



## **This schedule applies to: Office of Administrative Hearings**

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

This records retention schedule authorizes the destruction/transfer of the public records of the Office of Administrative Hearings relating to the unique functions of resolving appeals to state and local government agency decisions. 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 Office of Administrative Hearings are revoked. The Office of Administrative Hearings 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 4, 2021.

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**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     | June 6, 2018     | Consolidation of all existing disposition authorities (with some minor revisions). |
| 1.1     | August 4, 2021   | Minor revisions.   |

For assistance and advice in applying this records retention schedule,  
please contact the Office of Administrative Hearings' Records Officer

or Washington State Archives at:

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



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## 1. APPEAL PROCEEDINGS

This section covers records relating to the function of resolving appeals to government agency decisions.

| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION                          |
|------------------------------------|--|---|--------------------------------------|
| 18-06-69246<br>Rev. 1              | <p><b><i>Appeal Proceedings</i></b><br/>Records relating to the appeals proceedings conducted by the Office of Administrative Hearings on behalf of the referring agency.<br/>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>Records received from the referring agency (agency referral, hearing request, notice of appeal, agency’s original decision);</li> <li>Pre-hearing documents;</li> <li>Audio recordings;</li> <li>Exhibits, depositions, transcripts, and other documentation essential to making a determination;</li> <li>Orders initial/final.</li> </ul> <p><i>Note: All records from the hearing, whether created by the referring agency or OAH, are returned to the referring agency which holds the official copy. These records are retained by the referring agency in accordance with Litigation Case Files – Routine (DAN GS 18004) and Litigation Case Files – Significant (DAN GS 18009).</i></p> | <p><b>Retain</b> until completion of appeal proceeding<br/><i>then</i><br/><b>Return</b> to referring agency.</p> | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OPR |
| 00-12-59974<br>Rev. 1              | <p><b><i>Reference Copies of Case Documents</i></b><br/>Copies of records from the appeals proceedings used by the Office of Administrative Hearings as reference materials for training, auditing and reporting purposes.<br/>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>Copies of decisions made by the Office of Administrative hearings retained for reference training purposes.</li> </ul> <p>Excludes records covered by <i>Appeal Proceedings (DAN 18-06-69246)</i>.</p>  | <p><b>Retain</b> until no longer needed for agency business<br/><i>then</i><br/><b>Destroy.</b></p>               | NON-ARCHIVAL<br>NON-ESSENTIAL<br>OFM |



| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS   | RETENTION AND DISPOSITION ACTION  | DESIGNATION  |
|------------------------------------|--|---|--|
| 18-06-69247<br>Rev. 0              | <p><b><i>Case Management</i></b></p> <p>Records relating to the management, scheduling, status and tracking of appeals filed with the Office of Administrative Hearings.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"><li>• Records and data within case management systems;</li><li>• Dockets and Schedules.</li></ul> <p>Excludes records covered by:</p> <ul style="list-style-type: none"><li>• <i>Attendance and Leave Records (DAN GS 03030);</i></li><li>• <i>Financial Transactions – General (DAN GS 01001);</i></li><li>• <i>Payroll Register (DAN GS 01060).</i></li></ul> | <p><b>Retain</b> until no longer needed for agency business<br/><i>then</i><br/><b>Destroy.</b></p> | <p>NON-ARCHIVAL<br/><b>ESSENTIAL</b><br/>(for Disaster Recovery)<br/>OFM</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.



### ***Local Records Committee***

Committee established by RCW 40.14.070 to review and approve disposition of local government records through records retention schedules. The Committee's three members include the State Archivist and one representative each from the Office of the Attorney General and the State Auditor.

### ***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.



**INDEXES**

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

**ESSENTIAL RECORDS INDEX**

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

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