# This schedule applies to: Department of Labor & Industries (L&I)

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Labor & Industries, which is dedicated to the safety, health and security of Washington's 3.2 million workers. L&I helps employers meet safety and health standards; inspects workplaces, administers the state's workers' compensation system; provides medical and limited wage-replacement coverage to workers who suffer job-related injuries and illness; creates rules and enforcement programs to help ensure workers are paid what they are owed, that children's and teen's work hours are limited, and that consumers are protected from unsound building practices. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS),* which authorizes the destruction/transfer of public records common to all state agencies.

**Disposition of public records**

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designated as "Archival (Permanent Retention)" must not be destroyed. Records designated as "Archival (Appraisal Required)" must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation and must be managed in accordance with the agency's policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW and must be managed in accordance with the agency's policies and procedures for public records requests.

**Revocation of previously issued records retention schedules**

All previously issued records retention schedules to the Department of Labor & Industries are revoked. The Department of Labor & Industries must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

**Authority**

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on December 4, 2013.

| *Signature on File* | *Signature on File* | - | *Signature on File* |
|---|---|---|---|
| **For the State Auditor:**<br>**Cindy Evans** | **For the Attorney General:**<br>**Matt Kernutt** | **For the Office of Financial Management:**<br>**Kathy Cody** | **The State Archivist:**<br>**Steve Excell** |

## REVISION HISTORY

| Version | Date of Approval | Extent of Revision |
|---|---|---|
| 1.0 | March 14, 2012 | Consolidation of all existing disposition authorities (with some minor revisions) and four new records series. |
| 1.1 | September 5, 2012 | Minor revision. |
| 1.2 | December 4, 2013 | Minor revisions to the Industrial Hygiene Laboratory and Lab Analysis section. |

For assistance and advice in applying this records retention schedule,

please contact the Department of Labor & Industries' Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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# 1. ALL OFFICES

This section covers records relating to program area advisory boards and committee meeting minutes and files which include external stakeholders; program area continuing education courses, and confidential medical records.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 91-04-47807<br>Rev. 4 | ***Collection Account Files***<br>Provides documentation of all employers, contractors, and citations and infractions issues with outstanding fees. The records are deemed finaled uncollectible, unresolved, or revoked, and the collection process has been activated.<br>The records may include, but are not limited to:<br>• Suspension packets;<br>• Legal documents;<br>• Proof of service;<br>• Final notice and order of assessment;<br>• Audit backing up assessment;<br>• Warrants filed with Superior Court;<br>• Foreign judgments;<br>• Notes;<br>• Audit backing up assessment;<br>• Copy of original infraction or citation, and,<br>• Personal liability assessments and documentation/packet with write-up and proof of service. | **Retain** for 25 years after final action has been taken on account<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-01-61924<br>Rev. 3 | ***L&I Program Area Advisory Board and Committee Meeting Minutes and Files***<br>Provides documentation of all L&I program area advisory boards and committees. All boards include internal and external stakeholders and may include subcommittee minutes and files. Records may include but are not limited to: sign-in sheets, agendas, minutes, handouts, presentations, transcripts, and audio tapes. | **Retain** for 4 years after each quarterly meeting<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |
| 12-03-68230<br>Rev. 0 | ***L&I Program Area Continuing Education Course Material***<br>Provides documentation of all L&I program area continuing education course materials. All program areas have different approval processes for their course material and may not require the same documents be maintained as another program. Courses may expire at various times, such as two or three years.<br>Includes but is not limited to:<br>• Applications;<br>• Fees paid;<br>• Course outlines<br>• Instructor qualifications<br>• Class rosters;<br>• Course material approved or disapproved;<br>• Course material created specifically by the program area;<br>• Proof of attendance. | **Retain** for 6 years after:<br>• Course expired, or<br>• Curriculum Review Committee Decision Made, or<br>• Course Completion Date, or<br>• Calendar Year,<br>whichever is applicable<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 92-12-51666<br>Rev. 2 | ***Medical Records (Confidential)***<br>Copies of patient medical records reviewed during peer reviews, audits, or other evaluations. Per RCW 51.36.110(1), 'The Director, or the director's authorized representative, shall destroy all copies of patient medical records in their possession upon completion of the audit, investigation or proceedings.' | **Retain** until orders final and binding, investigation or audit complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

# 2. DIRECTORS OFFICE – OFFICE NUMBER 100

This section covers records relating to the Annual Workers Memorial Service, the Ombudsman Office, and the agency Wellness Program.

See the State Government General Records Retention Schedule for additional executive management records series along with records relating to Legislative Relations, Communications, and Mail Services.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-01-61902<br>Rev. 0 | ***Workers Memorial Service Files***<br>Provides documentation of the Workers Memorial Service, held once a year in the spring, to honor individuals who were killed on the job in Washington State.<br>Includes, but is not limited to:<br>• Invitation letters;<br>• Invitations;<br>• Posters;<br>• Copies of e-mail correspondence;<br>• Agenda's;<br>• Copies of handouts and/or presentations;<br>• Pictures;<br>• DVD's of service.<br>*Note: Records will not include any personal identifiable information, such as claim file information, home addresses, telephone numbers, etc.* | **Retain** for 6 years after end of calendar year<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

## 2.1 OMBUDSMANS OFFICE – OFFICE NUMBER 106

*The activity relating to the Self-Insurance Ombudsmans Office*.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-12-62347<br>Rev. 0 | ***Ombudsman Files***<br>The Ombudsman Office is an advocate for injured workers of self-insured employers per RCW 51.14. They offer and provide information on industrial insurance to their clients and indentify, investigate ad facilitate resolution of industrial insurance complaints from injured employees.<br>All communication is considered privileged and confidential and disclosure is prohibited per RCW 51.14.370. Documentation may include but is not limited to: authorization forms, correspondence, notes, and copies of medical files. Statistical data is maintained for annual reporting purposes to the Governor. The records series used for the annual reports is GS 15008.<br>Only Ombudsman files in which the investigation is closed, or the informational response is complete, will be destroyed. | **Retain** for 1 year after end of fiscal year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 2.2 WELLNESS PROGRAM – OFFICE NUMBER 107

*The activity relating to Wellness programs and campaigns offered to L&I employees.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-08-62290<br>Rev. 0 | ***Seasonal Wellness Campaigns***<br>Agency-wide wellness campaigns are made available to all L&I employees at no cost. They are multi-week events and activities that occur in the spring, summer, fall and winter. Documentation may include but is not limited to: Inside L&I web postings, flyers, correspondence, participant information, and participant awards. Per the State Auditor's Office, all fiscal records must be maintained in wellness files to track the purchase of participation awards. | **Retain** for 6 years after end of event<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 10-08-62289<br>Rev. 1 | **Wellness Core and Enhancement Programs**<br>The agency Wellness Core and Enhancement programs are made available to all L&I employees and wellness committees. Some fees may apply to enhancement programs. The programs may include but are not limited to: yoga classes, chair massages, weight watchers, walking and running groups, resource libraries, and community support programs. Documentation may include but is not limited to: lifestyle assessments, goal setting and tracking, Inside L&I web postings, flyers and announcements, correspondence, participation awards and fiscal records. Per the State Auditor's Office, all fiscal records must be maintained in wellness files to track the purchase of participation awards. All personal identifiable information will remain confidential. Any health screening result will not be maintained by the wellness program but by individual who receive health related screening. | **Retain** for 6 years after end of fiscal year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |

# 3. RISK MANAGEMENT AND INTERNAL SAFETY – OFFICE NUMBER 220

This section covers records relating to insurance, Federal Emergency Management files, ergonomics, Occupational Safety and Health Administration 300 files, and job hazard analysis.

See the State Government General Records Retention Schedule for additional records series relating to risk management, vehicle management, and security.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-07-62082<br>Rev. 0 | ***Employee Emergency Data Cards***<br>Provides documentation of employee contact information in case of an emergency. The cards are the responsibility of Risk Management and Internal Safety, but are stored in a secure cabinet in the L&I Rotunda for quick access by the Washington State Patrol. The regional service locations maintain copies at their discretion. | **Retain** until superseded or end of employment<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-05-62022<br>Rev. 0 | ***Ergonomic Assessments for Agency Business Areas***<br>Provides documentation of ergonomic assessments for specific business areas completed upon request. Documentation includes but is not limited to assessment review and final recommendations. | **Retain** for 6 years after superseded<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 09-05-62021<br>Rev. 0 | ***Ergonomic Consultations for Agency Staff***<br>Provides documentation of ergonomic consultations done for all agency staff. Consultations are done on request by either the ergonomic coordinator or a trained aide. Documentation may include but is not limited to: completed consultation form, final recommendations and correspondence. | **Retain** for 6 years after employee either transfers, retires, or leaves state service<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-05-62024<br>Rev. 0 | ***Job Hazard Analysis Files***<br>Provides documentation of job hazard analyses done for each division or unit in the agency. The analysis is an overview of possible employee hazards for a particular job class or section. This reporting process is done approximately every three years. | **Retain** for 3 years after superseded<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-05-62023<br>Rev. 0 | ***Occupational Safety and Health Administration (OSHA) 300 Logs***<br>Provides documentation of work-related injuries and illnesses using the official OSHA Form 300 and 301. The compiled information is submitted to the Bureau of Labor and Statistics business area in L&I. The statistics created from the compiled information falls under DAN 08-08-61811 and is transferred to the State Archives every 2 years.<br>*Note: Records retention determined by OSHA recordkeeping rules per 29 CFR 1904. Per OSHA, records should be considered confidential as they contain personal identifiable information.* | **Retain** for 5 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 99-11-59344<br>Rev. 1 | ***Risk Management – Federal Emergency Management (FEMA) Files***<br>Provides documentation of L&I claims, following disasters, against FEMA and claims resolution.<br>*Note: 44CFR Part 206 states that documentation grant recipients must maintain financial and program records for three years following final payment for FEMA auditing purposes.* | **Retain** for 3 years after final payment received<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 99-11-59343<br>Rev. 1 | ***Risk Management Insurance Files***<br>Provides documentation of insurance information, such as coverage summaries and copies of billing invoices.<br>*Note: The Department of Enterprise Services Risk Management Office maintains copies of the original insurance policies and manages all insurance claims. L&I have no originals and are not responsible for initiating or reapplying for the policy.* | **Retain** for 2 years after policy renewal date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

# 4. ADMINISTRATIVE SERVICES DIVISION – OFFICE NUMBER 900

This section covers records relating to the administrative duties of managing a state agency.

See the State Government General Records Retention Schedule for additional records series relating to facilities management, contracts and purchasing records, forms management, public disclosure, publishing, records management, and financial management.

## 4.1 FINANCIAL SERVICES – OFFICE NUMBER 920

See the State Government General Records Retention Schedule for additional records series relating to Accounting Services, Inventory Control, Revenue Accounting, Financial Reporting and the Cashiers Office.

### 4.1.1 ACCOUNTING SERVICES – OFFICE NUMBER 921

*The activity relating to warrant exception records and unclaimed funds.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-06-62214<br>Rev. 0 | ***Unclaimed Property Records***<br>Provides a record of the due diligence process for notifying individuals who have unclaimed property (funds) per RCW 63.29.310(1). Documentation includes due diligence letters returned by the United States Postal Service (USPS) as undeliverable and tracking spreadsheet. | **Retain** for 6 years after date letter returned by USPS<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 93-11-53357<br>Rev. 1 | ***Warrant Exception Files***<br>Provides documentation of warrant exceptions records. Includes disposition forms, batch manifests, disposition instructions, and re-mails of warrants. | **Retain** for 6 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 4.2 RESEARCH AND DATA SERVICES ADMINISTRATION – OFFICE NUMBER 953

This section covers records relating to program specific studies.
See the State Government General Records Retention Schedule for additional records series relating to general agency administration.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 98-01-58223<br>Rev. 2 | ***Research and Data Services (RDS) Study Documentation***<br>Provides documentation on program specific studies related to projects and pilots to improve agency operations. The information compiled contains research and analysis on projects/pilots and is used for future studies conducted by RDS. Records may include but are not limited to: data files from administrative data and surveys, codes used to conduct data analysis, documentation of data elements, data gathered relating to practices of other State's as they relate to agency operations (fact finding); logs of project events, timelines, draft reports with tracked changes and stakeholder comments, and final reports. | **Retain** for 15 years after end of study<br>*then*<br>**Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

**4.2.1 BUREAU OF LABOR AND STATISTICS (BLS) INFORMATION – OFFICE NUMBER 953**

*The activity relating to data on injury, illness and fatalities gathered through a cooperative effort between the federal Bureau of Labor Statistics and L&I.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 74-09-06926<br>Rev. 6 | ***Bureau of Labor Statistics Survey File***<br>Provides documentation of injuries and/or illnesses in work places as reported by employers.<br>*Note: Confidential.* | **Retain** for 3 months after release of case and demographic data (annually in November)<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 08-08-61812<br>Rev. 1 | ***Census of Fatal Occupational Injuries (CFOI) Files***<br>Provides documentation of Washington workplace fatalities.<br>*Note: Confidential per the signed agreements between L&I and the US Department of Labor Occupational Safety and Health Statistics Program Cooperative Agreement under section Q and the Washington State Department of Health agreement under sections V and VI.* | **Retain** for 1 year after end of collection calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 08-08-61811<br>Rev. 0 | ***Census of Fatal Occupational Injuries (CFOI) Yearly Statistics***<br>Provides documentation of the number of Washington State fatalities by industry including occupation and worker characteristic. | **Retain** for 2 years after end of calendar year<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OFM |

**4.2.1 BUREAU OF LABOR AND STATISTICS (BLS) INFORMATION – OFFICE NUMBER 953**

*The activity relating to data on injury, illness and fatalities gathered through a cooperative effort between the federal Bureau of Labor Statistics and L&I.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-06-61790<br>Rev. 0 | ***Occupational Safety and Health Statistics (OSHA) Program – Cooperative Agreement***<br>Agreement between L&I and the US Department of Labor for the participation in the Survey of Occupational Injuries and Illnesses and Census of Fatal Occupational Injuries program. | **Retain** for 3 years after end of federal fiscal year<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OFM |

# 5. INSURANCE SERVICES DIVISION – OFFICE NUMBER 501

This section covers records relating to actuaries, Industrial Insurance claims, claims training, Self-Insurance, Crime Victims, Employer Services, Health Service Analysis, and Safety and Health Assessment and Research for Prevention.

See the State Government General Records Retention Schedule for additional records series relating to legal services and executive level records regarding policy, studies, quality performance and improvement, interpretive and policy statements.

## 5.1 ACTUARIAL SERVICES – OFFICE NUMBER 502

*The activity relating to the actuarial and financial functions of the State Fund, recommending premium rates for industrial insurance coverage, establishing liabilities for industrial insurance benefits and expenses, and measuring and analyzing financial and operational performance.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 11-04-62438<br>Rev. 0 | ***Annual Rate Documentation***<br>Provides documentation and data to develop premium rates. | **Retain** for 5 years after end of quarter<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OFM |
| 99-09-59293<br>Rev. 1 | ***Class Experience By Subclass***<br>Provides documentation for exposure and loss incurred by subclass for the five years of experience used by ratemaking. | **Retain** for 5 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 99-09-59294<br>Rev. 1 | ***Experience Rate Plan***<br>Provides documentation on experience rating by size of firm and size of experience modification factors. | **Retain** for 10 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.1 ACTUARIAL SERVICES – OFFICE NUMBER 502

*The activity relating to the actuarial and financial functions of the State Fund, recommending premium rates for industrial insurance coverage, establishing liabilities for industrial insurance benefits and expenses, and measuring and analyzing financial and operational performance.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 84-06-34074<br>Rev. 2 | ***L&I Basic Forecasts***<br>Provides documentation for budget, planning and Industrial Insurance assessment rates. | **Retain** for 3 years after end of calendar year<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OFM |
| 84-06-34007<br>Rev. 2 | ***Overall Loss Reserves – 2nd Quarter – Fiscal Year End***<br>Provides overall documentation and data to develop year-end claims reserves. | **Retain** for 20 years after end of fiscal year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 84-06-34011<br>Rev. 2 | ***Overall Premium and Base Rates***<br>Provides documentation of methods and results of calculations in fund level adjustments in premium rates, and parameters and steps used in setting manual rates by fiscal fund. | **Retain** for 10 years after end of calendar year<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |
| 99-09-59287<br>Rev. 1 | ***Pure Premium Review***<br>Provides documentation establishing Industrial Insurance and medical aid base rates by class. | **Retain** for 5 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.1 ACTUARIAL SERVICES – OFFICE NUMBER 502

*The activity relating to the actuarial and financial functions of the State Fund, recommending premium rates for industrial insurance coverage, establishing liabilities for industrial insurance benefits and expenses, and measuring and analyzing financial and operational performance.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 84-06-34009<br>Rev. 2 | ***Retrospective Rating Rate Documentation***<br>Provides documentation and data to develop quarterly rate tables. | **Retain** for 7 years after end of quarter<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.2 CLAIMS ADMINISTRATION – OFFICE NUMBER 510

This section covers records relating to the administration of self-insurance claims, claims training, quality assurance and coaching/mentoring new claims managers/adjudicators.

*The activity relating to records receiving and managing all state fund industrial insurance claims.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 07-09-61619<br>Rev. 1 | ***Industrial Insurance Compensable (Time Loss) Claim Files – State Fund***<br>Documentation pertaining to the processing and adjudication of an individual's claim filed for an industrial insurance injury or illness. Media: Paper copies imaged into approved electronic imaging system, ORION, with some data maintained in the electronic application LINIIS. | **Retain** for 75 years after last claim closure<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 07-09-61620<br>Rev. 1 | ***Industrial Insurance Non-Compensable (Medical Only) Claim Files – State Fund***<br>Documentation pertaining to the processing and adjudication of an individual's claim filed for an industrial insurance injury or illness. Media: Paper copies imaged into approved electronic imaging system, ORION, with some data maintained in the electronic application LINIIS. | **Retain** for 40 years after last claim closure<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 09-01-61920<br>Rev. 0 | ***OPIOD Prescription Report***<br>Electronic report which identifies claims that Opioid prescriptions have been paid in the last four months. Unit supervisors and/or claim staff review the report monthly, adding comments regarding the status of the claim when necessary. Report is managed by Operation Manager's secretaries. This report is used for claim management and auditing purposes.<br>*Note: The electronic copy is the original. All paper copies are considered secondary and can be destroyed when no longer needed under GS 50005.* | **Retain** for 2 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.2 CLAIMS ADMINISTRATION – OFFICE NUMBER 510

This section covers records relating to the administration of self-insurance claims, claims training, quality assurance and coaching/mentoring new claims managers/adjudicators.

*The activity relating to records receiving and managing all state fund industrial insurance claims.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 88-03-41809<br>Rev. 2 | ***Hardcopies of Industrial Insurance Claims Files – Compensable/Non-Compensable***<br>Includes all documents pertaining to the processing and adjudication of an individual's claim filed for an industrial injury or illness prior to June 1994. | **Retain** for 75 years after last claim closure<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 88-MF-41810<br>Rev. 3 | ***Industrial Insurance Compensable/Non-Compensable Claims Files - Microfiche***<br>Includes all documents pertaining to the processing and adjudication of an individual's claim filed for an industrial injury or illness prior to June 1994. | **Retain** for 75 years after last claim closure<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 93-11-53227<br>Rev. 1 | ***Hardcopies of Industrial Insurance Claim Files – Compensable/Non-Compensable***<br>Includes all documents pertaining to the processing and adjudication of an individual's claim filed for an industrial injury or illness prior to June 1994. | **Retain** for 75 years after last claim closure<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |

## 5.2.1 CLAIMS TRAINING – OFFICE NUMBER 561 AND COACH/MENTOR UNIT – OFFICE NUMBER 563

*The activity relating to records developing, communicating and implementing internal policies, providing classroom training for the Worker's Compensation Adjudicator program and claims managers trainees, the curriculum for the initial and ongoing training of L&I staff on claims issues, and coaching/mentoring new claims staff.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-06-62224<br>Rev. 0 | ***Claims Administration Training and Apprenticeship Program Records***<br>Records include all participant documentation throughout the 22 month Apprenticeship program and any other training program established for claims administration staff. Documentation may include but is not limited to: work checking documents, feedback reports, coach and trainer daily and monthly logs and submittal forms. | **Retain** for 4 years after Journeyman status is achieved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OFM |
| 10-06-62225<br>Rev. 0 | ***Claims Training and Coach/Mentoring Program Working Files***<br>Records include trainer, coach and mentor working files used to document class participation of trainees in the 22 month claims training program. Trainers and coach/mentor's document their classes and students progress on paper then enter the information into electronic format. The electronic record is considered the original. Documentation may include but is not limited to: dailies and daily logs, critical breakout lists, related supplemental instruction, feedback sheets, and copies of all records needed for the Washington State Apprenticeship Training Council (WSATC). | Retain for 1 year after data entered and verified into electronic format, or submitted to the WSATC<br>*then*<br>**Destroy.** | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 12-03-68234<br>Rev. 0 | ***Training Program History Files***<br>Provides documentation of the development and use of instructional and on-the-job material for the training of claims staff. Includes lesson plans and designs. | **Retain** for 25 years after end of calendar year<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

## 5.2.2 QUALITY ASSURANCE – OFFICE NUMBER 562

*The activity relating to records conducting service performance audits to evaluate the agency's handling and management of State Fund claims, and special internal projects.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-12-62348<br>Rev. 0 | ***Quality Assurance Claims Review***<br>Provides documentation of evaluations and special review of state fund claim adjudication records. Records include but are not limited to: quality assurance review forms and statistical reports. | **Retain** for 2 years after end of quarter<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 10-12-62349<br>Rev. 0 | ***Quality Assurance Review – Special Projects***<br>Provides documentation of special internal projects requested by business area or program manager. Subject matter may include but is not limited to: the reopening of claims, occupational disease, and wage calculations. This series does not include executive level projects. For projects requested by executive management or the legislature see GS 10001. There may be confidential or personal identifiable information in the subject matter of these projects. These projects do not meet the criteria in the Project Files records series GS 09018. They have no historical value nor are they innovative projects. | **Retain** for 6 years after project review is complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.3 INTEGRATED CLAIMS SERVICES

This section covers records relating to the administration of self-insurance claims, claims training, quality assurance and coaching/mentoring new claims managers/adjudicators.

### 5.3.1 LEGAL SERVICES – OFFICE NUMBER 931

This section covers records relating claims appeals, third party recovery, and claims policy and rules.

#### 5.3.1.1 THIRD PARTY – OFFICE NUMBER 934

*The activity relating to records a worker's injury caused by a third party either personally seeking recovery of damages from the at-fault party while also receiving Workers' Compensation benefits, or the agency seeking recovery on their behalf.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 97-03-57532<br>Rev. 1 | ***Legal Documents Concerning Third Party Action Working Files***<br>Provides documentation of personal injury actions, mediation and court appearance to resolve third party claims. May include but is not limited to: mediation briefs and attorney/client privilege correspondence. Final Mediation Disposition is scanned into the claim file and kept for 75 years under DAN 07-09-61619. | **Retain** until action resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 97-03-57530<br>Rev. 1 | ***Special Assistant Attorney General (SAAG) Lists***<br>Provides documentation of private attorney's assigned SAAG status for third party litigation. Documentation includes correspondence and SAAG lists sent to the Washington State Bar Association and the Attorney General's Office on a yearly basis. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 10-06-62204<br>Rev. 0 | ***Third Party Tracking System***<br>Provides documentation of third party files in their various stages. Used as a tracking tool to capture key information about the cases, includes fiscal documentation. | **Retain** for 6 years after action resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

### 5.3.1.2 POLICY – OFFICE NUMBER 560

*The activity relating to historical records creating, improving and updating Workers' Compensation rules (WAC) and policies.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-06-62223<br>Rev. 1 | ***Policy Program History Files***<br>Provides documentation of historical records such as the creation of policies and procedures, and projects related to the mission of the Policy program. | **Retain** for 25 years after end of calendar year<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

### 5.3.2 RETURN TO WORK PROGRAM – OFFICE NUMBER 512

This section covers records relating to the administration of self-insurance claims, claims training, quality assurance and coaching/mentoring new claims managers/adjudicators.

### 5.3.2.1 VOCATIONAL DISPUTE RESOLUTION – OFFICE NUMBER 513

*The activity relating to reviewing vocational disputes on the director's behalf. The director makes the final decisions based on those recommendations.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-03-61780<br>Rev. 0 | ***Dispute Tracking System Database***<br>Electronic Access database tracks every vocational dispute filed by a claimant including but not limited to, when the dispute was received, the vocational services specialist the dispute is assigned to and the final resolution. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |

## 5.3.2.2 PRIVATE SECTOR REHABILITATION SERVICES – OFFICE NUMBER 514

*The activity relating to Vocational Rehabilitation Counselors, and VRC's audit selection process regarding the consideration of their findings on Industrial Insurance claims.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-12-61981<br>Rev. 0 | ***Audit Selection Plans for Vocational Rehabilitation Counselor (VRC)***<br>Provides documentation regarding why a VRC was audited. These records are used as a risk management tool to determine which VRC's may be audited in the following year.<br>*Note: These records do not contain audit working papers or audit reports.* | **Retain** for 5 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 08-12-61980<br>Rev. 0 | ***Vocational Rehabilitation Counselor (VRC) and Intern Application Records***<br>Documentation tracks all incoming VRC and Intern applications by recording the date application is received, date sent to Provider Account, provider number, date entered into electronic system LINIIS, date informational letter sent out to provider and log on ID if needed. Documentation also includes all records regarding the assignment of provider log-in ID's throughout a provider's lifetime. | **Retain** for 25 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.3.2.3 PREFERRED WORKER PROGRAM – OFFICE NUMBER 515

*The activity relating to offering employers financial incentives to hire qualified injured workers who are unable to return to the employer where the industrial injury/occupational disease occurred.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 98-10-58815<br>Rev. 1 | ***Preferred Worker Statistics***<br>Provides compiled documentation of employers, employees, and vocational service specialists that participate in the preferred worker program. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.3.2.4 THERAPY SERVICES, WORKSOURCE PROGRAM – OFFICE NUMBER 518

*The activity relating to ergonomic consultations that may or may not be related to a Workers' Compensation Claim and WorkSource Vocational Services Specialists records.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 96-06-56866<br>Rev. 2 | ***Therapy Services – Non-Claim Ergonomic Consultations***<br>Documentation created from an ergonomic worksite consultation, and recommendations that are not related to an industrial insurance claim.<br>*Note: Claim related consultations are maintained under the claim file records series DAN 07-09-61619.* | **Retain** for 6 years after referral closure date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 10-05-62196<br>Rev. 0 | ***Worksource Vocational Services Specialist Working Files***<br>The WorkSource Vocational Services Specialists (VSS) provides a full range of vocational services. They perform stand alone job analyses, assess injured workers' employability, and assist workers to find jobs and improve their skills to increase employability. VSS working files may include but are not limited to: case notes, vocational testing, and medical chart notes from the doctor, correspondence, and school transcripts. The documentation is compiled into a monthly progress report, which is imaged into the claimants claim file and kept for 75 years under DAN 07-09-61619. Retention requirements per WAC 296-19A-400. | **Retain** for 5 years after referral closure date<br>*then*<br>**Destroy.** | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.3.3 PENSIONS – PENSION BENEFITS – OFFICE NUMBER 564

*The activity relating to worker's or their families who receive pension benefits if their injury prevents them from ever becoming gainfully employed, or their family receives benefits after an on-the-job fatality.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-12-61952<br>Rev. 0 | ***Department of Retirement System Files – No Claim***<br>Provides documentation regarding the determination of entitlement for a one-time benefit of $150,000 to the relatives of individuals who died on the job classified under PERS, SERS and TERS. This is a separate entitlement not related to a Workers Compensation claim at the time of death. | **Retain** for 25 years after review process complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 08-12-61953<br>Rev. 0 | ***Fatality Files – No Claim***<br>Provides documentation of individuals who died on the job but the accident is not covered under Title 51. Documentation includes but is not limited to:<br>• Death certificates,<br>• Obituaries,<br>• Newspaper articles covering the accident,<br>• Investigation reports, and,<br>• Information from the employer or family.<br>*Note: Title 51 is the laws and regulations that govern worker compensation benefits.* | **Retain** for 25 years after review process complete<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

## 5.3.3 PENSIONS – PENSION BENEFITS – OFFICE NUMBER 564

*The activity relating to worker's or their families who receive pension benefits if their injury prevents them from ever becoming gainfully employed, or their family receives benefits after an on-the-job fatality.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-06-62217<br>Rev. 0 | ***Pension Benefit Account Change Records***<br>Provides documentation of changes made to pension benefit accounts, including Social Security Administration (SSA) benefit coordination. A percentage of all changes are reviewed and compiled into a report used for auditing purposes by the State Auditor's Office. Working files include but are not limited to:<br>• Pension Benefit change reports,<br>• Special on time payments of pension benefit coordination reports,<br>• Tracking spreadsheet, and,<br>• Final monthly statistic reports. | **Retain** for 6 years after review complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 08-05-61784<br>Rev. 0 | ***Pension Screen Reports***<br>Provides a snapshot of pension screens for each 'folio' (pension claim). Snapshots are used to recreate pension file screens on an as-needed basis. Screen shots are created once a month; when a new screen shot is taken, it supersedes the former month. | **Retain** for 1 month after monthly payment run<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.4 CRIME VICTIM COMPENSATION PROGRAM – OFFICE NUMBER 520

*The activity relating to an individual who has suffered personal injury from a violent crime and receives compensation from the Washington State Crime Victim Compensation Program to assist in paying expenses such as medical bills, loss of financial support, and funeral expenses.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 92-04-50266<br>Rev. 1 | ***Crime Victim Compensation (CVC) Program Administrative Files***<br>Documentation includes monthly and quarterly reports, administrative plans, policies, mission statements and procedures, and various working files specific to the administrative section of CVC. Records may also include, but are not limited to: statistics, CVC steering committee meeting minutes and files, ad hoc meeting minutes and files, customer surveys and results, program related news clippings, projects and correspondence. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OFM |
| 08-09-61847<br>Rev. 0 | ***Crime Victim Documentation – No Valid Claim Number on File***<br>Documentation received by the sections within the Crime Victim Compensation program that cannot be matched to a filed claim. Records are researched and, if it is regarding a bill, after 45 days a remittance advice is sent to the provider noting that the bill was unpaid due to missing claim information. No notification is provided to senders of non-bill documents. | **Retain** for 2 months after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.4.1 BILL PAYMENT UNIT – OFFICE NUMBER 521

*The activity relating to the documentation and processing of Crime Victim Compensation Claims Medical bills.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-03-61778<br>Rev. 0 | ***Bill Quality Assurance Files***<br>Provides documentation pertaining to bill quality assurance files. | **Retain** for 6 years after end of quarter<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 09-07-62069<br>Rev. 0 | ***Crime Victim Claims – Medical Bills***<br>Provides documentation of all medical bills received and processed on Crime Victim claims. | **Retain** for 25 years after date paid<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 09-01-61921<br>Rev. 1 | ***Data Entry Batch Cover Sheets***<br>Documentation provided on the coversheets is entered into the Medical Information and Payment System (MIPS) which activates the 'batch' (a group of medical bills) so the information from the medical bills can be keyed into the system. Documentation on the coversheets includes: Internal Control Number (ICN); the batch number, the beginning and ending document numbers, the total documents in the batch, the batch type and accounting code; date batch was activated/by whom and the date keyed/by whom. If any bills are deleted from the batch during processing, this is also noted on the cover sheet. | **Retain** for 6 years after batch completed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 92-04-50264<br>Rev. 4 | ***Forensics Assault Exam Bills***<br>Provides documentation of authorized payment for medical exams. Includes medical reports. | **Retain** for 6 years after bill processing complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.4.1 BILL PAYMENT UNIT – OFFICE NUMBER 521

*The activity relating to the documentation and processing of Crime Victim Compensation Claims Medical bills.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 92-04-50268<br>Rev. 3 | ***Preliminary Payment Summary Reports***<br>Documentation includes several fiscal reports of all crime victim bills approved for payment. | **Retain** for 6 years after end of quarter<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 08-05-61785<br>Rev. 1 | ***Provider and Claimant Remittance Advices***<br>Documentation provides a detailed summary of a provider's bill activity or a claimant's request for reimbursement during a specific payment cycle for Crime Victims bills. The original copy is an electronic report produced from the Medical Information Payment System (MIPS) and maintained electronically in an Electronic Operating System (EOS). Also includes microfiche copies, which were no longer produced after July 2008. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 97-07-57851<br>Rev. 2 | ***Provider Registration Records***<br>Documentation of provider eligibility and certification to provide medical treatment and mental health services to eligible crime victim claimants. Media: Originals are in paper; copies are scanned and imaged for reference purposes only. | **Retain** for 6 years after provider terminated<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 09-03-61947<br>Rev. 0 | ***Reference Summary Reports***<br>Provides documentation of updates, changes and deletions made to Medical Information Payment System – Crime Victims (MIP-C). Reports include but are not limited to: terminated provider numbers, tax verification, 1099 reporting, procedure code changes, tax master reports, tax ID payment reports, provider payment reports and ad hoc reports. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.4.2 CLAIMS UNIT – OFFICE NUMBER 522

*The activity relating to the processing and management of Crime Victim Compensation Claim files.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 74-08-06757<br>Rev. 4 | ***Crime Victim Claim File***<br>Provides all documentation pertaining to a claim for an individual who has been injured during the commission of a crime and the subsequent responsibilities of the State of Washington's Crime Victims Compensation Program in this regard.<br>Includes, but is not limited to:<br>• Application for benefits;<br>• Medical records;<br>• Law enforcement records;<br>• Claim related correspondence. | **Retain** for 75 years after claim closed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |

## 5.5 EMPLOYER SERVICES – OFFICE NUMBER 530

*The activity relating to Employer (Firm) account files, Workers' Compensation base rates and risk classes, and quarterly premiums paid by employers.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 05-03-60843<br>Rev. 1 | ***Annual Rate Notices***<br>Documentation of notifications to employers of annual industrial insurance rate changes. Media: Formerly on Microfiche. As of July 2008, rate notices are now electronic. | **Retain** for 10 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 84-06-34101<br>Rev. 1 | ***Class and Sub-Class Experience***<br>Provides documentation of loss and exposure data by policies that have sub-accounts and display risk classification and sub-classification information. | **Retain** for 10 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 10-01-62193<br>Rev. 0 | ***Dividends***<br>Records include all documentation pertaining to the issuance of dividends to policyholders. | **Retain** for 6 years after final action taken<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 98-10-58817<br>Rev. 1 | ***Employer Accounting Systems Enhancement (EASE) Adjustment Reports***<br>Provides documentation of adjustments of premiums and penalty/interest on employer accounts. | **Retain** for 3 years after report date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.5 EMPLOYER SERVICES – OFFICE NUMBER 530

*The activity relating to Employer (Firm) account files, Workers' Compensation base rates and risk classes, and quarterly premiums paid by employers.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 74-03-03623<br>Rev. 2 | ***Employer Industrial Insurance Account Files***<br>Provides documentation of all firm files pertinent to the department of workers hours and premium payments in accordance with RCW 51.16.035. Documentation for the firm files includes but is not limited to: correspondence, appeals, and various reports. Media includes paper copies prior to May 2007; thereafter copies are electronic, with some data maintained in the electronic application LINIIS. | **Retain** for 6 years when final action taken<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 91-04-47808<br>Rev. 3 | ***Employer Report of Hours for Industrial Insurance***<br>Provides documentation of man hours worked, and the payroll and premium reported and/or paid by employees. | **Retain** for 6 years after end of quarter<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 84-06-34089<br>Rev. 1 | ***Experience Rating Calculation Adjustments***<br>Provides documentation of incurred losses for employers accounts for firm numbers. | **Retain** for 10 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 10-01-62194<br>Rev. 0 | ***Experienced Rating Calculations***<br>Provides documentation of incurred and expected losses for employers accounts by firm number. Media: Formerly on microfiche. In 2000 switched to CD and is now available electronically. | **Retain** for 10 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.5 EMPLOYER SERVICES – OFFICE NUMBER 530

*The activity relating to Employer (Firm) account files, Workers' Compensation base rates and risk classes, and quarterly premiums paid by employers.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-01-62195<br>Rev. 0 | ***Potential Unregistered Employers Report***<br>Provides documentation of employers who may not have been registered prior to a claim being filed. The report is reviewed by an Employer Services staff member and, if there is a discrepancy, a copy is given to the account manager for further review. If fraud is determined, the information is given to the Fraud Prevention Investigation section to be investigated. | **Retain** for 6 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.5.1 RETROSPECTIVE RATING – OFFICE NUMBER 534

*The activity relating to an optional incentive program offered to employers to minimize their industrial insurance losses.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 84-05-33893<br>Rev. 2 | ***Prospective Retrospective Rating Members***<br>Provides documentation which enables groups to see how they might fare under retrospective rating. | **Retain** for 2 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 84-05-33895<br>Rev. 2 | ***Retrospective Rating Enrollment Files – Groups/Individuals***<br>Documentation specific to retrospective enrollment, which includes but is not limited to: calculations, correspondence, coordinator contact records, account balance reports, membership, predominant risk reports, protests and appeals, and contractual agreement. | **Retain** for 6 years after resolution of all protests and appeals<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |

## 5.6 HEALTH SERVICE ANALYSIS (HSA) – OFFICE NUMBER 540

*The activity relating to a second-opinion program in Washington State.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-06-62216<br>Rev. 0 | ***Chiropractic Consultation Files***<br>Provides documentation of Chiropractors who voluntarily apply to perform second opinions on injured workers referred by their doctors. Records may include but are not limited to: program application, copy of chiropractic license, continuing education credits, performance agreement, attestation letters and correspondence. | **Retain** for 3 years after agreement is terminated<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.6.1 HEALTHCARE POLICY AND PAYMENT METHODS – OFFICE NUMBER 542

*The activity relating to the development of policies, payment methods and maximum fees used to pay healthcare and vocational providers who treat injured workers and crime victims.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 98-08-58656<br>Rev. 2 | ***Provider Fee Schedule Documentation***<br>Provides a record of the complete development of the provider fee schedules, which includes workers compensation payment codes, based on business needs and industry standards. Records may include but are not limited to:<br>• Correspondence,<br>• Benchmarking documents,<br>• Coverage decisions,<br>• Fee schedules,<br>• Extracts,<br>• Payment policies and billing instructions,<br>• Web documents,<br>• Work plans, and,<br>• WAC changes. | **Retain** for 15 years after date of publication<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL OPR |

## 5.6.2 PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544

*The activity relating to the management of provider accounts; provider quality, which includes medical care provided by healthcare providers and medical examiners or firms providing independent medical exams; billing audits, and continuing medical education seminars and webinars.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 11-04-62455<br>Rev. 1 | ***Claims Manager Complaint Tracking Files***<br>Provides documentation of complaints from Claims Managers regarding Independent Medical Exams (IME) doctor examination reports. Documentation may include but is not limited to: emails, databases, spreadsheets, faxes or written correspondence. Media: Paper and electronic.<br>Regarding the cut-off: 'Tracking Completed' means the provider complaint/referral has been reviewed and no further action will be taken by the department. If further action is required, the documentation becomes a part of the records series titled Provider Peer Review and Complaint Files, DAN 11-04-62440. | **Retain** for 2 years after tracking completed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 98-08-58654<br>Rev. 1 | ***Independent Medical Exam (IME) Providers***<br>Provides documentation of IME firms and individual providers that perform independent medical examinations for Washington State Workers Compensation. Documentation may include but is not limited to: provider applications, inactivation of provider services, administrative action taken against provider based on complaints, orders of notice, correspondence and litigation records.<br>Regarding the cut-off, 'Action Final' means the department's action is not appealable, the provider's debt has been paid in full and, if appropriate, all terms of the settlement agreement have been met. | **Retain** for 6 years after services end or final action completed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.6.2 PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544

*The activity relating to the management of provider accounts; provider quality, which includes medical care provided by healthcare providers and medical examiners or firms providing independent medical exams; billing audits, and continuing medical education seminars and webinars.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 11-04-62454<br>Rev. 0 | ***Injured Worker Complaint Tracking Files***<br>Provides documentation of complaints from injured workers against Independent Medical Exam (IME) doctors. Documentation may include but is not limited to: faxes, written correspondence, or secure message.<br>Regarding the cut-off: 'Tracking Completed' means the provider complaint/referral has been reviewed and no further action will be taken by the department. If further action is required, the documentation becomes a part of the records series titled Provider Peer Review and Complaint Files, DAN 11-04-62440. | **Retain** for 3 years after tracking completed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 77-10-20108<br>Rev. 5 | ***Provider Account Records***<br>Provides documentation of assigning payee numbers to medical and non-medical providers and any related correspondence between L&I and the provider. Payee numbers are used to issue payments to providers for services provided to industrially injured workers. Media includes paper prior to July 2007, electronic copies scanned into ORION, and electronic information maintained in LINIIS. | **Retain** for 20 years after inactivation date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 08-06-61783<br>Rev. 0 | ***Provider Account Statistical Reports***<br>Documentation used for reference and compiling statistics. Reports may include but are not limited to: Lien Summary Report, reports of provider enrollment numbers, missing provider Social Security numbers, IRS Tax ID numbers, and the Inactive Provider Account Report. | **Retain** for 2 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.6.2 PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544

*The activity relating to the management of provider accounts; provider quality, which includes medical care provided by healthcare providers and medical examiners or firms providing independent medical exams; billing audits, and continuing medical education seminars and webinars.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 92-12-51671<br>Rev. 2 | ***Provider Medical Bill Audits and Actions***<br>Provides documentation of provider medical bill audits. Documentation may include but is not limited to: complaint/referrals, referral analysis, order and notice, correspondence and litigation records. This series does not include medical records. See DAN 92-12-51666.<br>Regarding the cut-off: 'Action Final' means the department's action is not appealable, the provider's debt has been pain in full and, if appropriate, all terms of the settlement agreement have been met. 'Investigation Completed' means the provider billing complaint/referral has been reviewed and no further action will be taken by the department. | **Retain** for 6 years after action final or investigation complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 11-04-62440<br>Rev. 0 | ***Provider Peer Review and Complaint Files***<br>Provides documentation of professional peer reviews of treatment for quality and medical necessity. Also includes provider quality of care complaints/referrals. Documentation may include but is not limited to: professional peer review report, agency report, order of notice or letter of concern, follow-up, litigation records, reconsideration reports, monitoring report, complaint files, and individual quality care complaints submitted about providers. This series does not include medical records. See DAN 92-12-51666.<br>Regarding the cut-off: 'Action Final' means the department's action is not appealable, the provider's debt has been pain in full and, if appropriate, all terms of the settlement agreement have been met. 'Investigation Completed' means the provider billing complaint/referral has been reviewed and no further action will be taken by the department. | **Retain** for 6 years after action final or investigation complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.6.3 TECHNICAL OPERATIONS – OFFICE NUMBER 546

*The activity relating to maintaining the integrity of the Medical Information Payment System (MIPS), and the maintenance of all claimant data necessary to support medical bills payment and management reporting.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 77-10-20112<br>Rev. 1 | ***Annual Claimant History Profile***<br>Provides a record of payments made to medical vendors by the claim number assigned to each industrially injured worker. Report is maintained in electronic system called Enterprise Output Solution (EOS). | **Retain** for 25 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 08-09-61868<br>Rev. 1 | ***Completed W-2 Forms For State Fund Claimants***<br>Secondary copies of completed W-2 forms for individuals with active state fund claim files. Copies are kept in case of loss by customer. | **Retain** for 7 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 89-10-45074<br>Rev. 5 | ***Electronic Media Claims (EMC) Bill Reports***<br>Documentation provides an audit trail for multiple insurer format bills processed by Medical Information Payment System (MIPS). Includes but is not limited to: L&I LAN processing reports, EMC preprocessing reports, and MIPS processing reports. These reports are received and maintained electronically. | **Retain** for 6 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 80-01-24085<br>Rev. 1 | ***Firm Statement of Awards***<br>Monthly statement to employers detailing payments made to medical and miscellaneous providers. The report is broken down by claim number. Report is maintained in electronic system called Enterprise Output Solution (EOS). | **Retain** for 25 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.6.3 TECHNICAL OPERATIONS – OFFICE NUMBER 546

*The activity relating to maintaining the integrity of the Medical Information Payment System (MIPS), and the maintenance of all claimant data necessary to support medical bills payment and management reporting.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 92-03-49964<br>Rev. 2 | ***Mass Adjustment Operational Records***<br>Provides documentation of detail reports in the Medical Information Payment System (MIPS) files and mass payment adjustment transactions. | **Retain** for 6 years after end of week<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 08-09-61867<br>Rev. 1 | ***Reference Update Summary***<br>Provides documentation of updates, changes and deletions made to MIPS. | **Retain** for 6 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 89-10-45066<br>Rev. 1 | ***Remittance Advices***<br>Provides detailed records of bi-monthly payments made to medical vendors for industrially injured workers. Report is maintained in electronic system called Enterprise Output Solution (EOS). | **Retain** for 25 years after every other month (bi-monthly)<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 03-04-60514<br>Rev. 1 | ***Service Request Release Documents***<br>Provides documentation of all supporting test plans, test scripts, test results including exception logic, new reports, and screen layouts and data elements of modifications/enhancements made to MIPS. | **Retain** for 6 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.7 SELF-INSURANCE – OFFICE NUMBER 570

This section covers records relating to the management of self-insurance industrial insurance claims, certification services for self-insured employers and training provided to self-insurance claims administrators.

### 5.7.1 CERTIFICATION SERVICES – OFFICE NUMBER 572

*The activity relating to the management of qualified self-insurance employers, who provide their own coverage of L&I's workers compensation program.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 74-07-05403<br>Rev. 6 | ***Employer Master Record File***<br>Provides documentation of correspondence related to self-insurers, including files related to safety, program compliance, audits and penalties.<br>*Note: These records were microfilmed through February 2007. Microfilm is currently stored at L&I headquarters in Tumwater on the 3rd Floor.* | **Retain** for 30 years after the date imaged<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 11-04-62439<br>Rev. 0 | ***Self-Insured Employer Escrow Balance Sheets***<br>Escrow balance sheets, or statements, are reviewed each month to verify that an employer has the funds to pay their worker benefits in the event of a default by an employer. The statements are checked to ensure that the market value of these securities is at least equal to the required amount that should be in the account.<br>The balance sheets come either monthly or quarterly. When a new one is received the former one is obsolete as the new statement supersedes it. The escrow account documentation is maintained in the Self-Insured Surety Files, DAN 98-09-58677 for 11 years after the last claim is closed. | **Retain** until superseded<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.7 SELF-INSURANCE – OFFICE NUMBER 570

This section covers records relating to the management of self-insurance industrial insurance claims, certification services for self-insured employers and training provided to self-insurance claims administrators.

### 5.7.1 CERTIFICATION SERVICES – OFFICE NUMBER 572

*The activity relating to the management of qualified self-insurance employers, who provide their own coverage of L&I's workers compensation program.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 07-12-61679<br>Rev. 1 | ***Self-Insured Employer Reporting Files***<br>Includes actuarial documentation of estimated loss exposure (claim costs) for Self-Insured businesses and documentation of assessment paid by self-insurers. Information utilized in actuarial estimates of loss exposure. May include but is not limited to: reinsurance, legal/special documents, subs/locations, quarterly and annual reports and reimbursements. | **Retain** for 30 years after imaged<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 98-09-58677<br>Rev. 4 | ***Self-Insured Surety Files***<br>Provides documentation of collateral for Self-Insured claims liability. Source of payment in the event of a default to ensure payment of workers compensation benefits. Documentation includes bond, escrow agreement, and letter of credit backing up financial surety.<br>Correspondence releasing the surety will be placed in the series under DAN 74-07-05403 and maintained for 30 years. | **Retain for** 11 years after last claim closed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.7.2 CLAIMS TRAINING UNIT – OFFICE NUMBER 571

*The activity relating to certifying self-insurance claims work leaders, claims managers and trainers.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 11-04-62437<br>Rev. 0 | ***Self-Insurance Electronic Data Reporting System (SIEDRS) Aggregate Data Reports***<br>Quarterly reports on workers' compensation program outcomes for the self-insurance community as a whole. Includes a total of 21 various reports. | **Retain** for 5 years after end of quarter<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 11-04-62436<br>Rev. 0 | ***Self-Insurance Electronic Data Reporting System (SIEDRS) Enrollment Forms***<br>Provides a record of companies that are sending claims data electronically to L&I via SIEDRS. | **Retain** for 1 year after data entered and verified<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 11-04-62434<br>Rev. 1 | ***Self-Insurance Qualified Claim Administrator Completed Exams***<br>Provides a record of testing to become a qualified claims administrator. Includes application. Results are documented in the electronic system 'Quick Cards' under DAN 08-11-61909 and kept for 25 years. | **Retain** until data entered and verified<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 11-04-62435<br>Rev. 1 | ***Self-Insurance Qualified Claim Administrator Updated Exam Questions***<br>Provides documentation of updated exams with new or revised questions. | **Retain** for 1 year after superseded<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.7.3 CLAIMS MANAGEMENT SERVICES – OFFICE NUMBER 573

*The activity relating to management of self-insurance claims files.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 07-12-61682<br>Rev. 1 | ***Self-Insured Agency Worker's Compensation Claims – Compensable***<br>Includes medical coverage and time loss and provides documentation of action taken, provides basis for future claim decisions, and allows research related to the claims.<br>*Note: The original claim files are kept by the self-insured employer, so L&I cannot certify completeness of file. See the Local Government Common Records Retention Schedule, DAN GS50-06C-27.* | **Retain** for 75 years after close of claim<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 74-07-05400<br>Rev. 5 | ***Self-Insured Agency Worker's Compensation Claims – Compensable – Paper Copies Prior to 1988***<br>Includes medical coverage and time loss and provides documentation of action taken, provides basis for future claim decisions, and allows research related to claims prior to 1988. | **Retain** for 75 years after close of claim<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 78-11-21645<br>Rev. 6 | ***Self-Insured Agency Worker's Compensation Claims – Non-Compensable***<br>Provides documentation of action taken, provides basis for future claim decisions, and allows research related to the claims.<br>*Note: The original claim files are kept by the self-insured employer, so L&I cannot certify completeness of file. See the Local Government Common Records Retention Schedule, DAN GS50-06C-31.* | **Retain** for 40 years after close of claim<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.8 SAFETY AND HEALTH ASSESSMENT RESEARCH AND PREVENTION (SHARP) – OFFICE NUMBER 580

*The activity relating to research, monitoring and demonstration projects which promote healthy work environments and prevent workplace injuries and illnesses.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 03-02-60446<br>Rev. 1 | ***Human Research Study Washington State Institutional Review Board (WSIRB) Records***<br>Provides documentation of the WSIRB review and approval process for L&I to do research which involves human subjects. Records are maintained in accordance with 45 CFR Part 46.115. Records include but are not limited to: copies of all research proposal reviewed, scientific evaluations, approval sample consent documents, progress reports, and reports of injuries to subjects, records of continuing activities, copies of correspondence and statements of significant new findings provided to subjects. Data from Human Subject research projects, which have been de-identified by removing all personal identifiable information, may be used in DAN 03-02-60447 for further analysis. | **Retain** for 3 years after research is complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 03-02-60447<br>Rev. 1 | ***Safety and Health Assessment Research and Prevention (SHARP) Research and Data Files***<br>Provides documentation of the development of projects, data and resultant impacts of research studies. Records may include the documentation of a participants overall health and possible exposure to chemicals for research and prevention of occupational injury and illnesses in the workplace. Analysis of data is compiled to determine long term health conditions. | **Retain** for 10 years after analysis is complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 5.9 CLAIMS SUPPORT SERVICES – OFFICE NUMBER 590

This section covers records related to the Micrographics section of the agency.

### 5.9.1 MICROGRAPHICS – OFFICE NUMBER 594

*The activity related to management of dangerous waste.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-05-62031<br>Rev. 0 | ***Dangerous Waste Determination Records***<br>Documentation may include records of any test results, waste analysis, or other determination made in accordance with WAC 173-303-170(1) for designating dangerous waste. Test result records must include, at a minimum, sample source, sampling date, sampling procedures, laboratory performing test, testing date, testing method, analytical result, or the quantitative range of the testing method for analytes not detected.<br>*Note: Retention requirements set per WAC 173-303-210(1).* | **Retain** for 5 years after superseded<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-05-62029<br>Rev. 0 | ***Dangerous Waste Report Files***<br>Documentation includes annual and exception reports as required by WAC 173-303-220.<br>*Note: Retention requirements set per WAC 173-303-210(1).* | **Retain** for 5 years after report date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-05-62030<br>Rev. 0 | ***Dangerous Waste Site Identification Form***<br>Record includes copy of Dangerous Waste Site Identification Form received by Department of Ecology after Annual Report is submitted, per WAC 173-303-220.<br>*Note: Retention requirements set per WAC 173-303-201(1).* | **Retain** for 1 year after superseded<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 5.9 CLAIMS SUPPORT SERVICES – OFFICE NUMBER 590

This section covers records related to the Micrographics section of the agency.

### 5.9.1 MICROGRAPHICS – OFFICE NUMBER 594

*The activity related to management of dangerous waste.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-05-62028<br>Rev. 0 | ***Dangerous Waste Transport Records***<br>Provides documentation of records to prepare a manifest to transport dangerous waste offsite in accordance with WAC 173-303-180(3). Manifest records include but are not limited to: signed manifest certificate and manifest procedures.<br>*Note: Retention requirements set per WAC 173-303-210(1).* | **Retain** for 5 years after signed manifest certificate is received from transport facility<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-05-62032<br>Rev. 0 | ***Miscellaneous Accumulating Waste Records***<br>Documentation includes all records regarding accumulating Dangerous Wastes on-site that do not include manifest, reporting and determination records, in accordance with WAC 173-303-200 and 173-303-201. May include but is not limited to: daily and weekly inspection checklists, compliance files and correspondence.<br>*Note: Retention Requirements set per WAC 173-303-210(1).* | **Retain** for 5 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

# 6. DIVISION OF OCCUPATIONAL SAFETY AND HEALTH (DOSH) – OFFICE NUMBER 610

This section covers records relating to the business standards and technical services, operations, compliance, education and outreach, consultation, investigations and laboratory analysis.

See the State Government General Records Retention Schedule for additional records series relating to grants, training, audits, and executive level records regarding policy, studies, quality performance and improvement, interpretive and policy statements.

## 6.1 STANDARDS AND TECHNICAL SERVICES – OFFICE NUMBER 620

*The activity relating to the requests to vary from agency rules and policy, explosives, and program standards and development.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 92-07-50932<br>Rev. 1 | ***Variance Files***<br>Provides documentation of authorization to deviate from Safety and Health standards. May include but is not limited to: application, determination, inspector documentation and correspondence. Also includes interim and temporary variances. The variance becomes inactive when it is either revoked, withdrawn, or denied. | **Retain** for 6 years after inactive date<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

## 6.1.1 EXPLOSIVES – OFFICE NUMBER 624

*The activity relating to managing explosives licenses, dealers records, inspection files and radio signaling permits.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 87-10-41115<br>Rev. 1 | ***Application for Radio Signaling Permit***<br>Provides a record of all tones and frequencies issued for the radio signaling system per chapter 49.17 RCW and WAC 296.54. | **Retain** for 6 years after disposition of radio<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 87-10-41113<br>Rev. 1 | ***Applications for Explosive Licenses***<br>Provides a record of purchaser, user, magazine, dealer and manufacturer licenses issued per chapter 70.74 RCW and WAC 296-52. Records include but are not limited to: application, background checks, renewals, blasters and handler tests, and correspondence. | **Retain** for 6 years after license not renewed or license revoked<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 87-10-41114<br>Rev. 1 | ***Dealer Records***<br>Provides a record of all sales of explosives by dealers per chapter 70.74 RCW and WAC 296-52. Documentation is sent to L&I by dealers monthly. | **Retain** for 6 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 93-06-54556<br>Rev. 1 | ***Inspector's Daily Activity Files***<br>Provides documentation of inspector's daily activities, specifically time spent to, from, and during an inspection. Includes assigned inspection case number but no specific information about the inspection itself. Submitted to Explosives supervisor monthly.<br>*Note: The daily activities do not contain inspection information. Inspection documentation is maintained in the Inspection Case File records series under DAN 93-06-54582.* | **Retain** for 1 year after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OFM |

## 6.1.1 EXPLOSIVES – OFFICE NUMBER 624

*The activity relating to managing explosives licenses, dealers records, inspection files and radio signaling permits.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 93-06-54582<br>Rev. 1 | ***Inspector's Explosives Job Inspection File***<br>Provides documentation of inspector's findings at job site inspections throughout the lifecycle an individual or dealer's license. | **Retain** for 6 years after final inspection complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |

## 6.1.2 TECHNICAL SERVICES – OFFICE NUMBER 625

*The activity relating to the management of asbestos removal and exposure records.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-03-61783<br>Rev. 0 | ***Applications for Certified Asbestos Abatement Contractors***<br>Applications submitted for the purpose of certifying a contractor (company) to abate asbestos under Chapter 296-65 WAC.<br>*Note: It is recommended by the Environmental Protection Act to maintain initial applications for the life of employment.* | **Retain** for 50 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 05-10-61048<br>Rev. 1 | ***Applications for Qualified Asbestos Worker/Supervisors Certification – Approved***<br>Provides proof of training for approved qualified workers/supervisors in the removal or encapsulation of asbestos and time history for health documentation under Chapter 296-65 WAC.<br>*Note: It is recommended by the Environmental Protection Act to maintain initial applications for the life of employment.* | **Retain** for 50 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 08-03-61784<br>Rev. 0 | ***Applications for Qualified Asbestos Worker/Supervisors Certification - Unapproved***<br>File includes all applications that have been submitted and did not meet the requirements under Chapter 296-65 WAC. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 6.1.2 TECHNICAL SERVICES – OFFICE NUMBER 625

*The activity relating to the management of asbestos removal and exposure records.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-05-62025<br>Rev. 1 | ***Cholinesterase Monitoring Blood Test Results***<br>Provides documentation of lab tests for agricultural pesticide handlers who use toxicity class I and class II organophosphate or N-methyl-carbonate pesticides per WAC 296-307-148. The results are faxed to L&I from Pathology Associates Medical Laboratory (PAML). Media: Received in paper format then scanned into a confidential, secure folder for easy reference.<br>*Note: The employer must keep these records for 7 years per WAC 296-307-148, so the agency has decided to align with the WAC and keep these records the same length of time. PAML, the employee's medical provider, and the employer, all have a copy of the test results.* | **Retain** for 7 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 08-03-61785<br>Rev. 0 | ***Cholinesterase Monitoring Reimbursement Program Files***<br>Files include documentation of all medical, training, travel, and related records required for reimbursement of costs to the agricultural employers under the guidelines of the Cholinesterase Monitoring Reimbursement Program per WAC 296-307-148. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 05-10-61049<br>Rev. 1 | ***Evaluation of Material Safety Data Sheets (MSDS)***<br>Records include secondary copies of translations and evaluations of MSDS's for employers. Originals are given to the employers. The MSDS's are not for L&I workers. | **Retain** for 6 years after evaluation or translation completed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 6.1.2 TECHNICAL SERVICES – OFFICE NUMBER 625

*The activity relating to the management of asbestos removal and exposure records.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-03-61782<br>Rev. 0 | ***Faxed Requests of Asbestos Abatement***<br>Notice of Asbestos Abatement submitted via FAX from a certified asbestos contractor notifying of asbestos. Information is entered into database. (See DAN 07-04-61464.) | **Retain** for 6 months after request is entered into database<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 07-04-61464<br>Rev. 1 | ***Notice of Asbestos Abatement Project Database***<br>Electronic documentation of Notices of Asbestos Abatement received by the department. This notice provides a record of the job site address, building owner's name and address, contractor's name and address, building size, asbestos removal methods and the quantity of the asbestos being removed. | **Retain** for 75 years after abatement project complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 86-10-37837<br>Rev. 6 | ***Renewal Applications for Qualified Asbestos Worker/Supervisors Certification - Approved***<br>Provides proof of training and tracks approved qualified workers/supervisors in the removal of encapsulation of asbestos. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 07-04-61465<br>Rev. 1 | ***Training Materials for Asbestos Training***<br>Provides documentation of class outlines, curriculum and materials used in worker and supervisor certification classes. | **Retain** for 6 years after litigation end or certification of trainer<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 6.1.2 TECHNICAL SERVICES – OFFICE NUMBER 625

*The activity relating to the management of asbestos removal and exposure records.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-12-61959<br>Rev. 1 | ***Unsolicited Employee Medical and Exposure Records***<br>Documentation received from unsolicited companies regarding their employee's medical and exposure records. Upon receipt of these records, L&I will advise the company in writing that we will dispose of their records three months after the date of the notification letter. Unless notified by the company to make other arrangements, L&I will proceed in the destruction of these records per this retention schedule.<br>WAC 296-802-60005 states that if a company is going out of business or is planning to dispose of employee medical and exposure records they must notify L&I in writing of such, or transfer the records *if required per a specific agency rule.* L&I has one specific WAC – 296-62-07314(3)(a) for Carcinogens, which requires the transfer of the medical exposure records to the agency. This has never occurred but if it does, L&I will maintain these records under GS 030039. If medical or exposure records are requested for investigative purposes they become part of the Inspection File – See DAN 74-09-06925. | **Retain** for 3 months after date of notification letter<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 6.1.3 STANDARDS PROGRAM – OFFICE NUMBER 681

*The activity relating to development of safety and health standards.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 74-09-06883<br>Rev. 4 | ***Safety and Health Standards Development Files***<br>Provides documentation of public hearings, advisory and/or ad hoc committee minutes, research and public input to develop Safety & Health standards. Records may also include but are not limited to: Occupational Safety and Health Administration (OSHA) standards and approval concerning enactments of DOSH, filing of reports and filings of emergency and permanent rules with the code reviser. | **Retain** for 6 years after adoption date<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

## 6.2 OPERATIONS – OFFICE NUMBER 630

*The activity relating to documenting the collection of fines and penalties.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 90-01-45344<br>Rev. 0 | ***Penalty Log Books***<br>Provides documentation of collections of fines and penalties levied by Safety and Health Compliance. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 6.2.1 DOSH RECORDS CENTER – OFFICE NUMBER 313

*The activity relating to safety and health inspections and investigations.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 74-09-06925<br>Rev. 5 | ***DOSH Inspection Case Files***<br>Provides documentation of employer history, which may include: code violations, fines levied and paid, appeal proceedings for safety and hygiene compliance and audio hearings CD's. Complaint items within green file are protected by the Privacy Act. | **Retain** for 6 years after final order date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 6.3 COMPLIANCE PROGRAM – OFFICE NUMBER 640

This section covers records relating to the compliance of DOSH standards.

### 6.3.1 CRANES – OFFICE NUMBER 621

*The activity relating to the certification of cranes, derricks and spouts.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 74-09-06924<br>Rev. 3 | ***Certifiers of Cranes, Derricks, and Spouts***<br>Provides documentation and supporting information regarding certified crane, derrick, and spout certifiers per RCW 49.17 and WAC 296.56. | **Retain** for 6 years after inactive date of certified inspector<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 74-09-06923<br>Rev. 4 | ***Crane, Derrick, and Spout Certification Files***<br>Provides documentation and supporting information regarding past and current certifications of cranes, derricks, and spouts for the life of the crane, along with Notices of Deficiencies per RCW 49.17 and WAC 296-56. | **Retain** for 6 years after life of crane<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 09-03-61973<br>Rev. 0 | ***Crane, Derrick, and Spout Certifier Files – Certification Denied***<br>Provides a record of crane, derrick, and spout certifiers who were denied certification. | **Retain** for 1 year after certification denied<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 6.3.2 MARITIME – OFFICE NUMBER 623

*The activity relating to the management of charter boats.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-03-61970<br>Rev. 0 | ***Charter Boat Files***<br>Provides documentation and supporting information for the construction, certification, and stability of charter boats per WAC 296-115. | **Retain** for 6 years after life of vessel<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |
| 09-03-61972<br>Rev. 1 | ***Charter Boat Operator and Vessel Files – Denied License or Certificate***<br>Provides a record of charter boat operators who were denied a license and charter boat vessels that were denied a certificate. | **Retain** for 6 years after license or certificate denied<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 09-03-61971<br>Rev. 0 | ***Charter Boat Operators Files***<br>Provides documentation and supporting information of current operators licensed to operate charter boats per WAC 296-115. | **Retain** for 6 years after inactive date of licensed operator<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

## 6.4 EDUCATION AND OUTREACH – OFFICE NUMBER 670

This section covers records relating to providing education and outreach to businesses on safety and health in the workplace.

### 6.4.1 TRAINING PROGRAM – OFFICE NUMBER 672

*The activity relating to internal and external training on safety and health.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 11-06-62459<br>Rev. 0 | ***Division of Occupational Safety and Health (DOSH) Symposium Files***<br>Provides documentation of the annual three day DOSH Technical Safety and Health Symposium, which is a mandatory training for approximately 300 DOSH Safety and Health Specialists, Risk Managers, Ergonomists, Chemists, and their management. The Symposium provides technical safety and health training on workplace hazards and how to prevent them so DOSH inspectors and consultants can better assist employers in keeping their worksites safe. The Symposium also allows the opportunity to discuss changes in rule and share information and knowledge.<br>Documentation may include but is not limited to: research to determine feasibility of various locations, communication with management to determine content, contracts with instructors and facilities and handouts. | **Retain** for 10 years after end of event<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 6.4 EDUCATION AND OUTREACH – OFFICE NUMBER 670

This section covers records relating to providing education and outreach to businesses on safety and health in the workplace.

### 6.4.1 TRAINING PROGRAM – OFFICE NUMBER 672

*The activity relating to internal and external training on safety and health.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 12-03-68231<br>Rev. 0 | ***Occupational Safety and Health Administration (OSHA) Outreach Class Records***<br>The OSHA Outreach Training Program teaches workers about their rights, employer responsibilities, and how to file a complaint as well as how to identify, abate, avoid, and prevent job related hazards. OSHA authorizes safety and health professionals in L&I who complete an outreach trainer course to conduct occupational safety and health classes for workers.<br>Class records, per OSHA requirements must be kept for 5 years. The records must include at least the following:<br>• Student sign-in sheets;<br>• Student contact information;<br>• Topic outline;<br>• Class documentation (a copy of the documentation sent in to request student course completion cards including the list of the topics taught and the class time spent on each topic);<br>• Student course completion card numbers;<br>• A list of each guest trainer, topics, and times covered by each and their qualifications; and,<br>• Additional authorized trainers, including the name, list of topics covered, number of contact hours allocated for each topic, and a copy of their trainer card.<br>See OSHA Outreach Training Program Requirements, www.osha.gov/dte/outreach/. | **Retain** for 5 years after end of course<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 6.4.2 GOVERNOR'S SAFETY AND HEALTH CONFERENCE – OFFICE NUMBER 677

*The activity relating to the organization of the annual Governor's Safety and Health Conference.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 84-08-34467<br>Rev. 2 | ***Governor's Industrial Safety and Health Conference Committee Files***<br>Provides documentation of all subcommittees who meet to plan the Boards decisions for the Governor's Industrial Safety and Health Conference along with other special events.<br>Media: Paper. | **Retain** for 2 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 6.4.3 SPECIAL EMPLOYER PROGRAM – OFFICE NUMBER 679

*The activity relating to agency's Voluntary Protection Program offered to employers.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 07-04-61467<br>Rev. 1 | ***Voluntary Protection Program – Accepted Employers***<br>Provides a record of employers who are accepted into the Voluntary Protection Program (VPP). Documentation may include but is not limited to: application, self-evaluation, report for initial acceptance and recertification, safety plans, annual report, certification documentation if requested by the agency, and correspondence. | **Retain** for 6 years after recertification process is completed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 11-08-62511<br>Rev. 0 | ***Voluntary Protection Program – Employers Not Accepted***<br>Provides a record of employers who are not accepted into the Voluntary Protection Program (VPP). Documentation may include but is not limited to: application, assessment as to why they didn't qualify and correspondence. | **Retain** for 3 years after application denied<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 6.5 CONSULTATION PROGRAM – OFFICE NUMBER 671

*The activity relating to safety and health consultation visits with industries and agencies.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 95-06-55245<br>Rev. 5 | ***Consultation Case Files***<br>Provides documentation of consultation visits with industry and agencies. The case files include the START program (Safety Through Achieving Recognition Together) and requests from Self-Insurance to evaluate a company that wants to be self-insured. Records may include but are not limited to: request forms, state visit reports, hazard record, employer letters and reports, checklist, certification documentation, achievement plan, and recertification letters. | **Retain** for 6 years after consultation complete, or employer has been certified, whichever is sooner<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 07-04-61466<br>Rev. 0 | ***Consultants Assistance Records***<br>Provides documentation of consultants training and assistance to improving safety and health in industry. | **Retain** for 6 years after date of document<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 07-04-61468<br>Rev. 1 | ***Safety Through Achieving Recognition Together (START) Program Records***<br>Provides documentation of the START program which recognizes occupational safety and health excellence in certified small businesses. The program helps businesses with no more than 50 at a specific site, and no more than 250 statewide, achieve a safer workplace, lower costs, improve morale and receive community recognition. Documentation may include but is not limited to: request forms, state visit reports, certification documentation and correspondence. | **Retain** for 4 years after final recertification, or employer does not recertify<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OFM |

## 6.6 DEPUTY PROGRAM AND LEGISLATIVE AND LABORATORY PROGRAM – OFFICE NUMBER 683

This section covers records relating to the discrimination complaints and DOSH laboratory documentation.

### 6.6.1 DISCRIMINATION AND INVESTIGATIONS – OFFICE NUMBER 684

*The activity relating to discrimination complaint files received by the agency from individuals, employers and the Occupational Safety and Health Administration.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 81-06-27945<br>Rev. 2 | ***Discrimination Complaint Files***<br>Provides documentation pertaining to discrimination complaints filed by individual or employers against L&I Division of Occupational Safety and Health (DOSH), and complaints filed by individuals or employers with the Occupational Safety and Health Administration (OSHA), called a 'Complaint Against State Program Administration' (CASPA). The agency is notified by OSHA of these allegations. Documentation may include, but is not limited to: copies of the complaint/CASPA, any correspondence between individual, employer, agency and OSHA, investigator notes, interview statements, photographs, copies of the initial discrimination investigation, copies of DOSH inspections, copies of claims records, medical information, technical information, findings, recommendations and corrective action plans. | **Retain** for 6 years after complaint resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 6.6.2 INDUSTRIAL HYGIENE LABORATORY AND LAB ANALYSIS – OFFICE NUMBER 641

*The activity relating to the documentation created in the DOSH laboratory.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 07-12-61685<br>Rev. 1 | ***Certificates of Analysis***<br>Documentation provided to the laboratory by certified companies showing the necessary data on chemicals ordered necessary so the laboratory can prove it utilized certified materials to complete an accurate chemical analysis of a contaminant. Includes, but is not limited to: purify level and composition of chemical, expiration date, lot number, description of chemical, catalog number and Chemical Abstract Registry number. | **Retain** for 6 years after date of expiration<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 07-09-61621<br>Rev. 3 | ***Descriptive Laboratory Quality Control Documentation***<br>Documentation includes laboratory analytical methods and Standard Operating Procedures (SOPs). Analytical methods show how methods are developed and how accurate they are in determining laboratory procedures for testing differing contaminants through chemical analysis. Quality and technical records are required for accreditation. SOPs are written procedures regarding laboratory tasks. SOPs may include metal sample preparation, pre-weighed filter preparation and procedures used to validate methods to maintain laboratory accreditation. | **Retain** for 6 years after date of document<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 80-05-24919<br>Rev. 3 | ***Laboratory Inspection Reports and Files***<br>Provides chemical analysis of contaminants sent in by Industrial Hygienists as well as Industrial Consultants. Documentation includes Chain of Custody, inspection visit information, requested analysis, test results and technician/chemist commentary. | **Retain** for 6 years after inspection final order date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 6.6.2 INDUSTRIAL HYGIENE LABORATORY AND LAB ANALYSIS – OFFICE NUMBER 641

*The activity relating to the documentation created in the DOSH laboratory.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 07-12-61684<br>Rev. 1 | ***Laboratory Notebooks***<br>Notebooks are created and maintained by either laboratory chemists, technicians or in the general use areas by multiple staff. Documentation might include pre-weights pertaining to data collected during the procedures and new procedures. The notebooks may also be used as a daily log book for work done in a particular day. | **Retain** for 75 years after last date of entry<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

# 7. INTERNAL AUDIT – OFFICE NUMBER 700

This section covers records relating to internal audits done within the agency.

See the State Government General Records Retention Schedule for additional records series related to audits.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 05-08-60942<br>Rev. 1 | ***Internal Audit Quality Assurance Review***<br>Documentation includes working files and reports created during the course of an internal audit quality assurance and improvement review. The review covers all aspects of L&I Internal Audit activity, including the monitoring of its effectiveness. The review is conducted by an independent reviewer outside of L&I.<br>State Administrative Accounting Manual 20.10.20 states: 'Each agency head or authorized designee shall be assigned the responsibility and authority for establishing and maintaining internal audits following the standards of internal auditing of the Institute of Internal Auditors…'. The Institute of Internal Auditors uses the following International Professional Practices Framework: Standard 1312 External Assessment must be conducted every 5 years by a qualified independent reviewer or review team outside of the organization.' | **Retain** for 6 years after issue date of report<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

# 8. FRAUD PREVENTION AND COMPLIANCE – OFFICE NUMBER 710

This section covers records relating to prevention of provider and

## 8.1 AUDIT – OFFICE NUMBER 711

*The activity relating to auditing employer accounting files.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 92-09-51335<br>Rev. 3 | ***Employer Audit Files***<br>Provides documentation of audits of employers accounting records. Documentation may include but is not limited to: audit working papers, employer bank records, employer earning records, employer tax returns, employer time records and final audit report. | **Retain** for 6 years after audit report date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 8.2 INVESTIGATIONS – OFFICE NUMBER 714

*The activity relating to investigations related to fraud, validity and activity checks, and discrimination and claim suppression.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 93-11-53348<br>Rev. 1 | ***Criminal History Records***<br>Provides documentation of criminal background. | **Retain** until review complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 93-11-53350<br>Rev. 1 | ***Discrimination and Claim Suppression Investigations***<br>Provides documentation of work discrimination and claim suppression by employers of Industrial Insurance claimants.<br>*Note: Restricted confidential.* | **Retain** for 3 years after investigation resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-04-62011<br>Rev. 0 | ***Evidence Logs***<br>Documentation of evidence logged into the evidence depository. | **Retain** for 6 years after disposition of evidence<br>*then*<br>**Destroy.** | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 09-04-62012<br>Rev. 0 | **Evidence Vouchers**<br>Documentation of records of evidence received during the course of an investigation or seized during a search warrant. | **Retain** for 6 years after disposition date on voucher<br>*then*<br>**Destroy** | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 93-11-53349<br>Rev. 2 | ***Fraud Investigations***<br>Provides documentation of Industrial Insurance claimants or employers pertaining to possible fraudulent activities. Records may include but are not limited to: recorded statements, videotape and photographs.<br>*Note: Restricted confidential.* | **Retain** for 6 years after investigation resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 8.2 INVESTIGATIONS – OFFICE NUMBER 714

*The activity relating to investigations related to fraud, validity and activity checks, and discrimination and claim suppression.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-04-61984<br>Rev. 0 | ***Quality Assurance Checksheets and Reports***<br>Documentation used to complete quality assurance checks of internal investigations. Compiled information from checklists is used to create quality assurance report. | **Retain** for 3 years after quality assurance report complete<br>*then*<br>**Destroy.** | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 93-11-53353<br>Rev. 2 | ***Validity and Activity Check Investigations***<br>Provides documentation of validity and claimant activities, along with other miscellaneous investigations of Industrial Insurance claims.<br>*Note: Restricted confidential.* | **Retain** for 3 years after investigation resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 8.2.1 PROVIDER FRAUD – OFFICE NUMBER 715

*The activity relating to provider fraud investigations.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 01-09-60202<br>Rev. 2 | ***Provider Fraud Investigations***<br>Provides documentation of Industrial Insurance providers pertaining to possible fraudulent activities. Documentation may include but is not limited to: photographic evidence, recorded statements by claimants and others involved. Includes criminal and civil investigations.<br>*Note: Restricted confidential. Investigation resolved means all litigation is resolved and the appeal period has expired.* | **Retain** for 6 years after investigation resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

# 9. SPECIALTY COMPLIANCE SERVICES (SCS) – OFFICE NUMBER 410

This section covers records relating to the following programs: Apprenticeship, boilers, contractor compliance, electrical, elevators, factory assembled structures, and plumbers, along with setting employment standards and prevailing wage.

See the State Government General Records Retention Schedule for additional records series related to fiscal, legislative, and executive level records regarding policy, studies, quality performance and improvement, interpretive and policy statements.

## 9.1 OPERATIONS – OFFICE NUMBER 425

*The activity relating to unresolved citation and infractions, permits and inspections, and all SCS program master files.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-09-61862<br>Rev. 1 | ***Electrical and Factory Assembled Structure (FAS) Permits and Inspections***<br>Documentation includes all Electrical and Factory Assembled Structure (FAS) permits that are issued through the Customer Service Program. Applicants may complete requests on line, or through the Customer Service counter. Documentation also includes Electrical and FAS inspection records such as itineraries and reports. Media: Mostly electronic, in the Permit and Inspection Recording System (PAIRS), and some paper. | **Retain** for 6 years after permit becomes inactive or inspection is complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 08-12-61956<br>Rev. 1 | ***Licensing, Registration and Certification Documentation***<br>Documentation of all licensing, registration and certification of electrical and construction contractors, electricians and administrators, plumbers, trainees, and elevator individuals. Documentation includes historical program data used for research purposes. Media: Electronic program called Quick Cards. | **Retain** for 25 years after expiration of license, or expiration of certificate, whichever is applicable<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.1 OPERATIONS – OFFICE NUMBER 425

*The activity relating to unresolved citation and infractions, permits and inspections, and all SCS program master files.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 12-03-68232<br>Rev. 0 | ***Specialty Compliance Services (SCS) Program Area Master Files***<br>Provides documentation of all SCS program area's master files, which includes but is not limited to: Plumbers, Contractors, Amusement Ride/Bungee Jumping, Electrical, Conveyance, and Installer programs. All files may or may not contain the same records depending upon their specific program area requirements. Documentation may include but is not limited to:<br>• Original and renewal applications and permits;<br>• Final inspection documents;<br>• Variances;<br>• Data reports;<br>• Five year safety tests;<br>• Unsafe/red tagged documentation;<br>• Insurance policies and bonds;<br>• Inspection certification;<br>• Work history documentation;<br>• Insurance policies;<br>• Inspection certification;<br>• Work history documentation;<br>• Scantron cards;<br>• Renewal notifications or cards;<br>• Tag order requests;<br>• Proof of attendance at continuing education courses;<br>• Assignment of savings;<br>• Examinations and experience verification, and related correspondence. | **Retain** for 6 years after<br>• documentation of conveyance removal;<br>• permit, license or certification expired, revoked,<br>• or out-of-business<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |

## 9.2 APPRENTICESHIP – OFFICE NUMBER 430

*The activity relating to the Apprenticeship program which provides on-the-job training programs and support to the Washington State Apprenticeship and Training Council.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 06-07-61250<br>Rev. 1 | ***Apprenticeship Investigations***<br>Provides documentation of investigations of any apprenticeship complaints and/or violations related to apprenticeship standards. Includes appeals and final orders. | **Retain** for 6 years after investigation closed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 06-07-61253<br>Rev. 1 | ***Apprenticeship Registration and Tracking***<br>Provides documentation of classroom and on-the-job (OJT) training hours by apprentices and by sponsor to cover apprentice's term of apprenticeship. Also includes documentation of agreements between program sponsors and apprentices. All information is entered into the electronic Apprenticeship Registration and Tracking System (ARTS). Media also includes agreements on Microfilm. | **Retain** for 50 years after date of document<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 80-09-25775<br>Rev. 2 | ***Equal Employment Opportunity (EEO) Compliance Files***<br>Maintains a record of program sponsors efforts to meet EEO goals and timetables for the entrance on minorities and females into apprenticeship training. The records must be kept a minimum of five years per WAC 296.05.431. Compliance reviews are done annually and the records may include but are not limited to: minutes, correspondence, and documents regarding registration and cancellations. | **Retain** for 5 years after review closed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.2 APPRENTICESHIP – OFFICE NUMBER 430

*The activity relating to the Apprenticeship program which provides on-the-job training programs and support to the Washington State Apprenticeship and Training Council.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 80-09-25773<br>Rev. 2 | ***Individual Training and Apprenticeship Agreements***<br>Provides documentation of training agreements between employers and employees, and agreements between program sponsors and apprentices. The agreements specify the parties to the agreement, the trade or occupation, and the duration of training. Per WAC 296.05.431, these records must be kept for a minimum of five years. | **Retain** for 5 years after completed or cancelled<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 92-07-50908<br>Rev. 1 | ***Related Supplemental Instruction Hours Report***<br>Provides documentation of classroom and on-the-job (OJT) training hours by apprentices and program sponsor. | **Retain** for 1 year after data entered and verified into system<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 74-07-05482<br>Rev. 2 | ***Washington State Apprenticeship and Training Council (WSATC) Minutes and Files***<br>Provides a record of the deliberations and decision of the WSATC. Documentation may include but is not limited to: court reporter transcripts, agendas, itineraries, council member travel, case files, appeal proceedings, meeting notices, correspondence, and minutes. | **Retain** for 6 years after end of quarter<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |

## 9.3 BOILER – OFFICE NUMBER 450

*The activity relating to the inspections of pressure vessels and boilers.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 97-12-58196<br>Rev. 3 | ***Certificates of Authority***<br>Provides documentation that company is approved and authorized to build and repair Pressure Vessels. | **Retain** until superseded<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OFM |
| 92-06-50765<br>Rev. 4 | ***Inspection and Audit Reports of Manufacturing/Repair Facilities***<br>Provides documentation of periodic inspections and tri-annual audits by state inspector for manufacturers of boilers and pressure vessels.<br>These inspections and audits are done on behalf of L&I for the National Board of Boiler and Pressure Vessel Inspectors (NB) and the American Society of Mechanical Engineers (ASMS), both non-profit organizations. Both the NB and the ASME receive copies of the inspection and audit reports when complete. | **Retain** for 6 years after inspection/audit complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |
| 09-06-62047<br>Rev. 1 | ***Boiler/Pressure Vessel Inspections and History Documentation – Jurisdiction Online (JO) System***<br>Provides all aspects of documentation around pressure vessel and boiler inspections. Documentation includes but is not limited to: complete boiler history, which includes state numbers, pressure type, manufacturer date, National Board or serial numbers, address and specific locations of vessels, all inspection history, including inspection reports, insurance notices, certificates, fees paid, and infractions incurred. Media: electronic. The system is used by central office staff, field inspectors, and outside entities, such as insurance companies. | **Retain** for 6 years after life of vessel<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>**ESSENTIAL**<br>OPR |

## 9.3 BOILER – OFFICE NUMBER 450

*The activity relating to the inspections of pressure vessels and boilers.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-06-62048<br>Rev. 1 | ***Boiler/Pressure Vessel Inspections and History Documentation – Paper Files***<br>Documentation may include but are not limited to: complete boiler history, reports of inspection, new insurance coverage notifications, cancellations, and reinstatements. The information is entered into the electronic system titled Jurisdiction Online (JO) by central office staff and the inspectors out in the regions. | **Retain** for 6 months after entered and verified in Jurisdiction Online (JO)<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 10-12-62332<br>Rev. 1 | ***Boiler/Pressure Vessel Repair/Alteration Reports***<br>Repair/alteration reports on boiler/pressure vessels are reviewed by the Boiler Program for completeness. The reports are not required by L&I and the repair organizations are not certified by L&I. The date and outcome of the repair reports is entered into the electronic system Jurisdiction Online (JO) for those companies that do not have access to the JO program. | **Retain** until data entered and verified<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 9.4 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION – OFFICE 460

*The activity relating to the management of infractions charged against contractors, FAS installers and plumbers working illegally.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 92-07-50905<br>Rev. 2 | ***Plumbing, Construction and Factory Assembled Structures (FAS) Infractions***<br>Provides documentation of registered/unregistered contractors, certified/uncertified plumbers and certified FAS installers charged with working illegally. Records include all supporting evidence, which includes but is not limited to: inspector's notes, correspondence, statements, and any documentation received from contractors, plumbers, and installers, along with appeals documentation. This records series is not for infractions that have been sent to collections. See DAN 09-07-62066.<br>Note: As of July 2009, the inspectors in the Regional Service Locations will maintain the paper copy under this records series. All inspectors working files will now fall under this records series. The inspectors are responsible for responding to public disclosure request in their regions. If the infraction is appealed, the inspectors MUST send ALL paper copies to the Central Office.<br>'Closed' means the infraction is not appealable and it has been paid in full, or is voided/vacated. | **Retain** for 6 years after closed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.4.1 FACTORY ASSEMBLED STRUCTURES – OFFICE 460

*The activity relating to approving plans and inspecting both new and altered manufactured/mobile homes and recreational vehicles for safety.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 01-09-60224<br>Rev. 1 | ***Approved Alteration Plan Package for Manufactured, Mobile Homes, and Vendors/Medical Units***<br>Provides documentation of approved alteration plans packages and all approved documents.<br>*Note: These records comply with WACs 296-150(m), and 150(v).* | **Retain** for 6 years after expiration date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 84-07-34136<br>Rev. 3 | ***Blueprints, Plumbing, Heating, Electrical and Structural Components***<br>Provides documentation of approved plans for plumbing, heating, electrical and recreational vehicle blueprints. Documentation includes but is not limited to: in-plant audits, inspection of certification checklists and quality control records.<br>*Note: These records comply with WACs 296-150(r) and 150(p).* | **Retain** for 6 years after expired date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 01-09-60220<br>Rev. 1 | ***Commercial Coach and Factory Built Structures Approved Plans Package***<br>Provides documentation of applications and all approved materials.<br>*Note: These records comply with WACs 296-150(c) and 150(f).* | **Retain** for 6 years after expiration date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 01-09-60223<br>Rev. 1 | ***Commercial Coach and Factory Built Structures Inspections***<br>Provides documentation of inspection reports by inspectors, special inspections and reciprocal inspections.<br>*Note: These records comply with WACs 296-150(c) and 150(f).* | **Retain** for 6 years after final inspection<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.4.1 FACTORY ASSEMBLED STRUCTURES – OFFICE 460

*The activity relating to approving plans and inspecting both new and altered manufactured/mobile homes and recreational vehicles for safety.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 84-07-34137<br>Rev. 6 | ***Housing and Urban Development (HUD) Label Control***<br>Provides documentation, by serial number, of manufacturer's application and assigned department number for manufactured homes.<br>These records comply with Federal HUD requirements. | **Retain permanently** after Primary Inspection Agencies (IPIA) Performance Review. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 01-09-60222<br>Rev. 1 | ***Insignia Records***<br>Provides documentation of insignias assigned to specific units and inspection reports for Commercial Coaches, Factory Built Structures (Housing and Commercial), Recreational Park Trailers and Recreational Vehicles.<br>*Note: These records comply with WACs 296-150(c), 150(f), 150(m), 150(r), 150(p) and 150(v).* | **Retain** for 6 years after issued<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 01-09-60240<br>Rev. 0 | ***Insignia Requests***<br>Provides documentation of requests for new, alteration or replacement insignias and supporting reports. | **Retain** for 6 months after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 84-07-34141<br>Rev. 3 | ***Inspectors Monthly Log***<br>Provides documentation of construction compliance plan review of inspectors daily work activity. | **Retain** for 3 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 9.4.1 FACTORY ASSEMBLED STRUCTURES – OFFICE 460

*The activity relating to approving plans and inspecting both new and altered manufactured/mobile homes and recreational vehicles for safety.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 01-09-60229<br>Rev. 1 | ***Primary Inspection Agencies (IPIA)/Manufacturers Label Report***<br>Provides documentation of damages, lost label reports and IPIA/Manufacturer.<br>These records comply with Federal HUD requirements. | **Retain** for 6 years after Primary Inspection Agencies (IPIA) Performance Review<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 01-09-60231<br>Rev. 2 | ***State Administrative Agency (SAA) Reports***<br>Provides documentation of all SAA reports formerly done for Community, Trade, and Economic Development (CTED). Legislation transferred this program to L&I. Also includes Primary Inspection Agencies (IPIA) subpart 'I' letters.<br>These records comply with Federal HUD requirements. | **Retain** for 6 years after Primary Inspection Agencies (IPIA) Performance Review<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.4.2 INSTALLER PROGRAM – OFFICE 460

*The activity relating to FAS installers tagging reports and consumer complaint files.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 84-07-34140<br>Rev. 1 | ***Consumer Complaint Files***<br>Provides documentation of manufactured homeowner consumer complaint and L&I follow-up. L&I will maintain consumer complaints per the federal retention guidelines that mobile home manufacturers must follow under 24 CFR 3282.404. | **Retain** for 5 years after complaint resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 11-08-62668<br>Rev. 0 | ***Installer Monthly Certification Tag Reports***<br>When manufactured home installer completes any work done related to an installation, they must tag the home with an installer certification tag purchased from L&I, noting the type of installation work performed and the installer certification number. Reports are required to be submitted by installers for all tags posted on a monthly basis. The report includes information such as certification tag number, building jurisdiction, retailer, installation date, and work performed. | **Retain** for 3 years after installer application renewal date<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 9.4.3 PLUMBER CERTIFICATION – OFFICE 460

*The activity relating to monthly plumbers continuing education course rosters and the drawing portion of the plumber's exam.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 85-01-34913<br>Rev. 3 | ***Drawing Portion of Plumbers Examinations***<br>Record includes only drawing portion of examinations given to determine if applicant has met the minimum requirements to become a certified plumber. 'Scantron' cards, which contain actual examination responses from applicants, are maintained in the SCS Master File records series (DAN 12-03-68232) and kept for 6 years after certificate expires or is revoked. Record also includes signature log for each monthly exam. | **Retain** for 6 months after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-03-61944<br>Rev. 0 | ***Plumbers Continuing Education Course Rosters***<br>Record includes Plumbers continuing education course rosters which are submitted to the department on a monthly basis by course instructors. Per WAC 296-400A-028(20) rosters must be maintained by the agency for auditing purposes. | **Retain** for 4 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 9.5 ELECTRICAL ADMINISTRATION – OFFICE 480

*The activity relating to the administration of the electrical program including amusement ride/bungee jumping device incidents.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-01-61926<br>Rev. 0 | ***Amusement Ride/Bungee Jumping Device Incidents***<br>Provides documentation of incidents that have occurred involving all amusement rides and structures. Incidents must be reported to L&I within 24 hours of happening. Documentation may include but is not limited to: date of incident, type of incident, outcome of incident, police reports and fatality records. | **Retain** for 6 years after end of calendar year<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |
| 90-01-45364<br>Rev. 4 | ***Closed Electrical Citations***<br>Provides documentation of evidence and fees paid regarding licensing and certification violations. | **Retain** for 6 years after closed<br>*then*<br>**Destroy** | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 07-04-61469<br>Rev. 1 | ***Electrical Class B Permits***<br>Provides documentation of the purchase or use of electrical inspection permits. | **Retain** for 6 years after permit issued<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 03-04-60515<br>Rev. 1 | ***Electrical Field Evaluation***<br>Provides original documentation of requests for evaluations of installation and report of findings. | **Retain** for 6 years after request approved<br>*then*<br>**Destroy** | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.5 ELECTRICAL ADMINISTRATION – OFFICE 480

*The activity relating to the administration of the electrical program including amusement ride/bungee jumping device incidents.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-01-61923<br>Rev. 0 | ***Electrical Permits Inspection System (EPIS) Files – Access Denied/Request Withdrawn***<br>Provides documentation of electricians who have been denied access or who have withdrawn their request for access to use the agencies on-line permit system (PAIRS – see DAN 08-09-61862). | **Retain** until access denied or request withdrawn<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-01-61922<br>Rev. 0 | ***Electrical Permits Inspection System (EPIS) Files – Access Granted***<br>Provides documentation of electricians who have received access to use agency's on-line permit system (PAIRS – see DAN 08-09-61862). May include but is not limited to: application and approval letters. | **Retain** for 6 years after access terminated<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 09-01-61925<br>Rev. 0 | ***Electrical Settlement Agreements***<br>Provides documentation of electricians or electrical contractors who have requested a settlement agreement for citations. | **Retain** for 6 years after date of settlement agreement<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 90-01-45370<br>Rev. 1 | ***Electrical Testing Laboratory Accreditation Files***<br>Provides documentation of information provided by electrical testing laboratories seeking accreditation. Includes original and renewal applications and correspondence. | **Retain** for 6 years after expiration of license<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.5 ELECTRICAL ADMINISTRATION – OFFICE 480

*The activity relating to the administration of the electrical program including amusement ride/bungee jumping device incidents.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-01-61927<br>Rev. 0 | ***Electrical Training Programs***<br>Provides documentation of approved training programs between the agency and Washington State colleges. Individuals who attend the courses get credit which goes toward their certification. | **Retain** for 6 years after course cancelled or course material superseded<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 92-06-50508<br>Rev. 1 | ***Electrical Variance Files***<br>Provides documentation of requests to vary from law and the responses generated from those requests. | **Retain** for 6 years after variance expired<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |
| 85-02-34953<br>Rev. 2 | ***Inspectors Working Files***<br>Provides documentation of inspections after permit has been issued. Information is entered in PAIRS (See DAN 08-09-61862); however, paper documentation is also created and maintained. May includes but it not limited to: documents received from customers or other related parties, and notes made by the inspector. | **Retain** for 6 years after permit become inactive or inspection complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.5.1 ELECTRICAL PLAN REVIEW – OFFICE 482

*The activity relating to the review of electrical plans submitted by private and public entity's.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 85-01-34911<br>Rev. 1 | ***Plan Review Log Sheets***<br>Provides documentation of construction plans received daily. The plans are assigned a number and become a project under DAN 90-01-45367. | **Retain** for 3 years after end of calendar year<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 90-01-45367<br>Rev. 3 | ***Plan Review Projects***<br>Provides documentation of the electrical plan review project that is either approved, disapproved, or returned with no action taken. A project review is completed when the review is done. The project is closed out when the project review is paid for. In rare instances a project review will have no charges, at which point it would be considered closed. Documentation may include but is not limited to: worksheets, billing information and correspondence. Plans are returned to the private or public entity in which they originated. | **Retain** for 6 years after project closed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.6 ELEVATOR PROGRAM – OFFICE 485

*The activity relating to the management of all elevator and other lifting devices or conveyances documents, including elevator inspections, installations, investigations, and elevator mechanic licensing.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-10-62333<br>Rev. 0 | ***Conveyance Alteration Applications***<br>Provides documentation from businesses requesting a permit for alterations on a conveyance. The request is submitted to L&I in the form of an application. The permit is created and emailed to the requester. The permit is maintained under DAN 80-10-26198 for 6 years after the conveyance removal in the Conveyance Management System (CMS). The application request expires after one year. If the request is renewed, the expiration date is one year after the renewal date. The Elevator program will received notice when the alteration is complete. | **Retain** for 2 years after expiration of license<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-09-62088<br>Rev. 2 | ***Conveyance Incident/Accident Investigations Files***<br>Provides documentation of all conveyance incidents and accidents. May include but is not limited to: incident report and investigation documentation. | **Retain** for 1 year after investigation resolved<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OFM |
| 10-05-62199<br>Rev. 0 | ***Conveyance Inspection Files***<br>Provides original documentation pertaining to all conveyance inspections. Records include but are not limited to: annual and non-annual inspection results, which includes: technical, supplemental, re-inspection, voluntary, after hours, jump and failed jump, temporary use, failed alterations and installations, and unsafe/red tagged inspections, along with removal results, customer corrections and extension letters. | **Retain** for 6 years after date of inspection<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.6 ELEVATOR PROGRAM – OFFICE 485

*The activity relating to the management of all elevator and other lifting devices or conveyances documents, including elevator inspections, installations, investigations, and elevator mechanic licensing.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 80-10-26203<br>Rev. 3 | ***Conveyances Removed or Deleted***<br>Provides documentation to free identification numbers when building is destroyed. Media: paper and electronic. | **Retain** for 6 years after documentation of conveyance removed<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 10-12-62311<br>Rev. 0 | ***Elevator Mechanic Exams***<br>Provides a pass (100) or fail (0) record of exams taken by individuals who have requested an elevator mechanics or primary point of contact license. Results are documented under DAN 08-12-61956, which has a 25 year retention. Exams are considered confidential and must be shredded when cut-off/retention has been met. | **Retain** until score entered and verified<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 10-12-62309<br>Rev. 0 | ***Elevator Mechanic License Applications – Temporary***<br>Provides documentation from individuals requesting a temporary elevator mechanics license to perform work in the conveyance industry. Temporary licenses are issued for a 30 day period. When a temporary license expires, the former application becomes null and void and mechanics must resubmit another application. History of all temporary mechanic licenses issued is maintained under DAN 08-12-61956, which has a 25 year retention. Temporary applications are considered confidential and must be shredded when cut-off/retention has been met. | **Retain** until expiration of license<br>*then*<br>**Destroy** | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 9.6 ELEVATOR PROGRAM – OFFICE 485

*The activity relating to the management of all elevator and other lifting devices or conveyances documents, including elevator inspections, installations, investigations, and elevator mechanic licensing.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-12-62307<br>Rev. 0 | ***Elevator Mechanic Licensing Applications – Original and Renewal***<br>Provides documentation from individuals requesting a full-time elevator mechanics license, or elevator companies and contractors requesting a license to perform work in the conveyance industry. First time (original) applications are reviewed to determine that individuals, companies, and contractors meet the minimum qualifications to receive a license. Documentation also includes most recent renewal application.<br>All individual, company, and contractor mechanical licenses and history are maintained under DAN 08-12-61956, which has a 25 year retention. Individual, company, and contractor mechanical licenses expire after 2 years.<br>Expiration of license means: a license is not renewed, or an individual retires or passes away, or a company goes out of business. Original and renewal applications are considered confidential and must be shredded when cut-off/retention has been met. | **Retain** for 2 years after expiration of license<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 10-12-62308<br>Rev. 0 | ***Elevator Mechanic Superseded Renewal Applications***<br>Documentation includes former renewal applications for full-time elevator mechanics, elevator companies and contractors. Once an application is renewed, the former renewal application is null and void and can be destroyed. Renewal applications are considered confidential and must be shredded when cut-off/retention has been met. | **Retain** until superseded<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 9.6 ELEVATOR PROGRAM – OFFICE 485

*The activity relating to the management of all elevator and other lifting devices or conveyances documents, including elevator inspections, installations, investigations, and elevator mechanic licensing.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-09-62087<br>Rev. 1 | ***Inspector's Conveyance Working File***<br>Provides documentation pertaining to annual inspections which is entered into the Conveyance Management System (CAMS). The electronic record is the original.<br>The working file may include but is not limited to paper copies of annual and non-annual inspection results; which includes:<br>• Technical, supplemental, re-inspection, voluntary, after hours, jump and failed jump, temporary use, failed alterations and installations, and unsafe/red tagged inspections, along with removal results, customer corrections and extension letters. Media: paper.<br>Original documentation is maintained electronically in CMS and kept for 6 years after the investigation is complete. Data may be entered into CMS by inspectors or by headquarters staff. | **Retain** for 18 months after date of inspection<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 80-10-26198<br>Rev. 6 | ***Master Conveyance File***<br>Provides documentation pertaining to conveyances meeting department prescribed codes and inspection results. Records may include but are not limited to: installation applications and permits, installation final inspection documents, letters from owners, variances, data reports, one and five year safety tests, and unsafe/red tagged documentation. Media: Paper and the electronic Conveyance Management System (CMS). | **Retain** for 6 years after documentation of conveyance removal<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.6 ELEVATOR PROGRAM – OFFICE 485

*The activity relating to the management of all elevator and other lifting devices or conveyances documents, including elevator inspections, installations, investigations, and elevator mechanic licensing.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 98-01-58262<br>Rev. 3 | ***Plan Review of Conveyance Installation***<br>Provides graphic documentation of approved commercial and residential installation design. Media: paper and electronic. | **Retain** for 6 years after plan review complete<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 9.7 EMPLOYMENT STANDARDS – OFFICE NUMBER 490

*The activity relating to employment standard complaints, investigations, assignments, child and farm labor, along with issuing permits to employ minors.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 92-07-50883<br>Rev. 2 | ***Child Labor Cases***<br>Minor injury report cases and follow-up letters and variances. | **Retain** for 6 years after action on case resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 80-03-24360<br>Rev. 5 | ***Employment Standards Complaints, Investigations and Wage Claim Assignments***<br>Documentation includes complaints and the investigations conducted by the Employment Standards agents. Also includes wage claim assignments which authorize the department to collect wages for employees and verifies payment or non-payment of claims. | **Retain** for 6 years after investigation complete or action on claim resolved<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 74-07-05536<br>Rev. 3 | ***Farm Labor Contractors Licenses***<br>Used to issue and record licenses and, on rare occasions, the revocation of a license. May include but is not limited to: applications, correspondence, and copy of license. | **Retain** for 6 years after expiration of license<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 80-03-24358<br>Rev. 2 | ***Permits to Employee Minors***<br>Provides documentation of employers applying for permits to allow employment of persons under age 18. | **Retain** for 6 years after expiration of permit<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.8 PREVAILING WAGE – OFFICE NUMBER 495

*The activity relating to the payment of hourly wages to workers employed on public works projects or employed under building maintenance agreements of the state, county, municipality or political subdivision of the state.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 10-05-62201<br>Rev. 1 | ***Certified Project Payrolls***<br>Provides documentation of certified public works payrolls (CP's) in response to requests to identify workers and payment. The employer must provide payroll documentation from the start of the work performed through the completion of work performed. Numerous requests may be made for the duration of the project. Requests may also be cancelled at anytime during the project. Retention determination by WAC 296.127.320. These records do not include CP's for open investigations, which are maintained under DAN 80-03-24360 for 6 years. | **Retain** for 3 years after request completed or cancelled<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-10-62125<br>Rev. 1 | ***Prevailing Wage Complaint, Investigation and Notice of Violation Files***<br>Provides documentation of response to complaints investigated by Prevailing Wage agents pertaining to Prevailing Wage claims and resolution of investigations. Documentation also includes intents and affidavits filed on behalf of subcontractors, which are investigated and receive notices of violations. | **Retain** for 6 years after investigation complete and appeal period expired, or final legal action<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 74-07-05532<br>Rev. 2 | ***Prevailing Wage Intents and Affidavits (PWIA)***<br>Provides documentation of a contractor's intent to pay prevailing wages on a public works project and verifies that contractor's comply with requirements. Also provides documentation of wages actually paid by a contractor on a public works project by job classifications. May include correction notices. 82% of intents and affidavits are filed on-line in the PWIA system by contractors. | **Retain** for 6 years after receipt of affidavit<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |

## 9.8 PREVAILING WAGE – OFFICE NUMBER 495

*The activity relating to the payment of hourly wages to workers employed on public works projects or employed under building maintenance agreements of the state, county, municipality or political subdivision of the state.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-10-62120<br>Rev. 1 | ***Prevailing Wage Intents and Affidavits (PWIA) – Paper Copies***<br>Documentation of a contractor's intent to pay prevailing wages on a public works project and verifies that contractor's comply with requirements. All information is entered into the PWIA system by central office staff. Only 12% of intents and affidavits are received in paper. The paper documents are considered secondary once entered into the system. | **Retain** for 6 months after data entry complete and verified<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-10-62122<br>Rev. 0 | ***Prevailing Wage Rates for Public Works Contracts***<br>The wage rates listed in these records are the minimum rates which must be paid to all workers, laborers or mechanics employed on public works contracts. | **Retain** for 10 years after publish date<br>*then*<br>**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL**<br>**(Appraisal Required)**<br>NON-ESSENTIAL<br>OPR |
| 09-10-62121<br>Rev. 0 | ***Surveys Received Without Data***<br>Surveys received from employers that have been signed but do not contain any information on employee hours worked and wage data. | **Retain** for 6 months after published<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 93-01-51894<br>Rev. 3 | ***Wage and Hour Survey***<br>Provides documentation of wage and reporting data and calculations used for publishing. | **Retain** for 3 years after published<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

## 9.8 PREVAILING WAGE – OFFICE NUMBER 495

*The activity relating to the payment of hourly wages to workers employed on public works projects or employed under building maintenance agreements of the state, county, municipality or political subdivision of the state.*

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 09-10-62124<br>Rev. 1 | ***Wage Update Responses***<br>Responses to the wage updates made by the unions. Wage updates are done twice a year. They are effective 30 days after completion. | **Retain** for 1 year after date wage update is effective<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

# 10. CUSTOMER SERVICE PROGRAM – REGIONAL SERVICE LOCATIONS

This section covers records relating to the Customer Service Program, at each L&I Service Location throughout the state. The records include processing documents, copies of permits, Electrical program warning letters, and copies of fiscal records.

See the State Government General Records Retention Schedule for additional records series related to banking, cash receipts, and mail.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-09-61864<br>Rev. 1 | ***Customer Service Program Processing Documents – Region Copy***<br>Secondary copies of all types of documents that are processed at the customer service counter and forwarded to the Central Office in Tumwater to be maintained in the original files. Documents processed for various L&I programs may include but are not limited to: General and Specialty Contractors registrations and Electrical, Elevator and Plumber licenses, along with other miscellaneous business areas such as Prevailing Wage. May include but is not limited to: applications, bonds, insurance statements, administrator's certificates, and intents and affidavits.<br>*Note: Does not include Electrical and Factory Assembled Structure permits – see DAN 08-09-61863.* | **Retain** for 2 months after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 08-09-61863<br>Rev. 1 | ***Applications for Permits – Paper Copy***<br>Applications, affidavits, and worksheets ether faxed or hand-delivered to the customer service counter and used to process all types of permits, such as Electrical, Elevator and Factory Assembled Structures (FAS). Once the information is entered in to the Permit and Inspection Records System (PAIRS), the paper copies become secondary. The original documentation is maintained electronically for 6 years under DAN 08-09-61862.<br>*Note: Only 'Structural' applications are faxed to the Central Office in Tumwater for a 'plan review'. If it is determined that a plan review is necessary, the original application is mailed to the Central Office and maintained for 6 years under DAN 01-09-60223.*<br>*Note: If a service location issues a permit for work to be completed in another county, the paper documentation should be sent to and maintained by that service location, not the service location at which the permit was issued.* | **Retain** for 2 years after date of issuance<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |
| 09-07-62080<br>Rev. 0 | ***Electrical Correction 15 Day, 5 Day and Final Warning Letters – No Citation Issued***<br>Letters, sent by the Customer Service program on behalf of the electrical program, which are notifications that electrical corrections have not been made in a timely manner. The letters warn individuals/businesses of possible consequences if they do not comply, such as citations and/or power disconnections. If there is no response, the Electrical Administration takes whatever action is appropriate. Fifteen day letters are sent first. If a response is not received within the allotted timeframe, the 5 days letters is sent out. If not response is received a warning letter is sent stating the action(s) that will be taken. The letters are created in PAIRS; however, they cannot be recreated once printed, so a primary copy of the letter, in paper form, must be maintained.<br>*Note: If a citation is issued, the letters become a part of DAN 90-01-45364 and are kept for 6 years after the citation is closed. They are no longer the responsibility of the Customer Service Program.* | **Retain** for 3 years after end of month<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|---|---|---|---|
| 74-07-05351<br>Rev. 5 | ***Industrial Insurance Payment On Account (POA) Fiscal Files***<br>Provides secondary documentation of Industrial Insurance checks processed at the customer service counter and mailed certified to the Seattle Lockbox. May include, but is not limited to: daily transmittals, POA's, copies of checks and copies of receipts. | **Retain** for 1 year after date of document<br>*then*<br>**Destroy**. | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |

# GLOSSARY

### *Appraisal*

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

### *Archival (Appraisal Required)*

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

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

### *Archival (Permanent Retention)*

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

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

### *Disposition*

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

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

### *Disposition Authority Number (DAN)*

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

### *Essential Records*

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

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

### *Non-Archival*

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

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

### *Non-Essential Records*

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

### *OFM (Office Files and Memoranda)*

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

*RCW 40.14.010 – Definition and classification of public records.*

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

### *OPR (Official Public Records*

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

*RCW 40.14.010 – Definition and classification of public records.*

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

### *Public Records*

**RCW 40.14.010 – Definition and classification of public records.**

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

### *Records Series*

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

### *State Records Committee*

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

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

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