**This schedule applies to: Office of Financial Management**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Office of Financial Management relating to the unique functions of providing vital information, fiscal services, and policy support that the Governor, Legislature, and state agencies need to serve the people of Washington State. 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 Office of Financial Management are revoked. The Office of Financial Management 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 February 6, 2019.

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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:** **Steve Excell** |

Revision History

|  |  |  |
| --- | --- | --- |
| Version | Date of Approval | Extent of Revision |
| 1.0 | October 5, 2011 | Consolidation of all existing disposition authorities (with some minor revisions), including those relating to the functions and activities of the former Department of Information Services and the former Department of Personnel transferred to the Office of Financial Management on October 1, 2011.Disposition authorities for records relating to the functions and activities that were transferred from the Office of Financial Management to the newly created Department of Enterprise Services on October 1, 2011 were removed. |
| 1.1 | December 5, 2012 | Archival designation for Personnel Resources Board Files and Exhibits (DAN 11-10-62837) changed to “Non-Archival”. |
| 1.2 | September 2, 2015 | Disposition authorities for records relating to the functions and activities that were transferred from the Office of Financial Management to Consolidated Technology Services on July 1, 2015 were removed. |
| 1.3 | December 7, 2016 | Addition of new Special Projects – K-20 Education Network section and minor revisions to the State Human Resources Office and Legacy Records sections. |
| 1.4 | December 6, 2017 | Minor revision to the “Agency Management – Policies and Procedures” section. |
| 1.5 | February 6, 2019 | Addition of disposition authorities for two record series relating to the functions and activities transferred from Consolidated Technology Services to the Office of Financial Management in January 2019. |

For assistance and advice in applying this records retention schedule,

please contact the Office of Financial Management’s Records Officer

or Washington State Archives at: recordsmanagement@sos.wa.gov

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1. AGENCY MANAGEMENT

This section covers records relating to the overarching management of agency business and its general administration which are not covered by the *State Government General Records Retention Schedule*.

*See State Government General Records Retention Schedule for additional records relating to agency management.*

| * 1. GENERAL OFFICE OPERATIONS

*The activity relating to the execution of routine agency/office administrative tasks.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 09-03-61974Rev. 0 | ***Routine Data***Data used to support routine work functions, unless otherwise scheduled. Data is managed by individuals for routine work processes, where no legal or audit requirement exists to maintain the data beyond its administrative purpose.  | **Retain** until administrative purpose served *then***Destroy**. | non-archivalnon-essentialOFM |

| * 1. POLICIES AND PROCEDURES

*The activity of creating systematic approaches to operations and processes.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-06-62461Rev. 0 | ***National Standards, Policies, and Procedures***Standards, policies, procedures, notices, regulations, rules, orders, instructions, bulletins, directives, and similar guidance directive in nature issued by a professional national organization whose generally accepted principles and reporting requirements are followed and adhered to by state agencies. May include guidance from the Governing Accounting Standards Board (GASB) and other professional organizations.  | **Retain** for 6 years upon implementation *then***Destroy**. | non-archivalnon-essentialOPR |
| 17-12-69132Rev. 0 | ***Exception Requests***Records relating to requests received from agencies for waivers, exemptions or other exceptions to policies, procedures, rules, statutes, directives, or executive orders. | **Retain** for 6 years after end of fiscal year in which exception expired/ superseded/denied *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |

| * 1. REPORTING

*The activity of providing information to and received information from external organizations.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 08-09-61872Rev. 0 | ***Federally Required Records – Outgoing***Records submitted by the Office of Financial Management to the federal government in fulfillment of a state or federal requirement, **and that are not covered by a more specific records series**.May include, but is not limited to, plans, proposals, reports, requests, recommendations, notifications, determinations, inventories, agendas, lists, directives, certifications, and related correspondence.  | **Retain** for 6 years after date of submission *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 08-09-61870Rev. 0 | ***Statutorily Required Records – Incoming***Records submitted to the Office of Financial Management by state agencies, commissions, elected officials, the Legislature, or other entities in fulfillment of a statutory requirement, **and that are not covered by a more specific records series**. May include, but is not limited to, plans, proposals, reports, request, recommendations, notifications, determinations, inventories, agendas, lists, directives, certifications, and related correspondence. | **Retain** for 6 years after date of submission *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 08-09-61871Rev. 0 | Statutorily Required Records – OutgoingRecords submitted by the Office of Financial Management to state agencies, commissions, elected officials, the Legislature, or other entities in fulfillment of a statutory requirement, **and that are not covered by a more specific records series**. May include, but is not limited to, plans, proposals, reports, requests, recommendations, notifications, determinations, inventories, agendas, lists, directives, certifications, and related correspondence. | **Retain** for 6 years after date of submission *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |

1. BUDGET COORDINATION

This section covers records relating to the function of planning, analyzing, and implementing the state’s operating and capital budgets including making budget recommendations to the Governor, presenting the Governor’s budget proposal to the Legislature, and monitoring state agency activities for conformance with executive and legislative intent.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 06-05-61193Rev. 0 | Agency Budget Request SubmittalsCapital and operating budget requests submitted by state agencies for inclusion in the Governor's budget proposal to the Legislature (required by RCW 43.88).  | **Retain** for 6 years after submittal of budget *then***Destroy**. | non-archivalnon-essentialOPR |
| 09-06-62035Rev. 0 | ***Budget Data***Budget data used in planning, analysis, implementation, and monitoring of state budgets, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of five biennia of transferable data (when available) is migrated to the new system.  | **Retain** for 10 years after end of biennium *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 83-01-31000Rev. 2 | Fiscal Note DataProvides documentation of anticipated fiscal impact of proposed legislature bills and resolutions (RCW 43.88A.020).  | **Retain** for 6 years after final biennia *then***Destroy**. | non-archivalessential**(for Disaster Recovery)**OPR |
| 08-03-61764Rev. 0 | Taxpayer Protection Act of 2007 RecordsRecords related to implementation and application of the Taxpayer Protection Act of 2007 for tax and fee proposals (RCW 43.88A.020, 43.135.031, 43.135.035, 43.135.055).  | **Retain** for 6 years after end of biennium *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |

1. EXECUTIVE POLICY

This section covers records relating to policy research, support, and development of policy goals for the Governor and the executive branch.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 88-02-41695Rev. 1 | Enrolled Bill AnalysesProvides documentation of analyses of all enrolled bills that are delivered to the Governor for signature.  | **Retain** for 6 years after end of fiscal year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOFM |
| 88-02-41696Rev. 1 | Proposed Bill AnalysesProvides documentation of analyses of proposed legislation.  | **Retain** for 6 years after end of fiscal year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOFM |
| 88-02-41697Rev. 1 | Sunset Review Working PapersProvides documentation of staff work performed by OFM in conducting its portion of Sunset Reviews.  | **Retain** for 6 years after end of fiscal year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOFM |

1. FORECASTING AND POPULATION

This section covers records relating to estimates of state and local population, monitoring changes in the state economy and labor force, and conducting research on a variety of issues affecting the state budget and public policy.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 88-02-41701Rev. 1 | Annexations to Cities and TownsLegal certifications of all area and population increases to cities and towns resulting from annexations, including annexation certificates, quarterly reports, and supplemental documentation (maps of annexed areas, ordinances, and legal descriptions).  | **Retain** for 20 years after end of fiscal year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 09-03-61980Rev. 0 | Forecasting DataForecasting data used to estimate, forecast, and report on the state's economy, revenues, enrollment, demographic characteristics, and caseloads, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of six years of transferable data (when available) is migrated to the new system.  | **Retain** for 6 years after termination of system or transfer of data to a new system *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 09-03-61981Rev. 0 | Population DataData used to estimate, forecast, and report on the state's population unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of 20 years of transferable data (when available) is migrated to the new system.  | **Retain** for 20 years after termination of system or transfer of data to a new system *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 88-02-41703Rev. 1 | Population Estimates and ForecastCensus, survey, and support data for official population and forecasts of Washington state and local government, including population, race, age, sex, housing, and licensing data.  | **Retain** for 20 years after end of fiscal year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |

1. LABOR RELATIONS COORDINATION

This section covers records relating to negotiating master agreements on behalf of the Governor with union-represented employees in accordance with the Personnel System Reform Act of 2002.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 09-06-62036Rev. 0 | ***Labor Relations Data***Salary, personnel, and financial data used to analyze and predict the financial impact of labor negotiations, and to develop and analyze budget proposals, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of six years of transferable data (when available) is migrated to the new system.  | **Retain** for 6 years after termination of system or transfer of data to a new system *then***Destroy**. | non-archivalnon-essentialOPR |
| 10-08-62288Rev. 0 | Labor Union Contracts and NegotiationsRecords of labor union contract and supplemental negotiations.May include contracts, employer and union proposals, counter-proposals, notices, and negotiations related to changes to mandatory subjects, memoranda of understanding, letters of agreement, and related correspondence.  | **Retain** for 10 years after contract superseded or terminated then**Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |

1. SPECIAL PROJECTS

This section covers records managed within various special projects housed in the Office of Financial Management.

| * 1. K-20 EDUCATION NETWORK
 |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| 16-12-69021Rev. 0 | ***K-20 Education Network Records (Federally Required)***Records under purview of the Federal Communications Commission (FCC) and the Schools and Libraries (E-rate) Program related to telecommunications and information services for Washington State’s educational community. Includes, but not limited to:* Accounts payable circuit detail;
* Bids;
* Contracts;
* Applications;
* Invoices.

*Note: Federal Communications Commission, 47 CFR §54.504 and* [*E-rate Program requirements*](http://www.usac.org/sl/tools/document-retention.aspx)*.* | **Retain** for 10 years after last date of service *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. STATE HUMAN RESOURCE OFFICE

This section covers records relating to functions and activities of the State HR Director’s Office.

| * 1. HR RULES AND APPEALS

*The activity of employee appeals.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 11-10-62833Rev. 0 | ***Allocation Reviews***Files, records, exhibits, and Director's decision on allocation appeals requested.  | **Retain** for 7 years after end of calendar year *then***Destroy**. | non-archivalnon-essentialOPR |
| 11-10-62834Rev. 0 | ***Non-Allocation Reviews***Files, records, exhibits, and Director's decision on non-allocation appeals requested.  | **Retain** for 7 years after end of calendar year *then***Destroy**. | non-archivalnon-essentialOPR |
| 11-10-62836Rev. 0 | ***Personnel Resources Board Appeals Orders***Records of orders issued by the Personnel Resources Board used as reference material for current hearings.  | **Retain** for 50 years after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 11-10-62837Rev. 1 | ***Personnel Resources Board Files and Exhibits***Files, records, and exhibits on Personnel Resources Board appeals requested.  | **Retain** for 6 years after appeal completed *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-10-62838Rev. 1 | ***Voice Recordings of Human Resources-Related Reviews and Appeals***Verbatim recordings of human resources-related reviews and appeals. Includes, but is not limited to:* Director’s Reviews;
* Personnel Resources Board appeal hearings.
 | **Retain** for 3 months after determination issued, appeal withdrawn or final order issued, *whichever is later* *then***Destroy**. | non-archivalnon-essentialOfM |

| * 1. WORKFORCE PLANNING

*The activities of classification, compensation, Director’s reviews, and workforce diversity.* |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| 11-10-62832Rev. 0 | ***Actions Requiring Director's Approval***Provides a record of Non-Perm Extension requests, Alternate Application requests, Alternate Employee Performance Planning and Evaluation form requests, and other requested actions from agencies and institutions that require approval by the Director. *Note: The secondary copy is retained by the State HR Office, the primary copy is sent to the agencies/institutions.* | **Retain** for 5 years after end of calendar year *then***Destroy**. | non-archivalnon-essentialOFM |
| 11-10-62842Rev. 0 | ***Compensation Plans***Provides a record of each successive state Merit System Compensation Plan since 1956. Used to reconstruct class and pay distinctions.  | **Retain** for 20 years after end of calendar year *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 11-10-62847Rev. 0 | ***Equal Employment Opportunity Report***Report to Federal Government Equal Employment Opportunity Commission on the state Workforce Diversity/Affirmative Action Program. Title 29, Chapter XIV Code of Federal Regulations "Such records and the information there from shall be retained at all times for a period of 3 years at the central office of the political jurisdiction."  | **Retain** for 7 years after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 11-10-62839Rev. 0 | ***Exempt Position Files***Provides a record of exempt positions, descriptions, and related correspondence of current and previous exempt positions used for salary management.  | **Retain** for 75 years after end of calendar year *then***Destroy**. | non-archivalnon-essentialOPR |
| 11-10-62840Rev. 0 | ***Job Specification File***Provides a record of classification specifications with each succeeding version and dates of approved changes and related correspondence.  | **Retain** for 50 years after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 11-10-62835Rev. 0 | ***Personnel Board/Director's Meeting Files***Records of the Personnel Board/Director's meeting which includes meeting minutes (secondary copy), verbatim recordings/tapes, agendas, exhibits, notices containing discussions, decisions and recommendations and supporting documentation from analysts.  | **Retain** for 40 years after end of calendar year *then***Destroy**. | non-archivalnon-essentialOPR |
| 11-10-62843Rev. 0 | ***Salary Exception Requests***Provides a record of salary exception or special pay requests from agencies and institutions for recruitment and retention purposes that require approval by the Director.  | **Retain** for 5 years after end of calendar year *then***Destroy**. | non-archivalnon-essentialOFM |
| 11-10-62844Rev. 0 | ***Salary Survey Data***Computer Printouts, questionnaires, reports, and related correspondence providing necessary input data to develop recommendations for state employees' salaries.  | **Retain** for 4 years after end of calendar year *then***Destroy**. | non-archivalnon-essentialOFM |
| 11-10-62845Rev. 0 | ***Salary Survey Reports***Final results documentation of salary surveys and related correspondence.  | **Retain** for 35 years after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |
| 11-10-62846Rev. 0 | ***State Officials’ Salary Administration***Salary schedules, job descriptions, and related correspondence providing necessary input data to set salary maximums of agency directors and board/commission members including final results.  | **Retain** for 20 years after superseded or discontinued *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOFM |
| 11-10-62848Rev. 0 | ***Workforce Diversity/Affirmative Action Guidelines***Manual of guidelines written by the State HR Office. Used to direct state agencies in writing, implementing and monitoring of Workforce Diversity/Affirmative Action Programs. Official documentation required by Executive Order 93-07.  | **Retain** for 7 years after superseded *then***Destroy**. | non-archivalnon-essentialOPR |

1. STATEWIDE ACCOUNTING

This section covers records relating to maintaining state government’s statewide accounting systems, central books of accounts and financial databases.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 09-03-61979Rev. 0 | ***Bond-Related Data***Bond-related data related to the issuance, management, review, approval, and reporting of public bonds, unless otherwise scheduled. (Bond-related records/data must be retained for the life of the bond plus three years) When a new system is developed to replace an existing system, a minimum of thirty-five years of transferable data (when available) is migrated to the new system.  | **Retain** for 35 years after the end of biennium *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 09-03-61976Rev. 0 | ***Financial Data***Financial data documenting the fiscal and accounting operations of state agencies to manage, account for, collect, and expend public funds, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of five biennia of transferable data (when available) is migrated to the new system.  | **Retain** for 10 years after the end of biennium *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 09-06-62034Rev. 1 | ***Financial Data (Long-Term)***Financial data documenting the fiscal and accounting operations of state agencies to manage, account for, collect, and expend public funds, unless otherwise scheduled. When a new system is developed to replace an existing system, a minimum of five biennia of transferable data (when available) is migrated to the new system.  | **Retain** for 10 years after the end of biennium *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 88-02-41705Rev. 1 | Financial Statements and PoliciesFinancial statements and policies issued under the Budget and Accounting Act (Chapter 43.88 RCW). May include the comprehensive annual statewide financial statements (RCW 43.88.027), State Administrative and Accounting Policies and Procedures (RCW 43.88.160), and the Fund Reference Manual (RCW 43.88.160).  | **Retain** for 20 years after end of fiscal year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OPR |
| 88-02-41707Rev. 0 | State Auditor's Report of ExaminationProvides results of post audits of state agencies to assure compliance.  | **Retain** for 5 years after end of fiscal year *then***Destroy**. | non-archivalnon-essentialOFM |

1. TECHNOLOGY SYSTEMS AND SERVICES

This section covers records relating to the management of enterprise technology systems and services.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 19-02-69341Rev. 0 | ***Human Resource Management System (HRMS) Database***The Human Resource Management System (HRMS) database contains documentation of employee pay status, miscellaneous payroll deductions, internal revenue information, insurance plans, garnishments, sick/annual leave balance, and other documentation regarding employee payroll. *Note: Replaces DAN 15-09-68831 granted to Consolidated Technology Services.* | **Retain** for 60 years after superseded *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 19-02-69342Rev. 0 | ***Payroll Pick-Up Signature Log***Provides a record of the signature of the individual that picks up the payroll warrants and backup for an agency, the payroll register number, and the date. *Note: Replaces DAN 15-09-68833 granted to Consolidated Technology Services.* | **Retain** for 1 year after end of calendar year  *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. LEGACY RECORDS

This section covers records nolonger being created or received by the Office of Financial Management (or any predecessor agencies) which have yet to reach their minimum retention period.

| * 1. FORMER DEPARTMENT OF PERSONNEL
 |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND** **DISPOSITION ACTION** | **DESIGNATION** |
| 16-12-69020Rev. 0 | ***Higher Education Personnel Board (HEPB) Appeals – Case Files***Record of all support data, findings, and conclusions of appeals filed with the former Higher Education Personnel Board. Excludes records covered by *Higher Education Personnel Board (HEPB) Appeals – Final Orders (DAN 11-10-62849)*. | **Retain** for 6 years after resolution of case *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 11-10-62849Rev. 1 | ***Higher Education Personnel Board (HEPB) Appeals – Final Orders***Final orders of appeals filed with the former Higher Education Personnel Board.  | **Retain** for 6 years after resolution of case *then***Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL****(Permanent Retention)**NON-ESSENTIALOPR |
| 11-10-62841Rev. 2 | ***Position Profile Report***Report of classified staff population profile – 1986 to 2007.  | **Retain** for 6 years after end of calendar year *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)**NON-ESSENTIALOPR |

Glossary

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| --- |
| ***Appraisal***  |
| **The process of determining the value and disposition of records based on their current administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.** |
| ***Archival (Appraisal Required)***  |
| **Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.***Public records will be evaluated, sampled, and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.* |
| ***Archival (Permanent Retention)***  |
| **Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.***WSA will not sample, weed, or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention)” other than the removal of duplicates.* |
| ***Disposition*** |
| **Actions taken with records when they are no longer required to be retained by the agency.***Possible disposition actions include transfer to Washington State Archives and destruction.* |
| ***Disposition Authority Number (DAN)***  |
| **Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.** |

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| ***Essential Records*** |
| **Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.** *Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.* |
| ***Non-Archival*** |
| **Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.** *Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.*  |
| ***Non-Essential Records*** |
| **Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.** |
| ***OFM (Office Files and Memoranda)***  |
| **Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.***RCW 40.14.010 – Definition and classification of public records.*  *(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”* |
| ***OPR (Official Public Records)*** |
| **Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.***RCW 40.14.010 – Definition and classification of public records.* *(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; … and all other documents or records determined by the records committee… to be official public records.”* |
| ***Public Records*** |
| **RCW** **40.14.010** *–* **Definition and classification of public records.** *“… The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business…”* |
| ***Records Series*** |
| **A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.**  |
| ***State Records Committee*** |
| **The committee established by RCW 40.14.050 to review and approve disposition of state government records.***Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.* |

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