**This schedule applies to: Washington State Gambling Commission**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Washington State Gambling Commission relating to the unique functions of licensing and regulation of all authorized gambling activities in the state, excluding the lottery and horse racing. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS),* which authorizes the destruction/transfer of public records common to all state agencies.

**Disposition of public records**

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

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

**Revocation of previously issued records retention schedules**

All previously issued records retention schedules to the Washington State Gambling Commission are revoked. The Washington State Gambling Commission must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

**Authority**

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on March 2, 2016.

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| *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the State Auditor:****Cindy Evans** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Attorney General:****Isaac Williamson** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Office of Financial Management:****Shane Hamlin** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***The State Archivist:** **Steve Excell** |

Revision History

|  |  |  |
| --- | --- | --- |
| Version | Date of Approval | Extent of Revision |
| 1.0 | March 2, 2016 | Consolidation of all existing disposition authorities (with some minor revisions). |

For assistance and advice in applying this records retention schedule,

please contact the Washington State Gambling Commission’s Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. ENFORCEMENT

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

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 16-03-68961Rev. 0 | ***Adjudicated Case Files – Routine***Records relating to routine violations and cases of laws and rules of the agency, including those cases heard by an administrative law judge. Includes, but is not limited to:* Hearing minutes, depositions, subpoenas;
* Audio or video recordings;
* Correspondence, penalty assessments
* Collection notices, orders, and other related materials.
 | **Retain** for 6 years after closure of case *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL**OPR |
| 16-03-68962Rev. 0 | ***Adjudicated Case Files – Significant***Records relating to significant enforcement cases heard by an administrative law judge, that either impacted the industry or changed the way the agency does business. Includes, but is not limited to:* Hearing minutes, depositions, subpoenas;
* Audio or video recordings;
* Correspondence, penalty assessments
* Collection notices, orders, and other related materials.
 | **Retain** for 6 years after closure of case *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL**OPR |
| 16-03-68963Rev. 0 | ***Complaints – Unfounded***Records relating to complaints that are uncertified, unfounded or frivolous, without merit, and contain insufficient evidence to proceed.*Note: Complaints leading to preliminary or formal investigations become part of the investigative case files.* | **Retain** for 1 year after completion of review *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 16-03-68964Rev. 0 | ***Forfeited Property***Records related to personal and/or real property forfeited to the agency under RCW 9.46.231. Includes, but not limited to:* Documentation of proceeds realized from disposition;
* Property retained for agency use;
* Forfeiture hearing records.

*Note: RCW 9.46.231(7) requires the agency to retain records relating to forfeited property for at least 7 years.* | **Retain** for 7 years after date of forfeiture *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 83-08-32867Rev. 1 | ***Intelligence Files***Records related to intelligence information gathered by gambling agents in the course of investigating suspected or alleged criminal activity.Includes, but not limited to:* Interoffice notes and memorandum;
* Police investigative reports;
* Other related documents.
 | **Retain** until no longer needed for agency business *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 76-08-17542Rev. 2 | ***Investigative Case Files***Records related to the investigations conducted against suspected or alleged illegal or unauthorized gambling activities, including tribal regulation, licensed and un-licensed facilities and games. Includes, but is not limited to:* Original complaints (if founded);
* Compilation of evidence;
* Case documentation.
 | **Retain** for 6 years after case closed *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL**OPR |

1. LICENSING OPERATIONS

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

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 76-08-17518Rev. 2 | ***Gambling Licenses***Records related to the licensing and authorizing of gambling establishments and games for both individuals and organizations, including tribal facilities. Includes, but is not limited to:* Applications;
* Required financial information for verification (tax returns, bank statements);
* Confidential investigative files from justice systems (dockets, police reports, any citations, other background checks);
* Agent notes and other supplemental documents.

Excludes records covered by *Gambling Licenses – Summary Records (DAN 16-03-68965)*. | **Retain** for 6 years after expiration or revocation of license *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL**OPR |
| 16-03-68965Rev. 0 | ***Gambling Licenses – Summary Records***Summary record of each gambling license issued by the Gambling Commission to gambling establishments and games for both individuals and organizations and includes tribal facilities. Summary documents the name of the licensee, licensee location, type of license, license number, date issued and date expired. Includes, but is not limited to:* Licensing data in Gambling Commission’s databases;
* Other summary cards or compilations.
 | **Retain** until no longer needed for agency business *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)****ESSENTIAL**OPR |
| 16-03-68966Rev. 0 | ***Identification Stamps***Records related to identification/tax stamps required for gambling devices and equipment. Includes, but not limited to:* Licensee orders for stamps;
* Identification stamp tax records.

Excludes financial records covered by *Financial Transactions – General (DAN GS 01001)*. | **Retain** for 6 years after end of fiscal year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 16-03-68967Rev. 0 | ***Inspections***Records documenting inspections of licensee establishments and operations by agents of the gambling commission. Includes, but is not limited to:* Compliance modules;
* Manufacturer and program reviews;
* Qualification and financial statement reviews;
* Inspection reports.
 | **Retain** for 6 years after date of inspection *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 16-03-68968Rev. 0 | ***Licensee Reporting***Records documenting the required financial reporting of gambling activities, including commercial, non-profits/charitable and manufacturer licensees. Includes, but is not limited to:* Quarterly and annual reports.
 | **Retain** for 6 years after date of report *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 16-03-68969Rev. 0 | ***Proprietary Game Submissions – Approved***Records relating to successful submissions of electronic or mechanical gambling equipment, software and/or proprietary table games including Tribal Lottery Systems. Includes, but is not limited to:* Applications and approval documentation;
* Submission documentation and test scripts;
* Software submitted by the manufacturer;
* Layouts and photographs;
* Other related documentation.
 | **Retain** for 6 years after game is no longer in use *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 16-03-68970Rev. 0 | ***Proprietary Game Submissions – Denied***Records relating to submissions of electronic or mechanical gambling equipment, software and/or proprietary table games including Tribal Lottery Systems that were denied for use.Includes, but is not limited to:* Applications and approval documentation;
* Submission documentation and test scripts;
* Software submitted by the manufacturer;
* Layouts and photographs;
* Other related documentation.
 | **Retain** for 6 years after game denied *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. TRIBAL RELATIONS

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

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 16-03-68971Rev. 0 | ***Tribal Community Investment Reports***Records documenting the Community Investment and Contributions Report submittals that recognizes the contributions and efforts of the Tribe’s gambling investments that benefit the community.Excludes tribal compacts signed by the Governor and held in the Governor’s Office of Indian Affairs. | **Retain** for 4 years after submitted *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)** NON-ESSENTIALOPR |
| 16-03-68972Rev. 0 | ***Tribal Gaming***Records related to the rules and regulations developed by the tribes for their gambling operations and submitted to the commission for review and approval. Includes, but not limited to:* Administrative and internal controls;
* Casino and game rules;
* Casino minimum supervisor standards;
* Casino job descriptions.
 | **Retain** until superseded *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

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| ***Appraisal***  |
| **The process of determining the value and disposition of records based on their current administrative, legal and fiscal use; their evidential and informational or research value; and their relationship to other records.** |
| ***Archival (Appraisal Required)***  |
| **Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.***Public records will be evaluated, sampled and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.* |
| ***Archival (Permanent Retention)***  |
| **Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.***WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention”) other than the removal of duplicates.* |
| ***Disposition*** |
| **Actions taken with records when they are no longer required to be retained by the agency.***Possible disposition actions include transfer to Washington State Archives and destruction.* |
| ***Disposition Authority Number (DAN)***  |
| **Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.** |
| ***Essential Records*** |
| **Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.***Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.* |
| ***Non-Archival*** |
| **Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.***Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.* |
| ***Non-Essential Records*** |
| **Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.** |
| ***OFM (Office Files and Memoranda)***  |
| **Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.***RCW 40.14.010 – Definition and classification of public records.*  *(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”* |
| ***OPR (Official Public Records*** |
| **Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.***RCW 40.14.010 – Definition and classification of public records.**(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; … and all other documents or records determined by the records committee… to be official public records.”* |
| ***Public Records*** |
| **RCW** **40.14.010** *–* **Definition and classification of public records.***“… The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business…”* |
| ***Records Series*** |
| **A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.** |
| ***State Records Committee*** |
| **The committee established by RCW 40.14.050 to review and approve disposition of state government records.***Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.* |

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