



This schedule applies to: Office of the Insurance Commissioner

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Office of the Insurance Commissioner relating to the unique functions of protecting insurance consumers and overseeing the insurance industry. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGRRS)*, 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 the Insurance Commissioner are revoked. The Office of the Insurance Commissioner 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 June 5, 2024.


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REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	April 4, 2018	Consolidation of all existing disposition authorities (with some minor revisions).
1.1	February 6, 2019	Minor revisions to the Applications and Renewals section.
1.2	June 5, 2024	Addition of Balance Billing records series and Network Access Review records series. Minor revisions throughout the schedule.

For assistance and advice in applying this records retention schedule,
please contact the Office of the Insurance Commissioner's Records Officer
or Washington State Archives at:
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1. AGENCY MANAGEMENT

This section covers records relating to overarching management of the agency and its general administration where not covered by the *State Government General Records Retention Schedule*.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69206 Rev. 1	<p><i>Service of Process – Court Documents</i></p> <p>Court documents served on the Insurance Commissioner as appointed attorney for service of process for foreign or alien insurers in accordance with RCW 48.05.200, surplus line insurers in accordance with RCW 48.15.150, nonresident producers, agents, and brokers in accordance with RCW 48.17.173, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Court summons; • Complaints; • Cover letter; • Related communications. <p>Excludes data recorded to track the details of the legal process covered by <i>Service of Process – Service Data (DAN 24-06-69729)</i>.</p> <p><i>Note: Insurance Commissioner acts as the attorney accepting service of all legal documents on behalf of non-domestic insurance companies/licensees, and does nothing further with the records beyond forwarding a copy to the recipient.</i></p>	<p>Retain for 1 year after date of service <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
24-06-69729 Rev. 0	<p><i>Service of Process – Service Data</i></p> <p>Legal procedural data recorded in the Service of Process database in accordance with RCW 48.02.200.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none">• Acceptance date and time;• List of documents served;• Addresses and contact information for parties involved;• Certified/registered mail tracking number for the copy of court documents sent to the person on whose behalf service was accepted. <p>Excludes court documents and related communications served on the Commissioner covered by <i>Service of Process – Court Documents (DAN 18-04-69206)</i>.</p>	<p>Retain for 6 years after date of service <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



2. CONSUMER ADVOCACY AND DISPUTE RESOLUTION

This section covers records relating to giving assistance and protecting consumers of insurance products.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
24-06-69724 Rev. 0	<p>Balance Billing Protection – Arbitration Requests</p> <p>Records relating to the arbitration of balance billing disputes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notification to initiate arbitration; • Communications regarding the selection of an arbitrator; • Reporting of the arbitration decision or other outcome. 	<p>Retain for 6 years after arbitration decision</p> <p><i>or</i></p> <p>other outcome reported</p> <p><i>or</i></p> <p>withdrawal of request</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
24-06-69725 Rev. 0	<p>Balance Billing Protection – Arbitrators</p> <p>Records relating to the submission and review of applications by arbitrators or entities to provide arbitration services for balance billing disputes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Arbitrator applications and supporting materials; • Communications regarding an application or qualifications of an arbitrator. <p><i>Note: The OIC maintains a list of active approved arbitrators, which is updated as necessary.</i></p>	<p>Retain for 3 years after arbitrator becomes inactive or is disapproved</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
24-06-69726 Rev. 0	<p><i>Balance Billing Protection – Self-Funded Group Health Plan Opt-In</i> Records relating to the participation of self-funded group health plans. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Opt-in notification and attestation forms; • Renewals; • Terminations; • Related communications. <p><i>Note: The OIC maintains a list of actively participating self-funded group health plans, which is updated as necessary.</i></p>	<p>Retain for 6 years after end of calendar year in which opt-in expires/participation ends <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
18-04-69207 Rev. 1	<p><i>Beneficiary Contact Records</i> Records relating to the consultation and referrals provided by the Statewide Health Insurance Benefits Advisors (SHIBA) program to beneficiaries concerning benefits and Medicare options. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Medicare complaints and supporting documentation; • Referrals and resolutions of case. 	<p>Retain for 6 years after referral/resolution of case <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69208 Rev. 0	<p>Consumer Complaints</p> <p>Records relating to complaints of consumers against insurance companies and dispute resolution actions taken by agency.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original complaint; • Investigation and research; • Supporting documentation. <p>Excludes:</p> <ul style="list-style-type: none"> • Routine consumer informational inquiries covered by <i>Provision of Advice, Assistance or Information (DAN GS 09022)</i>; • Complaints resulting in an investigation covered by <i>Complaints and Investigations – Regulatory (DAN 18-04-69214)</i> or <i>Complaints and Investigations – Criminal (DAN 18-04-69212)</i>. 	<p>Retain for 6 years after resolution of complaint <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
18-04-69209 Rev. 0	<p>Small Pharmacy Reimbursement Appeals</p> <p>Records relating to appeals by a small pharmacy of a pharmacy benefit manager’s reimbursement decision.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original appeal; • Supporting documentation; • Petitions for Review filed per chapter 34.05 RCW and resolutions of case. <p>Excludes records covered by <i>Administrative Orders – Final (DAN 18-04-69210)</i>.</p>	<p>Retain for 6 years after resolution of case <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



3. ENFORCEMENT

This section covers records relating to the investigations of complaints of alleged violations of the insurance industry laws and rules.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69211 Rev. 0	<p>Adjudicative Hearings</p> <p>Records relating to hearings held pursuant to chapter 48.04 RCW. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Pre-hearing and hearing minutes and transcripts; • Audio or video recordings; • Motions, briefs, orders (non-final), subpoenas; • Other related materials or documentation. <p>Excludes records covered by <i>Administrative Orders – Final (DAN 18-04-69210)</i>. <i>Note: Other divisions collect the fines and administer any penalties.</i></p>	<p>Retain for 6 years after closure of case (including appeals) <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
18-04-69210 Rev. 0	<p>Administrative Orders – Final</p> <p>Final orders issued by the Insurance Commissioner against a licensee or regulated or unregulated entities, or other official action by the Insurance Commissioner, such as an order approving a merger of companies.</p> <p>Excludes orders covered by <i>Examinations and Market Conduct Actions (DAN 18-04-69224)</i>.</p>	<p>Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69212 Rev. 0	<p><i>Complaints and Investigations – Criminal</i></p> <p>Records relating to the investigation of fraud and any other matter referred to the Criminal Investigation Unit potentially leading to referral for agency enforcement or prosecution.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original complaint or referral; • Supporting documentation; • Intake, management and disposition of property as evidence; • Access logs; • Findings of fact; • Referral for prosecution or agency enforcement by Administrative Order. 	<p>Retain for 6 years after resolution of case (including appeals)</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
18-04-69213 Rev. 1	<p><i>Complaints and Investigations – Criminal (Declined)</i></p> <p>Records relating to the investigation of fraud and any other matter referred to and then declined by the Criminal Investigation Unit to pursue any further.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original complaint or referral; • Supporting documentation, such as insurance claim file; • Notification of decision to decline. 	<p>Retain for 3 years after decision to decline</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69214 Rev. 0	<p><i>Complaints and Investigations – Regulatory</i></p> <p>Records relating to consumer or division-referred complaints received against a licensee or regulated or unregulated entity, investigations and enforcement actions taken.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Original complaint or referral; • Investigation and research; • Supporting documentation; • Findings of fact; • Hearings unit appeals. <p>Excludes records covered by <i>Administrative Orders – Final (DAN 18-04-69210)</i>.</p>	<p>Retain for 6 years after resolution of case (including appeals)</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69215 Rev. 0	<p><i>Complaints and Investigations – Working Files</i></p> <p>Records relating to the investigative documentation gathered during the course of the investigation or enforcement case.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Routine communications; • Copies of records/data obtained from other agencies; • Extractions from databases; • Other documentation NOT required for evidence and the completion of the investigation or enforcement case; • Other documentation NOT needed to support findings. <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 investigation/conclusions covered under <i>Complaints and Investigations – Regulatory (DAN 18-04-69214)</i> or <i>Complaints and Investigations – Criminal (DAN 18-04-69212)</i>. 	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



4. LICENSING AND OVERSIGHT

This section covers records relating to compliance with and enforcement of state requirements for the insurance industry.

4.1 APPLICATIONS AND RENEWALS

The activity of applying for and renewing licenses for insurance companies and individuals in the state of Washington

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69216 Rev. 1	Licensing – Fingerprint Cards and Criminal History Reports Fingerprint cards and criminal history reports obtained from the Washington State Patrol and the Federal Bureau of Investigations used for licensing background checks.	Retain until a licensing decision is made <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
18-04-69217 Rev. 1	Licensing – Individual/Agency Records relating to the licensing of an individual or business entity under Chapters 48.15, 48.17, 48.56, 48.98, 48.115, 48.120 and 48.170 RCW and similar provisions. Includes, but is not limited to: <ul style="list-style-type: none"> • Applications and results of background check reviews; • Renewals and denials; • Disciplinary actions; • Final orders related to the applicant/licensee. <i>Note: Retain Final Orders according to archival designation under Administrative Orders – Final (DAN 18-04-69210).</i>	Retain for life of applicant/licensee <i>or</i> 50 years after last activity, <i>whichever is sooner</i> <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR



4.1 APPLICATIONS AND RENEWALS

The activity of applying for and renewing licenses for insurance companies and individuals in the state of Washington

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69218 Rev. 0	<p><i>Licensing – Regulated Entities (Companies)</i></p> <p>Records relating to specific regulated entities, such as domestic and foreign insurance companies and health carriers, holding companies, auxiliary lines, pharmacy benefit managers and independent review organizations.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Granted, denied, abandoned, rejected, surrendered, revoked, suspended, expired or withdrawn applications for licenses, registrations, solicitation permits and related documentation; • Certificates of Authority or other records signifying authority to do business; • Articles of incorporation and bylaws; • Applications for mergers, acquisitions, re-domestications; • Final orders related to applications; • Administrative supervision and receiverships; • Depository agreements; • Other records of major events during the life of the license including enforcement orders. <p>Excludes records covered by <i>Licensing – Regulated Entities (Companies) – Summary Records (DAN 18-04-69219)</i>.</p> <p><i>Note: Retain Final Orders according to archival designation under Administrative Orders – Final (DAN 18-04-69210).</i></p>	<p>Retain for 6 years after license, registration or authority ends</p> <p><i>or</i></p> <p>application denied or withdrawn</p> <p><i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>



4.1 APPLICATIONS AND RENEWALS

The activity of applying for and renewing licenses for insurance companies and individuals in the state of Washington

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69219 Rev. 0	<p><i>Licensing – Regulated Entities (Companies) – Summary Records</i></p> <p>Summary record of each license granted to regulated entities documenting the name of licensee, licensee location, type of license, license number, date first granted, and date last expired.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> Records in the licensing database. 	<p>Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL (for Disaster Recovery) OPR</p>



4.2 EXAMINATIONS AND REGULATORY MONITORING

The activity of applying for and renewing licenses for insurance companies and individuals in the state of Washington.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69225 Rev. 1	<p>Financial Analysis</p> <p>Records relating to periodic desk reviews to determine financial status of domestic and foreign insurance companies and health carriers, holding companies, auxiliary lines, charitable gifts organizations, etc.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Final analysis report; • Work papers and supporting documentation; • Annual and quarterly statements and supplements. <p>Excludes records covered by <i>Financial Examinations and Market Conduct Actions (Companies) (DAN 18-04-69224)</i>.</p> <p><i>Note: Annual and quarterly statements are filed with the National Association of Insurance Commissioners (NAIC) repository and are held according to the NAIC retention requirement (see WAC 284-07-050).</i></p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
24-06-69727 Rev. 0	<p>Financial Examinations (Individual/Agency)</p> <p>Records relating to financial examinations of an individual or business entity pursuant to RCW 48.03.020(1).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Work papers and related documentation; • Analysis and referrals for enforcement. <p>Excludes records covered by <i>Financial Examinations and Market Conduct Actions (Companies) (DAN 18-04-69224)</i>.</p>	<p>Retain for 3 years after completion of examination <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



4.2 EXAMINATIONS AND REGULATORY MONITORING

The activity of applying for and renewing licenses for insurance companies and individuals in the state of Washington.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69224 Rev. 1	<p>Financial Examinations and Market Conduct Actions (Companies)</p> <p>Records relating to financial and market conduct examinations pursuant to chapter 48.03 RCW, or market conduct actions taken under chapter 48.37 RCW, for any regulated entity or entity potentially subject to regulation.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Report of examination; • Orders adopting report of examination; • Work papers and related documentation; • Analysis and actions taken. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Financial Analysis (DAN 18-04-69225);</i> • <i>Financial Examinations (Individual/Agency) (DAN 24-06-69727).</i> 	<p>Retain for 10 years after final action taken <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
24-06-69728 Rev. 0	<p>Network Access Review</p> <p>Records relating to the development and review of network access reports submitted by health carriers under WAC 284-170-280.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Related correspondence; • Alternate access delivery request decisions. <p>Excludes network access reports covered by <i>Ongoing Analysis and Monitoring Reports (DAN 18-04-69232).</i></p>	<p>Retain for 2 years after completion of review or approval/disapproval of request <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



4.2 EXAMINATIONS AND REGULATORY MONITORING

The activity of applying for and renewing licenses for insurance companies and individuals in the state of Washington.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69226 Rev. 0	<p>Premium Taxes</p> <p>Records relating to premium taxes paid by domestic and foreign insurance companies and surplus lines brokers doing business in Washington.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Tax returns; • Surplus lines examiner’s work papers. 	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
18-04-69227 Rev. 1	<p>Rate and Form Filings</p> <p>Records relating to rates, rules, and forms for all lines of insurance filed by insurance companies, health maintenance organizations, health care service contractors, etc., for approval.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • General Filing Instructions; • Provider contracts; • Health Care Benefit Manager contracts; • Reports filed through the System for Electronic Rate & Form Filing (SERFF): Medicare supplement reports; experience reports; life insurance illustrations and annual certifications; and statistical plans; • Other rate and form filing-related documentation. 	<p>Retain for 20 years after final approval/disapproval of filing <i>or</i> 20 years after withdrawal of filing <i>then</i> Destroy.</p>	NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR
18-04-69228 Rev. 0	<p>Surplus Lines Affidavits</p> <p>Records relating to the certification by surplus lines brokers of compliance with requirements of RCW 48.15.040.</p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR



4.3 PRE-LICENSE AND CONTINUING EDUCATION

The activity of monitoring continuing education courses and provider requirements.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69220 Rev. 0	<p><i>Pre-License and Continuing Education – Audit Files</i> Records relating to the audits performed on providers for pre-licensing and continuing education regarding licensing and examinations. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notifications and audit reports; • Compliance documentation submitted by licensees. 	<p>Retain for 3 years after audit completed <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p>
18-04-69221 Rev. 0	<p><i>Pre-License and Continuing Education Courses and Providers – Approved</i> Records relating to the review and approval of pre-licensing and continuing education courses and course providers to provide education and instruction on the various licenses required by the state. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications and provider/course approvals; • Supporting documentation. 	<p>Retain for 3 years after course or provider is no longer active <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
18-04-69222 Rev. 0	<p><i>Pre-License and Continuing Education Courses and Providers – Denied</i> Records relating to the review and approval of pre-licensing and continuing education courses and course providers to provide education and instruction on the various licenses required by the state. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications and provider/course approvals; • Supporting documentation. 	<p>Retain for 1 year after denial <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>



4.3 PRE-LICENSE AND CONTINUING EDUCATION

The activity of monitoring continuing education courses and provider requirements.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69223 Rev. 0	<i>Pre-License and Continuing Education – Licensee Participation</i> Records relating to licensee participation in the continuous education yearly requirements. Includes, but is not limited to: <ul style="list-style-type: none">• Registration rosters;• Sign-in sheets and attendance lists.	Retain for 4 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



5. REPORTING

This section covers the activities associated with reporting/notifications submitted to the Office of Insurance Commissioner as required by federal, state, or local statute and where not covered by a more specific records series.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69229 Rev. 0	Independent Review Organization (IRO) Records relating to the reporting of Independent Review Organization (IRO) decisions whether filed by the IRO or the health carrier. Excludes IRO registration records covered by <i>Licensing – Regulated Entities (Companies)</i> (DAN 18-04-69218).	Retain for 10 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
18-04-69230 Rev. 0	Insurance Fair Conduct Act (IFCA) Notices Records relating to copies of notification of an IFCA lawsuit to an insurance company for an unreasonable denial of a claim as required by RCW 48.30.015. <i>Note: The agency maintains a log of IFCA notices received by the agency over the past 6 years.</i>	Retain for 1 year after receipt of notification <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
18-04-69231 Rev. 0	Medical Malpractice Reports Records relating to the medical malpractice closed claims and lawsuit settlement data required to be reported under chapter 48.140 RCW. Excludes Office of the Insurance Commissioner’s annual medical malpractice reports to the legislature required by RCW 48.140.050, covered by <i>Reporting to External Agencies (Mandatory)</i> (DAN GS 19004).	Retain for 20 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-04-69232 Rev. 1	<p>Ongoing Analysis and Monitoring Reports</p> <p>Records relating to regulated and unregulated entities that provide reports and information for the analysis, monitoring, and tracking of entity behavior and industry trends.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> • Special liability reports; • Network access reports required by WAC 284-170-280; • Long term care reports. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Network Access Review (DAN 24-06-69728);</i> • <i>Rate and Form Filings (DAN 18-04-69227);</i> • <i>Required Reporting – Informational (DAN 18-04-69233).</i> 	<p>Retain for 8 years after receipt <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
18-04-69233 Rev. 1	<p>Required Reporting – Informational</p> <p>Reports submitted to the OIC as required under title 48. These reports are received in accordance with the statute but are not used for the conduct of business by the OIC.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> • Anti-Fraud reports; • Title escrow fee schedules; <p>Excludes records covered by <i>Ongoing Analysis and Monitoring Reports (DAN 18-04-69232).</i></p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM



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

Records needed to respond to, and/or perform critical operations during/after, a disaster or emergency. They need to be protected through backup or enhanced storage. (RCW 40.10.010)



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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Office of Insurance Commissioner Records Retention Schedule v.1.2 (June 2024)

Final Audit Report

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