

This schedule applies to: Department of Enterprise Services

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Enterprise Services relating to the unique functions of centralized services, including capital projects, state facility management, contract administration, human resources, motor pool, risk management and training. 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 designation 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 Enterprise Services (and its predecessor agencies) are revoked. The Department of Enterprise Services 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, 2016

Signature on File

**For the State Auditor:
Cindy Evans**

Signature on File

**For the Attorney General:
Isaac Williamson**

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**For the Office of Financial Management:
Shane Hamlin**

Signature on File

**The State Archivist:
Steve Excell**

REVISION HISTORY

| Version | Date of Approval | Extent of Revision |
|---------|-------------------|---|
| 1.0 | October 5, 2011 | Consolidation of all existing disposition authorities (with some minor revisions) relating to the functions and activities of the former Department of General Administration, the former Department of Printing, the former Department of Information Services, the former Department of Personnel and the Office of Financial Management that were transferred to the new Department of Enterprise Services on October 1, 2011. |
| 1.1 | September 5, 2012 | Elimination of the Recruitment Services section. |
| 1.2 | December 4, 2013 | Minor revisions to the Contracts and Purchasing Records and the Employee Assistance Program sections. |
| 1.3 | September 2, 2015 | Elimination of the Information Technology Systems and Services section following the transfer of functions and activities from the Department of Enterprise Services to Consolidated Technology Services on July 1, 2015. |
| 2.0 | December 7, 2016 | Major revision of entire schedule to eliminate records series better covered by the <i>State Government General Records Retention Schedule v.6.0 (June 2016)</i> and other minor revisions throughout the schedule. |

For assistance and advice in applying this records retention schedule,
please contact the Department of Enterprise Services' Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

TABLE OF CONTENTS

| | | |
|----|---------------------------------------|----|
| 1. | ACQUISITION MANAGEMENT | 4 |
| 2. | CAPITOL CAMPUS SERVICES..... | 6 |
| 3. | PERSONNEL AND EMPLOYEE SERVICES | 8 |
| 4. | RISK MANAGEMENT SERVICES..... | 9 |
| 5. | LEGACY RECORDS | 11 |
| | GLOSSARY | 12 |
| | INDEXES | 15 |

1. ACQUISITION MANAGEMENT

This section covers records relating to managing the coordination of acquisition/procurement of services, supplies and equipment by state agencies which are not covered by the *State Government General Records Retention Schedule*.

See *State Government General Records Retention Schedule* for additional records relating to contracts and purchasing.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|--|--|--------------------------------------|
| 13-12-68479 Rev. 0 | <p>Contractor Debarment Investigations Records of investigations conducted involving a contractor and affiliates. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Correspondence, notes and memoranda used as part of an investigation; • Referrals and dismissal of referral; • Notifications; • Resolution documents not rising to the level of a debarment order; • Case-specific sharing information agreements between the department and other agencies, state or federal; • Notice of recommendation of debarment; • Hearing transcript; • Final decisions and orders. | <p>Retain for 6 years after case closed and appeal period expired <i>or</i> final legal action, <i>whichever is later</i> <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|--|--|---|
| 11-10-62853 Rev. 1 | <p>Vendor Protests / Appeals</p> <p>Records relating to vendor participation regarding requests for services or the competitive bidding process/awards of contracts. This includes vendor disputes or protests of agency acquisitions.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Vendor initial claim to dispute or protest; • Agency response/reply; • Supporting documentation; • Any appeals to outcome/decision. | <p>Retain for 6 years after final disposition of protest / appeal <i>then</i> Destroy.</p> | <p>NON-ARCHIVAL NON-ESSENTIAL OFM</p> |

2. CAPITOL CAMPUS SERVICES

This section covers records relating to the management of events and activities held in the public areas of the Capitol Campus.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|--|--|---|
| 11-10-62864 Rev. 1 | <p><i>Visitor Services and Events – Routine</i></p> <p>Records of the administration of scheduled tours and events held on the Capitol Campus, Capitol Lake or other locations administered by Department of Enterprise Services.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Tour and event requests; • Tour/event information, maps and other related records. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Advertising and Promotion (DAN GS 05006);</i> • <i>Media Releases and Coverage (DAN GS 05003);</i> • <i>Visitor Services and Events – Significant (DAN 11-10-62865).</i> | <p>Retain for 3 years after event <i>then</i> Destroy.</p> | <p>NON-ARCHIVAL NON-ESSENTIAL OFM</p> |

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|---|---|---|
| 11-10-62865 Rev. 1 | <p>Visitor Services and Events – Significant</p> <p>Records of the administration of scheduled tours and special events held on the Capitol Campus, Capitol Lake or other locations administered by Department of Enterprise Services that involve VIP’s such as elected officials, visiting dignitaries, distinguished persons and events of historic significance.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Tour and event requests; • Event information, maps, and other related records <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Advertising and Promotion (DAN GS 05006);</i> • <i>Celebrations/Ceremonies/Events – Significant (DAN GS 05009);</i> • <i>Media Releases and Coverage (DAN GS 05003);</i> • <i>Visitor Services and Events – Routine (DAN 11-10-62864).</i> | <p>Retain for 3 years after event <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p> | <p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p> |

3. PERSONNEL AND EMPLOYEE SERVICES

This section covers records relating to the provision of personnel and employee services to state agencies.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|--|--|---|
| 11-10-62871 Rev. 2 | <p><i>Employee Assistance Program (EAP) Case Files</i></p> <p>Records relating to confidential individual client case files associated with the state’s program offering employees assistance in resolving personal and workplace issues.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Intake information; • Assessments; • Referrals; • Workplace consultations. | <p>Retain for 8 years after case closed <i>then</i> Destroy.</p> | <p>NON-ARCHIVAL NON-ESSENTIAL OPR</p> |

4. RISK MANAGEMENT SERVICES

This section covers records relating to the provision of comprehensive risk management services for state and local government agencies.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|--|--|---|
| 11-10-62881 Rev. 1 | <p>Claim Files</p> <p>Records relating to tort, sundry or loss claims filed against the state of Washington (RCW 4.92.100) and claims or losses filed with commercial insurance carriers.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Claim or report of loss information, forms and supporting documentation; • Investigations; • Summary reports related to risk exposure and potential state liability. | <p>Retain for 6 years after final resolution of claim (including appeals)</p> <p><i>then</i></p> <p>Destroy.</p> | NON-ARCHIVAL ESSENTIAL OPR |
| 11-10-62887 Rev. 1 | <p>Insurance Coverage</p> <p>Records relating to the commercial and self-insurance policies of coverage of property, casualty and accident insurance for state agency liability and/or losses.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Insurance certificates, policies and bonds; • Supporting documentation and underwriting information. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Contracts and Agreements (DAN GS 01050);</i> • <i>Financial Transactions – General (DAN GS 01001).</i> | <p>Retain for 6 years after calendar year of policy expiration</p> <p><i>then</i></p> <p>Destroy.</p> | NON-ARCHIVAL ESSENTIAL OPR |

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|--|--|--------------------------------------|
| 11-10-62888 Rev. 1 | <p>Local Government Self-Insurance</p> <p>Records relating to the administration and support for local government self-insurance coverage for property, liability and medical benefits.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Initial filing and request for coverage; • Program description; • Actuarial and feasibility studies specific to coverage; • Approval and certificates for self-insurance. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Contracts and Agreements (DAN GS 01050);</i> • <i>Financial Transactions – General (DAN GS 01001).</i> | <p>Retain for 6 years after termination of coverage <i>or</i> 6 years after withdrawal from participation, <i>whichever is sooner</i> <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 11-10-62889 Rev. 1 | <p>Loss Prevention</p> <p>Records related to loss prevention and the review and activities to reduce liability exposure and safeguarding state assets as required by RCW 43.19.781.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Consultations, guidelines and manuals; • Treatment plans; • Risk registers and assessments. <p>Excludes published final reports covered by <i>State Publications (DAN GS 15008).</i></p> | <p>Retain for 6 years after review/assessment/plan completed <i>then</i> Destroy.</p> | NON-ARCHIVAL NON-ESSENTIAL OPR |

5. LEGACY RECORDS

This section covers records no longer being created or received by the Department of Enterprise Services (or any predecessor agencies) which have yet to reach their minimum retention period.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
|------------------------------------|---|--|--|
| 11-10-62894 Rev. 0 | <p><i>Manville Trust Files</i> Documentation pertaining to asbestos property damage claims filed by the State of Washington against the trust pursuant to proceedings for a reorganization under Chapter 11. (Case Nos. 82B11656 (BRL) – 82B11676 Facilities).</p> | <p>Retain for 40 years after filing claim <i>then</i> Transfer to Washington State Archives for permanent retention.</p> | <p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM</p> |

GLOSSARY

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.

INDEXES

INDEX: ARCHIVAL RECORDS

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

CAPITOL CAMPUS SERVICES
 Visitor Services and Events – Significant 7

LEGACY RECORDS
 Manville Trust Files 11

INDEX: ESSENTIAL RECORDS

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

RISK MANAGEMENT SERVICES
 Claim Files 9
 Insurance Policies 9

INDEX: DISPOSITION AUTHORITY NUMBERS (DANS)

| | | | |
|--------------------|--------------------|---------------------|--------------------|
| 11-10-62853..... 5 | 11-10-62871..... 8 | 11-10-62888..... 10 | 13-12-68479..... 4 |
| 11-10-62864..... 6 | 11-10-62881..... 9 | 11-10-62889..... 10 | |
| 11-10-62865..... 7 | 11-10-62887..... 9 | 11-10-62894..... 11 | |

INDEX: SUBJECTS

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

A

audits *see SGGRRS*

B

backups *see SGGRRS*
 bids (contracts) *see also SGGRRS*
 bills (legislation) *see SGGRRS*
 budgets *see SGGRRS*

C

claim files (risk management) 9
 complaints *see SGGRRS*
 contracts *see also SGGRRS*
 debarment 4

D

debarment (contractors) 4

E

events and tours-routine 6
 events and tours-significant 7

F

facilities *see also SGGRRS*
 financial reports *see also SGGRRS*
 fleet *see also SGGRRS*

G

grants *see also SGGRRS*
 grievances *see SGGRRS*

H

human resources *see SGGRRS*

I

information systems *see SGGRRS*

insurance

 policies/self-insurance (local governments)... 9, 10
 investigations
 contractor debarments 4

L

leases *see also SGGRRS*
 leave *see SGGRRS*
 local government self-insurance 10
 loss claims 9
 loss prevention review 10

M

Manville Trust files 11
 meetings *see SGGRRS*
 motor vehicles *see also SGGRRS*

P

payroll *see also SGGRRS*
 personnel *see SGGRRS*
 planning *see also SGGRRS*
 plans (drawings) *see also SGGRRS*
 policies *see also SGGRRS*

insurance 9
procedures *see SGGRRS*
public disclosure *see SGGRRS*
public records requests..... *see SGGRRS*
purchasing.....*see also SGGRRS*

R

records management..... *see SGGRRS*
recruitment..... *see SGGRRS*

S

self-insurance coverage (local governments) 10
sundry claims 9

T

timesheets *see SGGRRS*
tort claims9, *see also SGGRRS*

training.....*see also SGGRRS*
travel..... *see SGGRRS*

V

vehicles*see also SGGRRS*
vendor appeals..... 5
vendor protests..... 5
visitor services and events-routine 6
visitor services and events-significant 7