</p> <ul style="list-style-type: none"> • Records covered by <i>Benefits Enrollment and Participation (DAN GS 03048)</i>; • Records covered by <i>Voluntary Employee Beneficiary Association (VEBA) (DAN GS 03045)</i>; • Records of the Department of Retirement Systems. 	<p>Retain for 60 years after date of separation from agency <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OFM</p>

SUPERSEDED

4.3 BENEFITS

The activity of compensating employees via means other than salaries and wages.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03013 Rev. 1	<p><i>Tuition Reimbursement</i></p> <p>Records relating to tuition reimbursement requests for educational courses taken by employees as part of staff development, or for institutions of higher education for qualified dependents if part of benefits package.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests for reimbursement and supporting documentation; • Course documentation/curriculum; • Approvals for reimbursement. 	<p>Retain for 6 years after completion of course <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 03049 Rev. 0	<p><i>Unemployment Insurance Claims</i></p> <p>Records relating to unemployment claims filed by individuals against agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Individual claims; • Documentation of acceptance/denial; • Any appeals of claims. 	<p>Retain for 6 years after final resolution of claim <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 03045 Rev. 1	<p><i>Voluntary Employee Beneficiary Association (VEBA)</i></p> <p>Records relating to approved participation in the VEBA health reimbursement account/plan by retirement-eligible employees in the voting group.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Lists of eligible employees; • Ballots and vote counts. 	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

4.4 LABOR RELATIONS

The activity relating to the relationships between agencies and labor unions and the administration of negotiations and contracts.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 09014 Rev. 1	<p>Labor Union Administrative Files – Agency Relations Records relating to the agency and labor union relations. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • General meeting files and minutes; • Related correspondence/communications. <p>Excludes records covered by <i>Complaints and Grievances – Upheld (DAN GS 03003)</i> and <i>Complaints and Grievances – Exonerated (DAN GS 03006)</i>.</p>	<p>Retain for 2 years after date of document <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 09015 Rev. 1	<p>Labor Union Contracts and Negotiations Records relating to contracts and negotiations held by the agency labor relations office to administrate contracts and proceedings. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Contracts and amendments; • Employer and union proposals and counter-proposals; • Notices and negotiations related to changes to mandatory subjects; • Memoranda of understanding and letters of agreement. <p>Excludes records of the Office of Financial Management – Labor Relations section.</p>	<p>Retain for 6 years after contract superseded or terminated <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

4.5 MISCONDUCT/DISCIPLINE/GRIEVANCES

The activity of investigating and responding to employee misconduct, grievances and disciplinary matters.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03006 Rev. 1	<p><i>Complaints and Grievances – Exonerated</i></p> <p>Records relating to complaints and grievances filed in cases of affirmative action, discrimination, equal opportunity employment, harassment issues and other workplace conditions and issues <i>in which the complaint proved to be unsubstantiated</i>. May be filed by job applicants, the public and represented and non-represented state employees.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Filed complaints and grievances; • Supporting documentation; • Agency response and decisions; • Legal actions, arbitration or mediation efforts; • Determinations and appeals. <p>Excludes records covered by <i>Complaints and Grievances – Upheld (DAN GS 03003)</i>.</p> <p><i>Note: Records may be retained upon employee request and in case of pending legal action (reference RCW 41.06.450 and WAC 357-22-040).</i></p> <p><i>Note: RCW 40.14.050 and RCW 40.14.060 vest authority to determine the retention period for public records in the State Records Committee, and not in the parties to a collective bargaining agreement.</i></p>	<p>Retain until exoneration <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.5 MISCONDUCT/DISCIPLINE/GRIEVANCES

The activity of investigating and responding to employee misconduct, grievances and disciplinary matters.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03003 Rev. 2	<p>Complaints and Grievances – Upheld</p> <p>Records relating to complaints and grievances filed in cases of affirmative action, discrimination, equal opportunity employment, harassment issues and other workplace conditions and issues <i>in which the complaint/grievance was upheld</i>. May be filed by job applicants, the public and represented and non-represented state employees.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Filed complaints and grievances; • Supporting documentation; • Agency response and decisions; • Legal actions, arbitration or mediation efforts; • Determinations and appeals. <p>Excludes records covered by <i>Complaints and Grievances – Exonerated (DAN GS 03006)</i>.</p> <p><i>Note: RCW 40.14.050 and RCW 40.14.060 vest authority to determine the retention period for public records in the State Records Committee, and not in the parties to a collective bargaining agreement.</i></p>	<p>Retain for 6 years after final determination of case <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

4.6 OCCUPATIONAL HEALTH AND SAFETY

The activity of creating and maintaining a safe and healthy work environment for employees. Includes industrial insurance claims.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03039 Rev. 1	<p><i>Employee Medical and Exposure Records</i></p> <p>Records comprising the employee medical and exposure records as defined and managed in accordance with chapter 296-802 WAC.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Records concerning the health status of an employee which are made or maintained by a physician, nurse, or other health care personnel or technician; • Medical surveillance and exposure documentation; • Medical diagnosis stemming from exposure; • Audiology history records (if position puts employee at risk for hearing loss); • Industrial hygiene monitoring. <p><i>Note: For more information on requirements for retaining employee health and medical records see chapter 296-802 WAC and RCW 49.17.220.</i></p>	<p>Retain for 30 years after date of separation from agency <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

4.6 OCCUPATIONAL HEALTH AND SAFETY

The activity of creating and maintaining a safe and healthy work environment for employees. Includes industrial insurance claims.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03015 Rev. 2	<p><i>Injury Claims</i> Records relating to claims filed by employees injured on the job. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency copy of L & I claim forms; • Accident/incident reports; • Physician diagnosis, prognosis and treatment reports; • Agency responsibility forms; • Accident Review Board case summaries; • Return to work plans (includes any ergonomic assessments or reasonable accommodation due to injury); • Other documentation related to claim. <p>Excludes:</p> <ul style="list-style-type: none"> • Records covered by <i>Employee Medical and Exposure Records (DAN GS 03039)</i>; • Records covered by <i>Injury Claims – Eye Injuries (DAN GS 03016)</i>; • Records of the Department of Labor and Industries related to the claim. <p><i>Note: Retention based on 7-year requirement for injury claims (RCW 51.32.160(1)(a)).</i></p>	<p>Retain for 7 years after claim settled <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.6 OCCUPATIONAL HEALTH AND SAFETY

The activity of creating and maintaining a safe and healthy work environment for employees. Includes industrial insurance claims.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03016 Rev. 1	<p><i>Injury Claims – Eye Injuries</i> Records relating to claims filed by employees with eye injuries on the job. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency copy of L & I claim forms; • Accident/incident reports; • Physician and treatment reports; • Agency responsibility forms; • Accident Review Board case summaries; • Other documentation related to claim. <p>Excludes:</p> <ul style="list-style-type: none"> • Records covered by <i>Employee Medical and Exposure Records (DAN GS 03039)</i>; • Records covered by <i>Injury Claims (DAN GS 03015)</i>; • Records of the Department of Labor and Industries related to the claim. <p><i>Note: Retention based on 10-year requirement for eye injury claims (RCW 51.32.160(1)(c)).</i></p>	<p>Retain for 10 years after claim settled <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 09017 Rev. 1	<p><i>Safety Data Sheets (SDS) or Allowed Substitute Record</i> Safety data sheets or allowed substitute records identifying hazardous chemical(s) by the chemical and common names(s) and listing all ingredients which have been determined to be health hazards in accordance with WAC 296-901-14014. May include records of hazardous chemical use and analyses using exposure or medical records (WAC 296-802-20010 and WAC 296-802-20015). <i>Note: Safety Data Sheets were formerly known as Material Safety Data Sheets prior to May 2014.</i></p>	<p>Retain for 30 years after superseded <i>or</i> 30 years after chemicals are no longer used <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

4.6 OCCUPATIONAL HEALTH AND SAFETY

The activity of creating and maintaining a safe and healthy work environment for employees. Includes industrial insurance claims.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03050 Rev. 0	<p>Safety Records</p> <p>Records required by the federal Occupational Safety and Health Administration (OSHA) relating to maintaining a safe workplace/environment for employees.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Required OSHA 300, 300A and 301 forms; • Logs and supporting documentation; • Safety and incident reports <u>not</u> part of a Labor and Industries claim; • First aid treatments provided on-site by a non-physician where no injury claim is filed. <p><i>Reference: 29 CFR 1904.33.</i></p>	<p>Retain for 5 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 03051 Rev. 0	<p>Wellness Programs</p> <p>Records relating to supporting and promoting employee wellness.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Wellness campaigns and promotions, including flyers and participation information; • Classes, events and wellness activities; • Wellness incentives, prizes and awards. <p>Excludes records covered by <i>Financial Transactions – General (DAN GS 01001)</i>.</p>	<p>Retain for 2 years after end of calendar year</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

4.7 PAYROLL

The activity relating to the monetary compensation of employees on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03052 Rev. 0	<p>Internal Revenue Service (IRS) Forms – Payroll</p> <p>Records relating to the Internal Revenue Service forms to authorize or request tax withholding/exemptions and that are held by employer.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • W-4 – Employee’s Withholding Allowance Certificate; • W-9 – Request for Taxpayer ID Number and Certification. 	<p>Retain for 4 years after superseded</p> <p>or</p> <p>4 years after date of separation from agency, <i>whichever is sooner</i></p> <p>then</p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 03031 Rev. 1	<p>Payroll Files – Employee Pay History</p> <p>Records relating to the pay history of individual employees.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Documentation of employee pay status; • Payroll deductions (taxes, insurance, parking, donations, miscellaneous); • Garnishment or other liens/attachments; • Authorizations for deductions/direct deposit; • Other documentation concerning employee payroll. <p>Excludes records covered by <i>Retirement Verification (DAN GS 03032)</i>.</p> <p><i>Note: Current deductions and authorizations are to be held by originating agency until retention is met.</i></p>	<p>Retain for 6 years after date of separation from agency</p> <p>then</p> <p>Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

4.7 PAYROLL

The activity relating to the monetary compensation of employees on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03033 Rev. 1	<p><i>Payroll Processing, Distribution and Reporting</i></p> <p>Records relating to the processing of payroll and reports used by personnel/payroll offices to verify actions, detail distribution of payroll costs and ascertain accuracy and accountability.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Documents that reflect personnel actions; • Internal Revenue Service (IRS) reports submitted to the IRS such as 1099, 940, 941 and W-2. • State income tax quarterly filings for other states; • Quarterly reports and filings for Labor and Industries (L & I) and wages; • Warrant cancellations and electronic fund transfers; • Detail reports, year-to-date costs and cumulative summary expense reports; • Status reports and adjustments; • Payroll distribution and other related costs. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Retirement Verification (DAN GS 03032);</i> • <i>Payroll Files – Employee Pay History (DAN GS 03031);</i> • <i>Reporting/Filing (Mandatory) – Employment-Related (DAN GS 03056).</i> 	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

4.7 PAYROLL

The activity relating to the monetary compensation of employees on a periodic basis.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 01060 Rev. 1	<p>Payroll Register</p> <p>Records relating to the certified record of agency payroll.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Payroll certification signed by agency head or designee; • Payroll deductions of each agency employee; • Net pay of each agency employee; • Time worked. <p><i>Note: May be used to assist in providing retirement verification if adequate time worked data is contained in payroll registers. See Retirement Verification (DAN GS 03032).</i></p>	<p>Retain for 60 years after date certified <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

4.8 PERFORMANCE MANAGEMENT

The activity of evaluating and directing employee performance progress and goals.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03002 Rev. 1	<p>Performance Evaluations – Employee</p> <p>Records relating to regularly scheduled performance evaluations of employees.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Completed and signed evaluations; • Expectations review and acceptance. <p><i>Note: RCW 40.14.050 and RCW 40.14.060 vest authority to determine the retention period for public records in the State Records Committee, and not in the parties to a collective bargaining agreement.</i></p>	<p>Retain for 3 years after completion of next evaluation</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 03024 Rev. 1	<p>Performance Evaluations – Supervisor Preparation</p> <p>Records gathered by an employee's supervisor in preparation for employee's performance evaluation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notes of performance, training and development; • Job assignments; • Other related documentation. <p><i>Note: RCW 40.14.050 and RCW 40.14.060 vest authority to determine the retention period for public records in the State Records Committee, and not in the parties to a collective bargaining agreement.</i></p>	<p>Retain until completion of evaluation</p> <p><i>and</i></p> <p>resolution of any ongoing performance issues</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

4.9 PERSONNEL HISTORY

The activity of documenting an individual's employment history with the agency, including contractors and volunteers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03053 Rev. 0	<p><i>Disclosure of Former Employee Information to Prospective Employers</i></p> <p>Records relating to the disclosure of information (such as hiring recommendations, employment/income verifications, etc.) about <u>former</u> employees to prospective employers or employment agencies in accordance with RCW 4.24.730.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Written logs; • Disclosure releases/statements; • Copies of information provided. <p>Excludes:</p> <ul style="list-style-type: none"> • Disclosure of information about <u>current</u> employees covered by <i>Personnel – Employment History Files (DAN GS 03042)</i>; • Public records requests covered by <i>Public Disclosure/Records Requests (DAN GS 05001)</i>. <p><i>Note: Retention based on 3-year statute of limitations for personal injury (RCW 4.16.080) and 2-year requirement in RCW 4.24.730.</i></p>	<p>Retain for 3 years after disclosure of information <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.9 PERSONNEL HISTORY

The activity of documenting an individual's employment history with the agency, including contractors and volunteers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03042 Rev. 1	<p>Personnel – Employment History Files</p> <p>Records relating to an individual's employment history with the agency and the documentation related to the position held.</p> <p>Also includes records relating to a volunteer's service with the agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications, resumes and appointment letters; • Position eligibility and position held; • Eligibility requirements for position (certifications, transcripts); • Disclosure of information to prospective employers in accordance with RCW 4.24.730. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Complaints and Grievances – Exonerated (DAN GS 03006);</i> • <i>Complaints and Grievances – Upheld (DAN GS 03003);</i> • <i>Performance Evaluations – Employee (DAN GS 03002);</i> • <i>Retirement Verification (DAN GS 03032).</i> <p><i>Note: See State HR Directive 13-01 Personnel File Standards and Electronic Personnel File Transfer Procedures.</i></p>	<p>Retain for 6 years after date of separation from agency <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL OPR

4.9 PERSONNEL HISTORY

The activity of documenting an individual's employment history with the agency, including contractors and volunteers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03054 Rev. 0	<p>Personnel – Health-Related Records (Routine)</p> <p>Records relating to the health of employees <i>where not covered by Employee Medical and Exposure Records (DAN GS 03039) or another more specific records series.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Ergonomic assessments (for routine prevention and if non-injury-related); • Reasonable accommodation (if non-injury-related); • Documentation of known medical conditions (for awareness in case of medical emergency that would assist in rapid response and treatment); • Documentation of ongoing medical treatment (if non-exposure or non-injury related and necessary for job performance/reasonable accommodation); • Requests/approvals for use of Family and Medical Leave Act (FMLA) and shared leave. <p>Excludes records covered by <i>Employee Medical and Exposure Records (DAN GS 03039).</i></p> <p><i>Note: Medical records should be retained by originating agency and <u>not</u> be included as part of an interagency transfer.</i></p>	<p>Retain for 6 years after date of separation from agency <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

4.9 PERSONNEL HISTORY

The activity of documenting an individual's employment history with the agency, including contractors and volunteers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03055 Rev. 0	<p><i>Personnel – Routine Transactions</i></p> <p>Records relating to employees' routine personnel transactions or tasks that do <u>not</u> affect employment history, payroll, performance or retirement status/eligibility.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Changes to work schedules and assignments; • Location codes; • Name/address/status/emergency contact change documentation; • Miscellaneous tracking forms. 	<p>Retain until superseded <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

SUPERSEDED

4.10 POSITION DEVELOPMENT AND STAFF STRUCTURE

The activity of developing job positions and the organizational structuring of staff.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03010 Rev. 1	<p>Position History Records relating to the history of each position and job classifications which apply to positions held by employees of the agency. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Allocations and reallocations; • Training plans specific to position; • Selective certification and required eligibility; • Position descriptions. <p>Excludes the master files for Job Specifications and Exempt Position Files held by the Office of Financial Management/State Human Resources Division (SHRD).</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
GS 03019 Rev. 1	<p>Reduction In Force Files – Agency Records relating to the process and implementation of reduction in force actions by agencies. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agency decisions, meeting minutes; • Required notifications; • Reports and related correspondence. 	<p>Retain for 6 years after conclusion of any pending action <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.11 RECRUITMENT/HIRING

The activity of recruiting, hiring, interviewing, selecting and employing individuals. Includes volunteers and contractors.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03022 Rev. 1	<p>Applications/Resumes – Unsolicited</p> <p>Records relating to unsolicited requests for job consideration and employment inquiries.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Unsolicited job applications/resumes received; • General prospective employment inquiries. <p><i>Note: Retention based on 2-year requirement in 29 CFR § 1602.31.</i></p>	<p>Retain for 2 years after received</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 03036 Rev. 1	<p>Employment Eligibility – U.S. Citizenship and Immigration Services (USCIS)</p> <p>Records relating to the verification of employment eligibility within the United States.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Federal I-9 forms; • H-1B labor condition applications and approvals; • Copies of valid driver’s license, passports or other photo identification; • Copies of certificate of naturalization and supporting documentation. <p><i>Reference: 8 CFR § 274a.2, 20 CFR § 655.760.</i></p> <p><i>Note: This series applies to any applicants that are actually hired. For those not hired, their recruitment records are to be covered under Recruitment – Employee (DAN GS 03012).</i></p>	<p>Retain for 3 years after date of hire</p> <p><i>or</i></p> <p>1 year after separation from agency,</p> <p><i>whichever is later</i></p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.11 RECRUITMENT/HIRING

The activity of recruiting, hiring, interviewing, selecting and employing individuals. Includes volunteers and contractors.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03012 Rev. 1	<p>Recruitment – Employee</p> <p>Records relating to the process of recruitment and selection of employees. Includes applicants screened but not interviewed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Job announcements and postings; • Job description and qualifications; • Eligibility lists for specific positions; • Applications, resumes and test results; • Applicant profile data; • Scoring, ranking and selection criteria; • Interview questions and evaluations; • Background and criminal history checks; • Reference check questions and answers. <p>Excludes successful applicant records covered by:</p> <ul style="list-style-type: none"> • <i>Personnel – Employment History Files (DAN GS 03031); and</i> • <i>Employment Eligibility – U.S. Citizenship and Immigration Services (USCIS) (DAN GS 03036).</i> <p><i>Note: Retention based on 3-year statute of limitations for the commencement of actions for employment discrimination (injury to the rights of others) (RCW 4.16.080).</i></p>	<p>Retain for 3 years after completion of recruitment/hiring process</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.12 REPORTING

The activity of providing information about agency employees, volunteers and contractors as required by regulating authorities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03056 Rev. 0	<p>Reporting/Filing (Mandatory) – Employment-Related</p> <p>Records relating to employment and submitted to regulatory agencies as required by federal, state or local law, where not covered by a more specific records series. Includes reports, confirmation of submission, correspondence, inquiries, etc.</p> <p>Also includes employment-related reports required by regulatory agencies to be compiled (but not submitted).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Employer Information Report EEO-1 filed with the Equal Employment Opportunity Commission according to 29 CFR § 1602.7; • New Hire Reports filed with the Department of Social and Health Services (DSHS) according to RCW 26.23.040; • Commute trip reduction plans and annual progress reports required under RCW 70.94.531 and RCW 70.94.534. 	<p>Retain for 4 years after compiled/submitted to regulatory agency</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

4.13 SEPARATION

The activity of an employee leaving the agency (voluntarily or involuntarily), leaving state service or transferring to another state agency.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 03040 Rev. 1	<p><i>Exit Interview – Personnel</i></p> <p>Documentation of information gained during an exit interview with an employee separating from the agency.</p>	<p>Retain for 3 years after exit interview completed <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 03057 Rev. 0	<p><i>Interagency Transfers</i></p> <p>Records relating to the transfer process of personnel records for an employee leaving a state agency and transferring to another state agency. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Send and receipt information and verifications. <p><i>Note: Documentation of the originals sent is to remain with the originating agency and held for the same retention and disposition as the original records.</i></p> <p><i>Reference: State HR Directive 13-01 Personnel File Standards and Electronic Personnel File Transfer Procedures.</i></p>	<p>Retain for 6 months after transfer verification <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

4.14 STAFF DEVELOPMENT

The activity of enhancing employees' competencies and skills through programs and training.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 22003 Rev. 1	<p>Training Files – Employee</p> <p>Records documenting the training history of individual employees participating in training, orientations and staff development programs.</p> <p>Training may include:</p> <ul style="list-style-type: none"> • Internal agency training for ethics, diversity, safety and other policies; • Internships, apprentice programs; • External training as requested or required. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Sign-in or attendance documentation IF no certificate or other documentation is issued as evidence of completion, satisfaction or attendance; • Policy review acknowledgements; • Certificates/credentials/licenses awarded or renewed; • Test results if necessary for continued certification, etc.; • Continuing education hours/credits/points. 	<p>Retain for 6 years after separation from agency <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

5. INFORMATION MANAGEMENT

The function of managing the state government agency's records and information, including forms and publications, mail services, library services, records management and public disclosure.

5.1 FORMS MANAGEMENT

The activity of drafting, producing and managing the state agency's forms.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 12004 Rev. 1	Forms – Accountable Unused, pre-numbered forms such as checks, receipts, invoices, meal tickets and licenses. <i>Note: These records are retained for audit purposes.</i>	Retain for 6 years after end of fiscal year in which form was created /printed <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 12001 Rev. 1	Forms – Development Records relating to the design, creation and revision of agency-created forms. Includes, but is not limited to: <ul style="list-style-type: none"> • Job descriptions/specifications/design records; • Sample job products/proofs/samples. 	Retain until no longer needed for agency business <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 12003 Rev. 0	Forms – Inventory Files Inventories of stocks of forms on hand.	Retain until superseded or obsolete <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

5.1 FORMS MANAGEMENT

The activity of drafting, producing and managing the state agency's forms.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 12005 Rev. 0	<p>Forms – Master Set</p> <p>Master set of all forms created by the agency. Also includes source materials (.pdfs, camera-ready masters, original photographs/images, etc.).</p>	<p>Retain until use of form ceases <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OFM</p>

SUPERSEDED

5.2 LIBRARY SERVICES

The activity of circulating a collection of materials. Includes public, school and internal agency libraries.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 15021 Rev. 0	<p>Catalog Records describing the library information sources owned by the agency.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OFM</p>
GS 15022 Rev. 1	<p>Circulation Records relating to the borrowing, lending and returning of items in the library's collection. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Item circulation history; • User/patron records (applications for membership, borrower registrations, parent/guardian permissions). <p>Excludes:</p> <ul style="list-style-type: none"> • Interlibrary loans covered by <i>Collection Control (DAN GS 15023)</i>; • Records relating to fines/fees covered by <i>Financial Transactions – General (DAN GS 01001)</i> and <i>Financial Disputes and Collections (DAN GS 01003)</i>. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

5.2 LIBRARY SERVICES

The activity of circulating a collection of materials. Includes public, school and internal agency libraries.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 15023 Rev. 1	<p>Collection Control Records documenting the physical control of the library's collection. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Accession and deaccession (discard) of items; • Finding aids; • Interlibrary loans; • Shelf list/inventory of holdings. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Acquisition and Disposal – Assets (Other than Real Property) (DAN GS 21001)</i>; • <i>Contracts and Agreements (DAN GS 01050)</i> (for agreements relating to bequests); • <i>Inventories – Capital Assets (DAN GS 16008)</i> (for collection items considered capital assets); • <i>Inventories – Supplies, Commodities and Parts (DAN GS 16004)</i> (for collection items not considered capital assets). 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL OPR</p>

5.3 MAIL SERVICES

The activity of managing the circulation of printed information. Includes incoming and outgoing, internal and external mail processes.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 13003 Rev. 1	<p>Mail Delivery and Receipt</p> <p>Records documenting the agency's incoming and outgoing physical mail (letters, packages, etc.).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Certified/registered/insured mail logs and return receipts; • Postage meter logs/reports; • Private ground delivery registers/receipts (UPS, Federal Express, etc.); • Signed pick-up and delivery receipts; • United States Postal Service (USPS) forms (certificate of bulk mailing, etc.). <p>Excludes contracts/agreements/permits relating to mailing services and equipment covered by <i>Contracts and Agreements (DAN GS 01050)</i>.</p>	<p>Retain for 6 years after end of fiscal year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

5.4 PUBLIC DISCLOSURE/RECORDS REQUESTS

The activity of responding to public records requests in accordance with the Public Records Act (chapter 42.56 RCW).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 05001 Rev. 2	<p><i>Public Disclosure/Records Requests</i></p> <p>Records relating to requests from the general public for access to the agency's public records in accordance with chapter 42.56 RCW.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Internal and external correspondence relating to the request; • Records documenting the public records provided to the requestor (copies or lists of the records provided, etc.); • Records documenting the public records (or portions) withheld (exemption logs, copies of portions redacted, etc.); • Records documenting administrative reviews relating to the request; • Public disclosure requests and appeals. <p>Excludes:</p> <ul style="list-style-type: none"> • Records that are the subject of the public records request (which must be retained in accordance with the applicable records series); • Records covered by <i>Provision of Advice, Assistance or Information (DAN GS 09022)</i>. 	<p>Retain for 2 years after public records request fulfilled</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

5.5 PUBLISHING

The activity of drafting, producing, and managing the state agency's publications. Includes web-based publishing.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 15010 Rev. 1	<p>Online Content Management</p> <p>Records documenting the publishing/changing of the agency's online (internet and intranet) content.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Requests/approvals to upload/update/remove content; • Confirmation of content upload/update/removal; • Point-in-time record of webpage/site (screenshot, snapshot, site map). <p><i>Note: All published content consists of individual records which have their own separate retention requirements. Each of these records must be retained for the current approved minimum retention period(s) according to their applicable records series.</i></p>	<p>Retain for 1 year after online content removed <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 15009 Rev. 1	<p>Publications – Development</p> <p>Records relating to the drafting, development, design and production of agency-created publications.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Job descriptions/specifications/design records; • Sample job products/proofs/samples; • Articles submitted for inclusion (including those not used); • Related correspondence/communications. <p>Excludes final publication covered by <i>State Publications (DAN GS 15008)</i>.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

5.5 PUBLISHING

The activity of drafting, producing, and managing the state agency's publications. Includes web-based publishing.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 15008 Rev. 2	<p>State Publications</p> <p>State publications (as defined in RCW 40.06.010(4)), regardless of format, published by the agency and intended for distribution to state government, the public or the Legislature.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Annual reports and other reports, manuals, brochures; • Newsletters, magazines, journals, periodicals; • Audio/video films/presentations. <p><i>Note: Agencies are required to transfer copies of state publications to the Washington State Library in accordance with RCW 40.06.030.</i></p>	<p><i>Upon publication,</i></p> <p>Transfer:</p> <ul style="list-style-type: none"> • 2 copies of printed format publications, <i>and/or</i> • 1 copy of electronic format publications <p>to Washington State Library for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM</p>
GS 15011 Rev. 0	<p>State Publications – Transfers to Library (Agency Compliance Records)</p> <p>Records relating to the transfer/deposit of state publications with the Washington State Library in accordance with chapter 40.06 RCW.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Records documenting the deposit of agency publications; • Annual lists of agency publications submitted to Washington State Library in accordance with RCW 40.06.030(2); • Exemptions from deposit requirements received by the agency from the State Librarian in accordance with RCW 40.06.030(3); • Related correspondence/communications. <p>Excludes Washington State Library's records relating to the administration of chapter 40.06 RCW.</p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the state agency's public records (creation or receipt, use, maintenance, conversion/migration to other formats and destruction/transfer).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11011 Rev. 2	<p>Conversion/Conservation – Archival Records</p> <p>Records documenting the process of converting the agency's Archival public records from one form to another where <u>not</u> captured in the metadata of the converted records.</p> <p>Also includes records documenting the repair and stabilization of damaged Archival public records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Migration of digital records (mapping schemas, testing reports, etc.); • Digitization of paper-based records (tests, inspection results, etc.); • Microfilming of digital and/or paper-based records (arrangement of originals, guide sheets, etc.); • Transfer of magnetic recordings; • Records documenting conservation (repair/stabilization) treatments performed on public records. <p>Excludes source records covered by <i>Source Records – Imaged/Migrated (Archival) (DAN GS 11014)</i>.</p>	<p>Retain until the converted/repaired Archival records are transferred to Washington State Archives</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>

5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the state agency's public records (creation or receipt, use, maintenance, conversion/migration to other formats and destruction/transfer).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11013 Rev. 1	<p>Conversion/Conservation – Non-Archival Records</p> <p>Records documenting the process of converting the agency's Non-Archival public records from one form to another where <u>not</u> captured in the metadata of the converted records. Also includes records documenting the repair and stabilization of damaged Non-Archival public records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Migration of digital records (mapping schemas, testing reports, etc.); • Digitization of paper-based records (tests, inspection results, etc.); • Microfilming of digital and/or paper-based records (arrangement of originals, guide sheets, etc.); • Transfer of magnetic recordings; • Records documenting conservation (repair/stabilization) treatments performed on public records. <p>Excludes source records covered by <i>Source Records – Imaged/Migrated (Non-Archival) (DAN GS 11012)</i>.</p>	<p>Retain until the converted/repaired Non-Archival records have been destroyed in accordance with a current approved records retention schedule <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the state agency's public records (creation or receipt, use, maintenance, conversion/migration to other formats and destruction/transfer).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11005 Rev. 1	<p><i>Destruction of Public Records</i> Records documenting the destruction of the agency's public records. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Destruction logs; • Affidavits; • Agency authorizations; • Certificates/notices of destruction. 	Retain for the life of the agency.	NON-ARCHIVAL ESSENTIAL OFM

SUPERSEDED

5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the state agency's public records (creation or receipt, use, maintenance, conversion/migration to other formats and destruction/transfer).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11009 Rev. 2	<p>Records Control</p> <p>Records relating to the physical and intellectual control of the agency's records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Essential records lists; • Files classification schemes/guidelines; • Inventories; • Records center transmittals/retrievals; • Master indexes, lists, registers, tracking systems, databases and other finding aids used to access public records designated as Non-Archival. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Destruction of Public Records (DAN GS 11005);</i> • <i>Transfer of Legal Custody (DAN GS 11001).</i> <p><i>Note: Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.</i></p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the state agency's public records (creation or receipt, use, maintenance, conversion/migration to other formats and destruction/transfer).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11003 Rev. 1	<p><i>Retention and Disposition Authorization</i></p> <p>Records relating to the retention of the agency's records in accordance with chapter 40.14 RCW.</p> <p>Includes, but not limited to:</p> <ul style="list-style-type: none"> • Internal working guides abstracted from approved records retention schedules; • Records relating to the former Early Destruction of Source Documents after Digitization (DAD) or Electronic Imaging Systems (EIS) application processes; • Agency's copies of records retention schedules approved by the State Records Committee in accordance with chapter 40.14 RCW. <p>Excludes the records of the Office of the Secretary of State and the State Records Committee.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the state agency's public records (creation or receipt, use, maintenance, conversion/migration to other formats and destruction/transfer).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11014 Rev. 1	<p>Source Records – Imaged/Migrated (Archival)</p> <p>Archival source records which have been imaged or migrated, <u>provided</u> the converted records are retained in accordance with a current approved records retention schedule.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Paper records which are scanned/digitized in accordance with <i>Requirements for the Destruction of Non-Archival Paper Records After Imaging</i>; • Paper records which are microfilmed in accordance with <i>Washington State Standards for the Production and Use of Microfilm</i>; • Digital records which are migrated to another digital format; • Magnetic records (VHS, cassette tapes, reel to reel, 8-track tapes, etc.) which are migrated to another magnetic or a digital format. <p><i>Note: Electronic records need to be retained in electronic format in accordance with WAC 434-662-040.</i></p>	<p>Retain until verification of successful conversion <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>

5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the state agency's public records (creation or receipt, use, maintenance, conversion/migration to other formats and destruction/transfer).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11012 Rev. 2	<p>Source Records – Imaged/Migrated (Non-Archival)</p> <p>Non-archival source records which have been imaged or migrated, <u>provided</u> the converted records are retained in accordance with a current approved records retention schedule.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Paper records which are scanned/digitized in accordance with <i>Requirements for the Destruction of Non-Archival Paper Records After Imaging</i>; • Paper records which are microfilmed in accordance with <i>Washington State Standards for the Production and Use of Microfilm</i>; • Digital records which are migrated to another digital format; • Magnetic records (VHS, cassette tapes, reel to reel, 8-track tapes, etc.) which are migrated to another magnetic or a digital format. <p><i>Note: Electronic records need to be retained in electronic format in accordance with WAC 434-662-040.</i></p>	<p>Retain until verification of successful conversion</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 11001 Rev. 1	<p>Transfer of Legal Custody</p> <p>Records documenting the transfer of the agency's legal custody of its public records under one of the following circumstances:</p> <ul style="list-style-type: none"> • Transfer of Archival records to Washington State Archives; • Lawful transfer to another government entity (other state agency, local government agency, etc.). <p><i>Note: Records of agencies that cease to exist are to be transferred to Washington State Archives in accordance with RCW 40.14.030.</i></p>	<p>Retain for the life of the agency.</p>	NON-ARCHIVAL ESSENTIAL OFM

6. RECORDS WITH MINIMAL RETENTION VALUE (TRANSITORY RECORDS)

This section covers records created or received by the agency which are typically of short-term, temporary informational use.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50003 Rev. 1	<p>Agency-Generated Forms and Publications – Copies</p> <p>Blank forms and duplicate copies of publications, <u>provided</u> the agency retains the primary record in accordance with the current approved minimum retention period and that the forms are <u>not</u> required for audit or accountability purposes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Reports, catalogs, brochures, calendars, posters; • Multi-media presentations (videos, CDs, etc.). <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Forms – Accountable (DAN GS 12004);</i> • <i>Forms – Master Sets (DAN GS 12005);</i> • <i>State Publications (DAN GS 15008).</i> 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 50006 Rev. 0	<p>Brainstorming and Collaborating</p> <p>Records generated as part of the brainstorming/collaboration process.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notes written on whiteboards, flipcharts, large/oversize paper sheets, etc.; • Post-it notes. <p>Excludes records covered by <i>Drafting and Editing (DAN GS 50008).</i></p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50007 Rev. 0	<p>Contact Information</p> <p>Records relating to the contact details of external clients/stakeholders the agency has gathered/received and the maintenance of such lists/collections.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Business cards; • Contact details stored in Microsoft Outlook and other contact databases; • Mailing lists, email distribution lists, listserv/RSS subscriber details, etc.; • Requests to be added/removed from the agency's contact lists (includes mail/communications returned as undeliverable); • Quality assurance checks; • Related correspondence/communications. <p>Excludes records covered by <i>Emergency/Disaster Preparedness – Contact Information (DAN GS 25004)</i>.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50008 Rev. 0	<p>Drafting and Editing Records relating to the drafting/editing of correspondence, documents and publications. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Preliminary drafts <u>not</u> covered by a more specific records series, <u>not</u> needed as evidence of external consultation or as evidence that the agency practiced due diligence in the drafting process; • Edits/suggestions/directions (such as handwritten annotations/notes, track changes information/comments in Microsoft Word, etc.); • Electronic documents created solely for printing (such as signs, mailing labels, etc.); • Related correspondence/communications. <p>Excludes records covered by <i>Legal Advice and Issues</i> (DAN GS 18003).</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 50009 Rev. 0	<p>Electronic Documents Used to Create Signed Paper Records Electronic documents created in order to print paper records that get signed, <u>provided</u> the signed paper records (or agency copy of same, if signed original is sent) are retained in accordance with the current approved minimum retention period.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Microsoft Word versions of minutes/letters/correspondence/etc. used to print the hard copy that gets signed. <p><i>Note: Agencies should still create and retain copies of signed letters as evidence of the business transaction.</i></p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50004 Rev. 0	<p>General Information – External</p> <p>Information received from other agencies, commercial firms or private institutions, which requires no action and is no longer needed for agency business purposes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Catalogs, reports, multi-media presentations (videos, CDs, etc.); • Informational copies, notices, bulletins, newsletters, announcements; • Unsolicited information (junk mail, spam, advertisements, etc.). 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50001 Rev. 2	<p>Informational Notifications/Communications</p> <p>Records communicating basic/routine short-term information (regardless of format or media used) that:</p> <ul style="list-style-type: none"> Do <u>not</u> document agency decisions/actions; Are <u>not</u> used as the basis of agency decisions/actions; and Are <u>not</u> covered by a more specific records series. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Basic messages such as “Come and see me when you’re free,” “Call me back at (360) 555-5555,” etc. Internal communications notifying of staff absences or lateness (such as “Bob is out today,” “Mary is running late,” etc.), <u>provided</u> the appropriate attendance and leave records are retained in accordance with <i>Attendance and Leave Records (DAN GS 03030)</i>; Internal communications notifying of staff social events/gatherings (such as potlucks, birthdays, fun runs, cookies in the break room, etc.) or of weather/traffic conditions (such as “Avoid I-5, it’s a parking lot,” “Take care – it has started snowing,” etc.); Email delivery/read receipts, out-of-office notices, etc. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <i>Attendance and Leave Records (DAN GS 03030)</i>; <i>Provision of Advice, Assistance or Information (DAN GS 09022)</i>. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50010 Rev. 0	<p>Internet Browsing</p> <p>Records routinely generated as part of internet browsing.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Browsing history/saved passwords/web form information, etc.; • Cache/temporary files; • Cookies. <p>Excludes internet activity log records covered by <i>Audit Trails and Systems Usage Monitoring (DAN GS 14020)</i>.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 50011 Rev. 0	<p>Organizing/Monitoring Work in Progress</p> <p>Records relating to the assigning, prioritizing, tracking/monitoring and status of work/projects in progress.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Status logs; • To-do lists; • Tasks within Microsoft Outlook, etc.; • Routing slips; • Workflow notifications/escalations. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50012 Rev. 0	<p>Records Documented as Part of More Formalized Records</p> <p>Records where the evidence of the business transaction has been documented as part of another more formalized record of the agency which is retained in accordance with the current approved minimum retention period.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Data entry input records (such as paper forms, handwritten notes, etc.) that have been documented as records within agency information systems (such as databases) provided the original record/form (including any signatures) is not required as evidence or authorization of the transaction; Working/rough notes, voicemail messages, text messages, social media posts, etc., that have been memorialized/captured in another format such as a note-to-file, email confirming the conversation, speech-to-text translations, etc.; Automatically-generated email notifications sent out by agency information systems <u>provided</u> the transaction is captured as part of an audit trail; Raw data/statistics/survey responses that have been consolidated/aggregated into another record. <p>Excludes:</p> <ul style="list-style-type: none"> Electronic records (such as emails) that have been printed to paper; Audio/visual recordings of meetings covered by <i>Advisory Body Records (DAN GS 10015)</i>, <i>Governing/Executive/Policy-Setting Body Records (DAN GS 10004)</i> or <i>Meetings – Staff and Internal Committees (DAN GS 09009)</i>. <p><i>Note: Electronic records need to be retained in electronic format in accordance with WAC 434-662-040.</i></p>	<p>Retain until verification of successful conversion/keying /transcription</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50013 Rev. 0	<p>Reference Materials</p> <p>Materials gathered from outside sources for reference/reading use which are <u>not</u> evidence of the agency's business transactions.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Conference materials (such as proceedings, handouts, etc.) from conferences/seminars not organized by the agency; • Copies of published articles, reports, etc.; • Internet browser favorites/bookmarks; • Listserv/RSS feeds. <p>Excludes records covered by <i>Secondary (Duplicate) Copies (DAN GS 50005)</i>.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 50002 Rev. 1	<p>Requests for Basic/Routine Agency Information</p> <p>Internal and external requests for, and provision of, routine information about the operations of the agency, such as:</p> <ul style="list-style-type: none"> • Business hours, locations/directions, web/email addresses; • Meeting dates/times. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Public Disclosure/Records Requests (DAN GS 05001)</i>; • <i>Provision of Advice, Assistance or Information (DAN GS 09022)</i>. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

SUPERSEDED

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50014 Rev. 0	<p>Scheduling – Appointments/Meetings</p> <p>Records relating to the scheduling of appointments/meetings (such as checking participant and room availability, rescheduling, accepting/declining meeting invitations, etc.) <u>provided</u> the calendar record of the appointment/meeting is retained in accordance with:</p> <ul style="list-style-type: none"> • <i>Calendars – Elected Officials and Agency Heads (DAN GS 10008);</i> • <i>Calendars – Employees (Other than Elected Officials and Agency Heads) (DAN GS 09023).</i> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Meeting invitations and accepted/declined notifications in Microsoft Outlook and other calendaring/scheduling software/apps; • Related correspondence/communications. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 50005 Rev. 1	<p>Secondary (Duplicate) Copies</p> <p>Copies of records (created or received), <u>provided</u> the agency retains its primary copy of the record in accordance with the current approved minimum retention period.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Data extracts and printouts from agency information systems; • Cc’s of emails, <u>provided</u> the agency is retaining its primary copy of the email; • Convenience/reference copies of records; • Duplicate and near-duplicate images/photographs <u>provided</u> the selected “best” image(s) documenting the occasion/object is retained. <p>Excludes records which are the agency’s only copy of the record, even if it is held by another agency.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 50015 Rev. 0	<p><i>Unsolicited Additional Materials</i></p> <p>Additional materials received by the agency that are:</p> <ul style="list-style-type: none"> • <u>Not</u> requested; and • <u>Not</u> used by the agency in the course of government business. <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Superfluous extra materials provided with applications (including health/medical records); • Information entering through online applications, e-forms, etc., but <u>not</u> completed and <u>not</u> submitted to the agency. 	<p><i>Upon receipt,</i></p> <p>Return to sender</p> <p><i>or</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

SUPERSEDED

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 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.”

SUPERSEDED

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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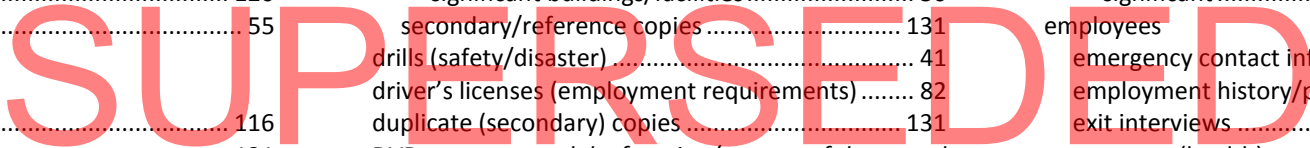
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		circulation (libraries)	110	governing/executive/policy-setting.....	26
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