

I. ROUTINE ITEMS

C. Minutes for July 21, 2011 Meeting



STATE OF WASHINGTON
LOCAL RECORDS COMMITTEE

Office of the State Auditor • Office of the Attorney General • Office of the State Archivist
PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

July 21, 2011 – 10:00 a.m.
State Archives Conference Room
1129 Washington St SE, Olympia, WA 98504

MEETING MINUTES

Members Present: Mark Rapozo (Chair) – State Auditor's Office, Cindy Evans – Attorney General's Office, Jerry Handfield – State Archivist.

Staff Present: Russell Wood – State Records Manager, Julie Woods – Local Government Records Management Specialist, Megan Bezzo – Electronic Records Management Consultant, Patrick Williams – Local Government Grants Coordinator.

Guests Present: Laura Edgar – King County, Patty Holmquist – Tacoma Public Utilities, Maureen Duncan – Thurston County, Tri Howard – Port of Tacoma, Danelle Court – City of Bellevue, Aaren Purcell – Seattle Public Schools, Pam Anderson – Tacoma School District, Darlene Fuller – Olympia School District, Cheryl Thresher – State Auditor's Office.

I. ROUTINE ITEMS

A. Call to Order

Mark Rapozo called the meeting to order at 10:00 a.m.

B. Introduction of Guests

C. Approval of Minutes for March 31, 2011

Motion to adopt the March 31, 2011 minutes as presented: Evans; seconded by Handfield.

Resolution: Motion carried

D. Adoption of July 21, 2011 Agenda

Motion to adopt the agenda: Evans, seconded by Rapozo.

Resolution: Motion carried

II. OLD BUSINESS/ACTION ITEMS

A. Association of Washington Public Hospitals Response Letter

Jerry Handfield has responded to the Association of Washington Public Hospitals, clarifying the Archives policy on confidential records and will provide it for the committee at the next meeting.

III. WASHINGTON STATE ARCHIVES UPDATES

A. Revision of Records Retention Schedules – Julie Woods

- i. **CORE Version 3.0** – The reference group met on June 2nd to review the asset management section of CORE and other critical area gaps in the schedule. The committee reviewed twenty drafted series. The revised eleven functional areas of the asset management section along with additional critical changes will be sent to the 25-member reference group for further discussion.
- ii. **School Districts and Educational Service Districts** – Records Management is continuing to revise the schedule with the Washington Association of School Business Officials' Records Management Committee and plans to have it ready to submit at the September Local Records Committee meeting. Washington State Archives (WSA) has requested a legal opinion from its Assistant Attorney General relating to the retention of parent/legal guardian permission slips.
- iii. **JUSTICE** – Due to staffing and critical needs, the creation of the JUSTICE schedule has been put on hold in order to focus resources on aligning the State and Local General Retention Schedules.

B. Destruction after Digitization (DAD) Applications – Russell Wood

An updated list has been posted on the WSA website and five new applications were approved, including Northshore School District, City of Puyallup, City of Olympia, Skagit County Auditor, and Lewis County Sheriff. There are 21 pending applications and eight new applications in review.

C. Local Government Records Management Listserv – Julie Woods

The local government listserv now has 1,862 subscribers, which reflects 111 new members since the last meeting.

D. Announcements from the State Archivist – Jerry Handfield

- i. **2011-2013 Local Records Grant Program** – Over 100 applications were received requesting nearly a million dollars. Unfortunately, only \$200,000 is available for this biennium's grant program.
- ii. **Heritage Center Fund** – Legislators transferred all \$12.9 million, including 4 million dollars previously taken from the WSA Local Government Fund, to various state agencies including the State Library, Washington State Historical Society, Eastern Historical Society, Arts Commission, and Archeology and Historic Preservation.
- iii. **New Regional Archivist** – The Eastern and Central Regional Branches have a new archivist, Rebecca Altermatt.
- iv. **WSCOG** – The Archivist and Records Manager have been presenting at forums across the state. Russell Wood will be attending a forum in Omak later in the month.
- v. **National Archives Grants** – A state representative from Utah proposed to eliminate the National Archives' ability to award grants.
- vi. **Spain** – Jerry Handfield will be going to Spain in October to present about the Digital Archives at a meeting of the International Council of Archives.
- vii. **NAGARA** – The national conference in Tennessee confirmed how much progress Washington has made in dealing with electronic records and the problems other states are having.

IV. NEXT MEETING – September 29, 2011, 10 a.m.

V. ADJOURNMENT

The chair adjourned the meeting at 12 p.m.

CERTIFICATION OF MEETING MINUTES OF THE LOCAL RECORDS COMMITTEE:

I, Mark Rapozo, Chair of Local Records Committee, certify that the above is a true and correct transcript of the minutes of a public meeting of the Local Records Committee of the State of Washington held in the State Archives Building conference room on July 21, 2011, and that the public meeting was duly called and held in all respects in accordance with the laws of the State of Washington, and that a quorum was present.

Chair Signature

Date

DRAFT

I. ROUTINE ITEMS

D. Agenda for September 29, 2011 Meeting



STATE OF WASHINGTON

LOCAL RECORDS COMMITTEE

Office of the State Auditor • Office of the Attorney General • Office of the State Archivist

PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

September 29, 2011 – 10:00 a.m.

Archives Conference Room

1129 Washington St SE, Olympia, WA, 98504

AGENDA

I. ROUTINE ITEMS

- A. Call to Order
- B. Introduction of Guests
- C. Approval of Minutes for July 21, 2011
- D. Adoption of Today's Agenda

II. OLD BUSINESS/ACTION ITEMS

- A. JH letter to Association of Washington Public Hospitals.

III. NEW BUSINESS/ACTION ITEMS

- A. *Public Utilities Records Retention Schedule Version 1.1.*
 - i. Nuclear utilities update.
- B. *School Districts and Educational Service Districts Records Retention Schedule Version 7.2.*
 - i. Attendance/Absence section;
 - ii. Field trips and travel permissions.

IV. WASHINGTON STATE ARCHIVES UPDATES

- A. Revision of Records Retention Schedules – Julie Woods
 - i. CORE Asset Management and Critical Updates
- B. Destruction after Digitization (DAD) Applications – Russell Wood
- C. Announcements from the State Archivist – Jerry Handfield

V. NEXT MEETING – November 17, 2011, 10am

VI. ADJOURNMENT

II. OLD BUSINESS/ACTION ITEMS

- A. Jerry Handfield Letter to Association of Washington Public Hospitals



Washington
Secretary of State
SAM REED

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July 21, 2011

Ben Lindekeugel
Association of Washington Public Hospital Districts
300 Elliot Avenue West, Suite 300
Seattle, WA 98119-4118

RE: Public Hospital Revision

Mr. Lindekeugel:

I wish to extend my thanks to you and the Association of Washington Public Hospital Districts (AWPHD) for your support and input throughout the recent project to revise the *Public Hospital Districts Records Retention Schedule*. Your diligence in the review of drafts and the provision of constructive and meaningful feedback has been appreciated. I hope Washington State Archives will be able to call on the AWPHD for input and involvement in future revision efforts.

As you are aware, the Local Records Committee approved version 5.0 of the *Public Hospital Districts Records Retention Schedule* on March 31, 2011. As approved, the schedule does not include disposal authority for pathology samples and specimens. After much deliberation, the Local Records Committee agreed that such materials do not fully meet the statutory definition of public records as defined in Chapter 40.14 RCW. Feedback and arguments provided by the AWPHD proved valuable to the Committee in considering this matter.

The AWPHD expressed concern regarding medical staff credentialing files being designated archival during this revision. I assure you that RCW 40.14.030(2) ensures that records which are exempt from public disclosure prior to transfer to Washington State Archives will be afforded unique confidentiality status and safeguards while in our agency's custody. We currently have many confidential records in our custody. Confidentiality concerns should be addressed to State Archives staff by hospitals prior to transfer of their records into our custody.

Again, thank you for continued support and input throughout this process. Let me know if you want a tour of our "Cold War" bunker at Archives.

Sincerely,

Jerry Handfield
Washington State Archivist

III. NEW BUSINESS/ACTION ITEMS

A. Public Utilities Records Retention Schedule (Version 1.1)



This schedule applies to: Public Utility Providers

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of public records documenting the unique functions and activities of local government agencies that provide utility services (power generation/distribution, water and sewer, surface water drainage, irrigation water, etc.). It is to be used in conjunction with the *Local Government Common Records Retention Schedule (CORE)*, which can be found at: <http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx>.

Disposition of public records

Public records covered by records series within this records retention schedule 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 local resources.

Public records designated as Archival or Permanent must not be destroyed. Records designated as Potentially Archival 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 approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. Local government agencies 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 Local Records Committee in accordance with RCW 40.14.070 on September 29, 2011.



REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	December 2, 2010	All records series relating to the provision of public utilities were transferred from the <i>Local Government General Records Retention Schedule (LGGRS) Ver. 5.1</i> . Records series prefix changed from GS to UT, and all notes about previous revisions and corrections removed. Some titles were shortened by removing functions/activities ("UTILITIES ACCOUNTING", "ELECTRIC POWER GENERATION", etc.). Electric Utilities section was restructured, and three new records series added: two to Power Generation, and one to Power Distribution. An additional series covering critical cyber assets was added, and additional series were revised. (See Revision Guide.)
1.1	September 29, 2011	Nuclear Facilities section added with 10 new records series. No other changes. (No Revision Guide issued.)

For assistance and advice in applying this records retention schedule,

please contact Washington State Archives at:

recordsmanagement@sos.wa.gov

or contact your Regional Archivist.



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1. AGENCY MANAGEMENT

The function relating to the overarching management of the local government agency and its general administration, where not covered by the *Local Government Common Records Retention Schedule (CORE)*.

1.1 PLANNING, MISSION, AND CHARTER

The activity of documenting and determining the local government agency's objectives, and the means for obtaining them.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.1.1	<p>FORECASTS – ELECTRIC UTILITIES</p> <p>Includes forecasts of estimated power loads, future income, receipts and expenditures in connection with financing, construction and operations, including acquisitions and disposals of properties or investments prepared for internal administrative or operating purposes.</p> <p><i>Note: See 18 CFR §125.3 39.</i></p>	<p>UT55-05D-20</p> <p>Rev. 0</p>	<p>Retain for 3 years <i>then</i> Arrange for appraisal by Washington State Archives.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>



1.2 REPORTING

The activity of reporting information relating to the agency as required by federal, state, and local law.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.2.1	<p><i>Electric Power Reports Required by Regulatory Agencies and Commissions</i> Records relating to reports submitted to the Federal Energy Regulatory Commission (FERC), North American Electric Reliability Corporation (NERC), Western Electricity Coordinating Council (WECC), or other regulatory bodies. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Mitigation plans (retractions, updates, etc.); • Self reports (reports of non-compliance); • Self certifications; • Data requests from NERC and WECC. <p><i>Note: See 18 CFR §125.3 41.</i></p>	UT55-05D-21 Rev. 0	<p>Retain for 5 years after submitted to regulatory agency <i>then</i> Arrange for appraisal by Washington State Archives.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>



2. ASSET MANAGEMENT

The function of managing the local government agency's physical assets (facilities, land, equipment, vehicles, supplies, etc.), where not covered by the *Local Government Common Records Retention Schedule (CORE)*. Includes asset acquisition, maintenance, inventory, and disposal.

2.1 DESIGN AND CONSTRUCTION

The activity of designing, constructing, or remodeling of buildings, structures, infrastructure, etc., owned, leased or otherwise occupied by the local government agency.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.1.1	CONSTRUCTION COST ANALYSIS – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(f).</i>	UT55-05G-01 Rev. 0	Retain for 5 years after clearance to plant account <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
2.1.2	CONSTRUCTION PROJECT FILES – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(b), (e) and (g).</i>	UT55-05G-02 Rev. 0	Completion of project plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
2.1.3	EXPENDITURE REQUISITION AND AUTHORIZATION FILES – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 11.</i>	UT55-05G-03 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
2.1.4	UTILITY PLANT CONSTRUCTION CONTRACTS – ELECTRIC UTILITIES Official documentation of contracts and agreements for purchase of goods or services relating to the construction of utility plants. May include consultant contracts, public work contracts, or non-stock material contract. <i>Note: See 18 CFR §125.3 22(b).</i>	UT55-05G-06 Rev. 0	Sale or retirement of plant plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
2.1.5	WORK IN PROGRESS LEDGERS OR REPORTS – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(a).</i>	UT55-05G-05 Rev. 0	5 years after clearance to plant account.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.1 DESIGN AND CONSTRUCTION

The activity of designing, constructing, or remodeling of buildings, structures, infrastructure, etc., owned, leased or otherwise occupied by the local government agency.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.1.6	WORK ORDERS – ELECTRIC POWER SYSTEMS <i>Note: See 18 CFR §125.3 17(a).</i>	UT50-06B-28 Rev. 0	5 years after clearance to plant account.	NON-ARCHIVAL NON-ESSENTIAL OPR



2.2 ELECTRONIC INFORMATION SYSTEMS

This section covers records relating to electronic information systems which are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
2.2.1	<p>Security – Cyber Vulnerability Assessment Records documenting annual vulnerability assessments of the agency's Critical Cyber Assets (CCA) in accordance with CIP-005-03.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Access control lists; • All access and external connection points (physical and electronic); • Multiple user accounts and account passwords; • Network management and protocols; • IP addresses; • Final report of assessment. 	UT2010-088 Rev. 0	Retain for 1 year after completion of assessment <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



3. IRRIGATION UTILITIES

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.1	FORECLOSURE FILES – IRRIGATION UTILITIES	UT50-32-01 Rev. 0	Foreclosure of account plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
3.2	LAND OWNER WATER QUALITY VIOLATION FILES – IRRIGATION UTILITIES Includes landowner water quality plans submitted to resolve violations.	UT50-32-03 Rev. 0	Retain for 6 years after resolution <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
3.3	LAND USE HISTORY FILES – IRRIGATION UTILITIES Includes water right contracts, permits, easements, reclassification, water allotment and other land use documentation for district service area organized by section, township and range.	UT50-32-04 Rev. 0	Retain until no longer need for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
3.4	LINE LOCATION REQUESTS – IRRIGATION UTILITIES	UT50-32-05 Rev. 0	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
3.5	WATER DIVERSION REPORTS – IRRIGATION UTILITIES	UT50-32-06 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
3.6	WATER QUALITY MONITORING DATA – IRRIGATION UTILITIES	UT50-32-07 Rev. 0	Retain for 3 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM

LRC Draft



Washington State Archives
Office of the Secretary of State

Public Utilities Records Retention Schedule (UTILITIES)
Version 1.1 (September 2011)

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
3.7	WATER USE REPORTS – IRRIGATION UTILITIES	UT50-32-08 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR



4. POWER DISTRIBUTION

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.1	APPARATUS FAILURE REPORTS <i>Note: See 18 CFR §125.3 13.</i>	UT55-05E-01 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.2	Control Performance Standards Records relating to Control Performance Standards (CPS) submitted to Western Electricity Coordinating Council (WECC) in accordance with BAL-001-0.1a.	UT2010-089 Rev. 0	Retain for 1 year after submitted <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.3	ELECTRICAL WORK PERMITS (HARD CARDS) Permits for individuals to install residential alarms, communications, etc.	UT55-05E-25 Rev. 0	Termination plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.4	ELECTRICITY DIVERSION INVESTIGATION RECORDS Inquiry regarding problems or discrepancies with meters, either from meter reader or other parties. Investigation records may include: site visit dates, notes regarding location, pictures of meter or surrounding area, consumption history, special meter read, and service order for technical support.	UT55-05G-07 Rev. 0	Investigation closed plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.5	FACILITY INSPECTION AND MAINTENANCE REPORTS Periodic reports on the condition of substations, underground vaults, and other distribution system facilities. <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-14 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.6	FACILITY RETIREMENT AUTHORIZATION <i>Note: See 18 CFR §125.3 18(b). If equipment or facility has PCB content, retain record permanently to protect the agency's open-ended liability for the handling and disposal of hazardous substances.</i>	UT55-05E-02 Rev. 0	10 years after facility retired.	NON-ARCHIVAL NON-ESSENTIAL OPR

LRC Draft



Washington State Archives
Office of the Secretary of State

Public Utilities Records Retention Schedule (UTILITIES)
Version 1.1 (September 2011)

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.7	FACILITY RETIREMENT WORK ORDER Basic record of facility removal and/or replacement. <i>Note: See 18 CFR §125.3 18(a). If equipment or facility has PCB content, retain record permanently to protect the agency's open-ended liability for the handling and disposal of hazardous substances.</i>	UT55-05E-03 Rev. 0	10 years after facility retired.	NON-ARCHIVAL NON-ESSENTIAL OPR
4.8	INSULATOR TEST RECORDS <i>Note: See 18 CFR §125.3 14(d).</i>	UT55-05E-04 Rev. 0	3 Years	NON-ARCHIVAL NON-ESSENTIAL OFM
4.9	<i>Interchange Transactions and Reliability Coordination</i> Records relating to the coordination of power distribution through the Western Interconnection electric grid. Includes, but is not limited to: <ul style="list-style-type: none"> • E-tag schedules; • Estimated load, forecast or contracted amount; • Daily, next day and contingency coordination; • Scheduled, unscheduled, and pre-scheduled; • Real-time transactions; • Real-time systems monitoring (logs, computer screen shots, etc.); • Outage coordination. <i>Excludes reports of non-compliance covered by UT55-05D-21.</i> <i>Note: See INT-001-3, INT-003-2, INT-004-2, INT-009-1, INT-010-1, IRO-004-1, and IRO-005-2.</i>	UT2010-090 Rev. 0	Retain for 3 months or 90 days after report of data, whichever is later <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

LRC Draft



Washington State Archives
Office of the Secretary of State

Public Utilities Records Retention Schedule (UTILITIES)
Version 1.1 (September 2011)

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.10	LIGHTNING AND STORM DATA	UT55-05E-05 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
4.11	LINE INSPECTION REPORTS <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-06 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OPR
4.12	LINE TROUBLE REPORTS AND RECORDS <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-07 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
4.13	METER HISTORY DATA Historical data on each meter, including specification, serial number, location, and maintenance history.	UT55-05E-08 Rev. 0	Life of equipment	NON-ARCHIVAL NON-ESSENTIAL OFM
4.14	METER SHOP REPORTS Monthly/periodic reports summarizing test, repairs, and other work done on meters. <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-09 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
4.15	OPERATIONS LOGS AND REPORTS Including, but not limited to, equipment, operator, storage battery, substation, and transmission. <i>Note: See 18 CFR §125 14(a) and 14(b).</i>	UT55-05E-10 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
4.16	OUTAGE LOG <i>Note: See 18 CFR §125.3 14(b).</i>	UT55-05E-11 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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Public Utilities Records Retention Schedule (UTILITIES)
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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.17	POLE LIST Record of utility pole type, description, location, ancillary equipment, etc. <i>Note: See 18 CFR §125.3 14(c).</i>	UT55-05E-12 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM
4.18	POWER DEMAND CHARTS	UT55-05E-13 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
4.19	STREET LIGHT HISTORY RECORDS	UT55-05E-17 Rev. 0	Life of equipment	NON-ARCHIVAL NON-ESSENTIAL OFM
4.20	STREET OPENING INSPECTION AND REPAIR REPORTS <i>Note: See 18 CFR §125.3 23.1(j), National Association of Regulatory Utility Commissioners NARUC 23.1(j).</i>	UT55-05E-18 Rev. 0	Destroy when obsolete or superseded.	NON-ARCHIVAL NON-ESSENTIAL OFM
4.21	TRANSFORMER HISTORY DATA – NON-PCB Records documenting the history of transformers which do not contain Polychlorinated Biphenyls (PCBs). Includes specifications, location, and maintenance history. <i>Note: See UT55-05E-29 for history data of transformers containing Polychlorinated Biphenyls (PCBs).</i>	UT55-05E-20 Rev. 0	Life of equipment plus 10 years.	NON-ARCHIVAL ESSENTIAL OFM



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
4.22	<p>TRANSFORMER HISTORY DATA – PCB</p> <p>Records documenting the history of transformers which contain Polychlorinated Biphenyls (PCBs). Includes specifications, location, and maintenance history.</p> <p><i>Note: See UT55-05E-20 for history data of transformers not containing Polychlorinated Biphenyls (PCBs).</i></p> <p><i>Note: See 18 CFR §125.3 14(c). For PCB retention requirements. See 40 CFR § 761.180(b).</i></p>	<p>UT55-05E-29</p> <p>Rev. 0</p>	<p>Life of equipment plus 20 years.</p>	<p>NON-ARCHIVAL</p> <p>ESSENTIAL</p> <p>OFM</p>
4.23	<p>TRANSFORMER INSPECTION REPORTS</p> <p><i>Note: See 18 CFR §125.3 14(d) If equipment of facility has PCB content, retain record permanently to protect the agency's open-ended liability for the handling and disposal of hazardous substances.</i></p>	<p>UT55-05E-21</p> <p>Rev. 0</p>	<p>3 years</p>	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OFM</p>
4.24	<p>TURBINE HISTORY FILES</p> <p>Documentation of installation, operation, and maintenance logs, etc.</p> <p><i>Note: See 18 CFR §125.2(g)(1).</i></p>	<p>UT55-05E-26</p> <p>Rev. 0</p>	<p>Life of equipment</p>	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OFM</p>
4.25	<p>UNDERGROUND LINE FILES</p> <p>Data on underground lines, including location and specification.</p> <p><i>Note: See 18 CFR §125.3 21.</i></p>	<p>UT55-05E-23</p> <p>Rev. 0</p>	<p>Life of equipment.</p>	<p>NON-ARCHIVAL</p> <p>ESSENTIAL</p> <p>OFM</p>
4.26	<p>VOLTAGE CHARTS</p> <p>Documentation of voltage delivered to the power distribution system.</p> <p><i>Note: See 18 CFR §125.3 13.1(b).</i></p>	<p>UT55-05E-24</p> <p>Rev. 0</p>	<p>3 years</p>	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OFM</p>



5. POWER GENERATION

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.1	<p>Automatic Generation Control (AGC) Records documenting the management of the automatic generation system as it balances power distribution on the electric grid (and deploys reserve power when required).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Actual and scheduled frequency (megawatts distributed); • Actual and scheduled interchange transactions (size, start/end times, ramp times and rates, type required for delivery, receipt of power between utilities, etc.); • Disturbance occurrence; • Error corrections. <p><i>Note: See BAL-005-0.1b.</i></p>	UT2010-091 Rev. 0	Retain for 1 year after data collected <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
5.2	<p>BOILER TUBE FAILURE REPORT</p> <p><i>Note: See 18 CFR §125.3 13.1(a).</i></p>	UT55-05D-01 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.3	<p>COAL LOGS</p> <p><i>Note: See 18 CFR §125.3 13.1(a).</i></p>	UT55-05D-02 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.4	<p>DAM SAFETY COMPLIANCE REVIEW FILES - FEDERAL ENERGY REGULATORY COMMISSION (FERC)</p> <p>Files document the FERC regulatory process ensuring all incoming correspondence, outgoing correspondence, documentation, reports to FERC or reports from FERC are sent and received officially by the agency.</p>	UT55-05E-27 Rev. 0	3 Years	NON-ARCHIVAL NON-ESSENTIAL OFM

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5.5	EQUIPMENT LOGS Records of use and performance, including in and out times. <i>Note: See 18 CFR §125.3 13.1(b).</i>	UT55-05D-03 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.6	FISH COUNT REPORTS Periodic reports on fish population, including charts, summaries, and accounts of population increase and decrease and projects located in, on or adjacent to surface water.	UT55-05D-04 Rev. 0	Retain for 10 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
5.7	GAUGE READING REPORTS (OTHER THAN WATER OR RIVER FLOW) <i>Note: See 18 CFR §125.3 13.1(f).</i>	UT55-05D-05 Rev. 0	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.8	GENERATION AND OUTPUT LOGS WITH SUPPORTING DATA <i>Note: See 18 CFR §125.3 13.1(b).</i>	UT55-05D-06 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
5.9	HIGH-TENSION AND LOW-TENSION GENERATING LOAD RECORDS <i>Note: See 18 CFR §125.3 13.1(d).</i>	UT55-05D-07 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.10	HYDRO-ELECTRIC OPERATIONS LOGS AND REPORTS Includes daily and hourly logs, shift records, supervisors and plant operations daily diaries. May be needed for documentation of issues in litigation. <i>Note: See 18 CFR §125.3 14(b) and 18 CFR §125.3 13.1(b).</i>	UT55-05D-08 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.11	LOAD CURVES <i>Note: See 18 CFR §125.3 13.1(e).</i>	UT55-05D-09 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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5.12	LOAD DISPATCHER PERMITS <i>Note: See National Association of Regulatory Utility Commissioners NARUC 22.1(k).</i>	UT55-05D-10 Rev. 0	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
5.13	MAINTENANCE REPORTS For hydroelectric equipment and facilities performance and repairs. <i>Note: See National Association of Regulatory Utility Commissioners NARUC 22.1(b).</i>	UT55-05D-11 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.14	POLLUTION REPORTS/STUDIES Documentation and data compiled on to waste accumulation and pollution generated by or around facilities. Does not include hazardous materials. <i>Note: For documentation of pollution involving hazardous materials, see GS50-19-03 and GS50-19-06 in the Local Government Common Records Retention Schedule (CORE).</i>	UT55-05D-12 Rev. 0	Retain for 10 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
5.15	RECORDING INSTRUMENT CHARTS <i>Note: See 18 CFR §125.3 13.1(g).</i>	UT55-05D-13 Rev. 0	1 year	NON-ARCHIVAL NON-ESSENTIAL OFM
5.16	SPILL GATE DATA COLLECTED FOR ANNUAL REPORT TO THE FEDERAL ENERGY REGULATORY COMMISSION (FERC) REGARDING OPERATION OF EACH SPILLWAY	UT55-05E-28 Rev. 0	3 Years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.17	STATION AND SYSTEM GENERATION REPORTS Periodic reports on the amount of power being generated. <i>Note: See 18 CFR §125.3 13.1(c1).</i>	UT55-05D-14 Rev. 0	25 years	NON-ARCHIVAL NON-ESSENTIAL OPR
5.18	STATION LOAD PERMITS <i>Note: See National Association of Regulatory Utility Commissioners NARUC 22.1(k).</i>	UT55-05D-15 Rev. 0	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
5.19	TECHNICAL DATA FILES Periodic reports, charts, and miscellaneous data on weather, geology, hydrology, and topography created for reference use. <i>Note: See 18 CFR §125.3 38.</i>	UT55-05D-16 Rev. 0	Retain for 5 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
5.20	TEMPERATURE LOGS <i>Note: See 18 CFR §125.3 13.1(e).</i>	UT55-05D-17 Rev. 0	Retain for 3 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OFM
5.21	WATER LOGS <i>Note: See 18 CFR §125.3 13.1(e).</i>	UT55-05D-18 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
5.22	WATER/RIVER FLOW REPORTS <i>Note: See 18 CFR §125.3 13.1(f).</i>	UT55-05D-19 Rev. 0	Retain until no longer needed for agency business <i>then</i> Transfer to Washington State Archives.	ARCHIVAL (Permanent Retention) ESSENTIAL OPR



6. SEWER AND WATER SYSTEM DOCUMENTATION

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1	<p>BACKFLOW INCIDENT RECORDS Documentation of incidents of backflow contamination in water systems.</p> <p><i>Note: See WAC 246-290-490 (8)(a)(iii).</i></p>	UT55-06A-03 Rev. 0	5 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.2	<p>BACKFLOW PREVENTER INSPECTION AND INVENTORY Documentation required to be maintained on individual approved backflow preventers installed at water system service connections.</p> <p><i>Note: See WAC 246-290-490 (8)(a)(ii).</i></p>	UT55-06A-01 Rev. 0	5 years or life of backflow preventer, whichever is shorter.	NON-ARCHIVAL NON-ESSENTIAL OFM
6.3	<p>BACKFLOW PREVENTER MASTER LIST Master list of connections and premises for which backflow preventers are required, including names and addresses of owners.</p> <p><i>Note: See WAC 246-290-490 (8)(a)(i).</i></p>	UT55-06A-02 Rev. 0	Retain documentation of individual backflow preventers until connection no longer pose a contamination threat to the water distribution system.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.4	<p>CAPACITY STUDIES – SEWAGE TREATMENT PLANTS Studies of peak and average flow used to evaluate the status of treatment plant operating capacity.</p>	UT55-06B-01 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.5	<p>CHEMICAL ANALYSIS REPORTS – REGULATORY COMPLIANCE Records are compilations of finished data used to document compliance with State and Fed water quality regulations. Includes but is not limited to, annual inorganic reports and additional data summaries used to document compliance with State water quality regulations.</p> <p><i>Note: See 40 CFR § 141.33 and WAC 246-290-480(a).</i></p>	UT55-06A-27 Rev. 0	<p>Retain for the life of the water system <i>then</i> Arrange for appraisal by Washington State Archives.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.6	<p>CHEMICAL RAW DATA RECORDS – REGULATORY COMPLIANCE</p> <p>Records document chemical testing results of water samples taken from various locations throughout the water system and supply sources. Used to document compliance with State drinking water regulations. May include tab worksheets, sample run data, calibration test results, lab notebooks, bench sheets, etc.</p> <p><i>Note: See 40 CFR § 141.33; WAC 246-290-480(a).</i></p>	<p>UT55-06A-28</p> <p>Rev. 0</p>	Life of water system	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OPR</p>
6.7	<p>CROSS-CONNECTION CONTROL ANNUAL SUMMARY REPORTS</p> <p>Annual reports summarizing cross-connection control activities by water utilities required by the Washington State Department of Health.</p> <p><i>Note: See WAC 246-290-490 (8)(a)(iii).</i></p>	<p>UT55-06A-25</p> <p>Rev. 0</p>	5 years	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OPR</p>
6.8	<p>DEFECTIVE SIDE SEWER NOTICE</p> <p>Notification sent to individual property owners with defective side sewers, including a description of defects and requirements for repair.</p>	<p>UT55-06A-35</p> <p>Rev. 0</p>	6 years	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OPR</p>
6.9	<p>DISCHARGE MONITORING REPORTS – SEWAGE TREATMENT PLANTS</p> <p>Daily reports required by the Washington State Department of Ecology.</p>	<p>UT55-06B-02</p> <p>Rev. 0</p>	6 years	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OPR</p>
6.10	<p>EQUIVALENT CUSTOMER UNIT (ECU) REPORTS – SEWAGE TREATMENT PLANTS</p> <p>Annual report on volume of customers served by treatment plant.</p>	<p>UT55-06B-03</p> <p>Rev. 0</p>	6 years	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OFM</p>
6.11	<p>FACILITY RETIREMENT AUTHORIZATION – SEWER AND WATER SYSTEM DOCUMENTATION</p> <p>Official authorization for facility retirement, including basis of determination and estimates of cost.</p>	<p>UT55-06A-04</p> <p>Rev. 0</p>	Disposition or sale of facility plus 10 years	<p>NON-ARCHIVAL</p> <p>NON-ESSENTIAL</p> <p>OPR</p>

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6.12	FACILITY RETIREMENT WORK ORDER – SEWER AND WATER SYSTEM DOCUMENTATION Basic record of facility removal and replacement.	UT55-06A-05 Rev. 0	Disposition or sale of facility plus 10 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.13	FLOW RECORD – WATER SYSTEM DOCUMENTATION Documentation of volume in distribution system.	UT55-06A-06 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.14	FLOW REPORTS – SEWAGE TREATMENT PLANTS Daily reports of influent and effluent flow.	UT55-06B-04 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.15	FLUORIDE CHARTS – WATER SYSTEM DOCUMENTATION Test reports showing water usage and amount of fluoride in water system.	UT55-06A-07 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.16	GRINDER PUMP MAINTENANCE AND LOCATION RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION	UT55-06A-08 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM
6.17	HISTORY FILES – SEWAGE TREATMENT PLANTS Documentation of plant operations and compliance with state and federal permit requirements.	UT55-06B-07 Rev. 0	Retain for the life of the facility plus 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
6.18	HYDRANT RECORDS – WATER SYSTEM DOCUMENTATION Documentation of hydrant location, specifications, maintenance history, etc.	UT55-06A-09 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM

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6.19	INDUSTRIAL WASTE PERMITS – SEWER SYSTEM DOCUMENTATION Permits issued to industrial customers allowing them to discharge industrial waste into the local government sewer system.	UT55-06A-10 Rev. 0	Retain for 6 years after expiration of permit <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
6.20	INSPECTION AND MONITORING REPORTS – SEWER AND WATER SYSTEM DOCUMENTATION Reports on the system operating conditions such as chlorine test, laboratory reports, television surveillance tapes, telemetry, etc.	UT55-06A-17 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.21	LABORATORY PERFORMANCE EVALUATIONS – SEWAGE TREATMENT PLANTS Periodic blind test performed by the Washington State Department of Ecology.	UT55-06B-05 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.22	LEAD AND COPPER COMPLIANCE RECORDS Records used to document compliance with State and Federal drinking water regulations related to lead and copper monitoring. May include sampling data and analyses, reports, surveys, letters, evaluations, schedules, etc. <i>Note: See 40 CFR § 141.91.</i>	UT55-06A-29 Rev. 0	End of calendar year plus 12 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.23	LIMNOLOGY REPORTS Reports summarize long-term data used to evaluate changes in reservoir water quality and ecology. Includes biological, chemical, and physical data related to the water body in addition to conclusions and recommendations for improved water quality.	UT55-06A-30 Rev. 0	Life of the water system	NON-ARCHIVAL NON-ESSENTIAL OPR
6.24	MANHOLE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Documentation of location, installation, size, flow direction, maintenance, materials, etc.	UT55-06A-11 Rev. 0	PERMANENT	NON-ARCHIVAL ESSENTIAL OPR

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6.25	MAPS AND GEOGRAPHIC DATA – SEWER AND WATER SYSTEM DOCUMENTATION	UT55-06A-18 Rev. 0	PERMANENT	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
6.26	METER RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Account of water meter installation, serial number, location, etc.	UT55-06A-12 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OPR
6.27	OPERATIONS AND MAINTENANCE MANUALS – SEWAGE TREATMENT PLANTS	UT55-06B-06 Rev. 0	PERMANENT	NON-ARCHIVAL ESSENTIAL OPR
6.28	OPERATORS LOG – SEWAGE TREATMENT PLANTS	UT55-06B-08 Rev. 0	PERMANENT	NON-ARCHIVAL ESSENTIAL OPR
6.29	PIPE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Records of pipe installation, location, specifications, maintenance history, etc.	UT55-06A-13 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM
6.30	POLLUTION AND POLLUTION CONTROL STUDIES – SEWER AND WATER SYSTEM DOCUMENTATION Studies and reports regarding levels and means of control for water, air and other types of pollution caused by district facilities and operations.	UT55-06A-14 Rev. 0	Retain for 5 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
6.31	POLLUTION CONTROL INSPECTION REPORTS – SEWER AND WATER SYSTEM DOCUMENTATION Reports on levels of pollutants being discharged, processed, and removed through the system. Also measurements of pollutants in system's effluent.	UT55-06A-15 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.32	PROJECT FILES – SEWER AND WATER SYSTEM DOCUMENTATION Official account of various water system construction projects, including work orders, ledgers, studies, etc.	UT55-06A-19 Rev. 0	Life of facility plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.33	SANITARY SURVEY COMPLIANCE FILES Records document the agency's response to sanitary survey findings. May include list of findings or deficiencies submitted by the State, documentation of corrective action taken or explanations of why repairs cannot be made, out of service orders, spreadsheets used to track completion of repairs, and additional supporting documentation. <i>Note: See WAC 246-290-480(c).</i>	UT55-06A-31 Rev. 0	Completion of survey and applicable corrective action plus 10 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.34	SEWER JETTING AND VACTORING RECORDS Documentation of routine cleaning of sewer lines.	UT55-06A-16 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.35	SURFACE WATER GROUNDWATER PERMIT FILES Documents the amount, function, and use of surface and groundwater. Includes background and permit files	UT55-06B-12 Rev. 0	Termination of permit plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
6.36	VALVE RECORDS – SEWER AND WATER SYSTEM DOCUMENTATION Account of valve location, specifications, maintenance history, etc.	UT55-06A-20 Rev. 0	Life of equipment	NON-ARCHIVAL ESSENTIAL OFM
6.37	VIBRATION ANALYSIS DATA – SEWAGE TREATMENT PLANTS Data collected on treatment plant equipment for use in preventative maintenance and troubleshooting.	UT55-06B-10 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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6.38	WATER AND SEWER SYSTEM COMPREHENSIVE PLANS	UT55-06A-22 Rev. 0	PERMANENT	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
6.39	WATER AND SEWER SYSTEM EMERGENCY INCIDENT REPORTS Reports documenting incidents that damage or disrupt the operation of water and sewer systems, including date, time, type of incident, and measures taken to resolve the problem, clean up contaminants and restore service.	UT55-06A-26 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.40	WATER AVAILABILITY / SEWER SYSTEM HOOKUP REQUEST FORMS May be required for building permit for properties hooked up to a provider's water supply and/or sewer system.	UT55-06A-36 Rev. 0	2 years	NON-ARCHIVAL NON-ESSENTIAL OFM
6.41	WATER CONSUMPTION REPORTS – SEWAGE TREATMENT PLANTS	UT55-06B-11 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.42	WATER FACILITIES INVENTORY (WFI) FORM Inventory of water system updated and reported annually to the Washington State Department of Health. Information includes identification of water sources, number of connections, population served, type of treatment used, type of system, contact information, etc.	UT55-06A-32 Rev. 0	End of calendar year plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
6.43	WATER QUALITY MONITORING WAIVERS Requests submitted to the Washington State Department of Health for exceptions from the water quality monitoring requirements. May include waiver application, approval/denial from State, correspondence, etc. <i>Note: See 40 CFR § 141-33(d).</i>	UT55-06A-33 Rev. 0	Upon revocation, expiration or denial of waiver plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR

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6.44	<p>WATER QUALITY VIOLATION NOTICES</p> <p>Records are notices to consumers informing them when water supply is out of compliance with drinking water regulations. Information includes description of violation, violation date, populations affected, actions consumers can take, summary of corrective action, etc. Also includes documentation of notice distribution (media, web, mail, etc.).</p> <p><i>Note: See WAC 246-290-480(f).</i></p>	<p>UT55-06A-34</p> <p>Rev. 0</p>	<p>Retain for 6 years after issuance of notice <i>then</i> Arrange for appraisal by Washington State Archives.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
6.45	<p>WATER TEST REPORTS</p> <p>Tests and correspondence related to Health Department or District requirements.</p>	<p>UT55-06A-21</p> <p>Rev. 0</p>	<p>6 years</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
6.46	<p>WILDLIFE HABITAT MANAGEMENT PLAN – SEWER AND WATER SYSTEM DOCUMENTATION</p>	<p>UT55-06A-23</p> <p>Rev. 0</p>	<p>PERMANENT</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>



7. SURFACE WATER DRAINAGE DOCUMENTATION

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.1	DIKING AND DRAINAGE DISTRICT HISTORY FILES Documentation on the formation, location, and activities in each district.	UT50-27-01 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.2	DIKING AND DRAINAGE FACILITY MAINTENANCE HISTORY FILES Documentation of ongoing inspection and maintenance.	UT50-27-02 Rev. 0	Life of facility.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.3	DIKING AND DRAINAGE MAINTENANCE PROJECT FILES Documentation of requests for funding and execution of non-routine maintenance projects.	UT50-27-03 Rev. 0	Completion of project plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
7.4	DRAINAGE AND WATER QUALITY COMPLAINT AND INVESTIGATION FILES Complaints filed by citizens regarding drainage and surface water quality conditions in areas of agency jurisdiction.	UT50-27-04 Rev. 0	Retain for 6 years after resolution of complaint <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
7.5	DRAINAGE BASIN AND WATERSHED HISTORY FILES Background documentation for planning and capital improvement projects as well as lawsuits.	UT50-27-05 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM

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7.6	FLOOD CONTROL PLAN Comprehensive management plans for flood control within the agency's jurisdiction.	UT50-27-06 Rev. 0	Clerk of governing council, commission, or board - PERMANENT - 1 copy archival.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
7.7	FLOOD CONTROL PLAN DEVELOPMENT FILES Documentation of the development of the agency's current flood control plan.	UT50-27-07 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.8	FLOOD DAMAGE SURVEY REPORTS Documentation of physical and monetary damage done by individual floods submitted in support of requests for federal disaster assistance aid.	UT50-27-08 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
7.9	FLOOD FILES Documentation of significant individual floods and flooding issues.	UT50-27-09 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.10	MONITORING, TEST AND SAMPLE DATA SURFACE WATER, DRAINAGE, AND FLOOD CONTROL Surface water, flood, and drainage related data collected by the agency, including stream flow, rainfall, and water samples.	UT50-27-10 Rev. 0	Retain for 6 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM

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7.11	NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM (NPDES) PERMIT – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL	UT55-06A-24 Rev. 0	Retain for 6 years after expiration of permit <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
7.12	PLANNING REPORTS, STUDIES, MODELS AND ANALYSIS – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL	UT50-01-57 Rev. 0	Retain for 5 years <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.13	RIVER MANAGEMENT PROJECT FILES Document requests for funding and execution of river improvement projects.	UT50-27-12 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
7.14	RIVER MODELING FILES Documentation of characteristics and conditions of individual rivers used for developing plans and projects.	UT50-27-13 Rev. 0	Retain until no longer needed for agency business <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
7.15	SURFACE WATER/DRAINAGE CAPITAL IMPROVEMENT PROJECTS Documentation of design and development work done on construction projects intended to relieve drainage and other surface water management problems. <i>Note: For construction project files, plans, and specifications retention requirements, see the Public Works - Engineering section in the Local Government General Records Retention Schedule (LGRRS).</i>	UT50-27-15 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR

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Washington State Archives
Office of the Secretary of State

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Version 1.1 (September 2011)

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
7.16	SURFACE WATER MANAGEMENT PROJECT PLANS AND SPECIFICATIONS	UT50-27-14 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) ESSENTIAL OPR
7.17	WATER QUALITY PROJECT FILES – SURFACE WATER, DRAINAGE, AND FLOOD CONTROL Documentation of planning projects for improvement of surface water quality.	UT50-27-16 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
7.18	WATERSHED MANAGEMENT POLICY FILES Background documentation for agency surface water management policy development projects.	UT50-27-17 Rev. 0	Retain for 6 years after completion of project <i>then</i> Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM



8. UTILITIES ACCOUNTING

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.1	BILLING STATEMENTS (CARDS) Statements of money due for utility services, including amount due, balance, account number, and customer's name.	UT55-05B-01 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.2	BILLING STUBS	UT55-05B-02 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.3	BILLING SUMMARIES (REGISTERS)	UT55-05B-03 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.4	COLLECTION AGENCY REPORTS	UT55-05B-04 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.5	CUSTOMER ACCOUNT ADJUSTMENT FILES Includes applications for low income/senior discount/rate reduction.	UT55-05B-05 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.6	CUSTOMER ACCOUNT INDEX	UT55-05B-06 Rev. 0	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
8.7	CUSTOMER CREDIT FILES	UT55-05B-07 Rev. 0	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM
8.8	DELINQUENT ACCOUNT LISTS	UT55-05B-08 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.9	DEPOSIT RECEIPTS	UT55-05B-09 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.10	DEPOSIT REGISTER	UT50-03B-15 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.11	DISCONNECTION NOTICES	UT55-05B-11 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.12	ELECTRIC UTILITY ADVERTISEMENTS File copies of advertisements for service provided by electric utilities as individual entities or as part of a larger group. <i>Note: See 18 CFR §125.3 3(42).</i>	UT55-05B-13 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.13	ELECTRIC UTILITY GENERAL AND SUBSIDIARY LEDGERS, JOURNALS, AND INDEXES Ledgers, journals, and indexes documenting funds and functions relating to the finances of electric utilities. <i>Note: See 18 CFR §125.3 6(a).</i>	UT55-05B-12 Rev. 0	10 years	NON-ARCHIVAL ESSENTIAL OPR
8.14	ELECTRIC UTILITY PLANT LEDGERS <i>Note: See 18 CFR §125.3 16(a).</i>	UT55-05B-28 Rev. 0	25 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.15	FEDERAL AND STATE REGULATORY COMMISSIONS Includes annual financial, operating and statistical and PURPA reports. <i>Note: See 18 CFR §125.3 41.</i>	UT55-05B-14 Rev. 0	5 years	NON-ARCHIVAL NON-ESSENTIAL OPR

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.16	FINAL CLOSURE OF ACCOUNT SCHEDULES	UT55-05B-15 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.17	JOURNAL VOUCHERS AND INDEXES FOR ELECTRIC UTILITIES <i>Note: See 18 CFR §125.3 8(a).</i>	UT55-05B-17 Rev. 0	10 years	NON-ARCHIVAL ESSENTIAL OPR
8.18	LOW INCOME/SENIOR CITIZEN DISCOUNT/TAX EXEMPTION APPLICATIONS	UT55-05B-27 Rev. 0	Termination plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
8.19	METER READING CARDS	UT55-05B-19 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.20	RATE AND BILLING SYSTEM DEVELOPMENT DOCUMENTATION Service rate calculations and documentation on billing and collection systems. <i>Note: See 18 CFR §125.3 30.</i>	UT55-05B-20 Rev. 0	Completion of rate schedule plus 6 years.	NON-ARCHIVAL NON-ESSENTIAL OFM
8.21	RATE AND COLLECTION SYSTEM REVISION NOTICES Notices to customers of changes in billing rates and collection policies and procedures.	UT55-05B-21 Rev. 0	Destroy when obsolete or superseded.	NON-ARCHIVAL NON-ESSENTIAL OFM
8.22	RATE SCHEDULES Official proceedings and approval. <i>Note: See 18 CFR §125.3 30.</i>	UT55-05B-22 Rev. 0	Clerk of governing council, commission or board - PERMANENT - 1 copy archival.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
8.23	SERVICE APPLICATIONS	UT55-05B-24 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
8.24	SERVICE ORDERS	UT55-05B-25 Rev. 0	6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
8.25	UNCOLLECTABLE ACCOUNT LISTS	UT55-05B-26 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM
8.26	UTILITY CUSTOMER DEPOSIT LISTING <i>Note: See 18 CFR §125.3 36.</i>	UT55-05B-29 Rev. 0	Termination of account plus 3 years.	NON-ARCHIVAL NON-ESSENTIAL OPR
8.27	UTILITY METER READINGS/USAGE DOCUMENTATION	UT55-05B-18 Rev. 0	3 years	NON-ARCHIVAL NON-ESSENTIAL OFM



9. NUCLEAR UTILITIES

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.1	<p>Corrective Action Reports – Quality Assurance Records (Lifetime) Lifetime Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to the identification, cause, and corrective action of a condition adverse to quality.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Failures, malfunctions, deficiencies, and deviations; • Defective material and equipment; • Nonconformance. <p><i>Note: See ANSI N45.2.9-1974 Appendix A reference to Nonconformance Reports and ANSI N45.2.9-1974 section 2.2.1 for definition of Lifetime Quality Assurance Record.</i></p>	UT2011-155 Rev.0	<p>Retain for 6 years after plant decommissioned <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>
9.2	<p>Corrective Action Reports – Quality Assurance Records (Nonpermanent) Nonpermanent Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to the identification, cause, and corrective action of a condition adverse to quality.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Principal maintenance activities; • Surveillance activities; • Inspections and calibrations. <p><i>Note: See ANSI N45.2.9-1974 Appendix A section A.6.1 reference to records designated as Nonpermanent and ANSI N45.2.9-1974 section 2.2.2 for definition of Nonpermanent Quality Assurance Record.</i></p>	UT2011-156 Rev. 0	<p>Retain for 6 years after disposal of asset <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.3	<p>Employee Assignment History Records documenting employee (includes contractors and volunteers) work assignments and activities at the nuclear facility, which may be used to reconstruct a worker's history and thus estimate their radiation dose.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Work orders (preventative maintenance, elective maintenance, corrective maintenance, scaffolding permits, surveillance tests, tag-outs, etc) • Work assignments; • Job control plans; • Job briefings; • Dosimeter and protective clothing requirements. <p><i>Note: See ANI Information Bulletin 80-1A Section V and ANSI N45.2.9 Appendix A section A.6.</i></p>	UT2011-157 Rev. 0	<p>Retain for 100 years after employee's date of birth <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR</p>
9.4	<p>Nuclear Operations – Quality Assurance Records (Lifetime) Lifetime Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to operations following the startup of the nuclear plant facility.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Fuel program quality assurance records (fuel inspection records, fuel design documents, as-built fuel QA records, nuclear materials accountability records); • Unit design modifications made to systems and equipment described in the plant or ISFSI Final Safety Analysis Report; • Transient or operational cycling records for those plant components designed to operate safely for a limited number of transients or operation cycles. <p><i>Note: See ANSI N45.2.9 Appendix A sections A.6 for additional examples.</i></p>	UT2011-158 Rev. 0	<p>Retain for 6 years after plant decommissioned <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.5	<p><i>Nuclear Operations – Quality Assurance Records (Nonpermanent)</i> Nonpermanent Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to operations following the startup of the nuclear plant facility.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Normal nuclear unit operation, including power levels and periods of operation at each power level; • Reportable occurrence records; • Records of surveillance activities, inspections, and calibrations required by the plant and independent spent fuel storage installation (ISFSI) technical specifications; • Principal maintenance activities, including inspection, repair, substitution or replacement of principal items of equipment pertaining to nuclear safety; • Special reactor test or experiment records. <p>Excludes records covered by UT2011-157 and UT2011-162.</p> <p><i>Note: See ANSI N45.2.9 Appendix A sections A.6 for additional examples.</i></p>	<p>UT2011-159 Rev. 0</p>	<p>Retain for 6 years after end of calendar year <i>then</i> Destroy.</p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.6	<p><i>Pre-Operational Phase – Quality Assurance Records (Lifetime)</i> Lifetime Quality Assurance Records as defined by American National Standards Institute (ANSI) standard N45.2.9 and relating to the initial construction and startup of the nuclear power facility.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Major defect repair records; • Final inspection reports and releases; • Startup test procedures and results; • Reactor protection system tests and results. <p><i>Note: See ANSI N45.2.9-1974 Appendix A sections A.1 – A.5 for additional examples. Nonpermanent pre-operational phase quality assurance records are covered by CORE series Construction Project Files (GS50-18-10).</i></p>	UT2011-160 Rev. 0	<p>Retain for 6 years after plant decommissioned <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>
9.7	<p><i>Radiological Indoctrination, Training and Retraining</i> Records relating to the radiation protection training of employees (including contractors), visitors, and escorted personnel, which provide evidence of training/education/sufficient warning of radiation hazards and safe work practices</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Instructor manuals, syllabi, lesson plans, handouts, rules, quizzes, tests, video and audio instruction materials with the dates and lessons in which they were used; • Responses, acknowledgements of training, and attendance sheets with attendees' signatures; • Initial and periodic quantitative respirator fit tests. <p><i>Note: See ANI Information Bulletin 80-1A Section II.</i></p>	UT2011-161 Rev. 0	<p>Retain for 100 years after date of training <i>then</i> Transfer to Washington State Archives for appraisal and selective retention..</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.8	<p><i>Radiological/Contamination Monitoring</i> Records relating to the processes, equipment used, and results for the monitoring of radiological contamination.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Plant radiation and contamination surveys; • Environmental licensing, monitoring and effluent measure records; • Radioactive shipment and release/waste disposal reports; • Instrumentation and calibration records; • Equipment tests; • Sealed source and fission detector leak tests and results; • Annual physical inventory of all sealed source material of record. <p><i>Note: See ANI Information Bulletin 80-1A Section III and IV.</i></p>	UT2011-162 Rev. 0	<p>Retain for 100 years after end of calendar year <i>then</i> Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>

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ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.9	<p>Security Monitoring (Nuclear Facilities) – No Incident Records relating to the implementation of security programs and contingency plans designed to prevent (and respond to) threats, thefts, and sabotage relating to special nuclear material, high-level radioactive wastes, nuclear facilities, and other radioactive materials and activities regulated by the United States Nuclear Regulatory Commission (U.S.NRC), where no incident has occurred.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Routine patrol logs; • Access/entry logs; • Vital area door tests; • Records relating to the protection of safety-related systems. <p>Excludes official agency policy and procedure directives and plans (physical security, local law enforcement, cyber security, etc.) covered by CORE DAN GS50-01-24.</p> <p><i>Note: See 10 CFR 73.54 and 10 CFR 73.55.</i></p>	UT2011-163 Rev. 0	Retain for 3 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR



ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
9.10	<p><i>Security Monitoring (Nuclear Facilities) – Incident</i> Records relating to the investigation of threats, thefts, and sabotage (actual or suspected) relating to special nuclear material, high-level radioactive wastes, nuclear facilities, and other radioactive materials and activities regulated by the United States Nuclear Regulatory Commission (U.S.NRC), <i>where an incident <u>has</u> occurred.</i></p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Investigation records and reports; • Routine patrol logs; • Access/entry logs; • Vital area door tests; • Records relating to the protection of safety-related systems. <p>Excludes official agency policy and procedure directives and plans (physical security, local law enforcement, cyber security, etc.) covered by CORE DAN GS50-01-24.</p> <p><i>Note: See 10 CFR 73.54 and 10 CFR 73.55.</i></p> <p><i>Note: If litigation commences, these records become part of the litigation case file and are covered by GS53-02-04.</i></p>	UT2011-164 Rev. 0	<p>Retain for 6 years after investigation finalized <i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p style="text-align: center;">ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>



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. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives (WSA).

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. Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.

ANI

American Nuclear Insurers.

A joint underwriting association created by insurance companies in the United States with a purpose to pool the financial assets pledged by member companies to provide the significant amount of property and liability insurance required for nuclear power plants and related facilities throughout the world.

ANSI

American National Standards Institute.

A joint underwriting association created by insurance companies in the United States with a purpose to pool the financial assets pledged by member companies to provide the significant amount of property and liability insurance required for nuclear power plants and related facilities throughout the world.

BAL

Resource and Demand Balancing reliability standards.

Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.



CFR

Code of Federal Regulations.

The codification of the general and permanent rules published in the Federal Register by the executive departments and agencies of the Federal Government.

CIP

Critical Infrastructure Protection.

Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere

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 Local Records Committee.

Essential Records

Public records that local 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. Copies of master indexes, lists, registers, tracking systems, databases and other finding aids should also be transferred with the records.

INT

Interchange Scheduling and Coordination reliability standards.

Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.

IRO

Interconnection Reliability Operations and Coordination reliability standards.

Standards issued by the North American Electric Reliability Corporation to which bulk electric systems of North America must adhere.



Local Records Committee

The committee established by RCW 40.14.070 to review and approve disposition of local government records.

Its three members include the State Archivist and one representative each from the Offices of the Attorney General and the State Auditor.

Migration

The periodic transfer of data from one electronic system to another in order to ensure continued integrity and accessibility of data despite changes over time in hardware, software, and storage media.

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.

Obsolete

Public records which are no longer relevant to current program or primary functional responsibilities of a department or office.

Office of Record

The group, department, or office within an agency responsible for maintaining a primary record from creation (or receipt) through disposition.

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.”

Permanent – See *Archival (Permanent Retention)* and *Non-Archival*.

Potentially Archival or **Potential Archival Value** – See *Archival (Appraisal Required)*.

Primary Records

The original record (whether created or received by the agency) which serves as the official record, and must be retained in accordance with a current approved records retention schedule.

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.

Secondary Records

Copies (or duplicates) of the agency’s primary records used for specific legal, fiscal, or administrative purposes.

Secondary records exist for convenience of reference, or for informational purposes, and may be discarded when no longer needed for agency business in accordance with GS50-02-04.



Security Microfilm

Silver duplicate or first-generation microfilm which is stored at Washington State Archives under strictly-controlled environmental conditions and serves as an emergency/disaster back-up, in accordance with chapter 40.10 RCW.

Washington State Archives provides security microfilm storage and inspection services to local government agencies.



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"LGRRS" refers to the Local Government General Records Retention Schedule.

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**For assistance and advice in applying this records retention schedule,
please contact Washington State Archives at:recordsmanagement@sos.wa.gov or contact your Regional Archivist.**

III. NEW BUSINESS/ACTION ITEMS

B. School Districts and Educational Service Districts Records Retention Schedule (Version 7.2)

- *Revision Guide*
- *Letter from Washington Association of School Business Officials Records Management Committee (WASBO);*
- *Travel Permission/Field Trip Review*
- *Scope of Preserving Parental Permissions in the Seattle School District*
- *State by State Comparison*



This schedule applies to: School Districts and Educational Service Districts

Scope of records retention schedule

This records retention schedule covers the public records of School Districts and Educational Service Districts relating to the function of education. It is to be used in conjunction with the *Local Government Common Records Retention Schedule (CORE)*, which can be found at:

<http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx>.

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 local resources.

Public records designated as Archival (Permanent Retention) or Permanent must not be destroyed. Records designated as Archival (Appraisal Required) or Potentially Archival 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 RCW 42.56. 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 approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. Local government agencies 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 Local Records Committee in accordance with RCW 40.14.070 on September 29, 2011.

For the State Auditor: Mark Rapozo

For the Attorney General: Cindy Evans

The State Archivist: Jerry Handfield



Revision History

Version	Date of Approval	Extent of Revision
1.0	1976	Initial version.
2.0	1980	
2.1	1982-1983	
3.0	January 1, 1986	Major revision. Major revision and multiple updates.
4.0	March 31, 1994	
5.0	March, 1999	
5.1	July, 2001	
5.2	December, 2001	
6.0	March 27, 2003	
6.1	May, 2007	Online version; updated electronic records information.
7.0	July 29, 2008	Major revision. Records series common to all local government agencies now appear in the new <i>Local Government Common Records Retention Schedule (CORE)</i> and have been removed from this schedule. All Disposition Authority Numbers (DANs) in the now begin with the prefix "SD".
7.1	July 30, 2009	Changes to structure/format only; no changes to records series. Indexes added.
7.2	September 29, 2011	Attendance/Absence section completely revised. Records series covering field trips and parental permissions updated. Two new records series added, 14 revised, and 18 discontinued. (Please see Revision Guide for details.) Revision numbers added and previous revision notes removed. Secondary record column deleted. (Secondary records are covered by CORE DAN GS50-02-04.)



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1. AGENCY MANAGEMENT

This section covers records relating to agency management which are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

1.1. BOARDS, COUNCILS AND COMMITTEES

The activity of documenting the business of decision-making bodies, and the administrative arrangements and support provided to them.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
1.1.1	ASSOCIATED STUDENT BODY (ASB) – BYLAWS	OPR	PERMANENT – 1 copy potential archival value – See remarks.	SD51-01-08 Rev. 0	Contact your Regional Archivist. Records from the series may be selected to be transferred and preserved at a Regional Archives Branch.
1.1.2	ASSOCIATED STUDENT BODY (ASB) – MINUTES	OPR	PERMANENT – 1 copy potential archival value – See remarks.	SD51-20-01 Rev. 0	Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.



1.2. COMMUNITY RELATIONS

The activity of the local government agency's interaction with its community.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
1.2.1	DESCRIPTIVE GUIDE TO SCHOOL DISTRICT ADMINISTRATION AND BUILDINGS	OPR	PERMANENT – 1 copy potential archival value – See remarks.	SD51-05-05 Rev. 0	Contact your Regional Archivist. Records from this series may be selected for transfer to and preservation at a Regional Archives branch.



1.2. COMMUNITY RELATIONS

The activity of the local government agency's interaction with its community.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
1.2.2	<p>HISTORICAL RECORDS, MATERIALS AND ARTIFACTS THAT SHOULD BE RETAINED FOR COMMEMORATIVE EVENTS AND DISPLAYS</p> <p>Records documenting significant events or milestones of individual schools, school districts, and educational service districts, where these events are not documented in other records (such as board minutes, students transcripts, etc.)</p> <p>May include, but is not limited to:</p> <ul style="list-style-type: none"> • Award Lists • Class Activities Materials • Baccalaureate and Commencement Programs • Cumulative Class Rankings • Diploma Order Lists • Exhibits • Final Grade Point Summaries; Honor Roll Lists • Graduating Class History Files • Yearbooks/Annuals <p><i>Use DAN SD51-20-10 for GRADUATE LIST.</i></p> <p><i>Note: Other historical materials and artifacts (non-records) should also be retained by the school for commemorative events and displays (school reunions, centennials, etc.) or made available to local heritage organizations. Items may include banners, posters, trophies, uniforms, etc.</i></p>	OPR	PERMANENT – potential archival value – See remarks.	SD51-01-52 Rev. 0	Contact your Regional Archivist. Records from this series may be selected for transfer to and preservation at a Regional Archives branch.



1.2. COMMUNITY RELATIONS

The activity of the local government agency's interaction with its community.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
1.2.3	PHOTO/MEDIA RELEASE FORM – EXTERNAL Records documenting permission, or denial of permission, to use student images by non-school district parties such as television/radio stations, newspapers, school photographers, etc. Student images include, but are not limited to, photos, video, and audio recordings.	OFM	3 years after end of school year.	SD51-20-08 Rev. 0	
1.2.4	PHOTO/MEDIA RELEASE FORM – INTERNAL Records documenting permission, or denial of permission, to use student images recorded during official school activities/events, by staff or students in an official capacity (e.g. school newspaper, annual staff, etc.) Student images include, but are not limited to, photos, video, and audio recordings.	OFM	Retain for current school year.	SD51-20-09 Rev. 0	
1.2.5	PUBLIC RESEARCH ACCESS REQUEST Request for access to district records for research purposes. <i>See DAN GS50-09-04 for public disclosure requests.</i>	OFM	Resolution of request plus 3 years.	SD51-01-35 Rev. 0	
1.2.6	PUBLIC RESEARCH ACCESS REQUEST LOG	OFM	Last entry in log plus 3 years.	SD51-01-39 Rev. 0	



1.2. COMMUNITY RELATIONS

The activity of the local government agency's interaction with its community.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	RETENTION AND DISPOSITION ACTION	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
1.2.7	SCHOOL BULLETINS AND NEWSPAPERS	OFM	Retain until appraised by Regional Archivist. Potential archival value. See remarks.	SD51-06F-03 Rev. 0	These records must be appraised by your Regional Archivist. Contact your Regional Archives to arrange for appraisal and transfer.
1.2.8	STUDENT HANDBOOK/CALENDAR	OFM	Retain until appraised by Regional Archivist. Potential archival value. See remarks.	SD51-06F-04 Rev. 0	These records must be appraised by your Regional Archivist. Contact your Regional Archives to arrange for appraisal and transfer.



1.3. CONTRACTS / AGREEMENTS

The activity of managing contracts and agreements entered into by the local government agency and processes involved in the development of such contracts and agreements.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
1.3.1	VENDOR FILES Includes vendor lists, changes, additions, and deletions.	OFM	3 years or until completion of State Auditor's examination report.	SD51-02-30 Rev. 0	



1.4. PLANNING, MISSION, AND CHARTER

The activity of documenting and determining the local government agency's objectives, and the means for obtaining them.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
1.4.1	DEMOGRAPHIC AND ENROLLMENT PROJECTIONS	OFM	3 years.	SD51-07-08 Rev. 0	
1.4.2	<p>School Safety Plans Records relating to the agency's plans for ensuring student and staff safety at school.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Safe school plans prepared in accordance with RCW 28A.320.125; • Harassment, intimidation and bullying prevention plans prepared and maintained in accordance with RCW 28A.300.285. 	OPR	Retain for 6 years after obsolete or superseded <i>then</i> Destroy.	SD2011-153 Rev. 0	



1.5. REPORTING					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
1.5.1	<p>Reporting – Office of the Superintendent of Public Instruction (OSPI) – General</p> <p>Records relating to reports required to be submitted to the Office of the Superintendent of Public Instruction (OSPI) in accordance with Title RCW 28A RCW and Title 392 WAC, where not covered by a more specific records series. Includes records documenting revisions/corrections.</p> <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> • Absence report (for apportionment/count, P-223); • Alternative Learning Experience (ALE) enrollment (WAC 392-121-182); • Ethnicity and race data (RCW 28A.30.505); • Graduation and dropout data; • School safety plan <u>summary</u> (RCW 28A.300.285); • Truancy report; • Weapons and student behavior data. <p>Excludes school safety <u>plans</u> covered by SD2011-153.</p>	OPR	<p>Retain for 4 years after submission of report or completion of State Auditor’s examination report, whichever is sooner <i>then</i> Destroy.</p>	SD51-01-37 Rev. 1	



1.6. RISK MANAGEMENT / INSURANCE

The activity of identifying and mitigating risks to the local government agency.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
1.6.1	EMERGENCY INFORMATION FORM FOR STUDENTS AND STAFF	OFM	Retain for current school year.	SD51-01-51 Rev. 0	
1.6.2	INSURANCE CERTIFICATES Insurance where the school district is a third party. Provides protection to district in case of incident/accident during event/activity.	OFM	Expiration of certificate plus 3 years.	SD51-05C-32 Rev. 0	



2. ASSET MANAGEMENT

This section covers records relating to asset management which are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

2.1. REPORTING					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
2.1.1	Reporting – Operating Savings (Major Facility Projects) Reports submitted to the Washington State Department of General Administration documenting operating savings resulting from implementation of Leadership in Energy and Environmental Design (LEED) silver standards in major facility projects in accordance with <u>RCW 39.35D.030</u> .	OPR	Retain for 4 years after submission of report or completion of State Auditor’s examination report, whichever is sooner <i>then</i> Destroy.	SD51-12-03 Rev. 1	



2.2. MAINTENANCE

The activity of repairing or servicing the assets of the local government agency. Includes buildings, vehicles, and equipment.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
2.2.1	BUS CONDITION CHECKLIST Daily evaluation of bus by drivers.	OFM	1 year.	SD51-05G-04 Rev. 0	



2.3. OPERATIONS

The activity of managing the day-to-day usage of the local government agency's buildings, vehicles and equipment.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
2.3.1	BUS OPERATIONS DAILY LOG May show bus route, time trip began and ended, number of pupils carried, and driver's signature.	OPR	6 years.	SD51-05G-06 Rev. 0	
2.3.2	BUS SCHEDULE FOR ALL SCHOOLS Shows route, stops and time for each bus. Includes state approved route map.	OFM	3 years.	SD51-05G-07 Rev. 0	
2.3.3	FUEL/OIL RECORDS FOR INDIVIDUAL BUSES AND OTHER VEHICLES May list vehicle number, amount of fuel pumped, odometer reading, etc.	OFM	3 years.	SD51-05G-12 Rev. 0	



3. EDUCATIONAL SERVICE DISTRICTS

3.1. ADMINISTRATION

Reference RCW 28A.310.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
3.1.1	BOARD AND REGIONAL COMMITTEE ELECTION CERTIFICATES	OPR	PERMANENT.	SD51-11-01 Rev. 0	
3.1.2	BOUNDARY RECORDS	OPR	PERMANENT – 1 copy potential archival value.	SD51-11-02 Rev. 0	Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.
3.1.3	COUNTY SUPERINTENDENT OF SCHOOLS RECORDS	OPR	These records are archival and should be transferred to the nearest Regional Archives Branch.	SD51-11-03 Rev. 0	Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.



3.2. INSTRUCTOR / TEACHER CURRICULUM AND INSTRUCTION

Reference RCW 28A.310.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
3.2.1	CLASS/WORKSHOP RECORDS If offered for fee or credit.	OPR	6 years after close of fiscal year.	SD51-13-01 Rev. 0	
3.2.2	CLOCK HOUR RECORDS	OPR	7 years.	SD51-12-01 Rev. 0	WAC 181-85-205
3.2.3	INSERVICE ATTENDANCE REPORTS	OPR	6 years after close of fiscal year.	SD51-12-02 Rev. 0	
3.2.4	PROGRAM APPLICATIONS	OPR	6 years after close of fiscal year.	SD51-12-04 Rev. 0	
3.2.5	REGIONAL DRUG AND ALCOHOL SURVEYS	OFM	6 years after close of fiscal year – potential archival value – See remarks.	SD51-12-05 Rev. 0	Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.



3.3. LEARNING RESOURCE CENTER

Reference RCW 28A.310.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
3.3.1	LEARNING RESOURCE CENTER (LRC) SELECTION ADVISORY COMMITTEE PURCHASE RECOMMENDATIONS (VOTING TABULATION)	OPR	3 years after close of fiscal year.	SD51-13-03 Rev. 0	
3.3.2	TEACHER EVALUATION FORMS OF LEARNING RESOURCE CENTER (LRC) COLLECTIONS Includes files, etc.	OPR	3 years after close of fiscal year.	SD51-13-04 Rev. 0	



3.4. TEACHER CERTIFICATION

Reference RCW 28A.310.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
3.4.1	CERTIFICATE APPLICATION FEES RECEIPT BOOK	OPR	6 years after close of fiscal year.	SD51-14-01 Rev. 0	
3.4.2	CERTIFICATE INFORMATION SUMMARY Computed data.	OPR	6 years after close of fiscal year.	SD51-14-02 Rev. 0	
3.4.3	CERTIFICATION FEE REPORT – QUARTERLY/ANNUAL	OPR	6 years after close of fiscal year.	SD51-14-03 Rev. 0	
3.4.4	PROFESSIONAL EDUCATION PERMITS – TEMPORARY	OPR	6 years after close of fiscal year.	SD51-14-04 Rev. 0	



4. FINANCIAL MANAGEMENT

This section covers records relating to financial management which are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

4.1. ACCOUNTING

The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
4.1.1	STUDENT FEE AND FINE STATEMENTS	OFM	3 years.	SD51-02-27 Rev. 0	



4.2. BUDGET

The activity of determining estimates of the local government agency's future revenue and expenditures.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
4.2.1	<p><i>Apportionment Report from OSPI</i> Apportionment report received from the Office of the Superintendent of Public Instruction (OSPI) informing the district of its funding allocation.</p> <p><i>Note: OSPI's copies of these reports are designated Archival in accordance with its records retention schedule.</i></p>	OPR	<p>Retain for 4 years after date of report or completion of State Auditor's examination report, whichever is sooner <i>then</i> Destroy.</p>	SD51-02-03 Rev. 1	
4.2.2	<p>BUDGET REVISION REQUESTS Formal requests to revise a budget that has already been adopted.</p>	OPR	6 years.	SD51-02A-04 Rev. 0	



4.3. GRANTS

The activity of the local government agency either giving or receiving grant funds.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
4.3.1	NON-FEDERAL AND/OR NON-STATE GRANTS ISSUED – SUCCESSFUL APPLICATION ADMINISTRATION FILES Documentation of grants and grant programs awarded by non-governmental entities. Includes grant announcement parameters, grant applications, grant evaluation summaries, notification of grant awards, fiscal reports, correspondence related to grant monitoring, audit reports, and related documentation. Also includes grant project status, and progress and compliance reports prepared and submitted by grantee.	OPR	3 years after completion of grant.	SD51-03C-14 Rev. 0	
4.3.2	STATE GRANTS ISSUED – SUCCESSFUL APPLICATION ADMINISTRATION Documentation of grants and grant programs awarded by the State. Includes grant announcement parameters, grant applications, grant evaluation summaries, notification of grant awards, fiscal reports, correspondence related to grant monitoring, audit reports, and related documentation. Also includes grant project status, and progress and compliance reports prepared and submitted by grantee.	OPR	6 years after completion of grant audit or retain for period required by grant program.	SD51-03C-15 Rev. 0	
4.3.3	SURVEY OF PARENTS OR LEGAL GUARDIANS LIVING OR WORKING ON FEDERAL PROPERTY (Public Law 81-874) – ELIGIBLE	OPR	5 years after receipt of final payment – See remarks.	SD51-03C-16 Rev. 0	Reference 34 CFR 222.



4.3. GRANTS

The activity of the local government agency either giving or receiving grant funds.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
4.3.4	SURVEY OF PARENTS OR LEGAL GUARDIANS LIVING OR WORKING ON FEDERAL PROPERTY (Public Law 81-874) – <u>NOT</u> ELIGIBLE	OFM	Retain until submittal of the application.	SD51-03C-17 Rev. 0	



4.4. PAYROLL

The activity relating to the monetary compensation of employees on a periodic basis.

The district must be aware that it is responsible for providing information for the Washington State Department of Retirement Systems' audits of employee pay history. This information includes hours worked and gross pay per calendar month for the entire term of each employee's employment with the district. Such information must be retained for at least 60 years. Choice of records series for long-term verification of retirement eligibility should be confirmed with the Washington State Department of Retirement Systems. Chosen records series may be retained on microfilm instead of hard copy.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
4.4.1	PAYROLL STATUS SHEETS FOR DISTRICTS NOT USING PERSONNEL ACTION REQUEST FORMS	OFM	3 years or until completion of State Auditor's examination report.	SD51-03E-28 Rev. 0	
4.4.2	PAYROLL STATUS SHEETS FOR DISTRICTS USING PERSONNEL ACTION REQUEST FORMS	OFM	Until data entered and verified.	SD51-03E-26 Rev. 0	



5. HUMAN RESOURCE MANAGEMENT

This section covers records relating to human resource management which are not covered by the *Local Government Common Records Retention Schedule (CORE)*.

5.1. EQUITY					
<i>The activity of ensuring fairness and equal opportunities for all employees.</i>					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
5.1.1	EQUAL EMPLOYMENT OPPORTUNITY INQUIRY (EEO)	OFM	3 years.	SD51-04C-02 Rev. 0	



5.2. PERSONNEL

The activity of documenting an individual's employment with the local government agency. Includes volunteers.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
5.2.1	SIGNATURE OF RECEIPT RECORD Receipts or lists signed by employees to verify receipt of instructions, or documents such as paychecks, leave/benefit reports, retirement system accounting statements, etc.	OFM	1 year.	SD51-01-46 Rev. 0	



5.3. STAFF DEVELOPMENT

The activity of enhancing employees' competencies and skills through programs and training.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
5.3.1	APPROVED IN-SERVICE EDUCATION Clock hour credit activities.	OPR	7 years.	SD51-04G-01 Rev. 0	Reference WAC 180-85-205. / TRAINING
5.3.2	FIRST AID/CPR TRAINING DOCUMENTATION	OPR	Destroy when superseded plus six years.	SD51-01-22 Rev. 0	
5.3.3	LIST OF HIV AND HBV TRAINED EMPLOYEES	OPR	30 years.	SD51-04G-03 Rev. 0	
5.3.4	STAFF TRAINING, ASSISTANCE, AND REVIEW PROGRAM CASE FILES Includes, but is not limited to, reports generated by teacher, mentor, or principal, narrative and checklist assessments, intervention forms for experienced teachers, program exit letter, contact log, and mutually agreed upon goals.	OFM	Exit from program plus 5 years.	SD51-04G-05 Rev. 0	NOTE: The final report may be removed from the personnel file after 5 years upon request from the participant. It should also be noted that termination of employment is not a consequence of an unsuccessful exit from program.



6. STUDENT LEARNING

6.1. CURRICULUM / INSTRUCTION					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.1.1	ACCREDITATION REPORTS AND EVALUATION REPORTS Separate evaluations of all district reports subject to review.	OPR	Destroy when superseded plus 6 years – potential archival value – See remarks.	SD51-06A-01 Rev. 0	Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.
6.1.2	CATEGORICAL PROGRAM FILES 1. State categorical programs: Student lists, test scores, inventory of equipment, legal reports, evaluations and assurances to be maintained for monitoring and auditing purposes. 2. Federal categorical programs: Student eligibility lists, comparability reports, pre- and post-test data, evaluations, inventory of equipment, parent advisory committee (Title I).	OFM	3 years after completion of grant audit or retain for period required by grant or program – See remarks.	SD51-06A-02 Rev. 0	Records from this series which become involved in an audit or litigation before the end of the retention period specified by the granting agency must be retained at least until the audit or litigation is resolved.
6.1.3	COMMUNITY CHALLENGES OF INSTRUCTIONAL MATERIALS	OFM	5 years.	SD51-06A-03 Rev. 0	
6.1.4	COURSE ADDITIONS, DELETIONS, AND CHANGES	OFM	3 years.	SD51-06A-04 Rev. 0	
6.1.5	COURSE DESCRIPTION CATALOG	OPR	PERMANENT.	SD51-06A-19 Rev. 0	



6.1. CURRICULUM / INSTRUCTION					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.1.6	CURRICULUM SUMMARIES AND GUIDES	OFM	PERMANENT – 1 copy potential archival value – See remarks.	SD51-06A-05 Rev. 0	Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.
6.1.7	CURRICULUM WAIVER REQUESTS Documents received from legal guardian excusing student from specific classes (i.e., Physical Education because of injury, etc.)	OPR	5 years.	SD51-06A-11 Rev. 0	
6.1.8	ESSENTIAL ACADEMIC LEARNING REQUIREMENTS (EALR) PROGRAM FILES 1. A complete set of student learning objectives for each core subject. 2. Community input data for development of EALR student learning objectives. 3. Evaluation data for each EALR.	OFM	Destroy when superseded.	SD51-06A-06 Rev. 0	
6.1.9	ESSENTIAL ACADEMIC LEARNING REQUIREMENTS (EALR) PROGRAM FILES RESULTS	OFM	Destroy after compilation and issuance of test data.	SD51-06A-07 Rev. 0	
6.1.10	GRADUATION REQUIREMENTS STATEMENTS Statement of required courses and credits that is approved by the Board.	OPR	PERMANENT – 1 copy potential archival value – See remarks.	SD51-06A-08 Rev. 0	Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.



6.1. CURRICULUM / INSTRUCTION					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.1.11	INDIVIDUAL ESSENTIAL ACADEMIC LEARNING REPORTS	OFM	Destroy after compilation and issuance of test data.	SD51-06A-09 Rev. 0	
6.1.12	INSTRUCTIONAL MATERIALS SUBJECT FILE Evaluation data and recommendations on instructional materials that are accrued prior to Board adoption, where not included in Advisory Board Agenda Packets (DAN GS50-05B-02).	OFM	3 years.	SD51-06A-10 Rev. 0	
6.1.13	PARENT/LEGAL GUARDIAN PERMISSION SLIPS FOR INTERNET ACCESS AND FILM VIEWING	OFM	Retain for current school year.	SD51-06A-12 Rev. 0	
6.1.14	SCHOOL MASTER SCHEDULE Class schedule unique to each school.	OFM	6 years, and then retain until appraised by Regional Archivist. Potential archival value. See remarks.	SD51-20-03 Rev. 0	These records must be appraised by your Regional Archivist. Contact your Regional Archives to arrange for appraisal and transfer.
6.1.15	STATEMENT OF REQUIREMENTS AND EXPECTATIONS SIGNED AND RETURNED BY PARENT/LEGAL GUARDIAN	OFM	Retain for current school year.	SD51-01-49 Rev. 0	
6.1.16	STUDENT ASSESSMENT AND PLACEMENT PROGRAM CASE FILES	OFM	1 year after screening.	SD51-06A-13 Rev. 0	



6.1. CURRICULUM / INSTRUCTION					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.1.17	STUDENT TESTING – GROUP REPORTS Summary of testing scores by class, grade, program, sex, ethnic group, building, district, etc.	OFM	5 years.	SD51-06A-16 Rev. 0	
6.1.18	STUDENT TESTING – INDIVIDUAL STUDENT REPORT	OFM	Destroy 2 years after graduation or withdrawal.	SD51-06A-17 Rev. 0	
6.1.19	STUDENT TESTING – PRIMARY RECORD Answer sheet or other medium completed by student.	OFM	90 days.	SD51-06A-18 Rev. 0	



6.2. HOME-BASED INSTRUCTION					
Reference RCW 28A.200					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.2.1	LIST OF SERVICES PROVIDED BY THE SCHOOL DISTRICT	OPR	6 years.	SD51-09A-01 Rev. 0	
6.2.2	LIST OF STUDENTS PARTICIPATING IN HOME-BASED INSTRUCTION	OPR	6 years.	SD51-09A-02 Rev. 0	
6.2.3	NOTICE OF TRANSFER OF HOME-BASED STUDENT TO DISTRICT Documents the transfer of home-based students back to district schools.	OFM	Retain for 2 years after student graduates or withdraws then Destroy .	SD51-09A-03 Rev. 1	
6.2.4	PARENT/LEGAL GUARDIAN DECLARATION OF INTENT Annual statement of intent by parent/ legal guardian to provide full-time or part-time home-schooling for an individual student.	OPR	3 years or until completion of State Auditor's examination report.	SD51-09A-05 Rev. 0	
6.2.5	PLACEMENT/EVALUATION TEST RESULTS FOR STUDENTS ENTERING DISTRICT FROM HOME-BASED INSTRUCTION	OFM	2 years after graduation or withdrawal.	SD51-09A-06 Rev. 0	



6.3. SKILLS CENTER					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.3.1	<p>PATIENT CASE FILES Records of health care/treatment given to patients provided as part of an instruction program through a skills center.</p> <p>ESSENTIAL RECORD – Needs security backup – See remarks.</p>	OPR	10 years after last visit of patient; written confirmation received from a patient’s health care professional that “forwarded” records have been received; or patient reaches 21 years of age, whichever is longer – See remarks.	SD51-10-02 Rev. 0	Reference RCW 70.02. This record should be protected from damage or loss by off-site storage of a security copy, or by keeping a list that identifies the locations of other copies inside or outside the district.
6.3.2	<p>SKILLS CENTER STUDENT TIME LOG/ SHEET Log/sheet recording a student’s presence/absence in a skills center course.</p>	OFM	3 years or until completion of State Auditor’s examination report.	SD51-10-03 Rev. 0	Reference WAC 392-117-050.



6.4. SPECIAL EDUCATION STUDENT RECORDS					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.4.1	REPORT FOR STUDENT NOT ASSIGNED TO THE SPECIAL EDUCATION PROGRAM Referrals, evaluations, evaluation reports, and notices for students determined not to be eligible for the special education program.	OFM	Determined ineligible plus 5 years.	SD51-05I-04 Rev. 0	Reference WAC 392-172A. Federal audit requirements. Confidential information must be protected.
6.4.2	SPECIAL EDUCATION STUDENT HISTORY FILE Includes psychological and IQ test results, eligibility decision documentation, evaluation and other reports, Individualized Education Programs (IEPs), correspondence, and other information regarding the student.	OPR	Separation from program plus 6 years.	SD51-05I-02 Rev. 0	
6.4.3	SPECIAL EDUCATION STUDENT HISTORY FILE DISPOSITION NOTICE RECORD Record/Log of notices sent to the last known address of parents, legal guardians, and/or adult students, advising them of the opportunity to take possession of the file or any of its contents pending disposition by the district. – See Special and/or Disposition Instructions.	OPR	6 years – See remarks.	SD51-05I-03 Rev. 0	Reference WAC 392-172A-05235, 34 CFR 300.624, and FERPA. NOTE: Notice MUST be sent to last known address of parent/legal guardian/adult student before destruction.



6.5. STUDENT RECORDS					
Reference WAC 392-185 and WAC 392-415.					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.5.1	APPLICATION FOR CERTIFICATE OF EDUCATIONAL COMPETENCE	OFM	Retain until no longer needed for agency business <i>then</i> Destroy.	SD51-05F-01 Rev. 1	The State Board of Community and Technical Colleges administers GED testing. Reference WAC 180-96 and WAC 131-48.
6.5.2	AUTHORIZATION FOR RELEASE OF STUDENT RECORDS	OPR	3 years	SD51-05F-02 Rev. 0	Reference the Family Educational Rights and Privacy Act (FERPA) 99.32.
6.5.3	CONFIDENTIAL REPORTS (A.K.A. GUIDANCE REPORTS or SUPPLEMENTARY REPORTS) Includes subjective reports and anecdotal information from district, outside agencies and individuals.	OFM	2 years after student graduates or withdraws	SD51-05F-03 Rev. 0	These records should be separated from the cumulative folder with access limited as per the Family Educational Rights and Privacy Act (FERPA).
6.5.4	GED PERMANENT TRANSCRIPT (GED TEST SCORES) Record of all applicants who were issued certificates. <i>Note: This record is retained permanently by the Office of the Superintendent of Public Instruction in accordance with its records retention schedule.</i>	OPR	Retain until no longer needed for agency business <i>then</i> Destroy.	SD51-05F-04 Rev. 1	The State Board of Community and Technical Colleges administers GED testing. Reference WAC 180-96 and WAC 131-48.
6.5.5	GRADUATE LIST Annual list of graduates. <i>Use DAN GS51-05F-10 for OFFICIAL STUDENT RECORDS AND TRANSCRIPTS</i>	OFM	PERMANENT – Potential Archival Value.	SD51-20-10 Rev. 0	Contact your Regional Archivist. Records from this series may be selected for transfer to and preservation at a Regional Archives branch.



6.5. STUDENT RECORDS					
Reference WAC 392-185 and WAC 392-415.					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.5.6	OFFICIAL STUDENT RECORD For all grades and all schools, including, but not limited to, standardized high school transcripts; middle/junior high school transcript or other academic history showing courses and grades earned; elementary enrollment history and grade progression; permanent record cards; teacher registers (prior to 1940's). All other records pertaining to each student belong in the cumulative folder, or are covered by other series.	OPR	100 years.	SD51-05F-10 Rev. 0	Reference WAC 392-415-060 and 392-415-070. SUGGESTED PRESERVATION PROCEDURE – MICROFILM This records series may be retained on microfilm instead of hard copy. Microfilming must be done according to standards issued by State Archives.
6.5.7	REQUEST FOR APPROVAL TO TEST FOR CERTIFICATE OF EDUCATIONAL COMPETENCE (GED) Request signed by a designated district employee stating that there is a substantial and warranted reason for the student to leave the regular high school education program. May be kept in the Student Cumulative Folder.	OFM	Destroy when obsolete or superseded.	SD51-05F-05 Rev. 0	Reference WAC 131-48 and WAC 180-96.
6.5.8	SCHOOL REGISTERS	OFM	Obsolete record eligible for disposition unless there is no student transcript* – Potential archival value – See remarks.	SD51-05F-11 Rev. 0	*If there is no official student record that supersedes the school registers, these must be retained 100 years. Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.



6.5. STUDENT RECORDS

Reference WAC 392-185 and WAC 392-415.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.5.9	<p>STUDENT CUMULATIVE FOLDER (A.K.A. STUDENT FILE FOLDER)</p> <p>Contains information collected on each student in addition to the Student Official Record, regardless of storage medium or format.</p> <p>May contain but is not limited to:</p> <ul style="list-style-type: none"> • Identifying information (name, birth date, sex, year in school, address, telephone number, parent/legal guardian name, ethnic classification, emergency information (parent/legal guardian place of employment, family doctor, babysitter, siblings). • Attendance records including date of entry and withdrawal. • Grades and other student progress reports. • Results of tests of school achievement, aptitude, interests, hearing, and vision. • Records of student accomplishments and participation in school activities. • Such other information as shall enable staff to counsel with students and plan appropriate activities. 	OFM	2 years after student graduates or withdraws.	SD51-05F-07 Rev. 0	<p>Information subject to deletion as provided by the Family Educational Rights and Privacy Act should be destroyed and not filmed.</p> <p>NOTE: Some items listed in this series may be covered elsewhere in this schedule and may be disposed of accordingly if retained separately.</p>
6.5.10	STUDENT DISCIPLINARY ACTION REPORT	OFM	Retain 3 years in school.	SD51-01-50 Rev. 0	



6.5. STUDENT RECORDS

Reference WAC 392-185 and WAC 392-415.

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.5.11	STUDENT DISCIPLINE FILES Includes student expulsion records. Includes student expulsion records.	OPR	3 years after the incident.	SD51-05F-08 Rev. 0	
6.5.12	STUDENT LOCATOR CARDS/CLASS SCHEDULES	OFM	3 years or until completion of State Auditor's examination report.	SD51-05F-09 Rev. 0	



6.6. TEACHING RECORDS					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
6.6.1	GRADE DOCUMENTATION – ELEMENTARY To provide documentation for grades.	OFM	1 year.	SD51-06E-01 Rev. 0	
6.6.2	GRADE DOCUMENTATION – SECONDARY To provide documentation for grade and credit record challenges. Includes records that document state graduation requirements, such as Culminating Project.	OFM	5 years.	SD51-06E-02 Rev. 0	WAC 180-51-061.
6.6.3	LESSON PLANS	OFM	1 year.	SD51-06E-03 Rev. 0	
6.6.4	STATEMENT OF REQUIREMENTS AND EXPECTATIONS, SIGNED AND RETURNED BY PARENT/GUARDIAN	OFM	Retain for current school year.	SD51-06E-04 Rev. 0	



7. STUDENT MANAGEMENT AND SERVICES

7.1. ATHLETICS

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.1.1	ATHLETE/TEAM ACHIEVEMENT RECORDS – NON-WIAA	OPR	PERMANENT – 1 copy potential archival value. See remarks.	SD51-03-03 Rev. 0	Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.
7.1.2	ATHLETE/TEAM ACHIEVEMENT RECORDS – WIAA	OPR	6 years – potential archival value. See remarks.	SD51-20-02 Rev. 0	Contact your Regional Archivist. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.
7.1.3	ATHLETIC AND ACTIVITY SURVEYS Self-evaluation survey on activities students would like to participate in and limitations of students, as required by Title IX.	OFM	5 years.	SD51-03-15 Rev. 0	Reference 34 CFR 106.41.
7.1.4	ATHLETIC ELIGIBILITY RECORDS Includes physicals, insurance, grade point, appeals, emergency information, and student registration. Excludes parent/legal guardian consent forms which are covered by SD51-06C-31.	OFM	3 years. See remarks.	SD51-03-04 Rev. 1	Primary copy of insurance on individuals should be kept with District insurance files.
7.1.5	LEAGUE REGISTRATION FORMS – ATHLETICS	OFM	3 years.	SD51-03-10 Rev. 0	



7.1. ATHLETICS					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.1.6	SCHEDULES – ATHLETICS Dates and locations of school games, meets, and matches for season and tournament play.	OFM	3 years.	SD51-03-11 Rev. 0	
7.1.7	SCHOOL PROTESTS OF GAMES	OFM	1 year.	SD51-03-12 Rev. 0	
7.1.8	SCOREBOOK, SCORESHEETS	OFM	1 year.	SD51-03-13 Rev. 0	
7.1.9	TEAM ROSTERS	OFM	3 years.	SD51-03-14 Rev. 0	



7.2. ATTENDANCE / ABSENCE					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.2.1	<p>Attendance – School-Sponsored Activities, Events and Programs Records relating to student attendance at school-sponsored events and extra-curricular activities, such as field trips, music, science and athletic activities or competitions, traffic safety programs, safety patrol, etc. Includes travel away from school facilities.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notices and announcements; • Sign-up sheets, rosters, registration forms; • Parent/legal guardian permissions (approval for use of private vehicles, waiver of liability, emergency information, etc.); • Chaperone/driver lists and information; • Transportation arrangements (including bus trip requests/authorizations, ticket logs, private vehicle checklists, etc.). <p><i>Note: If an accident/incident occurs, these records are covered by CORE series GS50-06C-03, GS2010-081, GS50-01-10, and/or GS53-02-04.</i></p>	OPR	<p>Retain for 6 years after end of school year then Destroy.</p>	SD51-06C-31 Rev. 1	



7.2. ATTENDANCE / ABSENCE					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.2.2	<p><i>Truancy Case Files</i> Records relating to student absence where a truancy petition <u>has</u> been filed against the parent/legal guardian in accordance RCW 28A.225.035.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Absence reports/profiles; • Phone logs and correspondence (including email) to and from parent/legal guardian; • Meeting and conference notes; • Records documenting steps taken to eliminate or reduce student absence. • Petitions to compel school attendance; • Compulsory school attendance filing forms; • Intervention plans; • Truancy conference counseling forms. 	OPR	<p>Retain for 6 years after case closed or 6 years after student leaves/withdraws from school district, whichever is later <i>then</i> Destroy.</p>	SD51-04-10 Rev. 1	



7.2. ATTENDANCE / ABSENCE					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.2.3	<p>Absence (Student) – Grades K-8 Records relating to student absence (excused and unexcused), where a truancy petition has <u>not</u> been filed. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Phone logs and correspondence (including email) to and from parent/legal guardian verifying student absence; • Absence notifications and excuse notes from parent/legal guardian, medical provider, etc.; • Meeting and conference notes; • Records documenting steps taken to eliminate or reduce student absence. <p><i>Note: If a truancy petition is filed, these records become part of the truancy case file and are covered by SD51-04-10.</i></p>	OFM	<p>Retain for 4 years after end of fiscal year or until completion of State Auditor’s examination report, whichever is sooner, <i>then</i> Destroy.</p>	SD51-04-01 Rev. 1	



7.2. ATTENDANCE / ABSENCE					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.2.4	<p>Absence (Student) – Grades 9-12 Records relating to student absence (excused and unexcused), where a truancy petition has <u>not</u> been filed. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Phone logs and correspondence (including email) to and from parent/legal guardian verifying student absence; • Absence notifications and excuse notes from parent/legal guardian, medical provider, etc.; • Meeting and conference notes; • Records documenting steps taken to eliminate or reduce student absence. <p><i>Note: If a truancy petition is filed, these records become part of the truancy case file and are covered by SD51-04-10.</i></p>	OFM	<p>Retain for 1 year after end of fiscal year then Destroy.</p>	SD2011-154 Rev. 0	
7.2.5	<p>Student Tracking Recordings documenting student whereabouts while at school. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Student sign in/sign out sheets, late arrival/early departure logs, etc.; • Temporary authorizations for bus and pick-up changes. 	OFM	<p>Retain until end of fiscal year then Destroy.</p>	SD51-04-14 Rev. 1	



7.2. ATTENDANCE / ABSENCE					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.2.6	<p>Attendance Records documenting student presence or absence, <u>each day and/or period</u>, in all grade levels.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Attendance in all learning environments (classroom, alternative learning experience, pre-kindergarten programs administered by the agency, etc.); • Attendance cards, bubble sheets (including student identifiers), and all other source and supporting documentation; • Paper and/or electronic input; • All grade levels (Pre-K, K-12, etc.). <p>Excludes grant-funded programs (Head Start, etc.) which are covered by records series in the Grants section of the <i>Local Government Common Records Retention Schedule (CORE)</i>.</p>	OFM	<p>Retain for 4 years after end of fiscal year or until completion of State Auditor’s examination report, whichever is sooner <i>then</i> Destroy.</p>	SD51-04-05 Rev. 1	
7.2.7	<p>Truancy Petition/Disposition Log Summary listing/log which tracks the filing and disposition of truancy petitions to compel school attendance.</p>	OFM	<p>Retain for 6 years after last entry <i>then</i> Destroy.</p>	SD51-04-07 Rev. 1	



7.3. FOOD SERVICES					
Reference RCW 28A.235 and WAC 392-157.					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.3.1	CATERING REQUESTS Requests for use of kitchen and the supplying of food and labor.	OFM	3 years or until completion of State Auditor's examination report.	SD51-08-01 Rev. 0	
7.3.2	FOOD HANDLER'S PERMIT	OFM	Destroy when obsolete or superseded.	SD51-08-02 Rev. 0	
7.3.3	FOOD SERVICE ORDERS For supplies needed to operate school lunch program.	OFM	3 years or until completion of State Auditor's examination report.	SD51-08-03 Rev. 0	
7.3.4	FREE OR REDUCED-PRICE MEAL APPLICATION Applications for reduced-price or free meals in compliance with National School Lunch Act.	OPR	6 years after the last reimbursement based on the application.	SD51-08-04 Rev. 0	Federal audit requirements. Security of confidential information must be protected. Reference USDA National School Lunch Program and School Breakfast Program, Provisions 1, 2, & 3 - Fact Sheet, and 7 CFR 210.
7.3.5	FREE OR REDUCED-PRICE MEAL APPLICATION VERIFICATIONS	OFM	Federal fiscal year plus 3 years.	SD51-08-15 Rev. 0	
7.3.6	HACCP PLAN (HAZARD ANALYSIS OF CRITICAL CONTROL POINTS PLAN) Plans and reports of standard operating procedures.	OPR	6 years.	SD51-20-04 Rev. 0	Reference WAC 246-215-181.



7.3. FOOD SERVICES					
Reference RCW 28A.235 and WAC 392-157.					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.3.7	HEALTH INSPECTIONS Inspection of facility to ensure it meets federal and state standards.	OFM	Primary copy held by local health district/department.	SD51-08-14 Rev. 0	
7.3.8	MEAL AND MILK COUNT REPORTS AND DOCUMENTATION Record of daily meals and milk served.	OFM	3 years or until completion of State Auditor's examination report.	SD51-08-05 Rev. 0	Reference 7 CFR 210.
7.3.9	MEAL PRODUCTION RECORDS Records of amount of food prepared and served to meet meal patterns.	OFM	Federal fiscal year plus 3 years.	SD51-08-13 Rev. 0	
7.3.10	MEAL TICKET/CREDIT LOG Listing of meal tickets/credits issued, including number, date, name of purchaser, and/or recipient and amount paid.	OFM	3 years or until completion of State Auditor's examination report.	SD51-08-06 Rev. 0	
7.3.11	MEAL TICKETS Prepaid meal tickets.	OFM	3 years or until completion of State Auditor's examination report.	SD51-08-07 Rev. 0	
7.3.12	MENUS	OFM	Destroy when obsolete or superseded.	SD51-08-16 Rev. 0	
7.3.13	MONTHLY MEAL COUNT REIMBURSEMENT REPORT Includes monthly meal count and edit checks as supporting documentation.	OPR	6 years.	SD51-08-08 Rev. 0	



7.3. FOOD SERVICES					
Reference RCW 28A.235 and WAC 392-157.					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.3.14	SCHOOL BREAKFAST PROGRAM PLAN Includes plan and backup documentation submitted to OSPI for program approval.	OPR	Termination of plan plus 6 years.	SD51-08-09 Rev. 0	
7.3.15	SITE HEALTH PERMIT	OFM	Destroy when obsolete or superseded.	SD51-08-10 Rev. 0	
7.3.16	STOCK CONTROL RECORDS Listing of food items, supplies, and commodities used for manual count of inventory on hand. May be used to complete the F-196 report.	OFM	3 years or until completion of State Auditor's examination report.	SD51-08-11 Rev. 0	
7.3.17	STOCK INVENTORY REPORT SUMMARY Prepared from stock control records and food service orders. Lists quantities on hand, received, used and unit prices. May be used to complete the F-196 report.	OFM	3 years or until completion of State Auditor's examination report.	SD51-08-12 Rev. 0	



7.4. HEALTH SERVICES					
Reference RCW 4.16.350 & 28A.210.260, WAC 246.100.166, 246.760 & 246.762.					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.4.1	APPLICATION FOR HOME/HOSPITAL TUTORING	OPR	6 years.	SD51-09-01 Rev. 0	
7.4.2	CERTIFICATE OF IMMUNIZATION STATUS (CIS) Dept. of Health Form No. 348-013.	OFM	Destroy after termination of enrollment.	SD51-09-02 Rev. 0	
7.4.3	CHILD ABUSE REPORTS Reports compiled by district personnel regarding students who may be victims of abuse. Submitted to DSHS Child Protective Services.	OPR	6 years.	SD51-09-03 Rev. 0	
7.4.4	COMMUNICABLE DISEASE REPORT Includes data collected from schools and summary report.	OFM	Destroy after summary report is submitted to local Health Department.	SD51-09-04 Rev. 0	
7.4.5	HEALTH ROOM/NURSE ENCOUNTER DATA (NED) Vital statistics, assessment, care and intervention.	OPR	8 years after last interaction.	SD51-20-05 Rev. 0	
7.4.6	HEALTH ROOM REGISTRY Log of students reporting to health office because of illness/injury.	OFM	8 years after last entry – See remarks.	SD51-09-05 Rev. 0	Reference RCW 4.16.350.
7.4.7	HEALTH SCREENING RESULTS Includes the following tests: Scoliosis (mandatory), Vision (mandatory), Hearing (mandatory), and Dental (optional).	OFM	Destroy after data is transferred to Student Health Card or Folder.	SD51-09-06 Rev. 0	



7.4. HEALTH SERVICES					
Reference RCW 4.16.350 & 28A.210.260, WAC 246.100.166, 246.760 & 246.762.					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.4.8	INDIVIDUAL HEALTH PLAN (IHP) For students with life-threatening health conditions.	OPR	8 years after last interaction.	SD51-20-06 Rev. 0	
7.4.9	MEDICATION ADMINISTRATION DAILY LOG A chronological listing of the dosages administered.	OPR	8 years after last dose administered – See remarks.	SD51-09-08 Rev. 0	Reference RCW 4.16.350.
7.4.10	MEDICATION/HEALTH PROCEDURES ADMINISTRATION CASE FILES Includes physician/parent/legal guardian authorization for medication/health procedures administration and account of number and dosages administered.	OPR	8 years after last dose/procedure administered – See remarks.	SD51-09-07 Rev. 0	Reference RCW 4.16.350.
7.4.11	STUDENT HEALTH CARD OR FOLDER May include but is not limited to screening results, data recorded from information submitted by physician/parent/legal guardian, and record of notification to parent/legal guardian.	OFM	2 years after graduation or withdrawal.	SD51-09-09 Rev. 0	Reference RCW 4.16.350.



7.5. STUDENT ENROLLMENT / ASSIGNMENT					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.5.1	BOUNDARY EXCEPTION APPEALS – NON-RESIDENT STUDENT Appeals filed by students residing outside the district.	OPR	Office of the Superintendent of Public Instruction (OSPI) – Legal Services retains until case closed plus 10 years.	SD51-05J-01 Rev. 0	Reference RCW 28A.225.225 and 230, and WAC 392-137.
7.5.2	BOUNDARY EXCEPTION APPEALS – RESIDENT STUDENT Appeals filed by students residing within the district.	OPR	Resolution plus 3 years.	SD51-05J-07 Rev. 0	Reference RCW 28A.225.225 and 230, and WAC 392-137.
7.5.3	BOUNDARY EXCEPTIONS Records documenting inter-district and intra-district boundary exceptions.	OPR	Current school year plus 6 years.	SD51-05J-02 Rev. 0	
7.5.4	Enrollment Records documenting student entry into or withdrawal from the school/district.	OPR	Retain for 2 years after student leaves/withdraws from school/district <u>and</u> completion of State Auditor’s examination report <i>then</i> Destroy.	SD51-05J-04 Rev. 1	
7.5.5	PARENT/LEGAL GUARDIAN ASSIGNMENT REQUEST FORMS Generates student’s assignment to a school.	OPR	3 years.	SD51-05J-03 Rev. 0	



7.5. STUDENT ENROLLMENT / ASSIGNMENT					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.5.6	SCHOOL ASSIGNMENT PROCEDURES Records documenting school assignment procedures where not incorporated in School Board Minutes and/or Resolutions. <i>See DAN GS50-05A-13 for SCHOOL BOARD MINUTES.</i>	OPR	6 years after superseded Potential archival value – See remarks.	SD51-05J-05 Rev. 0	Contact your Regional Archivist before destroying original record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.
7.5.7	STUDENT ASSIGNMENT CASE FILES Includes all documentation related to the assignment of a specific student to a school.	OPR	3 years.	SD51-05J-06 Rev. 0	If a student does not enroll, secondary copy may be destroyed.



7.6. STUDENT TRANSPORTATION					
Reference RCW 28A.160					
ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
7.6.1	APPLICATION FOR SPECIAL TRANSPORTATION – ACCEPTED For students with medical problems, or physical disabilities to receive district transportation services.	OFM	Retain until completion of audit.	SD51-05G-02 Rev. 0	Reference WAC 392-141-148.
7.6.2	APPLICATION FOR SPECIAL TRANSPORTATION – DENIED	OFM	Application denied plus 1 year.	SD51-05G-14 Rev. 0	
7.6.3	IMPROPER CONDUCT ON THE BUS NOTICE May show bus route, time of incident, nature of incident, and student(s) name(s).	OFM	1 year.	SD51-05G-13 Rev. 0	



8. SUPERINTENDENT

ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
8.1.1	ACCREDITATION CERTIFICATES	OPR	PERMANENT.	SD51-05-01 Rev. 0	
8.1.2	ANNUAL HIGH SCHOOL REPORT FOR STANDARDS AND ACCREDITATION	OPR	PERMANENT – 1 copy potential archival value – See remarks.	SD51-05-10 Rev. 0	Contact your Regional Archivist before destroying original record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.
8.1.3	BOUNDARY RECORDS Official legal description and drawings of school district boundaries, including director district boundaries.	OPR	PERMANENT – 1 copy potential archival value – See remarks.	SD51-05-02 Rev. 0	Contact your Regional Archivist before destroying original record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.
8.1.4	CERTIFICATION OF ELECTION OF SCHOOL BOARD PRESIDENT	OPR	PERMANENT – 1 copy potential archival value – See remarks.	SD51-05-03 Rev. 0	Contact your Regional Archivist before destroying original record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch. MICROFILM: This records series may be retained permanently on microfilm instead of hard copy for both on-site use and off-site security storage at the State Archives. Microfilm must meet Washington State Archives technical standards.



ITEM NO.	SERIES TITLE AND DESCRIPTION	OPR or OFM	PRIMARY (SOURCE DOCUMENT/ORIGINAL) RECORD COPY	DISPOSITION AUTHORITY NUMBER (DAN)	REMARKS
8.1.5	CERTIFICATION OF SCHOOL DISTRICT ELECTIONS Including bonds, levies, and director elections.	OPR	PERMANENT.	SD51-05-04 Rev. 0	
8.1.6	OFFICIAL DISTRICT NEGOTIATED SCHOOL CALENDARS	OPR	PERMANENT.	SD51-05-06 Rev. 0	
8.1.7	REPORT OF EVALUATION OF ACCREDITATION	OPR	PERMANENT – 1 copy potential archival value – See remarks.	SD51-05-11 Rev. 0	Contact your Regional Archivist before destroying original record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.
8.1.8	SCHOOL SERVICE BOUNDARY DECISION WORKING FILE	OFM	Approval of Board Resolution plus 3 years.	SD51-05-08 Rev. 0	
8.1.9	STATEMENTS OF GRADUATION REQUIREMENTS	OPR	PERMANENT – 1 copy potential archival value – See remarks.	SD51-05-13 Rev. 0	Contact your Regional Archivist before destroying original record. Records from this series may be selected to be transferred to and preserved at a Regional Archives branch.



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. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives (WSA).

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. Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.

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 Local Records Committee.

Essential Records/Possibly Essential

Public records that local 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. Copies of master indexes, lists, registers, tracking systems, databases and other finding aids should also be transferred with the records.



Local Records Committee

The committee established by RCW 40.14.070 to review and approve disposition of local government records.

Its three members include the State Archivist and one representative each from the Offices of the Attorney General and State Auditor.

Migration

The periodic transfer of data from one electronic system to another in order to ensure continued integrity and accessibility of data despite changes over time in hardware, software, and storage media.

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.

Obsolete

Public records which are no longer relevant to current program or primary functional responsibilities of a department or office.

Office of Record

The group, department, or office within an agency responsible for maintaining a primary record from creation (or receipt) through disposition.

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.”

Primary Records

The original record (whether created or received by the agency) which serves as the official record, and must be retained in accordance with a current approved records retention schedule.

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.

Secondary Records

Copies (or duplicates) of the agency’s primary records used for specific legal, fiscal, or administrative purposes.

Secondary records exist for convenience of reference, or for informational purposes, and may be discarded when no longer needed for agency business in accordance with GS50-02-04.

Security Microfilm

Silver duplicate or first-generation microfilm which is stored at Washington State Archives under strictly-controlled environmental conditions and serves as an emergency/disaster back-up, in accordance with chapter 40.10 RCW.

Washington State Archives provides security microfilm storage and inspection services to local government agencies.



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For assistance and advice in applying this records retention schedule,

please contact Washington State Archives at:

recordsmanagement@sos.wa.gov

or contact your Regional Archivist.

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REVISION GUIDE

SUMMARY OF CHANGES

- Several records series relating to field trips, parent/guardian permissions, and accidents/incidents have been revised or discontinued.
- The Attendance section has been completely updated and is now called Attendance/Absence.
- The column for “Secondary (All Other) Record Copies” has been removed. Secondary (duplicate) records are covered by disposition authority number (DAN) GS50-02-04 in the *Local Government Common Records Retention Schedule (CORE)*.
- Notes referring to changes in previous revisions have been removed.
- Redundant series (covered by *CORE* series) have been discontinued.

Note: The following abbreviations will be used throughout this guide:

- WSA** = Washington State Archives
- OSPI** = Office of the Superintendent of Public Instruction
- SAO** = Office of the State Auditor
- CORE** = *Local Government Common Records Retention Schedule*
- SCHOOLS** = *School Districts and Educational Service Districts Records Retention Schedule*
- DWOS** = Destroy when obsolete or superseded.

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NEW RECORDS SERIES

Function: Activity	Title and Description	NEW DAN	Minimum Retention	Designations	Rationale
Agency Mgmt: Planning, Mission, Charter	School Safety Plans	SD2011-153 p. 11	Retain for 6 years after obsolete or superseded then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	<p>RCW 28A.320.125 Safe school plans -- Requirements -- Duties of school districts, schools, and educational service districts -- Reports -- Drills -- Rules. (1) The legislature considers it to be a matter of public safety for public schools and staff to have current safe school plans and procedures in place, fully consistent with federal law. The legislature further finds and intends, by requiring safe school plans to be in place, that school districts will become eligible for federal assistance.</p> <p>RCW 28A.300.285 Harassment, intimidation, and bullying prevention policies and procedures — Model policy and procedure — Training materials — Posting on web site — Rules — Advisory committee. (4)(c) Each school district shall by August 15, 2011, provide to the superintendent of public instruction a brief summary of its policies, procedures, programs, partnerships, vendors, and instructional and training materials to be posted on the school safety center web site, and shall also provide the superintendent with a link to the school district's web site for further information.</p>
Student Mgmt and Services	Absence (Student) – Grades 9-12	SD2011-154 p. 46	Retain for 1 year after end of fiscal year then destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR	Absence records for grades 9-12 are not needed for SAO audit (only Pre-K through 8) hence a separate records series with a 1-year minimum retention.



REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided. (Records series appear in *SCHOOLS 7.1* page order.)

Version 7.1 DAN	Version 7.1 Title	Version 7.1 Retention	Version 7.2 Title	Version 7.2 Retention	Change and/or rationale
SD51-01-37 ver. 7.1 p. 12 ver. 7.2 p. 12	Reports Required By Superintendent Of Public Instruction	3 years. (OSPI retains its copy permanently.)	Reporting – Office of the Superintendent of Public Instruction (OSPI) – General	Retain for 4 years after submission of report or completion of State Auditor’s examination report, whichever is sooner then destroy.	Series broadened to include all reports and data required to be submitted to the OSPI that are not covered by a more specific records series. Cut-off revised to permit destruction only after audit by SAO. Now covers records from SD51-04-06, SD51-04-09 and SD51-04-11 (and SD51-12-03, if applicable).
SD51-06C-31 ver. 7.1 p. 14 ver. 7.2 p. 43	Field Trip Authorization by Parent/Legal Guardian	6 years.	Attendance – School-Sponsored Activities, Events and Programs	Retain for 6 years after end of school year then destroy.	Expanded title and description to include ALL school-sponsored activities, and to include all records relating to a student’s attendance/participation – not just signed permission slip. Now covers records from SD51-06C-05, SD51-06D-04,SD51-06D-06, SD51-05G-08, SD51-05G-09, and consent forms from SD51-06C-31.
SD 51-12-03 ver. 7.1 p. 18 ver. 7.2 p. 14 OR ver. 7.2 p. 12	OSPI (Office of the Superintendent Of Public Instruction) Monitoring Reports	6 years after close of fiscal year	Reporting – Operating Savings (Major Facility Projects) OR	Retain for 4 years after submission of report or completion of State Auditor’s examination report, whichever is sooner, then destroy.	RCW 39.35D.030 requires school districts to report to the Department of General Administration operating savings resulting from implementation of Leadership in Energy and Environmental Design (LEED) silver standards in major facility projects. Any other types of monitoring reports submitted to OSPI are covered by SD51-01-37.
			Reporting – Office of the Superintendent of Public Instruction (OSPI) – General	Retain for 4 years after submission of report or completion of State Auditor’s examination report, whichever is sooner, then destroy.	
SD51-02-03 ver. 7.1 p. 22 ver. 7.2 p. 22	Apportionment Reports/State of Washington	SPI – Permanent. Schools: 3 years.	Apportionment Report from OSPI	Retain for 3 years after date of report then destroy.	Clarified description to specify that this apportionment report is received <u>from</u> OSPI, and added “note” about OSPI’s recordkeeping requirements.



REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided. (Records series appear in *SCHOOLS 7.1* page order.)

Version 7.1 DAN	Version 7.1 Title	Version 7.1 Retention	Version 7.2 Title	Version 7.2 Retention	Change and/or rationale
SD51-09A-03 ver. 7.1 p. 34 ver. 7.2 p. 33	Notice of Transfer of Home-Based Student to District	File in Student Cumulative Records.	Notice of Transfer of Home-Based Student to District	Retain for 2 years after student graduates or withdraws then destroy.	Provided retention period and cutoff to match Student Cumulative Folder .
SD51-05F-01 ver. 7.1 p. 38 ver. 7.2 p. 36	Application For Certificate Of Educational Competence	OSPI:3 months. Testing Center: Award of certificate. School: DWOS	Application For Certificate Of Educational Competence.	Retain until no longer needed for agency business then destroy.	Defined minimum retention for school district/ESD's primary record. (Removed OSPI and testing center recordkeeping responsibilities.)
SD51-05F-04 ver. 7.1 p. 39 ver. 7.2 p. 36	GED Permanent Transcript (GED Test Scores)	OSPI :Permanent. Testing Cntr:100 yrs. School: DWOS	GED Permanent Transcript (GED Test Scores)	Retain until no longer needed for agency business then destroy.	Defined minimum retention for school district/ESD's primary record. Added "Note" in description stating that OSPI retains this record permanently.
SD51-03-04 ver. 7.1 p. 46 ver. 7.2 p. 41	Athletic Eligibility Records	3 years.	Athletic Eligibility Records	3 years.	Revised description to <u>exclude</u> parent/legal guardian consent forms, which are (now) covered by SD51-06C-31, Attendance – School-Sponsored Activities, Events and Programs (Retain for 6 years after end of school year, then destroy.)
			<i>Consent Forms covered by SD51-06C-31: Attendance – School-Sponsored Activities, Events and Programs</i>	Retain for 6 years after end of school year, then destroy.	
SD51-04-10 ver. 7.1 p. 48 ver. 7.2 p. 44	Absence Case File	6 years.	Truancy Case File	Retain for 6 years after case closed or 6 years after student leaves/withdraws from school district, whichever is later then destroy.	Changed title, updated description and improved cut-off language.
SD51-04-01 ver. 7.1 p. 48 ver. 7.2 p.45	Absence Excuse	Retain for current school year.	Absence (Student) – Grades K-8	Retain for 4 years after end of fiscal year or until completion of State Auditor's examination report, whichever is sooner, then destroy.	Title, description, and cut-off enhanced. At the request of the SAO, records relating to student absence (both excused and unexcused) are needed for audit purposes for grades K-8. Now covers K-8 records from SD51-04-01.



REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided. (Records series appear in *SCHOOLS 7.1* page order.)

Version 7.1 DAN	Version 7.1 Title	Version 7.1 Retention	Version 7.2 Title	Version 7.2 Retention	Change and/or rationale
SD51-04-05 ver. 7.1 p. 50 ver. 7.2 p. 47	Classroom Attendance Source Documentation	3 years or until completion of State Auditor's examination report.	Attendance	Retain for 4 years after end of fiscal year or until completion of State Auditor's examination report, whichever is sooner then destroy.	Title broadened to encompass all learning environments; description enhanced to include Pre-K. Language added to ensure that "student identifiers" are retained with bubble sheets. Retention increased from 3 to 4 years <i>or audit</i> (per SAO request). Now covers records from SD51-04-04 and SD51-04-08.
SD51-04-07 ver. 7.1 p. 51 ver. 7.2 p. 47	Compulsory School Attendance Truancy Petition/Disposition Logs	Last entry in log plus 6 years.	Truancy Petition/Disposition Log	Retain for 6 years after last entry then destroy.	Minor language changes.
SD51-04-14 ver. 7.1 p. 51 ver. 7.2 p. 46	Late Arrival and Early Departure Logs	Retain for current school year.	Student Tracking	Retain until end of fiscal year then destroy.	Consolidated records relating to student whereabouts while at school. End of fiscal year allows opportunity to resolve outstanding issues. Includes records from SD51-04-13. Note: Admit slips and hall passes are covered by <i>CORE</i> series GS50-02-05 (Transitory Records) .
SD51-05J-04 ver. 7.1 p. 61 ver. 7.2 p. 53	Registration – Student Assignment	Enrollment plus 2 years	Enrollment	Retain for 2 years after student leaves/withdraws from school/ district and completion of State Auditor's examination report then destroy.	Clarified title and description; modified retention to ensure records are retained for audit purposes.



DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANs)

Version 7.1 records series listed on the left have been discontinued. DANs that cover the affected records series are listed on the right.

Discontinued DAN	Ver. 7.1 Function: Activity	Version 7.1 Title	Version 7.1 Retention	Version 7.2 Function: Activity	Use:	Version 7.2 Title	Version 7.2 Retention
SD51-01-48 p.5	Agency Mgmt.: Admin (Gen.)	Superintendent of Public Instruction Bulletins/Memoranda	Destroy after superseded or expired.	Records with Minimal Retention Value	CORE DAN: GS50-02-03 p. 158	General Information – External	Retain until no longer needed for agency business.
SD51-20-11 p. 13	Risk Mgmt/ Insurance	Accident Claims/incident Reports – Student (<i>secondary copy</i>).	Destroy at end of school year.	Records with Minimal Retention Value	CORE DAN: GS50-02-04 p. 158	Secondary (Duplicate) Copies	Retain until no longer needed for agency business.
SD51-20-07 p. 13	Risk Mgmt/ Insurance	Approval for Use of Private Vehicles for Student Transportation – With Accident/Incident	Destroy after student reaches age 21, or 3 years after accident/incident, whichever is longer.	Agency Mgmt: Risk Mgmt/ Insurance	CORE DAN GS50-06C-03 p.27	Accidents/Incidents – No Claim Filed (Under Age 18)	Retain for 3 years after individual reaches age 18 then destroy.
					CORE DAN GS2010-081 p. 27	Accidents/Incidents – No Claim Filed (Age 18 and Older)	Retain for 3 years after date of incident then destroy.
				Agency Mgmt: Legal	CORE DAN GS50-01-10 p.22	Claims for Damages	Retain for 6 years after claim closed then destroy.
					CORE DAN GS53-02-04 p. 23	Litigation Case Files	Retain for 10 years after case closed then arrange for appraisal by WSA.



DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANs)

Version 7.1 records series listed on the left have been discontinued. DANs that cover the affected records series are listed on the right.

Discontinued DAN	Ver. 7.1 Function: Activity	Version 7.1 Title	Version 7.1 Retention	Version 7.2 Function: Activity	Use:	Version 7.2 Title	Version 7.2 Retention
SD51-06C-05 p. 13	Risk Mgmt/ Insurance	Approval For Use Of Private Vehicles For Student Transportation – Without Accident/Incident	Destroy after 6 years.	Attendance/ Absence	SD51-06C-31 p. 42	Attendance – School-Sponsored Activities, Events and Programs	Retain for 6 years after end of school year then destroy.
SD51-05G-08 p. 16	Operations	Bus Trip Request/Authorization	3 years.				
SD51-05G-09 p. 16	Operations	Bus Trip Ticket Logs	6 years.				
SD51-06D-04 p. 45	Traffic Safety	Student Attendance Lists/ Record Card	6 years.				
SD51-06D-06 p. 45	Traffic Safety	Traffic Safety Parent/Legal Guardian Permission Statements	Until Traffic Safety Certificate has been awarded to student, or student has withdrawn from program.				
SD51-06D-05 p. 45	Traffic Safety	Student Traffic Safety Certificates	2 years after student graduates or withdraws.	Student Records	SD51-05F-07	Student Cumulative Folder (aka Student File Folder)	2 years after student graduates or withdraws.



DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANs)

Version 7.1 records series listed on the left have been discontinued. DANs that cover the affected records series are listed on the right.

Discontinued DAN	Ver. 7.1 Function: Activity	Version 7.1 Title	Version 7.1 Retention	Version 7.2 Function: Activity	Use:	Version 7.2 Title	Version 7.2 Retention
SD51-04-02 p. 48	Attendance	Absence Notification	Retain for current school year.	Attendance/ Absence	SD51-04-01 p. 45 OR	Absence (Student) – Grades K-8 OR	Retain for 4 years after end of fiscal year or until completion of State Auditor’s examination report, whichever is sooner, then destroy.
SD51-04-03 p. 49	Attendance	Absence Notification Report	Retain for current school year.		SD2011-154 p. 46 OR	Absence (Student) – Grades 9-12 OR	Retain for 1 year after end of fiscal year then destroy.
					SD51-04-10 p. 44	Truancy Case Files	Retain for 6 years after case closed or 6 years after student leaves/ withdraws from school district, which-ever is later then destroy.
SD51-04-11 p. 49	Attendance	Absence Reports	3 years or until completion of SAO examination report.	Agency Mgmt: Reporting	SD51-01-37 p. 12	Office of the Superintendent of Public Instruction (OSPI) – General	Retain for 4 years after submission of report or completion of State Auditor’s examination report, whichever is sooner then destroy.
SD51-04-12 p. 49	Attendance	Admit Slips	Retain for current school year.	Records with Minimal Retention Value	CORE DAN GS50-02-05 p. 159	Transitory Records	Retain until no longer needed for agency business then destroy.



DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANs)

Version 7.1 records series listed on the left have been discontinued. DANs that cover the affected records series are listed on the right.

Discontinued DAN	Ver. 7.1 Function: Activity	Version 7.1 Title	Version 7.1 Retention	Version 7.2 Function: Activity	Use:	Version 7.2 Title	Version 7.2 Retention
SD51-04-04 p. 50	Attendance	Attendance Record, Individual Student	3 years or until completion of SAO examination report.	Attendance/Absence	SD51-04-05 p. 47	Attendance	Retain for 4 years after end of fiscal year or until completion of State Auditor's examination report, whichever is sooner then destroy.
SD51-04-13 p. 50	Attendance	Bus/Pick-Up Changes – Temporary Authorization	Retain for current school year.	Attendance/Absence	SD51-04-14 p. 46	Student Tracking	Retain until end of fiscal year then destroy.
SD51-04-08 p. 51	Attendance	Daily Period Attendance Input	Retain for current school year.	Attendance/Absence	SD51-04-05 p. 47	Attendance	Retain for 4 years after end of fiscal year or until completion of State Auditor's examination report, whichever is sooner then destroy.
SD51-04-06 p. 51	Attendance	Statistical Reports on School Absences Required by the Superintendent of Public Instruction – Building Level	3 years or until completion of SAO examination report	Agency Mgmt: Reporting	SD51-01-37 p. 12	Office of the Superintendent of Public Instruction (OSPI) – General	Retain for 4 years after submission of report or completion of State Auditor's examination report, whichever is sooner then destroy.
SD51-04-09 p. 52	Attendance	Statistical Reports on School Absences Required by the Superintendent of Public Instruction – District-Level	3 years or until completion of SAO examination report.				

9/21/2011

Local Records Committee:
Mark Rapozo, Chair
Cindy Evans
Jerry Handfield

Dear Committee Members:

Thank you for your consideration of the proposed changes to the *School Districts and Educational Service Districts Records Retention Schedule (Version 7.2)(SCHOOLS)*. As Co-Chairs of the Washington Association of School Business Officials Records Management Committee (WASBO), we write in support of the proposed changes and encourage you to adopt them as written.

At your July 29, 2010 meeting, you approved the *Local Government Common Records Retention Schedule (Version 2.1)*, but elected to allow school districts to continue to use four records series in *SCHOOLS* in order to allow the WASBO Records Management Committee and Washington State Archives staff time to review potential impacts on school districts if they were to implement the new CORE series. Thank you for that opportunity.

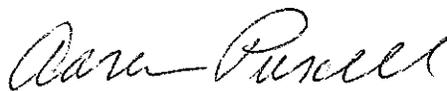
We have been working over the past year to explore these issues and we are requesting that you approve SD51-06C-31 as revised and revoke SD51-06C-05, SD51-20-07, and SD51-20-11 – as reflected in Version 7.2.

A few additional issues relating to student absence records were brought to our attention by the Office of the State Auditor, and so we also took this opportunity to completely revise the Attendance section. Office of the State Auditor Assistant Audit Manager (SAO Team SP) Cheryl Thresher has assured us that the changes in Version 7.2 resolve all of the associated matters.

The culmination of this work is the proposed retention schedule you have received. We believe that it supports achievable improvements to records retention for staff at school districts and educational service districts.

Thank you for your consideration of the proposed changes and we look forward to seeing you at the September 29, 2011 meeting.

Sincerely,



Aaren Purcell, WASBO Records Management Committee



Sue Warnke, WASBO Records Management Committee

Travel Permission/Parental Authorization – CORE vs. SCHOOLS Review

In July of 2010, the Local Records Committee (LRC) approved CORE 2.1 (which includes the five records series directly below) and granted school districts a temporary reprieve by **not** revoking the four related series in the *School Districts and Educational Services Districts Records Retention Schedule Version 7.1 (SCHOOLS)* (see next page). The LRC asked Washington State Archives to work with the Washington Association of School Business Officials Records Management Subcommittee (WASBO) and put together a proposal to the LRC in support of – or opposition to – revoking or revising the four series in the *SCHOOLS Version 7.2* schedule.

CORE 2.1	DAN	Min. Retention/ Disposition Action
<p>Travel Permission (Under Age 18) Records relating to parental/legal guardian permission for minors (includes employees, students, interns and volunteers) under age 18 to travel outside agency facilities to participate in agency-approved programs, events and activities, <i>provided that</i> an accident/incident has <u>not</u> occurred.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notices and announcements; • Signed permission slips; • Approvals for use of private vehicles. 	GS50-06C-35 Rev. 1	Retain for 3 years after individual reaches age 18 then Destroy .
<p>Accidents/Incidents – No Claim Filed (Under Age 18) Records relating to accidents/incidents involving individual(s) younger than age 18, and where claims for damages are <u>not</u> filed. Includes, but is not limited to, reports and investigations.</p> <p>Includes agency copy of Reports of Accident filled out for volunteer fire fighters and reserve officers in accordance with RCW 41.24.210.</p> <p>Excludes hazardous materials accidents and incidents covered by GS50-19-03.</p>	GS50-06C-03 Rev. 1	Retain for 3 years after individual reaches age 18 then Destroy .
<p>Accidents/Incidents – No Claim Filed (Age 18 and Older) Records relating to accidents/ incidents involving individuals age 18 and older, and where claims for damages are <u>not</u> filed. Includes, but is not limited to, reports and investigations.</p> <p>Includes agency copy of Reports of Accident filled out for volunteer fire fighters and reserve officers in accordance with RCW 41.24.210.</p> <p>Excludes hazardous materials accidents and incidents covered by GS50-19-03.</p>	GS2010-081 Rev. 0	Retain for 3 years after date of incident then Destroy .
<p>Claims for Damages Records relating to claims for damages filed either against the agency by other parties, or by the agency against other parties.</p> <p>Excludes workers' compensation claims, which are covered by records series in the Industrial Insurance section.</p> <p>Excludes litigation case files covered by GS53-02-04.</p>	GS50-01-10 Rev. 1	Retain for 6 years after claim closed then Destroy .
<p>Litigation Case Files Documentation of a civil suit by the agency against another party, or defense of the agency and/or agency employee against suit by another party.</p> <p><i>Note: Primary copies of official court documents are held permanently by the Clerk of Superior Court, or 10 years by the District or Municipal Court Administrator.</i></p>	GS53-02-04 Rev. 1	Retain for 10 years after case closed then Arrange for appraisal by Washington State Archives.

Travel Permission/Parental Authorization – CORE vs. SCHOOLS Review

SCHOOLS 7.1	DAN	Minimum Retention and Disposition Action
Field Trip Authorization by Parent/Legal Guardian	SD51-06C-31	6 years.
Approval For Use Of Private Vehicles For Student Transportation – Without Accident/Incident	SD51-06C-05	Destroy after 6 years.
Approval For Use Of Private Vehicles For Student Transportation – With Accident/Incident	SD51-20-07	Destroy after student reaches age 21, or 3 years after accident/ incident, whichever is longer.
Accident Claims/Incident Reports – Student Records documenting accident claims/reports where official record is retained by Insurance/Risk Management/Safety Office in accordance with (CORE). SECONDARY COPY.	SD51-20-11	Destroy at end of high school year.

WASBO is requesting that the LRC approve SD51-06C-31 as revised and revoke SD51-06C-05, SD51-20-07, and SD51-20-11. These changes are reflected in the *School Districts and Educational Service Districts Records Retention Schedule (Version 7.2)* submitted for approval.

CORE DAN GS50-06C-35 **Travel Permission (Under Age 18)** has a minimum retention of “3 years after individual reaches age 18”. Most local government agencies do not employ minors (or utilize volunteers under age 18) *who require parental permission for off-site activities* in a quantity sufficient to significantly impact their recordkeeping responsibilities. According to the Office of the Superintendent of Public Instruction, there were 1,030,000 K-12 students enrolled in school during the 2010-2011 school year.

1. For most local government agencies, the **CORE Travel Permission** records series typically covers *teenage* employees and volunteers – most of whom are in the 15-16-17 year old range. Local government agencies (cities, fire districts, etc.) are likely faced with retaining a *few* travel permissions for a *handful* of years. The recordkeeping burden school districts face managing parental permission slips *alone* is monumental when you consider that hundreds of thousands of students age 4 ½ through age 17 go on *dozens* of field trips over 13 years of school. (Kindergarten field trip records would have to be retained for 16 years under GS50-06C-35.)
2. The complication: The statute of limitations for sexual abuse of children under RCW 4.16.340 is tolled for a child until he or she reaches 18, and a lawsuit can even be brought *three years after the victim reasonably discovers the injury*. However, *were* there to be a claim of sexual abuse (committed by a teacher or parent volunteer) say, 15 years after the incident, and *assuming* that the field trip/class/year could be identified and the signed travel permission slip actually *located*...ultimately, what would the legal value of the record actually be?
3. Besides the quantity of records generated by schools, the filing challenges are great, considering all the variables: student age, teacher, class period, school year, field trip, school, etc. For example, if field trip permission forms are filed by *teacher*, and if the class happens to be multi-age, which many are, then all of the forms would have to be retained until the youngest child reaches age 21, and the older children’s forms would be retained even longer than required.

Travel Permission/Parental Authorization – CORE vs. SCHOOLS Review

The following input was provided by Seattle Public Schools:

“Risk managers and legal staff felt the value of authorizations decreases significantly over time. The authorizations do not grant us any form of immunity from liability. What the authorization forms show is the parent/guardian [provided]informed consent and assumption of the risks that can reasonably be anticipated to arise from the described activities. That value disappears within just a few months or years.

In determining the appropriate retention for these records, the retention period 3 years after individual reaches age 18 is significantly too long in most cases as the authorization form don’t provide immunity to the school district.

The current retention is 6 years, based on the authorizations being an Official Public Record (OPR) - an agreement, contract and bond.”

Due to the sheer volume of field trip records created for the 1+ million K-12 students in Washington state, WASBO believes that requiring schools to maintain parent/guardian permissions until the student reaches the age of 21 is too big of a burden relative to the value of the record. **Where an accident does not occur**, WASBO believes that 6 years remains a sufficient minimum retention for school districts, as has been approved by the LRC since at least 2002.

SD51-06C-31 has been revised to cover student participation in all school-sponsored events and extra-curricular activities as follows:

<p>Attendance – School-Sponsored Activities, Events and Programs Records relating to student attendance at school-sponsored events and extra-curricular activities, such as field trips, music, science and athletic activities or competitions, traffic safety programs, safety patrol, etc. Includes travel away from school facilities.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Notices and announcements; • Sign-up sheets, rosters, registration forms; • Parent/legal guardian permissions (approval for use of private vehicles, waiver of liability, emergency information, etc.); • Chaperone/driver lists and information; • Transportation arrangements (including bus trip requests/authorizations, ticket logs, private vehicle checklists, etc.). <p><i>Note: If an accident/incident occurs, these records are covered by CORE series GS50-06C-03, GS2010-081, GS50-01-10, and/or GS53-02-04.</i></p>	SD51-06C-31 Rev. 1	<p>Retain for 6 years after end of school year then Destroy.</p>
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WASBO agrees that that requiring schools to maintain travel authorizations **where an accident or incident occurs** (and is known) until the student reaches the age of 21 is reasonable, and will use CORE DAN GS50-06C-03, GS2010-081, GS50-01-10, or GS53-02-04, as appropriate.

WASBO is requesting that the LRC approve SD51-06C-31 as revised and revoke SD51-06C-05, SD51-20-07, and SD51-20-11 – as reflected in the *School Districts and Educational Service Districts Records Retention Schedule (Version 7.2)* submitted to you for approval.

Scope of preserving parental permissions in the Seattle School District

by Aaren Purcell, Manager, Archives and Records Center

Field trips and other programs such as athletics, arts, music and science generate a significant amount of parental permissions. “It is the belief of the Seattle School Board that community and project-based learning results in expanding a student’s horizons and increasing student’s satisfaction with school and depth of learning. Therefore, it is the policy of the Seattle School Board to encourage extension of the classroom experience through off-campus field trips and outdoor education, whether within or outside of the United States.” From policy C30.00

These activities generate variety of forms and processes depending upon the program and the risks associated with the activities, but the scope here is to quantify the amount and costs to preserving parental permission slips WHERE THERE IS NO INCIDENT for 3 years beyond when the student turns 18.

Estimates

The Seattle School District has 47,000 students of which 12,550 are high school students. The following table estimates the total number of parental permission slips generated per year – (it ignores summer school, transportation to and from school, alternative programs that might spend 260 days camping per year and the wide variations between schools as to the emphasis and value they place on community based learning and engagement).

Program	Number of Students	Number Per Year	Total
High School Field Trips (general)	12550	9	112,950
Elementary Field Trips (general)	34450	12	413,400
Athletics (75% high school)	9400	9	84,600
Music /Theater (40% total)	18,800	9	169,200
Science/Outdoor (30% total)	14,100	9	126,900
		Grand yearly total pages	907,050

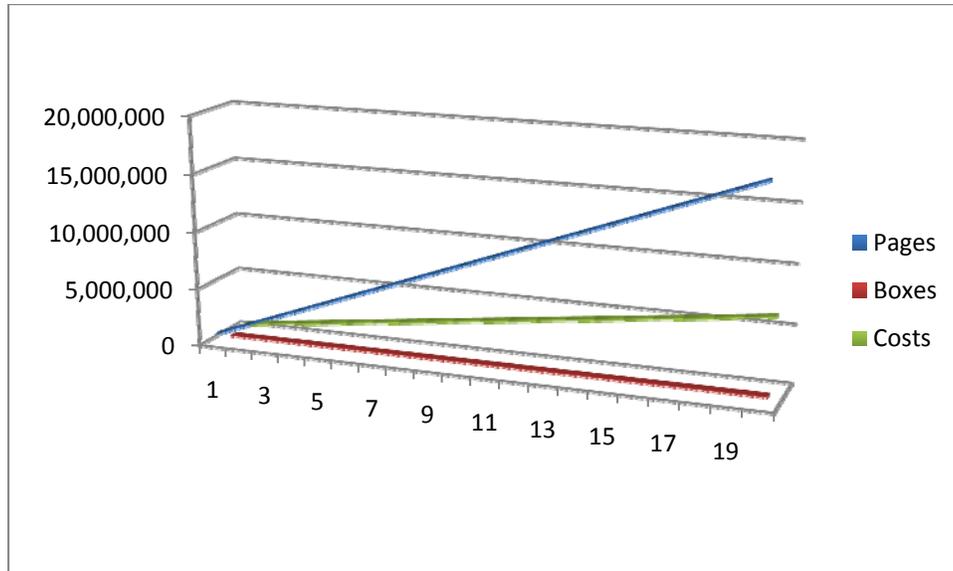
The cost to file @ .25 – assuming it takes 30 sec per piece of paper = \$226,763. Once the files are no longer actively needed (3 years), they are boxed (1,000 slips per 40 lb box, but assuming you have two classes per grade, 600 pages per box) and moved to less expensive storage at \$40 per box or 1512 boxes per year, at a cost of \$60,470. Assuming they are filed by birth date, 1/12 of the boxes can be destroyed per year or 76 boxes a year can be destroyed at a cost of \$80 per box or \$6,080.

The following tables illustrates the arithmetic growth in pages, boxes and costs to the district over 21 years

Scope of preserving parental permissions in the Seattle School District

by Aaren Purcell, Manager, Archives and Records Center

Representation of the growth of pages, boxes and costs for permission slips



To keep these records the additional time (totals minus the first 6 years) would require the Seattle School District to manage an additional

- 11,172,792 pages
- 8013 boxes

For an additional **\$3,189,330 to manage permission slips for 21 years**

Even the difference between 3 years (active use) and 6 years is significant in these tough times for education: the three years adds an additional

- 2,685,900 pages
- 4308 boxes

For an additional \$879,939 spent by the Seattle School District on managing permission slips instead of education

Comparison of Retention Periods for Parent/Guardian Permission Slips - August 2011

Source	Title	Description/Details	Min Retention
Alaska School Districts	Parental Consent & Withholding Disclosure/Release of Information Documents	<i>Consists of student participation or excuse forms regarding a specific activity like physical education program, field trip, or athletic program; and, Request to Withhold Disclosure of Student Directory Information by Parent of Student Age 18 or Older and Request to Withhold Release of Information to Military Recruiters.</i>	Retain 1 year.
Kentucky	Student Participation Parental Approval Form	<i>In order for a student to participate in an organized school sport, this form must be used by the student's parent or guardian in giving permission for that participation.</i>	Destroy one year after student reaches age of majority.
Kentucky	Student Parental Permissions/Requests (Extracurricular Activities in School Hours, To Leave School Early, To Stay After School, To Ride A Different Bus)	<i>This record is used to document that the parent or guardian has given permission for a student to take part in school approved extra-curricular activities during school hours, including having photos taken, videos taken, interviews, ride a different school bus, stay after school to make up work, etc. This provides documentary evidence in case of litigation. This record contains the name of student, activity, dates of activity, place of activity, reason permission is requested and signature of parent or guardian.</i>	1 year.
Mississippi	Parental Permission Records	<i>Records maintained to document parental permission for student's participation in field trips or other activities.</i>	<i>Close of school year in which the activity occurred.</i>
New Jersey	Parental Permission School Trip of Before/After School Programs and Activities	<ol style="list-style-type: none"> 1. With incident. 2. Without incident. 	<ol style="list-style-type: none"> 1. 7 yrs after graduation. 2. 3 years.
New Mexico	Parent's consent.		2 years after close of school year or until student attains age 9.
Nevada	Field Trip Authorizations/ Parental Permissions	<i>Documents authorization by a parent/legal guardian for a pupil to participate in an off campus school activity and may include, but is not limited to, authori-zation forms, emergency contact information, related correspondence and similar documents.</i>	3 calendar years from the date of the authorization.
New York	Parent's Consent	<i>Parent's consent for student to participate in, or request for student to be excused from, specific activity, including but not limited to physical education program, field trip, or athletic program.</i>	1 year after end of school year.
Oregon	Student Athletic Activity	<i>Records document student eligibility and participation in interscholastic competitive sports and activities...include...parental consent forms..</i>	5 years after school year
Rhode Island	Field Trip Records	<i>Records relating to student field trips and other events off the facility grounds. May include...transportation and chaperoning agreements, parental permission forms...</i>	Retain 1 year. If accident, retain 3 years after minor reaches age of 18.
Rhode Island	Travel and Transportation Records	<i>Records of travel and transportation for athletes/athletic department. May include schedules of away games, requests from coaches to Athletic Director for permission to transport students away from school premises, and busing schedules.</i>	Retain until of no further admin. value. If accident or injury, retain 3 years after minor reaches age of 18.
Utah	Surveillance Videos	<i>The surveillance may occur in state agency buildings or in Utah Highway Patrol vehicles.</i>	Retain until admin. need ends, provided there is no pending investigation.
		IN, KS, MA, MD (all uniques), ME, MN, MS, MO, NC, ND, NE, NH, OK, PA, SC	