This schedule applies to: Department of Labor & Industries

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 teens' 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. 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 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 7, 2022.

For the State Auditor:	For the Attorney General:	For the Office of Financial Management:	The State Archivist:
Al Rose	Suzanne Becker	Gwen Stamey	Heather Hirotaka

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.
1.3	September 3, 2014	Minor revisions to the All Offices; Industrial Hygiene Laboratory and Lab Analysis; Special Compliance Services; Customer Service Program – Regional Service Locations; and Legacy sections.
1.4	December 3, 2014	Addition of a new Structured Settlement section and minor revisions to the Consultation Program and Elevator Program sections.
1.5	June 29, 2016	Minor revision to the DOSH – Technical Services section.
1.6	December 7, 2016	Minor revisions to the Specialty Compliance Services – Apprenticeship section.
1.7	August 17, 2017	Minor revisions and formatting corrections throughout the schedule.
1.8	June 6, 2018	Minor revisions to the Insurance Services and Occupational Safety and Health sections.
1.9	June 3, 2020	Minor revisions to Claims Administration Training section and Explosive Licenses section.
1.10	August 4, 2021	Minor revisions to the Insurance Services and Specialty Compliance sections.
1.11	December 7, 2022	Minor revisions to the “Deputy Program and Legislative and Laboratory Program – Discrimination and Investigations”, “Employment Standards”, “Integrated Claims Services – Return To Work Program – Preferred Worker Program”, “Integrated Claims Services – Return To Work Program – Therapy Services, Worksource Program”, “Prevailing Wage”, and “Legacy Records” sections.

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

TABLE OF CONTENTS

1. ALL OFFICES 7

2. DIRECTORS OFFICE – OFFICE NUMBER 100 9
2.1 OMBUDS OFFICE – OFFICE NUMBER 106 10

3. RISK MANAGEMENT AND INTERNAL SAFETY – OFFICE NUMBER 220 11

4. ADMINISTRATIVE SERVICES DIVISION – OFFICE NUMBER 900 13
4.1 RESEARCH AND DATA SERVICES ADMINISTRATION – OFFICE NUMBER 953 13
4.2 RESEARCH AND DATA SERVICES ADMINISTRATION – BUREAU OF LABOR AND STATISTICS (BLS) INFORMATION – OFFICE NUMBER 953 14

5. INSURANCE SERVICES DIVISION – OFFICE NUMBER 501 15
5.1 ACTUARIAL SERVICES – OFFICE NUMBER 502 15
5.2 CLAIMS ADMINISTRATION – OFFICE NUMBER 510 18
5.3 CLAIMS ADMINISTRATION – CLAIMS TRAINING AND COACH/MENTORING UNIT – OFFICE NUMBERS 561 AND 563 20
5.4 CLAIMS ADMINISTRATION – QUALITY ASSURANCE – OFFICE NUMBER 562 22
5.5 INTEGRATED CLAIMS SERVICES – LEGAL SERVICES – THIRD PARTY – STRUCTURED SETTLEMENT – OFFICE NUMBER 936 23
5.6 INTEGRATED CLAIMS SERVICES – LEGAL SERVICES – POLICY – OFFICE NUMBER 560 25
5.7 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – VOCATIONAL DISPUTE RESOLUTION – OFFICE NUMBER 513 26
5.8 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – PRIVATE SECTOR REHABILITATION SERVICES – OFFICE NUMBER 514 27
5.9 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – PREFERRED WORKER PROGRAM – OFFICE NUMBER 515 28
5.10 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – THERAPY SERVICES, WORKSOURCE PROGRAM – OFFICE NUMBER 518 30
5.11 INTEGRATED CLAIMS SERVICES – PENSIONS – PENSION BENEFITS – OFFICE NUMBER 564 31
5.12 CRIME VICTIM COMPENSATION PROGRAM – OFFICE NUMBER 520 33
5.13 CRIME VICTIM COMPENSATION PROGRAM – BILL PAYMENT UNIT – OFFICE NUMBER 521 34
5.14 CRIME VICTIM COMPENSATION PROGRAM – CLAIMS UNIT – OFFICE NUMBER 522 37
5.15 EMPLOYER SERVICES – OFFICE NUMBER 530 38

5.16 EMPLOYER SERVICES –RETROSPECTIVE RATING – OFFICE NUMBER 534 41
5.17 HEALTH SERVICE ANALYSIS (HSA) – OFFICE NUMBER 540 42
5.18 HEALTH SERVICE ANALYSIS (HSA) – HEALTHCARE POLICY AND PAYMENT METHODS – OFFICE NUMBER 542 43
5.19 HEALTH SERVICE ANALYSIS (HSA) – PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544 44
5.20 HEALTH SERVICE ANALYSIS (HSA) – TECHNICAL OPERATIONS – OFFICE NUMBER 546 50
5.21 SELF-INSURANCE – CERTIFICATION SERVICES – OFFICE NUMBER 572 52
5.22 SELF-INSURANCE – CLAIMS TRAINING UNIT – OFFICE NUMBER 571 54
5.23 SELF-INSURANCE – CLAIMS MANAGEMENT SERVICES –– OFFICE NUMBER 573 55
5.24 SAFETY AND HEALTH ASSESSMENT RESEARCH AND PREVENTION (SHARP) – OFFICE NUMBER 580 56

6. DIVISION OF OCCUPATIONAL SAFETY AND HEALTH (DOSH) – OFFICE NUMBER 610 57
6.1 STANDARDS AND TECHNICAL SERVICES – OFFICE NUMBER 620 57
6.2 STANDARDS AND TECHNICAL SERVICES – EXPLOSIVES – OFFICE NUMBER 624 58
6.3 STANDARDS AND TECHNICAL SERVICES – TECHNICAL SERVICES – OFFICE NUMBER 625 60
6.4 STANDARDS AND TECHNICAL SERVICES – STANDARDS PROGRAM – OFFICE NUMBER 681 64
6.5 OPERATIONS – OFFICE NUMBER 630 65
6.6 OPERATIONS – DOSH RECORDS CENTER – OFFICE NUMBER 313 66
6.7 COMPLIANCE PROGRAM – CRANES – OFFICE NUMBER 621 67
6.8 COMPLIANCE PROGRAM – MARITIME – OFFICE NUMBER 623 68
6.9 EDUCATION AND OUTREACH – TRAINING PROGRAM – OFFICE NUMBER 672 69
6.10 EDUCATION AND OUTREACH – GOVERNOR'S SAFETY AND HEALTH CONFERENCE – OFFICE NUMBER 677 71
6.11 EDUCATION AND OUTREACH – SPECIAL EMPLOYER PROGRAM – OFFICE NUMBER 679 72
6.12 CONSULTATION PROGRAM – OFFICE NUMBER 671 73
6.13 DEPUTY PROGRAM AND LEGISLATIVE AND LABORATORY PROGRAM – DISCRIMINATION AND INVESTIGATIONS – OFFICE NUMBER 684 75
6.14 DEPUTY PROGRAM AND LEGISLATIVE AND LABORATORY PROGRAM – INDUSTRIAL HYGIENE LABORATORY AND LAB ANALYSIS – OFFICE NUMBER 641 76

7. FRAUD PREVENTION AND COMPLIANCE – OFFICE NUMBER 710 78
7.1 AUDIT – OFFICE NUMBER 711 78
7.2 INVESTIGATIONS – OFFICE NUMBER 714 80

7.3 INVESTIGATIONS – PROVIDER FRAUD – OFFICE NUMBER 715 82

8. SPECIALTY COMPLIANCE SERVICES (SCS) – OFFICE NUMBER 410 83
8.1 OPERATIONS – OFFICE NUMBER 425 83
8.2 APPRENTICESHIP – OFFICE NUMBER 430 85
8.3 BOILER – OFFICE NUMBER 450 88
8.4 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION – OFFICE NUMBER 460 90
8.5 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION – FACTORY ASSEMBLED STRUCTURES – OFFICE NUMBER 460 91
8.6 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION –INSTALLER PROGRAM – OFFICE NUMBER 460 94
8.7 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION –PLUMBER CERTIFICATION – OFFICE NUMBER 460 95
8.8 ELECTRICAL ADMINISTRATION – OFFICE NUMBER 480 96
8.9 ELECTRICAL ADMINISTRATION – ELECTRICAL PLAN REVIEW – OFFICE NUMBER 482 99
8.10 ELEVATOR PROGRAM – OFFICE NUMBER 485 100
8.11 EMPLOYMENT STANDARDS – OFFICE NUMBER 490 105
8.12 PREVAILING WAGE – OFFICE NUMBER 495 108

9. CUSTOMER SERVICE PROGRAM – REGIONAL SERVICE LOCATIONS 111

10. LEGACY RECORDS 114

GLOSSARY 115

INDEXES 117

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 Rev. 5	***Collection Account Files*** 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. The records may include, but are not limited to: • Suspension packets; • Legal documents; • Proof of service; • Final notice and order of assessment; • Director Compromise; • Warrants filed with Superior Court; • Foreign judgments; • Notes; • Copy of original infraction or citation; and, • Personal liability assessments and documentation/packet with write-up and proof of service. Excludes records covered by *Audits and Investigations (DAN 92-09-51335)*.	**Retain** for 12 years after final action has been taken on account *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-03-68230 Rev. 0	***L&I Program Area Continuing Education Course Material*** 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. Includes, but is not limited to: • Applications; • Fees paid; • Course outlines; • Instructor qualifications; • Class rosters; • Course material approved or disapproved; • Course material created specifically by the program area; • Proof of attendance.	**Retain** for 6 years after: • Course expired, *or* • Curriculum Review Committee Decision Made, *or* • Course Completion Date, *or* • Calendar Year, *whichever is applicable* *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-12-51666 Rev. 2	***Medical Records (Confidential)*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL 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 Rev. 0	***Workers Memorial Service Files*** 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. Includes, but is not limited to: • Invitation letters; • Invitations; • Posters; • Copies of e-mail correspondence; • Agendas; • Copies of handouts and/or presentations; • Pictures; • DVDs of service. *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 *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

2.1 OMBUDS OFFICE – OFFICE NUMBER 106

The activity relating to the Self-Insurance Ombuds Office that advocates for injured workers of self-insurance employers per chapter 51.14 RCW.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-12-62347 Rev. 1	***Ombuds Records*** Records relating to the provision of information on industrial insurance to their clients, along with identifying, investigating, and facilitating resolution of industrial insurance complaints from injured employees. Includes, but is not limited to: • Administrative files; • Medical files; • Complaints/issues or investigation documents, reports and related documents; • Correspondence; • Statistical data maintained for annual reporting purposes to the Governor; • Survey data. Excludes annual reports covered by *State Publications (DAN GS 15008)*. *Note: All communication is considered privileged and confidential and disclosure is prohibited per RCW 51.14.370.* *Note: Only files in which the investigation is closed, or the informational response is complete, will be destroyed.*	**Retain** for 6 years after end of fiscal year in which complaint resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

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
09-05-62022 Rev. 0	***Ergonomic Assessments for Agency Business Areas*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-05-62021 Rev. 0	***Ergonomic Consultations for Agency Staff*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-05-62024 Rev. 0	***Job Hazard Analysis Files*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
99-11-59344 Rev. 1	***Risk Management – Federal Emergency Management (FEMA) Files*** Provides documentation of L&I claims, following disasters, against FEMA and claims resolution. *Note: 44 CFR 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
99-11-59343 Rev. 1	***Risk Management Insurance Files*** Provides documentation of insurance information, such as coverage summaries and copies of billing invoices. *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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL 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 RESEARCH AND DATA SERVICES ADMINISTRATION – OFFICE NUMBER 953

The activity 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 Rev. 2	***Research and Data Services (RDS) Study Documentation*** 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 states 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 *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

4.2 RESEARCH AND DATA SERVICES ADMINISTRATION – 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 Rev. 6	***Bureau of Labor Statistics Survey File*** Provides documentation of injuries and/or illnesses in workplaces as reported by employers. *Note: Confidential.*	**Retain** for 3 months after release of case and demographic data (annually in November) *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
08-08-61812 Rev. 1	***Census of Fatal Occupational Injuries (CFOI) Files*** Provides documentation of Washington workplace fatalities. *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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
08-06-61790 Rev. 0	***Occupational Safety and Health Statistics (OSHA) Program – Cooperative Agreement*** 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 *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

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 Rev. 0	***Annual Rate Documentation*** Provides documentation and data to develop premium rates.	**Retain** for 5 years after end of quarter *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OFM
99-09-59293 Rev. 1	***Class Experience By Subclass*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
99-09-59294 Rev. 1	***Experience Rate Plan*** Provides documentation on experience rating by size of firm and size of experience modification factors.	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL 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 Rev. 2	***L&I Basic Forecasts*** Provides documentation for budget, planning and Industrial Insurance assessment rates.	**Retain** for 3 years after end of calendar year *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR
84-06-34007 Rev. 2	***Overall Loss Reserves – 2nd Quarter – Fiscal Year End*** Provides overall documentation and data to develop year-end claims reserves.	**Retain** for 20 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
84-06-34011 Rev. 2	***Overall Premium and Base Rates*** 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 *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR
99-09-59287 Rev. 1	***Pure Premium Review*** Provides documentation establishing Industrial Insurance and medical aid base rates by class.	**Retain** for 5 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL 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 Rev. 2	***Retrospective Rating Rate Documentation*** Provides documentation and data to develop quarterly rate tables.	**Retain** for 7 years after end of quarter *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.2 CLAIMS ADMINISTRATION – OFFICE NUMBER 510

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
07-09-61619 Rev. 1	***Industrial Insurance Compensable (Time Loss) Claim Files – State Fund*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
07-09-61620 Rev. 1	***Industrial Insurance Non-Compensable (Medical Only) Claim Files – State Fund*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
09-01-61920 Rev. 1	***Opioid Prescription Report*** 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. *Note: The electronic copy is the original. All paper copies are considered secondary and can be destroyed when no longer needed under DAN GS 50005.*	**Retain** for 2 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
88-03-41809 Rev. 2	***Hardcopies of Industrial Insurance Claims Files – Compensable/Non-Compensable*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

5.2 CLAIMS ADMINISTRATION – OFFICE NUMBER 510

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
88-MF-41810 Rev. 3	***Industrial Insurance Compensable/Non-Compensable Claims Files – Microfiche*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
93-11-53227 Rev. 1	***Hardcopies of Industrial Insurance Claim Files – Compensable/Non-Compensable*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

5.3 CLAIMS ADMINISTRATION – CLAIMS TRAINING AND COACH/MENTORING UNIT – OFFICE NUMBERS 561 AND 563

The activity relating to 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 Rev. 2	***Claims Administration Training and Apprenticeship Program Records*** Records include all participant documentation throughout the 22-month Apprenticeship program and any other training program established for claims administration staff. Apprenticeship documents may include, but are not limited to: • Work checking documents; • Feedback reports; • Submittal forms; • Coach monthly logs; • Training rosters; • Related supplemental instruction (RSI) and On the job training (OJT) hours • Joint Apprenticeship and training committee JATC) documents; • Washington State Apprenticeship Training Council (WSATC) reports, change of status and minutes.	**Retain** for 4 years after either: • Journeyman status is achieved, or • removed from training program *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

5.3 CLAIMS ADMINISTRATION – CLAIMS TRAINING AND COACH/MENTORING UNIT – OFFICE NUMBERS 561 AND 563

The activity relating to 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
10-06-62225 Rev. 1	***Claims Training and Coach Mentoring Program Working Files*** Trainers and coach mentors document trainees class participation, work quality checklist and classroom feedback in the 10-month claim training program. Trainers and coach mentors monitor their students' progress and ensure training issues are addressed. Documentation may include but is not limited to: • Monthly Logs; • Classroom feedback sheets and work checklist form; • Reporting hours; • Training calendars.	**Retain** until no longer needed for trainers and coach mentors *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
12-03-68234 Rev. 2	***Training Program History Files*** Provides documentation of the development and use of instructional and on-the-job material for the training of claims staff. May Include, but is not limited to: • Lesson plans (curriculum); • Instruction manuals; • Other related correspondence.	**Retain** for 25 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.4 CLAIMS ADMINISTRATION – QUALITY ASSURANCE – OFFICE NUMBER 562

The activity relating to 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 Rev. 0	***Quality Assurance Claims Review*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
10-12-62349 Rev. 1	***Quality Assurance Review – Special Projects*** Provides documentation of special internal projects requested by business area or program manager. Subject matter may include but is not limited to: reopening of claims, occupational disease, and wage calculations. Excludes records covered by: • *State Publications (DAN GS 15008)*; • *Studies (Major) – Final Reports (Unpublished) (DAN GS 10016)*.	**Retain** for 6 years after project review is complete *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.5 INTEGRATED CLAIMS SERVICES – LEGAL SERVICES – THIRD PARTY – STRUCTURED SETTLEMENT – OFFICE NUMBER 936

The activity relating to seeking recovery of damages for a worker's injury caused by a third party, either by the agency on behalf of the employee or by the employee themselves while also receiving Workers' Compensation benefits.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97-03-57532 Rev. 1	***Legal Documents Concerning Third Party Action Working Files*** 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-privileged communications. Final Mediation Disposition is scanned into the claim file and retained for 75 years under *Industrial Insurance Compensable (Time Loss) Claim Files – State Fund* (DAN 07-09-61619).	**Retain** until action resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
97-03-57530 Rev. 1	***Special Assistant Attorney General (SAAG) Lists*** Provides documentation of private attorneys 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-06-62204 Rev. 0	***Third Party Tracking System*** Provides documentation of third party files in their various stages. Used as a tracking tool to capture key information about the cases, including fiscal documentation.	**Retain** until 6 years after action resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.5 INTEGRATED CLAIMS SERVICES – LEGAL SERVICES – THIRD PARTY – STRUCTURED SETTLEMENT – OFFICE NUMBER 936

The activity relating to seeking recovery of damages for a worker's injury caused by a third party, either by the agency on behalf of the employee or by the employee themselves while also receiving Workers' Compensation benefits.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
14-12-68724 Rev. 0	***Structured Settlement Application or Referral Negotiated and Non-Negotiated*** Provides documentation of Structured Settlement application or referral for negotiated and non-negotiated agreements. If a contract is negotiated, the Board Settlement Document (BSD) and the Claims Resolution Structured Settlement Agreement (Contract) are imaged into Orion and maintained in the claim file. Documents may include, but are not limited to: • Original application; • Email referral; • Income and Expenses form; • Summary Templates that document review of the claim; • Settlement Recommendation that supports the presentation for approval or denial; • Copies of reports of accident, allowance orders and case reserves from original Orion file; • Notes during discussions leading to decision; • Communications to affected parties; • Internal communications to clarify position; • Best interest declaration; • Board settlement documents; • Claims resolution structured settlement agreement; • Beneficiary designation; • Request for withdrawal from structured settlement.	**Retain** until 6 years after action resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.6 INTEGRATED CLAIMS SERVICES – LEGAL SERVICES – 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 Rev. 1	***Policy Program History Files*** Provides documentation of historical records such as the creation and updating of policies and procedures, and projects related to the mission of the Policy program.	**Retain** for 25 years after end of calendar year *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

5.7 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – 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 Rev. 0	***Dispute Tracking System Database*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

5.8 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – PRIVATE SECTOR REHABILITATION SERVICES – OFFICE NUMBER 514

The activity relating to Vocational Rehabilitation Counselors (VRCs), and VRCs' 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 Rev. 0	***Audit Selection Plans for Vocational Rehabilitation Counselor (VRC)*** Provides documentation regarding why a VRC was audited. These records are used as a risk management tool to determine which VRCs may be audited in the following year. *Note: These records do not contain audit working papers or audit reports.*	**Retain** for 5 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
08-12-61980 Rev. 0	***Vocational Rehabilitation Counselor (VRC) and Intern Application Records*** 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 login ID if needed. Documentation also includes all records regarding the assignment of provider login IDs throughout a provider's lifetime.	**Retain** for 25 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.9 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – 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, early return to work and quality assurance.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
98-10-58815 Rev. 1	***Preferred Worker Statistics*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
22-12-69678 Rev. 0	***Early Return To Work (ERTW) Consultations*** Providing resources and documenting to return to work assistance provided to employers through consultation. Includes, but is not limited to: • Case notes; • Contact information; • Services provided; • Consultation outcome.	**Retain** for 6 years after consultation completed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.9 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – 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, early return to work and quality assurance.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
22-12-69680 Rev. 0	***Vocational Firms Quality Assurance Records*** Records documenting vocational firm's educational training, meetings, measures, compliance with quality assurance plans, non-compliance escalation process, and other related records produced by the Vocational Firms Quality Assurance Program. Includes, but is not limited to: • Signed Quality Assurance Plan and signed addendums; • Firm validations received; • L&I verifications completed; • Correspondence; • Suspension Orders; • Quality Assurance process maps; • Status Reports (includes data tables); • Communications, trainings, and resources. *Note: Per WAC 296-19A-210 Vocational Firms quality assurance plans expectations.*	**Retain** for 6 years after validation process completed *or* 6 years after compliance established/escalation resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.10 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – 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 Rev. 2	***Therapy Services – Non-Claim Ergonomic Consultations*** Documentation created from an ergonomic worksite consultation, and recommendations that are not related to an industrial insurance claim. *Note: Claim-related consultations are retained under Industrial Insurance Compensable (Time Loss) Claim Files – State Fund (DAN 07-09-61619).*	**Retain** for 6 years after referral closure date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-05-62196 Rev. 1	***WorkSource Vocational Services Specialist Working Files*** The WorkSource Vocational Services Specialists provide career counseling, education, and resources to customers to enhance skills and to facilitate successful return to work. Includes, but is not limited to: • Referrals and professional disclosure forms; • Case notes; • Job search documents.	**Retain** for 6 years after referral closure date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.11 INTEGRATED CLAIMS SERVICES – PENSIONS – PENSION BENEFITS – OFFICE NUMBER 564

The activity relating to workers 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 Rev. 0	***Department of Retirement System Files – No Claim*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
08-12-61953 Rev. 0	***Fatality Files – No Claim*** 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: • Death certificates; • Obituaries; • Newspaper articles covering the accident; • Investigation reports; • Information from the employer or family. *Note: Title 51 is the laws and regulations that govern worker compensation benefits.*	**Retain** for 25 years after review process complete *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

5.11 INTEGRATED CLAIMS SERVICES – PENSIONS – PENSION BENEFITS – OFFICE NUMBER 564

The activity relating to workers 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 Rev. 0	***Pension Benefit Account Change Records*** 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: • Pension benefit change reports; • Special on time payments of pension benefit coordination reports; • Tracking spreadsheet; • Final monthly statistic reports.	**Retain** for 6 years after review complete *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
08-05-61784 Rev. 0	***Pension Screen Reports*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

5.12 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 Rev. 1	***Crime Victim Compensation (CVC) Program Administrative Files*** 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; • Correspondence.	**Retain** for 6 years after end of calendar year *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OFM
08-09-61847 Rev. 0	***Crime Victim Documentation – No Valid Claim Number on File*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

5.13 CRIME VICTIM COMPENSATION PROGRAM – 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 Rev. 0	***Bill Quality Assurance Files*** Provides documentation pertaining to bill quality assurance files.	**Retain** for 6 years after end of quarter *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-07-62069 Rev. 0	***Crime Victim Claims – Medical Bills*** Provides documentation of all medical bills received and processed on Crime Victim claims.	**Retain** for 25 years after date paid *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-01-61921 Rev. 1	***Data Entry Batch Cover Sheets*** Documentation provided on the cover sheets 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 cover sheets 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; the date batch was activated and by whom; and the date keyed and 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-04-50264 Rev. 4	***Forensics Assault Exam Bills*** Provides documentation of authorized payment for medical exams. Includes medical reports.	**Retain** for 6 years after bill processing complete *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.13 CRIME VICTIM COMPENSATION PROGRAM – 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 Rev. 3	***Preliminary Payment Summary Reports*** Documentation includes several fiscal reports of all crime victim bills approved for payment.	**Retain** for 6 years after end of quarter *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
08-05-61785 Rev. 1	***Provider and Claimant Remittance Advices*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
97-07-57851 Rev. 2	***Provider Registration Records*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.13 CRIME VICTIM COMPENSATION PROGRAM – 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
09-03-61947 Rev. 0	***Reference Summary Reports*** Provides documentation of updates, changes, and deletions made to Medical Information Payment System – Crime Victims (MIP-C). Records include but are not limited to: • Terminated provider numbers; • Tax verification; • 1099 reporting; • Procedure code changes; • Tax master reports; • Provider payment reports; • Ad hoc reports.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.14 CRIME VICTIM COMPENSATION PROGRAM – 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 Rev. 4	***Crime Victim Claim File*** 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. Includes, but is not limited to: • Application for benefits; • Medical records; • Law enforcement records; • Claim-related correspondence.	**Retain** for 75 years after claim closed *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

5.15 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 Rev. 1	***Annual Rate Notices*** Documentation of notifications to employers of annual industrial insurance rate changes. Media: formerly on microfiche. As of July 2008, rate notices are electronic.	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
84-06-34101 Rev. 1	***Class and Sub-Class Experience*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-01-62193 Rev. 0	***Dividends*** Records include all documentation pertaining to the issuance of dividends to policyholders.	**Retain** for 6 years after final action taken *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
98-10-58817 Rev. 1	***Employer Accounting Systems Enhancement (EASE) Adjustment Reports*** Provides documentation of adjustments of premiums and penalty/interest on employer accounts.	**Retain** for 3 years after report date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

5.15 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 Rev. 2	***Employer Industrial Insurance Account Files*** 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 after final action taken *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
91-04-47808 Rev. 3	***Employer Report of Hours for Industrial Insurance*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
84-06-34089 Rev. 1	***Experience Rating Calculation Adjustments*** Provides documentation of incurred losses for employers accounts for firm numbers.	**Retain** for 10 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-01-62194 Rev. 0	***Experience Rating Calculations*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.15 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 Rev. 0	***Potential Unregistered Employers Report*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.16 EMPLOYER SERVICES –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 Rev. 2	***Prospective Retrospective Rating Members*** Provides documentation which enables groups to see how they might fare under retrospective rating.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
84-05-33895 Rev. 2	***Retrospective Rating Enrollment Files – Groups/Individuals*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

5.17 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 Rev. 0	***Chiropractic Consultation Files*** 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; • Correspondence.	**Retain** for 3 years after agreement is terminated *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

5.18 HEALTH SERVICE ANALYSIS (HSA) – 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 Rev. 2	***Provider Fee Schedule Documentation*** 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: • Correspondence; • Benchmarking documents; • Coverage decisions; • Fee schedules; • Extracts; • Payment policies and billing instructions; • Web documents; • Work plans; • WAC changes.	**Retain** for 15 years after date of publication *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

5.19 HEALTH SERVICE ANALYSIS (HSA) – PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544

The activity relating to the management of provider credentialing and enrollment ; provider quality, which includes medical care provided by healthcare providers and medical examiners, billing audits; prescribing audits; National Practitioner Data Base reports; Claimant records and information; Department of Health citations; Drug Enforcement Agency reports; and Board Certifications; Credentialing Committee documents and decisions; correspondence between L&I and the provider, and provider trainings.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-04-62455 Rev. 1	***Claims Manager Complaint Tracking Files*** 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. 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
98-08-58654 Rev. 1	***Independent Medical Exam (IME) Providers*** 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. Regarding the cut-off, 'Final Action' 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.19 HEALTH SERVICE ANALYSIS (HSA) – PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544

The activity relating to the management of provider credentialing and enrollment ; provider quality, which includes medical care provided by healthcare providers and medical examiners, billing audits; prescribing audits; National Practitioner Data Base reports; Claimant records and information; Department of Health citations; Drug Enforcement Agency reports; and Board Certifications; Credentialing Committee documents and decisions; correspondence between L&I and the provider, and provider trainings.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-04-62454 Rev. 0	***Injured Worker Complaint Tracking Files*** 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. 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 *Provider Peer Review and Complaint Files (DAN 11-04-62440).*	**Retain** for 3 years after tracking completed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
77-10-20108 Rev. 5	***Provider Account Records*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
08-06-61783 Rev. 0	***Provider Account Statistical Reports*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

5.19 HEALTH SERVICE ANALYSIS (HSA) – PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544

The activity relating to the management of provider credentialing and enrollment ; provider quality, which includes medical care provided by healthcare providers and medical examiners, billing audits; prescribing audits; National Practitioner Data Base reports; Claimant records and information; Department of Health citations; Drug Enforcement Agency reports; and Board Certifications; Credentialing Committee documents and decisions; correspondence between L&I and the provider, and provider trainings.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
21-08-69642 Rev. 0	***Provider Credentialing and Enrollment*** Records documenting the credentialing and enrollment process for health care providers. Includes, but is not limited to: • Washington Practitioner Application; • Provider Network and Provider Non- Network Agreement; • Provider Agreement, Provider Attestation Form, and Provider Release Form; • Group Application; • Non-Network Provider Application; • State-wide Payee Registration Form; • IRS Tax W-9 Form; • Delegate Documentation and Delegation Agreement; • Special Project Applications and Special Project Forms; • Verification of Education, Work History, or Hospital Affiliation; • MPN Acceptance Letter, MPN Withdrawn Letter, and MPN Denied Letter; • Provider Appeals and Reconsideration Documentation.	**Retain** for 10 years after termination *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.19 HEALTH SERVICE ANALYSIS (HSA) – PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544

The activity relating to the management of provider credentialing and enrollment ; provider quality, which includes medical care provided by healthcare providers and medical examiners, billing audits; prescribing audits; National Practitioner Data Base reports; Claimant records and information; Department of Health citations; Drug Enforcement Agency reports; and Board Certifications; Credentialing Committee documents and decisions; correspondence between L&I and the provider, and provider trainings.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
21-08-69643 Rev. 0	***Provider Credentialing and Enrollment– Withdrawn Applications*** Records relating to applications and supporting documents that are withdrawn from consideration for the L&I Provider Network, either administratively or at the provider's request. Includes, but is not limited to: • Washington Practitioner Application; • Provider Network and Provider Non- Network Agreement; • Provider Agreement, Provider Attestation Form, and Provider Release Form; • Group Application; • Non-Network Provider Application; • State-wide Payee Registration Form; • IRS Tax W-9 Form; • Delegate Documentation and Delegation Agreement; • Special Project Applications and Special Project Forms; • Verification of Education, Work History, or Hospital Affiliation; • MPN Acceptance Letter, MPN Withdrawn Letter, and MPN Denied Letter; • Provider Appeals and Reconsideration Documentation.	**Retain** for 6 years after withdrawn date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.19 HEALTH SERVICE ANALYSIS (HSA) – PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544

The activity relating to the management of provider credentialing and enrollment ; provider quality, which includes medical care provided by healthcare providers and medical examiners, billing audits; prescribing audits; National Practitioner Data Base reports; Claimant records and information; Department of Health citations; Drug Enforcement Agency reports; and Board Certifications; Credentialing Committee documents and decisions; correspondence between L&I and the provider, and provider trainings.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-12-51671 Rev. 3	***Provider Medical Bill Audits and Actions*** Provides documentation of provider medical bill audits. Includes, but is not limited to: • Complaint/referral; • Referral analysis; • Orders and notice; • Correspondence; • Litigation records. Excludes medical records covered by *Medical Records (Confidential) (DAN 92-12-51666)*. *Note: Regarding the cut-off:* • *'Action Final' means the department's action is not appealable, the provider's debt has been paid in full or debt hasn't been actively collected after 6 years, or company goes out of business and, if applicable, 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 completed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.19 HEALTH SERVICE ANALYSIS (HSA) – PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544

The activity relating to the management of provider credentialing and enrollment ; provider quality, which includes medical care provided by healthcare providers and medical examiners, billing audits; prescribing audits; National Practitioner Data Base reports; Claimant records and information; Department of Health citations; Drug Enforcement Agency reports; and Board Certifications; Credentialing Committee documents and decisions; correspondence between L&I and the provider, and provider trainings.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
11-04-62440 Rev. 0	***Provider Peer Review and Complaint Files*** 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. 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. '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 completed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.20 HEALTH SERVICE ANALYSIS (HSA) – 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 Rev. 1	***Annual Claimant History Profile*** Provides a record of payments made to medical vendors by the claim number assigned to each industrially injured worker. Report is maintained in an electronic system called Enterprise Output Solution (EOS).	**Retain** for 25 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
08-09-61868 Rev. 1	***Completed W-2 Forms for State Fund Claimants*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
89-10-45074 Rev. 5	***Electronic Media Claims (EMC) Bill Reports*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-01-24085 Rev. 1	***Firm Statement of Awards*** Monthly statement to employers detailing payments made to medical and miscellaneous providers. The report is broken down by claim number. Report is maintained in an electronic system called Enterprise Output Solution (EOS).	**Retain** for 25 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.20 HEALTH SERVICE ANALYSIS (HSA) – 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 Rev. 2	***Mass Adjustment Operational Records*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
08-09-61867 Rev. 1	***Reference Update Summary*** Provides documentation of updates, changes and deletions made to MIPS.	**Retain** for 6 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
89-10-45066 Rev. 1	***Remittance Advices*** Provides detailed records of bi-monthly payments made to medical vendors for industrially injured workers. Report is maintained in an electronic system called Enterprise Output Solution (EOS).	**Retain** for 25 years after every other month (bi-monthly) *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
03-04-60514 Rev. 1	***Service Request Release Documents*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.21 SELF-INSURANCE – 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 Rev. 6	***Employer Master Record File*** Provides documentation of correspondence related to self-insurers, including files related to safety, program compliance, audits and penalties. *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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-04-62439 Rev. 0	***Self-Insured Employer Escrow Balance Sheets*** 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 insure that the market value of these securities is at least equal to the required amount that should be in the account. 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
07-12-61679 Rev. 1	***Self-Insured Employer Reporting Files*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.21 SELF-INSURANCE – 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
98-09-58677 Rev. 4	***Self-Insured Surety Files*** 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. Correspondence releasing the surety will be placed in the series under DAN 74-07-05403 and maintained for 30 years.	**Retain** until 11 years after last claim closed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.22 SELF-INSURANCE – 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 Rev. 0	***Self-Insurance Electronic Data Reporting System (SIEDRS) Aggregate Data Reports*** Quarterly reports on workers' compensation program outcomes for the self-insurance community as a whole. Includes a total of 21 various reports.	**Retain** until 5 years after end of quarter *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
11-04-62436 Rev. 0	***Self-Insurance Electronic Data Reporting System (SIEDRS) Enrollment Forms*** Provides a record of companies that are sending claims data electronically to L&I via SIEDRS.	**Retain** until 1 year after data entered and verified *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
11-04-62434 Rev. 2	***Self-Insurance Qualified Claim Administrator Completed Exams*** Provides a record of testing to become a qualified claims administrator. Includes application. Results are documented in the electronic system 'Quick Cards' under DAN 08-12-61956 and kept for 25 years.	**Retain** until data entered and verified *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
11-04-62435 Rev. 1	***Self-Insured Qualified Claim Administrator Updated Exam Questions*** Provides documentation of updated exams with new or revised questions.	**Retain** for 1 year after superseded *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.23 SELF-INSURANCE – 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 Rev. 1	***Self-Insured Agency Workers' Compensation Claims – Compensable*** 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. *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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-07-05400 Rev. 5	***Self-Insured Agency Workers' Compensation Claims – Compensable – Paper Copies Prior to 1988*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
78-11-21645 Rev. 6	***Self-Insured Agency Workers' Compensation Claims – Non-Compensable*** Provides documentation of action taken, provides basis for future claim decisions, and allows research related to the claims. *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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

5.24 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 Rev. 1	***Human Research Study Washington State Institutional Review Board (WSIRB) Records*** 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 proposals 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
03-02-60447 Rev. 1	***Safety and Health Assessment Research and Prevention (SHARP) Research and Data Files*** Provides documentation of the development of projects, data and resultant impacts of research studies. Records may include the documentation of a participant's 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

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 Rev. 1	***Variance Files*** 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 *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

6.2 STANDARDS AND TECHNICAL SERVICES – 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 Rev. 1	***Application for Radio Signaling Permit*** Provides a record of all tones and frequencies issued for the radio signaling system per chapter 49.17 RCW and chapter 296-54 WAC.	**Retain** for 6 years after disposition of radio *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
87-10-41113 Rev. 2	***Applications for Explosive Licenses*** Provides a record of purchaser, user, magazine, dealer and manufacturer licenses issued per chapter 70.74 RCW and chapter 296-52 WAC. May include but are not limited to: • Application; • Final background checks results; • Renewals, • User's (blasters) test; and • Correspondence.	**Retain** for 6 years after license not renewed or license revoked *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
87-10-41114 Rev. 1	***Dealer Records*** Provides a record of all sales of explosives by dealers per chapter 70.74 RCW and chapter 296-52 WAC. Documentation is sent to L&I by dealers monthly.	**Retain** for 6 years after end of month *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

6.2 STANDARDS AND TECHNICAL SERVICES – 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
20-06-69495 Rev. 0	***Fingerprint Cards and Criminal Background Checks from Explosive License Applications*** Records documenting applicant fingerprints and background checks used to validate criminal history as required by RCW 70.74.360 (1) and only used for processing Explosive License Applications. Excludes records covered by *Applications for Explosive Licenses (DAN 87-10-41113)*. *Note: Retention is based on recommendations from Washington State Patrol and the Federal Bureau of Investigations.*	**Retain** for 90 days after fingerprints and background checks are processed *or* Until appeal resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-06-54582 Rev. 1	***Inspector's Explosives Job Inspection File*** Provides documentation of inspector's findings at job site inspections throughout the lifecycle of an individual or company/corporation/origination license.	**Retain** for 6 years after final inspection complete *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM

6.3 STANDARDS AND TECHNICAL SERVICES – TECHNICAL SERVICES – OFFICE NUMBER 625

The activity relating to the management of asbestos removal, exposure records, and high hazard facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08-03-61783 Rev. 0	***Applications for Certified Asbestos Abatement Contractors*** Applications submitted for the purpose of certifying a contractor (company) to abate asbestos under chapter 296-65 WAC. *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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
05-10-61048 Rev. 1	***Applications for Qualified Asbestos Worker/Supervisors Certification – Approved*** 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. *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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
08-03-61784 Rev. 0	***Applications for Qualified Asbestos Worker/Supervisors Certification – Unapproved*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

6.3 STANDARDS AND TECHNICAL SERVICES – TECHNICAL SERVICES – OFFICE NUMBER 625

The activity relating to the management of asbestos removal, exposure records, and high hazard facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-05-62025 Rev. 1	***Cholinesterase Monitoring Blood Test Results*** 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. *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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
08-03-61785 Rev. 0	***Cholinesterase Monitoring Reimbursement Program Files*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
05-10-61049 Rev. 1	***Evaluation of Material Safety Data Sheets (MSDS)*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

6.3 STANDARDS AND TECHNICAL SERVICES – TECHNICAL SERVICES – OFFICE NUMBER 625

The activity relating to the management of asbestos removal, exposure records, and high hazard facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08-03-61782 Rev. 1	***Notice of Asbestos Abatement*** Notice of Asbestos Abatement submitted from a certified asbestos contractor notifying of asbestos. Information is entered into database. (See DAN 07-04-61464.)	**Retain** for 1 year after notice is entered into database *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
07-04-61464 Rev. 1	***Notice of Asbestos Abatement Project Database*** 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, building size, asbestos removal methods and the quantity of the asbestos being removed.	**Retain** for 75 years after abatement project complete *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
86-10-37837 Rev. 6	***Renewal Applications for Qualified Asbestos Worker/Supervisors Certification – Approved*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
07-04-61465 Rev. 1	***Training Materials for Asbestos Training*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

6.3 STANDARDS AND TECHNICAL SERVICES – TECHNICAL SERVICES – OFFICE NUMBER 625

The activity relating to the management of asbestos removal, exposure records, and high hazard facilities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08-12-61959 Rev. 1	***Unsolicited Employee Medical and Exposure Records*** 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. WAC 296-802-60005 states that if a company is going out of business or is planning to dispose of employee and medical and exposure records they must notify L&I in writing of such, or transfer he 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 03039. 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

6.4 STANDARDS AND TECHNICAL SERVICES – 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 Rev. 4	***Safety and Health Standards Development Files*** 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 *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

6.5 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 Rev. 0	***Penalty Log Books*** Provides documentation of collections of fines and penalties levied by Safety and Health Compliance.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

6.6 OPERATIONS – 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 Rev. 6	***DOSH Inspection Case Files*** Provides documentation of employer history on safety and hygiene compliance inspections. May include, but is not limited to: • Notice of citation (code violation); • Fines levied; • Supporting evidence; • Inspection worksheets; • Interview statements; • Photos and videos; • Appeal proceedings and hearing recordings.	**Retain** for 6 years after case closed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

6.7 COMPLIANCE PROGRAM – 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 Rev. 3	***Certifiers of Cranes, Derricks, and Spouts*** Provides documentation and supporting information regarding certified crane, derrick, and spout certifiers per chapter 49.17 RCW and chapter 296-56 WAC.	**Retain** for 6 years after inactive date of certified inspector *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-09-06923 Rev. 4	***Crane, Derrick, and Spout Certification Files*** 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 chapter 49.17 RCW and chapter 296-56 WAC.	**Retain** for 6 years after life of crane *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-03-61973 Rev. 0	***Crane, Derrick, and Spout Certifier Files – Certification Denied*** Provides a record of crane, derrick, and spout certifiers who were denied certification.	**Retain** for 1 year after certification denied *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

6.8 COMPLIANCE PROGRAM – 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 Rev. 0	***Charter Boat Files*** Provides documentation and supporting information for the construction, certification, and stability of charter boats per chapter 296-115 WAC.	**Retain** for 6 years after life of vessel *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR
09-03-61972 Rev. 1	***Charter Boat Operator and Vessel Files – Denied License or Certificate*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-03-61971 Rev. 0	***Charter Boat Operators Files*** Provides documentation and supporting information of current operators licensed to operate charter boats per chapter 296-115 WAC.	**Retain** for 6 years after inactive date of licensed operator *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

6.9 EDUCATION AND OUTREACH – 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 Rev. 0	***Division of Occupational Safety and Health (DOSH) Symposium Files*** 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. 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

6.9 EDUCATION AND OUTREACH – 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 Rev. 0	***Occupational Safety and Health Administration (OSHA) Outreach Class Records*** 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. Class records, per OSHA requirements, must be kept for 5 years. The records must include at least the following: • Student sign-in sheets; • Student contact information; • Topic outline; • 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); • Student course completion card numbers; • A list of each guest trainer, topics, and times covered by each and their qualifications; • 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. See OSHA Outreach Training Program Requirements, www.osha.gov/dte/outreach/.	**Retain** for 5 years after end of course *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

6.10 EDUCATION AND OUTREACH – 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 Rev. 2	***Governor's Industrial Safety and Health Conference Committee Files*** 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. Media: Paper.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

6.11 EDUCATION AND OUTREACH – 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 Rev. 1	***Voluntary Protection Program – Accepted Employers*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62511 Rev. 0	***Voluntary Protection Program –Employers Not Accepted*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

6.12 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 Rev. 6	***Consultation Case Files*** Records documenting consultation initial visits, follow-up visits and on-site training visits with private industries and public agencies. Includes, but is not limited to: • Request and visit forms; • Written reports to the employer; • Hazard records of abatement; • Checklist; • Documentation notes; • OSHA 300 log and summaries; • Safety & health program assessment worksheets (Form 25); • Requests from Self-Insurance to evaluate companies that want to be self-insured.	**Retain** for 6 years after consultation case closed date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
07-04-61466 Rev. 1	***Consultants Assistance Records*** Records documenting consultants training and assistance to improving safety and health for employers and employees.	**Retain** for 6 years after date of activity *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

6.12 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
07-04-61468 Rev. 2	***Safety Through Achieving Recognition Together (START) Program Records*** Records documenting recognition given through the START program of occupational safety and health excellence in a small business. Includes, but is not limited to: • Employer's Letter of Commitment; • Regional Program Manager recommendation for approval; • Letter from DOSH Assistant Director to employer approving START certification; • Copy of certification; • START checklist; • Employer achievement plan. *Note: The START program recognizes small business who have achieved a safer workplace through employer, employee and government collaboration and reduced hazards, injuries, and lowered insurance costs. A small business has no more than 50 at a specific site, and no more than 250 statewide.*	**Retain** for 4 years after final recertification, or employer does not recertify *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OFM

6.13 DEPUTY PROGRAM AND LEGISLATIVE AND LABORATORY PROGRAM – 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 Rev. 3	***Safety and Health Discrimination Complaint and Complaints Against State Program Administration (CASPA) Files*** Provides documentation of complaints against employers from employees who experienced retaliation for exercising workplace safety and health rights. Complaints against L&I Division of Occupational Safety and Health (DOSH), filed by individuals or employers with the Occupational Safety and Health Administration (OSHA). L&I is notified by OSHA of these allegations. Includes, but is not limited to: • Discrimination complaint allegations and investigations; • DOSH Inspection records; • Investigation findings, settlement agreements; • Penalty assessments, and appeal actions; • Documentation of the CASPA allegations and investigations; • Copies of the complaint, correspondence between individual, employer, agency and OSHA, investigator notes, interview statements, audio recordings of interview statements, recommendations, and corrective action plans.	**Retain** for 6 years after complaint resolved and all appeals completed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

6.14 DEPUTY PROGRAM AND LEGISLATIVE AND LABORATORY PROGRAM – 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 Rev. 2	***Certificates of Analysis, Calibration and Accuracy*** Documentation provided to the laboratory by certified companies or agencies, or traceable to certifying agencies, showing the necessary data and specifications so that the laboratory can prove it utilized certified equipment, chemicals and other media to complete an accurate analysis of a contaminant. Shows the necessary data and specifications to prove that field sampling equipment ordered by the lab for Industrial Hygienists' use is certified to perform field sampling and/or collection of field data. When issued for chemicals, includes, but is not limited to: • Purity level and composition of chemical; • Expiration date, lot number, description of chemical, catalog number; • Chemical Abstract Registry number. Laboratory items covered by these documents include, but are not limited to: • Laboratory analysis instrumentation, measuring devices, field equipment, chemicals and sampling media.	**Retain** for 6 years after date of expiration *or* 6 years after date equipment is removed from service, *whichever is sooner* *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

6.14 DEPUTY PROGRAM AND LEGISLATIVE AND LABORATORY PROGRAM – 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
07-09-61621 Rev. 3	***Descriptive Laboratory Quality Control Documentation*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-05-24919 Rev. 3	***Laboratory Inspection Reports and Files*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
07-12-61684 Rev. 2	***Laboratory Notebooks*** 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 6 years after last date of entry *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

7. FRAUD PREVENTION AND COMPLIANCE – OFFICE NUMBER 710

This section covers records relating to audits and investigations.

7.1 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 Rev. 4	***Audits and Investigations*** Records relating to procedures performed, evidence obtained and conclusions reached that support the employer audit. Includes, but is not limited to: • Audit working papers; • Employer bank records, employer earning records, employer tax returns, and employer time records; • Final audit report; • Appeals; • Audit Collection. Excludes records covered by *Audits and Investigations – Transitory/Temporary Documentation (DAN 17-06-69115)*. *Note: Audit report is not closed if it is under reconsideration, appeal, or in collection.*	**Retain** for 12 years after audit report closed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

7.1 AUDIT – OFFICE NUMBER 711

The activity relating to auditing employer accounting files.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
17-08-69118 Rev. 0	***Audits and Investigations – Transitory/Temporary Documentation*** Documentation obtained or created during the course of audits and investigations associated with employer premiums that is short-term in nature, such as routine correspondence, working copies of databases, working copies of records provided by auditees, superseded drafts, and other documentation not included in the final assembled audit file that supports the published report. Final audit report means when it is uploaded into the System for Reporting Employer Verifications (SERV). Excludes records covered by *Audits and Investigations (DAN 92-09-51335)*.	**Retain** until final audit produced *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

7.2 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 Rev. 1	***Criminal History Records*** Provides documentation of criminal background.	**Retain** until review complete *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-11-53350 Rev. 1	***Discrimination and Claim Suppression Investigations*** Provides documentation of work discrimination and claim suppression by employers of Industrial Insurance claimants. *Note: Restricted confidential.*	**Retain** for 3 years after investigation resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
09-04-62011 Rev. 0	***Evidence Logs*** Documentation of evidence logged into the evidence depository.	**Retain** for 6 years after disposition of evidence *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-04-62012 Rev. 0	***Evidence Vouchers*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
93-11-53349 Rev. 2	***Fraud Investigations*** 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. *Note: Restricted confidential.*	**Retain** for 6 years after investigation resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

7.2 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 Rev. 0	***Quality Assurance Check Sheets and Reports*** Documentation used to complete quality assurance checks of internal investigations. Compiled information from checklists is used to create quality assurance report.	**Retain** for 6 years after quality assurance report complete *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-11-53353 Rev. 2	***Validity and Activity Check Investigations*** Provides documentation of validity and claimant activities, along with other miscellaneous investigations of Industrial Insurance claims. *Note: Restricted confidential.*	**Retain** for 3 years after investigation resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

7.3 INVESTIGATIONS – 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 Rev. 2	***Provider Fraud Investigations*** 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. *Note: Restricted confidential. Investigation resolved means all litigation is resolved and the appeal period has expired.*	**Retain** for 6 years after investigation resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8. 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.

8.1 OPERATIONS – OFFICE NUMBER 425

The activity relating to unresolved citations 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 Rev. 1	***Electrical and Factory Assembled Structure (FAS) Permits and Inspections*** Documentation includes all Electrical and Factory Assembled Structure (FAS) permits that are issued through the Customer Service Program. Applicants may complete requests online, 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
08-12-61956 Rev. 2	***Licensing, Registration and Certification Documentation*** Documentation of all licensing, registration and certification of electrical and construction contractors, electricians and self-insurance 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.1 OPERATIONS – OFFICE NUMBER 425

The activity relating to unresolved citations 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 Rev. 1	***Specialty Compliance Services (SCS) Program Area Master Files*** 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 on their specific program area requirements. Documentation may include but is not limited to: • Original and renewal applications and permits; • Final inspection documents; • Variances; • Data reports; • Five year safety tests; • Unsafe/red tagged documentation; • Insurance policies and bonds; • Inspection certification; • Work history documentation; • Renewal notifications or cards; • Tag order requests; • Proof of attendance at continuing education courses; • Assignment of savings; • Examinations and experience verification, and related correspondence. Excludes records covered by *Drawing Portion of Plumbers Examinations (DAN 85-01-34913)*.	**Retain** for 6 years after documentation of conveyance removal *or* 6 years after permit, license or certification expired/revoked *or* 6 years after out-of-business *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

8.2 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 Rev. 2	***Apprenticeship Appeals and Investigations*** Records relating to the findings and determinations of the investigations on any apprenticeship complaints and/or violations related to apprenticeship standards. Includes, but is not limited to: • Appeals; • Department Findings; • Complaints; • Final Orders; • Hearing Documentation.	**Retain** for 6 years after investigation completed *or* 6 years after appeal period expired *or* 6 years after final legal action is taken. *whichever is applicable* *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.2 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
06-07-61253 Rev. 2	***Apprenticeship Registration and Tracking*** Provides documentation of the sponsor, employer and apprentice records. Includes, but is not limited to: • Apprentice agreement; • Apprentice transfer agreement; • Approved training agent; • Apprenticeship Registration & Tracking System (ARTS) access and authorized signer; • Change of status forms; • Journey level wage rate; • On-the-job training reports; • Related supplemental instruction reports; • Sponsor/Employer contact information updates; • Sponsor meeting minutes.	**Retain** for 50 years after date of document *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

8.2 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
80-09-25775 Rev. 3	***Apprenticeship Sponsor Compliance Items*** Records documenting program sponsors efforts to meet administrative and Equal Employment Opportunity (EEO) compliance. Includes, but is not limited to: • Compliance review and retention sub-committee agendas; • Correspondence sent and/or received by the department; includes reports and compliance reviews; • Field action plans; • Meeting minutes. *Note: Retention based on 5-year requirement in 29 CFR § 30.8 and WAC 296-05-431.*	**Retain** for 5 years after review closed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-07-05482 Rev. 3	***Washington State Apprenticeship and Training Council (WSATC) Business Items*** Records documenting the deliberations and decision of the WSATC. Includes, but is not limited to: • WSATC agendas, meeting minutes, meeting notices, council member travel and attendance sign in sheets; • Commendation/meritorious awards; • Correspondence sent and/or received by the department; • Court reporter transcripts; • Petitions to the council; • Appeal proceedings; • Case files.	**Retain** for 6 years after end of quarter *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR

8.3 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 Rev. 3	***Certificates of Authority*** Provides documentation that company is approved and authorized to build and repair Pressure Vessels.	**Retain** until superseded *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
92-06-50765 Rev. 4	***Inspection and Audit Reports of Manufacturing/Repair Facilities*** Provides documentation of periodic inspections and tri-annual audits by state inspector for manufacturers of boilers and pressure vessels. 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 (ASME), 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR
09-06-62047 Rev. 1	***Boiler/Pressure Vessel Inspections and History Documentation – Jurisdiction Online (JO) System*** 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 *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OPR

8.3 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 Rev. 1	***Boiler/Pressure Vessel Inspections and History Documentation – Paper Files*** Documentation may include but is 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) *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
10-12-62332 Rev. 1	***Boiler/Pressure Vessel Repair/Alteration Reports*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

8.4 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION – OFFICE NUMBER 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
92-07-50905 Rev. 3	***Plumbing, Construction and Factory Assembled Structures (FAS) Infractions*** 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. Excludes infractions that have been sent to collections covered by *Collection Account Files (DAN 91-04-47807)*. 'Closed' means the infraction is not appealable and it has been paid in full, or is voided/vacated. *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 requests in their regions. If the infraction is appealed, the inspectors MUST send ALL paper copies to the Central Office.*	**Retain** for 6 years after closed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.5 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION – FACTORY ASSEMBLED STRUCTURES – OFFICE NUMBER 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 Rev. 1	***Approved Alteration Plan Package for Manufactured, Mobile Homes, and Vendors/Medical Units*** Provides documentation of approved alteration plans packages and all approved documents. *Note: These records comply with WACs 296-150(m), and 150(v).*	**Retain** for 6 years after expiration date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
84-07-34136 Rev. 3	***Blueprints, Plumbing, Heating, Electrical and Structural Components*** 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. *Note: These records comply with WACs 296-150(r), and 150(p).*	**Retain** for 6 years after expired date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
01-09-60220 Rev. 1	***Commercial Coach and Factory Built Structures Approved Plans Package*** Provides documentation of applications and all approved materials. *Note: These records comply with WACs 296-150(c), and 150(f).*	**Retain** for 6 years after expiration date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
01-09-60223 Rev. 1	***Commercial Coach and Factory Built Structures Inspections*** Provides documentation of inspection reports by inspectors, special inspections and reciprocal inspections. *Note: These records comply with WACs 296-150(c), and 150(f).*	**Retain** for 6 years after final inspection *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.5 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION – FACTORY ASSEMBLED STRUCTURES – OFFICE NUMBER 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 Rev. 6	***Housing and Urban Development (HUD) Label Control*** Provides documentation, by serial number, of manufacturer's application and assigned department number for manufactured homes. These records comply with Federal HUD requirements.	**Retain permanently** after Primary Inspection Agencies (IPIA) Performance Review.	NON-ARCHIVAL NON-ESSENTIAL OPR
01-09-60222 Rev. 1	***Insignia Records*** 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. *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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
01-09-60240 Rev. 0	***Insignia Requests*** Provides documentation of requests for new, alteration or replacement insignias and supporting reports.	**Retain** for 6 months after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
84-07-34141 Rev. 3	***Inspectors Monthly Log*** Provides documentation of construction compliance plan review of inspectors daily work activity. *Note: These records comply with WACs 296-150(m), and 150(v).*	**Retain** for 3 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

8.5 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION – FACTORY ASSEMBLED STRUCTURES – OFFICE NUMBER 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 Rev. 1	***Primary Inspection Agencies (IPIA)/Manufacturers Label Report*** Provides documentation of damages, lost label reports and IPIA/Manufacturer. These records comply with Federal HUD requirements.	**Retain** for 6 years after Primary Inspection Agencies (IPIA) Performance Review *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
01-09-60231 Rev. 2	***State Administrative Agency (SAA) Reports*** 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. These records comply with Federal HUD requirements.	**Retain** for 6 years after Primary Inspection Agencies (IPIA) Performance Review *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.6 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION –INSTALLER PROGRAM – OFFICE NUMBER 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 Rev. 1	***Consumer Complaint Files*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
11-08-62668 Rev. 0	***Installer Monthly Certification Tag Reports*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

8.7 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION –PLUMBER CERTIFICATION – OFFICE NUMBER 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 Rev. 4	***Drawing Portion of Plumbers Examinations*** Record includes drawing portion and Scantron card of examinations given to determine if applicant has met the minimum requirements to become a certified plumber. Record also includes signature log for each monthly exam.	**Retain** for 6 months after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
09-03-61944 Rev. 0	***Plumbers Continuing Education Course Rosters*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

8.8 ELECTRICAL ADMINISTRATION – OFFICE NUMBER 480

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-01-61926 Rev. 0	***Amusement Ride/Bungee Jumping Device Incidents*** 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 *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR
90-01-45364 Rev. 4	***Closed Electrical Citations*** Provides documentation of evidence and fees paid regarding licensing and certification violations.	**Retain** for 6 years after closed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
07-04-61469 Rev. 1	***Electrical Class B Permits*** Provides documentation of the purchase or use of electrical inspection permits.	**Retain** for 6 years after permit issued *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
03-04-60515 Rev. 1	***Electrical Field Evaluation*** Provides original documentation of requests for evaluations of installation and report of findings.	**Retain** for 6 years after request approved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.8 ELECTRICAL ADMINISTRATION – OFFICE NUMBER 480

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-01-61923 Rev. 0	***Electrical Permits Inspection System (EPIS) Files – Access Denied/Request Withdrawn*** Provides documentation of electricians who have been denied access or who have withdrawn their request for access to use the agency's on-line permit system (PAIRS – see DAN 08-09-61862).	**Retain** until access denied or request withdrawn *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-01-61923 Rev. 0	***Electrical Permits Inspection System (EPIS) Files – Access Granted*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-01-61925 Rev. 0	***Electrical Settlement Agreements*** Provides documentation of electricians or electrical contractors who have requested a settlement agreement for citations.	**Retain** for 6 years after date of settlement agreement *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
90-01-45370 Rev. 1	***Electrical Testing Laboratory Accreditation Files*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.8 ELECTRICAL ADMINISTRATION – OFFICE NUMBER 480

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-01-61927 Rev. 0	***Electrical Training Programs*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
92-06-50508 Rev. 1	***Electrical Variance Files*** Provides documentation of requests to vary from law and the responses generated from those requests.	**Retain** for 6 years after variance expired *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR
85-02-34953 Rev. 2	***Inspectors Working Files*** 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 include but is not limited to: documents received from customers or other related parties and notes made by the inspector.	**Retain** for 6 years after permit becomes active or inspection complete *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.9 ELECTRICAL ADMINISTRATION – ELECTRICAL PLAN REVIEW – OFFICE NUMBER 482

The activity relating to the review of electrical plans submitted by private and public entities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
85-01-34911 Rev. 1	***Plan Review Log Sheets*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
90-01-45367 Rev. 3	***Plan Review Projects*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.10 ELEVATOR PROGRAM – OFFICE NUMBER 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 Rev. 0	***Conveyance Alteration Applications*** 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 receive notice when the alteration is complete.	**Retain** for 2 years after expiration of license *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
09-09-62088 Rev. 3	***Conveyance Incident/Accident Investigations Files*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
10-05-62199 Rev. 0	***Conveyance Inspection Files*** 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 unsafe/red tagged inspections, along with removal results, customer corrections and extension letters.	**Retain** for 6 years after date of inspection *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.10 ELEVATOR PROGRAM – OFFICE NUMBER 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 Rev. 3	***Conveyances Removed or Deleted*** Provides documentation to free identification numbers when building is destroyed. Media: paper and electronic.	**Retain** for 6 years after documentation of conveyance removed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-12-62311 Rev. 0	***Elevator Mechanic Exams*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
10-12-62309 Rev. 0	***Elevator Mechanic License Applications – Temporary*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

8.10 ELEVATOR PROGRAM – OFFICE NUMBER 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 Rev. 0	***Elevator Mechanic Licensing Applications – Original and Renewal*** 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. 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. 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 6 years after date of inspection *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
10-12-62308 Rev. 0	***Elevator Mechanic Superseded Renewal Applications*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

8.10 ELEVATOR PROGRAM – OFFICE NUMBER 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 Rev. 1	***Inspector's Conveyance Working File*** Provides documentation pertaining to annual inspections which is entered into the Conveyance Management System (CAMS). The electronic record is the original. The working file may include but is not limited to paper copies of 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. Media: paper. 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
80-10-26198 Rev. 6	***Master Conveyance File*** 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 renewal *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.10 ELEVATOR PROGRAM – OFFICE NUMBER 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 Rev. 3	***Plan Review of Conveyance Installation*** Provides graphic documentation of approved commercial and residential installation design. Media: paper and electronic.	**Retain** for 6 years after plan review complete *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

8.11 EMPLOYMENT STANDARDS – OFFICE NUMBER 490

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
17-08-69119 Rev. 0	***Employment Standards Variances*** Records relating to Employment Standards variances includes subminimum wages applications, Child Labor variances. Includes, but is not limited to: • Application materials, copies of certificates to employ workers with a disability at a subminimum wage rate and copies of approved variances (issued pursuant to RCW 49.12.105 and WAC 296-126-130); • Application materials and copies of variances to allow for variances from WAC rules chapters 296-125 and 296-126.	**Retain** for 6 years after the variance has expired *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-03-24360 Rev. 7	***Employment Standards Complaints, Investigations and Wage Claim Assignments*** Documentation pertaining to Wage Claim Assignments, Paid Sick Leave, Protected Leave, Farm Labor, Equal Pay Opportunities and Child Labor complaints and investigations conducted by the Employment Standards agents. Includes, but is not limited to: • Collected wages for employees and material that verifies payment or non-payment of claims; • Citations, correspondence, investigative files, agent notes, supplemental information provided by the parties.	**Retain** for 6 years after investigation complete or action on claim resolved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.11 EMPLOYMENT STANDARDS – OFFICE NUMBER 490

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
22-12-69679 Rev. 0	***Employment Standards Consultations*** Records relating to voluntary employer consultations to increase understanding of Isolated Worker Protections (RCW 49.60.515) and EPOA (chapter 49.58 RCW) and provide proactive and educational opportunities, an informed assessment of possible risks, and proposed resolutions to assist with future compliance with the law. Includes, but is not limited to: • Request review of documents (such as, employee handbooks, employment policies, blank job applications, etc.); • Consultation notes. Excludes records covered by *Employment Standards Complaints, Investigations and Wage Claim Assignments (DAN 80-03-24360)*.	**Retain** for 6 years after consultation completed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-07-05536 Rev. 4	***Farm Labor Contractors Licenses*** Records relating to issuing and recording licenses for farm labor contractors and, on rare occasions, the revocation of a license. Includes, but is not limited to: • Applications, correspondence, and copy of license.	**Retain** for 6 years after expiration of license *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.11 EMPLOYMENT STANDARDS – OFFICE NUMBER 490

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

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
17-08-69120 Rev. 0	***Farm Internship Program*** Records relating to review and approval of farm internship programs and the denial of approval. Includes, but is not limited to: • Notices (received, approval, denial, closure); • Applications and certificates; • Interview forms; • Complaints.	**Retain** for 6 years after approval has expired or final letter of determination for programs that are not approved *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-03-24358 Rev. 3	***Minor Worker Injury Report Review*** The Department of Labor and Industries receives the minor injury report from Department of Revenue to review workers compensation claims for possible child labor violations. If a violation is reported, it will be transferred to Employment Standards Complaints, Investigations and Wage Claim Assignments (DAN 80-03-24360) for investigation. If no violation is reported, it is closed after reviewed.	**Retain** for 6 years after report reviewed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

8.12 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
09-10-62125 Rev. 1	***Prevailing Wage Complaint, Investigation and Notice of Violation Files*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-07-05532 Rev. 3	***Prevailing Wage Intents and Affidavits (PWIA) and Certified Payroll Records (CPR)*** Provides documentation of a contractor's intent to pay prevailing wages on a public works project and verifies that contractors comply with requirements. Also provides documentation of certified payroll records (CPR) in response to requests to identify workers and payments made. The employer must provide payroll documentation from the start of the work performed through the completion of work. These records do not include (CPR) for open investigations, which are maintained under DAN 09-10-62125. Also provides documentation of wages actually paid by a contractor on a public works project by job classifications. May include correction notices.	**Retain** for 6 years after date of last affidavit approved for project *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
09-10-62120 Rev. 1	***Prevailing Wage Intents and Affidavits (PWIA) – Paper Copies*** Documentation of a contractor's intent to pay prevailing wages on a public works project and verifies that contractors 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

8.12 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
09-10-62122 Rev. 0	***Prevailing Wage Rates for Public Works Contracts*** 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 *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR
09-10-62121 Rev. 0	***Surveys Received Without Data*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
93-01-51894 Rev. 3	***Wage and Hour Survey*** Provides documentation of wage and reporting data and calculations used for publishing.	**Retain** for 3 years after published *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

8.12 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 Rev. 2	***Wage Update Responses*** Supporting documents related to the electronic updates made by the union representatives. Includes, but is not limited to: • Correspondence sent and received by the department; • Collective Bargaining Agreements (CBA); • Wage schedules, and other supporting documents. *Note: RCW 39.12.015 and WAC 296-127-011.*	**Retain** for 5 years after date wage update is effective *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

9. 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 Rev. 1	***Customer Service Program Processing Documents – Region Copy*** 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. *Note: Does not include Electrical and Factory Assembles Structure permits – see DAN 08-09-61863.*	**Retain** for 2 months after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08-09-61863 Rev. 2	***Applications for Permits – Paper Copy*** Applications, affidavits, and worksheets either 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 into 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. *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. .* *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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
09-07-62080 Rev. 0	***Electrical Correction 15 Day, 5 Day and Final Warning Letters – No Citation Issued*** 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 day letters are sent out. If no 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. *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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-07-05351 Rev. 5	***Industrial Insurance Payment On Account (POA) Fiscal Files*** 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 *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

10. LEGACY RECORDS

This section covers records no longer being created/received by the Department of Labor and Industries which have yet to reach their minimum retention period.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
89-10-45070 Rev.3	***Microfiche Medical Bills*** Provides documentation of all incoming medical bills to be processed by Medical Information and Payment System (MIPS).	**Retain** for 25 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
02-MM-60341 Rev.2	***Microfiche Produced by Medical Payment System*** Original microfiche sets of reports developed and received pertaining to making payment, drug reports, data development and various operations progress reports within Medical Information and Payment System (MIPS).	**Retain** for 25 years after end of month *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

GLOSSARY

Appraisal

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

Archival (Appraisal Required)

Designation for public records that may possess enduring legal and/or historical value and must be appraised by the Archives. Such records are to be evaluated, sampled, and weeded according to archival principles by Archives staff. Records appraised as non-archival may be destroyed after their retention has been met.

Archival (Permanent Retention)

Designation for public records that possess enduring legal and/or historical value and must not be destroyed. State government agencies must transfer these records to the Archives at the end of their minimum retention period. Local government agencies must either transfer these records to the Archives or retain and preserve them according to archival best practice until transferred to the Archives. Other than removing and disposing of duplicates, the Archives will not sample, weed, or otherwise dispose of records with this designation.

Disposition

Actions taken with records when they are no longer required to be retained by an agency. Possible disposition actions include transfer to the Archives and destruction.

Disposition Authority Number (DAN)

Control number for a specific records series in a retention schedule that authorizes a retention period and disposition action for records belonging to that series.

Essential Records

Public records that agencies must have in order to maintain or resume business continuity or to document the legal standing and rights of individuals and organizations. 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 the Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases, and other finding aids should also be transferred with the records.

Local Records Committee

Committee established by RCW 40.14.070 to review and approve disposition of local government records through records retention schedules. The Committee's three members include the State Archivist and one representative each from the Office of the Attorney General and the State Auditor.

Non-Archival

Designation given to public records that do not possess sufficient historical value to be designated as "Archival." Agencies must retain these records for the minimum retention period specified by the appropriate current records retention schedule. Agencies should destroy these records after their minimum retention period expires, provided the records are not required for litigation, public records requests, or other purposes required by law.

Non-Essential Records

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

OFM (Office Files and Memoranda)

Public records not defined and classified as official public records in RCW 40.14.010 and other documents or records as determined by the records committee to be office files and memoranda.

OPR (Official Public Records)

Public records necessary to document transactions relating to public property, public finances, and other agency business, or records determined by the records committee to be official public records.

Public Records

Records that have been created or received by any government agency in Washington State in connection with the transaction of public business regardless of physical form or characteristics.

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 or a number of different types of documents that are filed together to document a specific function.

State Records Committee

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.

INDEXES

ARCHIVAL RECORDS INDEX

See the State Government General Records Retention Schedule for additional "Archival" records.

ADMINISTRATIVE SERVICES
Research and Data Services Administration
Research and Data Services (RDS) Study Documentation 13
Research and Data Services Administration – Bureau of Labor and Statistics (BLS) Information
Occupational Safety and Health Statistics (OSHA) Program – Cooperative Agreement 14
DIRECTORS OFFICE
Workers Memorial Service Files 9
DIVISION OF OCCUPATIONAL SAFETY AND HEALTH (DOSH)
Compliance Program – Maritime
Charter Boat Files 68
Charter Boat Operators Files 68
Consultation Program
Safety Through Achieving Recognition Together (START) Program Records ... 74
Standards and Technical Services
Variance Files 57
Standards and Technical Services – Standards Program
Safety and Health Standards Development Files 64
INSURANCE SERVICES DIVISION
Actuarial Services
Annual Rate Documentation 15
L&I Basic Forecasts 16
Overall Premium and Base Rates 16
Claims Administration – Claims Training and Coach/Mentoring Unit
Training Program History Files 21
Crime Victim Compensation Program
Crime Victim Compensation (CVC) Program Administrative Files 33
Health Service Analysis (HSA) – Healthcare Policy and Payment Methods
Provider Fee Schedule Documentation 43
Integrated Claims Services – Legal Services – Policy
Policy Program History Files 25
Integrated Claims Services – Pensions – Pension Benefits
Fatality Files – No Claim 31
SPECIALTY COMPLIANCE SERVICES (SCS)
Apprenticeship
Washington State Apprenticeship and Training Council (WSATC) Business Items 87
Electrical Administration
Amusement Ride/Bungee Jumping Device Incidents 96
Electrical Variance Files 98
Prevailing Wage
Prevailing Wage Rates for Public Works Contracts 109

ESSENTIAL RECORDS INDEX

See the State Government General Records Retention Schedule for additional "Essential" records.

ALL OFFICES
Collection Account Files 7
DIVISION OF OCCUPATIONAL SAFETY AND HEALTH (DOSH)
Standards and Technical Services – Explosives
Application for Radio Signaling Permit 58
Applications for Explosive Licenses 58
Dealer Records 58
Inspector's Explosives Job Inspection File 59
Standards and Technical Services – Technical Services
Applications for Certified Asbestos Abatement Contractors 60
Applications for Qualified Asbestos Worker/Supervisors Certification – Approved 60
Applications for Qualified Asbestos Worker/Supervisors Certification – Unapproved 60
Notice of Asbestos Abatement Project Database 62
Renewal Applications for Qualified Asbestos Worker/Supervisors Application – Approved 62
INSURANCE SERVICES DIVISION
Claims Administration
Hardcopies of Industrial Insurance Claim Files – Compensable/Non-Compensable 18, 19
Industrial Insurance Compensable (Time Loss) Claim Files – State Fund 18
Industrial Insurance Compensable/Non-Compensable Claim Files – Microfiche 19
Industrial Insurance Non-Compensable (Medical Only) Claim Files – State Fund 18
Claims Administration – Claims Training and Coach/Mentoring Unit
Claims Administration Training and Apprenticeship Program Records 20
Crime Victim Compensation Program – Claims Unit
Crime Victim Claim File 37
Employer Services – Retrospective Rating
Retrospective Rating Enrollment Files – Groups/Individuals 41
Health Service Analysis (HSA) – Technical Operations
Reference Update Summary 51
Integrated Claims Services – Return to Work Program – Vocational Dispute Resolution
Dispute Tracking System Database 26
SPECIALTY COMPLIANCE SERVICES (SCS)
Apprenticeship
Apprenticeship Registration and Tracking 86
Boiler
Boiler/Pressure Vessel Inspections and History Documentation – Jurisdiction Online (JO) System 88
Certificates of Authority 88
Inspection and Audit Reports of Manufacturing/Repair Facilities 88
Operations
Specialty Compliance Services (SCS) Program Area Master Files 84

DISPOSITION AUTHORITY NUMBERS (DAN'S) INDEX

01-09-60202 82
01-09-60220 91
01-09-60222 92
01-09-60223 91
01-09-60224 91
01-09-60229 93
01-09-60231 93
01-09-60240 92
02-MM-60341 114
03-02-60446 56
03-02-60447 56
03-04-60514 51
03-04-60515 96
05-03-60843 38
05-10-61048 60
05-10-61049 61
06-07-61250 85
06-07-61253 86
07-04-61464 62
07-04-61465 62
07-04-61466 73
07-04-61467 72
07-04-61468 74
07-04-61469 96
07-09-61619 18
07-09-61620 18
07-09-61621 77
07-12-61679 52
07-12-61682 55
07-12-61684 77
07-12-61685 76
08-03-61778 34
08-03-61780 26
08-03-61782 62
08-03-61783 60
08-03-61784 60
08-03-61785 61
08-05-61784 32
08-05-61785 35
08-06-61783 45
08-06-61790 14
08-08-61812 14
08-09-61847 33
08-09-61862 83
08-09-61863 112
08-09-61864 111
08-09-61867 51
08-09-61868 50
08-12-61952 31
08-12-61953 31
08-12-61956 83
08-12-61959 63
08-12-61980 27
08-12-61981 27
09-01-61902 9
09-01-61920 18
09-01-61921 34
09-01-61923 97
09-01-61925 97
09-01-61926 96
09-01-61927 98
09-03-61944 95
09-03-61947 36
09-03-61970 68
09-03-61971 68
09-03-61972 68
09-03-61973 67
09-04-61984 81
09-04-62011 80
09-04-62012 80
09-05-62021 11
09-05-62022 11
09-05-62024 11
09-05-62025 61
09-06-62047 88
09-06-62048 89
09-07-62069 34
09-07-62080 112
09-09-62087 103
09-09-62088 100
09-10-62120 108
09-10-62121 109
09-10-62122 109
09-10-62124 110
09-10-62125 108
10-01-62193 38
10-01-62194 39
10-01-62195 40
10-05-62196 30
10-05-62199 100
10-06-62204 23
10-06-62216 42
10-06-62217 32
10-06-62223 25
10-06-62224 20
10-06-62225 21
10-10-62333 100
10-12-62307 102
10-12-62308 102
10-12-62309 101
10-12-62311 101
10-12-62332 89
10-12-62347 10
10-12-62348 22
10-12-62349 22
11-04-62434 54
11-04-62435 54
11-04-62436 54
11-04-62437 54
11-04-62438 15
11-04-62439 52
11-04-62440 49
11-04-62454 45
11-04-62455 44
11-06-62459 69
11-08-62511 72
11-08-62668 94
12-03-68230 8
12-03-68231 70
12-03-68232 84
12-03-68234 21
14-12-68724 24
17-08-69118 79
17-08-69119 105

17-08-69120 107
20-06-69495 59
21-08-69642 46
21-08-69643 47
22-12-69678 28
22-12-69679 106
22-12-69680 29
74-03-03623 39
74-07-05351 113
74-07-05400 55
74-07-05403 52
74-07-05482 87
74-07-05532 108
74-07-05536 106
74-08-06757 37
74-09-06883 64
74-09-06923 67
74-09-06924 67
74-09-06925 66
74-09-06926 14
77-10-20108 45
77-10-20112 50
78-11-21645 55
80-01-24085 50
80-03-24358 107
80-03-24360 105
80-05-24919 77
80-09-25775 87
80-10-26198 103
80-10-26203 101
81-06-27945 75
84-05-33893 41
84-05-33895 41
84-06-34007 16
84-06-34009 17
84-06-34011 16
84-06-34074 16
84-06-34089 39
84-06-34101 38
84-07-34136 91
84-07-34137 92
84-07-34140 94
84-07-34141 92
84-08-34467 71
85-01-34911 99
85-01-34913 95
85-02-34953 98
86-10-37837 62
87-10-41113 58
87-10-41114 58
87-10-41115 58
88-03-41809 18
88-MF-41810 19
89-10-45066 51
89-10-45070 114
89-10-45074 50
90-01-45344 65
90-01-45364 96
90-01-45367 99
90-01-45370 97
91-04-47807 7
91-04-47808 39
92-03-49964 51
92-04-50264 34
92-04-50266 33
92-04-50268 35
92-06-50508 98
92-06-50765 88
92-07-50905 90
92-07-50932 57
92-09-51335 78
92-12-51666 8
92-12-51671 48
93-01-51894 109
93-06-54582 59
93-11-53227 19
93-11-53348 80
93-11-53349 80
93-11-53350 80
93-11-53353 81
95-06-52245 73
96-06-56866 30
97-03-57530 23
97-03-57532 23
97-07-57851 35
97-12-58196 88
98-01-58223 13
98-01-58262 104
98-08-58654 44
98-08-58656 43
98-09-58677 53
98-10-58815 28
98-10-58817 38
99-09-59287 16
99-09-59293 15
99-09-59294 15
99-11-59343 12
99-11-59344 12

SUBJECT INDEX

Note: The use in this index of SGGRRS refers to the State Government General Records Retention Schedule.

A

accidents (investigations)
amusement rides/bungee jumping devices 96
conveyance/elevators 100
accreditation (electrical testing laboratories) 97
advisory boards/committees ..... *see SGGRRS*
agreements ..... *see also SGGRRS*
occupational safety and health statistics 14
amusement rides (incident investigations) 96
annual rate notices 38
apprenticeships
claims administration 20
asbestos abatement
certification 60
renewals/training 62
notices received 62
asset management ..... *see SGGRRS*
audits ..... *see also SGGRRS*
boilers 88
employers 78
pressure vessels 88
provider medical bills 48

B

backups ..... *see SGGRRS*
base rates 16
bill quality assurance 34
boards (advisory) ..... *see SGGRRS*
boilers 88, 89
budgeting ..... *see SGGRRS*
bungee jumping devices (incident investigations) .. 96

C

certification
asbestos abatement 60
renewals/training 62
charter boats 68
cranes/derricks/spouts 67
certified project payrolls 108
charter boats (compliance) 68
child labor cases 105
chiropractic consultations 42
cholinesterase monitoring 61
citations (electrical) 96
claim reserves 16
claim suppression (investigations) 80
claimant history 50
claimant remittance advices 35
claims training 20, 21
class experience 38
ratemaking 15
collections 7
commercial coaches 91
committees (advisory) ..... *see SGGRRS*
compensable claims
industrial insurance 18
harcopies/microfiche (prior to June 1994) 18, 19
self-insurance 55
complaints ..... *see SGGRRS*
discrimination 75
employment standards 105
independent medical exam providers 44, 45
industrial insurance (ombuds) 10
mobile homes 94
prevailing wage 108
construction (infractions) 90
consultation program 73
continuing education courses
materials 8
plumbers 95
contracts ..... *see SGGRRS*
conveyances 100, 101
installation (plan review) 104
course materials (continuing education) 8
cranes (certification) 67
crime victim compensation 33
claim files 37
criminal histories 80
customer service programs 111

D

Department of Retirement Systems 31

derricks (certification) 67
discrimination
  complaints 75
  investigations 80
dispute tracking system database 26
dividends 38

E

electrical
  class B permits 96
  corrections warning letters 112
  field evaluations 96
  Permits Inspection System (EPIS) 97
  permits/inspections 83
  plan review 99
electronic media claims (bill reports) 50
elevator mechanics
  exams 101
  licensing 101, 102
elevators 100, 101
emergency contact information (employee) ..... *see SGGRRS*
Employer Accounting Systems Enhancement (EASE)
  reports 38
employers
  audits 78
  industrial insurance accounts 39
employment standards
  complaints/investigations 105
  variances 105
ergonomic assessments/consultations 11
  non-claim 30
escrow balance sheets (self-insured employers) 52
evidence logs/vouchers 80
exams
  elevator mechanics 101
  plumbers 95
experience rating calculations 39
explosives
  dealer sale records 58
  inspections 59
  licensing 58
exposure records (employees)
  unsoliticed 63

F

facilities ..... *see SGGRRS*
factory assembled structures (FAS)
  infractions 90
  inspections 91
  permits/inspections 83
  plans 91
farm internship program 107
farm labor contractors (licensing) 106
fatalities 31
  census 14
  memorial services 9
Federal Emergency Management Agency (FEMA)
  claims 12
fees (collections) 7
financial records ..... *see SGGRRS*
firm statement of awards 50
forecasts 16
forensics assault exams 34
fraud investigations 80
  providers 82

G

Governor's Industrial Safety and Health Conference 71
grants ..... *see SGGRRS*
grievances ..... *see SGGRRS*

H

hours for industrial insurance (report) 39
HUD labels 92
human research studies 56
human resources ..... *see SGGRRS*

I

incidents (investigations)
  amusement rides/bungee jumping devices 96
  conveyance/elevators 100
independent medical exam providers 44, 45
industrial insurance
  complaints (ombuds) 10
  payment on accounts 113
information systems ..... *see SGGRRS*
infractions (plumbing/construction/factory
  assembled structures) 90
insignia 92
inspections
  boilers 88, 89
  commercial coaches 91
  conveyances 100
  electrical 83

elevators 100
explosives 59
factory assembled structures (FAS) 83, 91
pressure vessels 88, 89
safety and health standards 66
inspectors
monthly logs 92
working files 98, 103
installer monthly certification tag reports 94
insurance (risk management) 12
investigations
discrimination/claim suppression 80
employment standards 105
fraud 80
providers 82
prevailing wage 108
validity/activity checks 81

J

job hazard analysis 11

L

labels (HUD) 92
laboratories
inspections 77
material (certification) 76
notebooks 77
leave ..... *see SGGRRS*
legal affairs ..... *see SGGRRS*
licensing
charter boat operators 68
elevator mechanics 101, 102
explosives 58
farm labor contractors 106
licensing/registration/certification 83

M

mail services ..... *see SGGRRS*
mass adjustment operational records 51
master files
conveyances 103
specialty compliance services 84
material safety data sheets (MSDS)
evaluations/translations 61
medical bills (MIPS) 114
Medical Information and Payment System (MIPS) . 51
data entry batch cover sheets 34
medical records 8
meetings ..... *see SGGRRS*
memorial services 9
mentoring program 21
minor worker injury reports 107
minutes (boards/committees) ..... *see SGGRRS*
mobile homes (complaints) 94
motor vehicles ..... *see SGGRRS*

N

non-compensable claims
industrial insurance 18
harcopies/microfiche (prior to June 1994)18, 19
self-insurance 55

O

ombudsman (industrial insurance) 10
opioid prescriptions (reports) 18
OSHA 300 logs ..... *see SGGRRS*
outreach classes (OSHA) 70

P

paid sick leave (complaints/investigations) 105
patient medical records 8
payroll ..... *see SGGRRS*
penality books (safety and Health compliance) 65
pension (benefit accounts/screen reports) 32
permits
applications 112
electrical 83
class B 96
factory assembled structures (FAS) 83
radio signaling 58
plan reviews (conveyance installations) 104
plumbers exams (drawing portions) 95
plumbing (infractions) 90
policies/procedures ..... *see SGGRRS*
policy program history 25
potential unregistered employers 40
preferred worker statistics 28
preliminary payment summary reports 35
premium rates 15, 16
reviews 16
pressure vessels 88, 89
prevailing wage 108, 109
intents and affidavits 108

surveys 109
unions 110
providers
accounts 45
credentialing and enrollment 46, 47
fee schedules 43
medical bill audits 48
peer review/complaints 49
registration 35
remittance advices 35
public disclosure ..... *see SGGRRS*
public records requests ..... *see SGGRRS*
publications ..... *see SGGRRS*

Q

quality assurance
checksheets/reports 81
reviews 22
quality control (laboratories) 77

R

radio signaling (permits) 58
rates (premiums) 15
recognition programs 74
records management ..... *see SGGRRS*
reference summary reports 36
remittance advices 51
provider/claimant 35
research 56
retrospective ratings 17, 41
risk management ..... *see SGGRRS*

S

safe logs ..... *see SGGRRS*
safety and health standards
development 64
inspections 66
variances 57
Safety Through Achieving Recognition Together (START) 74
security ..... *see SGGRRS*
self-insured employers 52
service request releases 51
settlement agreements (electrical) 97
special assistant attorney general lists 23
spouts (certification) 67
structured settlement 24
studies (research) ..... *see also SGGRRS*
research and data services 13
sub-class experience 38
surities (self-insured employers) 53
surveys (prevailing wage) 109

T

telecommunications ..... *see SGGRRS*
third party (legal actions/tracking) 23
timesheets ..... *see SGGRRS*
training ..... *see SGGRRS*
asbestos abatement certification 62
claims 20, 21
course materials (continuing education) 8
DOSH Symposium 69
electrical 98
OSHA outreach classes 70
program history files 21
transitory records ..... *see SGGRRS*
travel ..... *see SGGRRS*

U

unclaimed property ..... *see SGGRRS*
unions (prevailing wage) 110

V

variances
electrical 98
employment standards 105
safety and health standards 57
vehicles ..... *see SGGRRS*
visitor books/logs ..... *see SGGRRS*
vocational rehabilitation counselors 27
voluntary protection program 72

W

W-2 forms 50
wage and hour surveys 109
wage claim assignments 105
warrants ..... *see SGGRRS*
Washington State Institutional Review Board (WSIRB) 56
wellness programs ..... *see SGGRRS*
workers memorial services 9
workplace injuries (surveys) 14

worksource vocational services specialists..... 30