This schedule applies to: **Office of the State Treasurer**

**Scope of records retention schedule**
This records retention schedule authorizes the destruction/transfer of the public records of the Office of the State Treasurer relating to the unique functions of providing banking services for state agencies, secure investments of state money, financing of major state and local equipment purchases and capital projects, and accounting services providing transparency and fiscal responsibility of tax dollars for the public. 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 Office of the State Treasurer are revoked. The Office of the State Treasurer 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 October 2, 2019.

<table>
<thead>
<tr>
<th>Signature on File</th>
<th>Signature on File</th>
<th>Signature on File</th>
<th>Signature on File</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For the State Auditor:</strong></td>
<td><strong>For the Attorney General:</strong></td>
<td><strong>For the Office of Financial Management:</strong></td>
<td>The State Archivist:</td>
</tr>
<tr>
<td>Al Rose</td>
<td>Suzanne Becker</td>
<td>Gwen Stamey</td>
<td>Steve Excell</td>
</tr>
</tbody>
</table>
REVISION HISTORY

<table>
<thead>
<tr>
<th>Version</th>
<th>Date of Approval</th>
<th>Extent of Revision</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>September 5, 2012</td>
<td>Consolidation of all existing disposition authorities (with some minor revisions).</td>
</tr>
<tr>
<td>1.1</td>
<td>September 2, 2015</td>
<td>Removal of Cash Management section as all records are now covered by the <em>State Government General Records Retention Schedule</em>.</td>
</tr>
<tr>
<td>1.2</td>
<td>March 1, 2017</td>
<td>Revisions to the Investment Portfolio Management section and other minor revisions.</td>
</tr>
<tr>
<td>1.3</td>
<td>December 6, 2017</td>
<td>Minor revision to the records series <em>Forfeited Property Status Reports</em> in the Forfeited Property section.</td>
</tr>
<tr>
<td>1.4</td>
<td>August 1, 2018</td>
<td>Minor revisions to the Debt Management and Public Deposit Protection sections.</td>
</tr>
<tr>
<td>1.5</td>
<td>October 3, 2018</td>
<td>Minor revision to the Warrants section.</td>
</tr>
<tr>
<td>1.6</td>
<td>February 6, 2019</td>
<td>Minor revisions to the Debt Management section.</td>
</tr>
<tr>
<td>1.7</td>
<td>October 2, 2019</td>
<td>Minor revision to the Warrants section.</td>
</tr>
</tbody>
</table>

For assistance and advice in applying this records retention schedule, please contact the Office of the State Treasurer’s Records Officer or Washington State Archives at:

recordsmanagement@sos.wa.gov
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   1.3 WARRANTS ............................................................................................................................................................................................... 9

2. **INVESTMENT PORTFOLIO MANAGEMENT** ........................................................................................................................................ 12

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1. **FINANCIAL MANAGEMENT – STATE AND LOCAL AGENCIES**

This is the function of managing the financial resources, obligations, and monetary infrastructure of state and local agencies, which includes managing investments and debt.

### 1.1 DEBT MANAGEMENT

This section covers records relating to bond offering activities by the Office of the State Treasurer.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
</table>
| 11-06-62510 Rev. 2                | *Bond Counsel and Financial Advisor Analyses*  
Records documenting the work and research related to policy formulation or used in the development of an offering document and/or offering/issuance of a financing (bonds/financing contracts/other debt obligations).  
Excludes records covered by:  
• Bonds (DAN 08-06-61789);  
• Certificates of Participation (COPs) (DAN 18-08-69286). | Retain for 6 years after issuance of prospectus for financing series or public policy statement completed/rejected then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 19-02-69347 Rev. 0                | *Bond Debt Service*  
Accounting records for Bond retirement and interest that directly support the repayment of bonds. | Retain for 33 years after debt service payment date then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 19-02-69348 Rev. 0                | *Bond Transcripts*  
Official transcripts prepared by bond counsel for bond offerings approved by the State Finance Committee.  
*Note: Records will be marked with the final maturity date of the Bonds.* | Retain for 3 years after final maturity of bonds then Transfer to Washington State Archives for permanent retention. | ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR |
### 1.1 DEBT MANAGEMENT

This section covers records relating to bond offering activities by the Office of the State Treasurer.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
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<th>RETENTION AND DISPOSITION ACTION</th>
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</tr>
</thead>
</table>
| 08-06-61789 Rev. 5                | **Bonds**  
Documentation for bond offerings approved by the State Finance Committee and issued to provide financing for a state agency(s).  
Includes, but is not limited to:  
- Accounting documents relating to the issuance and expenditure of bond proceeds, sizing and final number documents, and working documents that support the issuance of bonds;  
- Accounting records for Bond retirement and interest that directly support the issuance of bonds.  
Excludes State Finance Committee (SFC) records of minutes and resolutions covered by Governing/Executive/Policy-Setting Body Records (DAN GS 10004).  
*Note: Records will be marked with the final maturity date of the Bonds.* | **Retain** for 3 years after final maturity of bonds  
then  
**Destroy.** | NON-ARCHIVAL  
NON-ESSENTIAL OPR |

1. FINANCIAL MANAGEMENT – STATE AND LOCAL AGENCIES
## 1.1 DEBT MANAGEMENT

This section covers records relating to bond offering activities by the Office of the State Treasurer.

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<tr>
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<th>RETENTION AND DISPOSITION ACTION</th>
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</thead>
</table>
| 18-08-69286 Rev. 1                 | **Certificates of Participation (COPs)**
   Documentation for the sale of Certificates of Participation (COPs) approved by the State Finance Committee that provide financing for State agencies, or a pool of participants, that may include both State and Local agencies. Financing may be for equipment and/or real estate.
   Includes, but is not limited to:
   - Documents verifying that equipment or real estate has been purchased and paid for, or provision of invoices to be paid to vendors from the proceeds;
   - Verification documents that local government is in a position to repay their loan;
   - Accounting documents relating to the issuance and expenditure of COP proceeds, sizing and final number documents, and working documents that support the issuance of COPs;
   - Accounting records for retirement and interest that directly support the issuance of COPs.
   - Official transcripts prepared by Certificate Counsel for COP offerings
   Excludes State Finance Committee (SFC) records of minutes and resolutions covered by Governing/Executive/Policy-Setting Body Records (DAN GS 10004).
   Note: Records will be marked with the final maturity date of the COPs. | Retain for 3 years after final maturity of COPs then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 19-02-69349 Rev. 0                 | **COP Debt Service and Paying Agent Fees**
   Accounting records for retirement and interest that directly support the repayment of COPs. | Retain for 28 years after debt service payment date then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
1.1 DEBT MANAGEMENT

This section covers records relating to bond offering activities by the Office of the State Treasurer.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>08-03-61747 Rev. 3</td>
<td><em>School Bond Guarantee Program Applications, Resolutions, Official Statements</em></td>
<td>Retain for 3 years after final maturity date of bonds</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Records relating to School District participation in the State’s School Bond Guarantee Program.</td>
<td>then Destroy.</td>
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<tr>
<td></td>
<td>Includes, but is not limited to:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Original documents from school districts</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Copies of payments of fees</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>• Certificates issued by the Office of the State Treasurer (OST)</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Also included are copies of the Final Official Statement and bond counsel reliance and opinion letter. Records will be marked with the final maturity date of the Bonds.</td>
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<tr>
<td></td>
<td><em>Note: Maturity dates of school bonds vary but are often up to 30 years, plus three years as a guideline for retention in conformance with IRS rules.</em></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 1.2 FORFEITED PROPERTY

This section covers records relating to forfeited property activities by the Office of the State Treasurer.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
</table>
| 97-08-57985 Rev. 2                | **Forfeited Property Status Reports**<br>Provides a record of 10% of the net proceeds from the sale of forfeited property seized by law enforcement agencies. Includes, but is not limited to:  
  - Drug Forfeited Property Status Report: Forfeited property (property that was seized by law enforcement because person(s) had drug violations per RCW 69.50.505);  
  - DUI Vehicle Forfeited Property Status Report: Forfeited vehicles (vehicles that were seized by law enforcement because person(s) was driving while under the influence per RCW 46.61.5058);  
  - Money Laundering Forfeited Property Status Report: For property that was seized by law enforcement because person(s) had money laundering violations per RCW 9A.83.030;  
  - Sexual Exploitation Crimes Forfeited Property Status Report: Forfeited property that was seized by law enforcement because person(s) had violations per RCW 9A.88.150(8)(c);  
  - Property involved in a Felony Status Report: Forfeited property that was seized by law enforcement because person(s) had violations per RCW 10.105.010;  
  - Child Pornography Status Report: Forfeited property that was seized by law enforcement because person(s) had violations per RCW 9.68A.120(10)(a). | Retain for 6 years after end of calendar year then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR |
### 1.3 WARRANTS

This section covers records relating to various warrant activities by the Office of the State Treasurer.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>18-10-69313</td>
<td><strong>Affidavits from Court of Appeal Judges (Salary Warrants)</strong> Affidavits received from Judges of the Court of Appeals in relation to the completion of matters for the purposes of issuing salary warrants in accordance with RCW 2.06.062.</td>
<td>Retain for 6 years after end of fiscal year then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
| 18-10-69313                        | **Authorization for Warrant Release** Provides documentation of instruction from the issuing state agency of how newly issued state Agency Financial Reporting System (AFRS) and Human Resource Management System (HRMS) warrants are distributed.  
Note: May be sent by Campus Mail or employees from an agency authorized to pick up warrants from the Treasurer’s Office. | Retain until obsolete or superseded then Destroy.      | NON-ARCHIVAL NON-ESSENTIAL OPR        |
| 94-12-54779                        | **Cancelled Warrants** Provides documentation and proof of actual amount issued of state disbursements cancelled by state agencies. | Retain for 3 months after cancellation then Destroy.   | NON-ARCHIVAL NON-ESSENTIAL OPR        |
| 98-04-58360                        | **Certification of Warrant Copies** Provides a letter certifying warrant images/copies are a full, true and correct copy of both sides of the original warrant of the Washington State Treasurer's Office to various state agencies for court cases. | Retain for 6 years after date of document then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OPR        |
1.3 WARRANTS

This section covers records relating to various warrant activities by the Office of the State Treasurer.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>83-01-30995 Rev. 1</td>
<td><strong>Forged or Improperly Endorsed State Warrants (Checks)</strong></td>
<td>Retain for 6 years after funds collected or after investigation is completed then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Provides documentation of forgeries and improperly endorsed state warrant claims initiated by the issuing state agency.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Agency letters;</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Letters to and from financial institutions.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>98-04-58366 Rev. 0</td>
<td><strong>Signature Report</strong></td>
<td>Retain for 6 years after date of document then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Provides proof of authorized personnel taking possession of newly issued state warrants.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
1.3  WARRANTS

This section covers records relating to various warrant activities by the Office of the State Treasurer.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
</tr>
</thead>
<tbody>
<tr>
<td>08-02-61715 Rev. 4</td>
<td>Warrants</td>
</tr>
<tr>
<td></td>
<td>Provides documentation of issues initiated by various state agencies. Includes but not limited to:</td>
</tr>
<tr>
<td></td>
<td>• Warrant number;</td>
</tr>
<tr>
<td></td>
<td>• Payee;</td>
</tr>
<tr>
<td></td>
<td>• Dollar amount and issue date;</td>
</tr>
<tr>
<td></td>
<td>• Redeemed Warrant Images.</td>
</tr>
<tr>
<td>Note: Once warrants are either presented for payment (includes images of original warrants), cancelled by the issuing agency or cancelled by Statute of Limitations of 180 days (RCW 43.08.062), their status changes from issued to redeemed (cashed), cancelled or cancelled by statute. Should the payee or legal holder of any warrant drawn against the state treasury fail to present the warrant for payment within one hundred eighty days of the date of its issue or, if registered and drawing interest, within one hundred eighty days of its call, the state treasurer shall enter the same as canceled on the books of his or her office.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Retain for 6 years after date of redemption or 6 years after cancellation by issuing agency or 6 years after statute of limitations has expired then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
</tbody>
</table>
2. INVESTMENT PORTFOLIO MANAGEMENT

This is the function of managing investment portfolios, which includes the Local Government Investment Pool (LGIP), which is a voluntary investment vehicle local governments may participate in to safely invest their funds and to provide competitive investment options for local governments.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>05-06-60896 Rev. 2</td>
<td><strong>Local Government Investment Pool (LGIP) and Other OST Managed Portfolio Files</strong>&lt;br&gt;Documentation of investment pool activities including balances, tracking, reconciliations and all financial transactions relating to the investments made in OST managed portfolios. Includes, but is not limited to:&lt;br&gt;• Reports of portfolio earnings and investments;&lt;br&gt;• Memos to participants describing errors, adjustments, and reconciliations;&lt;br&gt;• Reconciliations of end-of-day cash balances in the bank to the balance in the agency system based on participant &amp; investment activity, and to the balance in the statewide system based on document postings;&lt;br&gt;• Information for all investment transactions for OST managed portfolios, including audit trail for daily investments, earnings summary, portfolio of investments, and fund accounting input;&lt;br&gt;• Information on financial institutions and time certificate of deposit rollovers;&lt;br&gt;• Investment security trades including purchase tickets, sale tickets and broker confirmations;&lt;br&gt;• Tracking and verifications for daily transaction postings;&lt;br&gt;• Any associated fees or charges in relation to transactions.</td>
<td>Retain for 6 years after end of fiscal year then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>05-06-60894 Rev. 0</td>
<td><strong>Local Government Investment Pool Transaction Authorization Forms</strong>&lt;br&gt;Forms indicating authorized personnel for local government investment pool transactions and bank wire information.</td>
<td>Retain for 50 years after end of fiscal year then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td>DISPOSITION AUTHORITY NUMBER (DAN)</td>
<td>DESCRIPTION OF RECORDS</td>
<td>RETENTION AND DISPOSITION ACTION</td>
<td>DESIGNATION</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>-------------------------</td>
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<td>-------------</td>
</tr>
</tbody>
</table>
| 05-06-60929 Rev. 1                | **Multi-Collateral Report**
Term repurchase agreement collateral pricing report printed weekly from custodial bank. Includes, but is not limited to:
- Weekly reports for Accounts 523 and 076. | Retain for 18 months after end of fiscal year then Destroy. | NON-ARCHIVAL NON-ESSENTIAL OFM |
3. PUBLIC DEPOSIT PROTECTION

This section covers the regulation and enforcement for financial institutions holding state funds.

<table>
<thead>
<tr>
<th>DISPOSITION AUTHORITY NUMBER (DAN)</th>
<th>DESCRIPTION OF RECORDS</th>
<th>RETENTION AND DISPOSITION ACTION</th>
<th>DESIGNATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>86-06-36801 Rev. 2</td>
<td><strong>Qualified Financial Institutions Deposit Protection</strong></td>
<td>Retain for 7 years after end of fiscal year then Destroy.</td>
<td>NON-ARCHIVAL NON-ESSENTIAL OPR</td>
</tr>
<tr>
<td></td>
<td>Provides documentation of collateral records and related correspondence filed individually by qualified financial institutions regarding public funds deposited in public depositaries to protect against loss.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Includes, but is not limited to:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Investment deposits;</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Accrued interest.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Note:</strong> Oversight by the Public Deposit Protection Commission as per chapter 39.58 RCW.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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.

OPR (Official Public Records)
Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.

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

ARCHIVAL RECORDS INDEX

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

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Debt Management
Bond Transcripts ............................................................................................................................................... 4

ESSENTIAL RECORDS INDEX

See the State Government General Records Retention Schedule for “Essential” records.

DISPOSITION AUTHORITY NUMBERS (DAN’S) INDEX

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<thead>
<tr>
<th>DAN’S INDEX</th>
<th>Retention</th>
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</thead>
<tbody>
<tr>
<td>05-06-60894</td>
<td>12</td>
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<tr>
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<td>05-06-60929</td>
<td>13</td>
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<td>08-02-61715</td>
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<tr>
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<td>83-01-30995</td>
<td>10</td>
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