BOARD OF COUNTY COMMISSIONERS
COUNTY OF KITTITAS
STATE OF WASHINGTON

RESOLUTION

NO.: 2010-___

A Resolution Adopting the Kittitas County Records Management Policy (revised) and Procedures

WHEREAS: Kittitas County officials and employees are responsible for capturing records that document the official work of the county and retaining them in accordance with retention schedules approved by the Washington State Archives' Local Records Committee; and

WHEREAS: The Records Management Workgroup has revised the Kittitas County Records Management Policy to align with current state law and county need; and

WHEREAS: The Records Management Workgroup has drafted procedures for appropriate retention and destruction of records within the departments of Kittitas County and to educate employees on various areas of records management; and

WHEREAS: The Management Team has reviewed the draft and recommended the Kittitas County Board of County Commissioners adopt the Records Management Procedures.

NOW, THEREFORE BE IT RESOLVED: The Kittitas County Board of Commissioners hereby adopts the attached Records Management Policy and Procedures effective the 1st of January 2011 and directs Information Services to place the attached policy and procedures on CAMAS, Kittitas County's intranet.

ADOPTED this __________day of ____________ 2010.

BOARD OF COUNTY COMMISSIONERS

KITTITAS COUNTY, WASHINGTON

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Mark McClain, Chairman

____
Paul Jewell, Vice-Chairman

Alan Crankovich, Commissioner

ATTEST:
CLERK OF THE BOARD

Julie A. Kjorsvik

APPROVED AS TO FORM:

For information on Kittitas County digital signatures
visit http://www.co.kittitas.wa.us/about/signatures/

Digitally signed by Jennifer J
Mullin:CgEJaQAAASitx1HmAAAbwg--
Reason: I am approving this document
Date: 2010.11.30 15:52:48 -08'00'

Jennifer Mullin, Deputy Prosecuting Attorney
WSBA#35684

Kittitas County Records Management Policy

Effective Date: 01/01/2011
Revision Date: 11/24/2010

Purpose

Kittitas County officials and employees are responsible for capturing records that document the official work of the county and retaining them in accordance with retention schedules approved by the Washington State Archives' Local Records Committee. The purpose of this policy is to establish standards for appropriate retention and destruction of records within the departments of Kittitas County and educate employees how to:

- Identify public records and their retention schedule.
- Manage, preserve, dispose of, and/or transfer, in compliance with approved retention schedules, those records, regardless of format or media, which document the organization, functions, programs, policies, decisions, procedures, and essential transactions of the County; and destroy records with minimal or no retention value.

Definitions

As used in this policy, the following term shall have the meaning indicated:

- **Record (public):** Per RCW 40.14.010, 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 is a public record.
    - **Essential record:** An essential record is one that is necessary for the continuity and restoration of agency operations after a disaster, serves as primary documentation of an agency's legal authority and responsibilities, or protects the rights of the public. These records should have security backup to prevent loss.
    - **Permanent record:** A permanent record is one which must not be destroyed, must be retained in perpetuity and have security backup. Permanent records which are not designated as archival or potentially archival must remain in the agency's legal custody.
    - **Electronic record:** An electronic record is any information in a format that only a machine can process, and that satisfies the definition of a public record, including but not limited to VCR or cassette tape, punch card, e-mail, and word

processor files. The electronic record includes any metadata regarding the record.

- **Archival Value/Potential Archival Value**
  Records that are designated as Archival in the retention schedules must either be kept by the agency in perpetuity, or transferred to the Washington State Regional Archives Central Region Branch (Regional Archives). Records designated as Potentially Archival are those that may have sufficient historical value to warrant archival transfer. These records must be appraised for possible transfer to the Regional Archives system before they can be destroyed.

- **Electronic Information System**
  An Electronic Information System is a system in which computerized records (electronic records) are collected, organized, and categorized to facilitate their preservation, retrieval, use, access, and disposition. This includes the following:
    - **Database Management System (DBMS):** A DBMS is a software system used to access and retrieve data stored in a database (e.g. SQL Server and Microsoft Access).
    - **Electronic mail (e-mail) system**: Modern e-mail systems (e.g. Exchange Server and Outlook) are based on a store-and-forward model in which e-mail computer server systems accept, forward, or store messages on behalf of users. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain any transmitted data, e.g. FTP or Peer-to-peer (P2P) file sharing systems).
    - **File Server:** A file server is a networked computer that stores electronic files for access by multiple users.
    - **Electronic Imaging System:** An Electronic Imaging System is a computer system that imports paper or digital files and stores them digitally. It is capable of storing metadata with each file or series of files. It can also present the information as an image of a printout of the file either on screen or via paper printout.

- **Electronic Mail Message (e-mail)**
  An e-mail is a document saved, sent, or received on an electronic mail system including a text message and/or attachments, such as word processing or other electronic documents.

- **Metadata**
  Metadata is any "data about other data", of any sort in any media. This includes but is

not limited to date of creation, access information, database schema, author/sender, and electronic routing information.

- **“Born Digital”**
  A record is considered “born digital” if it was created in an electronic information system. The record consists of the entirety of the item including the file and metadata. This does not include paper records that have been digitized or any other record converted into digital format.
- **Conversion**

  Conversion is transferring a digital file from one format to another; e.g., when the host software is updated requiring the file format to be updated, or when the host software is changed from one vendor to another and file formats are incompatible. Metadata is usually changed during this process.
- **Local Records Committee (LRC)**
  The Local Records Committee (LRC) was formed under Chapter 40.14.070 RCW. Per WAC 434-630-040, the LRC reviews and approves, amends or vetoes records retention schedules for agencies of local government. The committee consists of the State Archivist, a representative appointed by the State Auditor, and a representative appointed by the Attorney General.
- **Records Retention Schedule**
  A records retention schedule is a legal document approved by the LRC that specifies required retention periods for a record series and provides ongoing disposition authority for the records series after its approved retention period has been satisfied.
- **Record Series**
  A record series is a class of records with a specific or common function or purpose as identified and defined on an approved records retention schedule.
- **Retention Period**
  The retention period is the minimum amount of time that an agency is required to retain records within a record series. Retention periods are provided in records retention schedules.
- **Preservation**
  Preservation means the filing, storing, or any other method of systematically maintaining and keeping secure, a record in its entirety, including metadata, by the agency. This term covers materials not only actually filed or otherwise systematically maintained but also those temporarily removed from existing filing systems.

- **Primary Record Holder**

  The primary record holder is the creator of a record if the record is created within the county or the first recipient of a record if the record is created by an entity outside of the county. The primary record holder is responsible for retaining the record for the duration of the Primary Record Copy time period defined in the retention schedule for the record series.

- **Secondary Record Holder**

  The secondary record holder is responsible for retaining copies of a record that are not the original for the duration of the Secondary Record Copy time period identified in the retention schedule for the record series.

Policy

Kittitas County officials and employees shall retain all public records that document the official work of the county. These records, regardless of format or media, shall be retained in their native format for the minimum period required by retention schedules approved under Chapter 40.14 RCW and Chapter 434-635 WAC. Records will be destroyed at the end of their retention period. Records with minimal retention value will be destroyed when they are no longer needed. Records may be retained longer than the required minimum period if the need is documented. The County is prohibited from destroying a public record, even if it is about to be lawfully destroyed under a retention schedule, if a public records request has been made for that record. Additional retention requirements might apply if the records may be relevant to actual or anticipated litigation. The agency is required to retain the record until the record request and litigation has been resolved.

The Primary Record Holder is responsible for retention of the record for the prescribed period of time. The Primary Record Holder will be the author of the record if created by the county or the initial recipient if the record is received by the county unless documented otherwise. Any Secondary Record Holder(s) must follow the appropriate retention requirements for secondary copies of the record. Redundant secondary copies shall not be retained. Department Heads/Elected Officials (DH/EO) are responsible for training employees to policy and procedures.

DH/EO will ensure accessibility of records management policy and procedures to all county employees.

Electronic Records

Unless otherwise noted, records retention requirements apply to all electronic information systems. This section discusses certain aspects of electronic records retention:

- Original format: all electronic records must be kept in the record's original format. This demonstrates the authenticity of the record, maintains the context of the record, and preserves both the record and its metadata.
    - Conversions: Permanent conversion from one data format to another is allowable only if the need for conversion and method is documented and all original metadata is preserved. Examples of when this is appropriate include

new versions of software from the same vendor or moving from software of one vendor to that of another.

- Digitized records: digitized records are those that are not born digital but are converted via scanning to digital media. Digitizing and disposal of records is permitted only if the Department has applied for and received *approval for destruction after digitization* which includes a review of their procedures and electronic imaging system by the Secretary of State according to WAC 434-663. Digitizing not covered by WAC 434-663 is always acceptable for record viewing but not for retention.

- Kittitas County departments with access to external electronic systems shall ensure by contract that county records sent or received on these systems are preserved; e.g. Courts (AOC, JIS), law enforcement (Kittcom, Spillman). Kittitas County shall maintain records if no contract provisions or RCW exist for 3rd parties to retain county records.

Disposition of records

All records must be destroyed once they have passed their retention period and any documented department specific extensions. Records destruction shall be documented on the Kittitas County Records Disposition Log.

At a minimum, each department shall ensure that:

(a) After the retention requirements have been met for records that are listed as archival or potentially archival according to the Secretary of State Retention Schedule, the department shall contact the regional archives for appraisal and possible transfer.

(b) Procedures are established and are followed for disposition of all copies of records.

(c) All records scheduled for disposition are disposed of in a manner that ensures destruction of any sensitive, private, proprietary, or security information.

Records maintenance and storage.

Departments shall prescribe an appropriate records maintenance program so that complete records are filed or otherwise identified and preserved, records can be found when needed, the identification and retention of permanent, essential and/or archival records are facilitated, and permanent and temporary records are physically segregated or, for electronic records, segregable.

Each department shall:

(a) Maintain records in their entirety

(b) Ensure accessibility and security

(c) Organize records for easy recall

(d) Periodically audit procedures and adherence to them to assess their adequacy.

SOP #	RM-00001-000
Issue date	2010/09/30
Author	Kristen Demory
Department	Records Management
Page	1 of 3
Disclosable	Yes, publically disclosable

Title	**Identifying public records**

1.0 Purpose

1.1 To explain the process of identifying public records and maintaining a records index.

2.0 Scope

2.1 This Standard Operating Procedure (SOP) applies to all Kittitas County staff responsible for capturing public records that document the official work of the county.

3.0 Definitions

3.1 **File**
A collection of multiple records, or at least one electronic record.

3.2 **Public business**
Relating to the conduct of government or the performance of any governmental function.

3.3 **Record (public)**
Per RCW 40.14.010, 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 is a public record.

3.4 **Records index**
A document listing the general location of some or all types of records in a department office.

3.5 **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.

3.6 **Retention schedule**
Records retention schedules are official documents that represent an agency's legal authority for disposition of public records. These schedules are approved by the Local Records Committee. Agencies are required to use only approved retention schedules for the management of public records. See also RM-00009 Records Retention Schedules.

3.7 **Retention value**
A minimum length of time that a record needs to be kept based on its content and function. A

record's retention value is determined by the Local Records Committee, and is listed in a Retention Schedule.

4.0 Responsibilities

4.1 **Records Coordinator**
The department head/elected official or their designee functions as the Records Coordinator and is responsible for the management of records within their department.

5.0 Prerequisites

5.1 None.

6.0 Procedure

6.1 **Identifying Public Records**

6.1.1 A record is a public record—regardless of form—if it meets two criteria:

6.1.1.1 The record was created by or received by a public agency.

6.1.1.2 The record is connected to the transaction of public business.

6.1.2 A public record provides evidence of an agency's decisions and actions, and therefore has a retention value. Records falling outside the public record criteria listed in 6.1.1 have no retention requirement, and should be destroyed.

6.2 **Records Index**

6.2.1 No general County records index exists. Departments that choose to maintain an index are responsible for maintaining the index. Departments that do not have an index are not required to create one (KCC 2.55.030, RCW 42.56.070(4))

6.2.2 A records index is publically disclosable and therefore should not contain any sensitive or redactable information.

7.0 Documents

7.1 Kittitas County Records Management Policy

7.2 SOP RM-00009 Records Retention Schedules

8.0 References

8.1 RCW 40.14.010

8.2 Washington State Archives Local Government Records Retention Schedules

8.3 KCC 2.55

9.0 Departments affected

9.1 All departments creating records for Kittitas County or acting as a recipient of records for Kittitas County.

SOP Revision History

Rev #	Issue Date	Summary of Changes
000	2010/09/30	Initial release.

SOP Approval

	Name/Title/Department	Date
Author:	Records Management Committee	2010/09/30
Reviewer:	Management Team	2010/10/27
Approver:	Board of County Commissioners	2010/12/07

SOP #	RM-00002-000
Issue date	2010-11-01
Author	Lisa Young
Department	Records Management
Page	1 of 3
Disclosable	Yes, publically disclosable
Title	**How to file records**

1.0 Purpose

1.1 To explain proper labeling and filing procedures for paper and electronic records.

2.0 Scope

2.1 This Standard Operating Procedure (SOP) applies to all Kittitas County employees involved in labeling and filing records that must be maintained for the minimum time required by the applicable Retention Schedule.

3.0 Definitions

3.1 **Naming Convention**
A standard pattern for naming files or records, e.g., naming all file in the format of “yyyymmdd-subject” or “case number, last name, first name”.

4.0 Responsibilities

4.1 The Department Head or Elected Official is responsible for ensuring that records within their department are labeled and filed appropriately and consistently. Records must be maintained in their entirety, secure, accessible, and organized for easy recall.

4.2 The Records Coordinator is responsible for providing guidance to employees regarding the records management policy, procedures, and the procedures set by their Department Head or Elected Official.

5.0 Prerequisites

5.1 Knowledge of the department’s records.

5.2 Knowledge of the applicable records retention period for each record filed.

5.3 Awareness of how often records are accessed by department personnel.

6.0 Procedure

6.1 **How to label paper records**

6.1.1 Use archival quality, non-removable labels. Removable labels may peel and become lost.

6.1.2 Print labels using a laser printer.

6.1.2.1 Do not use hand-written labels which may be difficult to read and appear unprofessional.

6.1.2.2 Do not use labels printed with an ink-jet printer – the ink may run if exposed to hazards such as water damage or high humidity.

6.2 Naming paper and electronic records

6.2.1 When naming records, do not include redactable, non-public information, such as an employee's home address, a child sexual assault victim's name, or a Social Security number.

6.2.2 Records may be named in many different ways depending on the subject and/or record series they pertain to, how they are accessed, or the Retention Schedule they fall under. Choose a naming convention that is clear to other employees and will not become outdated or ineffective.

6.2.3 Avoid changing naming conventions once established. Consistency is important in content and format – you may find it beneficial to set up a template and ensure all employees use it when naming files.

6.2.3.1 If changing a naming convention is necessary consider the following:

a) Will the old records be renamed? (See SOP RM-00006 – Maintaining records through retention period)

  (i) Will this modify metadata?

  (ii) Will a translation table for new to old naming convention be necessary?

b) Will the new naming convention require a change at a later date? (i.e. 3 digit numbering conventions will be expanded to 4 when 1000 records are accumulated)

6.3 Filing paper records

6.3.1 Records must be filed in their entirety, in a secure location, and organized for easy accessibility and retrieval.

6.3.2 Records must be protected from disasters (RM-00006 – Maintaining records through the retention period).

6.4 Filing electronic records

6.4.1 Records must be electronically filed on the network, such as the department's "G" Drive. Storing records on a desktop or "C" drive is not permitted. (See IS Policy)

6.4.2 Records should be named following the department's established procedures, and in the appropriate folder.

6.4.3 When at all possible, only one electronic copy shall be kept.

6.4.4 Ensure that the metadata is preserved when storing files.

6.5 Filing public disclosure responses

6.5.1 A copy of records provided in response to a public disclosure request, as well as a copy of the original request, must be filed in DaRT for the retention schedule of the response.

6.5.2 If a record cannot be stored in DaRT because of its size, save it on the network in a folder labeled accordingly and note its network location in DaRT. The records should also refer back to the DaRT request number.

6.5.3 If a record is redacted, both the original and the redacted version must be maintained in DaRT.

6.5.4 If a record is exempt, it should still be maintained in DaRT and noted in the exemption log.

7.0 Documents

7.1 Kittitas County Records Management Policy

7.2 RM-00006 – Maintaining records through the retention period

7.3 Kittitas County Information Services Policy

8.0 References

8.1 Records Retention Schedules
http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx

9.0 Departments affected

9.1 All departments.

SOP Revision History

Rev #	Issue Date	Summary of Changes
000	2010/11/02	Original issue.

SOP Approval

	Name/Title/Department	Date
Author:	Records Management Committee	2010/11/02
Reviewer:	Management Team	2010/11/10
Approver:	Board of County Commissioners	2010/12/07

FROM THE CASCADES...TO THE COLUMBIA
KITTITAS COUNTY

SOP #	RM-00003-000
Issue date	2010/10/14
Author	Duke Senter
Department	Records Management
Page	1 of 3
Disclosable	Yes, publically disclosable
Title	**Email as a record**

1.0 Purpose

1.1 The purpose of this procedure is to provide best practices for records management procedures to county employees for county email.

2.0 Scope

2.1 This Standard Operating Procedure (SOP) applies to all county staff sending or receiving email.

3.0 Definitions

3.1 County email - any email message including attachments that meet any of the following criteria:

- Sent or received through the county email system.
- Sent or received by an employee acting on behalf of the county, regardless of the email system used.

4.0 Responsibilities

4.1 All employees.

5.0 Prerequisites

5.1 None.

6.0 Procedure

6.1 **Identify the retention value of an email**

6.1.1 Records are records regardless of format. For how to identify a public record, see SOP RM-00001.

6.1.2 Records with minimal retention value must be deleted. See SOP RM-00004.

6.1.3 Primary and secondary copies of public records

6.1.3.1 Sent emails are primary copies and should be stored and retained accordingly.

6.1.3.2 Emails received from outside the county network are primary copies.

6.1.3.3 Emails received from inside the county network are secondary copies.

6.2 **Where and how to store email records**

6.2.1 Email records must be stored in their native format (.msg and .pst).

6.2.2 It is recommended that email is only saved in Microsoft Outlook. If messages are also stored outside of Outlook, users must be sure to destroy all copies of the email when the primary copy has met its required retention; otherwise the email remains subject to public disclosure.

6.2.3 Staff should file email records in a logical folder structure (such as subject, project, or retention schedule) within their inbox for ease of locating messages.
NOTE: This includes sent items (see Records Management Policy for definitions of primary and secondary record holder). Your Sent Items folder should be empty at all times. Sent messages should be filed in an inbox subfolder (records) or deleted (records that have met their required retention).

6.3 Deleting email messages that have met their required retention.

6.3.1 See SOP RM-00004 How to destroy records.

6.4 Read/delivery receipts

6.4.1 Read and delivery receipts are transitory records. The primary record should be retained until no longer needed for agency business and then destroyed (DAN # GS50-02-05 Rev. 0)

6.5 Access to current employee data (email)

6.5.1 See Information Services Policy, §7.5
http://camas/policies/information%20services/07_Data_Management_and_Protection.asp#Data_access

7.0 Documents

7.1 How to search for email. See tool tip…

7.2 Information Services Policies:
http://camas/policies/information%20services/00_Table_of_Contents.asp

8.0 References

8.1 Retention schedules: http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx

9.0 Departments affected

9.1 All.

SOP Revision History

Rev #	Issue Date	Summary of Changes
000	2010/10/14	Original issue.

SOP Approval

	Name/Title/Department	Date
Author:	Records Management Committee	2010/10/14

Reviewer:	Management Team	2010/10/27
Approver:	Board of County Commissioners	2010/12/07

SOP #	RM-00004-000
Issue date	2010-05-05
Author	Scott Sackett, OSOS
Department	Records Management
Page	1 of 4
Disclosable	Yes, publically disclosable
Title	**How to destroy records**

1.0 Purpose

1.1 To explain the process of destroying records.

2.0 Scope

2.1 This Standard Operating Procedure (SOP) applies to all staff as they destroy records as provided by Secretary of State's retention schedule.

3.0 Definitions

3.1 **Disposition**
The stage of records management where an action is taken to either destroy, permanently retain onsite, or transfer records as appropriate.

3.2 **Destruction**
Causing documents to be made permanently unreadable. Destruction of records should be irreversible. This means that there is no reasonable risk of the information being recovered again (e.g., data remanence and reassembling of strip shredded documents). Failure to ensure the total destruction of records may lead to the unauthorized release of sensitive information. The most convenient method is cross-cut shredding into very small pieces.

3.3 **Records Coordinator**
The Records Coordinator in each department supervises disposition of the department's records by applying the retention requirements found in approved records retention schedules. Per RCW 40.14 and WAC 434-640, disposition of records shall take place as soon as possible after records have met their minimum retention requirements.

3.4 **Data remanence**
Data remanence is the residual representation of digital data that have been in some way nominally erased or removed. This residue may be due to data being left intact by a nominal delete operation, or through physical properties of the storage medium. Data remanence may make inadvertent disclosure of sensitive information possible, should the storage media be released into an uncontrolled environment (e.g., thrown in the trash, or given to a third party). In other words, when you delete electronic files they may still be recoverable.

4.0 Responsibilities

4.1 Records Coordinators are responsible for overseeing the destruction of records according to Kittitas County's Records Management Policy.

5.0 Prerequisites

5.1 Understanding Kittitas County's Records Management Policy.

6.0 Procedure

6.1 Paper records destruction

Destruction of paper records can take the following forms:

6.1.1 Destruction via recycling must follow WAC 434-640-030.

6.1.2 Destruction via secure shredding by agency (for small volumes of non-archival records with confidential or sensitive content).

6.1.2.1 Secure shredding includes crosscut or "confetti" style shredding.

6.1.2.2 The shredder in the basement of the courthouse near the boiler room is ***not*** to be considered secure shredding.

6.1.3 Destruction via shredding by third party (e.g., Recall) for all records to be destroyed. Documents must be kept under county control (e.g. in a locked location such as the containers provided by Recall) until destroyed. Transport and destruction must be witnessed by a county employee.

6.2 Electronic records destruction

Destruction of electronic records can take the following forms:

6.2.1 Outlook: deletion of the records via movement to Deleted Items or Recycle Bin.

6.2.1.1 Outlook will automatically empty users Deleted Items folder when Outlook is closed.

6.2.1.2 Archive Manager will automatically delete email in the Deleted Items folders on a daily schedule.

6.2.2 Databases: deletion of records within database applications (e.g. CAMAS, Damion, Spillman, Cayenta, etc) by the administrator of that application.

6.2.3 Network records (e.g. G drive): delete the files through Windows (e.g. select the file and press delete).

6.2.4 Other equipment: all other equipment (e.g., photocopiers with scanners, cell phones, PCs) may have data remanence (defined above) and must be scrubbed prior to relinquishing county control.

6.3 Required authorization and documentation

6.3.1 Public Records Destruction Log - Request for Destruction

6.3.1.1 The Kittitas County Destruction Log (Request to Destroy Records) requires approval of two authorized county agents prior to destruction of records.

6.3.1.2 The employee responsible for monitoring disposition requirements and requesting the destruction of records meeting eligibility for destruction will complete the Kittitas County Records Destruction Log - Request to Destroy Records form on CAMAS ([link to CAMAS form]).

6.3.1.3 The request will be routed electronically via CAMAS to the Records Coordinator for review and approval.

6.3.2 Retention

6.3.2.1 The Kittitas County Destruction Log must be retained for the life of the agency (DAN GS50-09-06 Rev. 1).

6.4 **Methods of destruction for non-archival records**

6.4.1 Destruction methods shall adhere to WAC 434-640.

6.4.2 All records should be destroyed using one of the following two methods:

6.4.2.1 A secure document destruction service, such as Recall

6.4.2.2 Cross-cut shredder

6.4.3 Confidential or sensitive records (those exempt from disclosure under RCW 42.56)

6.4.3.1 Must be protected from unauthorized access prior to and during the disposal process (WAC 434-640-020). These records must be in a secured (locked) or supervised environment until they are shredded, i.e., the locked shred bins provided by Recall.

6.4.3.2 Must be cut shredded to an illegible condition in the physical witness of a county employee.

6.4.4 If electronic records are not stored on the county server, they must be deleted and the media destroyed or overwritten in a secure way according to U.S. DoD Unclassified Computer Hard Drive Disposition standards (3 overwriting rounds of a character, its complement, another pattern).

7.0 Documents

7.1 Kittitas County Records Management Policy

8.0 References

8.1 RCW 40.14: http://apps.leg.wa.gov/rcw/default.aspx?cite=40.14

8.2 RCW 42.56: http://apps.leg.wa.gov/rcw/default.aspx?cite=42.56

8.3 http://www.sos.wa.gov/archives/RecordsManagement/records_local.aspx

8.4 WAC 434-640 http://apps.leg.wa.gov/wac/default.aspx?cite=434-640

9.0 Departments affected

9.1 All.

SOP Revision History

Rev #	Issue Date	Summary of Changes
000	2010/10/14	Original issue.

SOP Approval

	Name/Title/Department	Date
Author:	Records Management Committee	2010/10/14
Reviewer:	Management Team	2010/10/27
Approver:	Board of County Commissioners	2010/12/07

KITTITAS COUNTY

SOP #	RM-00005-000
Issue date	2010/10/27
Author	Stephanie Happold
Department	Records Management
Page	1 of 2
Disclosable	Yes, publically disclosable

Title	**Record management during public disclosure requests or legal holds**

1.0 Purpose

1.1 The purpose is to provide records management procedures when records are subject to a public disclosure request or a legal hold.

2.0 Scope

2.1 This Standard Operating Procedure (SOP) applies to records that are responsive to a public disclosure request or a legal hold.

3.0 Definitions

3.1 **Anticipated litigation**
When future litigation or investigation could be reasonably anticipated. If you have any question, talk to your department's civil deputy.

3.2 **Legal hold**
A legal hold is initiated by a notice or communication from the BOCC, Prosecutor's Office or the Auditor's Office that will suspend the normal disposition or processing of records. A legal hold is issued as a result of current or anticipated litigation, audit, government investigation or other such matter to avoid evidence spoliation.

3.3 **Spoliation**
The destruction or significant alteration of evidence, or the failure to preserve property for another's use as evidence in pending or reasonably foreseeable litigation.

4.0 Responsibilities

4.1 The Public Records Officer of the County agency who has received the public disclosure request or information regarding the legal hold is to work with the Prosecuting Attorney's Office to determine the retention time for records involved.

5.0 Prerequisites

5.1 None

6.0 Procedure

6.1 Legal Holds – A record must be held beyond its retention schedule if it may be relevant to current or anticipated litigation, audit, government investigation or other such similar matters. If unsure, contact the Prosecutor's Office.

6.2 Public Disclosure Requests – An agency is prohibited from destroying a public record, even if it is about to be lawfully destroyed under a retention schedule, if a public records request has been made for that record. The agency is required to retain the record until the record request has been resolved.

6.3 Separate Retention Requirement – All records provided in response to a public disclosure request must be held for a year after completion of the request. If a record falls under an exemption from the Public Disclosure Act or redactions were done to a record, the original and redacted copies must also be held for a year after completion of the request. During this time the record can still be disclosable to other public disclosure requests. Each subsequent request would extend the retention requirement for that record.

6.4 Records subject to a legal hold or public disclosure request should be stored in a separate area so when litigation is finished or the public disclosure statute of limitations year discussed above is complete, it will be easy to locate the record and process it for any other public disclosure request, legal hold, and/or disposition.

7.0 Documents

7.1 Records Management Policy

7.2 Public Disclosure Policy, KCC 2.55

7.3 SOP RM-00009 Using records retention schedule

8.0 References

8.1 RCW 42.56 Public records act

8.2 WAC 44.14 Public records act – model rules

8.3 Retention Schedules, WA Secretary of State

9.0 Departments affected

9.1 All County offices and departments

SOP Revision History

Rev #	Issue Date	Summary of Changes
000	2010/10/26	Original issue.

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	Name/Title/Department	Date
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Reviewer:	Management Team	2010/10/27
Approver:	Board of County Commissioners	2010/12/07

SOP #	RM-00006-000
Issue date	2010/09/30
Author	Kim Dawson
Department	Records Management
Page	1 of 6
Disclosable	Yes, publically disclosable
Title	**Maintaining records through the retention period**

1.0 Purpose

1.1 To provide best practices for ensuring accessibility and longevity of records from creation through the end of the retention period.

2.0 Scope

2.1 County staff that create or handle public records will also be involved in the maintenance and preservation of the records. Records maintenance includes: creating records that will last a sufficient time, handling records appropriately to avoid damage, and securing records from known dangers.

3.0 Definitions

3.1 Public records are defined in the Kittitas County Code, Public Records Disclosure KCC 2.55.

3.2 Essential Records are defined in the Kittitas County Records Management Policy.

4.0 Responsibilities

4.1 All county employees are responsible for the accessibility of public records.

5.0 Prerequisites

5.1 Kittitas County Code, Public Records Disclosure KCC 2.55

5.2 Be aware of potential causes of damage to physical records from disasters such as earthquakes, floods, storms, fires, broken water mains, sabotage, and terrorism. Damage to physical records may include:

- Water damage (may result in progressive further damage such as mold). Water damage is by far the most common type of damage.
- Fire damage (charred and burned, usually accompanied by water damage).
- Contamination (substances poured onto records, sewage from broken pipes, etc.); often accompanied by water damage.
- Unavailability (theft, building may be unsafe).

5.3 Be aware of potential causes of damage to electronic records which may include:

- Power failure
- Equipment failure

- Software problems
- Human-caused events such as virus infection
- Human error

6.0 Procedure

6.1 General best practices for maintaining public records

6.1.1 Keep records in file cabinets and/or in archival boxes on shelves

6.1.2 Keep records at least four inches off the floor

6.1.3 Keep records under county control in a secure location

6.2 Permanent records protection

6.2.1 Keep permanent records in file cabinets and/or in archival boxes on shelves

6.2.2 Keep records out of bottom drawers in case of water damage

6.2.3 Keep permanent records under county control in a secure location with smoke and intruder detection and sprinkler systems. Key control offers additional protection.

6.3 Essential records protection

Essential records need to be accessible by the governing body for continuity of business. In the event of an emergency, essential records must be easily transportable.

Develop an Essential Records Protection Plan following these steps:

6.3.1 Step 1: Identify essential records

  6.3.1.1 Inventory records series held by agency

  6.3.1.2 Identify records series that perform essential functions

  6.3.1.3 The Retention Schedules identify Essential Records.

6.3.2 Step 2: Select protection methods

  6.3.2.1 Protect the facility

    a) Sprinkler systems

    b) Smoke and intrusion alarms

    c) Key control

  6.3.2.2 Protect essential records on-site

    a) Minimize the time they are maintained in office space

    b) Mark the location of essential records on the office floor plan

    c) Keep them separate from other records

    d) Keep them close together

    e) Locate them near an exit

    f) Keep them off desks

g) Keep them off the floor

h) Keep them in metal file cabinets

i) Keep them out of bottom drawers

j) Use fire- and water-resistant file drawer labels

k) Fire resistant vaults

6.3.2.3 Duplicate essential records off-site

a) Existing duplicates

b) Paper copies

c) Microfilm duplicates

d) Digital duplicates

6.3.3 Step 3: Develop the Essential Records Schedule (see WA SOS Essential Records & Disaster Preparedness Manual, Appendix B for template)

6.3.3.1 One for each essential record series

6.3.3.2 List who is the Office of Record

6.3.3.3 What is the record media

6.3.3.4 What is the update cycle/total retention

6.3.3.5 What are the protection instructions

6.3.4 Step 4: Implement the plan, including the update cycle for each series. The more frequent the update cycle, the better the protection.

6.3.5 Step 5: Test the system. Make sure:

6.3.5.1 Facilities are secure

6.3.5.2 Essential records are stored properly

6.3.5.3 Security copies exist

6.3.5.4 Security copies are stored off-site

6.3.5.5 Security copies are updated according to schedule

6.3.5.6 Copies held by other offices still exist

6.4 Electronic records

6.4.1 Follow IS policy for storage of electronic data on county servers.

6.4.1.1 This allows for security and backups.

6.4.2 If encryption is employed on public records, the agency must maintain the means to decrypt the records for the life of the record as designated by the approved required minimum retention period for that record. (WAC 434-662-070)

6.4.3 Changing technology: converting electronic records should only be undertaken with the assistance of Information Services. Migration must take into consideration the following:

6.4.3.1 Keep metadata accurate and documented

a) Electronic records must remain useable, searchable, retrievable and authentic for the length of the applicable retention period. (WAC 434-662-040). It is not enough just to keep the electronic record; agencies need to be able to view and use the record.

b) Records are evidence of transactions so to remain authentic they must continue to be what they purport to be.

c) Dates contained in metadata (created date/time, last modified, etc.) must be preserved.

d) Original records, hardware, and software must be maintained until successful migration to a new system has been verified. (WAC 434-662-050)

6.4.3.2 Database applications (e.g. CAMAS, Damion, Spillman, Cayenta, etc.)

a) Ensure all data and metadata are accounted for in the original and new database tables.

6.4.3.3 Converting data files from one format or version to another (such as migrating from Word Perfect to Word or Word 2000 to Word 2007 formats)

a) If the retention schedule of the record has 2 years or less remaining before expiry then notify IS you will require a system to be preserved to view records in their original format.

b) If the retention schedule of the record has over 2 years remaining before expiry then do the following:

(i) Copy all metadata of the existing file to a new document in the new format.

(ii) Convert the existing file to the new format if a converter exists. Then merge the metadata information from 1.3.3.2.1 into an appendix of the converted file
OR

(iii) Export the existing file to PDF-A format which will preserve all metadata
OR

(iv) Copy the existing file contents into the new document created in 1.3.3.2.1 so that the metadata is an appendix of the newly created file.

6.5 Considerations for storing paper records

6.5.1 Fasteners

6.5.1.1 As fasteners can cause damage to records by ripping, tearing, or creasing, use a fastener only when it is necessary to group records together.

6.5.1.2 Choose a fastener of appropriate design and size to group records.

a) Fastening records too loosely can cause documents to fold and bend or possibly become out of order.

b) Fastening records too tightly can cause documents to rip and crease or become difficult to access.

c) If the records will be handled, photocopied, scanned, or faxed frequently, use a paperclip instead of a staple. Repeated removal and reinsertion of staples is damaging to paper-based records.

d) When using binder clips, always select the most appropriate size.

6.5.1.3 Avoid the use of rubber bands. Over time, their elasticity decreases and they can crumble and stick to records. Rubber bands also rip up the edges of paper documents they are grouping, which can be highly damaging.

6.5.1.4 Take care when removing staples to avoid any ripping or tearing. If necessary, straighten the folded ends of the staple before using a staple removal tool to lift the staple away from the record. Do not attempt to reuse staples.

6.5.2 Documents should not be overstuffed into folders and cabinets when filed, but they should also not be so loosely filed that documents sag when upright. If necessary, creases at the bottom of folders can be folded to expand and better accommodate a larger amount of records.

6.5.3 Unfold and remove dog ears from documents, and file documents flat and centered with other surrounding documents. Large format documents may be rolled.

6.5.4 Best Practices for Archival or Potentially Archival Records

6.5.4.1 Try to avoid the use of scotch tape to repair records. Scotch tape can yellow and degrade, and the adhesive cannot be reversed without damage to the record. If a repair is necessary, use archival tape whenever possible.

6.5.4.2 Use blue ink for original signatures on documents to help distinguish the original document from a black and white photocopy.

6.5.4.3 Create records on acid-free paper and use acid-free folders for filing.

7.0 Documents

7.1 SOP RM-00001: How to identify a record

7.2 Digital WAC Compliance, ACCIS Conference, Richland April 2010

8.0 References

8.1 KCC 2.55 Kittitas County Public Records Disclosure
http://www.co.kittitas.wa.us/boc/countycode/title02.asp#Chapter_2.55

8.2 Essential Records & Disaster Preparedness Manual, Office of the Secretary of State
http://www.sos.wa.gov/archives/RecordsManagement/EssentialRecordsDisasterPreparednessManual.aspx

8.3 WA State Archives Records Management, Local Government website
http://www.sos.wa.gov/archives/RecordsManagement/records_local.aspx

9.0 Departments affected

9.1 All departments are affected

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SOP #	RM-00007-000
Issue date	2010/10/27
Author	Kristen Demory
Department	Records Management
Page	1 of 4
Disclosable	Yes, publically disclosable
Title	**Disposition of records with potential archival value**

1.0 Purpose

1.1 To explain the process of managing records with potential archival value and transferring them to Washington State Archives.

2.0 Scope

2.1 This Standard Operating Procedure (SOP) applies to all Kittitas County employees involved in the retention of Archival and/or Potentially Archival records.

3.0 Definitions

3.1 **Appraisal**
Consideration of the historical and/or legal value of records with potential archival value by a Washington State Archivist. Used to determine whether or not a record will be retained permanently by Washington State Archives.

3.2 **Archival records**
Public records of state and local government agencies which are determined by the State Archivist as having enduring legal and/or historical value and must not be destroyed. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives.

3.3 **Disposition**
The stage of records management where an action is taken to either destroy, permanently retain onsite, or transfer records as appropriate.

3.4 **Essential records**
The records necessary for: 1) the resumption and/or continuity of government operations during or following a disaster; 2) the re-creation the legal and financial status of the agency, as well as its rights and responsibilities; 3) the fulfillment of obligations to local, state, and federal governments, and the public. The retention requirements for these records may range from very short-term to archival.

3.5 **Permanent records**
Public records of state and local government agencies which are required by law or regulation to be retained indefinitely. Permanent records which are not designated as archival or potentially archival must remain in the agency’s legal custody.

3.6 **Potential archival value**

Public Records with potential enduring legal and/or historical value must be appraised by Washington State Archives on an individual basis.

3.7 **Records retention schedule**

Washington State records retention schedules are legal documents that outline the minimum requirements for management, preservation and disposition of public records. These schedules are approved by the records committees. Agencies are required to use only approved records retention schedules for the management of public records.

3.8 **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.

3.9 **Retention value**

The length of time a record should be kept based on its content and function. A record's retention value is determined by a state Records Committee, and is listed in a Retention Schedule.

3.10 **Security microfilm**

Microfilm produced with the explicit purpose of creating a secure, off-site backup to original public records officially identified as essential or permanent. Also produced with the intent of storing the original camera negative at the State Archives, apart from the original records or working copy microfilm.

4.0 Responsibilities

4.1 **Records Coordinator**

Responsible for arranging appraisal of Archival records with Washington State Archivist. Also responsible for obtaining security microfilm backup of Essential Records.

5.0 Prerequisites

5.1 None.

6.0 Procedure

6.1 **Records retention schedules**

6.1.1 Records retention schedules include directions for every records series regarding how long record copies must be retained. Along with giving a retention value, retention schedules also indicate when a record series has potential archival value. (See RM-00009 for more information about records retention schedules.)

6.1.1.1 Every record series marked as permanent has potential archival value and a Regional Archivist must be contacted regarding disposition.

6.1.1.2 Every record series designated as Archival requires appraisal by Washington State Archives prior to disposition.

6.1.1.3 Occasionally, records with non-permanent retention values will be considered to also have potential archival value and must be reviewed by Washington State Archives before disposition.

6.2 Appraisal

6.2.1 If a record is from a series that has potential archival value it will require appraisal by Washington State Archives prior to disposition.

6.2.2 Appraisals are conducted by a Regional Archivist. For Kittitas County records contact an archivist at the Central Regional Branch (located in Ellensburg) to schedule an appraisal.

6.2.3 During an appraisal a Regional Archivist may make a site visit in order to view the record in question and evaluate its archival value, or they may review the record via email. A determination will then be made whether the record should be preserved or destroyed.

6.2.3.1 If the record is selected to be transferred to the Regional Archives Branch, the Regional Archivist will make arrangements for the official transfer of the record into Archives' custody. They may take the record immediately following the appraisal or elect to make arrangements for pick up at a later time.

6.2.3.2 If the record is determined through appraisal to have insufficient value to warrant transfer, the record may be destroyed through appropriate means. (See RM-00004 for further information on how to destroy records.)

6.3 Transferring to Washington State Archives

6.3.1 Paper-Based Records

6.3.1.1 A Regional Archivist will arrange for the transfer of records. An employee of the department transferring records must sign the Archival Records Transmittal & Transfer Agreement, which will officially transfer custody and legal responsibility of the records. The Regional Archivist will then take the records to the local State Archives branch where they may be accessed if necessary.

6.3.2 Electronic Records

6.3.2.1 For electronic records contact the Electronic Records Management Consultant at the local State Archives branch. They will require specific information about the records in order to identify technical parameters and determine the best course of transfer. Communication may be conducted by telephone or email, or a site visit may be in order.

6.3.2.2 Following consultation, a Transmittal Agreement (TA) between the agency and Washington State Archives, Digital Archives (WADA) must be completed to transfer custody of the records. Along with the TA, a Transfer Information Plan (TIP) is required.

a) A Regional Archivist or Electronic Records Management Consultant will provide copies of the TA and TIP documents and they are also available to answer questions regarding the documents.

b) Once WADA accepts and approves the TIP, an agency official must sign the TA, along with the State Archivist.

6.3.2.3 Transfer of the records is dependent upon the size and type of the files. Secure email attachments may be used or a hard drive may be sent to the agency if file size exceeds 100 GB. WADA also has an “Archive This!” application available. Method of transfer will be determined by WADA.

6.3.2.4 After WADA has received the records, the final step before records can be viewed on the Digital Archives website is ingestion. The length of time for this process can vary based on file type and file size, and WADA will notify the agency when their records are available for access.

7.0 Documents

7.1 RM-00007 How To Destroy Records

7.2 RM-00009 Records Retention Schedules

8.0 References

8.1 Records Retention Schedules
http://www.sos.wa.gov/archives/RecordsRetentionSchedules.aspx

8.2 Central Regional Branch, Washington State Archives
http://www.sos.wa.gov/archives/archives_central.aspx

8.3 Washington State Archives – Imaging Services
http://www.sos.wa.gov/archives/imaging.aspx

9.0 Departments affected

9.1 All departments that retain records with potential archival value.

SOP Revision History

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SOP #	RM-00008-000
Issue date	2010/05/01
Author	Kristen Demory
Department	Records Management
Page	1 of 3
Disclosable	Yes, publically disclosable
Title	**How to digitize and destroy (DAD) records**

1.0 Purpose

1.1 To explain the process of digitizing records meant for retention and obtaining approval for destruction after digitization.

2.0 Scope

2.1 This Standard Operating Procedure (SOP) applies to department Records Coordinators converting original paper-based records into digital media for retention purposes and requesting destruction of the original record.

3.0 Definitions

3.1 **Digitization**
Conversion of paper-based records to digital images through a WA Secretary of State approved process. The retention value of a record is not affected by conversion to a different format or storage media, therefore digitized records are subject to the same retention schedule as the source documents.

3.2 **Electronic imaging system**
An electronic document imaging system is a computer-based configuration of equipment and software that stores machine-readable document images and their associated character-coded index data for on-demand retrieval. Electronic images can be computer generated, or created through document scanning.

3.3 **Image**
An image can be a document, picture, or graphic. An image can be produced by scanning paper or film documents, producing images through a computer program, receiving an image by means of a fax, or by other means.

3.4 **Request for Early Destruction of Source Documents After Digitization (DAD application)**
The application from the WA Secretary of State that must be approved before any record may be destroyed early.

4.0 Responsibilities

4.1 **Records Coordinator**
Responsible for correctly completing the DAD application. Must arrange for digitization and disposition of source documents if Washington State Archives grants approval. Also responsible for records management of the digital records when digitization is complete.

4.2 **Information Services Director**
Responsible for working with applicant to ensure the document imaging system meets the technical requirements outlined in the Request for Early Destruction of Source Documents After Digitization (DAD) application.

5.0 Prerequisites

5.1 Access to a machine that will digitize paper-based records or an arrangement with another agency that can digitize records.

5.2 An understanding of WAC 434-663.

5.3 Request for Early Destruction of Source Documents After Digitization (DAD) Application

5.4 An Electronic Imaging System that meets the recordkeeping capabilities required by WAC 434-663.

6.0 Procedure

6.1 Digitizing records and obtaining permission for destruction of records after digitization

6.1.1 Determine the retention values of the records being digitized by consulting the appropriate retention schedule. For information on selecting an appropriate retention schedule, see SOP RM-00009.

6.1.1.1 Public records designated as Archival or Potentially Archival must be reviewed and/or appraised by Washington State Archives before being digitized with the intent to apply for destruction of the original paper-based records.

6.1.1.2 Records with archival information or with retention schedules of at least ten years have additional requirements. See WAC 434-663-720 and 434-663-730.

6.1.1.3 Determine method of disposition by consulting appropriate retention schedule and SOP RM-00004: How to Destroy Records.

6.1.2 Determine who will be responsible for the digitization of the documents.

6.1.2.1 If the digitization will be done in-house, the document scanning technology being used must be capable of creating archival quality digital images.

6.1.2.2 If the digitization will be done by Washington State Archives Imaging Services or a third party vendor and:

a) If Imaging Services or the same third party vendor will also be destroying the source documents after digitizing them, approval for early destruction must be granted by Washington State Archives before custody of the source documents is transferred.

b) If Imaging Services or the same third party vendor will not also be destroying the source documents or early destruction approval is pending, or if any of the source documents are being transferred to Washington State Archives instead of destroyed, make arrangements for the source documents to be returned to Kittitas County following completion of the digitization.

6.1.3 Determine the answers to all questions asked in *Section C* of the DAD application. Consult with Information Services for *Section C.*

6.1.3.1 If the answers given on the application do not meet the digital image requirements established in WAC 434-663, Washington State Archives may not approve the application for destruction of the source documents.

6.1.4 Complete and submit the DAD application to Washington State Archives.

6.1.5 After approval of the DAD application, digitize documents either in-house or by transferring the records to Imaging Services or a third party vendor.

6.1.6 Upon completion of digitization, arrange for appropriate disposition of the source documents in accordance with the answers documented in the DAD application.

7.0 Documents

7.1 Kittitas County Records Management Policy

7.2 SOP RM-00004 How to Destroy Records

7.3 SOP RM-00009 Records Retention Schedules

8.0 References

8.1 Request for Early Destruction of Source Documents After Digitization (DAD) Application
http://www.sos.wa.gov/archives/RecordsManagement/DestructionAfterDigitization.aspx

8.2 WAC 434-663 Imaging systems, standards for accuracy and durability
http://apps.leg.wa.gov/wac/default.aspx?cite=434-663

9.0 Departments affected

9.1 All departments converting paper-based records into digital media.

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Issue date	2010/05/01
Author	Kristen Demory
Department	Records Management
Page	1 of 4
Disclosable	Yes, publically disclosable
Title	**Using records retention schedules**

1.0 Purpose

1.1 To explain the basics of Local Government Records Retention Schedules.

2.0 Scope

2.1 This Standard Operating Procedure (SOP) applies to every department maintaining the primary or secondary copy of a public record.

3.0 Definitions

3.1 **Disposition**
The stage of records management where an action is taken to either destroy, permanently retain onsite, or transfer records as appropriate.

3.2 **Record (public)**
Per RCW 40.14.010, 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.

3.3 **Record 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.

3.4 **Retention period**
A length of time that a record should be kept based on its content and function. A record's retention period is determined by the state Local Records Committee, and is listed in a Retention Schedule.

4.0 Responsibilities

4.1 All employees are responsible for maintaining records through their retention period.

5.0 Prerequisites

5.1 None.

6.0 Procedure

6.1 Washington State records retention schedules are documents that outline the minimum requirements for management, preservation and disposition of public records. These schedules are approved by the state Local Records Committee and required for all government agencies (CORE) and specific local government sectors (LGGRRS).

6.2 Records retention schedules are occasionally revised by the Local Records Committee. ***Check the Washington State Archives – Records Management website periodically and verify that records are being retained according to the current retention schedule***.

6.3 **Types of Retention Schedules**

6.3.1 Records Retention Schedule for All Government Agencies

6.3.1.1 Common Records Retention Schedule (CORE) - This retention schedule covers the public records of all local government agencies relating to the common functions of the management of the agency and the agency's assets, finances, human resources and information resources. This retention schedule is to be used in conjunction with the other approved schedules that relate to the functions of the agency.

6.3.2 Records Retention Schedules for Specific Local Government Sectors

6.3.2.1 Local Government General Records Retention Schedule (LGGRRS) - This retention schedule covers the public records of all local government agencies including but not limited to: air quality authorities; animal services; assigned counsel; cemetery records; communications; conservation districts; coroners and medical examiners; electric utilities; emergency services; facility and property management; fairs; fire and emergency medical; housing authorities; irrigation utilities; juvenile services; land use planning, permits and appeals; licenses, permits, fees and taxes; noxious weed control; parks and recreation; port districts; prosecuting attorney; public works engineering; sewer and water system documentation; social services; solid waste management; surface water drainage documentation; transit authorities; and utilities accounting. It is to be used in conjunction with the other approved schedules that relate to the functions of the agency.

6.3.2.2 There are also retention schedules for specific county agencies including: County Assessor, Treasurer, Auditor, County Clerk and Clerk of the Superior Court, District and Municipal Courts, Health Departments and Districts, and Law Enforcement.

6.3.3 Washington State Archives has a searchable database available to help identify which schedule covers a specific record.

6.4 **Format**

6.4.1 Records Retention Schedules present their information in a table format. Along with the tables—which are usually divided into sections by subject—the schedules also contain a table of contents, a glossary, and indexes to search by archival designation, record subject, or Disposition Authority Number (DAN).

6.4.2 Table content may vary between retention schedules, but there are some common column headings.

6.4.2.1 *Series Title and Description* – Lists records series and often contains brief examples of types of records that belong to the records series.

6.4.2.2 *Primary Record Copy* and *Secondary Record Copy* – Gives retention values for the primary and secondary copies of a record. The retention values for primary and secondary copies usually differ.

6.4.2.3 *Disposition Authority Number* (DAN) – An alphanumeric number unique to individual records series that must be cited when records are destroyed.

6.4.2.4 *Remarks* – Additional comments regarding a records series. Often indicates if a Regional Archivist should be contacted regarding a record's disposition.

6.5 Identify which series title a record belongs to and maintain it appropriately.

6.5.1 File records according to their DAN, and proceed with disposition as soon as minimum retention value is met.

6.6 **Records with minimal retention value**

6.6.1 The CORE Retention Schedule contains a section on records with minimal retention value, which covers records that are typically of short-term, temporary informational use.

6.6.2 Some documents that meet the definition of a public record (for information on identifying a public record see RM-00001) are of negligible value to the County. These records can include routine agency information, copies of agency-generated forms, duplicate copies, and transitory records like telephone messages.

6.6.3 If a record matches the description for a record series with minimal retention value and does not also belong to a series with more substantial retention values, then it may be destroyed when it is no longer needed for agency business and isn't subject a legal hold or a public disclosure request. Its destruction does not need to be documented on a Public Records Destruction Log.

7.0 Documents

7.1 RM-00004-000: How to Destroy Records

7.2 RM-00007-000: Disposition of Records with Potential Archival Value

8.0 References

8.1 Records Retention Schedules

8.2 Records Retention Schedules search database

9.0 Departments affected

9.1 All.

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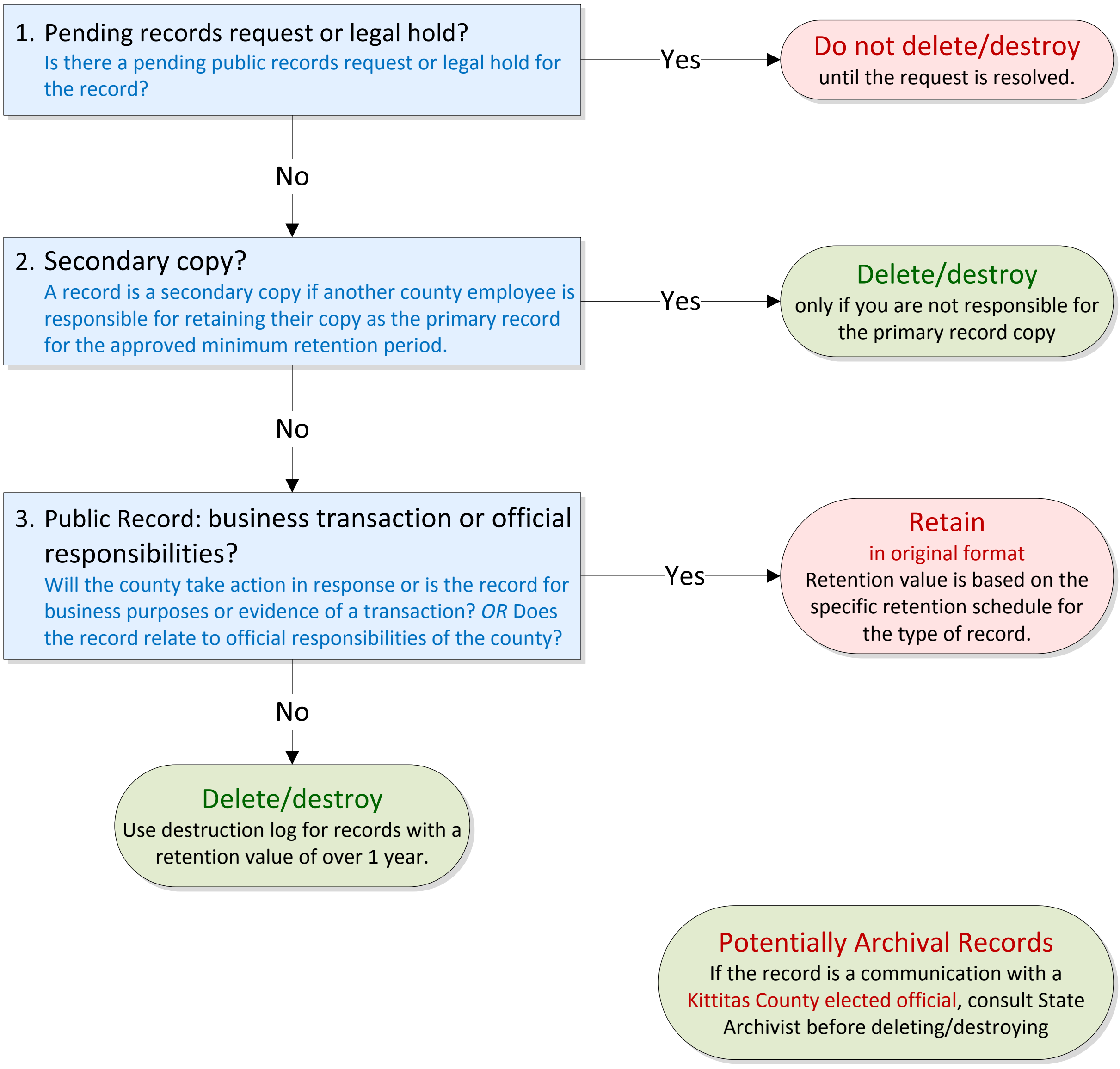
Approver:	Board of County Commissioners	2010/12/07

Kittitas County

May I delete/destroy a record?

A record is any email, 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 Kittitas County in connection with the transaction of public business.



1. Pending records request or legal hold?
   Is there a pending public records request or legal hold for the record?

Do not delete/destroy
until the request is resolved.

2. Secondary copy?
   A record is a secondary copy if another county employee is responsible for retaining their copy as the primary record for the approved minimum retention period.

Delete/destroy
only if you are not responsible for the primary record copy

3. Public Record: business transaction or official responsibilities?
   Will the county take action in response or is the record for business purposes or evidence of a transaction? *OR* Does the record relate to official responsibilities of the county?

Retain
in original format
Retention value is based on the specific retention schedule for the type of record.

Delete/destroy
Use destruction log for records with a retention value of over 1 year.

Potentially Archival Records
If the record is a communication with a Kittitas County elected official, consult State Archivist before deleting/destroying

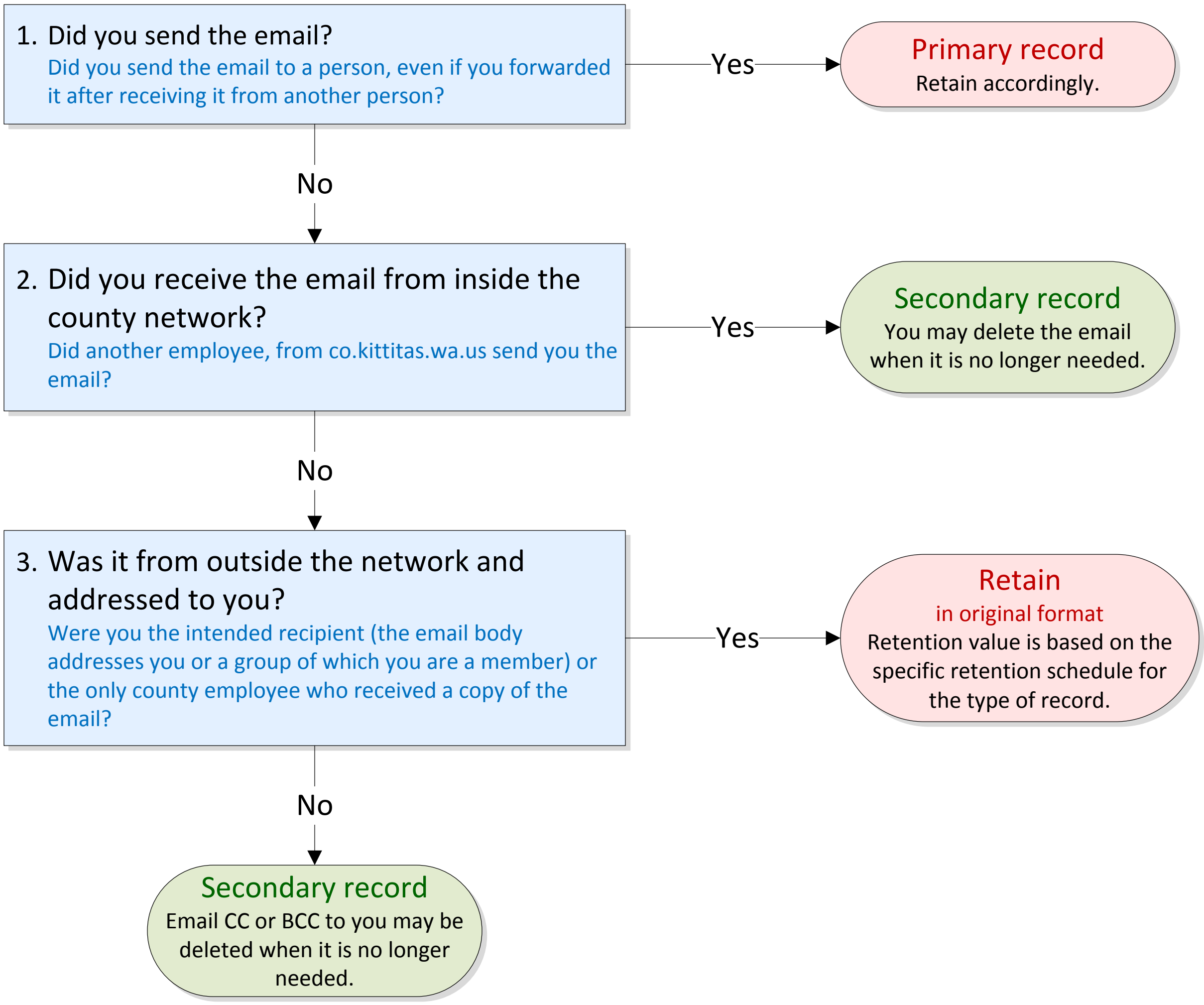
November 24, 2010
T:\Records Management\Procedures\working files\RM-delete-flowchart.vsd

Kittitas County

Is my email a primary or secondary record; what do I keep?

Primary Record Holder: The primary record holder is the creator of a record if the record is created within the county or the first recipient of a record if the record is created by an entity outside of the county. The primary record holder is responsible for retaining the record for the duration of the Primary Record Copy time period defined in the retention schedule for the record series.

Secondary Record Holder: The secondary record holder is responsible for retaining copies of a record that are not the original for the duration of the Secondary Record Copy time period identified in the retention schedule for the record series.



1. Did you send the email?
Did you send the email to a person, even if you forwarded it after receiving it from another person?

Yes → **Primary record**
Retain accordingly.

No ↓

2. Did you receive the email from inside the county network?
Did another employee, from co.kittitas.wa.us send you the email?

Yes → **Secondary record**
You may delete the email when it is no longer needed.

No ↓

3. Was it from outside the network and addressed to you?
Were you the intended recipient (the email body addresses you or a group of which you are a member) or the only county employee who received a copy of the email?

Yes → **Retain**
in original format
Retention value is based on the specific retention schedule for the type of record.

No ↓

Secondary record
Email CC or BCC to you may be deleted when it is no longer needed.

If you cannot determine if you are the primary record holder, consider yourself the primary and retain according to the retention schedule.

Jim Goeben's CAMAS
Tue, 30 Nov 10 12:49:40 pm

Records Management

Records Management

Policy

- Kittitas County Records Management Policy
- Resolution 2010-14 Adopting the Kittitas County Records Management Policy

DRAFT DOCUMENTS AND INFORMATION

Procedures

- RM-00001 Identifying public records
- RM-00002 How to file records
- RM-00003 Email as a record
- RM-00004 How to destroy records
- RM-00005 Records management during public disclosure requests or legal holds
- RM-00006 Maintaining records through the retention period
- RM-00007 Disposition of records with potential archival value
- RM-00008 How to digitize and destroy records
- RM-00009 Using records retention schedules

Job aids

- Deleting/destroying records/non-records; may I? flowchart
- Email as a primary or secondary record; what do I keep? flowchart
- Destruction log (coming soon)

FAQs

⊞ I am new to records management. Where should I begin?

⊞ Who is responsible for records management?

⊞ What is a record?

⊞ What is a non-record and can it be destroyed/deleted?

⊞ What does "transaction of public business" mean?

⊞ How do I know what the records retention schedule is?

⊞ Am I the primary or secondary record holder and what are my responsibilities?

⊞ If I need to save a record, in what format should I save it?

⊞ May I print a born digital ⓘ record or scan a non-digital record to retain as the public record?

What not to do

- Do not delete records before they have expired.
- Do not over-retain records. Delete them when they have expired.
- Do not send or receive personal email through your county email account.
- Do not send or receive county email through your personal email account.
- Do not create or keep non-records. See flowchart.

Resources

- Basics of Records Management, tutorial, WA OSOS

- Digital Archives
- Digital WAC Compliance for Local Governments, Washington State Archives presentation to ACCIS, spring 2010 (PowerPoint version)
- Essential Records Manual, WA OSOS
- Municipal Research and Services Center of WA (MRSC)
    - Public Records document
- Office of the Secretary of State
- Records retention schedules, WA OSOS
- Revised Code of Washington (RCW)
- Washington Administrative Code (WAC)

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