

BOARD OF COUNTY COMMISSIONERS
COUNTY OF KITTITAS
STATE OF WASHINGTON

RESOLUTION

NO.: 2010- 14

A Resolution Adopting the Kittitas County Records Management Policy

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 drafted a County policy to establish standards 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 Policy; and

WHEREAS: The Records Management Workgroup and the Management Team propose the Kittitas County Board of County Commissioners allow time for procedures to be developed prior to the policy becoming effective.

NOW, THEREFORE BE IT RESOLVED: The Kittitas County Board of Commissioners hereby adopts the attached Records Management Policy effective the 1st of June 2010 in order for procedures to be drafted and directs Information Services to immediately place the attached policy on CAMAS, Kittitas County's intranet.

ADOPTED this 14th day of February 2010.

BOARD OF COUNTY COMMISSIONERS

KITTITAS COUNTY, WASHINGTON



Mark McClain, Chairman





Julie A. Kjorsvik
Julie A. Kjorsvik

Paul Jewell, Vice-Chairman

Alan Crankovich
Alan Crankovich, Commissioner

APPROVED AS TO FORM:

Stephanie Happold
Stephanie Happold, Deputy Prosecuting Attorney
WSBA#38112

Kittitas County Records Management Policy

Effective Date: 06-01-2010

Revision Date: 07/08/2009

Final Draft

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 and distinguish between records and non-records.
- 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 non-records with no retention value or requirements.

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. Non-records 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.