

## **This schedule applies to: Department of Early Learning**

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

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Early Learning relating to the unique functions of helping children prepare for success by providing resources and support to families, early learning providers and educators. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGRRS)* which authorizes the destruction/transfer of public records common to all state agencies.

### **Disposition of public records**

Public records covered by records series within this records retention schedule (regardless of format) must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of state resources.

Public records designation as “Archival” must not be destroyed. Records designated as “Archival (Appraisal Required)” must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with chapter 42.56 RCW. Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

### **Revocation of previously issued records retention schedules**

All previously issued records retention schedules to the Department of Early Learning are revoked. The Department of Early Learning must ensure that the retention and disposition of public records is in accordance with current, approved records retention schedules.

### **Authority**

This records retention schedule was approved by the State Records Committee in accordance with RCW 40.14.050 on March 1, 2017

*Signature on File*

**For the State Auditor:  
Cindy Evans**

*Signature on File*

**For the Attorney General:  
Isaac Williamson**

*Signature on File*

**For the Office of Financial Management:  
Shane Hamlin**

*Signature on File*

**The State Archivist:  
Steve Excell**

## REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	March 1, 2017	Consolidation of all existing disposition authorities (with some minor revisions) relating to the functions and activities of the Department of Early Learning on March 1, 2017.

For assistance and advice in applying this records retention schedule,  
please contact the Department of Early Learning's Records Officer  
or Washington State Archives at:  
[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)

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## TABLE OF CONTENTS

<b>1.</b>	<b>CHILD CARE REGULATION .....</b>	<b>4</b>
1.1	REGULATION .....	4
1.2	LICENSING .....	5
<b>2.</b>	<b>PROFESSIONAL DEVELOPMENT.....</b>	<b>7</b>
	<b>GLOSSARY .....</b>	<b>9</b>
	<b>INDEXES .....</b>	<b>12</b>

## 1. CHILD CARE REGULATION

The functions of administering of licensing and regulating child care providers which are not covered by the *State Government General Records Retention Schedule*.

1.1 REGULATION			
<i>The activity of enforcement of provider requirements.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
17-03-69036 Rev. 0	<p><b><i>Inspections – Unlicensed Facility</i></b></p> <p>Records relating to inspections of child care facility operations not meeting current licensing and certification rules.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Initial complaint;</li> <li>• Inspection documentation;</li> <li>• Civil penalties and fees issued;</li> <li>• Final resolution.</li> </ul> <p><i>Note: Cases that rise to level of repeated violations are referred to the Office of Administrative Hearings for action.</i></p>	<p><b>Retain</b> for 10 years after final resolution of inspection</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR

## 1.2 LICENSING

*The activity of licensing qualified child care providers and facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-07-61247 Rev. 1	<p><b>Licensing</b></p> <p>Records relating to the licensing and monitoring of child care providers/facilities, where the license is <u>not</u> revoked and closure was voluntary.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Initial application and results of background checks;</li> <li>• Employee/volunteer and household member information;</li> <li>• Complaints against licensee or facility;</li> <li>• Checklists and physical facility inspections;</li> <li>• Other licensing documentation as required.</li> </ul> <p><i>Note: Series contains confidential information. Any data compiled from the National Crime Information Center III (NCIC III) to determine eligibility is removed in accordance to the protocols of the Washington State Patrol and the FBI. Results of background checks are held separately from other licensing records.</i></p>	<p><b>Retain</b> for 6 years after provider or facility voluntarily no longer provides child care services</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> OPR</p>

## 1.2 LICENSING

*The activity of licensing qualified child care providers and facilities.*

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-07-61248 Rev. 2	<p><b>Licensing – Revocation</b></p> <p>Records relating to the licensing, monitoring, investigation and license revocation of child care providers/facilities, where the license is revoked.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Initial application and results of background checks;</li> <li>• Employee/volunteer and household member information;</li> <li>• Checklists and physical facility inspections;</li> <li>• Other licensing documentation as required;</li> <li>• Complaints against licensee or facility;</li> <li>• Results of investigations and follow-up;</li> <li>• Revocation documentation.</li> </ul> <p><i>Note: Series contains confidential information. Any data compiled from the National Crime Information Center III (NCIC III) to determine eligibility is removed in accordance to the protocols of the Washington State Patrol and the FBI. Results of background checks are held separately from other licensing records.</i></p>	<p><b>Retain</b> for 25 years after license revoked <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL <b>ESSENTIAL</b> OPR</p>
06-07-61249 Rev. 1	<p><b>Licensing – Denial/Withdrawal</b></p> <p>Records relating to the formal withdrawal of an applicant or failure to provide sufficient application material so that formal licensing actions can proceed.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Initial application;</li> <li>• Supporting documentation;</li> <li>• Notification of withdrawal or denial of license.</li> </ul>	<p><b>Retain</b> for 1 year after last date of action <i>then</i> <b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

## 2. PROFESSIONAL DEVELOPMENT

The function of supporting early care and early learning providers and educators through training and professional certifications.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
17-03-69037 Rev. 0	<p><b>Professional Certification Credentials – Applications/Working Files</b></p> <p>Records relating to the applications and supporting documentation submitted by educators for professional certification credentials issued by the Office of the Superintendent of Public Instruction and may include STARS (State Training and Registry System) hours.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Applications;</li> <li>• Denied applications;</li> <li>• Copies of transcripts, letters of verification and other background information.</li> </ul> <p><i>Note: Data maintained in MERIT (Managed Education and Registry Information Tool).</i></p>	<p><b>Retain</b> for 6 years after issuance or denial of certificate</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>
17-03-69038 Rev. 0	<p><b>Professional Certifications and Credentials – Incomplete</b></p> <p>Records relating to applications which are not completed and for which no ID is issued.</p>	<p><b>Retain</b> for 6 months after date of incomplete application</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	<p>NON-ARCHIVAL NON-ESSENTIAL OPR</p>

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
17-03-69039 Rev. 0	<p><b><i>Professional Certifications and Credentials – Issued</i></b></p> <p>Records related to the issuing and maintenance of professional certification and credentials of Early Care and Education and School-age Professionals through the State Training and Registry System (STARS).</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Registry profile updates (name or address changes);</li> <li>• Supporting documentation for verification (certificates for training/education, reimbursement receipts, etc.);</li> <li>• Health and safety certifications;</li> <li>• Appeals.</li> </ul>	<p><b>Retain</b> for 6 years after expiration, renewal or inactivity.</p> <p><i>then</i></p> <p><b>Destroy.</b></p>	NON-ARCHIVAL NON-ESSENTIAL OPR



## GLOSSARY

### ***Appraisal***

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

### ***Archival (Appraisal Required)***

Public records which may possess enduring legal and/or historic value and must be appraised by the Washington State Archives on an individual basis.

*Public records will be evaluated, sampled and weeded according to archival principles by archivists from Washington State Archives (WSA). Records not selected for retention by WSA may be disposed of after appraisal.*

### ***Archival (Permanent Retention)***

Public records which possess enduring legal and/or historic value and must not be destroyed. State government agencies must transfer these records to Washington State Archives (WSA) at the end of the minimum retention period.

*WSA will not sample, weed or otherwise dispose of records fitting the records series description designated as “Archival (Permanent Retention)” other than the removal of duplicates.*

### ***Disposition***

Actions taken with records when they are no longer required to be retained by the agency.

*Possible disposition actions include transfer to Washington State Archives and destruction.*

### ***Disposition Authority Number (DAN)***

Control numbers systematically assigned to records series or records retention schedules when they are approved by the State Records Committee.

### ***Essential Records***

Public records that state government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.

*Security backups of these public records should be created and may be deposited with Washington State Archives in accordance with Chapter 40.10 RCW.*

### **Non-Archival**

**Public records which do not possess sufficient historic value to be designated as “Archival”. Agencies must retain these records for the minimum retention period specified by the appropriate, current records retention schedule.**

*Agencies should destroy these records after their minimum retention period expires, provided that the records are not required for litigation, public records requests, or other purposes required by law.*

### **Non-Essential Records**

**Public records which are not required in order for an agency to resume its core functions following a disaster, as described in Chapter 40.10 RCW.**

### **OFM (Office Files and Memoranda)**

**Public records which have been designated as “Office Files and Memoranda” for the purposes of RCW 40.14.010.**

*RCW 40.14.010 – Definition and classification of public records.*

*(2) “Office files and memoranda include such records as correspondence, exhibits, drawings, maps, completed forms, or documents not above defined and classified as official public records; duplicate copies of official public records filed with any agency of the state of Washington; documents and reports made for the internal administration of the office to which they pertain but not required by law to be filed or kept with such agency; and other documents or records as determined by the records committee to be office files and memoranda.”*

### **OPR (Official Public Records)**

**Public records which have been designated as “Official Public Records” for the purposes of RCW 40.14.010.**

*RCW 40.14.010 – Definition and classification of public records.*

*(1) “Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; ... and all other documents or records determined by the records committee... to be official public records.”*

### **Public Records**

**RCW 40.14.010 – Definition and classification of public records.**

*“... The term “public records” shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and*

*including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business..."*

***Records Series***

**A group of records, performing a specific function, which is used as a unit, filed as a unit, and may be transferred or destroyed as a unit. A records series may consist of a single type of form or a number of different types of documents that are filed together to document a specific function.**

***State Records Committee***

**The committee established by RCW 40.14.050 to review and approve disposition of state government records.**

*Its four members include the State Archivist and one representative each from the Office of the Attorney General, Office of the State Auditor, and the Office of Financial Management.*

**INDEXES**

**ARCHIVAL RECORDS INDEX**

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

**ESSENTIAL RECORDS INDEX**

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

LICENSING

Licensing .....	5
Licensing – Revocation .....	6

**DISPOSITION AUTHORITY NUMBERS (DAN’S) INDEX**

06-07-61247.....	5	06-07-61249.....	6	17-03-69037.....	7	17-03-69039.....	8
06-07-61248.....	6	17-03-69036.....	4	17-03-69038.....	7		

## INDEX: SUBJECTS

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

### A

audits ..... *see SGGRRS*

### B

backups ..... *see SGGRRS*  
bids (contracts) ..... *see also SGGRRS*  
bills (legislation) ..... *see SGGRRS*  
budgets ..... *see SGGRRS*

### C

complaints..... *see SGGRRS*  
contracts ..... *see also SGGRRS*

### F

facilities ..... *see also SGGRRS*  
financial reports ..... *see also SGGRRS*  
fleet ..... *see also SGGRRS*

### G

grants ..... *see also SGGRRS*  
grievances ..... *see SGGRRS*

### H

human resources ..... *see SGGRRS*

### I

information systems ..... *see SGGRRS*  
inspections – unlicensed facility ..... 4

### L

leases ..... *see also SGGRRS*  
leave..... *see SGGRRS*  
licensing ..... 5  
licensing – denial/withdrawal ..... 6  
licensing – revocation ..... 6

### M

meetings ..... *see SGGRRS*  
motor vehicles ..... *see also SGGRRS*

### P

payroll ..... *see also SGGRRS*  
personnel ..... *see SGGRRS*  
planning ..... *see also SGGRRS*  
plans (drawings) ..... *see also SGGRRS*  
policies ..... *see also SGGRRS*  
procedures ..... *see SGGRRS*  
professional certification credentials –  
    applications/working files ..... 7  
professional certification credentials - incomplete .. 7  
professional certification credentials - issued ..... 8  
public disclosure ..... *see SGGRRS*  
public records requests..... *see SGGRRS*  
purchasing..... *see also SGGRRS*

### R

records management..... *see SGGRRS*

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**T**

timesheets ..... *see SGGRRS*

tort claims ..... *see also SGGRRS*  
training ..... *see also SGGRRS*  
travel ..... *see SGGRRS*

---

**V**

vehicles ..... *see also SGGRRS*