**This schedule applies to: Department of Children, Youth, and Families**

**Scope of records retention schedule**

This records retention schedule authorizes the destruction/transfer of the public records of the Department of Children, Youth, and Families relating to the unique functions of providing services and resources to achieve optimal outcome for children, youth, and families. 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 agency 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 Department of Children, Youth, and Families are revoked. The Department of Children, Youth, and Families 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 4, 2023.

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| *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the State Auditor:****Al Rose** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Attorney General:****Suzanne Becker** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***For the Office of Financial Management:****Gwen Stamey** | *Signature on File**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_***The State Archivist:****Heather Hirotaka** |

Revision History

|  |  |  |
| --- | --- | --- |
| Version | Date of Approval | Extent of Revision |
| 1.0 | June 6, 2018(effective July 1, 2018) | Initial agency schedule. |
| 2.0 | June 5, 2019(effective July 1, 2019) | Major revision incorporating the transfer of additional functions such as juvenile rehabilitation from the Department of Social and Health Services. |
| 2.1 | October 4, 2023 | New section added (Child Care Subsidy), new DANs added to Child Care Subsidy and Justice Involved Youth sections, minor revisions.  |

For assistance and advice in applying this records retention schedule,

please contact the Department of Children, Youth, and Families’ Records Officer

or Washington State Archives at:

recordsmanagement@sos.wa.gov

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1. AGENCY WIDE

This section covers records for agency-wide use relating to services provided by the Department of Children, Youth, and Families.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 19-07-69384Rev. 0 | ***Base Updates***Provides documentation used to determine staff time spent on federal and state programs. Basis of claiming reimbursement from federal government for costs under the cost allocation plan. This includes such things as:* Random Moment Time samples documents that Identifies activities claimable to federal funding sources. Result of the random moment time sampling of social service workers.
* Documentation of the receipt of federal funds. Includes grant applications, budget, contracts, correspondence, audits and final project reports.
* Group care annual time study.

*Note: Series contains confidential information.**Note: Based on DAN 83-05-31847 granted to the Department of Social and Health Services.* | **Retain** for 6 years after end of fiscal year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 19-07-69392Rev. 0 | ***Fair Hearing Case Files (Judicial Appeal)***Provides documentation to support fair hearing rulings appealed to Superior Court.*Note: Files are arranged alphabetically.**Note: Series contains confidential information.**Note: Based on DAN 80-08-25431 granted to the Department of Social and Health Services.* | **Retain** for 10 years after appeal date *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 19-07-69393Rev. 0 | ***Fair Hearing Case Files (No Judicial Appeal)***Documents disposition of fair hearings in accordance with RCW 34.12.Includes, but is not limited to:* Appellant's name, complaint, findings of facts in the case;
* Final administrative decision and exhibits.

*Note: Series contains confidential information.**Note: Based on DAN 74-10-07101 granted to the Department of Social and Health Services.* | **Retain** for 6 years after end of month *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 19-07-69405Rev. 0 | ***Voter Registration***Provides a record of the offer of voter registration assistance to clients and other visitors to the office.*Note: Based on DAN 97-10-58167 granted to the Department of Social and Health Services.* | **Retain** for 2 years after end of month *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OFM |

1. BACKGROUND CHECK MANAGEMENT

This section covers records relating to background check services for Department of Children, Youth, and Families providers and facilities.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 18-07-69251Rev. 0 | ***Background Check Authorization Forms and Results for Employed Individuals (Originating Office)***Signed and completed Background Check Authorization Forms, Record of Arrest and Prosecution (RAP) sheets, supplemental information provided by the applicant or the Background Check Unit (BCU) and the background check result letters. These records for those hired must be stored together in a secure location separate from personnel files and other less confidential documents. Documents may include the person's:* Name and alias names;
* Date of birth;
* Driver's license number;
* Social security number;
* Confidential criminal background information – may include public information such as state findings of abuse, neglect, and exploitation of vulnerable people.

*Note: Series contains confidential information.**Note: Based on DAN 10-04-62157 granted to the Department of Social and Health Services.* | **Retain** for 6 years after superseded or separation from agency, *whichever is later* *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69252Rev. 0 | ***Background Check Authorization Forms and Results for Individuals Not Employed (Originating Office)***Signed and completed Background Check Authorization forms, Record of Arrest and Prosecution (RAP) sheets, supplemental information provided by the applicant or Background Check Unit (BCU), and the BCU result letters for individuals who had a background check completed but were NOT hired, must be stored together in a secure location. Documents may include the person's:* Name and alias names;
* Date of birth;
* Driver's license number;
* Social security number;
* Confidential criminal background information – may include public information such as state findings of abuse, neglect, and exploitation of vulnerable people.

*Note: Series contains confidential information.**Note: Based on DAN 10-04-62156 granted to the Department of Social and Health Services.* | **Retain** for 6 years after decision date *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-07-69253Rev. 0 | ***Background Check Authorization Forms and Results for Initial and Renewal of License, Contract, Certification, and Authorization of Unsupervised Access for Service Providers (Originating Office)***Signed and completed background check authorization forms, Record of Arrest and Prosecution (RAP) sheets, supplemental information provided by the applicant or Background Check Unit (BCU) and the BCU result letters for applicants and potential and current service providers who completed an FBI background check for any purpose must be stored together in a secure location.Documents may include the person's:* Name;
* Date of birth;
* Alias names;
* Driver's license number;
* Social security number;
* Confidential non-public FBI background information.

*Note: Series contains confidential information.**Note: Based on DAN 10-04-62158 granted to the Department of Social and Health Services.* | **Retain** for 6 years after termination of license, contract, certification, or authorization *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69263Rev. 0 | ***National Crime Information Center (NCIC III) Background Checks Received for Child Protective Services (CPS) and Related Investigations and Emergency Placement for Unlicensed Relatives or Other Persons***Documents include NCIC III results received from all field offices conducting CPS (purpose code C) and related investigations and emergent placements (purpose code X) for unlicensed relatives or other persons. NCIC III results received for both purposes must not be shared, copied or disseminated beyond DCYF, including the following:* NCIC III data and supplemental information about NCIC III data provided under purpose codes C and X; criminal history result forms;
* Completed criminal history summary forms in the assigning office folder located in the DCYF shared drive;
* Notations of department action that includes NCIC III data;
* Results of a character, competence and suitability assessment that includes NCIC data.

*Note: Series contains confidential information.**Note: Based on DAN 10-04-62162 granted to the Department of Social and Health Services.* | **Retain** for 30 days after receipt of National Crime Information Center (NCIC III)information *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 18-07-69270Rev. 0 | ***Rejected Incomplete Background Check Authorization Forms***Forms submitted by fax or mail missing critical information, are illegible, or have incorrect account numbers, which are rejected as incomplete. These documents are not usable after rejection decision is made and must be destroyed and replaced by the applicant.These documents may contain* Name and alias names;
* Date of birth;
* Driver's license number;
* Social security number;
* Confidential background information disclosed by the applicant.

*Note: Once application is rejected, applicant must submit a new application and a new query is performed. Applications that are accepted are covered under other Background Check Management series as appropriate.**Note: Series contains confidential information.**Note: Replaces DAN 07-12-61664 granted to the Department of Social and Health Services.* | **Retain** until no longer needed for agency business *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

1. CASE RECORD MANAGEMENT

This section covers records relating to children’s case files.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 18-07-69249Rev. 0 | ***Adoption Support Applications (Withdrawn)***Applications for adoption support with supporting documentation where applicants have withdrawn from the process. Includes, but is not limited to:* Child's registration, DCYF 10-061;
* Family's Application and request for Adoption Finalization Costs, DCYF 09-998;
* Policy Exception Requests;
* Copies of family's Federal Income Tax Returns;
* Child's Medical Background and Family History, DCYF 13-041;
* Worksheet, DCYF 09-997;
* Medical or therapeutic Records;
* Home Study;
* Shared Planning, DCYF 14-474.

Adoption support services include financial assistance for the adoptive family for special needs children. A family may re-apply for services at any time during the adoptive child's minority. Adoption support is a form of financial assistance per RCW 74.13A.005-145 and WAC 388-27-005 to -0390.*Note: Confidential (RCW 74.13A.065).**Note: Replaces DAN 93-06-52555 granted to the Department of Social and Health Services.* | **Retain** for 18 years after the application is withdrawn *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 18-07-69250Rev. 0 | ***Adoptive Child, Legally Free Child, and Guardianship Child and Support Case Files***Contains registration, medical report, status change report, foster parent adoption report, adoptive service schedule documentation, Legally Free Child information, and Guardianship documents. To record and operate State Adoption Support Program in compliance with requirements of RCW 74.13A.100-145 and WAC 388.27-005 to -0390. Case file contents include, but not limited to:* Child's registration, DCYF 10-061;
* Family's Application and request for Adoption Finalization Costs, DCYF 09-998;
* Policy Exception Requests;
* Copies of family's Federal Income Tax Returns;
* Child's Medical Background and Family History, DCYF 13-041;
* Worksheet, DCYF 09-997;
* Medical or therapeutic Records;
* Home Study;
* Shared Planning, DCYF 14-474;
* Agreement, DCYF 10-228;
* Revised Adoption Support Agreement, DCYF 10-227;
* Change in Service Authorizations, DCYF 14-159;
* Adoption Support Monthly Counseling Billing, DCYF 06-160;
* Correspondence;
* Letter for 18-year-old, DCYF 15-413;
* Pre Authorization for Services, DCYF 10-214.

*Note: Adoption case files are retained permanently by Superior Courts in accordance with Superior Court Case Files (DAN CL65-01-08) in the County Clerk and Superior Court Records Retention Schedule.**Note: Confidential (RCW 74.13A.065).**Note: Replaces DAN 74-03-03776 granted to the Department of Social and Health Services.* | **Retain** for 100 years after adoption final, Legally Free child ages out of foster care, or after the establishment of the Guardianship *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69254Rev. 0 | ***Child Welfare Services Case Files***Includes law enforcement reports, medical reports, reports to the court, court orders, child interview notes, correspondence, school reports, near-fatality/fatality reviews and constituent relations briefings. Also included case records related to the Education and Training Voucher (ETV) program which provides financial help to foster youth.*Note: Series contains confidential information.**Note: See RCW 4.16.340 Actions based on childhood sexual abuse.**Note: Replaces DAN 99-11-59329 granted to the Department of Social and Health Services.* | **Retain** for 35 years after case closed *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69257Rev. 0 | ***Founded Allegations of Child Protective Services Case Files***Includes law enforcement reports, medical reports, reports to the court, court orders, child interview notes, correspondence, near-fatality/fatality reviews, constituent relations briefings and other records not stored in the Statewide Automated Child Welfare Information System (SACWIS).*Note: Series contains confidential information.**Note: See RCW 4.16.340 Actions based on childhood sexual abuse.**Note: Replaces DAN 99-11-59322 granted to the Department of Social and Health Services.* | **Retain** for 35 years after case closed *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69259Rev. 0 | ***Interstate Compact Placement Files (WA Receiving)***A record of placement of children from other jurisdictions in WA homes under the terms of the Interstate Compact for the Placement of Children (Chapter 26.34 RCW).*Note: Series contains confidential information.**Note: Replaces DAN 77-10-20089 granted to the Department of Social and Health Services.* | **Retain** for 6 years after case closed *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-07-69274Rev. 0 | ***Unfounded Allegations of Child Protective Services Case Files***Provides records of unfounded allegations. Includes, but is not limited to:* Law enforcement reports, medical reports;
* Reports to the court, court orders, child interview notes;
* Correspondence and other records not stored in the Statewide Automated Child Welfare Information System (SACWIS).
* Near-fatality/fatality reviews
* Constituent Relation briefings

*Exception to the six-year retention and disposition action: If a child named in an unfounded CPS investigation (or his/her sibling, half sibling, parent, guardian, or legal custodian) has a prior founded finding or a founded finding made during the six years following the unfounded investigation, the retention defaults to the founded allegations retention of 35 years. Please see RCW 26.44.031 for further details.**Note: Series contains confidential information.**Note: Replaces DAN 99-11-59324 granted to the Department of Social and Health Services.* | **Retain** for 6 years after case closed *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |

1. CHILD CARE SUBSIDY

This section covers records relating to child care subsidy management.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 23-10-69700Rev. 0 | ***Family Record—Financial***Records documenting eligibility determination and authorization for child care subsidy benefits relating to Working Connections and Seasonal Child Care programs.  | **Retain** for 3 years after financial services case closed *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OFM |

1. INSTITUTIONS

This section covers records relating to the institutions operated by the Department of Children, Youth, and Families.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 19-07-69382Rev. 0 | ***24-Hour Nursing Reports***A change of shift communication tool summarizing entries in patient case records. Used by Quality Assurance Department to prepare restraint/seclusion reports.*Note: Series contains confidential information.**Note: Replaces DAN 92-08-51207 granted to the Department of Social and Health Services.* | **Retain** for 3 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 19-07-69383Rev. 0 | ***Admission and Discharge Registers***Maintains a chronologic record of resident admissions, discharges, and transfers. *Note: Series contains confidential information.**Note: Replaces DAN 83-03-31415 granted to the Department of Social and Health Services.* | **Retain** for 10 years after completion of action report *then***Transfer** to Washington State Archives for appraisal and selective retention. | **ARCHIVAL****(Appraisal Required)****ESSENTIAL****(for Disaster Recovery)**OFM |
| 19-07-69387Rev. 0 | ***Controlled Drug Perpetual Inventory Records***Provides a record of controlled drug/substance inventories maintained by the institution pharmacy. Includes, but is not limited to:* Biennial inventory of controlled substances required by the Federal Drug Enforcement Administration;
* Other reports as necessary.

*Note: Replaces DAN 84-11-34723 granted to the Department of Social and Health Services.* | **Retain** for 6 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 19-07-69388Rev. 0 | ***Cottage Journals***Provides a record of administrative activities within residential units and documents events worthy of note. *Note: Series contains confidential information.**Note: Replaces DAN 86-09-37557 granted to the Department of Social and Health Services.* | **Retain** for 3 years after end of calendar year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OFM |
| 19-07-69389Rev. 0 | ***Daily Population Reports***Printout of daily changes of the clients at institutions, used to record the total changes of clients. *Note: Series contains confidential information.**Note: Replaces DAN 85-12-35762 granted to the Department of Social and Health Services.* | **Retain** for 3 years after end of month *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OFM |
| 19-07-69390Rev. 0 | ***Dietary Services Food Health and Safety Records***Safety and health documentation of food cooked and served, and stored in refrigerators/freezers by Dietary Services, ward kitchens, storage areas, dishwashing areas, and hot food carts. Includes, but is not limited to:* Inspections results and food temperature recordings;
* Sanitation solution log;
* Cleaning schedules.

*Note: Replaces DAN 10-12-62336 granted to the Department of Social and Health Services.* | **Retain** for 2 years after date of document *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 19-07-69391Rev. 0 | ***Employee/Volunteer Health Records***Provides documentation about employee or volunteer immunization status and epidemiology test results. Includes, but is not limited to:* Results of testing for HIV and Hepatitis B;
* Exposure to biological agents per Chapter 296-802 WAC;
* Kinship Care.

*Note: Series contains confidential information.**Note: Replaces DAN 86-09-37496 granted to the Department of Social and Health Services.* | **Retain** for 30 years after termination of employment/volunteer *then***Destroy** | NON-ARCHIVALNON-ESSENTIALOFM |
| 19-07-69394Rev. 0 | ***Fire/Safety/CPR Training Records***Verifies completion of required staff training.*Note: Replaces DAN 85-12-35763 granted to the Department of Social and Health Services.* | **Retain** until superseded *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 19-07-69395Rev. 0 | ***Food Commodity Records***All documentation regarding food commodities as it relates to the U.S. Department of Agriculture (USDA) Child Nutrition Program. Includes, but is not limited to:* Reports;
* Reimbursements;
* Guidelines.

*Note: Replaces DAN 82-09-30273 granted to the Department of Social and Health Services.* | **Retain** for 6 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 19-07-69400Rev. 0 | ***Prescription Files***Documents prescriptions filled by the pharmacy. *Note: Series contains confidential information.**Note: Retention based on 10-year requirement for Part D plan sponsors (42 CFR§ 423.505(d)).**Note: Replaces DAN 84-11-34720 granted to the Department of Social and Health Services.* | **Retain** for 10 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 19-07-69402Rev. 0 | ***Resident Medication Profile Cards***Provides summary of prescription drugs and quantities dispensed by the pharmacy. Resident's habilitative case file contains physician orders and medication administration (flow sheets) record. Prescriptions are retained separately. *Note: Series contains confidential information.**Note: Replaces DAN 84-11-34718 granted to the Department of Social and Health Services.* | **Retain** until resident’s death/discharge/transfer *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OFM |
| 19-07-69404Rev. 0 | ***Victim/Witness Notification Files***These records include victim and witness notification letters, notifications from DCYF facilities and correspondence from victims and witnesses.*Note: These files may also contain offender case information such as commitment, diagnostic, treatment records, and school information. The victim/witness file may follow the offender throughout their commitment to DCYF facilities.**Note: Series contains confidential information.**Note: Based on DAN 06-06-61215 granted to the Department of Social and Health Services.* | **Retain** for 75 years after last discharge of offender *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |

1. JUSTICE INVOLVED YOUTH

This section covers records relating to juvenile justice and rehabilitation services managed by the Department of Children, Youth, and Families, which are not covered by the *State Government General Records Retention Schedule*.

| * 1. JUVENILE REHABILITATION

This section covers juvenile rehabilitation records managed by all RA headquarters, group homes, regional offices, and institutions except Special Commitment records. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 19-07-69385Rev. 0 | ***Civil Commitment Files***Documentation regarding the civil commitment of juvenile sex and/or violent offenders.*Note: Juvenile Sex/Violent Offender case files are kept 75 years after release from a Juvenile Rehabilitation Administration facility under DAN 92-01-49725.**Note: Series contains confidential information.**Note: Replaces DAN 04-12-60837 granted to the Department of Social and Health Services.* | **Retain** for 6 years after date of document *then***Destroy**. | non-archivalnon-essentialOPR |
| 19-07-69386Rev. 0 | ***Clothing Records***Documents clothing issued to JR residents.*Note: Replaces DAN 82-09-30284 granted to the Department of Social and Health Services.* | **Retain** for 1 year after superseded *then***Destroy**. | non-archivalnon-essentialOFM |
| 23-10-69701 Rev. 0 | ***Incident Report***Records relating to the summary and circumstances of any reportable incident in any facility.Includes, but is not limited to:* Records of physical force used against offenders and the date, times and circumstances;
* Recordings of incidents (e.g. tapes, CDs, DVDs).

Excludes records covered by:* *Founded Allegations of Child Protective Services Case Files (DAN 18-07-69257)*
* *Unfounded Allegations of Child Protective Services Case Files (DAN 18-07-69274)*
* *Out of Home Care Licensing / Certification Files (DAN 18-07-69264)*
* *Out of Home Care Licensing / Certification Files (Denied, Revoked, Suspended, or Settlement Agreement) (DAN 18-07-69265)*

*Note: Series contains confidential information.*  | **Retain** for 6 years after incident closes *then***Destroy.** | NON-ARCHIVAL NON-ESSENTIAL OPR |
| 19-07-69397Rev. 0 | ***Juvenile Case File (Non-Sex/Non-Violent Offender)***The official client record containing commitment, diagnostic, health, case management, treatment records, school files, and student transcripts. The case file follows the youth throughout their commitment to JR.*Note: Series contains confidential information.**Note: Replaces DAN 83-03-31360 granted to the Department of Social and Health Services.* | **Retain** for 13 years after release from JR jurisdiction *then***Destroy**. | non-archival**ESSENTIAL****(for Disaster Recovery)**OPR |
| 19-07-69398Rev. 0 | ***Juvenile Case File (Sex/Violent Offender)***The official client record that follows the youth throughout their commitment to Juvenile Rehabilitation.Includes, but is not limited to:* Commitment, diagnostic, and health records;
* Case management and treatment records;
* School files, and student transcripts.

*Note: Series contains confidential information.**Note: Series includes all contracted Department of Corrections youth in DCYF care records.**Note: Replaces DAN 92-01-49725 granted to the Department of Social and Health Services.* | **Retain** for 75 years after release from JR jurisdiction *then***Destroy**. | non-archivalessential**(for Disaster Recovery)**OPR |
| 19-07-69399Rev. 0 | ***Logbooks and Rosters (Cottage, Lodge, Domicile)***Provides detailed documentation of daily activities of residents including student activities, visits, and security checks. *Note: Replaces DAN 92-09-51249 granted to the Department of Social and Health Services.* | **Retain** for 2 years after end of calendar year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OFM |
| 23-10-69702Rev. 0 | ***Prison Rape Elimination Act Investigations (PREA)***Records relating to prison rape investigations as designated by 28CFR Parts 115.71 and 115.271 involving but not limited to offenders and staff.Includes, but is not limited to:* Incident and investigation reports;
* Copies of evidence cards;
* Photographs;
* Interview acknowledgement forms.

*Note: Series contains confidential information.*  | **Retain** for 75 years after close of investigation *then***Destroy.** | NON-ARCHIVAL NON-ESSENTIALOPR |
| 19-07-69401Rev. 0 | ***Resident Financial Accounting Records***All documentation regarding resident financial records.Includes, but is not limited to:* Checking and savings accounts;
* Other receipt and disbursement of student or resident funds;
* Monies earned under the student incentive plan;
* Disbursement of welfare funds for goods and services.

*Note: Replaces DAN 82-09-30276 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of calendar year *then***Destroy**. | non-archivalNON-essentialOPR |
| 19-07-69403Rev. 0 | ***Treatment Working File***Working copy of youth’s JR case file used by case managers as a quick reference while working with the youth during their commitment to an institution. *Note: Series contains confidential information.**Note: Replaces DAN 76-05-17014 granted to the Department of Social and Health Services.* | **Retain** for 6 months after transfer of client out of JR residential facility *then***Destroy**. | non-archivalNON-essentialOFM |

| * 1. WASHINGTON STATE PARTNERSHIP COUNCIL ON JUVENILE JUSTICE

This section covers records relating to services provided by the Washington State Partnership Council on Juvenile Justice. |
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| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 19-07-69396Rev. 0 | ***Jail Survey/Monitoring Questionnaires***Jail Survey: Bi-Annual statistical survey of all juvenile institutions, juvenile detention centers, jails and lock-ups, tracking the holding, admissions, and detention of juvenile offenders.Monitoring Questionnaires: Completed once every three years for each juvenile institution, detention center, jail, and lock-up, tracking the implementation of annual trainings covering PREA and Racial and Ethnic Disparities as well as updating information around the physical structure and capacity of the facility.*Note: Replaces DAN 91-01-47352 granted to the Department of Social and Health Services.* | **Retain** for 10 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |

1. LICENSING

This section covers records relating to out of home, child care and facility providers.

| * 1. CHILD CARE LICENSING/CERTIFICATION FILES

The activity of licensing qualified child care providers and facilities. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 18-07-69258Rev. 0 | ***Inspections – Unlicensed Facility***Records relating to inspections of child care facility operations not meeting current licensing and certification rules. Includes, but is not limited to:* Initial complaint;
* Inspection documentation;
* Civil penalties and fees issued;
* Final resolution.

*Note: Cases that rise to level of repeated violations are referred to the Office of Administrative Hearings for action.**Note: Replaces DAN 17-03-69036 granted to the Department of Early Learning.* | **Retain** for 10 years after final resolution of inspection *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-07-69260Rev. 0 | ***Licensing***Records relating to the licensing and monitoring of child care providers/facilities, where the license is not revoked and closure was voluntary.Includes, but is not limited to:* Initial application and results of background checks;
* Employee/volunteer and household member information;
* Complaints against licensee or facility;
* Checklists and physical facility inspections;
* Other licensing documentation as required.

*Note: Series contains confidential information. Any data compiled from the National Crime Information Center III (NCIC III) to determine eligibility is removed in accordance to the protocols of the Washington State Patrol and the FBI. Results of background checks are held separately from other licensing records.* *Note: Replaces DAN 06-07-61247 granted to the Department of Early Learning.* | **Retain** for 6 years after provider or facility voluntarily no longer provides child care services *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69261Rev. 0 | ***Licensing – Denial/Withdrawal***Records relating to the formal withdrawal of an applicant or failure to provide sufficient application material so that formal licensing actions can proceed.Includes, but is not limited to:* Initial application;
* Supporting documentation;
* Notification of withdrawal or denial of license.

*Note: Replaces DAN 06-07-61249 granted to the Department of Early Learning.* | **Retain** for 1 year after last date of action *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-07-69262Rev. 0 | ***Licensing – Revocation***Records relating to the licensing, monitoring, investigation and license revocation of child care providers/facilities, where the license is revoked.Includes, but is not limited to:* Initial application and results of background checks;
* Employee/volunteer and household member information;
* Checklists and physical facility inspections;
* Other licensing documentation as required;
* Complaints against licensee or facility;
* Results of investigations and follow-up;
* Revocation documentation.

*Note: Series contains confidential information. Any data compiled from the National Crime Information Center III (NCIC III) to determine eligibility is removed in accordance to the protocols of the Washington State Patrol and the FBI. Results of background checks are held separately from other licensing records.**Note: Replaces DAN 06-07-61248 granted to the Department of Early Learning.* | **Retain** for 25 years after license revoked *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |

| * 1. OUT OF HOME CARE LICENSING FILES

The activity of out of home care licensing and home studies. |
| --- |
| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| 18-07-69255Rev. 0 | ***Foster Parent Reimbursement Claims***The Foster Parent Reimbursement Plan provides limited financial relief to foster parents who incur property damages, losses, and emergency medical treatment expenses caused by their foster / respite care children during placement in their licensedfoster home or kinship placement.Includes receipts, verification documents, claims investigations and adjudications, and copies of invoice vouchers submitted to accounting services.*Note: Series contains confidential information.**Note: Replaces DAN 93-05-54585 granted to the Department of Social and Health Services.* | **Retain** for 6 years after end of fiscal year *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69256Rev. 0 | ***Foster Parent Training***Provides records of foster parent training that is required as part of the foster parent program. Classes include first aid, HIV/BBP, pre-service, in-service, sexually and physically aggressive, fetal alcohol syndrome, behavior disorders, and de-escalation. Includes, but not limited to:* Schedules of class and class attendees;
* Quarterly or other status reports;
* Documentation and evaluations used to show a foster parent has taken a class.

*Note: In the event of litigation, the agency has to show the child's foster parents had special training.**Note: Series contains confidential information.**Note: Replaces DAN 05-02-60801 granted to the Department of Social and Health Services.* | **Retain** for 35 years after completion of class *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-07-69264Rev. 0 | ***Out of Home Care Licensing / Certification Files***Includes applications, checklists or evaluation guides, home studies/reviews/monitoring, authorizing documentation, other documents and correspondence, and unlicensed unified home studies. *Note: Series contains confidential information.**Note: Replaces DAN 91-09-48135 granted to the Department of Social and Health Services.* | **Retain** for 6 years after license closed and not renewed *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69265Rev. 0 | ***Out of Home Care Licensing / Certification Files (Denied, Revoked, Suspended, or Settlement Agreement)***Documents denial of child care facility license application, and licenses issued and subsequently revoked. Also includes settlement agreements.Includes, but is not limited to:* Applications, evaluations, and unified home studies;
* Reviews and monitoring;
* Authorizing documents, investigative materials, and correspondence.

*Note: Series contains confidential information.**Note: See RCW 4.16.340 Actions based on childhood sexual abuse.**Note: Replaces DAN 91-09-48136 granted to the Department of Social and Health Services.* | **Retain** for 35 years after denial or revocation *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. PROFESSIONAL DEVELOPMENT

This section covers records relating to professional certification.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 18-07-69266Rev. 0 | ***Professional Certification Credentials – Applications/Working Files***Records relating to the applications and supporting documentation submitted by educators for professional certification credentials issued by the Office of the Superintendent of Public Instruction and may include STARS (State Training and Registry System) hours.Includes, but is not limited to:* Applications;
* Denied applications;
* Copies of transcripts, letters of verification and other background information.

*Note: Data maintained in MERIT (Managed Education and Registry Information Tool).**Note: Replaces DAN 17-03-69037 granted to the Department of Early Learning.* | **Retain** for 6 years after issuance or denial of certificate *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-07-69267Rev. 0 | ***Professional Certifications and Credentials – Incomplete***Records relating to applications which are not completed and for which no ID is issued. *Note: Replaces DAN 17-03-69038 granted to the Department of Early Learning.* | **Retain** for 6 months after date of incomplete application *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |
| 18-07-69268Rev. 0 | ***Professional Certifications and Credentials – Issued***Records related to the issuing and maintenance of professional certification and credentials of Early Care and Education and School-age Professionals through the State Training and Registry System (STARS). Includes, but is not limited to:* Registry profile updates (name or address changes);
* Supporting documentation for verification (certificates for training/education, reimbursement receipts, etc.);
* Health and safety certifications;
* Appeals.

*Note: Replaces DAN 17-03-69039 granted to the Department of Early Learning.* | **Retain** for 6 years after expiration, renewal or inactivity. *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOPR |

1. SOCIAL SERVICE PAYMENTS

This section covers records relating to Social Service payments.

| **DISPOSITION AUTHORITY NUMBER (DAN)** | **DESCRIPTION OF RECORDS** | **RETENTION AND****DISPOSITION ACTION** | **DESIGNATION** |
| --- | --- | --- | --- |
| 18-07-69269Rev. 0 | ***Provider and Payee Deduction***Records documenting pay deductions for client services providers and payees. Includes provider union dues and health care premiums information sent to the DSHS Office of Accounting Services to document amounts collected on the behalf of: * Service Employee International Union (SEIU);
* Health Care Authority (HCA), L&I;
* Political Action Committee (PAC), and Old Age and Survivors Insurance (OASI).

*Note: Source documents may be destroyed after imaged and verified per Electronic Imaging System (EIS) approval by the Washington State Archives per GS11012.**Note: Replaces DAN 05-08-60945 granted to the Department of Social and Health Services.* | **Retain** for 7 years after end of month *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69271Rev. 0 | ***Social Services Payment System*** (***SSPS) Management Reports***Records which provide summary documentation of services provided to clients for management information. Includes, but is not limited to over 100 different management reports that are generated at the regional and state levels.*Note: Replaces DAN 12-06-68252 granted to the Department of Social and Health Services.* | **Retain** for 75 years after end of calendar year *then***Destroy**. | NON-ARCHIVALNON-ESSENTIALOFM |
| 18-07-69272Rev. 0 | ***Social Services Payment System (SSPS) Provider Files***Records documenting information on payments and authorization history.Includes, but is not limited to:* File reports, administrative reports, provider and payee invoices;
* Provider and client reports, taxes, service codes;
* Account codes, and SSPS management reports.

*Note: Series contains confidential information.**Note: Replaces DAN 07-04-61457 granted to the Department of Social and Health Services.* | **Retain** for 6 years after end of month *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |
| 18-07-69273Rev. 0 | ***Status 4 Documentation***Documentation sent to Social Services Payment System (SSPS) by case workers indicating a provider is Status 4 and should not be used as a DSHS provider. A Status 4 flag in the SSPS provider database indicates a serious reported concern about the ability, background, or character of a provider.*Note: Source documents may be destroyed after imaged and verified per Electronic Imaging System (EIS) approval by the Washington State Archives per GS11012.**Note: Series contains confidential information.* *Note: Replaces DAN 09-10-62134 granted to the Department of Social and Health Services.* | **Retain** for 7 years after completion of investigation and Status 4 removal *then***Destroy**. | NON-ARCHIVAL**ESSENTIAL****(for Disaster Recovery)**OPR |

glossary

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| ***Appraisal***  |
| The process of determining the value and disposition of records based on their administrative, legal, and fiscal use; their evidential and informational or research value; and their relationship to other records. |
| ***Archival (Appraisal Required)***  |
| Designation for public records that may possess enduring legal and/or historical value and must be appraised by the Archives. Such records are to be evaluated, sampled, and weeded according to archival principles by Archives staff. Records appraised as non-archival may be destroyed after their retention has been met. |
| ***Archival (Permanent Retention)***  |
| Designation for public records that possess enduring legal and/or historical value and must not be destroyed. State government agencies must transfer these records to the Archives at the end of their minimum retention period. Local government agencies must either transfer these records to the Archives or retain and preserve them according to archival best practice until transferred to the Archives. Other than removing and disposing of duplicates, the Archives will not sample, weed, or otherwise dispose of records with this designation. |
| ***Disposition*** |
| Actions taken with records when they are no longer required to be retained by an agency. Possible disposition actions include transfer to the Archives and destruction. |
| ***Disposition Authority Number (DAN)***  |
| Control number for a specific records series in a retention schedule that authorizes a retention period and disposition action for records belonging to that series. |
| ***Essential Records*** |
| Records needed to respond to an/or perform critical operations during/after, a disaster or emergency. They need to be protected through backup or enhance storage (RCW 40.10.010) |
| ***Local Records Committee*** |
| Committee established by RCW 40.14.070 to review and approve disposition of local government records through records retention schedules. The Committee’s three members include the State Archivist and one representative each from the Office of the Attorney General and the State Auditor. |
| ***Non-Archival*** |
| Designation given to public records that do not possess sufficient historical 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 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 not defined and classified as official public records in RCW 40.14.010 and other documents or records as determined by the records committee to be office files and memoranda. |
| ***OPR (Official Public Records)*** |
| Public records necessary to document transactions relating to public property, public finances, and other agency business, or records determined by the records committee to be official public records. |
| ***Public Records*** |
| Records that have been created or received by any government agency in Washington State in connection with the transaction of public business regardless of physical form or characteristics. |
| ***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 or a number of different types of documents that are filed together to document a specific function. |
| ***State Records Committee*** |
| 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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