

This schedule applies to: Utilities and Transportation Commission

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of the public records of the Utilities and Transportation Commission relating to the unique functions of protecting consumers and ensuring that utility and transportation services are fairly priced, available, reliable and safe. 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 Utilities and Transportation Commission are revoked. The Utilities and Transportation 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 April 3, 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	October 3, 2018	Consolidation of all existing disposition authorities (with some minor revisions).
1.1	April 3, 2019	Alphabetized records series and sections, revised archival designations, added essential designations, updated Energy Facilities section, revised series titles and descriptions, and added new series to create significant/routine.

For assistance and advice in applying this records retention schedule,
please contact the Utilities and Transportation Commission's Records Officer
or Washington State Archives at:
recordsmanagement@sos.wa.gov

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1. CONSUMER PROTECTION AND ADVOCACY

This section covers records relating to protecting and advocating for consumers of utilities and transportation services.

1.1 CONSUMER COMPLAINTS AND INQUIRIES

The activity of ensuring that services are fairly priced, available, reliable and safe.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-01-49675 Rev. 2	<i>Informal Consumer Complaints and Inquiries</i> Records relating to informal complaints and inquiries filed by consumers regarding utility and transportation companies operating in the state of Washington.	Retain for 5 years after completion of complaint or inquiry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

2. ECONOMIC REGULATION

This section covers records relating to the required financial and historic information reporting of the operations of regulated industries.

2.1 REQUIRED REPORTING

The activity of receiving reports from regulated industries.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
81-07-28462 Rev. 0	Annual Budget of Expenditures Provides a record of the regulating, restricting and controlling of expenditures for electric, gas, water, telephone, and telegraph companies.	Retain for 17 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
73-05-02594 Rev. 3	Reports – Regulated Industries Annual or quarterly reporting of financial information and historical results of operations (investments, depreciation, reserves, costs levels, rebate level analysis) for regulated utility (electric, gas, water, telecommunications, cable) and transportation companies received by UTC.	Retain for 6 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

3. HEARINGS AND PROCEEDINGS

This section covers records relating to evidentiary records, including witness testimony, exhibits, legal briefs, transcripts, and Commission orders.

3.1 FORMAL CASES

The activity of holding formal adjudicative proceedings and decisions made in rate hearings, formal complaints and investigations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-05-22453 Rev. 3	Commission Orders (Order Books) Provides a record of original orders with original signatures.	Retain until bound <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
79-05-22452 Rev. 2	Docket Books Provides a record of all legal activities within Utilities & Transportation Commission.	Retain for 50 years after bound <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OFM

3.1 FORMAL CASES

The activity of holding formal adjudicative proceedings and decisions made in rate hearings, formal complaints and investigations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-05-22364 Rev. 3	<p>Formal Transportation Cases (T-Files)</p> <p>Formal activity associated with transportation contested cases, i.e., motor carrier, railroad, garbage, steamboat and buses.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Tariff Revision filings; • Suspended filings; • Formal Complaints; • Petitions; • Rail applications; • Rulemakings; • Regulatory Fees; • Solid Waste Management Plans; • Penalty Assessments; • Case work papers; • Staff Investigation. 	<p>Retain for 7 years after end of calendar year <i>then</i></p> <p>Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>

3.1 FORMAL CASES

The activity of holding formal adjudicative proceedings and decisions made in rate hearings, formal complaints and investigations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-05-22451 Rev. 3	<p>Formal Utility Cases (U-Files) Formal activity associated with electric, gas, water, low level radioactive waste and telephone. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Tariff Revision filings; • Suspended filings; • Contracts; • Formal Complaints; • Petitions; • Affiliated Interests; • Securities; • Transfers of Property; • Name Changes; • Cessation of Service filings; • Telephone registrations and Telephone Number Resource filings; • ETC Certifications; • Interconnection Agreements; • Requests for Proposals; • Rulemakings; • Staff Investigations and case work papers; • Rejected filings; • Removal from Regulation; • Penalty Assessments; • Resource Plans. 	<p>Retain for 7 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>

3.1 FORMAL CASES

The activity of holding formal adjudicative proceedings and decisions made in rate hearings, formal complaints and investigations.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-03-52151 Rev. 2	<p><i>Public Comments (Pre-Filed Exhibits)</i></p> <p>Consumer letters to the Commission either opposing or in favor of the issue before the Commission. Documents are reviewed and may/or may not be admitted as an exhibit at a formal proceeding.</p>	<p>Retain for 2 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OFM</p>

3.2 TARIFFS

The activity of filing and monitoring of tariffs by regulated industries.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-10-53154 Rev. 1	<p>Tariff Contract Filings</p> <p>Legally mandated contract filings received from regulated utility companies. Contracts are between two utility companies or a utility company and another entity.</p> <p><i>Note: Some contracts may contain confidential information. Contract submissions are required under WAC 480-80-141; WAC 480-80-142; WAC 480-80-143, and RCW 19.29A.090.</i></p>	<p>Retain for 6 years after termination or expiration of instrument <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
18-10-69316 Rev. 0	<p>Tariff Files</p> <p>Tariff filings received from regulated utility companies requesting rate changes, utility boundary areas, changes in tariff schedules or other changes.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Tariff maps; • Rate tracking documentation; • Related correspondence. 	<p>Retain for life of company <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

4. INVESTIGATIONS

This section covers the activities related to investigating and auditing utility and transportation companies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-10-53160 Rev. 2	<p><i>Utility and Transportation Staff Investigation Work Papers</i></p> <p>Results of audits and investigations on utility and transportation regulated companies into their rates, regulations, business practices, and special investigation audits.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Account Information; • Charts, graphs, and other statistical information; • Copies of correspondence; • Corrective actions taken; • Findings of auditors that serve to substantiate or refute rate requests; • Information on company practices; • Internal memoranda; • Photographs; • Rail defect reports issued; • Recordings and conversations; • Records of emails including follow-up on telephone conversations; • Summaries of past staff audits; • Summaries of special investigation audits; • Work papers (*in Excel format) concerning requests for rate increases; • Work papers for the Grade Crossing Protective Fund (GCPF), petition, close clearance, penalties, complaints, and quiet zones; • Meeting and field notes. <p>Excludes Case Work Papers that lead to Decisions made by the Commission, covered under <i>Section 3.1 Formal Cases</i>.</p>	<p>Retain for 7 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

5. PUBLIC SAFETY AND TRANSPORTATION

This section covers records relating to public safety concerns related to the regulated industries of energy/power (including electric, gas, oil, and wind), telecommunications, transportation (including common carriers, railroads and solid waste carriers), and water companies.

5.1 COMMON CARRIERS			
<i>The activity of monitoring and regulating the transportation industry of common carriers, household goods, charters and excursions, auto transportation, contract railroad crew carriers, solid waste, and commercial ferries.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-04-61142 Rev. 1	Carrier Interstate Registration Files Provide data on carriers who register under the Unified Carrier Registration (UCR), hauling commodities for-hire in interstate commerce.	Retain for 6 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-08-25379 Rev. 4	Carrier Permit Records Permits issued to heavily regulated, for-hire carriers hauling commodities in intrastate commerce, such as: passenger carriers, ferries, solid waste, and railroad crew carriers. Includes, but is not limited to: <ul style="list-style-type: none"> • Applications; • Insurance verification; • Proof of safety compliance; • Related correspondence/communication. Excludes records covered by <i>Common Carrier Permit Records (DAN 19-04-69354)</i> .	Retain for 6 years after permit terminated <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR

5.1 COMMON CARRIERS

The activity of monitoring and regulating the transportation industry of common carriers, household goods, charters and excursions, auto transportation, contract railroad crew carriers, solid waste, and commercial ferries.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19-04-69354 Rev. 0	<p><i>Common Carrier Permit Records</i> Permits issued to lightly regulated, for-hire carriers hauling commodities in intrastate commerce, such as: motor carriers, freight forwarders and brokers.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications; • Insurance verification; • Related correspondence/communication. <p>Excludes records covered by <i>Carrier Permit Records (DAN 80-08-28379)</i>.</p>	<p>Retain for 6 years after permit terminated <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR

5.2 ENERGY FACILITIES

The activity of monitoring and regulating the siting and construction of certain non-hydroelectric energy facilities (alternative energy such as wind turbine, nuclear, refineries, etc.) by the Energy Facility Site Evaluation Council (EFSEC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-10-69327 Rev. 1	<p>Cases Approved (But Not Constructed)</p> <p>Provides a record of EFSEC cases that are approved but not constructed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • SEPA Compliance; • Applications submitted to the Council for these projects; • Records of adjudicative proceedings conducted by the Council; • Records of appeals of Council or Governor decisions; • Compliance monitoring of facility construction and operation; • Off-site emergency response planning and activities; • Project termination and site restoration planning and activities; • Site certification agreement amendments; • Contracting and other review activities conducted in support of these projects. <p><i>Note: This series includes (but is not limited to) records pertaining to the following proposals: Wallula Power Project, Sumas 2 Generation Facility, Weyerhaeuser/Cowlitz Project, BP Cherry Point Cogeneration, and the Creston Power Project.</i></p>	<p>Retain for 10 years after end of fiscal year in which the Site Certification Agreement (SCA) was terminated</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

5.2 ENERGY FACILITIES

The activity of monitoring and regulating the siting and construction of certain non-hydroelectric energy facilities (alternative energy such as wind turbine, nuclear, refineries, etc.) by the Energy Facility Site Evaluation Council (EFSEC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-10-69326 Rev. 1	<p>Discontinued Cases</p> <p>Records relating to cases that are discontinued due to preclusion of federal Legislation, legal difficulties, a denial by the Governor, at the request of the applicant, or other valid reasons.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Legal description of the proposed site; • General correspondence; • Materials and agenda regarding site visit tours; • Consultant selection environmental report & final analysis study; • Transcripts and exhibits from initial and informational hearings and prehearing conferences; • Official distribution list as well as files of parties who are granted intervenor status. <p><i>Note: This series includes (but is not limited to) records pertaining to the following proposals: Starbuck Power Project, Olympic Pipeline, Tesoro Savage Vancouver Energy Distribution Terminal.</i></p>	<p>Retain for 10 years after end of fiscal year in which project was discontinued</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

5.2 ENERGY FACILITIES

The activity of monitoring and regulating the siting and construction of certain non-hydroelectric energy facilities (alternative energy such as wind turbine, nuclear, refineries, etc.) by the Energy Facility Site Evaluation Council (EFSEC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-10-69317 Rev. 1	<p><i>Nuclear Power Projects</i> Records relating to reviews and recommendations to the Governor for Washington Nuclear Projects (WNP), such as projects 1,2,3,4 & 5. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications submitted to the Council for these projects; • SEPA compliance; • Records of adjudicative proceedings conducted by the Council; • Records of appeals of Council or Governor decisions; • Compliance monitoring of facility construction and operation; • Off-site emergency response planning and activities; • Project termination and site restoration planning and activities; • Site certification agreements and amendments; • Council orders and resolutions relating to nuclear power generating sites; • Incident reports, testing results, compliance violations, and enforcements actions; • Contracting or other review activities conducted in support of these projects. 	<p>Retain for 25 years after site restoration completion date <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL (for Disaster Recovery) OPR</p>

5.2 ENERGY FACILITIES

The activity of monitoring and regulating the siting and construction of certain non-hydroelectric energy facilities (alternative energy such as wind turbine, nuclear, refineries, etc.) by the Energy Facility Site Evaluation Council (EFSEC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-10-69318 Rev. 1	<p><i>Operating Alternative Energy Facilities</i></p> <p>Records relating to reviews, recommendations to the Governor, and compliance monitoring of operating alternative energy producing facilities. Alternative energy resources includes energy facilities of the following types: Wind energy, solar energy, geothermal energy, landfill gas, wave or tidal action, and biomass energy based on solid organic fuels.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • SEPA compliance; • Applications submitted to the Council for the related project; • Records of adjudicative proceedings conducted by the Council; • Records of appeals of Council or Governor decisions; • Compliance monitoring of facility construction and operation; • Off-site emergency response planning and activities; • Project termination and site restoration planning and activities; • Site certification agreements and amendments; • Contracting and other review activities conducted in support of this project; • Council order and resolutions relating to project site; • Incident reports, testing results, compliance variations, enforcement actions; • Contracting and other review activities conducted in support of this project. 	<p>Retain for 25 years after site restoration completion date <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL (for Disaster Recovery) OPR</p>

5.2 ENERGY FACILITIES

The activity of monitoring and regulating the siting and construction of certain non-hydroelectric energy facilities (alternative energy such as wind turbine, nuclear, refineries, etc.) by the Energy Facility Site Evaluation Council (EFSEC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-10-69322 Rev. 1	<p><i>Operating Thermal Facilities</i></p> <p>Records relating to reviews and recommendations to the Governor and compliance for operating thermal facilities, such as Chehalis Generating facility and Grays Harbor Energy (formerly Satsop, formerly WNP 3/5).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications submitted to the Council for these projects; • SEPA compliance; • Records of adjudicative proceedings conducted by the Council; • Recommendation records and Governor’s decision; • Records of appeals of Council or Governor decisions; • Compliance monitoring of facility construction and operation; • Off-site emergency response planning and activities; • Project termination and site restoration planning and activities; • Site certification agreement amendments; • Council orders and resolutions relating to project site; • Incident reports, testing results, compliance violations; • Contracting and other review activities conducted in support of this project. 	<p>Retain for 25 years after site restoration completion date <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL (for Disaster Recovery) OPR</p>

5.2 ENERGY FACILITIES

The activity of monitoring and regulating the siting and construction of certain non-hydroelectric energy facilities (alternative energy such as wind turbine, nuclear, refineries, etc.) by the Energy Facility Site Evaluation Council (EFSEC).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-10-69319 Rev. 1	<p><i>Pipeline or Transmission Line Projects</i></p> <p>Records relating to reviews and recommendations to the Governor for pipeline or transmission line projects.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Applications submitted to the Council; • SEPA compliance; • Records of adjudicative proceedings conducted by the Council; • Records of appeals of Council or Governor decisions; • Compliance monitoring of facility construction and operation; • Off-site emergency response planning and activities; • Project termination and site restoration planning and activities; • Site certification agreements and amendments; • Council orders and resolutions relating to project site; • Incident reports, testing results, compliance violations, enforcement actions; • Contracting and other review activities conducted in support of this project. 	<p>Retain for 25 years after final date of decommissioned project</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL (for Disaster Recovery) OPR</p>

5.3 PIPELINES

The activity of the monitoring and regulating of the pipeline industry.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-05-22454 Rev. 1	<i>Gas Distribution and Transmission Safety</i> Reports of inspections conducted of gas companies to insure that certificates are issued and safety precautions are met.	Retain for life of pipeline <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR
08-09-61859 Rev. 2	<i>Pipeline Company Manuals</i> Operational manuals for regulated gas and liquid company pipelines. Manuals contain instructions for compliance with state and federal laws, including procedures for rules and safe pipeline system operation. Manuals are used routinely in company annual inspections and incident investigations. <i>Note: There is no statute of limitations on operator pipelines, equipment installations or procedure requirements subject to inspection. Therefore, these manuals are permanently active.</i>	Retain for life of agency <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) ESSENTIAL (for Disaster Recovery) OPR
18-10-69328 Rev. 1	<i>Pipeline Company Reports</i> Records relating to regulated gas and liquid companies. Includes, but is not limited to: <ul style="list-style-type: none"> • Incident reports related to dig-ins or damage to lines; • General miscellaneous reports unrelated to an investigation or docketed item; • Correspondence. 	Retain for life of agency <i>then</i> Transfer to Washington State Archives for permanent retention.	ARCHIVAL (Permanent Retention) ESSENTIAL (for Disaster Recovery) OPR

5.3 PIPELINES

The activity of the monitoring and regulating of the pipeline industry.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08-09-61858 Rev. 2	<p><i>Pipeline Safety Inspection Documentation and Working Papers</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Pictures; • Maps; • Interview notes; • Email; • Company memorandums; • Other documentation associated with pipeline safety enforcement visits. <p><i>Note: There is no statute of limitations on conditions subject to repeat or no abatement violations. Therefore, the files are permanently active.</i></p>	<p>Retain for life of agency <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL (for Disaster Recovery) OPR</p>

5.4 RAILROADS

The activity of monitoring and regulating of railroad carriers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19-04-69355 Rev. 0	<p>Operational/Not at Grade Crossing Accident Records (Routine) Investigations into injuries, collisions and derailments that involve a minimal amount of damage. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Non-Grade Crossing Accidents; • Trespasser incidents and investigative reports; • Railroad employee non-serious injuries and non-fatality reports; • Collisions and derailments not at a crossing. • Accidents that do not involve major injury/destruction or monetary payout. <p><i>Note: Records are for safety analysis and collection and used to identify areas where regulatory control may be needed per RCW 81.28.280.</i></p>	<p>Retain for 10 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
80-06-25067 Rev. 2	<p>Operational/Not at Grade Crossing Accident Records (Significant) Investigations into injuries, collisions and derailments that involve a significant amount of damage and/or receive major media attention, such as: Death, major injuries, and major monetary payouts. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Non-Grade Crossing Accidents; • Trespasser incidents and investigative reports; • Railroad employee serious injuries and fatalities reports, and • Collisions and derailments not at a crossing. <p><i>Note: Records are for safety analysis and collection and used to identify areas where regulatory control may be needed per RCW 81.28.280.</i></p>	<p>Retain for 10 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR

5.4 RAILROADS

The activity of monitoring and regulating of railroad carriers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
90-07-46314 Rev. 1	<p><i>Railroad Abandonment Files</i></p> <p>Applications and other documents, regarding abandonment of railroad trackage and Interstate Commerce Commission (ICC) decisions.</p> <p><i>Note: Records are provided to the commission from the Railroad and Surface Transportation Board under RCW 47.76.240. The records are provided for informational purposes to the commission, but the UTC may file comments in certain proceedings. In addition, if the UTC requests the information from a railroad, they must report under WAC 480-62-315.</i></p>	<p>Retain for 6 years after decision made <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
18-10-69331 Rev. 0	<p><i>Railroad Company Monthly Summary Reports</i></p> <p>Summaries that include accident records, amended accident records, both for grade crossing and operational incidents that are provided by railroad companies. The UTC's role is to collect, analyze, and investigate accidents, as appropriate.</p> <p><i>Note: Reporting is required under WAC 480-62-310, WAC 480-62-315, and RCW 81.28.290.</i></p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OPR
18-10-69332 Rev. 1	<p><i>Railroad County Files</i></p> <p>County files for railroad issues. These records provide the history of railroad crossings or other railroad issues. The county submits these records to the commission randomly, and the files are used for processing more current work.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Correspondence; • Findings; • Complaints; • Miscellaneous issues concerning railroad tracks and crossings within the county of record. 	<p>Retain for 6 years after calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR

5.4 RAILROADS

The activity of monitoring and regulating of railroad carriers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
19-04-69356 Rev. 0	<p><i>Railroad Crossing Accident Reports (Routine)</i></p> <p>Required reporting by railroads of grade crossing accidents that involve a minimal amount of damage.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Police reports; • Railroad reports; • Emergency management correspondence; • Photographs; • UTC investigative reports. <p><i>Note: Records are for safety analysis in determining whether further protection devices needed at crossing. Per RCW 81.54.020, RCW 81.28.290, and WAC 480-62-310.</i></p>	<p>Retain for 10 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

5.4 RAILROADS

The activity of monitoring and regulating of railroad carriers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-06-25068 Rev. 2	<p><i>Railroad Crossing Accident Reports (Significant)</i></p> <p>Required reporting by railroads of grade crossing accidents that involve a significant amount of damage and/or receive major media attention, such as: Death, major injuries, and major monetary payouts.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Police reports; • Railroad reports; • Emergency management correspondence; • Photographs; • UTC investigative reports; • Death Certificates; • Coroner Reports. <p><i>Note: Records are for safety analysis in determining whether further protection devices needed at crossing. Per RCW 81.54.020, RCW 81.28.290, and WAC 480-62-310.</i></p>	<p>Retain for 10 years after end of calendar year <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Permanent Retention) NON-ESSENTIAL OPR</p>
18-10-69329 Rev. 0	<p><i>Railroad Crossing Inspections</i></p> <p>Routine crossing inspections and inspections resulting from a complaint.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Inspection reports; • Defect notices; • Responses from railroad companies and road authorities regarding railroad crossing defect notices; • Photographs. 	<p>Retain for 6 years after end of calendar year <i>then</i></p> <p>Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

5.4 RAILROADS

The activity of monitoring and regulating of railroad carriers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
18-10-69330 Rev. 0	<p><i>Railroad Walkways</i></p> <p>UTC inspectors inspect walkways in railroad yards for compliance to WAC 480-60-035. Adequate walkways for railroad employees are needed to ensure that they have a walking area that is free of obstructions. Walkways are routinely inspected every three years or sooner, if there is a complaint.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Inspection reports; • Defect notices; • Responses from railroad companies regarding walkway defect notices; • Photographs. 	<p>Retain for 6 years after end of calendar year <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
80-06-25069 Rev. 2	<p><i>Shelter and Sanitation</i></p> <p>The Commission enforces rules and regulations relating to sanitation and shelter affecting railroad employees. Investigations and inspections of locomotives and railroad locker/lunchrooms/toilets, which may be conducted per RCW 81.40.095.</p> <p><i>Note: UTC inspectors ensure that railroads provide clean safe working conditions. The inspectors may issue a defect report if the rule requirements are not met. If the railroad is not responsive, enforcement action including a penalty may be taken against the railroad.</i></p>	<p>Retain for 6 years after end of calendar year <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>

5.5 UTILITIES

The activity of regulating and monitoring public safety concerns of power, telecommunications and water services.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-05-22455 Rev. 2	<i>Leak and Accident Reports of Utility Companies</i> Correspondence received and sent from companies and Commission staff regarding reports of utility accidents.	Retain for 5 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
79-05-22449 Rev. 1	<i>Utilities Inspection</i> Provides information pertaining to operations other than safety of gas, water, electric and telecommunication.	Retain for 7 year after end of calendar year <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM

6. LEGACY RECORDS

This section covers records no longer being created/received by Utilities and Transportation Commission, but the existing records have not yet reached their minimum retention period.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
93-10-53153 Rev. 1	<p>Reading Files</p> <p>Copies of documentation between the commission and various companies regarding statutes and regulations.</p> <p><i>Note: The original records are managed under multiple records series. These copies were created as part of an old work process, and work is no longer being done that way.</i></p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</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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