**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.

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| *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the State Auditor:**  **Al Rose** | *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the Attorney General:**  **Suzanne Becker** | *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **For the Office of Financial Management:**  **Gwen Stamey** | *Signature on File*  *\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*  **The State Archivist:**  **Heather Hirotaka** |

Revision History

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| 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](mailto:recordsmanagement@sos.wa.gov)

**TABLE OF CONTENTS**

[1. ALL OFFICES 7](#_Toc118375741)

[2. DIRECTORS OFFICE – OFFICE NUMBER 100 9](#_Toc118375742)

[2.1 OMBUDS OFFICE – OFFICE NUMBER 106 10](#_Toc118375743)

[3. RISK MANAGEMENT AND INTERNAL SAFETY – OFFICE NUMBER 220 11](#_Toc118375744)

[4. ADMINISTRATIVE SERVICES DIVISION – OFFICE NUMBER 900 13](#_Toc118375745)

[4.1 RESEARCH AND DATA SERVICES ADMINISTRATION – OFFICE NUMBER 953 13](#_Toc118375746)

[4.2 RESEARCH AND DATA SERVICES ADMINISTRATION – BUREAU OF LABOR AND STATISTICS (BLS) INFORMATION – OFFICE NUMBER 953 14](#_Toc118375747)

[5. INSURANCE SERVICES DIVISION – OFFICE NUMBER 501 15](#_Toc118375748)

[5.1 ACTUARIAL SERVICES – OFFICE NUMBER 502 15](#_Toc118375749)

[5.2 CLAIMS ADMINISTRATION – OFFICE NUMBER 510 18](#_Toc118375750)

[5.3 CLAIMS ADMINISTRATION – CLAIMS TRAINING AND COACH/MENTORING UNIT – OFFICE NUMBERS 561 AND 563 20](#_Toc118375751)

[5.4 CLAIMS ADMINISTRATION – QUALITY ASSURANCE – OFFICE NUMBER 562 22](#_Toc118375752)

[5.5 INTEGRATED CLAIMS SERVICES – LEGAL SERVICES – THIRD PARTY – STRUCTURED SETTLEMENT – OFFICE NUMBER 936 23](#_Toc118375753)

[5.6 INTEGRATED CLAIMS SERVICES – LEGAL SERVICES – POLICY – OFFICE NUMBER 560 25](#_Toc118375754)

[5.7 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – VOCATIONAL DISPUTE RESOLUTION – OFFICE NUMBER 513 26](#_Toc118375755)

[5.8 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – PRIVATE SECTOR REHABILITATION SERVICES – OFFICE NUMBER 514 27](#_Toc118375756)

[5.9 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – PREFERRED WORKER PROGRAM – OFFICE NUMBER 515 28](#_Toc118375757)

[5.10 INTEGRATED CLAIMS SERVICES – RETURN TO WORK PROGRAM – THERAPY SERVICES, WORKSOURCE PROGRAM – OFFICE NUMBER 518 30](#_Toc118375758)

[5.11 INTEGRATED CLAIMS SERVICES – PENSIONS – PENSION BENEFITS – OFFICE NUMBER 564 31](#_Toc118375759)

[5.12 CRIME VICTIM COMPENSATION PROGRAM – OFFICE NUMBER 520 33](#_Toc118375760)

[5.13 CRIME VICTIM COMPENSATION PROGRAM – BILL PAYMENT UNIT – OFFICE NUMBER 521 34](#_Toc118375761)

[5.14 CRIME VICTIM COMPENSATION PROGRAM – CLAIMS UNIT – OFFICE NUMBER 522 37](#_Toc118375762)

[5.15 EMPLOYER SERVICES – OFFICE NUMBER 530 38](#_Toc118375763)

[5.16 EMPLOYER SERVICES –RETROSPECTIVE RATING – OFFICE NUMBER 534 41](#_Toc118375764)

[5.17 HEALTH SERVICE ANALYSIS (HSA) – OFFICE NUMBER 540 42](#_Toc118375765)

[5.18 HEALTH SERVICE ANALYSIS (HSA) – HEALTHCARE POLICY AND PAYMENT METHODS – OFFICE NUMBER 542 43](#_Toc118375766)

[5.19 HEALTH SERVICE ANALYSIS (HSA) – PROVIDER CREDENTIALING AND COMPLIANCE – OFFICE NUMBER 544 44](#_Toc118375767)

[5.20 HEALTH SERVICE ANALYSIS (HSA) – TECHNICAL OPERATIONS – OFFICE NUMBER 546 50](#_Toc118375768)

[5.21 SELF-INSURANCE – CERTIFICATION SERVICES – OFFICE NUMBER 572 52](#_Toc118375769)

[5.22 SELF-INSURANCE – CLAIMS TRAINING UNIT – OFFICE NUMBER 571 54](#_Toc118375770)

[5.23 SELF-INSURANCE – CLAIMS MANAGEMENT SERVICES –– OFFICE NUMBER 573 55](#_Toc118375771)

[5.24 SAFETY AND HEALTH ASSESSMENT RESEARCH AND PREVENTION (SHARP) – OFFICE NUMBER 580 56](#_Toc118375772)

[6. DIVISION OF OCCUPATIONAL SAFETY AND HEALTH (DOSH) – OFFICE NUMBER 610 57](#_Toc118375773)

[6.1 STANDARDS AND TECHNICAL SERVICES – OFFICE NUMBER 620 57](#_Toc118375774)

[6.2 STANDARDS AND TECHNICAL SERVICES – EXPLOSIVES – OFFICE NUMBER 624 58](#_Toc118375775)

[6.3 STANDARDS AND TECHNICAL SERVICES – TECHNICAL SERVICES – OFFICE NUMBER 625 60](#_Toc118375776)

[6.4 STANDARDS AND TECHNICAL SERVICES – STANDARDS PROGRAM – OFFICE NUMBER 681 64](#_Toc118375777)

[6.5 OPERATIONS – OFFICE NUMBER 630 65](#_Toc118375778)

[6.6 OPERATIONS – DOSH RECORDS CENTER – OFFICE NUMBER 313 66](#_Toc118375779)

[6.7 COMPLIANCE PROGRAM – CRANES – OFFICE NUMBER 621 67](#_Toc118375780)

[6.8 COMPLIANCE PROGRAM – MARITIME – OFFICE NUMBER 623 68](#_Toc118375781)

[6.9 EDUCATION AND OUTREACH – TRAINING PROGRAM – OFFICE NUMBER 672 69](#_Toc118375782)

[6.10 EDUCATION AND OUTREACH – GOVERNOR’S SAFETY AND HEALTH CONFERENCE – OFFICE NUMBER 677 71](#_Toc118375783)

[6.11 EDUCATION AND OUTREACH – SPECIAL EMPLOYER PROGRAM – OFFICE NUMBER 679 72](#_Toc118375784)

[6.12 CONSULTATION PROGRAM – OFFICE NUMBER 671 73](#_Toc118375785)

[6.13 DEPUTY PROGRAM AND LEGISLATIVE AND LABORATORY PROGRAM – DISCRIMINATION AND INVESTIGATIONS – OFFICE NUMBER 684 75](#_Toc118375786)

[6.14 DEPUTY PROGRAM AND LEGISLATIVE AND LABORATORY PROGRAM – INDUSTRIAL HYGIENE LABORATORY AND LAB ANALYSIS – OFFICE NUMBER 641 76](#_Toc118375787)

[7. FRAUD PREVENTION AND COMPLIANCE – OFFICE NUMBER 710 78](#_Toc118375788)

[7.1 AUDIT – OFFICE NUMBER 711 78](#_Toc118375789)

[7.2 INVESTIGATIONS – OFFICE NUMBER 714 80](#_Toc118375790)

[7.3 INVESTIGATIONS – PROVIDER FRAUD – OFFICE NUMBER 715 82](#_Toc118375791)

[8. SPECIALTY COMPLIANCE SERVICES (SCS) – OFFICE NUMBER 410 83](#_Toc118375792)

[8.1 OPERATIONS – OFFICE NUMBER 425 83](#_Toc118375793)

[8.2 APPRENTICESHIP – OFFICE NUMBER 430 85](#_Toc118375794)

[8.3 BOILER – OFFICE NUMBER 450 88](#_Toc118375795)

[8.4 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION – OFFICE NUMBER 460 90](#_Toc118375796)

[8.5 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION – FACTORY ASSEMBLED STRUCTURES – OFFICE NUMBER 460 91](#_Toc118375797)

[8.6 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION –INSTALLER PROGRAM – OFFICE NUMBER 460 94](#_Toc118375798)

[8.7 CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION –PLUMBER CERTIFICATION – OFFICE NUMBER 460 95](#_Toc118375799)

[8.8 ELECTRICAL ADMINISTRATION – OFFICE NUMBER 480 96](#_Toc118375800)

[8.9 ELECTRICAL ADMINISTRATION – ELECTRICAL PLAN REVIEW – OFFICE NUMBER 482 99](#_Toc118375801)

[8.10 ELEVATOR PROGRAM – OFFICE NUMBER 485 100](#_Toc118375802)

[8.11 EMPLOYMENT STANDARDS – OFFICE NUMBER 490 105](#_Toc118375803)

[8.12 PREVAILING WAGE – OFFICE NUMBER 495 108](#_Toc118375804)

[9. CUSTOMER SERVICE PROGRAM – REGIONAL SERVICE LOCATIONS 111](#_Toc118375805)

[10. LEGACY RECORDS 114](#_Toc118375806)

[glossary 115](#_Toc118375807)

[INDEXES 117](#_Toc118375808)

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 |
| 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 |

1. 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 |

| * 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. | | | |
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| **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 |

1. 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** |
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| 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 |
| 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 |

1. 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.

| * 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |

1. 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.

| * 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 |
| 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 |
| 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 |

| * 1. CLAIMS ADMINISTRATION – OFFICE NUMBER 510   The activity relating to receiving and managing all state fund industrial insurance claims. | | | |
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| **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 |
| 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 |

| * 1. 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. | | | |
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| **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 |
| 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 |

| * 1. 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |
| 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 |

| * 1. 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |
| 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 |

| * 1. 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |
| 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 |

| * 1. 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |
| 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 |
| 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 |

| * 1. CRIME VICTIM COMPENSATION PROGRAM – CLAIMS UNIT – OFFICE NUMBER 522   The activity relating to the processing and management of Crime Victim Compensation claim files. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |
| 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 |
| 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 |

| * 1. EMPLOYER SERVICES –RETROSPECTIVE RATING – OFFICE NUMBER 534   The activity relating to an optional incentive program offered to employers to minimize their industrial insurance losses. | | | |
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| **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 |

| * 1. HEALTH SERVICE ANALYSIS (HSA) – OFFICE NUMBER 540   The activity relating to a second-opinion program in Washington State. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |
| 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 |
| 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 |
| 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 |
| 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 |
| 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 |

| * 1. 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. | | | |
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| **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 |
| 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 |

| * 1. 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. | | | |
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| **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 |
| 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 |

| * 1. SELF-INSURANCE – CLAIMS TRAINING UNIT – OFFICE NUMBER 571   The activity relating to certifying self-insurance claims work leaders, claims managers and trainers. | | | |
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| **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 |

| * 1. SELF-INSURANCE – CLAIMS MANAGEMENT SERVICES –– OFFICE NUMBER 573   The activity relating to management of self-insurance claims files. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |

1. 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.

| * 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. | | | |
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| **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 |

| * 1. STANDARDS AND TECHNICAL SERVICES – EXPLOSIVES – OFFICE NUMBER 624   The activity relating to managing explosives licenses, dealers records, inspection files and radio signaling permits. | | | |
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| **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 |
| 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 |

| * 1. STANDARDS AND TECHNICAL SERVICES – TECHNICAL SERVICES – OFFICE NUMBER 625   The activity relating to the management of asbestos removal, exposure records, and high hazard facilities. | | | |
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| **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 |
| 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 |
| 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 |
| 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 |

| * 1. STANDARDS AND TECHNICAL SERVICES – STANDARDS PROGRAM – OFFICE NUMBER 681   The activity relating to development of safety and health standards. | | | |
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| **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 |

| * 1. OPERATIONS – OFFICE NUMBER 630   The activity relating to documenting the collection of fines and penalties. | | | |
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| **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 |

| * 1. OPERATIONS – DOSH RECORDS CENTER – OFFICE NUMBER 313   The activity relating to safety and health inspections and investigations. | | | |
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| **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 |

| * 1. COMPLIANCE PROGRAM – CRANES – OFFICE NUMBER 621   The activity relating to the certification of cranes, derricks and spouts. | | | |
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| **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 |

| * 1. COMPLIANCE PROGRAM – MARITIME – OFFICE NUMBER 623   The activity relating to the management of charter boats. | | | |
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| **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 |

| * 1. EDUCATION AND OUTREACH – TRAINING PROGRAM – OFFICE NUMBER 672   The activity relating to internal and external training on safety and health. | | | |
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| **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 |
| 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/](http://www.osha.gov/dte/outreach/). | **Retain** for 5 years after end of course  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

| * 1. 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. | | | |
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| **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 |

| * 1. EDUCATION AND OUTREACH – SPECIAL EMPLOYER PROGRAM – OFFICE NUMBER 679   The activity relating to agency’s Voluntary Protection Program offered to employers. | | | |
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| **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 |

| * 1. CONSULTATION PROGRAM – OFFICE NUMBER 671   The activity relating to safety and health consultation visits with industries and agencies. | | | |
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| **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 |
| 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 |

| * 1. 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |
| 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 |

1. FRAUD PREVENTION AND COMPLIANCE – OFFICE NUMBER 710

This section covers records relating to audits and investigations.

| * 1. AUDIT – OFFICE NUMBER 711   The activity relating to auditing employer accounting files. | | | |
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| **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 |
| 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 |

| * 1. INVESTIGATIONS – OFFICE NUMBER 714   The activity relating to investigations related to fraud, validity and activity checks, and discrimination and claim suppression. | | | |
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| **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 |
| 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 |

| * 1. INVESTIGATIONS – PROVIDER FRAUD – OFFICE NUMBER 715   The activity relating to provider fraud investigations. | | | |
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| **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 |

1. 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.

| * 1. OPERATIONS – OFFICE NUMBER 425   The activity relating to unresolved citations and infractions, permits and inspections, and all SCS program master files. | | | |
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| **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 |
| 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 |

| * 1. 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. | | | |
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| **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 |
| 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 |
| 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 |

| * 1. BOILER – OFFICE NUMBER 450   The activity relating to the inspections of pressure vessels and boilers. | | | |
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| **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 |
| 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 |

| * 1. 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. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |
| 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 |
| 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 |

| * 1. CONTRACTOR, FACTORY ASSEMBLED STRUCTURES (FAS), PLUMBER ADMINISTRATION –INSTALLER PROGRAM – OFFICE NUMBER 460   The activity relating to FAS installers tagging reports and consumer complaint files. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |

| * 1. ELECTRICAL ADMINISTRATION – OFFICE NUMBER 480   The activity relating to the administration of the electrical program including amusement rides/bungee jumping device incidents. | | | |
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| **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 |
| 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 |
| 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 |

| * 1. ELECTRICAL ADMINISTRATION – ELECTRICAL PLAN REVIEW – OFFICE NUMBER 482   The activity relating to the review of electrical plans submitted by private and public entities. | | | |
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| **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 |

| * 1. 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. | | | |
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| **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 |
| 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 |
| 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 |
| 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 |
| 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 |

| * 1. 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. | | | |
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| **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 |
| 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 |
| 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 |

| * 1. 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. | | | |
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| **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 |
| 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 |
| 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 |

1. 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** |
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| 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 |
| 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 |
| 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 |

1. 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** |
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| 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 |

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| ***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