



THE WASHINGTON STATE ARCHIVES RECORDS MANAGEMENT TEAM WELCOMES YOU!



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Participants (1)

Q Search



WSA Records Management
Me

Can you hear us?

Check the volume on your computer/speaker/headphone and confirm your audio connection using the microphone drop-down at the bottom of your screen

Questions?

Share them in the chat 😊

Need more help?

Reach out to the team at recordsmanagement@sos.wa.gov or give us a call at (360) 586-4901

Basics of Managing School Personnel Records



Agenda



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

Benefits of Managing Records



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- ☐ 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?



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For the purposes of **retention** and **destruction**, two criteria (RCW 40.14.010):

- ☐ Anything made or received in connection with the transaction of public business
- ☐ Regardless of format

Chat log? **Public record.**

Social media post? **Public record.**

E-mail? **Public record.**

Voicemail recording? **Public record.**

Chapter 40.14 RCW



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

They will be preserved, stored, transferred, destroyed, and otherwise managed under the provisions of this chapter.

My Device/Account = My Records



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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



Lieutenant Governor Meyers on the phone, 1933-1953,
Susan Parish Photograph Collection, Washington State Archives

Injury to Record



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Every agency representative who mutilates, destroys, conceals, erases, obliterates, or falsifies any record...is guilty of a **class B felony**. Such action will be punished with **imprisonment**, a **fine**, or both.

(RCW 40.16.020)

How Do I Know What to Keep?



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Agencies have the ongoing legal authority to disposition (get rid of records) through legal documents called:

RECORDS RETENTION SCHEDULES

The **Local** or **State Records Committee** approves records retention schedules for local and state governments.

(RCW 40.14.060 and 40.14.070; chapters 434-624 and 434-630 WAC)

Which Schedule Do I Use?



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STATE AGENCIES

sos.wa.gov/archives

“State Agencies” Tab

“Records Retention
Schedules”

Locate your agency’s
schedule(s)

LOCAL AGENCIES

sos.wa.gov/archives

“Local Governments” Tab

Select your **type** of local
government agency

Locate your agency’s
schedule(s)

Which Schedule Do I Use?



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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*

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



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Public Schools (K-12) Records Retention Schedule *Version 8.4 (April 2021)*

5.1. CURRICULUM

The activity of the school/district defining, describing, and providing to students instructional programs, content, materials, and resources.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
SD51-06A-05 Rev. 2	<p><i>Curriculum Summaries and Guides</i></p> <p>Records relating to publications created by the school or district which support the information provided in the Course Description Catalog. Records reflect statewide curriculum requirements and guidelines, showing what is to be taught, how it will be taught, and how students' performance will be evaluated.</p> <p>Includes records that reflect the following:</p> <ul style="list-style-type: none">• Concepts to be taught;• Methods of instruction used;• Student performance objectives and evaluation criteria used;• Activities that will enable students to accomplish objectives. <p>Excludes records covered by <i>Course Description Catalog (DAN SD51-06A-19)</i>.</p>	<p>Retain until superseded <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

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!



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There are times when you **must** hang onto records past retention:

- ☐ **Litigation Holds** - Records are eligible for destruction after the hold lifts.
- ☐ **Public Records Requests** - Responsive records are eligible for destruction after the request is fulfilled.

“Born Digital” Records



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- ☐ **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



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What is the retention for Personnel Records based on, and why are they non-archival?

- ☐ Auditing requirements
- ☐ Legal/Statutory Requirements
- ☐ Statute of limitations - breach of contract (6 years);
Personal Injury (3 years)
- ☐ Employee lifespan

School Personnel Records FAQ's



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How long do I need
to keep records that
document
retirement/pension
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



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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



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**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.

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Do I need to keep
all records that
contain those
elements for 60
years?

No. Work with your agency's retirement benefits manager to determine the **fewest** records that provide all of those elements for each year.

If there are **summary-type** records that contain this information (e.g., payroll registers or individual employee pay histories), retain those for this longer period instead of **individual detail records** (e.g., time cards).

School Personnel Records FAQ's



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**We've identified
which records best
cover the
retirement
verification
elements. What do
we do now?**

Develop a **policy** for your agency point-forward defining which specific records that capture these elements will be retained.

If **adding** one or more elements/fields to a record point-forward would reduce the number/volume of records that need to be kept, consider modifying procedures accordingly.

School Personnel Records FAQ's



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**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



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**Which records
series cover
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



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**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



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**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



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**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



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**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



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**Which records
series covers
employee medical
records?**

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



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**Which records
series covers
misconduct
investigations?**

Verbal/Physical/Sexual Abuse

School Districts & Educational Service Districts

- ☐ 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



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**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)

Retention Schedule Updates



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**We want to hear
from you 😊**

If there have been changes in...

- ☐ Language and terminology
- ☐ Volume of records
- ☐ Business value
- ☐ Legal and regulatory requirements

...please let us know!

Records Management Resources



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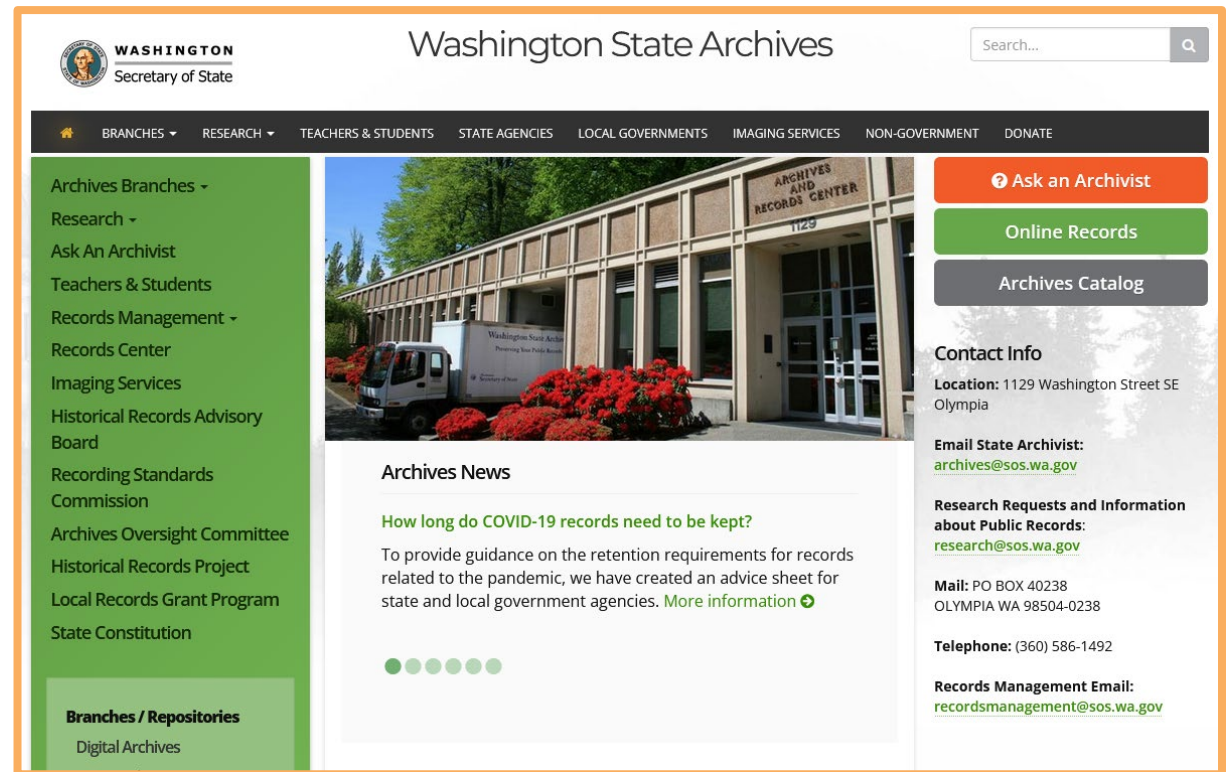
Website: sos.wa.gov/archives

☐ Training – online and in-person

☐ How-to videos

☐ Retention schedules

☐ Advice sheets



The screenshot shows the Washington State Archives website. The header includes the Washington Secretary of State logo and the text "Washington State Archives". A search bar is located in the top right. Below the header is a navigation menu with links: BRANCHES, RESEARCH, TEACHERS & STUDENTS, STATE AGENCIES, LOCAL GOVERNMENTS, IMAGING SERVICES, NON-GOVERNMENT, and DONATE. The main content area features a large image of the Archives and Records Center building. To the left of the image is a green sidebar with a list of links: Archives Branches, Research, Ask An Archivist, Teachers & Students, Records Management, Records Center, Imaging Services, Historical Records Advisory Board, Recording Standards Commission, Archives Oversight Committee, Historical Records Project, Local Records Grant Program, and State Constitution. Below this list is a section for "Branches / Repositories" with a link to "Digital Archives". To the right of the image is a section for "Archives News" with a headline "How long do COVID-19 records need to be kept?" and a paragraph of text. Further right is a "Contact Info" section with links for "Ask an Archivist", "Online Records", and "Archives Catalog", and contact information for the State Archivist, Research Requests, and Records Management.

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Search...

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Research
Ask An Archivist
Teachers & Students
Records Management
Records Center
Imaging Services
Historical Records Advisory Board
Recording Standards Commission
Archives Oversight Committee
Historical Records Project
Local Records Grant Program
State Constitution

Branches / Repositories
Digital Archives

Archives and Records Center

Archives News

How long do COVID-19 records need to be kept?

To provide guidance on the retention requirements for records related to the pandemic, we have created an advice sheet for state and local government agencies. [More information](#)

Ask an Archivist

Online Records

Archives Catalog

Contact Info

Location: 1129 Washington Street SE
Olympia

Email State Archivist:
archives@sos.wa.gov

Research Requests and Information about Public Records:
research@sos.wa.gov

Mail: PO BOX 40238
OLYMPIA WA 98504-0238

Telephone: (360) 586-1492

Records Management Email:
recordsmanagement@sos.wa.gov



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WITH FREE CONSULTATION, TRAINING, & ADVICE**

**www.sos.wa.gov/archives
recordsmanagement@sos.wa.gov
(360) 586-4901**