This schedule applies to: Office of Superintendent of Public Instruction

Scope of records retention schedule
This records retention schedule authorizes the destruction/transfer of the public records of the Office of Superintendent of Public Instruction relating to the unique functions of overseeing K-12 public education, working with school districts to administer basic education program, and implement education reform. The schedule is to be used in conjunction with the *State Government General Records Retention Schedule (SGGRRS),* which authorizes the destruction/transfer of public records common to all state agencies.

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

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

Revocation of previously issued records retention schedules
All previously issued records retention schedules to the Office of Superintendent of Public Instruction are revoked. The Office of Superintendent of Public Instruction 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 October 7, 2020.

For the State Auditor:	For the Attorney General:	For the Office of Financial Management:	The State Archivist:
Al Rose	Suzanne Becker	Gwen Stamey	Steve Excell

REVISION HISTORY

Version	Date of Approval	Extent of Revision
1.0	September 5, 2012	Consolidation of all existing disposition authorities (with major revisions to Apportionments and some other minor revisions).
1.1	December 5, 2012	Minor revisions to Equity and Civil Rights and School Financial Services sections.
1.2	September 18, 2013	Added five (5) new record series, consolidated and updated Assessments and Child Nutrition sections.
1.3	September 3, 2014	Added (2) more series, minor revisions to Development Sets – Grades K-12, consolidation and revisions to Administrative Resources and Office of Professional Practices.
1.4	September 2, 2015	Major revision to Professional Certification section and minor revision to Assessment and Student Information section.
1.5	June 29, 2016	Revised E-Rate series, discontinued Office 222 Information Technology Services.
2.0	October 7, 2020	Major revision of entire schedule.

For assistance and advice in applying this records retention schedule,

please contact the Office of Superintendent of Public Instruction's Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. ACCREDITATION AND SCHOOL APPROVALS

This section covers records relating to accrediting and approving schools and non-public agencies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94-02-52854 Rev. 2	***Accreditation Files*** Records relating to the accreditation of state schools. Includes, but is not limited to: • School improvement plans; • Visiting teams reports; • Three year follow up information.	**Retain** for 6 years after end of school year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OPR
91-10-49235 Rev. 1	***Preschool Accreditation Files*** Records relating to the accreditation of preschool programs. Includes, but is not limited to: • Applications; • Approval forms and/or signed agreements; • Monitoring and auditing reports; • Related correspondence/communications.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-06-22650 Rev. 3	***Private School Files (Approved)*** Records relating to review, approval, monitoring, reporting, and oversight of private schools. Includes, but is not limited to: • Initial and/or renewal applications; • Fiscal reports; • Certificates of Compliance; • Approval forms and/or signed agreements; • Communications logs.	**Retain** for 6 years after end of fiscal year *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OPR
79-06-22654 Rev. 3	***Private School Files (Closed or Inactive)*** Records relating to closing of private schools. Includes, but is not limited to: • Inactive files; • Communication logs; • Closure process document; • Documentation of permanent location where educational records were transferred to.	**Retain** for 6 years after closure of school *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69572 Rev. 0	***Private School Files (Denied)*** Records relating to the application, review, and denial of nonpublic agency school which were denied by the agency. Includes, but is not limited to: • Partially completed applications; • Duplicate applications; • Provisional approvals and associated documentation for non-approved applications; • Notifications.	**Retain** 1 year after application deadline *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
03-03-60495 Rev. 3	***Special Education Nonpublic Agency Files (Approved)*** Records relating to the application, review, and approval of Nonpublic Agencies (NPA) to provide special education services to students with disabilities. Includes, but is not limited to: • School district contracts and approval letters; • Annual letters; • Related correspondence/communications.	**Retain** for 6 years after nonpublic agency no longer certified *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69575 Rev. 0	***Special Education Nonpublic Agency Files (Denied)*** Records relating to the application, review, and denial of Nonpublic Agencies (NPA) which were denied by the agency. Includes but not limited to: • Partially completed applications; • Duplicate applications; • Provisional approvals and associated documentation for non-approved applications; • Notifications.	**Retain** 1 year after application deadline *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2. ASSESSMENT ADMINISTRATION AND DEVELOPMENT

This section covers records relating to the development, selection, and implementation of state and federally required assessments. This includes reports on achievement for students, school, districts, and the state.

2.1 ALTERNATIVE ASSESSMENTS

The activities documenting alternative assessments.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69574 Rev.0	***Request for Accommodations*** Records documenting accommodation services requests and agency response. This includes requests for accommodations in compliance with Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act (ADA) of 1990, the ADA Amendments Act of 2008, and requests associated with limited English proficiency accommodations. Includes, but is not limited to: • Non-Standard Accommodation Requests; • Limited English proficiency accommodations requests; • Requests for services and accompanying documentation; • Agency response, including accommodations identified and provided.	**Retain** for 6 years after agency response to request *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

2.1 ALTERNATIVE ASSESSMENTS

The activities documenting alternative assessments.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
15-09-68821 Rev. 1	***State Academic Assessment – Alternative*** Records relating reviewing and approving requests and progress towards an alternative assessment enabling students to meet the standards for the minimum set of skills required for graduation, in accordance with RCW 28A.655.061. Includes, but is not limited to: • Student applications and registrations; • Score files and changes; • Requests for appeals or retroactive changes to scores or levels; • Reports of any discrepancies; • Collection of evidence; • Conclusions and decisions of any appeals or requests for changes.	**Retain** for 15 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

2.1 ALTERNATIVE ASSESSMENTS

The activities documenting alternative assessments.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69564 Rev.0	***Assessment Research – Development*** Records relating to the conducting of research projects for the development of state student assessments. Includes both internal and external projects, either contractual or non-contractual. Includes, but it not limited to: • Project proposals; • Progress reports. Excludes: • Signed contracts and agreements for work are covered under *Contracts and Agreements (DAN GS 01050)*; • Financial transactions related on execution of contract will be covered under fiscal and accounting records; • *Assessment Research – Development (DAN 20-10-69564)*.	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

2.2 ASSESSMENT RESEARCH

The activity of researching assessments.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-02-03430 Rev. 1	***Assessment Research – Final Report*** Records relating to the final reports of research projects conducted for the development of state student assessments. Includes both internal and external projects, either contractual or non-contractual. Includes, but it not limited to: • Project proposals; • Progress reports; • Final Reports. Excludes: • Signed contracts and agreements for work are covered under *Contracts and Agreements (DAN GS 01050)*; • Financial transactions related on execution of contract will be covered under fiscal and accounting records; • *Assessment Research – Development (DAN 20-10-69564)*.	**Retain** for 6 years after end of fiscal year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OPR
68-09-00781 Rev. 1	***Inactive Research Proposals (Rejected)*** Records relating to internal and external assessment research projects that were rejected for consideration.	**Retain** for 3 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

2.3 DEVELOPMENT

The activity of developing testing materials.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-05-62178 Rev. 2	***Test and Scoring Sets Grades K-12 – Decisions*** Records relating to decisions and approvals made during the development of state student academic assessments and testing. Includes, but is not limited to: • Final test and scoring drafts; • Standard Setting decisions. Excludes: • Actual scores covered by State *Academic Assessment Scores (DAN 06-04-61146)*; • Development records covered by *Test and Scoring Sets Grades K-12 – Development (DAN 20-10-69579)*.	**Retain** 10 years after superseded or discontinued *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OFM

2.3 DEVELOPMENT

The activity of developing testing materials.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69579 Rev. 0	***Test and Scoring Sets Grades K-12 – Development*** Records related the drafting, development, and design of state student academic assessments and testing. Includes, but is not limited to: • Item writing and review materials; • Practice, anchor and qualification sets; • Pilot and operational rangefindings sets; • Notes and evaluations; • Specific scoring rubrics, score points and annotations; • Statistical information. Excludes records covered by: • *Test and Scoring Sets Grades K-12 – Decisions (DAN 10-05-62178);* • *State Academic Assessment Scores (DAN 06-04-61146)*.	**Retain** for 10 years after superseded or discontinued *then* **Destroy.**	NON-ARCHIVAL NON-ESSENTIAL OFM

2.4 TESTING MATERIALS

The activity of housing testing and scoring materials.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-07-60737 Rev. 0	***Assessment Student Responses*** Records relating to the completed assessments with student responses. This includes completed assessments requested and returned by the district.	**Retain** for 2 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
10-05-62177 Rev. 2	***Released Items – Grades K-12*** Records relating to items released for instructional use and guidance once test has been developed and administered. Includes, but is not limited to: • Specific scoring rubrics; • Sample scenarios and materials; • Anchor papers and sets; • Student work at representative score points; • Annotations for scores.	**Retain** for 5 years after superseded or discontinued *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
10-05-62175 Rev. 2	***Student Tests (Blank) – Grades K-12*** Blank tests used for standardized student assessments tests for grades K through 12.	**Retain** for 2 years after end of calendar year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OPR

2.5 TEST RESULTS

The activities associated results and responses.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
06-04-61146 Rev. 2	***State Academic Assessment Scores*** Records relating to the final student scores compiled from student responses to standardized assessments.	**Retain** for 8 years after end of school year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OPR
20-10-69580 Rev. 0	***Test Incident Results*** Records relating to the review, decisions, and actions taken by the agency in response to Test Incident Reports submitted by local educational agencies. Includes, but is not limited to: • Documentation submitted from the district; • Letters sent to the family.	**Retain** for 5 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

2.5 TEST RESULTS

The activities associated results and responses.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
13-09-68459 Rev. 0	***Test Result Requests*** Records relating to a parental, guardian or school district requests for test results or requests for modifications to test results or levels related to a student's required standardized assessment or other required measurement testing. Includes, but is not limited to: • Results requests; • Requests for appeals or retroactive changes to scores or levels; • Reports of any discrepancies; • Conclusions and decisions of any appeals or requests for changes. Excludes actual test scores covered by *State Academic Assessment Scores (DAN 06-04-61146)*.	**Retain** for 2 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

3. CURRICULUM AND K-12 LEARNING STANDARD DEVELOPMENT

This section covers records relating to the development, selection, and implementation of curriculum and K-12 Learning Standards.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-09-68325 Rev. 1	***Curriculum Development and Review*** Records related to the material collection, review, and development of curriculum. Includes, but is not limited to: • Surveys and reported information from schools, districts, and publishers; • Data and analysis of gathered materials; • Volunteer selection, training, and materials; • Bias sensitivity review.	**Retain** for 5 years after end of school year *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OFM
20-10-69570 Rev. 0	***K-12 Learning Standards – Decisions*** Records relating to decisions and approvals made during the development of learning standards. Includes, but is not limited to: • Standard setting decisions; • Adoption recommendations; • Bias sensitivity review; • Final standards. Excludes development records covered by *K-12 Learning Standards – Development (DAN 20-10-69571).*	**Retain** 10 years after superseded or discontinued *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OFM

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69571 Rev. 0	***K-12 Learning Standards – Development*** Records related the drafting, development, and design of state learning standards. Includes, but is not limited to: • Notes and evaluations; • Public reviews; • Draft standards. Excludes decision records covered by *K-12 Learning Standards – Decisions (DAN 20-10-69570).*	**Retain** for 10 years after superseded or discontinued *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4. EDUCATION ADMINISTRATION SUPPORT SERVICES

This section covers records relating to the oversight, administration, and implementation of basic education programs within local educational agencies, non-public agencies, and contracted entities.

4.1 APPEALS

The activity of resolving appeals regarding school district and/or agency actions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-05-22536 Rev. 3	***Appeal Case Files*** Records relating to the appeals of actions taken by Office of the Superintendent of Public Instruction regarding, student transfers, special education student placements, bus drivers, and equal education. Includes, but is not limited to: • Case file of appeal; • Final decisions. Excludes teacher discipline cases covered by *Professional Practices Disciplinary and Investigative Files (DAN 92-04-50255)*.	**Retain** for 10 years after final decision *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.2 COMPLIANCE MONITORING

The activity of conducting audits and evaluations of programs provided by the agency, schools, programs, providers, and contracted entities. Also includes program evaluations for compliance and performance audits.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94-02-53374 Rev. 2	***Civil Rights Compliance Files – Methods of Administration Program*** Records relating to the continuous improvement, compliance monitoring, and implementation of the Methods of Administration Program. Includes, but not limited to: • Notification letters; • Voluntary compliance plans; • Photographic evidence and supporting documentation; • On-site reviews and desk audits; • Letter of findings; • Related correspondence/communications. *Note: Retention is based on agency business needs.*	**Retain** for 5 years after superseded or obsolete *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.2 COMPLIANCE MONITORING

The activity of conducting audits and evaluations of programs provided by the agency, schools, programs, providers, and contracted entities. Also includes program evaluations for compliance and performance audits.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68355 Rev. 1	***Local Education Agency Compliance Monitoring*** Records relating to the routine monitoring, supervision, and actions taken by the agency regarding local education agency compliance with state and federal laws and regulations. Includes, but is not limited to: • School district reports, forms, and evaluations; • School district assurances of compliance; • Other supporting documentation; • Monitoring reports and forms; • Documentation of site visits, desk audits, and interviews; • Compliance findings and reports; • Related correspondence/communications.	**Retain** for 6 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
74-08-05332 Rev. 2	***Local Educational Agency Compliance Reviews – Child Nutrition Program*** Records relating to compliance monitoring and actions taken by the agency regarding school and district compliance with state and federal requirements for the Child Nutrition Program. Includes, but is not limited to: • Visitation records; • Monitoring and compliance reports; • Corrective action plans.	**Retain** for 10 years after completion of review *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.2 COMPLIANCE MONITORING

The activity of conducting audits and evaluations of programs provided by the agency, schools, programs, providers, and contracted entities. Also includes program evaluations for compliance and performance audits.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
13-09-68462 Rev. 1	***Program Deficiency – Temporarily Deferred Providers*** Records relating to the review of and actions taken by the agency and/or sponsors regarding Child and Adult Care Food Program (CACFP) provider program deficiencies. Includes, but is not limited to: • Notification of deficiencies; • Corrective action plans; • Notices of temporary deferral.	**Retain** for 3 years from temporary deferral date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
13-09-68461 Rev. 1	***Program Deficiency – Terminated Providers*** Records relating to the termination of Child and Adult Care Food Program (CACFP) providers due to repeat findings of program deficiencies. Includes, but is not limited to: • Notification of deficiencies; • Corrective action plans; • USDA reporting form for placement on the National Disqualified List.	**Retain** for 10 years from program termination date *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.3 CERTIFICATION AND TRAINING

The activity of training and certifying educators and bus drivers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-09-68332 Rev. 1	***Clock Hours*** Records relating to programs for clock hours required towards certifications and continuing education. Includes, but is not limited to • Program approvals; • Program agenda, summary of evaluations; • Rosters/attendance /participant lists.	**Retain** for 7 years after end of program *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.3 CERTIFICATION AND TRAINING

The activity of training and certifying educators and bus drivers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94-08-54642 Rev. 5	***Fingerprint Files*** Records relating to compliance with Washington State law (RCW 28A3.400.303 and RCW 28A.195.080) which requires new employees of a school district, an educational service district (ESD), charter schools and/or approved private schools with regularly unsupervised access to children be fingerprinted for a record check through the Washington State Patrol (WSP) and the Federal Bureau of Investigation (FBI). Washington State law (RCW 28A.410.010) also requires applicants who do not possess a valid Washington teaching certificate at the time of application be fingerprinted for a background record check through the WSP and the FBI. Includes, but is not limited to: • Fingerprint cards received/scanned/transmitted by OSPI to the WSP for processing; • Incomplete or pending checks; • Background checks and Electronic Applicant Submission Forms; • Clearance letters. *Note: Retains fingerprint data in an electronic database. The records are purged from the system 24 months from the date FBI results are received or 24 months from the date Washington State Patrol results are received if the FBI results have not received.*	**Retain** for 2 years after cleared with FBI *and* record check verified by OSPI *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.3 CERTIFICATION AND TRAINING

The activity of training and certifying educators and bus drivers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-09-68333 Rev. 1	***In-Service Provider Approvals*** Records relating to the approvals and renewals of external providers for in-service clock hours. Includes, but is not limited to: • Applications; • Annual assurance of compliance forms; • Audit records; • Approved provider lists (list of agencies approved each year to offer clock hours).	**Retain** for 7 years after end of program *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
15-09-68823 Rev. 1	***Professional Certification Credentials – Applications/Working Files*** Records relating to the review, approval, and/or denial of the applications and supporting documentation submitted by educators for professional certification credentials issued by the Office of the Superintendent of Public Instruction. Includes, but is not limited to: • Applications; • Incomplete, unprocessed or disapproved applications; • Copies of transcripts, letters of verification and other background information; • Notices from other states of credentials. Excludes records covered by *Fingerprint Files (DAN 94-08-54642)*.	**Retain** for 7 years after issuance/denial of certificate *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.3 CERTIFICATION AND TRAINING

The activity of training and certifying educators and bus drivers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
15-09-68822 Rev. 1	***Professional Certification Credentials – Issued*** Records relating to the issuing of professional certification credentials by the Office of the Superintendent of Public Instruction, including teachers, administrators, educational staff associates, paraeducators, and vocational/career tech educators. Includes, but is not limited to: • Certificate and number issued; • Probationary certificates.	**Retain** for 60 years after expiration or renewal *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
79-06-22680 Rev. 1	***School Bus Driver Certification*** Records relating to the review, rejection, and/or approval of School Bus Driver applications. Includes, but is not limited to: • Applications; • Authorization checklists and verification; • Certificates; • Related correspondence/communications.	**Retain** for 6 years after rejection/expiration/ termination *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.3 CERTIFICATION AND TRAINING

The activity of training and certifying educators and bus drivers.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69578 Rev. 0	***Teacher Candidate Performance Assessment*** Records relating to the administration, scoring evaluation, and auditing of the Teacher Performance Assessment (edTPA), including documentation held by the vendor. Includes, but is not limited to: • Declaration of Compliance forms; • Aggregated data; • Coordinator meeting records; • Scoring and/or scored portfolios.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.4 MISCONDUCT/DISCIPLINE/GRIEVANCES

The activities associated with investigating complaints regarding local education agencies and/or educator unprofessional conduct. This includes disciplinary actions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-12-68357 Rev. 1	***Civil Rights Compliance Investigations*** Records relating to the review, investigations, and actions taken by the Equity and Civil Rights Office regarding school district compliance with state and federal civil rights laws and regulations. These investigations are based on formal complaints submitted and investigated, completed in accordance with RCW 28A.640, RCW 28A.642, and WAC 392-190. Includes, but is not limited to: • Formal complaints; • School district reports, forms, and evaluations; • Other supporting documentation; • Documentation of site visits and interviews; • Compliance findings and reports; • Related correspondence/communications.	**Retain** for 7 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.4 MISCONDUCT/DISCIPLINE/GRIEVANCES

The activities associated with investigating complaints regarding local education agencies and/or educator unprofessional conduct. This includes disciplinary actions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69568 Rev. 0	***Equity and Civil Rights Formal Complaints*** Records provided to the agency for review and retention relating to formal complaints submitted to and investigated by the Department of Education and/or local education agencies in cases of affirmative action, discrimination, harassment issues and other school conditions and issues. Includes, but is not limited to: • Filed complaints and grievances; • Supporting documentation; • Agency response and decisions; • Legal actions, arbitration or mediation efforts; • Determinations and appeals.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.4 MISCONDUCT/DISCIPLINE/GRIEVANCES

The activities associated with investigating complaints regarding local education agencies and/or educator unprofessional conduct. This includes disciplinary actions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
92-04-50255 Rev. 3	***Professional Practices Disciplinary and Investigative Files*** Records relating to Individual case files for unprofessional conduct complaints and investigations which have been upheld and disciplinary actions taken. Includes notifications both in state and out of state of all certificates to all private and public school officials that have been suspended, surrendered, revoked or denied as required by WAC 181-86-185. Includes, but is not limited to: • Complaints and entire investigative files; • Applicant investigative files; • Cases not opened or dismissed; • Disciplinary and revocation documentation; • Revocation notifications (including from other states).	**Retain** for 52 years after case closed *and* notifications completed *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.4 MISCONDUCT/DISCIPLINE/GRIEVANCES

The activities associated with investigating complaints regarding local education agencies and/or educator unprofessional conduct. This includes disciplinary actions.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
97-05-57719 Rev. 1	***Special Education Citizens Complaint File*** Records relating to the investigation of complaints and grievances filed in cases related to special education placement or provided program(s). Includes, but is not limited to: • Filed complaints and grievances; • Supporting documentation; • Agency investigative response; • Documentation gathered for resolving the complaint; • Related correspondence/communications. Excludes records covered by *Special Education Citizens Complaint/Hearing Decision (DAN 83-01-31079).*	**Retain** for 6 years after end of fiscal year which complaint was resolved *then* **Destroy**.	NON-ARCHIVAL **ESSENTIAL** **(for Disaster Recovery)** OFM
83-01-31079 Rev. 1	***Special Education Citizens Complaint/Hearing Decisions*** Records relating to the decisions and actions taken by the Special Education Office to address issues/findings of complaint and grievance investigations related to special education placement or provided program(s). Excludes records covered by *Special Education Citizen Complaint File (DAN 97-05-57719)*.	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.5 PROGRAM ADMINISTRATION

The activities associated with documenting program approvals and implementation. This includes the review, approval, or denial of applications for programs.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-12-49499 Rev. 1	***Art Sense*** Records relating to the review, approval, and administration of Art Sense Program. Includes, but is not limited to: • Announcements; • Surveys; • Documentation related to review, selection, scheduling, and notification; • Certificates.	**Retain** for 2 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.5 PROGRAM ADMINISTRATION

The activities associated with documenting program approvals and implementation. This includes the review, approval, or denial of applications for programs.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-09-48102 Rev. 3	***Award and Competition Programs*** Records relating to the review, recommendations, and selections of awards for students, educators, or schools for state and national programs. Includes, but is not limited to: • Announcement parameters; • Applications; • Supporting Materials; • Interagency agreements with contest sponsors; • Competition packets; • Judge and teacher trainings; • Award criteria, evaluation summaries, and rubrics; • Score results; • Lists of honorees; • Certificates. Excludes records covered by: • *Award and Competition Programs – Awardees (DAN 20-10-69565);* • *Celebrations/Ceremonies/Events – Routine (DAN GS 05008)*; • *Celebrations/Ceremonies/Events – Significant (DAN GS 05009)*.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.5 PROGRAM ADMINISTRATION

The activities associated with documenting program approvals and implementation. This includes the review, approval, or denial of applications for programs.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69565 Rev. 0	***Award and Competition Programs – Awardees*** Records relating to the list of awardees for students, educators, or schools for state and national programs. Excludes records covered by: • *Award and Competition Programs (DAN 91-09-48102)*; • *Celebrations/Ceremonies/Events – Routine (DAN GS 05008)*; • *Celebrations/Ceremonies/Events – Significant (DAN GS 05009)*.	**Retain** for 6 years after end of calendar year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OFM
20-10-69566 Rev. 0	***Educational Leadership Program Applications (Denied)*** Records relating to applications for educational leadership programs that were denied by the agency. Includes, but is not limited to: • Applications; • Resumes, letter of intent, reference letters; • Letters of denial.	**Retain** until no longer needed for agency business *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.5 PROGRAM ADMINISTRATION

The activities associated with documenting program approvals and implementation. This includes the review, approval, or denial of applications for programs.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69567 Rev. 0	***Educational Leadership Programs (Approved)*** Records relating to the agency's administration of educational leadership programs. Includes, but is not limited to: • Applications; • Resumes, letter of intent, reference letters; • Scoring, ranking and selection criteria; • Evaluation summaries and rubrics; • Notification of application approval/acceptance.	**Retain** for 6 years after application approval *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-09-68331 Rev. 1	***E-RATE Administration*** Records related to the administration and provision of services of the E-rate discount and reimbursement program created by the Federal Communications Commission (FCC) for schools and libraries to provide at a discounted rate broadband and internet access as well as telecom and network data services for learning. Includes, but is not limited to: • Eligibility applications; • Eligible services lists; • School validation forms.	**Retain** for 10 years after end of funding window *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.5 PROGRAM ADMINISTRATION

The activities associated with documenting program approvals and implementation. This includes the review, approval, or denial of applications for programs.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
13-09-68460 Rev. 1	***Food and Nutrition Programs*** Records relating to food and nutrition programs providing assistance and support for quality nutrition supplied through the school districts or other associated providers. Includes, but is not limited to: • Sponsor information and files; • Reimbursements and claims; • Audit batches and reporting. Excludes records covered by: • *Contracts and Agreements (DAN GS 01050)*.	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-06-05321 Rev. 3	***Food Distribution – USDA Foods Files*** Records relating to the monitoring and reviewing of commodities offered, accepted and distributed to school food authorities. Includes, but is not limited to: • Inventories and warehousing; • Freight and shipping; • Transfers/damages; • Schedules.	**Retain** for 6 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.5 PROGRAM ADMINISTRATION

The activities associated with documenting program approvals and implementation. This includes the review, approval, or denial of applications for programs.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-07-22985 Rev. 2	***Individuals with Disabilities Education Act – Infants and Toddlers with Disabilities Files*** Records relating to review, approval, monitoring, reporting, and oversight of the Individuals with Disabilities Education Act programs for early intervention services. Formerly known as Education of Handicapped, Title VI, Part C. Includes, but is not limited to: • Applications and letters of intent; • Notification of program approval, project status; • Fiscal reports and records relating to funding; • Program and/or grant monitoring, audit reports; • Modifications and amendment requests; • Progress and compliance reports; • Approval forms and/or signed agreements; • Related correspondence/communications.	**Retain** for 6 years after end of fiscal year *then* **Destroy.**	NON-ARCHIVAL NON-ESSENTIAL OPR
20-10-69576 Rev. 0	***Special Service Program Applications (Denied)*** Records relating to school districts (including contractors) and/or school applications for special programs that were denied by the agency. Includes, but is not limited to: • Applications; • Evaluation summaries and/or scoring rubrics; • Letters of denial; • Related correspondence/communications.	**Retain** for 2 years after application denied *then* **Destroy.**	NON-ARCHIVAL NON-ESSENTIAL OPR

4.5 PROGRAM ADMINISTRATION

The activities associated with documenting program approvals and implementation. This includes the review, approval, or denial of applications for programs.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
20-10-69577 Rev. 0	***Special Service Programs (Approved)*** Records relating to review, approval, monitoring, reporting, and oversight of special service programs or classes offered by school districts (including contractors) and/or schools. Includes, but is not limited to: • Announcement parameters; • Applications and letters of intent; • Scope of services; • Evaluation summaries and rubrics; • Notification of program approval, project status; • Fiscal reports and records relating to funding; • Program and/or grant monitoring, audit reports; • Modifications and amendment requests; • Progress and compliance reports; • Approval forms and/or signed agreements; • Related correspondence/communications.	**Retain** for 6 years after end of program *or* if continuous program, 6 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.6 REPORTING

The activity of developing reports, issuing final reports to associated external agencies/organizations, and receiving reported data by local education agencies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
84-02-34802 Rev. 3	***Achievement and Assessment Data Files*** Records relating to the review and analysis of data used to refine instructional practices and curriculum. Includes, but is not limited to: • Self-study reports; • State and district level summaries.	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
20-10-69569 Rev. 0	***Graduation Alternative Data*** Records relating to the retention and evaluation of records submitted to the agency by local educational agencies relating to student graduation alternative options.	**Retain** for 10 years after date of submission *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
20-10-69573 Rev. 0	***Reporting to Agency – General*** Records relating to the mandatory reporting/notifying/filing of data sets by a local educational agency into OSPI databases, where not covered by a more specific records series. Includes, but not limited to: • Annual School Bus Mileage Reports; • Home-Based Instruction Annual Enrollment Reports; • School Bus Route Logs. Excludes data reported in accordance with Title 28A RCW and Title 392 WAC which is covered by *Reporting to Agency – Local Educational Agency Data (DAN 77-12-20258).*	**Retain** for 6 years after date of submission *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.6 REPORTING

The activity of developing reports, issuing final reports to associated external agencies/organizations, and receiving reported data by local education agencies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
77-12-20258 Rev. 3	***Reporting to Agency – Local Educational Agency Data*** Records relating to the mandatory reporting/notifying/filing of data sets by a local educational agency to OSPI in accordance with Title 28A RCW and Title 392 WAC, *where not covered by a more specific records series.* Includes, but is not limited to: • Directory Information relating to Local Educational Agencies; • Educator data (names, demographic information, contact info, etc.); • Staffing data; • Student level data (enrollments, discipline, ethnicity and race, graduate and dropout, truancy, etc.). Excludes: • *Apportionment Development Reports and Summaries – Levies, Personnel, and Student Enrollments (DAN 12-09-68328)*; • *Apportionment Reports and Summaries – Final (DAN 12-09-68330)*; • *Apportionment Development Reports and Summaries – Other (DAN 12-09-68329)*; • *Professional certification credential records;* • *Reporting to Agency – Development (DAN 91-02-47392)*; • *Reporting to Agency – General (DAN 20-10-69573).*	**Retain** for 20 years after end of school year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OFM

4.6 REPORTING

The activity of developing reports, issuing final reports to associated external agencies/organizations, and receiving reported data by local education agencies.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-02-47392 Rev. 2	***Reports – Development*** Records relating to the drafting, development, design, and production of agency-created reports. Includes, but is not limited to: • Records reviewing the F-196 financial reporting; • Records assuring the completion of the F-195 budget and budget extension process by the school districts.	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.7 SCHOOL BUS MANAGEMENT

The activity of reviewing, approving, and monitoring school district acquiring/owning and maintaining school buses.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86-06-37086 Rev. 2	***Routine School Bus Inspection*** Records relating to the reporting of inspections of all school buses.	**Retain** for 2 year after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
79-06-22665 Rev. 2	***School Bus Acquisition and Disposition*** Records relating to the acquisition and disposal of school buses. Includes, but is not limited to: • Acquisition packets; • Vehicle titles; • School Bus Operation Permits for individual buses; • Inventory depreciation and replacement allocation reports.	**Retain** for 6 years after disposal of asset *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
79-06-22688 Rev. 1	***School Bus Operation Permit – School District*** Records relating to permits, licenses, and authorizations given to the district to operate school buses by the agency.	**Retain** for 6 years after authorization expired/ superseded/terminated *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.7 SCHOOL BUS MANAGEMENT

The activity of reviewing, approving, and monitoring school district acquiring/owning and maintaining school buses.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86-06-37081 Rev. 1	***Transportation Vehicle Fund Expenditures*** Records relating to review, rejection, and/or approval of bids and proposals for expenditures related to major bus repairs. Includes but is not limited to: • Completed forms and bids; • Approval or rejection notices; • Related correspondence/communications.	**Retain** for 2 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.8 SCHOOL DESIGN AND CONSTRUCTION

The activity of reviewing, approving, and monitoring school district building and maintenance.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
74-02-03419 Rev. 3	***Capital Construction Project Files*** Records relating to OSPI's administration of capital fund grants for new facilities and the School Construction Assistance Program pursuant to WAC 392-341 through 392-347. Includes but is not limited to: • Applications; • Award criteria; • Awards and approvals. *Note: Retention based on funding cycle.*	**Retain** for 50 years after end of fiscal year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OFM
97-10-58157 Rev. 1	***Capital Fund Aid Agreements*** Records relating to the review and approval of capital fund aid agreements between districts with high school programs and districts without high school programs, to provide services and resources to students.	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
97-10-58156 Rev. 1	***Educational Service District Acquisition and Alienation Files*** Records relating to the review and approval of real property acquisition and alienations submitted to the agency by Educational Service Districts (ESD). Includes, but is not limited to: • Questionnaires; • ESD Board resolutions and/or supporting documentations; • Letter of approval.	**Retain** for 6 years after end of fiscal year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.8 SCHOOL DESIGN AND CONSTRUCTION

The activity of reviewing, approving, and monitoring school district building and maintenance.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
79-07-23032 Rev. 3	***School Building Construction Project Files*** Records relating to the documenting, payment, and grant administration for school building construction. Includes, but is not limited to: • Grant authorizations; • Reimbursement claims; • Retainage application, approval, and/or release; • Fiscal reports and payment documentation; • Grant monitoring, audit reports; • Related correspondence/communications.	**Retain** for 25 years after final payment of contract *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
74-02-03422 Rev. 5	***School District Organization Files*** Records relating to local education agency transfers of territory, consolidations, annexations, boundary corrections, dissolutions, and classification changes reported to the OSPI and used to update and/or correct the Geographic Information System (GIS) database. Includes, but is not limited to: • Finalized notifications; • Legal description of changes; • School district classifications changes and emerging district information; • Related correspondence/communications.	**Retain** for 6 years after end of fiscal year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OPR

4.8 SCHOOL DESIGN AND CONSTRUCTION

The activity of reviewing, approving, and monitoring school district building and maintenance.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
94-02-52829 Rev. 4	***School District Study and Surveys*** Final reports of the studies conducted through the Study and Survey Planning Grant.	**Retain** for 20 years after conclusion of study *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OFM

4.9 SCHOOL FINANCIAL MANAGEMENT

The activity of calculating and distributing funding to local education agencies, educational service districts, and nonpublic entities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-09-68328 Rev. 1	***Apportionment Development Reports and Summaries – Levies, Personnel, and Student Enrollments*** Records documenting apportionment reports and summaries used to develop the final calculation and distribution of funding relating to levies, personnel and student enrollments. Includes, but is not limited to: • Calculations of Levy Lid Authorities (F-780); • Student enrollment reporting (P223/P-223H); • Salaries and benefits paid to certificated and classified employees and report of certificated/classified employees – (1801 Cert Reports, 1801 Class Reports and Report S-275); • Levy Election Results; • Levy Certifications; • Enrollment Headcount Reports (1251H); • Enrollment Special Education Reports (1735T).	**Retain** for 25 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.9 SCHOOL FINANCIAL MANAGEMENT

The activity of calculating and distributing funding to local education agencies, educational service districts, and nonpublic entities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-09-68330 Rev. 1	***Apportionment Reports and Summaries – Final*** Records relating to apportionment reports and summaries that contain the final calculations and distribution of funding to school districts. Includes, but is not limited to: • Summary of Full-time Equivalent (FTE) Enrollment (Report 1251); • Annual Apportionments of State Funds to School Districts Reports (BEA) and other funding streams; • Alternative Learning Experience Student Enrollment (ALE).	**Retain** for 25 years after end of school year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OPR

4.9 SCHOOL FINANCIAL MANAGEMENT

The activity of calculating and distributing funding to local education agencies, educational service districts, and nonpublic entities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
12-09-68329 Rev. 2	***Apportionment Development Reports and Summaries – Other*** Records relating to other apportionment reports and summaries used to develop the final calculation and distribution of funding to school districts. Includes, but is not limited to: • Surveys, notes, reports and working papers for monthly apportionments; • Non-high district pupil financial claims and enrollment reports (Form 483A, 483B, P-213); • Assessed valuations and tax rates (Report 1061); • Federal Forest Distribution Memos and Reports to County Treasurers; • Home and hospital reports (Form E-525); • Truancy petition filings (Forms 1302C and 1302D); • Hospital education program allotments; • Reports for instructional staffing (Forms 1158, 1230K-4); • Requests for salary bonus (Form 1525); • Staffing ratio enrollments (Forms 1159 and 1160); • State institutions allotments (Form 1191SI); • State institution enrollment reports (Form E 672); • Maintenance, construction and operations funds (Title 8 of the ESEA of 1965); • University of Washington Enrollment Reports; • Surveys, notes, reports and working papers for monthly enrollment; • Monthly apportionment reports.	**Retain** for 6 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.9 SCHOOL FINANCIAL MANAGEMENT

The activity of calculating and distributing funding to local education agencies, educational service districts, and nonpublic entities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86-05-36558 Rev. 1	***Apportionment Redirection Requests and Approvals*** Records documenting the requests for and redirection of general funds to school building funds.	**Retain** for 6 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
03-11-60584 Rev. 2	***Audit Adjustment Files*** Records maintained and used to calculate adjustments to state funding. Includes, but is not limited to: • Audit adjustments, corrections, and revised reports; • Correspondence and memos relating to adjustments.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
80-09-26042 Rev. 3	***Budget Approval and Implementation – Educational Service Districts*** Records documenting the approval and implementation of budgets for Educational Service Districts. Includes, but not limited to: • Annual Budgets (F-206); • Requests for budget extensions or revisions (F-269).	**Retain** for 6 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

4.9 SCHOOL FINANCIAL MANAGEMENT

The activity of calculating and distributing funding to local education agencies, educational service districts, and nonpublic entities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
80-09-26031 Rev. 2	***Budget Approval and Implementation – School Districts*** Records relating to the approval and implementation of operating expenses for the fiscal school year for school districts. Includes, but is not limited to: • Annual Budgets for Public School Districts (F-195); • Budget Revisions for Public Schools (F-200).	**Retain** for 25 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
86-05-36559 Rev. 1	***Emergency Grants*** Records relating to the request made by local educational agencies to and approval from OSPI for and adjustments of the allocation of funds in the event of an emergency.	**Retain** for 6 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM
80-09-26044 Rev. 2	***Financial Reporting Summary – Educational Service Districts and School Districts*** Records relating to the reporting of financial expenditure of school districts and educational service districts.	**Retain** for 6 years after end of school year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OPR

4.9 SCHOOL FINANCIAL MANAGEMENT

The activity of calculating and distributing funding to local education agencies, educational service districts, and nonpublic entities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
91-02-47388 Rev. 5	***Financial Reporting – Educational Service Districts*** Records documenting the reports of actual revenues, expenditures, and financial position of ESD's federal expense funds. Includes, but is not limited to: • Educational Service District Year-End Report (F-185).	**Retain** for 6 years after end of school year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OPR
80-09-26036 Rev. 2	***Financial Reporting – School Districts*** Records relating to the development and reporting of the F-196 annual financial statement for public school districts. Includes, but is not limited to: • Actual revenues and expenditures; • Allocation of indirect costs; • Distribution of abatements; • Net expenditure per pupil calculations.	**Retain** for 25 years after end of school year *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OPR
86-05-47617 Rev. 1	***Investment Earnings on Advance of State Apportionment Funds – F-895*** Records documenting the statement from school districts reporting any interest earnings received from the investment of temporary cash surpluses resulting from the advance.	**Retain** for 6 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.9 SCHOOL FINANCIAL MANAGEMENT

The activity of calculating and distributing funding to local education agencies, educational service districts, and nonpublic entities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
08-12-61938 Rev. 1	***Maintenance of Effort Test*** Records relating to the administration and reporting of Maintenance of Effort Test associated with special education, federal cross-cutting, Indian education, and vocational education.	**Retain** for 6 years after date of final test *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
08-12-61941 Rev. 1	***Qualified Zone Academy Bonds (QZAB)*** Records relating to the review and approval of Qualified Zone Academy Bonds (QZAB). Includes, but is not limited to: • Applications; • Staffing papers; • Letter of approval.	**Retain** for 6 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
03-11-60583 Rev. 2	***Special Education Safety Net Applications*** Records relating to the review, approval, and denial of applications for Special Education safety net funding. Includes, but is not limited to: • Applications; • Award and denial decisions; • Requests for review and reconsideration; • Related correspondence. Excludes records related to *Advisory Body Records (DAN GS 10015)*.	**Retain** for 6 years after end of school year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

4.9 SCHOOL FINANCIAL MANAGEMENT

The activity of calculating and distributing funding to local education agencies, educational service districts, and nonpublic entities.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
86-05-36560 Rev. 1	***Warrant Approvals*** Records documenting the requests and approvals from second class school districts to draw and issue own warrants.	**Retain** for 6 years after end of school year *then* **Destroy.**	NON-ARCHIVAL NON-ESSENTIAL OFM

5. ELECTION ADMINISTRATION

This section covers records relating to administrating elections.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
81-04-27483 Rev. 2	***Board Appointments and Elections – Results*** Records relating to the elections results and/or appointment of board members serving on the State Board of Education and the Educational Services District Board administered by Office of the Superintendent of Public Instruction. Includes, but is not limited to: • Election results; • Challenges (to either candidate's eligibility or election results); • Oaths of office. Excludes elections results held by School Districts to serve on local district school boards.	**Retain** for 6 years after next election *then* **Transfer** to Washington State Archives for appraisal and selective retention.	**ARCHIVAL** **(Appraisal Required)** NON-ESSENTIAL OFM
14-09-68527 Rev. 0	***Board Elections – Administration*** Records relating to the internal administration of the elections of board members serving on the State Board of Education and the Educational Services District Board by Office of the Superintendent of Public Instruction. Includes, but is not limited to: • Eligibility; • Ballots and tally sheets; • Working files. Excludes records covered by: • *Board Appointments and Elections – Results (DAN 81-04-27483)*; • Records relating to the administration of elections held by School Districts to serve on local district school boards.	**Retain** for 1 year after certification of election *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR

6. LEGACY RECORDS

This section covers records no longer being created/created by the Office of Superintendent of Public Instruction, but the existing records have not yet reached their minimum retention period.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
04-07-60735 Rev. 0	***Asbestos Grant Applications*** School district applications and award letters for Environmental Pollution Agency (EPA) funds to clean asbestos from school buildings. Certification records from school districts of meeting EPA non-asbestos requirements.	**Retain** for 50 years after end of calendar year *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OPR
12-12-68356 Rev. 1	***School District Affirmative Action Plans*** School district affirmative action plans submitted by each school district to be in compliance with state laws. Reference 28A.640 RCW, 28A.642 RCW, WAC 392-190-0592.	**Retain** until no longer needed for agency business *then* **Destroy**.	NON-ARCHIVAL NON-ESSENTIAL OFM

GLOSSARY

Appraisal

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

Archival (Appraisal Required)

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

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

Archival (Permanent Retention)

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

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

Disposition

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

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

Disposition Authority Number (DAN)

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

Essential Records

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

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

Non-Archival

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

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

Non-Essential Records

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

OFM (Office Files and Memoranda)

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

RCW 40.14.010 – Definition and classification of public records.

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

OPR (Official Public Records

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

RCW 40.14.010 – Definition and classification of public records.

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

Public Records

RCW 40.14.010 – Definition and classification of public records.

"… The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business…"

Records Series

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

State Records Committee

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

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

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