**This schedule applies to: Office of the Insurance Commissioner**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Office of the Insurance Commissioner relating to the unique functions of protecting insurance consumers and overseeing the insurance industry. 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 the Insurance Commissioner are revoked. The Office of the Insurance Commissioner 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 | April 4, 2018 | Consolidation of all existing disposition authorities (with some minor revisions). | |
| 1.1 | February 6, 2019 | Minor revisions to the Applications and Renewals section. | |

For assistance and advice in applying this records retention schedule,

please contact the Office of the Insurance Commissioner’s Records Officer

or Washington State Archives at:

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

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1. AGENCY MANAGEMENT

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

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 18-04-69206  Rev. 0 | ***Service of Process***  Records relating to court documents served on the Insurance Commissioner as appointed attorney for service of process for foreign or alien insurers in accordance with RCW 48.05.200, surplus line insurers in accordance with RCW 48.15.150, nonresident producers, agents and brokers in accordance with RCW 48.17.173, etc.  Includes, but is not limited to:   * Court summons; * Complaints; * Tracking data.   *Note: Insurance Commissioner acts as the attorney accepting service of all legal documents on behalf of non-domestic insurance companies/licensees, and does nothing further with the records beyond forwarding a copy to the recipient.* | **Retain** for 6 years after date of service  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

1. CONSUMER ADVOCACY AND DISPUTE RESOLUTION

This section covers records relating to giving assistance and protecting consumers of insurance products.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 18-04-69207  Rev. 0 | ***Client Contact Records***  Records relating to the consultation and referrals provided by the Statewide Health Insurance Benefits Advisors (SHIBA) program to clients concerning benefits and Medicare options.  Includes, but is not limited to:   * Medicare complaints and supporting documentation; * Referrals and resolutions of case. | **Retain** for 6 years after referral/resolution of case  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 18-04-69208  Rev. 0 | ***Consumer Complaints***  Records relating to complaints of consumers against insurance companies and dispute resolution actions taken by agency.  Includes, but is not limited to:   * Original complaint; * Investigation and research; * Supporting documentation.   Excludes:   * Routine consumer informational inquiries covered by *Provision of Advice, Assistance or Information (DAN GS 09022)*; * Complaints resulting in an investigation covered by *Complaints and Investigations – Regulatory (DAN 18-04-69214)* or *Complaints and Investigations – Criminal (DAN 18-04-69212).* | **Retain** for 6 years after resolution of complaint  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69209  Rev. 0 | ***Small Pharmacy Reimbursement Appeals***  Records relating to appeals by a small pharmacy of a pharmacy benefit manager’s reimbursement decision.  Includes, but is not limited to:   * Original appeal; * Supporting documentation; * Petitions for Review filed per chapter 34.05 RCW and resolutions of case.   Excludes records covered by *Administrative Orders – Final (DAN 18-04-69210).* | **Retain** for 6 years after resolution of case  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. ENFORCEMENT

This section covers records relating to the investigations of complaints of alleged violations of the insurance industry laws and rules.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 18-04-69210  Rev. 0 | ***Administrative Orders – Final***  Final orders issued by the Insurance Commissioner against a licensee or regulated or unregulated entities, or other official action by the Insurance Commissioner, such as an order approving a merger of companies.  Excludes orders covered by *Examinations and Market Conduct Actions (DAN 18-04-69224)****.*** | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  NON-ESSENTIAL  OFM |
| 18-04-69211  Rev. 0 | ***Adjudicative Hearings***  Records relating to hearings held pursuant to chapter 48.04 RCW.  Includes, but is not limited to:   * Pre-hearing and hearing minutes and transcripts; * Audio or video recordings; * Motions, briefs, orders (non-final), subpoenas; * Other related materials or documentation.   Excludes records covered by *Administrative Orders – Final (DAN 18-04-69210).*  *Note: Other divisions collect the fines and administer any penalties.* | **Retain** for 6 years after closure of case (including appeals)  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69212  Rev. 0 | ***Complaints and Investigations – Criminal***  Records relating to the investigation of fraud and any other matter referred to the Criminal Investigation Unit potentially leading to referral for agency enforcement or prosecution.  Includes, but is not limited to:   * Original complaint or referral; * Supporting documentation; * Intake, management and disposition of property as evidence; * Access logs; * Findings of fact; * Referral for prosecution or agency enforcement by Administrative Order. | **Retain** for 6 years after resolution of case (including appeals)  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 18-04-69213  Rev. 0 | ***Complaints and Investigations – Criminal (Declined)***  Records relating to the investigation of fraud and any other matter referred to and then declined by the Criminal Investigation Unit to pursue any further.  Includes, but is not limited to:   * Original complaint or referral; * Supporting documentation, such as insurance claim file; * Notification of decision to decline. | **Retain** for 1 year after decision to decline  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69214  Rev. 0 | ***Complaints and Investigations – Regulatory***  Records relating to consumer or division-referred complaints received against a licensee or regulated or unregulated entity, investigations and enforcement actions taken.  Includes, but is not limited to:   * Original complaint or referral; * Investigation and research; * Supporting documentation; * Findings of fact; * Hearings unit appeals.   Excludes records covered by *Administrative Orders – Final (DAN 18-04-69210).* | **Retain** for 6 years after resolution of case (including appeals)  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69215  Rev. 0 | ***Complaints and Investigations – Working Files***  Records relating to the investigative documentation gathered during the course of the investigation or enforcement case.  Includes, but is not limited to:   * Routine communications; * Copies of records/data obtained from other agencies; * Extractions from databases; * Other documentation NOT required for evidence and the completion of the investigation or enforcement case; * Other documentation NOT needed to support findings.   Excludes:   * Other types of records with minimal retention value covered by the *State Government General Records Retention Schedule*. * Final investigation/conclusions covered under *Complaints and Investigations – Regulatory (DAN 18-04-69214)* or *Complaints and Investigations – Criminal (DAN 18-04-69212).* | **Retain** until no longer needed for agency business  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

1. LICENSING AND OVERSIGHT

This section covers records relating to compliance with and enforcement of state requirements for the insurance industry.

| * 1. APPLICATIONS AND RENEWALS   *The activity of applying for and renewing licenses for insurance companies and individuals in the state of Washington* | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 18-04-69216  Rev. 1 | ***Licensing – Fingerprint Cards and Criminal History Reports***  Fingerprint cards and criminal history reports obtained from the Washington State Patrol and the Federal Bureau of Investigations used for licensing background checks. | **Retain** until a licensing decision is made  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69217  Rev. 1 | ***Licensing – Individual/Agency***  Records relating to the licensing of any individual or business entity under Chapters 48.15, 48.17, 48.56, 48.98, 48.115, 48.120 and 48.170 RCW and similar provisions.  Includes, but is not limited to:   * Applications and results of background check reviews; * Renewals and denials; * Disciplinary actions; * Final orders related to the applicant/licensee.   *Note: Retain Final Orders according to archival designation under Administrative Orders – Final (DAN 18-04-69210).* | **Retain** for life of applicant/licensee  *or*  50 years after last activity, *whichever is sooner*  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 18-04-69218  Rev. 0 | ***Licensing – Regulated Entities (Companies)***  Records relating to specific regulated entities, such as domestic and foreign insurance companies and health carriers, holding companies, auxiliary lines, pharmacy benefit managers and independent review organizations.  Includes, but is not limited to:   * Granted, denied, abandoned, rejected, surrendered, revoked, suspended, expired or withdrawn applications for licenses, registrations, solicitation permits and related documentation; * Certificates of Authority or other records signifying authority to do business; * Articles of incorporation and bylaws; * Applications for mergers, acquisitions, re-domestications; * Final orders related to applications; * Administrative supervision and receiverships; * Depository agreements; * Other records of major events during the life of the license including enforcement orders.   Excludes records covered by *Licensing – Regulated Entities (Companies) – Summary Records (DAN 18-04-69219)*.  *Note: Retain Final Orders according to archival designation under Administrative Orders – Final (DAN 18-04-69210).* | **Retain** for 6 years after license, registration or authority ends  *or*  application denied or withdrawn  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 18-04-69219  Rev. 0 | ***Licensing – Regulated Entities (Companies) – Summary Records***  Summary record of each license granted to regulated entities documenting the name of licensee, licensee location, type of license, license number, date first granted, and date last expired.  Includes, but is not limited to:   * Records in the licensing database. | **Retain** until no longer needed for agency business  *then*  **Transfer** to Washington State Archives for permanent retention. | **ARCHIVAL**  **(Permanent Retention)**  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |

| * 1. EXAMINATIONS AND REGULATORY MONITORING   *The activity of applying for and renewing licenses for insurance companies and individuals in the state of Washington.* | | | |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 18-04-69224  Rev. 0 | ***Examinations and Market Conduct Actions***  Records relating to financial and market conduct examinations pursuant to chapter 48.03 RCW, or market conduct actions taken under chapter 48.37 RCW, for any licensee, regulated entity, or entity potentially subject to regulation.  Includes, but is not limited to:   * Report of examination; * Orders adopting report of examination; * Work papers and related documentation; * Analysis and actions taken.   Excludes records covered by *Financial Analysis (DAN 18-04-69225)*. | **Retain** for 10 years after final action taken  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 18-04-69225  Rev. 0 | ***Financial Analysis***  Records relating to the periodic desk review to determine financial status of domestic and foreign insurance companies and health carriers, holding companies, auxiliary lines, charitable gifts organizations, etc.  Includes, but is not limited to:   * Final analysis report; * Work papers and supporting documentation; * Annual and quarterly statements and supplements.   Excludes records covered by *Examinations and Market Conduct Actions (DAN 18-04-69224).*  *Note: Annual and quarterly statements are filed with the National Association of Insurance Commissioners (NAIC) repository and are held according to the NAIC retention requirement (see WAC 284-07-050).* | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 18-04-69226  Rev. 0 | ***Premium Taxes***  Records relating to premium taxes paid by domestic and foreign insurance companies and surplus lines brokers doing business in Washington.  Includes, but is not limited to:   * Tax returns; * Surplus lines examiner’s work papers. | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 18-04-69227  Rev. 0 | ***Rate and Form Filings***  Records relating to rates, rules and forms for all lines of insurance filed by insurance companies, health maintenance organizations, health care service contractors, etc., for approval.  Includes, but is not limited to:   * Other rate and form filing-related documentation. | **Retain** for 8 years after final approval/disapproval  *or*  withdrawal of filing  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 18-04-69228  Rev. 0 | ***Surplus Lines Affidavits***  Records relating to the certification by surplus lines brokers of compliance with requirements of RCW 48.15.040. | **Retain** for 6 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL OPR |

| * 1. PRE-LICENSE AND CONTINUING EDUCATION   *The activity of monitoring continuing education courses and provider requirements.* | | | |
| --- | --- | --- | --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| 18-04-69220  Rev. 0 | ***Pre-License and Continuing Education – Audit Files***  Records relating to the audits performed on providers for pre-licensing and continuing education regarding licensing and examinations.  Includes, but is not limited to:   * Notifications and audit reports; * Compliance documentation submitted by licensees. | **Retain** for 3 years after audit completed  *then*  **Destroy**. | NON-ARCHIVAL  **ESSENTIAL**  **(for Disaster Recovery)**  OPR |
| 18-04-69221  Rev. 0 | ***Pre-License and Continuing Education Courses and Providers – Approved***  Records relating to the review and approval of pre-licensing and continuing education courses and course providers to provide education and instruction on the various licenses required by the state.  Includes, but is not limited to:   * Applications and provider/course approvals; * Supporting documentation. | **Retain** for 3 years after course or provider is no longer active  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |
| 18-04-69222  Rev. 0 | ***Pre-License and Continuing Education Courses and Providers – Denied***  Records relating to the review and approval of pre-licensing and continuing education courses and course providers to provide education and instruction on the various licenses required by the state.  Includes, but is not limited to:   * Applications and provider/course approvals; * Supporting documentation. | **Retain** for 1 year after denial  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69223  Rev. 0 | ***Pre-License and Continuing Education – Licensee Participation***  Records relating to licensee participation in the continuous education yearly requirements.  Includes, but is not limited to:   * Registration rosters; * Sign-in sheets and attendance lists. | **Retain** for 4 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OPR |

1. REPORTING

This section covers the activities associated with reporting/notifications submitted to the Office of Insurance Commissioner as required by federal, state, or local statute and where not covered by a more specific records series.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND**  **DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 18-04-69229  Rev. 0 | ***Independent Review Organization (IRO)***  Records relating to the reporting of Independent Review Organization (IRO) decisions whether filed by the IRO or the health carrier.  Excludes IRO registration records covered by *Licensing – Regulated Entities (Companies) (DAN 18-04-69218).* | **Retain** for 10 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69230  Rev. 0 | ***Insurance Fair Conduct Act (IFCA) Notices***  Records relating to copies of notification of an IFCA lawsuit to an insurance company for an unreasonable denial of a claim as required by RCW 48.30.015.  *Note: The agency maintains a log of IFCA notices received by the agency over the past 6 years.* | **Retain** for 1 year after receipt of notification  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69231  Rev. 0 | ***Medical Malpractice Reports***  Records relating to the medical malpractice closed claims and lawsuit settlement data required to be reported under chapter 48.140 RCW.  Excludes Office of the Insurance Commissioner’s annual medical malpractice reports to the legislature required by RCW 48.140.050, covered by *Reporting to External Agencies (Mandatory) (DAN GS 19004)*. | **Retain** for 20 years after end of calendar year  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69232  Rev. 0 | ***Ongoing Analysis and Monitoring Reports***  Records relating to regulated and unregulated entities that provide reports and information for the analysis, monitoring and tracking of entity behavior and industry trends.  Includes but is not limited to:   * Medicare supplement reports; * Special liability reports; * Network access reports; * Long term care reports; * Experience reports; * Statistical plans.   Excludes records covered by *Required Reporting – Informational* (DAN 18-04-69233). | **Retain** for 8 years after receipt  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |
| 18-04-69233  Rev. 0 | ***Required Reporting – Informational***  Reports submitted to the OIC as required under title 48. These reports are received in accordance to the statute but are not used for the conduct of business by the OIC.  Includes but is not limited to:   * Anti-Fraud reports; * Annual certification reports; * Life insurance illustrations; * Title escrow fee schedules; * Other required reporting where OIC is required to receive reports but not take any actions.   Excludes records covered by *Ongoing Analysis and Monitoring Reports (DAN 18-04-69232).* | **Retain** until no longer needed for agency business  *then*  **Destroy**. | NON-ARCHIVAL  NON-ESSENTIAL  OFM |

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** |
| ***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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