

This schedule applies to: Public Disclosure Commission

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Public Disclosure Commission relating to the unique functions of provides equitable enforcement of Washington State’s disclosure and campaign finance laws and requirements. 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 Public Disclosure Commission are revoked. The Public Disclosure Commission 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 March 2, 2016.

Signature on File

**For the State Auditor:
Cindy Evans**

Signature on File

**For the Attorney General:
Isaac Williamson**

Signature on File

**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	March 2, 2015	Consolidation of all existing disposition authorities.

For assistance and advice in applying this records retention schedule,
please contact the Public Disclosure Commission's Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. DISCLOSURE REPORTS AND ADVICE

This section covers records relating to lobbying and campaign finance reports received and technical advice and assistance provided by the Commission.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68957 Rev. 0	<p>Disclosure Reports Reports received documenting the activities and finances of lobbying and campaigning as required under Campaign Disclosure and Contribution chapter RCW 42.17A and Title 390 WAC Public Disclosure Commission.</p> <p>Includes, but is not limited to:</p> <p>Lobbying</p> <ul style="list-style-type: none"> • L-1 Lobbyist Registration; • L-1 Lobbyist ID Page; • L-2 Lobbyist Expense Report; • L-2 Memo Report; • L-3 Lobbyist Employer's Report; • L-3c Special Contributions Report; • L-5 Lobbying by State and Local Government Agencies; • L-6 Grass Roots Lobbying; • L-7 Employers of State Legislators, State Officers or State Employees. <p>Campaign Finance</p> <ul style="list-style-type: none"> • C-1 Candidate Registration; • C-1pc Political Committee Registration; • C-3 Cash Receipts; • Au Attachment Auction Report; • E Earmarked Contribution; 	<p>Retain for 10 years after date report received <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
Continued next page	Continued next page	Continued next page	Continued next page

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68957 Rev. 0 <i>Continued from previous page</i>	<p style="text-align: center;"><i>Continued from previous page</i></p> <ul style="list-style-type: none"> • C-4 Summary, Full Report; • C-5 Out of State Committee Contribution to Washington Candidates or Committees; • C-6 Independent Expenditures and Electioneering Communications. <p>Personal Financial Affairs Statements</p> <ul style="list-style-type: none"> • F-1 Personal Financial Affairs Statement; • F-1A Personal Financial Affairs Statement Short Form; • F-1 Modification. <p>Other</p> <ul style="list-style-type: none"> • T-1 Public Treasurer’s Annual Report; • C-7 Special Political Expenditures. <p><i>Note: Paper records which have been imaged may be destroyed in accordance with Source Records – Imaged (Non-Archival) (DAN GS 11012).</i></p>	<p style="text-align: center;"><i>Continued from previous page</i></p>	<p style="text-align: center;"><i>Continued from previous page</i></p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68958 Rev. 0	<p><i>Election Reports</i></p> <p>Lists and forms received from other jurisdictions (such as County Auditors, etc.) that support the election processes. These lists and forms determine which reporting series candidates would file, the current office holders (elected or appointed) that need to file the Annual Financial Affairs Statement and lists of candidates for the current year’s election.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Annual Officials List (jurisdiction sheets) which contains names, address, and related information on current office holders (elected and appointed) at all levels in the state; • Registered Voters List or Count which records the number of registered voters in each jurisdiction in the state reported by county auditors; • Declaration of Candidacy which contains names, address and related information on candidates for local and state office received from county and state election officials. <p>Excludes records covered by <i>Disclosure Reports (DAN 16-03-68957)</i>.</p> <p><i>Note: Paper records which have been imaged may be destroyed in accordance with Source Records – Imaged (Non-Archival) (DAN GS 11012).</i></p>	<p>Retain until superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
16-03-68960 Rev. 0	<p><i>Technical Advice and Assistance</i></p> <p>Records relating to advice, assistance and guidance given by staff on campaign finance reporting, lobbying reporting, rules, policy, procedures, and Commission interpretations to individuals required to file reports in compliance with RCW 42.17A.</p>	<p>Retain for 6 years after date advice given <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

2. ENFORCEMENT

This section covers records relating to timely and impartial investigations of complaints of alleged violations of campaign finance and disclosure laws and rules according to Chapter 42.17A RCW.

2.1 INVESTIGATIONS			
<i>The activity of performing investigations and audits supporting the equitable enforcement of disclosure and campaign finance laws.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68953 Rev. 0	<p><i>Audits and Investigations – Notorious/Historically Significant</i></p> <p>Records documenting the official resultant findings of audits and investigations which are highly significant to the state’s disclosure and campaign finance requirements. Cases involved may have set a legal precedent, laws or legislation were changed or modified as a result, or parties involved had public notoriety and a high level of media coverage.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Initial complaints, inquiries, 45 Day Citizen Action Requests and charges; • Reports to Commission; • Dismissals or referrals to the Office of the Attorney General; • Orders containing findings of fact, violations and/or penalty. 	<p>Retain for 6 years after completion of audit/investigation</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
16-03-68954 Rev. 0	<p><i>Audits and Investigations – Routine</i></p> <p>Records documenting the official resultant findings of routine audits and investigations carried out by the Commission, including Brief Enforcement Hearings.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Initial complaints, inquiries, 45 Day Citizen Action Requests and charges; • Reports to Commission; • Dismissals or referrals to the Office of the Attorney General; • Orders containing findings of fact, violations and/or penalty. 	<p>Retain for 6 years after completion of audit/investigation</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

2.1 INVESTIGATIONS

The activity of performing investigations and audits supporting the equitable enforcement of disclosure and campaign finance laws.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68955 Rev. 0	<p>Audits and Investigations – Working Files</p> <p>Records relating to audit and investigative documentation gathered and procedures used for public inquiries and during the course of audits, and investigations and reviews. Includes methods and criteria used and work performed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Routine correspondence/communications; • Copies of records/data obtained from other agencies; • Extractions from databases; • Other documentation <i>NOT</i> required for evidence and the completion of the audit or investigation or needed to support exceptions. <p>Excludes:</p> <ul style="list-style-type: none"> • Other types of records with minimal retention value covered by the <i>State Government General Records Retention Schedule</i>. • Excludes the final report/conclusions and findings covered by <i>Audits and Investigations – Routine (DAN 16-03-68954)</i> or <i>Audits and Investigations – Notorious/Historically Significant (DAN 16-03-68953)</i>. 	<p>Retain for 1 year after the completion of audit or investigation</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
16-03-68956 Rev. 0	<p>Complaints – Unfounded</p> <p>Records relating to complaints received against persons under agency jurisdiction that are uncertified, unfounded or frivolous, without merit, and contain insufficient evidence to proceed. Includes complaints that are not under the Commission’s jurisdiction as described in WAC 390-37-060(1)(a).</p> <p><i>Note: Complaints leading to preliminary or formal investigations become part of the investigative files.</i></p>	<p>Retain for 1 year after completion of review</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

2.1 INVESTIGATIONS

The activity of performing investigations and audits supporting the equitable enforcement of disclosure and campaign finance laws.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68959 Rev. 0	<p><i>Investigations – Complaint Returns and Alternative Response</i></p> <p>Records relating to investigations where an administrative level of review of allegations/complaints occurs, and a complaint is returned or an alternative response is given in lieu of an enforcement action.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Complaints returned based on substantial compliance; • Administratively closed group enforcement cases; • Alternative responses in lieu of enforcement provided for in WAC 390-37-060; • Fair Campaign Practices Code complaints. 	<p>Retain for 6 years after completion of review</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL 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.

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(As of March 2016 – Public Disclosure Commission has not completed its Essential Records Designations)

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