

## **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 February 6, 2019.

*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	March 2, 2016	Consolidation of all existing disposition authorities.
1.1	February 6, 2019	Minor revisions throughout the schedule.

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

**TABLE OF CONTENTS**

**1. DISCLOSURE REPORTS AND ADVICE .....4**

**2. ENFORCEMENT .....8**

    2.1 INVESTIGATIONS ..... 8

**GLOSSARY ..... 11**

**INDEXES ..... 14**

## 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. 1	<p><b>Disclosure Reports</b></p> <p>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><b>Lobbying</b></p> <ul style="list-style-type: none"> <li>• L-1 Lobbyist Registration;</li> <li>• L-1 Lobbyist ID Page;</li> <li>• L-2 Lobbyist Expense Report;</li> <li>• L-2 Memo Report;</li> <li>• L-3 Lobbyist Employer's Report;</li> <li>• L-3c Special Contributions Report;</li> <li>• L-5 Lobbying by State and Local Government Agencies;</li> <li>• L-6 Grass Roots Lobbying;</li> <li>• L-7 Employers of State Legislators, State Officers or State Employees.</li> </ul> <p><b>Campaign Finance</b></p> <ul style="list-style-type: none"> <li>• C-1 Candidate Registration;</li> <li>• C-1pc Political Committee Registration;</li> <li>• C-3 Cash Receipts;</li> <li>• Au Attachment Auction Report;</li> <li>• E Earmarked Contribution;</li> </ul>	<p><b>Retain</b> for 10 years after date report received <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.</p>	<p><b>ARCHIVAL</b> (Permanent Retention) <b>ESSENTIAL</b> (for Disaster Recovery) OPR</p>
<i>Continued next page</i>	<i>Continued next page</i>	<i>Continued next page</i>	<i>Continued next page</i>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68957 Rev. 1 <i>Continued from previous page</i>	<p><i>Continued from previous page</i></p> <ul style="list-style-type: none"> <li>• C-4 Summary, Full Report;</li> <li>• C-5 Out of State Committee Contribution to Washington Candidates or Committees;</li> <li>• C-6 Independent Expenditures and Electioneering Communications.</li> </ul> <p><b>Personal Financial Affairs Statements</b></p> <ul style="list-style-type: none"> <li>• F-1 Personal Financial Affairs Statement;</li> <li>• F-1A Personal Financial Affairs Statement Short Form;</li> <li>• F-1 Modification.</li> </ul> <p><b>Other</b></p> <ul style="list-style-type: none"> <li>• T-1 Public Treasurer's Annual Report;</li> <li>• C-7 Special Political Expenditures.</li> </ul>	<i>Continued from previous page</i>	<i>Continued from previous page</i>
19-02-69343 Rev. 0	<p><b><i>Disclosure Reports – Paper Records that have been Imaged</i></b></p> <p>Paper-based source records filed with the Public Disclosure Commission, that have been imaged, provided that:</p> <ul style="list-style-type: none"> <li>• Source records have been imaged in accordance with Washington State Archives' Requirements for the <i>Destruction of Non-Archival Paper Records after Imaging</i>; and</li> <li>• Digital images of the Disclosure Reports have been retained in accordance with <i>Disclosure Reports (DAN 16-03-68957)</i>.</li> </ul>	<p><b>Retain</b> until verification of successful conversion <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68958 Rev. 0	<p><b>Election Reports</b></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"> <li>• 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;</li> <li>• Registered Voters List or Count which records the number of registered voters in each jurisdiction in the state reported by county auditors;</li> <li>• Declaration of Candidacy which contains names, address and related information on candidates for local and state office received from county and state election officials.</li> </ul> <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><b>Retain</b> until superseded <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
19-02-69344 Rev. 0	<p><b>Federal Election Commission (FEC) Reports</b></p> <p>Disclosure Reports that are received by the Public Disclosure Commission in accordance to Title I of the Ethics in Government Act of 1978, as amended (5 U.S.C. app. 4, Sec 101 et seq.), requires candidates for the U.S. House of Representative and U.S. Senate and other Members of Congress to file disclosure reports, and requires the Clerk to send copies of the financial disclosure statements who filed paper statements to the appropriate State Officer designated under the Federal Election Campaign Act.</p>	<p><b>Retain</b> for 2 years end of calendar year <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68960 Rev. 0	<b><i>Technical Advice and Assistance</i></b> 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.	<b>Retain</b> for 6 years after date advice given <i>then</i> <b>Destroy.</b>	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

*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
16-03-68953 Rev. 0	<p><b><i>Audits and Investigations – Notorious/Historically Significant</i></b></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"> <li>• Initial complaints, inquiries, 45 Day Citizen Action Requests and charges;</li> <li>• Reports to Commission;</li> <li>• Dismissals or referrals to the Office of the Attorney General;</li> <li>• Orders containing findings of fact, violations and/or penalty.</li> </ul>	<p><b>Retain</b> for 6 years after completion of audit/investigation <i>then</i> <b>Transfer</b> to Washington State Archives for permanent retention.</p>	<p><b>ARCHIVAL</b> (Permanent Retention) NON-ESSENTIAL OPR</p>
16-03-68954 Rev. 0	<p><b><i>Audits and Investigations – Routine</i></b></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"> <li>• Initial complaints, inquiries, 45 Day Citizen Action Requests and charges;</li> <li>• Reports to Commission;</li> <li>• Dismissals or referrals to the Office of the Attorney General;</li> <li>• Orders containing findings of fact, violations and/or penalty.</li> </ul>	<p><b>Retain</b> for 6 years after completion of audit/investigation <i>then</i> <b>Destroy.</b></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><b><i>Audits and Investigations – Working Files</i></b></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"> <li>• Routine correspondence/communications;</li> <li>• Copies of records/data obtained from other agencies;</li> <li>• Extractions from databases;</li> <li>• Other documentation <i>NOT</i> required for evidence and the completion of the audit or investigation or needed to support exceptions.</li> </ul> <p>Excludes:</p> <ul style="list-style-type: none"> <li>• Other types of records with minimal retention value covered by the <i>State Government General Records Retention Schedule</i>.</li> <li>• 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>.</li> </ul>	<p><b>Retain</b> for 1 year after the completion of audit or investigation</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR
16-03-68956 Rev. 0	<p><b><i>Complaints – Unfounded</i></b></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><b>Retain</b> for 1 year after completion of review</p> <p><i>then</i></p> <p><b>Destroy.</b></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><b><i>Investigations – Complaint Returns and Alternative Response</i></b></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"> <li>• Complaints returned based on substantial compliance;</li> <li>• Administratively closed group enforcement cases;</li> <li>• Alternative responses in lieu of enforcement provided for in WAC 390-37-060;</li> <li>• Fair Campaign Practices Code complaints.</li> </ul>	<p><b>Retain</b> for 6 years after completion of review <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM

## 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**

**ARCHIVAL RECORDS INDEX**

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

DISCLOSURE REPORTS AND ADVICE  
    Disclosure Reports..... 4

ENFORCEMENT  
    Investigations  
        Audits and Investigations – Notorious/Historically Significant ..... 8

**ESSENTIAL RECORDS INDEX**

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

DISCLOSURE REPORTS AND ADVICE  
    Disclosure Reports..... 4

**DISPOSITION AUTHORITY NUMBERS (DAN’S) INDEX**

16-03-68953..... 8	16-03-68956..... 9	16-03-68959..... 10	19-02-69344..... 6
16-03-68954..... 8	16-03-68957..... 4, 5	16-03-68960..... 7	
16-03-68955..... 9	16-03-68958..... 6	19-02-69343..... 5	

## SUBJECT INDEX

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

### A

advice and assistance..... 7  
agreements ..... *see SGGRRS*  
asset management..... *see SGGRRS*  
audits ..... *see SGGRRS*  
audits and investigations – notorious/historically  
    significant ..... 8  
audits and investigations – routine..... 8  
audits and investigations – working papers..... 9

### B

backups ..... *see SGGRRS*  
budgeting ..... *see SGGRRS*

### C

complaint returns and alternative response ..... 10  
complaints..... *see SGGRRS*  
complaints - unfounded..... 9  
contracts ..... *see SGGRRS*

### D

disclosure reports ..... 4

### E

elections reporting ..... 6

### F

facilities ..... *see SGGRRS*  
financial records..... *see SGGRRS*

### G

grants ..... *see SGGRRS*  
grievances ..... *see SGGRRS*

### H

human resources ..... *see SGGRRS*

### I

information systems ..... *see SGGRRS*  
investigations –complaint returns and alternative  
    response ..... 10

### L

leave..... *see SGGRRS*  
legal affairs..... *see SGGRRS*

### M

mail services..... *see SGGRRS*  
meetings ..... *see SGGRRS*  
motor vehicles ..... *see SGGRRS*

### N

notorious/historically significant audits and  
    investigations..... 8

### P

payroll ..... *see SGGRRS*  
policies/procedures ..... *see SGGRRS*  
public disclosure ..... *see SGGRRS*  
public records requests..... *see SGGRRS*  
publications..... *see SGGRRS*

---

**R**

records management..... *see SGGRRS*  
reporting - elections..... 6  
reports, disclosure ..... 4  
risk management ..... *see SGGRRS*  
routine audits and investigations ..... 8

---

**S**

security..... *see SGGRRS*

---

**T**

technical advice and assistance ..... 7  
telecommunications ..... *see SGGRRS*

timesheets ..... *see SGGRRS*  
training..... *see SGGRRS*  
transitory records ..... *see SGGRRS*  
travel ..... *see SGGRRS*

---

**V**

vehicles ..... *see SGGRRS*