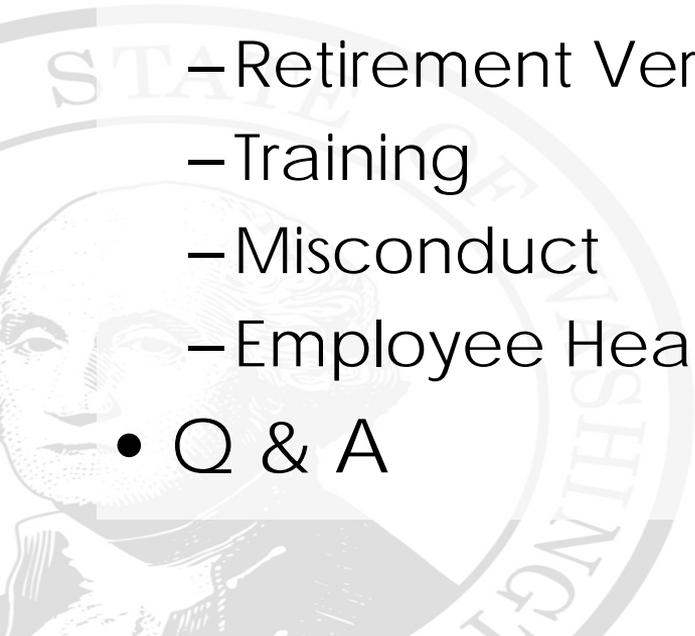


Basics of Managing *School Personnel* Records

Washington State Archives
recordsmanagement@sos.wa.gov
(360) 586-4901

Overview

- Records Management Basics
- School Personnel FAQs
 - Retirement Verification
 - Training
 - Misconduct
 - Employee Health Records
- Q & A



Benefits of Managing Records

- ❑ Enables the agency to fulfill its mission
- ❑ Promotes cost-effective use of agency resources
- ❑ Promotes open and accountable government
- ❑ Helps Minimize Agency Risk



What Is a Public Record?

For the purposes of **Retention** and **Destruction**:

Any record made or received in connection with the ***transaction of public business*** ***regardless of format*** (RCW 40.14.010)

- For **public disclosure**, refer to chapter 42.56 RCW.

Chapter 40.14 RCW

All public records shall be and remain the property of the state of Washington. (RCW 40.14.020)

They shall be delivered by outgoing officials and employees to their successors and shall be preserved, stored, transferred, destroyed or disposed of, and otherwise managed, only in accordance with the provisions of this chapter.

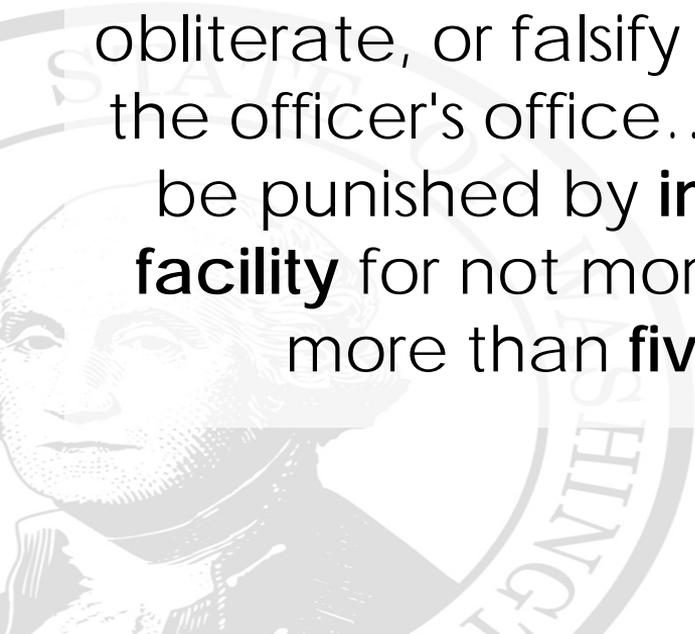
My device/account = my records?

It may be your personal device or account, but if it's being used for agency business, keep in mind that you are accessing (and sometimes creating) public records



RCW 40.16.020 – Injury to and Misappropriation of Record

Every officer who shall mutilate, destroy, conceal, erase, obliterate, or falsify any record or paper appertaining to the officer's office...is guilty of a **class B felony** and shall be punished by **imprisonment in a state correctional facility** for not more than ten years, or by a fine of not more than **five thousand dollars**, or by both.



How Do I Know What to Keep?

Agencies are granted *ongoing legal authority* to disposition (get rid of records) through legal documents called

records retention schedules

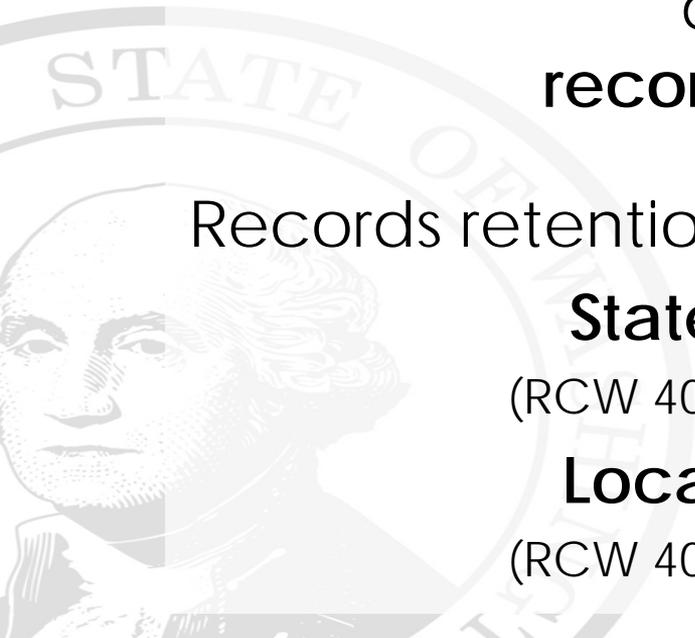
Records retention schedules are approved by the

State Records Committee

(RCW 40.14.050; chapter 434-624 WAC)

Local Records Committee

(RCW 40.14.070; chapter 434-630 WAC)



Which Schedule Do I Use?

Visit sos.wa.gov/Archives >> Go to “Local Governments” Tab >> Select agency type

Visit sos.wa.gov/Archives >> Go to “State Agencies” Tab >> *Select Records Retention Schedules*

Local Government Common Records Retention Schedule (CORE)

For records that are commonly created/received by most *local* government agencies, i.e. -

- ❖ Employee development
- ❖ Attendance and leave
- ❖ Benefits programs
- ❖ Etc...

State Government General Records Retention Schedule

For records that are commonly created/received by most *state* agencies, i.e. -

Which Schedule Do I Use?

Visit sos.wa.gov/Archives >> Go to “Local Governments” Tab >> Select agency type

Visit sos.wa.gov/Archives >> Go to “State Agencies” Tab >> *Select Records Retention Schedules*

School Districts and Educational Service Districts Records Retention Schedule

Soon to be updated to: Public Schools (K-12) Records Retention Schedule

For records related to school management *where not covered by CORE/State General Schedule, i.e -*

- ❖ Verbal/physical abuse investigations
- ❖ In-Service Education
- ❖ Etc...

Records Retention Schedule



Local Government Common Records Retention Schedule (CORE)
Version 4.0 (May 2017)

1.10 MEETINGS AND HEARINGS

The activity of the agency assembling groups of people for the purpose of information-sharing, discussion, planning and/or decision-making. Includes all meetings organized by or on behalf of the agency including open public meetings, executive sessions, public and/or appeals hearings, community meetings, and internal agency meetings. May involve governing and advisory bodies, executive management, general staff, volunteers, general public.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS50-05A-13 Rev. 2	<p>Meetings – Governing/Executive Records documenting all meetings of the local government agency’s governing bodies and executive management.</p> <p>Includes:</p> <ul style="list-style-type: none"> • Meetings regulated by the <i>Open Public Meetings Act</i> (chapter 42.30 RCW), such as regular and special meetings, public hearings, etc.; • All other meetings (including executive sessions regulated by RCW 42.30.110(2)). <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Agendas, meeting/agenda packets (briefs, reference materials, etc.); • Speaker sign-up, written testimony; • Audio/visual recordings and transcripts of proceedings; • Minutes. <p>Includes indexes and other finding aids.</p> <p>Excludes records covered by GS2011-173, GS2011-174, GS2011-175, and GS2011-176.</p>	<p>Retain for 6 years after end of calendar year <i>then</i> Transfer to Washington State Archives for permanent retention.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>

Rule of Thumb: *Never destroy a record unless you can point to a “DAN” authorizing you to do so.*

KEEP **PUBLIC RECORDS** for
MINIMUM RETENTION

then

DESTROY

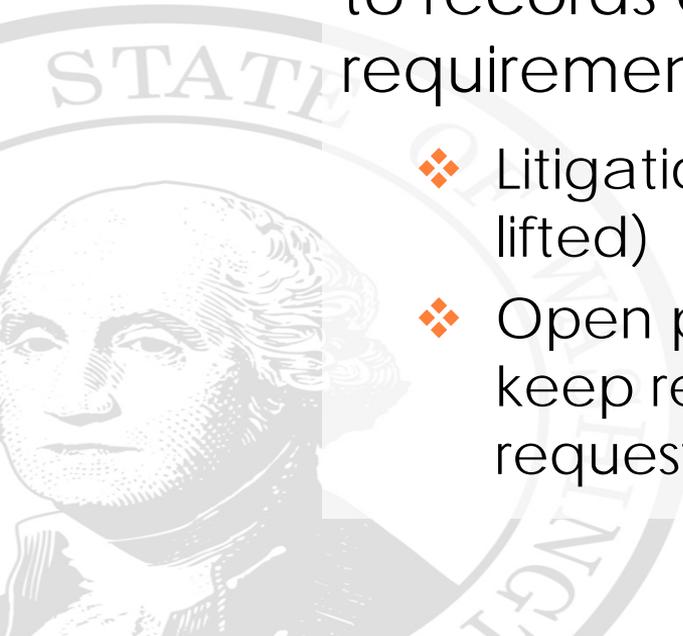
TRANSFER

HOLD IT!



There are times when you must hang on to records even if their retention requirements have been met:

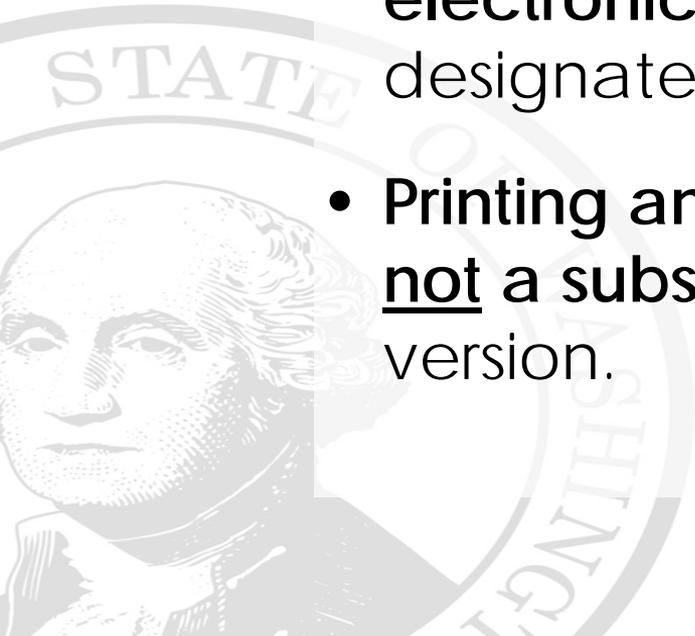
- ❖ Litigation holds (must keep until hold lifted)
- ❖ Open public records requests (must keep related responsive documents until request fulfilled/closed)



"Born Digital" Records

- **Electronic records must be retained in electronic format...**for the length of the designated retention period.
- **Printing and retaining a hard copy is not a substitute** for the electronic version.

[\(WAC 434-662-040\)](#)



School Personnel Records FAQ's

What information is needed to verify retirement eligibility?

Local Government (CORE)

- Employee Retirement/Pension Verification (DAN GS2017-009): *Retain for 60 years after separation from agency or 100 years after employee's date of birth or 6 years after benefit/beneficiary payment completed*

State Government General

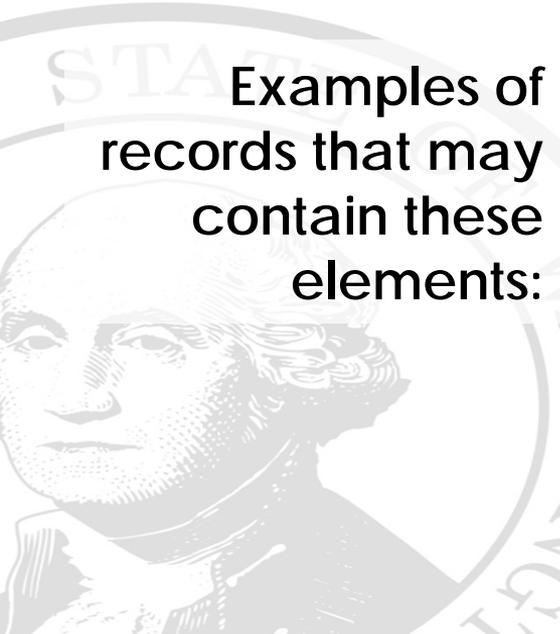
- Retirement Verification (DAN GS 03032): *Retain for 60 years after date of separation from agency then Destroy*

School Personnel Records FAQ's

Washington State
Department of
Retirement Systems
(DRS) requires
documentation of all
of the following
elements as
retirement benefit
eligibility and
entitlement
verification:

- **Employee name** (first, middle, last), **date of birth**, and **SSN**;
- **Service and break in service dates** (hire, termination, leave, etc.). Includes **type of leave** taken (and) *whether compensated or not*;
- **Hours** worked *per month*;
- **Compensation** earned *per month*. Also includes lump-sum payments such as retroactive cost-of-living adjustment (COLA), contract settlement, missed earnings, etc. (including begin & end dates and type of payment);
- **Rate of pay** *specific to employee* (salary, hourly, etc.);
- **Eligibility** determination.

School Personnel Records FAQ's



Examples of records that may contain these elements:

Includes, but is not limited to:

- Individual payroll registers/summaries/databases;
- Time cards/time sheets;
- Appointment letters;
- Applications for enrollment/participation/elections/extension;
- Determination and notification of eligibility/ entitlement or ineligibility;
- Contract/agreement, policy/plan between employee and benefit provider;
- Name, address, status, and beneficiary/dependent modifications/changes;
- Withdrawal from plan/system.

School Personnel Records FAQ's

**If NOT needed to
verify retirement
eligibility:**

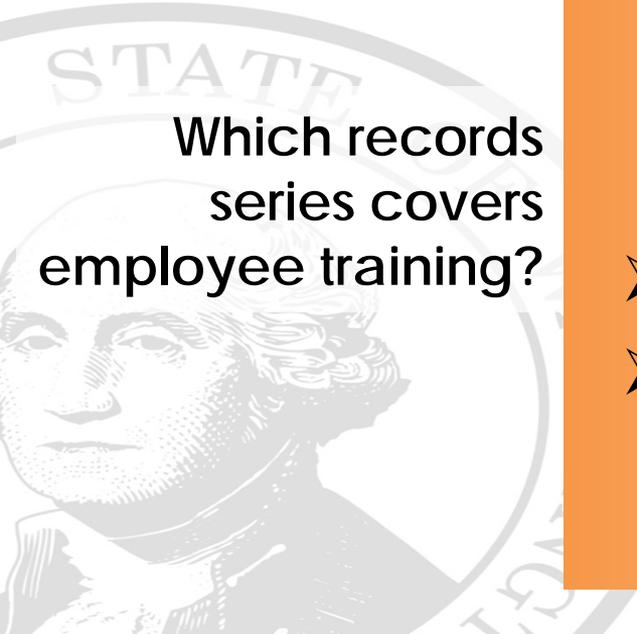
Local Government (CORE)

- Employee Pay – History (DAN GS50-03E-15)
- Payroll Register (DAN GS50-03E-22)
- Payroll Processing, Distribution and Reporting (DAN GS50-03E-02)

State Government General

- Payroll Files – Employee Pay History (DAN GS 03031)
- Payroll Register (DAN GS 01060)
- Payroll Processing, Distribution and Reporting (DAN GS 03033)

School Personnel Records FAQ's



Which records series covers employee training?

- Do the records document training provided by the district, or training received by individual district employees?
- Is the training mandatory?
- Are continuing education/clock hours awarded?

School Personnel Records FAQ's

**Agency Provided –
not mandatory**

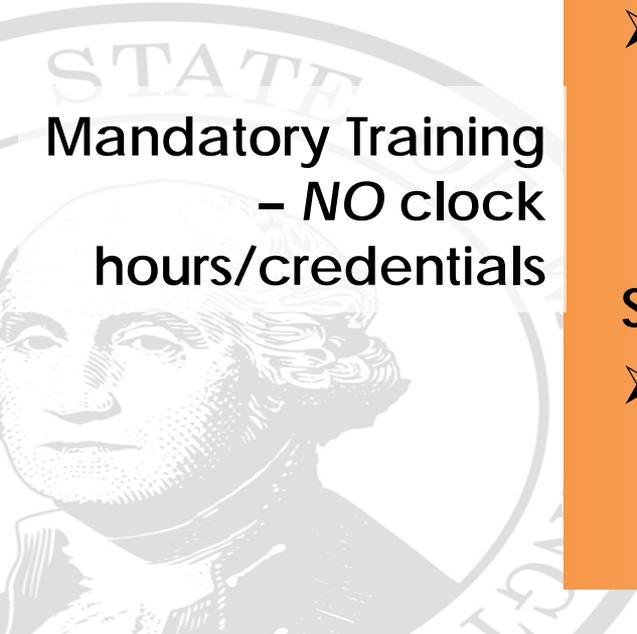
Local Government (CORE)

- Agency Provided Training – General (DAN GS2011-181)

State Government General

- Training – General (DAN GS 22007)
 - Training is not required by federal, state or local statute and/or the employer;
 - Qualifications/credentials/licenses are not earned;
 - Continuing education hours/credits/points are not awarded.

School Personnel Records FAQ's



**Mandatory Training
– NO clock
hours/credentials**

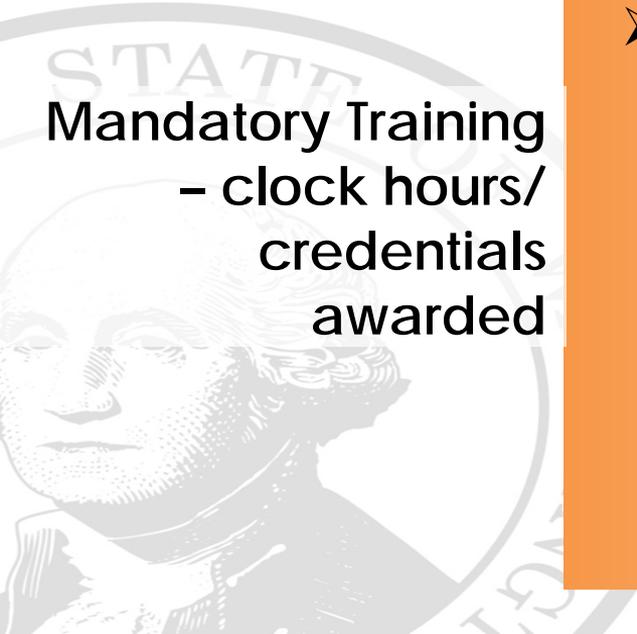
Local Government (CORE)

- Agency Provided Training – Certificated, Hours/Credits Earned, or Mandatory (DAN GS2011-180)

State Government General

- Training – Mandatory or Certificated/ Hours/Credit Provided (DAN GS 22008)

School Personnel Records FAQ's



**Mandatory Training
– clock hours/
credentials
awarded**

School Districts & Educational Service Districts

- Agency-Provided Training – In-Service Education Programs (DAN SD51-04G-01)
 - Records documenting approved **in-service education** programs provided by the local government agency to the public, customers, contractors, or agency employees, *where continuing education credits/clock hours are awarded.*

School Personnel Records FAQ's

**Training *received*
by employee**

Local Government (CORE)

- Employee Work History (DAN GS50-04B-06)

State Government General

- Personnel – Employment History Files (DAN GS 03042)

School Personnel Records FAQ's

Which records series covers misconduct investigations?

General Misconduct

Local Government (CORE)

- Misconduct Investigation Files – Founded (DAN GS50-04B-46)
- Misconduct Investigation Files – Unfounded (DAN GS50-04B-47)

State Government General

- Complaints and Grievances – Upheld (DAN GS 03003)
- Complaints and Grievances – Exonerated (DAN GS 03006)

School Personnel Records FAQ's

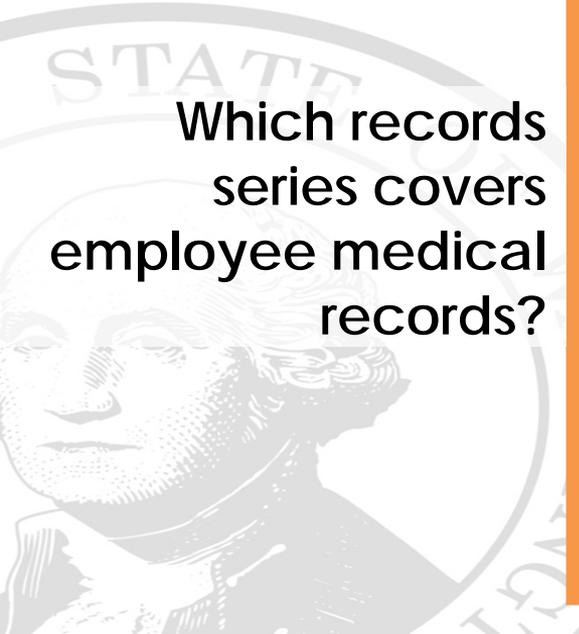
Verbal/Physical/Sexual Abuse

School Districts & Educational Service Districts

Which records series covers misconduct investigations?

- Employee Verbal Abuse/Physical Abuse Accusations/Investigations – Sustained and Unfounded (DAN SD2014-021)
- Employee Sexual Misconduct Accusations/Investigations – Sustained and Unfounded (DAN SD2014-020)

School Personnel Records FAQ's



Which records series covers employee medical records?

Local Government (CORE)

- Employee Health Records (Routine)(DAN GS2017-015)
- Employee Medical and Exposure Records (DAN GS50-04B-30)

State Government General

- Personnel – Health-Related Records (Routine) (DAN GS 03054)
- Employee Medical and Exposure Records (DAN GS 03039)

Personnel Records – Future Updates



We want to
hear from you.

If there have been changes in...

- Language and terminology
- New records series
- Obsolete records series
- Federal and state requirements

...please let us know!

Records Management Resources

- Website: sos.wa.gov/archives
 - Training – online and in-person
 - How-to videos
 - Retention schedules
 - Advice sheets



FREE CONSULTATION, TRAINING, AND ADVICE

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