

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 December 2, 2020.

Signature on File

**For the State Auditor:
Al Rose**

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**For the Attorney General:
Suzanne Becker**

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**For the Office of Financial Management:
Gwen Stamey**

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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.
1.2	December 2, 2020	Minor revisions.

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. 2 <i>Continued next page</i>	<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-1ic Incidental Committee Registration; • C-1pc Political Committee Registration; • C-3 Cash Receipts; • Au Attachment Auction Report; <p><i>Continued next page</i></p>	<p>Retain for 10 years after date report received <i>then</i> Transfer to Washington State Archives for permanent retention. <i>Continued next page</i></p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL (for Disaster Recovery) OPR <i>Continued next page</i></p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68957 Rev. 2 <i>Continued from previous page</i>	<p style="text-align: center;"><i>Continued from previous page</i></p> <ul style="list-style-type: none"> • E Earmarked Contribution; • C-4 Summary, Full Report; • C-5 Out of State Committee Contribution to Washington Candidates or Committees; • C-6 Independent Expenditures and Electioneering Communications. • C-8 Incidental Committee Payments and Political Expenditures. <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 Supplement; • F-1 Attachment; • F-1 Modification Orders. <p>Other</p> <ul style="list-style-type: none"> • T-1 Public Treasurer’s Annual Report; • C-7 Special Political Expenditures. 	<p style="text-align: center;"><i>Continued from previous page</i></p>	<p style="text-align: center;"><i>Continued from previous page</i></p>
19-02-69343 Rev. 0	<p><i>Disclosure Reports – Paper Records that have been Imaged</i></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"> • 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 • Digital images of the Disclosure Reports have been retained in accordance with <i>Disclosure Reports (DAN 16-03-68957)</i>. 	<p>Retain until verification of successful conversion <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

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
19-02-69344 Rev. 0	<p><i>Federal Election Commission (FEC) Reports</i></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>Retain for 2 years end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
16-03-68960 Rev. 0	<p><i>Technical Advice and Assistance</i> 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>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

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. 1	<p>Audits and Investigations – Notorious/Historically Significant</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, responses and relevant attachments/documents, and Citizen Action Notices; • Reports to Commission, charging documents, related exhibits, and stipulations accepted by the Commission; • Referrals to the Office of the Attorney General and other entities; • Orders containing findings of fact, conclusions of law, violations or no violations, and penalty or no penalty. 	<p>Retain for 10 years after completion of audit/investigation</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) 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
16-03-68954 Rev. 1	<p><i>Audits and Investigations – Routine</i></p> <p>Records documenting the official resultant findings of routine audits and investigations (including those that lead to enforcement hearings) carried out by the Commission.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Initial complaints, responses and relevant attachments/documents, and Citizen Action Notices; • Reports to Commission, charging documents, related exhibits, and stipulations accepted by the Commission; • Referrals to the Office of the Attorney General and other entities; • Orders containing findings of fact, conclusions of law, violations or no violations, and penalty or no penalty; • Alternative responses in lieu of enforcement provided for in WAC 390-37-060; • Fair Campaign Practices Code complaints. <p>Excludes records covered by <i>Audits and Investigations – Notorious/Historically Significant (DAN 16-03-68953)</i>.</p>	<p>Retain for 10 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. 1	<p><i>Audits and Investigations – Working Files</i></p> <p>Miscellaneous records relating to audit procedures and investigative documentation that occurs during course of audits, investigations, and reviews.</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; • Any documentation <i>NOT</i> required for evidence and the completion of the audit/investigation, or <i>NOT</i> 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>; • 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

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
16-03-68956 Rev. 1	<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>Excludes the final report/conclusions and findings covered by <i>Audits and Investigations – Routine (DAN 16-03-68954)</i>, <i>Audits and Investigations – Notorious/Historically Significant (DAN 16-03-68953)</i>, or <i>Audits and Investigative – Working Files (DAN 16-03-68955)</i>.</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 <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</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
20-12-69601 Rev. 0	<p>Commission Orders (Order Log) Provides a record of Final Orders issued by the full commission following a hearing. Includes, but not limited to:</p> <ul style="list-style-type: none"> Final Orders containing findings of fact, conclusions of law, violations or no violations, and penalty or no penalty; Stipulations incorporated into Final Order; Final Orders after considering a request for a Review of an Initial Order issued during a Brief Adjudicative Proceeding (BAP); Final Orders after considering a request for a Reconsideration of a Final Order; Final Orders for matters normally heard during a Brief Adjudicative Proceeding (BAP) but heard by the full Commission. <p>Excludes:</p> <ul style="list-style-type: none"> Orders issued granting or denying reporting modification requests covered by <i>Disclosure Reports (DAN 16-03-689957)</i>; Orders issued at Brief Adjudicative Proceedings (BAPs) covered by <i>Audits and Investigations—Notorious/Historically Significant (DAN 16-03-68953)</i> or <i>Audits and Investigations—Routine (DAN 16-03-68954)</i>. 	<p>Retain for 10 years after completion of audit/investigation <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>

GLOSSARY

Appraisal

The process of determining the value and disposition of records based on their administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records.

Archival (Appraisal Required)

Designation for public records that may possess enduring legal and/or historical value and must be appraised by the Archives. Such records are to be evaluated, sampled, and weeded according to archival principles by Archives staff. Records appraised as non-archival may be destroyed after their retention has been met.

Archival (Permanent Retention)

Designation for public records that possess enduring legal and/or historical value and must not be destroyed. State government agencies must transfer these records to the Archives at the end of their minimum retention period. Local government agencies must either transfer these records to the Archives or retain and preserve them according to archival best practice until transferred to the Archives. Other than removing and disposing of duplicates, the Archives will not sample, weed, or otherwise dispose of records with this designation.

Disposition

Actions taken with records when they are no longer required to be retained by an agency. Possible disposition actions include transfer to the Archives and destruction.

Disposition Authority Number (DAN)

Control number for a specific records series in a retention schedule that authorizes a retention period and disposition action for records belonging to that series.

Essential Records

Public records that agencies must have in order to maintain or resume business continuity or to document the legal standing and rights of individuals and organizations. 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 the Archives in accordance with chapter 40.10 RCW. Copies of master indexes, lists, registers, tracking systems, databases, and other finding aids should also be transferred with the records.

Non-Archival

Designation given to public records that do not possess sufficient historical 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 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 not defined and classified as official public records in RCW 40.14.010 and other documents or records as determined by the records committee to be office files and memoranda.

OPR (Official Public Records)

Public records necessary to document transactions relating to public property, public finances, and other agency business, or records determined by the records committee to be official public records.

Public Records

Records that have been created or received by any government agency in Washington State in connection with the transaction of public business regardless of physical form or characteristics.

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 or a number of different types of documents that are filed together to document a specific function.

State Records Committee

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

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