

## **This schedule applies to: Department of Retirement Systems**

### **Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Retirement Systems relating to the unique functions of State Retirement. 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 Department of Retirement Systems are revoked. The Department of Retirement Systems 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 August 5, 2020.

*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	August 5, 2020	Consolidation of all existing disposition authorities (with some minor revisions).

For assistance and advice in applying this records retention schedule,  
please contact the Department of Retirement System's Records Officer  
or Washington State Archives at:  
[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)

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## 1. EMPLOYER & MEMBER SERVICES

This section covers records relating to the management of member and employer accounts, the tracking of member contributions and entitlements, and the administration of special retirement benefits programs.

1.1 EMPLOYER SERVICES			
<i>The activity of establishing and maintaining employer accounts, collecting member contribution and entitlement data, and monitoring the compliance of employers with Department of Retirement Systems regulations.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-10-49355 Rev. 2	<p><b>Member Contribution Reporting (Transmittal Files)</b></p> <p>Records relating to monthly data on member contributions and entitlements, submitted by employers to calculate retirement benefits for members of Department of Retirement Systems.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Compensation;</li> <li>• Contribution Amounts;</li> <li>• Reported Hours and Days Worked.</li> </ul> <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <li>• <i>Employer Accounts (DAN 92-03-50044);</i></li> <li>• <i>Old Age and Survivors Insurance (OASI) Program Administration (DAN 20-08-69555).</i></li> </ul>	<p><b>Retain</b> for 75 years after end of calendar year</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

**1.1 EMPLOYER SERVICES**

*The activity of establishing and maintaining employer accounts, collecting member contribution and entitlement data, and monitoring the compliance of employers with Department of Retirement Systems regulations.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-03-50044 Rev. 2	<p><b>Employer Accounts</b></p> <p>Records relating to establishing and maintaining employer accounts for Employer Retirement Systems Programs.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Formation Documents, Resolutions, and Questionnaires;</li> <li>• Payroll Cycle, Tax Status, Legal Name and Name Change;</li> <li>• Collective Bargaining Agreements;</li> <li>• Selected Correspondence.</li> </ul> <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <li>• <i>Member Contribution Reporting (Transmittal Files) (DAN 91-10-49355);</i></li> <li>• <i>Old Age and Survivors Insurance (OASI) Program Administration (DAN 20-08-69555).</i></li> </ul>	<p><b>Retain</b> for 75 years after end of calendar year</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

**1.1 EMPLOYER SERVICES**

*The activity of establishing and maintaining employer accounts, collecting member contribution and entitlement data, and monitoring the compliance of employers with Department of Retirement Systems regulations.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-08-69555 Rev. 0	<p><b><i>Old Age and Survivors Insurance (OASI) Program Administration</i></b></p> <p>All documentation pertaining to the Administration of Section 218 of the Social Security Act - Old Age and Survivors Insurance (OASI) Program.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Modifications, Agreements, and Resolutions;</li> <li>• Referendum Information and Dissolutions;</li> <li>• Social Security Coverage Issues and Legal Documentation;</li> <li>• Proof of Legal Name and Name Change;</li> <li>• Selected Correspondence.</li> </ul> <p>Excludes records covered by:</p> <ul style="list-style-type: none"> <li>• <i>Member Contribution Reporting (Transmittal Files) (DAN 91-10-49355);</i></li> <li>• <i>Employer Accounts (DAN 92-03-50044).</i></li> </ul> <p><i>Note: All OASI information must be retained in paper format, including documents received in 2009 from Employment Security when DRS inherited the program.</i></p>	<p><b>Retain</b> for life of the program <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

**1.1 EMPLOYER SERVICES**

*The activity of establishing and maintaining employer accounts, collecting member contribution and entitlement data, and monitoring the compliance of employers with Department of Retirement Systems regulations.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
95-10-56111 Rev. 2	<p><b><i>Employer Audits/Compliance Reviews</i></b> Records relating to Audits/Compliance Reviews of the laws and regulations for the retirement systems administered by the Department of Retirement Systems (DRS). Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Audit Reports &amp; Compliance Reviews;</li> <li>• Report Cover Letter;</li> <li>• Exit Summary; Certification of Corrections; Reference Documentation.</li> </ul> <p>Excludes records covered by <i>Employer Audits/Compliance – Supporting Documentation (DAN 20-08-69556)</i>.</p>	<p><b>Retain</b> for 75 years after end of fiscal year <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OFM
20-08-69556 Rev. 0	<p><b><i>Employer Audits/Compliance – Supporting Documentation</i></b> Records supporting Audits/Compliance Reviews for the retirement systems administered by the Department of Retirement Systems (DRS). Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Employer documents reviewed for compliance;</li> <li>• Working papers related to Compliance Reviews.</li> </ul> <p>Excludes records covered by <i>Employer Audits/Compliance Reports (DAN 95-10-56111)</i>.</p>	<p><b>Retain</b> for 10 years after end of fiscal year <i>then</i> <b>Destroy.</b></p>	NON-ARCHIVAL <b>ESSENTIAL</b> (for Disaster Recovery) OPR

## 1.2 RETIREMENT SERVICES

*The activity of establishing and maintaining member accounts, determining eligibility, and arranging the distribution of benefits.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
81-05-27794 Rev. 3	<p><b><i>Benefits Enrollment and Participation Files</i></b></p> <p>Records relating to various retirement benefit programs and services offered to eligible state employees.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Application for Enrollment and/or Participation; Disability Applications; Contribution Records;</li> <li>• Determinations of Eligibility;</li> <li>• Distribution and/or Benefit Payment Information;</li> <li>• Beneficiary Designation Information;</li> <li>• Deduction Information;</li> <li>• Warrant Information;</li> <li>• Information related to Hours Worked, Financial Statement;</li> <li>• Legal Documentation;</li> <li>• Claims and Proof of Death Information;</li> <li>• Folder Auditing Information; Related Correspondence; Communications; Documents to Benefit Plan.</li> </ul> <p><i>Note: The Employee Retirement Income Security Act of 1974 ("ERISA") is not applicable to a qualified governmental pension plan, but does include some specific statutes of limitations. Such ERISA provisions, where they exist, were used as guidelines in the absence of other direct guidance.</i></p>	<p><b>Retain</b> for 7 years after all benefits obligations regarding the participant or beneficiary have been satisfied</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



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

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