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INTRODUCTION

The Local Records Committee is pleased to present you with this revised Records Management Guidelines and General Records Retention Schedule for local government agencies in the State of Washington. This manual provides instructions and guidelines for public records management based on the provisions of Chapter 40.14 RCW. It also contains schedules governing the retention and disposition of records commonly held by local government agencies in Washington State.

These schedules have been issued under the authority of the Washington State Local Records Committee and give all local government agencies in Washington State authorization for the continuing disposition of specific types of records according to their assigned retention periods.

This manual incorporates many important changes and supersedes previous versions. Before you consider disposing of any records, original or otherwise, in any manner, you should consult this document.

RETENTION SCHEDULES ARE NOT ALL-INCLUSIVE

The general records retention schedule included in this manual may not cover all of the types of records held by an individual agency. Specifically, it may not include certain discontinued records, nor can it anticipate types of records that may be created in the future. Agencies may from time to time find records that are not covered by the Local Government General Records Retention Schedules. Such records may need to be added to the general schedule, or, if the record is unique to the agency, authority for its disposition may need to be obtained by separate Local Records Committee approval of a records retention schedule submitted by the agency. Instructions for preparing a record retention schedule for the separate approval of the Local Records Committee can be found on pages 7-8. For further information on records retention scheduling, contact your Regional Archivist (*see regional directory page 2 of manual*).

ACKNOWLEDGEMENTS

The Division of Archives and Records Management would like to commend the hard work of those volunteers who assisted the Records Management section in creating this manual. Without their expertise, this manual would not have been possible:

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Mike Saunders, Regional Archivist and Task Force Chair
Diana Casler, *Records Analyst and Publications Specialist*
Jeanne Maxin, Records Analyst

STATE ARCHIVES AND RECORDS MANAGEMENT SERVICES AND ASSISTANCE

Washington State Archives and Records Management is a division of the Office of the Secretary of State. The division opera tes under the provisions of Chapter 40.14 RCW, the Public Records Act, which also regulates the disposition of all state and local government records.

TECHNICAL ASSISTANCE

The Division of Archives and Records Management provides technical advice and support for compliance with legal requirements and the development of systems for managing records. The Division provides standards, guidelines and advice on records retention scheduling, micro graphics, filing, information retrieval, essential record protection, disaster preparedness and recovery, records center operations, public disclosure, and records media.

MICROFILM AND DOCUMENT CONSERVATION

The Division of Archives and Records Management provides imaging production services on a charge-back basis, including source-document microfilming, output of digital information to microfilm, microfilm processing and duplication.

STATE ARCHIVES

The Division of Archives and Records Management is responsible for identifying, storing, preserving, and providing public access to state and local government records that have continuing historical value beyond their usefulness to the agencies which create them. Such records should be transferred to the Division's nearest regional branch *(page 2)* rather than be destroyed.

THE REGIONAL ARCHIVES BRANCH SYSTEM

The Division of Archives and Records Management has developed a system of regional branches in order to make its services more directly available to agencies and citizens throughout the state. For assistance with public records management and/or archival transfer, contact your Regional Archivist.

DIVISION OF ARCHIVES AND RECORDS MANAGEMENT
(http://www.secstate.wa.gov/archives/)

Microfilm & Imaging Services - phone: (360) 586-6232 fax: (360) 664-8814

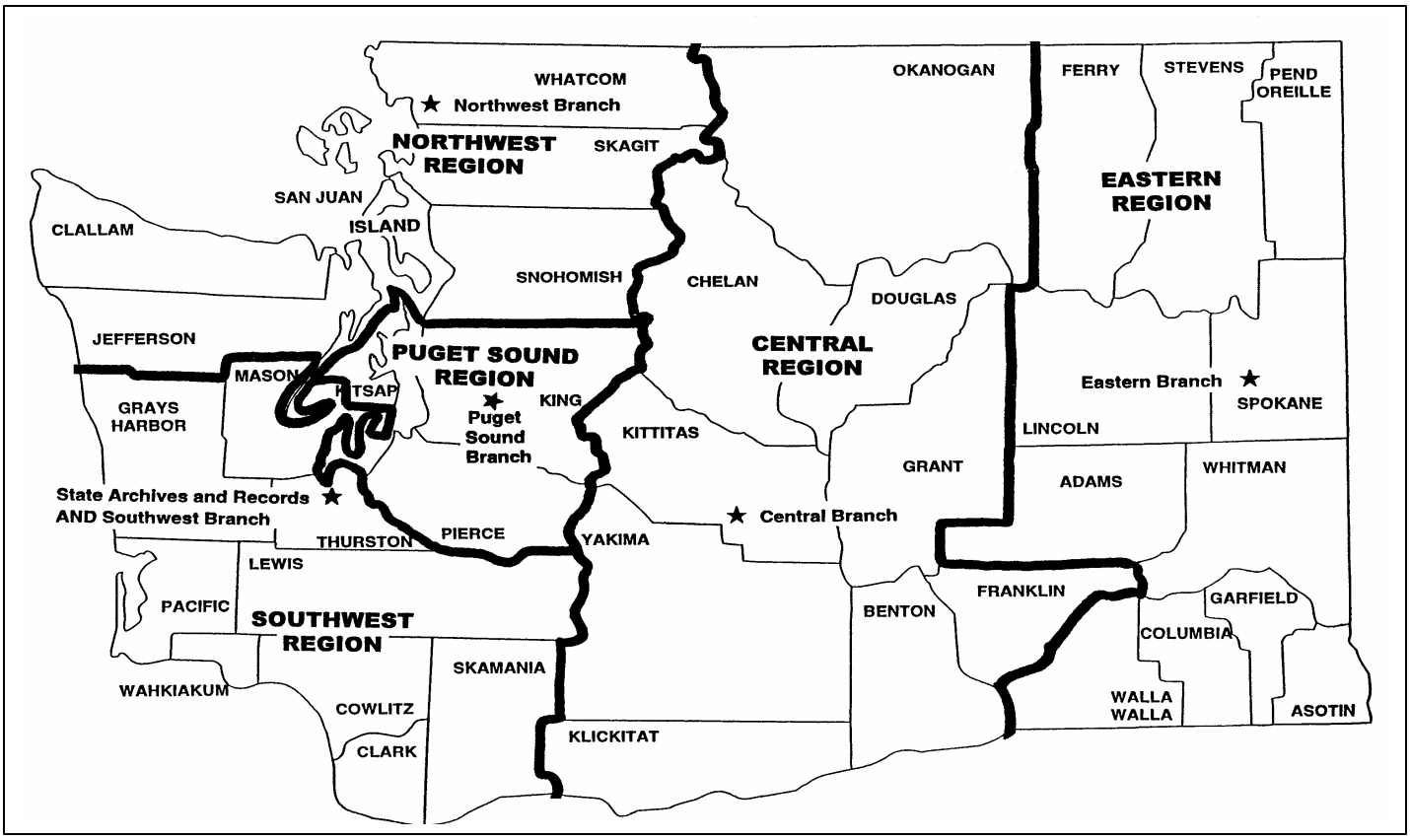
State Archivist/Deputy State Archivist - phone: (360) 753-5485 fax: (360) 664-8814

State Archives Research – phone: (360) 586-1492 fax: (360) 664-8814

Records Management Services – phone: (360) 586-4902 fax: (360) 586-0368

REGIONAL ARCHIVES BRANCH DIRECTORY

CENTRAL BRANCH Bledsoe-Washington Building Central Washington University MS: 7547 400 East 8th Ellensburg, WA 98926-7547 Tim Eckert, Regional Archivist Phone: (509) 963-2136 FAX: (509) 963-1753 Email: archives@cwu.edu Web Site: cwu.edu/~archives	**EASTERN BRANCH** Eastern Washington University 211 Tawanka Cheney, WA 99004 Susan Beamer, Regional Archivist Phone: (509) 359-6900 FAX: (509) 359-6286 Email: era@mail.ewu.edu Web Site: www.ewu.edu/era	**NORTHWEST BRANCH** Goltz-Murray Building Western Washington University 808 25th Street Bellingham, WA 98225-9123 Susan Fahey, Regional Archivist Phone: (360) 650-3125 FAX: (360) 650-3323 Email: State.Archives@wwu.edu
PUGET SOUND BRANCH Pritchard - Fleming Building 3000 Landerholm Circle SE MS: N-100 Bellevue, WA 98007 Mike Saunders, Regional Archivist Phone: (425) 564-3950 FAX: (425) 564-3945 Email: msaunder@bcc.ctc.edu	**SOUTHWEST BRANCH** State Archives Building 1129 Washington Street SE PO Box 40238 Olympia, WA 98504-0238 Wayne Lawson, Regional Archivist Phone: (360) 586-4898 FAX: (360) 664-8814 Email: Southwest@secstate.wa.gov	



PUBLIC RECORDS: A SUMMARY OF LEGAL REQUIREMENTS

Revised Code of Washington (RCW), Chapter 40.14, and Washington Administrative Code (WAC), Section 434, regulate the retention and disposition of public records.

PUBLIC RECORDS DEFINED

The term "public records" applies to any paper, correspondence, form, bound volume, film, magnetic record, drawing, or other document (regardless of media), that has been created or received by any state or local government agency during the course of public business *(see appendix RCW 40.14.010 and WAC 434-610-010).*

RECORDS AS PUBLIC PROPERTY

All public records shall be and remain the property of the agency. Outgoing officials and employees must pass such records on to their successors. Furthermore, public records shall be preserved, stored, transferred, destroyed and otherwise managed according to the provisions of Chapter 40.14 RCW unless otherwise provided by law *(see appendix WAC 434-615-010).*

CUSTODY OF PUBLIC RECORDS

Public records must remain in the custody of the agency in which they were originally created or received. They shall not be placed in the custody of any other person or agency, public or private, or released to individuals except for disposition pursuant to law or as otherwise provided by law *(see appendix 40.14.070 and WAC 434-615-020).*

ACCESS TO PUBLIC RECORDS

Access must be provided for the public inspection and copying of agency records according to the provisions of the Public Disclosure Act *(see appendix RCW 42.17 and the "Public Disclosure Act" page 38).*

DISPOSITION OF PUBLIC RECORDS

Public records may be destroyed or transferred only in accord with the instructions and approval of the Washington State Local Records Committee *(see appendix RCW 40.14.070).*

THE LOCAL RECORDS COMMITTEE

The Washington State Local Records Committee includes the State Archivist and representatives of the State Auditor and the State Attorney General. This committee has the authority to review and approve the disposition of all local government records *(see appendix RCW 40.14.070 and WAC 434-630).*

RECORDS RETENTION SCHEDULES

Local agencies may establish a records control program based on records retention schedules submitted to the Local Records Committee for approval. The Committee may approve, amend, or reject these schedules. Once the Local Records Committee approves a record retention schedule, the agency has the authority to dispose of the records listed thereon, according to their minimum retention periods, on a recurring basis until the schedule is revised or amended *(see appendix RCW 40.14.070).*

AUTHORITY TO ADOPT GENERAL RECORDS RETENTION SCHEDULES

The Local Records Committee may approve and issue records retention schedules giving authority to local agencies for the disposition of specific types of commonly held records. General records retention schedules provide this authority on a recurring basis until such time as they might be revised or rescinded by the Committee *(see appendix WAC 434-635-050).*

USE OF MICROFILM

Complete, clear, and authenticated microfilm copies of public records, which meet state standards, have the same legal status as the paper originals (see appendix *RCW 40.20.020 and RCW 5.46.010 and "Microfilm" page 37).*

AUTHORITY TO TRANSFER RECORDS TO THE STATE ARCHIVES

Instead of being retained permanently by the agency, records designated as having archival or historical value may be officially transferred to Division of Archives and Records Management headquarters or one of its regional branches. It is illegal to transfer public records to private persons or organizations or to depositories not designated by the State Archivist (*see appendices RCW 40.14.070 and WAC 434-615-030*).

METHODS OF DESTRUCTION

WAC 434-640-010 RECORDS DISPOSAL – GENERAL

When the Local Records Committee has authorized the destruction of public records in accord with Chapter 40.14 RCW, it shall be the responsibility of the agency having received the authorization to cause such records to be disposed of promptly and effectively, after they have met their approved retention period.

WAC 434-640-020 DISPOSAL OF CONFIDENTIAL RECORDS

It is the agency's responsibility to ensure that records exempt from disclosure per Chapter 42.17 RCW, or which are otherwise considered confidential, are protected from unauthorized access during any disposal process. The primary purpose of such disposal shall be that of reducing the records to an illegible condition.

WAC 434-460-030 DISPOSAL BY RECYCLING

Pursuant to disposal authorization from the Local Records Committee, an agency may dispose of records by recycling, under the following conditions:

1) The prompt destruction of the records shall be ensured, and the responsibility for such destruction shall continue to be that of the agency until effectuated.
2) The recycling agent or entity shall have required licenses and shall be insured or bonded.
3) Records shall not be kept in unattended and unprotected storage while awaiting their destruction.
4) The agency or its authorized agent shall have in effect a contract or written agreement with the recycling entity, which includes these conditions.

AUTHORITY FOR THE DISPOSITION OF LOCAL GOVERNMENT RECORDS

Under the provisions of RCW 40.14.070, the Local Records Committee has the authority to review and approve the disposition of local government records. The Local Records Committee may approve the destruction of specific records submitted on lists by individual agencies, grant individual agencies continuing disposition authority for specific types of records through the approval of records retention schedules, or approve and issue general records retention schedules which provide continuing authority to different types of agencies for the disposition of commonly held records.

DEFINITION/USE OF GENERAL RETENTION SCHEDULES

WHAT IS A GENERAL RECORDS RETENTION SCHEDULE

A general records retention schedule is issued by the Local Records Committee to serve as the retention standard and disposition authority for records series commonly held by particular types of local government agencies.

USE AND APPLICATION OF GENERAL RECORDS RETENTION SCHEDULES

DIRECT APPLICATION

General records retention schedules may be applied directly by agencies as an authority to destroy the records listed thereon after the expiration of their approved retention periods. This requires no further authorization or approval. An agency should compile and maintain summary documentation of the records it destroys to verify the date of destruction or disposal for public disclosure purposes. *(See Documenting Records Destruction page 13.)*

AS A GUIDE FOR FORMULATING INTERNAL WORKING SCHEDULES

The general schedule may list records, which are not maintained by the agency. Therefore, an "internal working schedule," which is restricted to records that are specifically kept by the agency, may be abstracted from the general records retention schedule. The "internal working schedule" must cite the disposition authority number, and schedule and item numbers, from the general schedule, but otherwise may be formatted as best suits the agency.

REDUCTION OF RETENTION PERIODS

Generally, retention periods for official public records (OPR) are fixed by law and cannot be reduced. The retention for office files and memoranda (OFM) are often more flexible. If an agency wishes to have retention periods for OFM records listed on the general schedules reduced, it must prepare a SSA-24, citing the records series and retention periods requested, and submit it to the Local Records Committee for approval.

DISPOSITION AUTHORITY NUMBER (DAN)

A Disposition Authority Number (DAN) is assigned to each destruction list, records retention series and general records retention schedule approved by the Local Records Committee. The appropriate DAN

should be cited in the process of documenting the disposition of any local government record. If a DAN cannot be identified for a particular record, there is no legal authority to dispose of it.

DISPOSITION AUTHORITY FOR RECORDS NOT COVERED BY A GENERAL RECORDS RETENTION SCHEDULE

Those records series held by an agency, which are not listed on the general records retention schedule, may be scheduled for disposal by preparation and submittal of form SSA-24, "Public Records Retention Schedule and Destruction Authorization." Once approved by the Local Records Committee, these individual records retention schedules should be incorporated into the internal working schedule.

SUBMITTING A RECORDS RETENTION SCHEDULE FOR LOCAL RECORDS COMMITTEE APPROVAL

BASIC STEPS

1. *Prepare the proposed records retention schedule using the SSA-24 Public Records Retention Schedule and Destruction Authorization form (see & instructions and SSA-24 pages 8-10). For further information or electronic versions of the form please contact your Regional Archivist (see directory page 2).*

2. *Either the agency Records Officer, or the head of the unit/division/office that is submitting the schedule must sign the completed Retention Schedule (SSA-24). The Local Records Committee will not accept records retention schedules that have not been signed.*

3. *Make a copy of the retention schedule for your records and mail the* ***original signed copy*** *to the Local Records Committee at the following address:*

OFFICE OF THE SECRETARY OF STATE
Division of Archives & Records Management
Local Records Committee
PO Box 40238
Olympia, WA 98504-0238

LOCAL RECORDS COMMITTEE APPROVAL PROCESS

ACCEPTANCE AND PROCESSING:

The records analyst date-stamps, logs and reviews the overall schedule for required information for clarity and addresses any potential questions that the Committee may find questionable (signature, general information contained on the SSA-24, General Schedule items not requiring review, retention issues, OFM/OPR designations, etc).

You are not required to submit general schedule items on an agency records retention schedule (SSA-24). Disposition authority and retention requirements have already been established for these records and require no further approval by the Local Records Committee. However, if the agency requires a lower retention period than that provided by a General Records Retention Schedule, you will need to submit the series on a SSA-24 along with written justification for the deviation (different retention, etc.).

When an agency submits a records retention series on an SSA-24 that is determined to be a general schedule series. The General Schedule disposition authority number will be assigned to the record series requiring no further signature approval.

If there are any questions concerning the retention schedule, either the records analyst or the Regional Archivist contacts the agency for clarification.

WHEN GENERAL CRITERIA ARE NOT MET:
The schedule is returned to the agency for further work.

WHEN GENERAL CRITERIA ARE MET:
A Disposition Authority Number (DAN) is assigned to the record series. The Regional Archivist receives a copy of the retention schedule to identify record series that have potential archival value. The schedule then proceeds to the Local Records Committee for final approval.

An open public meeting is held on the last Thursday of every month, 10:00 AM, at the Division of Archives and Records Management, State Archives Building, 1129 Washington Street, Olympia, Washington. If you would like to attend, please contact the Records Management section at (360) 586-4902 at least two days prior.

Members consist of:

State Auditor, who serves as Ex Officio Chair of the Committee and ensures that the proposed retention periods are sufficient to protect an agency's fiscal integrity and audit requirements.

Assistant Attorney General, who serves as Vice Chair of the Committee and ensures that proposed retention periods are sufficient to protect an agency's legal rights, responsibilities and liabilities.

State Archivist, who serves as the Secretary of the Committee, ensures that proposed retention periods reflect sound records management principles and designates records with potential archival value that should be appraised for transfer to the appropriate State Archives Regional branch at the end of their approved retention periods.

THE LOCAL RECORDS COMMITTEE HAS THREE OPTIONS

Approves the records retention schedule as proposed by the agency

Approves the records retention schedule with amendments

Does not approve the schedule as proposed by the agency (the agency is contacted with an explanation or request for further clarification)

Approval is granted by unanimous vote as verified by the signature of each Committee member on the schedule.

Within five working days after the Local Records Committee has approved the schedule, a signed copy is sent to the agency and Regional Archivist. The original approved schedule is filed at the Division of Archives and Records Management.

IF THE AGENCY DOES NOT AGREE WITH ANY AMENDMENTS MADE BY THE LOCAL RECORDS COMMITTEE

The agency may resubmit the schedule with written justification or personally present its issues to the Local Records Committee at its next meeting.

PREPARING A RECORDS RETENTION SCHEDULE (SSA-24) FOR RECORDS COMMITTEE APPROVAL

BASIC INFORMATION NEEDED BEFORE ENTERING A RECORD SERIES ON A SCHEDULE

(Recommend conducting a records inventory to obtain accurate information)

Determine the records series title.

What is included in the records series- forms, correspondence, reports, case files?

What function and purpose does it fulfill?

Is it an original record or a copy?

If other copies of the original exist elsewhere, which office has responsibility for the primary copy?

What retention values does the record have - administrative, legal, fiscal, research?

Is it subject to audit?

Is it summarized in other records?

How frequently is it referenced?

What is its volume?

What are the inclusive dates of the records currently held by the agency?

What volume of new records is created each year?

STATE OF WASHINGTON
OFFICE OF THE SECRETARY OF STATE
DIVISION OF ARCHIVES AND RECORDS MANAGEMENT
LOCAL RECORDS COMMITTEE

PUBLIC RECORDS RETENTION SCHEDULE & DESTRUCTION AUTHORIZATION

1. AGENCY TITLE AND MAILING ADDRESS	2. OFFICE OF RECORD	3. NAME AND TITLE OF RESPONSIBLE OFFICER	4. TELEPHONE ( )	5. DATE OF SUBMITTAL

6.ITEM#	7. RECORDS SERIES TITLE AND DESCRIPTION	8. OPR/ OFM	9. INCLUSIVE DATES FROM	TO	10. LOCATION OF PRIMARY OR OTHER COPIES	11. VOLUME OF RECORDS	12. RETENTION PERIOD *NOTE IF PRIMARY OR SECONDARY COPY*	13. DISPOSITION AUTHORITY NUMBER (If existing)	14. ARCHIVAL DESIGNATION	15. REMARKS

16. AGENCY APPROVAL *(SIGNATURE REQUIRED)*

FOR OFFICE USE ONLY
ACTION BY LOCAL RECORDS COMMITTEE: ☐ APPROVED ☐ APPROVED WITH AMENDMENTS ☐ NOT APPROVED

FOR THE ATTORNEY GENERAL	FOR THE STATE AUDITOR	THE STATE ARCHIVIST

Instructions on back (SSA-24 – Revised 4/01)

INSTRUCTIONS FOR FILLING OUT THE PUBLIC RECORDS RETENTION SCHEDULE AND DESTRUCTION AUTHORIZATION

This form is to be used to schedule your agency's unique record series only. DO NOT list series that are covered by local government general record retention schedules. This form may be used for either recurring unique records or unique non-recurring (one-time) records. For recurring records scheduling as provided by WAC 414-24-040, complete all items on this form as described below. For one-time records destruction authorization as provided in WAC 414-24-030, complete all items except #12 Retention Period, which should be left blank. Mail original to: SECRETARY OF STATE, ARCHIVES AND RECORDS MANAGEMENT DIVISION, LOCAL RECORDS COMMITTEE, PO BOX 40238, OLYMPIA, WA 98504-0238.

Category	Instructions
Agency Title and Mailing Address	Enter the name of the parent agency, (i.e. Thurston County, Port of Grays Harbor, and City of Seattle. Etc.) and the mailing address for returning the schedule
Office of Record	Enter name of the local office, section, or department in which the records are located (e.g. Auditor's Office)
Name and Title of Responsible Officer	Enter the name and title of the official (records officer) or person who has custody or responsibility for the records
Area Code/Telephone Number:	Enter the area code and telephone number of records officer/coordinator or contact person pertaining to this schedule
Date of submittal	Enter the date submitting to the Local Records Committee
Item number	Enter sequence numbering of record series entered beginning with 1 (one)
Record Series Title and Description	Title: type title in all CAPS When *Revising or entering a new record series*, The Records Management section strongly recommends you complete a records inventory to use as a guideline for scheduling a record series. Titles and descriptions should clearly identify the record series. Remember: do not use office jargon or informal titles, do not use form numbers in either titles or descriptions. Include the following elements: ❑ Subject of the records (e.g., land, tax, recreation) ❑ Function/Purpose (e.g., litigation, election, assessment) ❑ Form of Material (e.g., deeds, ledgers, photos, maps, licenses) Examples: TAX ASSESSMENT LEDGERS (not tax books); LITGATION FILES (not Office Files); DOG LICENSE APPLICATION FILES (not PX-25's or other form titles); MOTOR VEHICLE INCIDENT REPORTS (not Yellow Forms); STUDENT MEDICAL EVALUATION FILES (not Student Files)
	Description: type in sentence (lower) case. *Recommendations for both existing and new record series:* Describe the function, purpose, and content of the record series. Indicate the full name of any abbreviations or acronyms that are used. Providing detailed information will assist the Local Records Committee's review and approval process. If the description or any part of the record series is being revised from an existing schedule, indicate this by typing (REVISED) at the end of the description.
OPR/OFM Classification	Each record series must be classified as either an Official Public Record (OPR) or Office Files and Memoranda (OFM). (*See page 11 or Appendix RCW 40.14.010*.
Inclusive Dates	Enter in the "from" column the year of creation for the oldest records currently held. Enter in the "to" column for Active series: *Present. If* Discontinued series: *indicate the last year of record (i.e. 2000)*
Location of Primary or Other Copies	Enter the name of any other department or office that holds a complete copy of the series. If the other location has the primary or official copy of the series add "Primary Copy"
Volume of Records	Enter an estimate of the volume (space occupied) of records currently held, preferably in cubic feet. A legal-size file drawer will hold three cubic feet of records and a letter-size file drawer will hold two cubic feet.
Retention Period	Enter the minimum amount of time that records in the series will be held by the agency to meet administrative, legal, audit, and reference requirements (see page 11)
Disposition Authority Number (DAN)	Revised/Existing Series: **enter the old DAN**. New Series**: Leave Blank**
Archival Designation	Determined by the State Archivist
Remarks	Enter the appropriate legal citations or other conditions affecting the retention of the record series or special disposal needs (i.e. shredding of records that contain confidential or personal identifiable information). Otherwise, leave the column blank for the use of the Local Records Committee
Agency Approval	Enter the signature of the agency Records Officer and any others designated to review the schedule before it is submitted to the Local Records Committee

ASSIGNING OPR/OFM CLASSIFICATIONS

Public records are defined as information made or received by any government entity of the state in connection with the transaction of public business regardless of the information's physical form or characteristics. In the state of Washington, the disposition of all public records held by local government agencies is subject to the approval of the Local Records Committee as provided by RCW 40.14.070 (see appendix).RCW 40.14.010 (see appendix) divides public records into two classifications: OPR (Official Public Records) and OFM (Office Files and Memoranda).

The OPR classification covers records that have primary legal or official value. The required retention of records included in the OPR category is at least six years after the completion of the actions that they document, unless the Local Records Committee approves a shorter retention period.

The OFM classification covers records that have administrative value. The retention of records included in the OFM category is usually based on the agency's administrative needs. Administrative value tends to last for a much shorter period of time than legal or official value, generally one to three years.

OFFICIAL PUBLIC RECORD (OPR)

Applies to original/primary records that:

- Serve as primary documentation of financial transactions relating to the receipt, use and disposition of public property and funds
- Serve primary documentation of all agreements, contracts and bonds of any nature
- Serve as primary documentation of all claims filed by or against the agency
- Are required to be filed as a result of a specific law
- Provide primary documentation of an official action or commitment by the agency

Examples of OPR records	Contracts Court case files Invoice vouchers Inmate files Payroll registers	Grievance files Cash receipts Personnel files Purchasing records Minutes of boards, commissions and committees

OFFICE FILES AND MEMORANDA (OFM)

Applies to:

- Records not falling within the OPR definition
- General office files
- Any other record kept for purely administrative purposes

Examples of OFM records	Copies of OPRs General correspondence Routine informational reports	Reference files Subject files

RECORDS RETENTION VALUES

ADMINISTRATIVE VALUE

Records have administrative value as long as they provide information needed for an agency's current or future operations. Generally, eighty percent of the references made to a record occur within one year from the date it is created. The administrative value of most records is exhausted within two years. However, a few records provide information about an agency's origin, organization, policies and functions, which has long-term administrative value.

LEGAL VALUE

Records have legal value as long as they provide enforceable documentation of the agency's rights and obligations. Ordinances, resolutions, contracts, and agreements are examples of records of primary legal value. Some records, such as governing council minutes, ordinances and resolutions, have permanent legal value. The legal value of other records, such as contracts and agreements is limited by the time they remain in effect plus the statute of limitations on the agency's liability for the terms and conditions that they document. Thus, the standard retention period for contracts and agreements is termination plus six years.

FISCAL VALUE

Records have fiscal value as long as they provide information needed to track agency revenue and expenditures or to document its financial transactions. Examples of records with primary fiscal value include budgets, allotments, ledgers, periodic accounting reports, vouchers, and warrants. Fiscal records that also have legal or official value, such as primary copies of budgets, ledgers, and vouchers have longer-term retention value than fiscal records with administrative value, such as periodic accounting reports.

RESEARCH/HISTORICAL (ARCHIVAL) VALUE

Some records have long-term research value because they provide significant documentation concerning the development of the agency's mission, policies, programs, and the area(s) it serves through time. Once the agency determines that the administrative, legal, and fiscal needs for such records have been exhausted the records should be transferred to the appropriate State Archives Regional Branch for long-term preservation and public research use.

RECORDS DESIGNATED FOR POTENTIAL ARCHIVAL VALUE

State law (*see appendix Chapter 40.14.070*) requires that all public records designated by the Local Records Committee as having historical or archival value must be either transferred to the Division of Archives and Records Management or preserved and retained by the office of record in accord with standards established by the State Archivist.

Contact the Regional Archivist in your area *(page 2)* for archival appraisal and transfer and as well as records management advice and assistance.

DOCUMENTING RECORDS DESTRUCTION

The following types of forms should be used internally by the agency to document the date and method of destruction for non-archival records that have passed the retention periods approved for them by the Local Records Committee as per WAC 434-640.

SAMPLE
CERTIFICATE OF RECORDS DESTRUCTION

I, _____, acting as an agent of ____(Agency Name)____, hereby certify that the following public records were destroyed according to the provisions of WAC 434-640.

Vouchers: 1967-1990, Disposition Authority GS50-03A.20
Internal Audit Reports: 1985-1991, Disposition Authority GS50-03F.1
Audio Tape Recordings of Council Meetings: 1990-1991, Disposition Authority GS50-05A.2

Destruction executed by ___(Method of Destruction)___, on this ____ day of_____, 19___

Location of Disposal_____

Signature of agent_____

Title_____

SAMPLE:

PUBLIC RECORDS DESTRUCTION LOG

Records Series	**Inclusive Dates**	**Disposition Authority**	**Date of Disposal**
Vouchers	1960-1987	GS50-03A.20	6/15/97
Internal Audit Reports	1985-1991	GS50-03F.1	6/15/97
Audio Tape Recordings of Council Meetings	1990-1991	GS50-05A.2	6/15/97

RECORDS MANAGEMENT BASICS

THE CHALLENGE

Our ability to control information has not kept pace with our capacity to produce it. For example, who in your agency knows:

What is the total volume of records being held?

What portion(s) of those records are active, inactive, or obsolete?

How rapidly those records are growing?

How many forms are being used?

How much time is required to prepare each form?

How many reports are being produced and who receives them?

How much time it takes to file, reference and re-file records?

The absence of answers to these questions may have a tremendous impact on the efficiency and cost effectiveness of your agency. Consider the following:

THE INVESTMENT IN RECORDS

RECORDS CREATION

Each inch of file space contains up to 160 pieces of correspondence, reports, or forms. Original correspondence has been reliably estimated to cost as much as $12.00 in professional and clerical time to prepare. That adds up to as much as $1,920.00 per inch or $48,000.00 per file drawer in value.

RECORDS MAINTENANCE

The average annual cost of filing and retrieval is about $48.30 per file inch in clerical and supervisory costs.

RECORDS STORAGE:

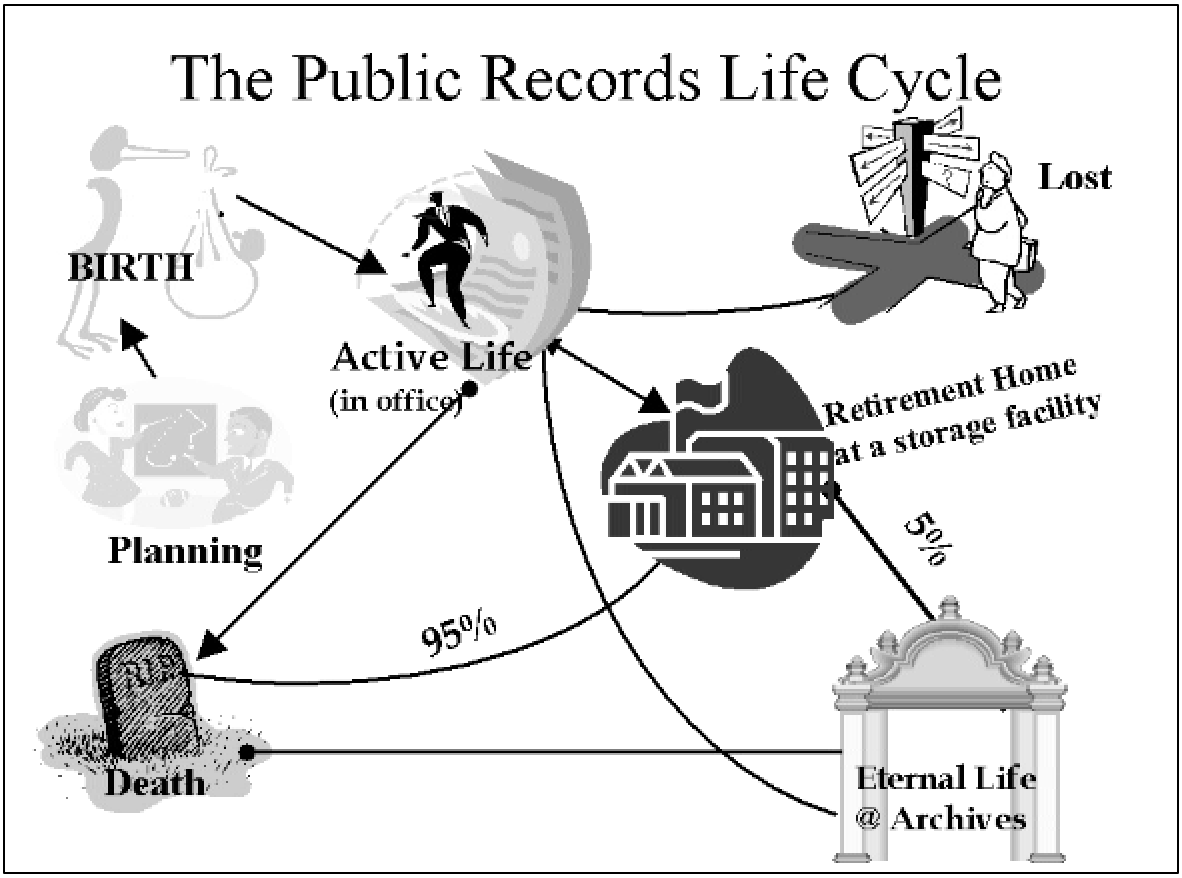
The average cost to lease office space in Washington State is about $25.00 per square foot per year. On that basis, it costs $600.00 per year to house each letter-size, four-drawer filing cabinet and $900.00 per year to house each legal-size, four-drawer filing cabinet. Keep in mind that as the cost of inflation and the cost of energy increase, these figures will increase (*cost analysis established by the Washington State Department of General Administration; 2001).*

THE SOLUTION

RECORDS MANAGEMENT

"Records management" encompasses a number of activities and techniques that contribute to the common goal of making records keeping easier, more efficient and more cost-effective. These include, but are not restricted to, records retention scheduling, non-current records storage, files management, forms management, micro graphics, reports management, and essential records protection. Any or all of these techniques may be incorporated into a specific program to meet the needs of your agency.

Ideally, records management should encompass the entire records life cycle, including creation, filing, active use, inactive storage and ultimate disposition.



The Division of Archives and Records Management publishes a number of manuals and handbooks on public records management. These publications are available upon request through your Regional Archivist.

DEVELOPING A RECORDS MANAGEMENT PROGRAM

This section is based on strategies used to develop successful records management programs in local government agencies. They may be modified to meet your agency's specific needs.

ESTABLISH THE PROGRAM

DETERMINE THE SCOPE OF THE PROGRAM

The scope should be based on the size and complexity of your agency, its resources, and its records management requirements. Gather information on how records are currently managed in the agency and identify problem areas.

DEVELOP A PROGRAM STATEMENT

The program statement provides a summary explanation of the program's purpose and scope. It should include the program's mission, goals, objectives, and the resources necessary to successfully carry out the program. Ask your Regional Archivist, other agencies with successful records management programs, and key agency personnel for input.

OBTAIN SUPPORT FROM THE TOP

The success of any management program is dependent on active support from the highest level of agency leadership. Your agency head should understand the program's mission, goals, and objectives, as well as provide the resources needed for the program.

APPOINT A RECORDS OFFICER

The Records Officer is responsible for coordinating the development and maintenance of the records management program. Programs in larger agencies may require a full time position to accomplish this task. In smaller agencies, Records Officer responsibilities may be assigned to existing position as a part-time duty. Agencies with successful records management programs may be used as benchmarks for the appropriate level of staff support.

ANNOUNCE THE PROGRAM

The head of your agency should officially announce the program before implementation. The announcement should state the program mission, identify the Records Officer, and mandate cooperation throughout the agency. See figure 1.3 for an example that may be adapted for your agency:

To: All Departments - All Personnel
From: Agency Head
Subject: Records Management Program

It is the policy of this agency to comply with state law regarding the retention, protection, public accessibility, and disposal of all agencies records and adopt efficient records management practices. This policy is being implemented through a new Records Management Program.

The Records Management Program will help us make our records easier to access and less expensive to keep. It will allow us to get the maximum benefit out of limited resources available for records and information systems, and will save time in filing and retrieval. It will also insure the preservation of essential and permanently valuable records.

(Mr./Ms) X will serve as our agency's Records Officer and will be responsible for coordinating the program. (He/she) has my full support in this effort. Please give (him/her) your complete cooperation

Figure 1.3 Announcing a records management program.

APPOINT A RECORDS MANAGEMENT REVIEW COMMITTEE (OPTIONAL).
A records management review committee consisting of high-level administrators from key departments may provide effective program oversight and advice for the records officer, and may command a greater degree of cooperation from agency staff.

ESTABLISH RECORDS MANAGEMENT POLICIES AND PROCEDURES
These should include the program statement, agency policies, a glossary of terms, records management responsibilities of all functional units and personnel, and a full explanation of Program procedures. A basic model for records management program policies and procedures (page 19) or contact your Regional Archivist (page 2) for further advice or support.

COMPILE A RECORDS MANAGEMENT REFERENCE FILE
This file will serve as the central reference source for the program. It should include all appropriate records keeping statutes and regulations (state and federal), a glossary of terms, general records retention schedules, disaster preparedness guidelines, essential records protection guidelines, security microfilm storage guidelines, electronic records management and files management guidelines, as well as program policies, procedures and forms. These materials may be obtained from your Regional Archivist or from other agencies with successful programs.

DESIGNATE A RECORDS COORDINATOR FOR EACH FUNCTIONAL UNIT.
One person should be designated in each unit (department, division, or office) to work with the Records Officer in implementing the program. Records coordinators should be supervisors or senior clerical personnel with substantial knowledge of unit operations and records systems.

PROVIDE ORIENTATION TO RECORDS COORDINATORS AND OTHER KEY PERSONNEL.
Explain the program and distribute pertinent materials to records coordinators, department heads, and other concerned staff. Contact you Regional Archivist for further information on training and orientation.

IMPLEMENT RECORDS RETENTION SCHEDULES

DISTRIBUTE GENERAL RECORDS RETENTION SCHEDULES
Copies of relevant General Records Retention Schedules and records retention schedules approved specifically for the agency should be distributed to each functional unit.

APPLY GENERAL RECORDS RETENTION SCHEDULES
The Records Officer should work with Records Coordinators, one at a time, to apply General Records Retention Schedules to records in each functional unit. The ideal practice is to abstract listings from General Records Retention Schedules into working schedules, which reflect the records actually kept by each functional unit. Disposition authority for records series not covered by general records retention schedules must be established through records retention schedules approved specifically for the agency by the Local Records Committee.

GET SEPARATE DISPOSITION AUTHORITY FOR RECORD SERIES NOT COVERED BY THE GENERAL RECORDS RETENTION SCHEDULE
Prepare records retention schedules for the separate review and approval of the Local Records Committee to establish legal disposition authority for record series not covered by the General Records Retention Schedule. For preparing unique schedules, use Form SSA-24, Public Records Retention Schedule & Destruction Authorization *(page 8)*.

DISPOSE OF RECORDS AT THE END OF THEIR APPROVED RETENTION PERIOD

The *Records Manager* should work with Records Coordinators on the development of work plans to identify and dispose records in each functional unit that have reached the end of the retention period specified on approved retention schedules. Special care should be taken to set aside records designated as having "potentially archival" value. Regional Archives staff must appraise these records for possible transfer to the appropriate State Archives Regional Branch.

MAINTAIN AN ANNUAL RECORDS DISPOSITION PROCESS

The program should establish and maintain a regular (preferably annual) process for the disposition of records that have reached the end of their retention period and the transfer of historically valuable records to the State Archives Regional Branch. If needed, program procedures and records retention schedules should also be updated at this time.

DEVELOP OTHER KEY RECORDS MANAGEMENT COMPONENTS

NON-CURRENT RECORDS STORAGE CENTER

If possible, develop a non-current records storage center away from the agency's active office area. The active reference life of most records series varies from one to two years. Older, less active records should be shifted to cost-efficient, accessible, non-current records storage centers for the remainder of their required retention periods. To facilitate this process, the retention period for each record series should be divided into current and non-current phases. For further information, contact your Regional Archivist. Other agencies or commercial vendors who operate non-current records storage centers may provide valuable advice and assistance.

STANDARD FUNCTION-BASED FILES CLASSIFICATION

A standard function-based file classification system can provide a common filing language that will expedite access and simplify the exchange of information between the different units in your agency. Function-based filing and standard file cutoff (the start of the records approved retention period) practices allow for the efficient application of records retention schedules. This includes timely transfer of inactive records to non-current records storage centers and the disposal of obsolete records. Contact your Regional Archivist for further information.

ESSENTIAL RECORDS PROTECTION

Use general records retention schedules to identify the records that your agency absolutely must have in, order to maintain or re-establish its authority and operations. The general records retention schedule designates *"ESSENTIAL RECORD"* under the record series *title and description* and provides directions for security backup in the *remarks* column. Security copies should be stored off-site so that working copies of those records can be replaced if they are lost or destroyed. The Division of Archives and Records Management provides security storage for microfilm copies of permanent essential records *free of charge* at its headquarters in Olympia. Contact your Regional Archivist for further information.

DISASTER PREPAREDNESS

Develop a plan and procedures for identifying and recovering records damaged by fire, flood, earthquake, or other disaster. For information and guidelines, contact your Regional Archivist (*page 2 or see Disaster Preparedness, page 39).*

ELECTRONIC RECORDS MANAGEMENT

Public records in electronic format must be managed to ensure that their accessibility is maintained **for the duration of the established retention period.** The retention period is based on the informational content of the records, not the format in which the records are stored. Standards and guidelines can be obtained

through your Regional Archivist (*page 2 or see Electronic Records Systems page 25 or Electronic Mail page 27)*

PUBLIC DISCLOSURE

The provisions of the Public Disclosure Act (*RCW 42.17*) require your agency to provide public access to the records it maintains, and to protect them from loss or damage. Your agency is required to publish and provide public access to its policies and procedures, as well as the indexes, which it maintains to expedite access to its records. It should also have a consistent, formalized procedure for responding to public disclosure requests. Ideally, each records series should be classified according to the legal status of its accessibility for public inspection so that agency staff can respond efficiently and confidently to each public disclosure request. Contact your Regional Archivist (*page 2*) for further information; see also the Public Disclosure Act *(page 41*).

COMPILE AND REPORT RESULTS

COMPILE STATISTICS, WHICH CAN INCLUDE THE FOLLOWING:

- The volume of records held in active office files at the beginning of the reporting period.
- The volume of records that have reached the end of their retention period and have been destroyed.
- The volume of records transferred to a non-current storage facility.
- The volume of records transferred to the State Archives Regional Branch.
- The amount of filing space emptied for reuse.
- The net volume of records held in active office files at the end of the reporting period.
- The number of public disclosure requests.
- The number of reference requests for records in non-current storage.
- The proportion of essential records security copies stored at off-site facilities.

COST SAVINGS/COST AVOIDANCE

- The cost of file space released for reuse.
- The cost of floor space converted or released.
- The cost of staff time saved by effective records filing, storage, and disposition.

The following oulines a generic policies and procedures model for your agency to use

MODEL: POLICY AND PROCEDURES FOR ORGANIZING AN AGENCY'S PUBLIC RECORDS MANAGEMENT PROGRAM

PROGRAM STATEMENT

The purpose of this program is to establish an agency-wide policy and standard procedures for managing records according to the provisions of the Public Records Act (RCW 40.14) and all other state and federal statutes and regulations which govern agency records keeping practices, including the systematic identification and disposal of obsolete records; transfer of historically valuable records to the State Archives system; removal of non-current records from active office storage; protection and security backup of records essential to agency authority and operations; disaster preparedness; insurance of records systems integrity and accessibility; and effective compliance with public disclosure requirements.

DEPARTMENTS AFFECTED

All departments are affected.

POLICY

All departments will work with the agency Records Officer to insure that:

- Only active (*referred to at least once per month*) records are stored in valuable office space.
- Non-current records are shifted to low-cost records center storage on a regular basis.
- Historically valuable records are preserved and transferred to the Division of Archives and Records Management. Records are destroyed at the end of the retention period specified on the retention schedule. Records essential to agency authority and operations are adequately protected from damage or loss. The agency will be prepared to recover or replace records damaged or lost in a disaster.
- All information systems preserve the integrity and accessibility of the public records they hold for the duration of their approved retention periods.
- Records are accessible for public inspection and their security is maintained according to the provisions of the Public Disclosure Act *(RCW42.17)*.

RECORDS OFFICER: ROLES AND RESPONSIBILITIES

THE RECORDS OFFICER COORDINATES THE AGENCY-WIDE RECORDS MANAGEMENT PROGRAM

- Disposal of records that have reached the end of their retention period.
- Non-current records storage.
- Transfer of historically valuable records to the Division of Archives and Records Management.
- Essential records protection.
- Off-site security microfilm storage.
- Disaster preparedness for agency records systems.
- Protection of public record integrity and access during information systems planning and design.
- Public disclosure.

- Represents the agency in its dealings with the Division of Archives and Records Management and the Local Records Committee.
- Educates and advises departments on records management procedures and practices.
- Compiles and distributes all program information, forms, and materials.
- Provides technical assistance to and oversees the work of records coordinators.

INDIVIDUAL DEPARTMENTS: ROLES AND RESPONSIBILITIES

- Will comply with Records Management Program policy, procedures and practices.
- Will maintain ongoing assignment of supervisory or senior clerical staff to serve as Records Coordinators.

RECORDS COORDINATORS: ROLES AND RESPONSIBILITIES

Implement the records management program at the department, division or office level, including:

- Application of General Records Retention Schedules and preparation of records retention schedules.
- Disposition of records that have reached the end of their approved retention period.
- Preparation of records for non-current storage.
- Identification and recommendation of measures to protect essential records.
- Input on records locations and recovery priorities for the Disaster Preparedness Plan.
- Maintenance of the integrity and accessibility of public records in electronic information systems.
- Implementation of public disclosure procedures and practices.
- Liaison between the agency Records Officer and department/division/office.

THE STATE ARCHIVES & REGIONAL BRANCH ARCHIVES: ROLES AND RESPONSIBILITIES

DIVISION OF ARCHIVES AND RECORDS MANAGEMENT - OLYMPIA HEADQUARTERS

Provides up-to-date public records management standards, guidelines, procedures, and education covering:

- Archival Records Transfer
- Disaster Preparedness
- Electronic Mail (E-mail) Guidelines
- Electronic Records Management
- Essential Records Protection
- Files Classification and Maintenance
- Security storage of microfilm copies of essential records.
- Inventorying and Scheduling Guidelines
- Non-current records storage and retrieval
- Records retention and disposition
- Security microfilm preparation and transfer

REGIONAL BRANCH ARCHIVES

- Assemble, preserve, and provide public research access to local government archives
- Serve as focal points for local government access to public records management standards guidelines, procedures and educational offerings.

INVENTORYING PUBLIC RECORDS

A records inventory locates, identifies, describes, counts, and measures an agency's records, regardless of physical form (electronic, paper, microfilm, etc.). An accurate records inventory is the foundation of an effective records management program.

PURPOSE

A records inventory should provide the information an agency needs to effectively apply the General Records Retention Schedule to the disposition of obsolete records, manage its records more efficiently and comply with public records laws and regulations. The inventory should identify records that are still in active use, records that have become inactive and may be transferred to less expensive storage facilities, essential records that need off-site security backup, historically valuable records that can be transferred to the Regional Archives System and records that no longer need to be kept at all.

PLANNING AND ORGANIZATION

The person responsible for the agency's records management program should plan, coordinate, and supervise the inventory process. This person, usually identified as the agency's *"Records Officer,"* also serves as the contact for the agency's dealings with the Washington State Archives and the Local Records Committee. A *"Records Coordinator"* should be appointed to lead and/or conduct the inventory in each department, division or work unit.

THE INVENTORY TEAM

A records inventory should be a team effort. Ideally, all of the individuals who participate in the *inventory team* process will have experience with the records, filing systems, and operations of the agencies and offices being inventoried. There are several advantages to having experienced employees on the inventory team, including:

- They know the records
- They know the organization and its personnel
- They do not have to be cleared for access to restricted records.
- When this is not possible, less experienced employees or part-time workers may conduct the inventory. They generally need more training before the inventory begins, and closer supervision while it is underway.

TRAINING

The Records Officer should train the inventory team. This training should be done on site so the team can learn while using samples of actual agency records. The Division of Archives and Records Management can assist with this training either at your on-site locations or at one of the Regional Archives facilities.

LEADERSHIP AND SUPPORT

- Solicit active support from the agency's director or chief executive officer.
- Communicate that support to the rest of the agency.

These steps are essential to getting your inventory off to a good start. Your senior official or executive should send a signed directive briefly describing the purpose and value of the records inventory. It should mandate cooperation with the inventory coordinator and members of the inventory team. It should also require department directors to attend an inventory orientation meeting. In the orientation meeting the records officer will explain the process, introduce the inventory team members, and answer questions.

Before the inventory begins, the records officer should visit all office supervisors to discuss the project and enlist their cooperation. This will ensure that the inventory team has access to all unrestricted records, is given the inventory information required for records that are restricted, and receives cooperation from all office staff during the inventory.

SUPPLIES

Each inventory team member should be supplied with a basic set of the supplies to include

Background information	This includes the agency's functions and outlines its organizational structure. Organizational charts and staff directories are very useful tools, and annual reports often provide good program descriptions.
Blank inventory forms	In order to save time, information such as agency name, work unit names and locations should be preprinted.
Writing and marking supplies	Notepads, pens, pencils, gum erasers, multi-colored "felt-tipped" markers, "highlighter" markers, and staplers are all needed. Adhesive labels, preferably removable, can be useful in storage rooms to identify containers and to indicate that an item has been inventoried. The labels may need to be removed after the inventory—some adhesives are very strong and hard to remove!
Personal equipment	The inventory team should have calculators, flashlights, cotton work gloves, disposable latex or polyethylene gloves, particle/dust masks and band-aids. Disposable hand cleaning "wipes" or "towelettes"are useful. However, they should not contain lotions or oils that might rub off on documents or equipment.
Other equipment	Several other items are useful but may not be needed in each location. Examples are hand trucks, utility carts, utility/work lights, medium or heavy-duty extension cords, and stepladders. Laptop computers may be used to automate portions of the inventory process.

GETTING STARTED

The process starts with a preliminary walk-through. All office and storage areas should be visited and surveyed before the inventory is started. This walk-through permits the records inventory team to:

- Learn the location of records.
- Estimate the total volume of records to be inventoried.
- Identify and note/flag any hazards or problems; and
- Determine if special equipment or assistance will be needed to access records in certain storage areas. Following the walk-through, the inventory team should schedule a date and time to start the inventory in each department or work unit. . The records inventory should not disrupt a department's regular functions (the preparation of payrolls, monthly reports, etc.) and should be flexible enough to be revised as needed.

TYPES OF RECORDS THAT SHOULD BE INVENTORIED

The inventory should include all public records, and should exclude information with no retention value, such as magazines, catalogues, trade journals, published federal or state policies or regulations, books, pamphlets, telephone message slips, reproduction masters and blank forms. Although these may be public property they are not public records and should not be included in a records inventory.

IDENTIFY RECORDS BY SERIES

Your records should be identified and inventoried according to records series.

A record series is any group of records performing a specific function, which is used as a unit, filed as a unit and can 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 records that are filed together to document a specific function.

USE A UNIFORM INVENTORY FORMAT

Use a uniform records series inventory form to collect information on each records series. Contact your Regional Archivist *(page 2)* for further information.

START WITH ACTIVE RECORDS

Inventories usually start with the active records in agency offices. These records tend to be more accessible, better organized, and office staff will be on hand to answer questions. Once you become familiar with a department's active records, it is easier to tackle the records in inactive storage. If a particular office has its own storage area, you should inventory the records there as soon as the active office area is inventoried. If several of your departments share a central storage facility, inventory the records in all of the departments' offices first and then the records in storage.

BE SYSTEMATIC

No matter where records are inventoried, your team needs to be systematic. Begin at a specific location and proceed logically around the room. Use the same pattern in each room.

KEYS TO SUCCESS

Thoroughness, accuracy, attention to detail in data collection, and clarity of description are essential. Conduct the inventory well and the result is a solid administrative knowledge base for your records management program. Conduct it poorly and the stage is set for management bottlenecks, financial waste, organizational risk, and legal liability.

BE THOROUGH

Look at more than one sample of each record series. The information collected on forms often changes over the years. Sampling catches these changes. The golden rule for inventory thoroughness requires that each file drawer and each box must be opened and the contents checked. Do not trust labels on drawers and boxes. Verify the contents of books and bound materials. Frequently, old volumes with one title hold a number of different record series. Often the old labels are not removed or crossed out when the contents of file drawers and boxes are changed. It is common to come across containers with no label at all. You must open and inspect them.

In some areas file cabinets, drawers, containers, or individual items can be tagged or labeled as "INVENTORIED." Essential, historic, other significant records, or those needing special attention may also be flagged with a special label or tag. These precautions will spotlight valuable records for you and decrease the chance of overlooking records or duplicating effort.

FOR FURTHER INFORMATION

Contact your Regional Archivist. Check the Secretary of State, Division of Archives and Records Management web site regularly at *http://www.secstate.wa.gov/archives*. As it grows, for the site will provide new information and the most recent updates of the Division's publications, standards, and guidelines.

ELECTRONIC RECORDS SYSTEMS

Electronic technology is revolutionizing records creation, storage, exchange and access. It is also expanding the range of concerns that must be addressed through effective records management.

BENEFITS

More and more records are created and stored on electronic information systems instead of paper because they can be:

- Easily created and filed
- Instantaneously located, retrieved and referenced
- Quickly edited and reformatted
- Efficiently shared and developed by multiple authors
- Reused and modified for different purposes
- Automatically distributed rapidly to large numbers of users
- Less expensive to store, reference and back up

When an agency establishes sound records management practices that ensure the legal accountability of their electronic records, these benefits can be substantial.

DISADVANTAGE

- Records that are created on electronic systems have special problems because they:
- Are easy to modify, edit and corrupt
- Are recorded on fragile, magnetic media that can easily be erased or damaged
- Require a computer system to edit, print or view the electronic document
- Can be lost when they are deleted unintentionally, saved under unintelligible file names, or stored in an unsafe environment without adequate backup protection
- Are often stored in multiple drafts, which are difficult to distinguish from each other and occupy expensive filing space
- Often lack signatures or other marks of authenticity, which allow managers to track who created, viewed, edited, or approved a document
- Tend not to be designed for the systematic migration of inactive records to non-current storage or disposal of obsolete records according to approved retention schedules
- Lack adequate security and disaster recovery protection
- Are vulnerable to unauthorized access, computer viruses, or tampering which threaten their confidentiality, and integrity

Records officers, program managers, and staff must take special precautions to manage, maintain, and protect automated records by establishing policies, assigning responsibilities, and best practice procedural methods for managing and protecting electronic records.

RECORDS OFFICERS SHOULD BE ACTIVELY INVOLVED

- Establish policies and procedures for electronic record keeping
- System and software selection
- Develop electronic filing systems
- Inventory and establish appropriate disposition authority for electronic records
- Develop security backup and disaster recovery procedures for electronic records
- Preservation of permanent electronic records
- Capture and transfer of archival data to the Regional Archives System

HELP IS AVAILABLE

The Division of Archives and Records Management is currently developing an Electronic Records Management Manual. For further information, contact your Regional Archivist.

ELECTRONIC MAIL

A component of an agency records management program

ELECTRONIC MAIL DEFINITIONS

Electronic mail or e-mail is an information transfer system, which uses computers for sending and receiving messages.

E-MAIL SYSTEMS

Electronic mail provides the means for creating messages, transmitting them through a network, and displaying the messages on the recipient's workstation, personal computer (PC), or terminal. E-mail systems can provide an array of features including graphical user interfaces, advanced editing and document management capabilities, secure transport services, directories of user addresses, and message authentication.

E-MAIL MESSAGES

E-mail messages are electronic documents created and sent or received by a computer system. This definition applies equally to the contents of the communication and any attachments that they may convey. They are comprised of individual units of information divided into an "envelope" and the message contents. The envelope, also called the "message header," contains the mailing address, routing instructions, transmission and receipt data, and other information the system needs to deliver a mail item correctly. Most e-mail systems allow senders to attach documents to messages, import text from word processing systems to e-mail applications, forward messages, and distribute information to individuals and groups. More sophisticated e-mail applications include workflow software that manages the movement of messages, forms, and documents through a work group or organization.

ARE E-MAIL MESSAGES PUBLIC RECORDS?

E-mail systems can send and receive both pubic records and information with no retention value. E-mail messages that contain information about agency activities, decisions, and policies, as well as those that function as evidence of business transactions are, regardless of recorded medium, part of the records of the agency and must be managed in accordance with the General Records Act Chapter 40.14 RCW. They are also subject to related legislation such as the Public Disclosure law Chapter 47.12 RCW, Essential Records Chapter 40.10 RCW and Penal provisions Chapter 40.16 RCW. Consequently, all e-mail messages that are public records are subject to record retention requirements. For the purpose of satisfying public record laws, e-mail is defined as not only the messages sent and received by e-mail systems, but all transmission and receipt data as well. Courts have accepted e-mail as a legitimate source of evidence and it is therefore subject to legal discovery.

CHALLENGES OF MANAGING E-MAIL RECORDS

One of the greatest challenges of managing e-mail effectively is to ensure that all public records, which originate or are transmitted through the system, are identified, retained, and managed properly. Records should be readily available and accessible to all authorized users when they need them and in a useable format. This means that the identity, purpose, and location of records are predictable, consistent, and reliable; methods for access and retrieval are simple and well defined; and records management practices are incorporated into day-to-day business activities.

Public records should be segregated from transitory messages that do not document agency business, extra copies of documents, and drafts that do not reflect substantive changes. Because e-mail is easy to use for both formal and informational communications, the proliferation of informal and transitory messages that do not provide evidence of official policies and transactions is a common problem in e-mail systems. These administrative materials with no retention value do not warrant the same degree of control, security, or protection afforded to records with retention value, and they accumulate rapidly in e-mail systems.

Basically, the content and not the medium determine the treatment of the message. Records created or received through e-mail, like other agency records, must be retained and disposed of according to a Local Records Committee-approved record retention schedule or general records retention schedule. For instance, all e-mail may be considered correspondence, but may include attachments such as reports, contracts, accounting records and so on.

TYPES OF MESSAGES SENT BY E-MAIL THAT TYPICALLY ARE RECORDS

- Policies and directives
- Correspondence or memoranda related to official business
- Work schedules and assignments
- Agendas and minutes of meetings
- Drafts of documents that are circulated for comment or approval
- Any document that initiates, authorizes, or completes a business transaction
- Final reports or recommendations

TYPES OF MESSAGES SENT BY E-MAIL THAT TYPICALLY HAVE NO RETENTION VALUE
(See General Schedule Records Category: Administrative Materials With No Retention Value)

- Personal messages[1] and announcements not related to official business
- Information-only copies or extracts of documents distributed for convenience of reference
- Published reference materials
- Copies of inter- or intra-agency memoranda, bulletins or directions of a general information and non-continuing nature
- Announcements of social events, such as retirement parties or holiday celebrations

ESTABLISHING E-MAIL POLICIES & PROCEDURES

Agency policies should establish general guidance on the use of e-mail to conduct official business, on access and privacy protection of e-mail messages, and on management and retention of e-mail. Policies should also define the roles and responsibilities of end users, managers, technical staff, records management staff, and support staff because traditional roles and responsibilities are changing as new technologies are introduced into the workplace.

Policies will help staff use e-mail properly, consistently, and effectively; reduce the risk of loss, corruption, mismanagement, and unauthorized access to e-mail messages; and increases the quality and value of agency records. Existing policies for telephone, fax, or written communications may not address all issues raised by e-mail. Because most agencies create and receive records in both paper and electronic formats, management of paper and electronic records must be coordinated to avoid gaps in documentation, inconsistencies, or unnecessary duplication. Agency e-mail policies should effectively address the following:

[1] Personal messages may contain evidence or historical material – contact your agency records officer to determine evidence or historical value.

APPROPRIATE USE OF E-MAIL

Agencies provide e-mail services, like other means of communication, to support official business. Therefore, policies should define proper use of e-mail and set limits on personal use. Agencies may set the same strict limitations on personal use of e-mail that exist for telephone, fax, and postal mail; or, recognizing that some personal communications are likely, they should permit internal personal use within specific limits, such as to announce work-related social events.

Essentially all e-mail users are responsible for appropriate use of e-mail and for certain aspects of the management of records in the e-mail systems. Users should be informed of their responsibilities to:

- Limit their use of the e-mail resources to official business
- Respond promptly to messages
- Protect e-mail messages, files, and records from unauthorized release to third parties
- Remove personal and transitory messages from personal in-boxes on a regular basis and regularly transfer public records to an organized, secure, and accessible filing system
- Protect e-mail messages from inadvertent loss or destruction by complying with backup requirements and procedures
- Coordinate disposition of public records with the agency Records Management Officer to ensure that retention requirements are met

PRIVACY PROTECTION

Agency e-mail policies must comply with the laws relating to disclosure and confidentiality issues. On April 25, 2000 Governor Gary Locke sent Executive Order 00-03 Public Records Privacy Protections Preamble to State Agencies. The order made critical distinctions between public information and private personal information that is contained in government records. The order specifically limits the collection and retention of personal information. It requires that records that contain personal identifiable information be identified and protected and that such information be retained only as long as needed to carry out the purpose for which it was originally collected, or the minimum period required by law.

EMPLOYER'S RIGHT TO ACCESS

Agencies have an obligation to inform users about the terms and conditions under which requestors may be granted access to e-mail, as well as the responsibilities of end users to protect the personal privacy of individuals who may be subjects of e-mail messages. According to the Federal Electronic Communications Privacy Act (ECPA) of 1986, e-mail users have a reasonable expectation of privacy protection for their mail. An important exception to ECPA grants employers the right to intercept, monitor, and read employee communications as long as those are done in the ordinary course of business and for a legitimate business purpose. Policies should inform users that e-mail messages sent or received in conjunction with government business:

- May be accessed and monitored in the normal course of business by system administrators, supervisors, and support staff
- May be releasable to the public
- May require special measures for privacy protection
- Are subject to discovery proceedings in legal actions

RETENTION AND SCHEDULING REQUIREMENTS

E-mail itself is not considered a record series or category. It is a means of transmission of messages or information. Like paper or microfilm, e-mail is simply a medium through which this public record may be transmitted, received and processed. Just as an agency cannot schedule all paper or microfilm records together.

under a single retention period, an agency cannot simply schedule e-mail as a record series. Rather, retention or disposition of e-mail messages must be related to the information they contain or the purpose they serve. The content, transactional information, and any attachments associated with the message are considered a record. The content of e-mail messages may vary considerably, and therefore, this content must be evaluated to determine the records series it should be filed under and the length of time it must be retained.

E-mail records should be filed with the appropriate records series and be disposed of according to the retention period approved for that records series on either the general records retention schedule or a records retention schedule approved specifically for the agency by the Local Records Committee. Agency policies should require e-mail users to identify, manage, protect, file and retain messages containing public record information according to the requirements of the Public Records Act (RCW 40.14.070) and Local Records Committee-approved records retention and general records retention schedules.

DETERMINE WHO HOLDS THE PRIMARY RECORD COPY

E-mail users should be aware that e-mail messages are often widely distributed to a number of various recipients. Determining which individual maintains the primary record copy of the message, i.e. the original message that must be retained per the retention schedule, is vital to e-mail management. If the holder of the record copy is not identified and aware of his/her responsibility, the agency may find that no one retains the message or that everyone retains the message. Neither of these scenarios is appropriate. Example: Copies of agency policy documents are transmitted to multiple recipients. Each recipient need not retain the document beyond his or her immediate need for the information it contains. The responsibility for retaining and disposing of these documents as public records logically rests with the office from which it was issued. *Prompt deletion of duplicate copies of e-mail messages from an e-mail system makes the system much easier to manage and reduces disk space consumed by redundant information.*

Generally speaking, the individual who sends an e-mail message should maintain the record copy of the message. However, the varied uses and wide distribution of e-mail may result in exceptions to this rule.

Contact your Regional Archivist for a copy of Guidelines for Developing Policy and Establishing Procedures for E-mail.

FREQUENTLY ASKED QUESTIONS ABOUT E-MAIL RETENTION

Can I print messages, and then delete them?

Yes, provided you print the following information with the message: name of sender, name of recipient, date and time of transmission and/or receipt. You then file the printed message with the appropriate records series and retain it according to the retention approved for that series by the Local Records Committee.

What about draft documents that undergo several revisions?

Draft documents or working papers that are circulated via e-mail, that propose or evaluate high-level policies or decisions and provide unique information that contributes to the understanding of major decisions of the agency or demonstrate significant revisions should be filed and retained with the appropriate records series. Uncirculated drafts may be destroyed at will by the author.

What do I do with attachments I receive with e-mail?

File and retain them with the appropriate records series.

What about multiple copies of the same document?

If another agency or office has the primary responsibility for keeping the record copy, and if you have no business need to retain it, the document is simply an informational copy and subject to deletion/destruction at will. Example: If you receive the minutes of a meeting that provide you with the authority to travel to a far away place for a special seminar, definitely incorporate it into your project files. Otherwise, informational copies of minutes of a meeting you attended may be destroyed at will. The secretary or other responsible person in the organization, committee or task force must retain the minutes per their retention schedule.

Do I need to keep distribution lists?

If you send to a distribution list, you must also keep a copy of the members of that list for as long as you are required to keep the message itself.

ESSENTIAL RECORDS

Although all records are important to an agency to some degree and for some period of time, essential records contain information that an agency absolutely must have to:

- **Maintain or resume operations during or after an emergency or disaster**
- **Document its legal and financial status**
- **Protect the legal rights of clients, property owners, students and other citizens**

ESSENTIAL RECORDS ARE DESIGNATED AND IDENTIFIED IN THE GENERAL RECORDS RETENTION SCHEDULE:

Essential record series are identified in the SERIES TITLE AND DESCRIPTION column of the General Schedule. The phrase "**ESSENTIAL RECORD** - Needs security microfilm backup - **See remarks.**" identifies records that have permanent or long-term essential value.

The SPECIAL AND/OR DISPOSITION INSTRUCTION column of the general schedule for such series contains the following instructions: "***The information in this records series should be protected from loss or damage by storage of a security microfilm backup at the State Archives. Security microfilm must meet Washington State Archives technical standards***." Microfilm provides the most stable cost-effective backup for permanent essential records.

Series No.	RECORDS SERIES TITLE AND DESCRIPTION OF SERIES	OPR or OFM	OFFICE OR DIVISION LOCATION AND MINIMUM RETENTION PERIOD		DISPOSITION AUTHORITY NUMBER (DAN)	SPECIAL AND/OR DISPOSITION INSTRUCTIONS
			PRIMARY RECORD COPY	SECONDARY RECORD COPY		
	GENERAL LEDGER ESSENTIAL RECORD - Needs security backup - **See remarks.**	OPR	6 years Pre-1900 general ledgers have potential archival value - **See remarks**	Destroy when obsolete or superseded	LG01-01-31	This record should be protected from damage or loss by off-site storage of a security copy, or by keeping a list that identifies the locations of other copies inside or outside the agency.
	DAILY, WEEKLY, OR MONTHLY TIME ACCUMULATION REPORTS (TIME CARDS) May be used as retirement verification. **ESSENTIAL RECORD if used for retirement verification** – Needs security microfilm backup– **See remarks.**	OPR OFM	If used for retirement verification – 60 years If NOT used for retirement verification– 3 years SEE REMARKS	Destroy when obsolete or superseded	LG01-01-68	Retain for 60 years if employee pay histories or payroll registers are NOT used for retirement verification. The information in this records series should be protected from loss or damage by storage of a security microfilm backup at the State Archives. Security microfilm must meet Washington State Archives technical standards.

Compliance with the Washington State Standards for the Production and Use of Microfilm is critical because the usable life of information on microfilm is dependent on the quality of production, processing and storage. The Washington State Archives inspects and stores security microfilm of permanent essential records free of charge.

Short-term records and information, which are often subject to change, updating or revision, should not be backed up on microfilm. Computer diskettes and tapes are a more appropriate back up media for short-term digital information because they can be more easily updated, superseded and disposed of. The physical security of other records with short-term essential value can often be protected by "*natural dispersal.*" This means that there are readily available copies at other locations that can be used to recreate the core record if it becomes lost or destroyed. The key to the success of the "*natural dispersal*" backup strategy is to compile a list of the locations of the other copies. Such lists are critical to the timely replacement of core essential records in crisis or disaster situations.

KEYS TO IDENTIFYING OTHER ESSENTIAL RECORDS

Several questions can be considered in order to facilitate the essential records selection process:

- What records are needed to protect and insure the rights and interests of the public, both individuals and businesses, who are served and/or regulated by your agency?
- What records are necessary to fulfill the agency's obligations to both clients and employees?
- What records are needed to protect the rights and interests of your agency as a governmental entity?
- What records protect the legal and financial integrity of your agency's programs?
- What records are required to maintain the current technical ability and efficiency of your agency?
- Would the loss of the record make the resumption of agency operations prohibitively expensive or otherwise impossible?
- How much volume (of the record) accumulates over a given period of time?
- How soon after an emergency would a record be needed, and how it would be used?
- What medium should be used for the security copy, example: hard copy, microfilm, magnetic tape, etc?

For further information, contact your Regional Archivist (*page 2*)

FILES MANAGEMENT

THE BENEFITS OF A STANDARDIZED FILING SYSTEM

Integrity and Continuity of Records	Records remain complete and easily accessible despite changes in agency organization, personnel, and records keeping technology.
Efficiency	Less staff time is wasted searching for agency information.
Communication	A common filing language fosters cooperation in the retrieval and exchange of information throughout the agency.
Records Retention and Disposition	An efficient filing system separates records with different retention values so that records that have reached the end of their approved retention period may be easily disposed of and records with long-term retention value are adequately preserved.

ESSENTIAL ELEMENTS OF FILING SYSTEMS

Simplicity	An easily understood filing system enables records to be filed and retrieved with much greater speed and accuracy.
Logic	File headings should be descriptive and arranged in natural sequence.
Usability	File headings should relate to the function of records and the way they are most frequently used.
Flexibility	The filing system should accommodate the expansion or contraction of record volume, different records keeping technologies, the transfer of inactive records to non-current storage, and the disposition of obsolete records.

FUNCTION-BASED FILE CLASSIFICATION

Records should be grouped and maintained according to the function to which they relate. Filing systems are organized through different levels of classification. The primary classification should be by function or records series. This allows records to be efficiently filed, retrieved, maintained, transferred, and disposed of according to their approved retention periods.

Secondary and tertiary classifications allow for records in each primary classification to be arranged in the sequence in which they can be most easily filed and retrieved. Commonly used arrangements include alphabetical, numeric, chronological, subject, location, and agency.
Function-based filing system should be:

Related to the way the records are used	The classification system should conform to the user's requirements for information, and incorporate the terms most commonly used in referencing the files.
Complete	There should be suitable classifications for all existing records.
Flexible	The classification outline should easily accommodate the addition of new file headings and the deletion of obsolete file headings.
Be Precise and Exclusive	In order to minimize filing and retrieval errors, each file heading should be precise in describing file contents and phrased to be as exclusive as possible. Minimize the number of terms used in file headings.

ACTIVE FILES MAINTENANCE

File Regularly	Filing should be done regularly because the records most frequently referenced are the ones most recently received.
Charge Out Files	Records from files should be "charged out" to users. An "out card" shouldbe placed in the vacated file space.
Files Cut Off	Files should be cut off or "broken" at regular intervals enabling inactive records to be transferred to non-current storage, and obsolete records to be destroyed. Case, project, and contract files should be cut off upon completion or termination.

DEVELOP A FILES MANAGEMENT SYSTEM

Define the nature and scope of the system	What are its function and purpose? Who uses it? What kinds of information does it hold? What technology and media does it use? Is it centralized or decentralized?
Define the primary classifications	What are the functional units or records series? Is each one given a separate classification?
Define the secondary and tertiary classifications and arrangements	Alphabetical Numeric Chronological Subject Location Agency
Develop a standard files classification outline:	Work with staff to develop file headings. Compile and review the outline. Distribute the outline to all agency staff. Train records keepers and users.
Implement the files classification system throughout the agency	
Evaluate and select filing standard media, equipment, and supplies:	Paper File cabinets Guides Fasteners Folders Tabs Labels
Microfilm: As Per Division of Archives and Records Management Standards	Roll or Fiche Manual or computer-assisted retrieval Reels Boxes Labels

Audio/Visual	Tape:_____size_____format Film:_____size_____format Storage containers Labels
Electronic/digital	Storage formats Software
Develop files maintenance, refe rence and disposition procedures	Maintenance Receiving Logging Sorting Routing Indexing and coding Cross-referencing Filing
Reference	Out cards and charge-out documentation Routing slips
Develop cut-off procedures to facilitate records transfer and disposal	
Take a thorough files inventory	
Use records retention schedules	

MICROFILM

ITS USE AND ABUSE

Microfilm is a powerful record management tool. Unfortunately, it is often abused. Microfilm should never be used simply to reduce the volume of records stored in a filing system. Records that contain information with temporary value, which includes most agency records, should not be microfilmed.

Before launching a costly microfilm project, a complete cost-benefit and systems analysis should be conducted, preferably by someone other than a prospective vendor. If a specialist is not available for this purpose, the agency should request analysis and proposals from more than one vendor.

MICROFILM STANDARDS

Before proceeding with any microfilm project, you should obtain a copy of Washington State Standards for the Production and Use of Microfilm, available by request from the Division of Archives and Records Management. Prospective vendors should then be made aware of the need to meet these standards. To insure that these standards are met once the system is installed, your agency should send a written request for project certification to the Division of Archives and Records Management. This will help protect your agency from spending its resources on an unstable or unusable microfilm product.

STATE AUDITOR APPROVAL

State law requires that all local government agencies have State Auditor approval for the use of any microfilm system. State microfilm specialists should evaluate the proposed system. This is done using Form SSA-31, "Local Agency Microfilming Project Authorization Request," which may be obtained from the Division of Archives and Records Management. The systems analysis, along with the SSA-31, should be submitted to the Division of Archives and Records Management.

HELP IS AVAILABLE

The Division of Archives and Records Management provides microfilm standards, guidelines and technical assistance to local government agencies. For further information, contact your Regional Archivist *(page 2)*.

ELECTRONIC IMAGING

While electronic imaging may be legally used for recording, producing, reproducing, maintaining, and storing public records (RCW 40.14.020), the choice to use electronic storage systems should be based on sound records management requirements. Chapter 434-663 WAC (see appendix) outlines the regulations that the Division of Archives and Records Management has developed for the use of this technology.

RECORDS RETENTION SCHEDULING

Disposition authority, as required by RCW 40.14, should be established for public records maintained in electronic format before implementation of the system. Such authority may be established through the appropriate application of a general records retention schedule or separate Local Records Committee approval of records retention schedule submitted by the agency. It is strongly recommended that the primary or security backup copy of permanent records and records with retention periods greater than ten years be stored in human-readable format, either on microfilm or paper.

TECHNICAL DOCUMENTATION

A data migration plan must be developed for all digital-imaging systems that store public records with a retention period more than ten years. The plan should include a reasonable estimate of the useful life expectancy of the system, header file information, and a proposed strategy for migrating the information to new systems. Technical documentation on system components, application software, and operating systems is essential to facilitate long-term access to records stored on electronic media.

SYSTEM OPERATION

Each imaging system should have a system administrator, a written policy statement to formalize the use of imaging as part of an agency's regular business practices, and fully documented operating procedures. Periodic performance audits must be conducted on the system's functionality.

For further information you can obtain a copy of *"Records Inventory and Scheduling Guidelines"* available from the Division of Archives and Records Management at (360) 586-4901 or (360) 586-4902.

DISASTER PREPAREDNESS

INCLUDE RECORDS IN YOUR DISASTER PREPAREDNESS PLAN

Each agency needs to integrate the protection and recovery of records into its disaster preparedness plan. The agency's disaster preparedness plan should address the protection records and information in the course of normal operations as well as their appraisal, repair and recovery after an actual disaster occurs. For general guidelines on developing a disaster preparedness plan, contact your Regional Archivist. Be sure to contact your Regional Archivist as soon as possible when a disaster occurs.

EMERGENCY PROCEDURES FOR THE RECOVERY OF PAPER RECORDS

Emergency recovery procedures are best implemented as part of a pre-established disaster preparedness plan, rather than "spur of the moment" decisions made in the aftermath of a disaster.

ASSESS THE DAMAGE

- Determine the extent and kinds of damage, and the volume of records damaged.
- Set priorities for recovery using your disaster preparedness plan as a guide. Records that are still active, necessary for current business, and not duplicated elsewhere should receive attention first.

PREPARE A DAMAGE ASSESSMENT AND CONTROL WORKSHEET FOR EACH RECORDS SERIES DAMAGED.

The worksheet should note the records series title, original location of the records, damage incurred, and restoration plan and priority. This record should be maintained and kept as a control throughout the recovery process. It can be organized by file cabinet, shelf unit, or by other logical grouping.

ARRANGE FOR A TEMPORARY STORAGE AREA IF NECESSARY.

Arrange for restoration services if necessary (*contact your Regional Archivist – page 2).*
Remove damaged records in the order in which they were stored. Note original locations on the damage-control worksheet. Transfer damaged records to temporary storage or to an area where restoration can begin.

FIRE DAMAGE

Closely packed paper burns with difficulty; therefore, the damage caused by fire may be more apparent than real.

SALVAGE PROCEDURES:

Remove documents from containers
Gently spread papers out to inspect the extent of the damage

FOR MINIMAL DAMAGE (SMOKE DAMAGED, SOOTY, LIGHTLY CHARRED AT EDGES):

- Allow paper to dry in an open space
- Clean gently with a soft brush
- Humidify by circulating moist air
- Re-file in clean folders
- Replace in new or restored cabinets

FOR MODERATE DAMAGE (EDGES HEAVILY CHARRED, PAPER DISCOLORED BY HEAT, VERY DIRTY, BRITTLE)

- Spread papers out in a very humid, well-ventilated area
- Brush off the worst dust and soot
- Re-file in clean folders, or make copies and discard the originals, depending on the documents' retention value and reference rate

FOR BADLY DAMAGED, CHARRED, VERY DIRTY, EXTREMELY BRITTLE DOCUMENTS

- Separate pages
- Remove surface soot or dirt if possible
- Copy, microfilm, or use infrared photography if necessary
- Discard originals
- Burnt: Discard. Retain inventory of records destroyed if they can be identified.

WATER DAMAGE

Mold damage, disintegration, and the bonding of paper into inseparable mats are the main problems resulting from water damage. Quick action is the key to recovery of water-damaged records. After twenty-four hours, mold begins to grow, and paper fibers begin to bond between the pages or turn into paper pulp.

SALVAGE PROCEDURES:

- Drain excess water from records
- Remove additional moisture by blotting with acid-free paper
- Spread out in warm, dry, well-ventilated room
- Flatten while still slightly damp
- Fumigate to kill mold spores
- Clean with a soft brush to remove dead mold spores
- Place into clean folders and re-file

If there is a large volume of damaged records (more than a few cubic feet), it is best to professionally deep-freeze them immediately. Deep freezing will arrest further damage and will allow for the treatment of small batches over a longer period of time. Arrangements for deep-freezing can be made with most cold-storage companies.

Freeze-drying is sometimes more efficient and possibly more economical for treating large batches of records. Freeze-drying requires the preliminary process of deep-freezing.

For further information on the recovery of damaged records, (including non-paper media such as film and magnetic tape), contact your Regional Archivist (page 2).

PUBLIC DISCLOSURE ACT

PUBLIC ACCESS TO GOVERNMENT RECORDS

RCW 42.17, the Public Disclosure Act, defines rights of public access to state and local government records just as rights of public access to federal government records are defined by the Freedom of Information Act. Much like the Public Records Act, the Public Disclosure Act declares that state and local government records are exclusively public property. As such, they are open to public access subject to the narrow application of limited exemptions that are intended to protect to personal privacy of identifiable individuals and the integrity of vital governmental functions.

BASIC PUBLIC DISCLOSURE REQUIREMENTS

INDEX OF RECORDS

Agencies are required to maintain and provide for public inspection an index of all their records. If the agency is unable to maintain such an index, it must publish an order explaining why it is unable to do so and provide public access to the records indexes or listings that it does maintain.

PROTECTION OF AGENCY RECORDS AND FUNCTIONS

Agencies are required to adopt reasonable rules and procedures to protect their records from loss, disorganization, or damage and to prevent disruption of vital agency functions while providing full public access as provided by statute.

INSPECTION AND COPYING DURING REGULAR BUSINESS HOURS

Records must be available for public inspection and copying during the agency's regular business hours. If an agency is not open for public business at least thirty hours per week, it must make its records available for inspection and copying from 9:00 a.m. to 12:00 p.m. and 1:00 p.m. to 4:00 p.m. each weekday unless another time is agreed to.

FEES CHARGED FOR COPIES

Agencies cannot charge more than fifteen cents per page for copying public records unless they can document costs more than that sum. The costs of postage and handling may be included in copying charges, but staff time for retrieval and re-filing may not unless authorized by a separate statute.

PROMPT RESPONSE REQUIREMENT

After receiving a request for access to its records, an agency must make the requested records available for inspection and copying within five days, or acknowledge the request and provide a reasonable estimate of the time needed to make the records available. The agency can also issue a written statement denying access and explaining how specific exemptions in the Public Disclosure Act justify the denial. An agency may delay access to requested records beyond five days only if it needs extra time to clarify the intent of the request, locate and assemble the requested records, notify third parties or agencies affected by the request, determine if any requested information is exempt from disclosure, or to confirm whether access should be denied to all or part of the requested records.

CLARIFICATION OF PUBLIC DISCLOSURE REQUESTS

If a public disclosure request is not clearly stated, the agency may seek clarification. If clarification is not received, the request should be denied in writing with a clear explanation for the denial.

DENIAL OF PUBLIC DISCLOSURE REQUESTS

Denial must include a written statement citing the specific exemption provided in the Public Disclosure Act, and an explanation of how that exemption applies to the records being requested.

JUDICIAL REVIEW

A person may file a motion in Superior Court to compel an agency to justify denial of or delay in providing access to its records. The burden of proof is on the agency. It must demonstrate conclusively that disclosure of the requested records would violate personal rights of privacy or undermine vital governmental functions. The Public Disclosure Act favors rights of public access even though such access may be inconvenient to an agency or embarrassing to some individuals.

LEGAL PENALTIES AND COSTS

If an agency loses a court challenge, it will be liable to pay all court costs, attorney fees, and up to $100.00 for each day from the date of the request to the date that the requester is finally granted access.

COURT ACTION TO PREVENT DISCLOSURE

Agencies and individuals may file motions and affidavits in Superior Court to enjoin or prohibit disclosure of records based on the specific application of Public Disclosure Act exemptions.

THE ROLE OF RECORDS MANAGEMENT

Efficient records management practices enable an agency to meet the requirements of the Public Disclosure Act with the least possible disruption of day-to-day operations.

RECORDS RETENTION SCHEDULES

A working schedule abstracted from the General Records Retention Schedules contained in this manual and supplemented as needed by unique series scheduled on Form SSA-24 should encompass every record series held by an agency. This working schedule can help fulfill the function of a public disclosure index. The addition of a column denoting the legal accessibility of each records series for public inspection and copying can enable records custodians to respond more efficiently to public disclosure requests.

REGULAR DISPOSITION OF OBSOLETE RECORDS

The regular disposition of records that have reached the end of their established retention period lessens the agency's exposure to public disclosure demands and removes clutter from office and records storage space.

TRANSFER OF HISTORICALLY VALUABLE RECORDS TO YOUR REGIONAL ARCHIVES

Transfer of historically valuable records to the Regional Archives System places them in facilities that promote long-term preservation as well as providing research room space and professional staff support to facilitate public access. The agency can then concentrate on administering and providing public access to the records used in current operations.

USE OF EFFICIENT FILING AND STORAGE PRACTICES

Effective filing and non-current records storage practices enable an agency to make records more accessible for public disclosure as well as its own informational needs. Up-to-date file indexes, and non-current records storage inventories facilitate rapid records retrieval.

PUBLIC RECORDS STORAGE GUIDELINES

Paper manufactured since the late 18th century has a high acid content, which causes it to become weak, brittle, and discolored over time. Poor storage conditions can accelerate this damage.

RECORDS MAJOR CAUSES OF DETERIORATION

HEAT affects paper records by increasing the rate of reaction time for chemicals that they have absorbed. Heat can warp magnetic tapes and disks and can cause the recording emulsions to separate from the carrier bases of all photographic media.

HUMIDITY by itself does not harm most recording media, including paper. In fact, without some moisture, paper and some other media such as film lose flexibility, and become brittle and susceptible to damage. However, high humidity, combined with heat, promotes mold growth. Wide variations in humidity can also be damaging, especially to paper. When the moisture content of paper changes, the individual fibers expand or contract, weakening the paper cell structure and accelerating deterioration.

LIGHT, particularly ultraviolet light, reacts photo-chemically with impurities in paper such as acids, glues, starch, and dyes. The product of this reaction is oxidization of the fibers, causing yellowing, brittleness, and weakening of the paper by breaking the molecular chains in the cellulose. Long-term exposure to ultraviolet light will cause fading of photographic dyes and almost all writing and printing inks.

INSECTS AND RODENTS attack books and paper. Silverfish, bookworms, termites, book lice, cockroaches feed on cellulose, leather, glues and clothe. Mice, rats, and squirrels will shred paper, leather, and vellums for nest-building purposes, and the acids in their droppings can damage paper.

ACIDS are introduced to paper during manufacture and later by contact with atmospheric pollutants or unsuitable storage containers, folders, wood shelving, and other paper records. These chemicals react with moisture absorbed by the paper. This process called hydrolysis produces acids that break down paper fibers and cause brittleness and, ultimately, disintegration. Hydrolysis is characterized by yellowing, as often seen in newsprint.

The following page gives guidelines for insuring that your records will be usable for the duration of their required retention.

PRESERVATION RECOMMENDATIONS

Media Type	Environmental Controls			Safety & Protection Controls			
	Temperature & Relative Humidity	Air Quality Requirements	Lighting Specifications	Fire	Security	Housing	Containers
Paper records	Not to exceed 78°F & 60% RH	Well Ventilated	Ambient Light	Heat/smoke detection Fire Alarms Sprinkler system Extinguishers	Intruder resistant Area controlled access	Coated metal shelves (maps, plans, charts – Use plan cabinets and rolled or vertical storage is acceptable)	Tough, clean folders or containers
Archival paper records (Retained for over 25 yrs or not yet appraised)	Not to exceed 68°F & 60% RH	Filtered to exclude: dust and other particles, acidic and oxidizing gases, well ventilated	UV filtered fluorescent lighting timer controlled switches	Heat/smoke detection Fire Alarms Sprinkler system Extinguishers	24 hour physical or electronic surveillance Alarm systems Controlled access	Powder coated or baked enamel metal shelves (maps, plans, charts – Use plan cabinets – flat storage	Archival quality a free box
Audio Visual/Photographic records (Black & white or color)	Not to exceed 68°F & 60% RH	Well Ventilated	Ambient Light	Heat/smoke detection Fire Alarms Sprinkler system Extinguishers	Intruder resistant Area controlled access	Coated metal shelves	Tough, clean folders or containers
Archival audio-visual/photographic records (Retained for over 25 yrs or not yet appraised)	Black & White: 60°F & 35% RH Color: 41°F 35%RH +-2%	Black/White NB degrading cellulose acetate or nitrate films must be isolated from other records Color: must be acclimatized before and after cold storage	Ambient Light	Very early smoke detection apparatus Fire alarms Extinguishers Gas flooding or sprinkler systems	24 hour physical or electronic surveillance Alarm systems Controlled access	NB glass plates require stationary shelving and vertical storage. (Color may be in a freezer/refrigerator)	Archival quality containers that may require additional shock protection
Magnetic records	Not to exceed 68°F & 60% RH	Well Ventilated	UV filtered fluorescent lighting timer controlled switches	Heat/smoke detection Fire Alarms Sprinkler system Extinguishers	Intruder resistant Area controlled access	Non-magnetisable shelving	Non-magnetisable, sealed containers, cassette cases or sleeves
Optical records	Not to exceed 68°F or 60% RH	Well Ventilated	Ambient Light	Heat/smoke detection Fire Alarms Sprinkler system Extinguishers	Intruder resistant Area controlled access	Coated metal shelves	Clean, tough containers or boxes
Archival Magnetic or Optical records (Retained for over 25 yrs or not yet appraised)	Maximum stability required 65°F 35%RH+-2%	NB degrading cellulose acetate or nitrate films must be isolated from other records - must be acclimatized before and after cold storage	UV filtered fluorescent lighting timer controlled switches	Very early smoke detection apparatus Fire alarms Extinguishers Gas flooding or sprinkler systems	24 hour physical or electronic surveillance Alarm systems Controlled access	Powder coated or baked enamel metal shelves	Archival quality container boxes
Miscellaneous (Gramophone, disk, models, objects, mixed media items)	Not to exceed 68°F or 60% RH	Well Ventilated	Ambient Light	Heat/smoke detection Fire Alarms Sprinkler system Extinguishers	Intruder resistant Area controlled access	Coated metal shelves	Clean, tough containers or boxes
Archival Miscellaneous Records (Gramophone, disk, models, objects, mixed media items- retained for over 25 yrs or not yet appraised)	Maximum stability required Not to exceed 68°F or 50% RH +-2%	NB degrading cellulose acetate or nitrate films must be isolated from other records - must be acclimatized before and after cold storage	UV filtered fluorescent lighting timer controlled switches	Very early smoke detection apparatus Fire alarms Extinguishers Gas flooding or sprinkler systems	24 hour physical or electronic surveillance Alarm systems Controlled access	Powered coated or baked enamel metal shelves	Archival quality container boxes

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Local Government General Records Retention Schedules

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GENERAL SCHEDULE INDEX

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GLOSSARY

ACCESSION	The act and procedures involved in a transfer of legal title and the taking of records or papers into the physical custody of an archival agency. 2) The materials involved in such a transfer of custody.
ACTIVE RECORDS	Records that are referenced more than once per month per file drawer are considered active. Active records should be maintained in the of fice
ADMINISTRATIVE FILES	Records documenting the operation, management, and administration of an office; usually distinguished from program records that relate to the office's primary function.
ADMINISTRATIVE VALUE	The usefulness of a specific records series for the administration of current or future business.
ALPHABETICAL FILING	Arrangement of records according to the alphabet; used mainly for files referred to by name or topic.
ARCHIVES	The records, which have passed their retention requirement, that are transferred to archival custody and preserved because of their continuing historical research value. The agency responsible for selecting, preserving, and providing public access to archival records. The building in which archival records are preserved and referenced.
CASE FILES	*See Project Files*
CD-ROM -	*See Compact Disk, or Read-Only Memory*
CENTRALIZED FILES	The files of several offices or organizational units physically or function that are centralized and supervised in one location.
CHRONOLOGICAL FILING	Arrangement of records according to date.
CODING	Marking a file code on a document prior to filing.
COMPACT DISK	A machine-readable medium used to reproduce records for rapid retrieval.
CONVENIENCE FILES	Extra copies of records created and kept for quick reference.
CORRESPONDENCE	Any format of information that is an addressed, written communication to or from an agency or its employees
CUSTODY (OF RECORDS)	The guardianship of records that includes both physical possession and legal title.
CUT-OFF	The termination of files at regular intervals to permit their transfer, retirement, or disposal in complete blocks. Under this process, a file is terminated regularly at the end of a specified period of time or event, and a new file established
DECENTRALIZED FILES	Files that are created, used, maintained and controlled in or near the office of record.
DISPOSITION	Any manner or method of changing the custody, location, or physical state of records. Includes transfer, microfilming, duplication and destruction.
DISPOSITION AUTHORITY NUMBER (DAN)	The control numbers assigned to records retention schedules and general records retention schedules approved by the Local Records Committee.
ELECTRONIC RECORDS	Records created and/or stored by electronic means, usually on computer systems.

ESSENTIAL (VITAL) RECORDS	Records essential to: Protect the legal rights of clients, property owners, students and other citizens The resumption and/or continuation of agency operations; The re-creation of the legal and financial status of the agency; or The fulfillment of obligations to local, state, and federal governments and outside interests.
FILE CLASSIFICATION	*See Primary, Secondary, and Tertiary*
FILE PLAN	A listing of all records series held at each file station, including retention periods, file codes, methods of filing, and disposition instructions.
FISCAL VALUE	The usefulness of a specific records series for the documentation of an agency's financial transactions and obligations.
GENERAL RECORDS RETENTION SCHEDULE	A schedule, listing and assigning minimum retention periods to individual records series, which is approved for all local government agencies, or particular types of agencies, by the Local Records Committee. General records retention schedules provide the agencies they cover with continuing blanket authority for the disposition of commonly held records according to their assigned retention periods.
GEOGRAPHICAL FILING	Arrangement of records according to geographical area, alphabetically
GUIDE	A card or tab divider used in filing systems to identify sections and/or sub-sections of the file. Guides provide physical support and aid in filing and finding individual records
HISTORICAL VALUE	The usefulness of a specific records series for historical research. Typically, 1% to 5% of an agency's total records have historical value.
IMAGING	The act of reproducing records on digital, or micrographic media.
INACTIVE RECORDS	Records with a reference rate of less than one search per file drawer per month. Such records may be transferred to an inactive records storage center.
INVENTORY	1) A descriptive listing of records series held by an office or file station, including such data as title, inclusive dates, quantity, arrangement, relationships to other series, and description of significant subject content; 2.) A survey of records conducted prior to disposition or the development of a records retention schedule
LEGAL VALUE	The usefulness of specific records series as documentation of an agency's legally enforceable rights and obligations
LOCAL RECORDS COMMITTEE	The body established by the Public Records Act, RCW 40.14.070, to review and approve disposition of local government records. It includes the State Archivist and one representative each from the Offices of the State Attorney General and State Auditor.
MACHINE-READABLE RECORDS	*See Electronic Records and Optical Disc*
MATERIAL WITH NO RETENTION VALUE	Material that does not need to be filed or that may be destroyed after a short retention. This includes drafts, worksheets, routine replies, telephone messages, blank forms, publications, and extra copies of documents created for convenience or public distribution.
MICROFILM	A high-resolution photographic film used to record reduced-size images from original records. The act of recording microphotographs on film.
NUMERICAL FILING	Arrangement of records in sequence according to document number.
OFM (OFFICE FILES AND MEMORANDA)	A public records classification provided by RCW 40.14 that identifies records that have purely administrative value.

OPR (Official Public Record)	A public records classification provided by RCW 40.14 that identifies records that have significant legal or fiscal value.
OPTICAL DISK	A machine-readable medium used to reproduce records for rapid retrieval.
OUT-CARD	A guide card used to indicate that records have been taken from the file. Identify the specific item/file, date, and name of the person temporarily holding the record with an "out-card".
PERMANENT RECORDS	Records that have sufficient legal, fiscal, and/or historical value, to be retained forever.
PRIMARY FILING CLASSIFICATION	The most general category under which records can be sorted and arranged for filing. Primary filing classifications should be defined by the function and retention requirements.
PRIMARY RECORD COPY	The original or official copy of a records series
PROJECT (CASE) FILES	Groups of documents that pertain to a particular action, event, person, or place. May consist of correspondence, form records, memoranda, reports, or a combination of such records.
PROPRIETARY RECORDS	Records containing information of a confidential or highly sensitive nature require destruction by shredding, to eliminate the possibility of illegal or undesirable disclosure.
PURGING	*See Screening*
READ-ONLY MEMORY (ROM)	Electronic record storage systems that allow for research or "reading" access but protect the record from additional entries or alterations.
READING (DAY) FILE	A file of extra copies of outgoing correspondence arranged in chronological order.
RECORDS	Papers (reports, correspondence, legal documents, etc.), photographs, magnetic tape, microfilm, sound recordings, maps, drawings, or other documents, regardless of physical form or characteristics, and including all copies thereof, either organized or received by an institution.
RECORDS CENTER	A low-cost facility for the organized and controlled storage, maintenance, retrieval, and disposition of inactive or non-current records
RECORDS COORDINATOR	Assist Records Officer
RECORDS MANAGEMENT	The management function concerned with the efficient, systematic control of records from their creation to their ultimate disposition.
RECORDS OFFICER	The individual responsible for an agency's records management procedures, including retention scheduling, files organization, records storage, and destruction.
RECORDS RETENTION SCHEDULE	A schedule, listing and assigning minimum retention periods to individual records series, which is approved for a specific agency by the Local Records Committee. A records retention schedule provides the agency for which it is approved continuing records disposition authority.
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
REFERENCE FILES	Publications, books, periodicals, catalogs, bulletins, reports, maps, theses, tapes, films, photographs, and other materials that are needed as informational resources but are not part of the main body of files.
RETENTION PERIOD	The minimum amount of time required for the retention of a records series on a records retention schedule or general records retention schedule approved by the Local records Committee.

ROM	*See Read-Only Memory*
SCREENING	Removal of individual papers or folders from a group of records, usually to permit disposal of parts of the file, and retention or transfer of the rest. Also known as purging or weeding.
SECONDARY FILING CLASSIFICATION	The second most general class of filing category under which records can be sorted or arranged for filing; subsidiary to primary classification
SUBJECT FILE	A file in which documents are arranged alphabetically by general subject or topic.
SUSPENSE FILE	A file in which documents are arranged chronologically by a future date of recall, to remind the user of future tasks and events. Also known as a tickler file.
TERTIARY FILING CLASSIFICATION	The least general, most specific filing category under which records can be sorted and arranged for filing; subsidiary to secondary classification.
TICKLER FILE	*See Suspense File*
TRANSACTIONAL FILES	Records documenting the unique daily transactions or activities of an office that distinguish its primary functions.
TRANSITORY FILE	A file of routine correspondence and other records with short-term value. Its retention period is limited to the interval required for completion of specific actions covered by individual pieces of correspondence.
TRANSMITTAL	Documentation authorizing the disposal, transfers to inactive storage, or transfer to archival storage of public records.
VITAL RECORDS	*See Essential Records*
WORKING FILE	A file of rough notes, calculations, or preliminary drafts that are assembled and used in the preparation or analysis of other documents; usually retained in desk files or filed separately until project completion

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RCWS PERTAINING TO RECORDS MANAGEMENT

CHAPTER 40.10 – ESSENTIAL RECORDS

RCW 40.10.010
Essential records -- Designation -- List -- Security and protection -- Reproduction.

In order to provide for the continuity and preservation of civil government, each elected and appointed officer of the state shall designate those public documents which are essential records of his office and needed in an emergency and for the reestablishment of normal operations after any such emergency. A list of such records shall be forwarded to the state archivist on forms prescribed by the state archivist. The elected or appointed officer to insure its completeness shall review this list at least annually. Any changes or revisions following this review shall be forwarded to the state archivist. Each such elected and appointed officer of state government shall insure that the security of essential records of his office is by the most economical means commensurate with adequate protection. Protection of essential records may be by vaulting, planned or natural dispersal of copies, or any other method approved by the state archivist. Reproductions of essential records may be by photocopy, magnetic tape, microfilm or other method approved by the state archivist. Local government offices may coordinate the protection of their essential records with the state archivist as necessary to provide continuity of local government under emergency conditions.

[1982 c 36 § 1; 1973 c 54 § 1; 1963 c 241 § 1.]

NOTES:

Sever ability -- 1973 c 54: "If any provision of this 1973 amendatory act, or its application to any person or circumstance is held invalid, the remainder of the act, or the application of the provision to other persons or circumstances is not affected." [1973 c 54 § 6.]

RCW 40.10.020
Essential records -- Reproduction and storage -- Coordination of protection program -- Fees

The state archivist is authorized to reproduce those documents designated as essential records by the several elected and appointed officials of the state and local government by microfilm or other miniature photographic process and to assist and cooperate in the storage and safeguarding of such reproductions in such place as is recommended by the state archivist with the advice of the director of community, trade, and economic development. The state archivist shall coordinate the essential records protection program and shall carry out the provisions of the state emergency plan as they relate to the preservation of essential records. The state archivist is authorized to charge the several departments of the state and local government the actual cost incurred in reproducing, storing and safeguarding such documents: PROVIDED, That nothing herein shall authorize the destruction of the originals of such documents after reproduction thereof.

[1995 c 399 § 58; 1986 c 266 § 45; 1985 c 7 § 106; 1982 c 36 § 2; 1973 c 54 § 2; 1963 c 241 § 2.]

NOTES:

Severability -- 1986 c 266: See note following RCW 38.52.005.

CHAPTER 40.14 RCW – PERSERVATION & DESTRUCTION OF PUBLIC RECORDS

Sections

40.14.010 Definition and classification of public records
40.14.020 Division of archives and records management—State archivist--Powers and duties --Duties of public officials
40.14.025 Division of archives and records management-- Allocation of costs of services --Archives and records management account

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40.14.040 Records officers --Designation--Powers and duties
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40.14.100 Legislative records --Defined
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40.14.130 Legislative records --Duties of legislative officials, employees and state archivist--Delivery of records--Custody--Availability.
40.14.140 Legislative records --Party caucuses to be advised--Information and instructions.
40.14.150 Legislative records --Use for research.
40.14.160 Legislative records --Rules for access to records
40.14.170 Legislative records --Sound recordings
40.14.180 Legislative records --Construction--Confidentiality of bill drafting records.

NOTES: Materials specifically authorized to be printed and distributed by secretary of state: RCW 43.07.140.

RCW 40.14.010

Definition and classification of public records

As used in this chapter, the term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business, and legislative records as described in RCW 40.14.100.

For the purposes of this chapter, public records shall be classified as follows:

(1) Official public records shall include all original vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and public income from all sources whatsoever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records or documents required by law to be filed with or kept by any agency of the state of Washington; all legislative records as defined in RCW 40.14.100; and all other documents or records determined by the records committee, created in RCW 40.14.050, to be official public records.

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

[1996 c 71 § 1; 1982 c 36 § 3; 1981 c 32 § 4; 1971 ex.'s. c 102 § 1; 1957 c 246 § 1.]

RCW 40.14.020

Division of archives and records management -- State archivist -- Powers and duties -- Duties of public officials

All public records shall be and remain the property of the state of Washington. They shall be delivered by outgoing officials and employees to their successors and shall be preserved, stored, transferred, destroyed or disposed of, and otherwise managed, only in accordance with the provisions of this chapter. In order to insure the proper management and safeguarding of public records, the division of archives and records management is established in the office of the secretary of state. The state archivist, who shall administer the division and have reasonable access to all public records, wherever kept, for purposes of information, surveying, or cataloguing, shall undertake the following functions, duties, and responsibilities:

(1) To manage the archives of the state of Washington;
(2) To centralize the archives of the state of Washington, to make them available for reference and scholarship, and to insure their proper preservation;
(3) To inspect, inventory, catalog, and arrange retention and transfer schedules on all record files of all state departments and other agencies of state government;
(4) To insure the maintenance and security of all state public records and to establish safeguards against unauthorized removal or destruction;
(5) To establish and operate such state record centers as may from time to time be authorized by appropriation, for the purpose of preserving, servicing, screening and protecting all state public records which must be preserved temporarily or permanently, but which need not be retained in office space and equipment;
(6) To adopt rules under chapter 34.05 RCW:
(a) Setting standards for the durability and permanence of public records maintained by state and local agencies;
(b) Governing procedures for the creation, maintenance, transmission, cataloging, indexing, storage, or reproduction of photographic, optical, electronic, or other images of public documents or records in a manner consistent with current standards, policies, and procedures of the department of information services for the acquisition of information technology;
(c) Governing the accuracy and durability of, and facilitating access to, photographic, optical, electronic, or other images used as public records; or
(d) To carry out any other provision of this chapter;
(7) To gather and disseminate to interested agencies information on all phases of records management and current practices, methods, procedures, techniques, and devices for efficient and economical management and preservation of records;
(8) To operate a central microfilming bureau which will microfilm, at cost, records approved for filming by the head of the office of origin and the archivist; to approve microfilming projects undertaken by state departments and all other agencies of state government; and to maintain proper standards for this work;
(9) To maintain necessary facilities for the review of records approved for destruction and for their economical disposition by sale or burning; directly to supervise such destruction of public records as shall be authorized by the terms of this chapter; [and]
(10) To assist and train state and local agencies in the proper methods of creating, maintaining, cataloging, indexing, transmitting, storing, and reproducing photographic, optical, electronic, or other images used as public records.
[1995 c 326 § 1. Prior: 1991 c 237 § 4; 1991 c 184 § 1; 1986 c 275 § 1; 1983 c 84 § 1; 1981 c 115 § 1; 1957 c 246 § 2.]
NOTES:
Effective date -- 1991 c 237: See note following RCW 43.07.220.
Effective date -- 1981 c 115: "This act is necessary for the immediate preservation of the public peace, health, and safety, the support of the state government and its existing public institutions, and shall take effect July 1, 1981." [1981 c 115 § 10.]

RCW 40.14.025
Division of archives and records management -- Allocation of costs of services -- Archives and records management account
(1) The secretary of state and the director of financial management shall jointly establish a procedure and formula for allocating the costs of services provided by the division of archives and records management to state agencies. The total amount allotted for services to state agencies shall not exceed the appropriation to the archives and records management account during any allotment period.
[(2)] There is created the archives and records management account in the state treasury which shall consist of all fees and charges collected under this section, RCW 36.22.175, and 40.14.027. The account shall be appropriated exclusively for the payment of costs and expenses incurred in the operation of the division of archives and records management as specified by law.
[1996 c 245 § 3; 1991 sp.s. c 13 § 5; 1985 c 57 § 22; 1981 c 115 § 4.]
NOTES:
Effective date -- 1996 c 245: See note following RCW 36.22.175.
Effective dates -- Sever ability -- 1991 sp.s. c 13: See notes following RCW 18.08.240.

Effective date -- 1985 c 57: See note following RCW 18.04.105.
Effective date -- 1981 c 115: See note following RCW **40.14.020**.

RCW 40.14.027
Public archives and records management services -- Judgment debtor surcharge.
State agencies shall collect a surcharge of twenty dollars from the judgment debtor upon the satisfaction of a warrant filed in superior court for unpaid taxes or liabilities. The surcharge is imposed on the judgment debtor in the form of a penalty in addition to the filing fee provided in RCW 36.18.012(3). The surcharge revenue shall be transmitted to the state treasurer for deposit in the archives and records management account. Surcharge revenue deposited in the archives and records management account shall be expended by the secretary of state exclusively for disaster recovery, essential records protection services, and records management training for local government agencies by the division of archives and records management. The secretary of state shall, with local government representatives, establish a committee to advise the state archivist on the local government archives and records management program.
[1996 c 245 § 4; 1995 c 292 § 17; 1994 c 193 § 2.]
NOTES:
Effective date -- 1996 c 245: See note following RCW 36.22.175.
Findings -- 1994 c 193: "The legislature finds that: (1) Accountability for and the efficient management of local government records are in the public interest and that compliance with public records management requirements significantly affects the cost of local government administration; (2) the secretary of state is responsible for insuring the preservation of local government archives and may assist local government compliance with public records statutes; (3) as provided in RCW 40.14.025, all archives and records management services provided by the secretary of state are funded exclusively by a schedule of fees and charges established jointly by the secretary of state and the director of financial management; (4) the secretary of state's costs for preserving and providing public access to local government archives and providing records management assistance to local government agencies have been funded by fees paid by state government agencies; (5) local government agencies are responsible for costs associated with managing, protecting, and providing public access to the records in their custody; (6) local government should help fund the secretary of state's local government archives and records management services; (7) the five-dollar fee collected by county clerks for processing warrants for unpaid taxes or liabilities filed by the state of Washington is not sufficient to cover processing costs and is far below filing fees commonly charged for similar types of minor civil actions; (8) a surcharge of twenty dollars would bring the filing fee for warrants for the collection of unpaid taxes and liabilities up to a level comparable to other minor civil filings and should be applied to the support of the secretary of state's local government archives and records services without placing an undue burden on local government; and (9) the process of collecting and transmitting surcharge revenue should not have an undue impact on the operations of the state agencies that file warrants for the collection of unpaid taxes and liabilities or the clerks of superior court who process them." [1994 c 193 § 1.]
Effective date -- 1994 c 193: "This act shall take effect July 1, 1994." [1994 c 193 § 3.]

RCW 40.14.030
Transfer to state archives -- Certified copies, cost.
All public records, not required in the current operation of the office where they are made or kept, and all records of every agency, commission, committee, or any other activity of state government which may be abolished or discontinued, shall be transferred to the state archives so that the valuable historical records of the state may be centralized, made more widely available, and insured permanent preservation: PROVIDED, That this section shall have no application to public records approved for destruction under the subsequent provisions of this chapter.
When so transferred, copies of the public records concerned shall be made and certified by the archivist, which certification shall have the same force and effect as though made by the officer originally in charge of them. Fees may be charged to cover the cost of reproduction. In turning over the archives of his office, the officer in charge thereof, or his successor, thereby loses none of his rights of access to them, without charge, whenever necessary.
[1957 c 246 § 3.]
NOTES:
Columbia River boundary compact, transfer of records to division of archives: RCW 43.58.070

RCW 40.14.040
Records officers -- Designation -- Powers and duties
Each department or other agency of the state government shall designate a records officer to supervise its records program and to represent the office in all contacts with the records committee, hereinafter created, and the division of archives and records management. The records officer shall:
(1) Coordinate all aspects of the records management program.
(2) Inventory, or manage the inventory, of all public records at least once during a biennium for disposition scheduling and transfer action, in accordance with procedures prescribed by the state archivist and state records committee: PROVIDED, That essential records shall be inventoried and processed in accordance with chapter 40.10 RCW at least annually.
(3) Consult with any other personnel responsible for maintenance of specific records within his state organization regarding records retention and transfer recommendations.
(4) Analyze records inventory data, examine and compare divisional or unit inventories for duplication of records, and recommend to the state archivist and state records committee minimal retentions for all copies commensurate with legal, financial and administrative needs.
(5) Approve all records inventory and destruction requests that are submitted to the state records committee.
(6) Review established records retention schedules at least annually to insure that they are complete and current.
(7) Exercise internal control over the acquisition of filming and file equipment.
If a particular agency or department does not wish to transfer records at a time previously scheduled therefore, the records officer shall, within thirty days, notify the archivist and request a change in such previously set schedule, including his reasons therefore.
[1982 c 36 § 4; 1979 c 151 § 51; 1973 c 54 § 3; 1957 c 246 § 4.]

RCW 40.14.050
Records committee -- Composition, travel expenses, meetings, powers and duties -- Retention schedules.
There is created a committee, to be known as the records committee, composed of the archivist, an appointee of the state auditor, an appointee of the attorney general, and an appointee of the director of financial management. Committee members shall serve without additional salary, but shall be entitled to travel expenses incurred in accordance with RCW 43.03.050 and 43.03.060 as now existing or hereafter amended. Such expenses shall be paid from the appropriations made for operation of their respective departments or offices.
The records committee shall meet at least once every quarter or oftener as business dictates. Action by the committee shall be by majority vote and records shall be kept of all committee business.
It shall be the duty of the records committee to approve, modify or disapprove the recommendations on retention schedules of all files of public records and to act upon requests to destroy any public records: PROVIDED, That any modification of a request or recommendation must be approved by the head of the agency originating the request or recommendation.
The division of archives and records management shall provide forms, approved by the records committee, upon which it shall prepare recommendations to the committee in cooperation with the records officer of the department or other agency whose records are involved.
[1985 c 192 § 1; 1975-'76 2nd ex.s. c 34 § 83; 1957 c 246 § 5.]
NOTES:
Effective date -- Sever ability -- 1975-'76 2nd ex.s. c 34: See notes following RCW 2.08.115.

RCW 40.14.060
Destruction, disposition of official public records or office files and memoranda -- Record retention schedules
(1) Any destruction of official public records shall be pursuant to a schedule approved under RCW 40.14.050. Official public records shall not be destroyed unless:
(a) Except as provided under RCW 40.14.070(2)(b), the records are six or more years old;
(b) The department of origin of the records has made a satisfactory showing to the state records committee that the retention of the records for a minimum of six years is both unnecessary and uneconomical, particularly if

lesser federal retention periods for records generated by the state under federal programs have been established; or
(c) The originals of official public records less than six years old have been copied or reproduced by any photographic or other process approved by the state archivist which accurately reproduces or forms a durable medium for so reproducing the original.
(2) Any lesser term of retention than six years must have the additional approval of the director of financial management, the state auditor and the attorney general, except when records have federal retention guidelines the state records committee may adjust the retention period accordingly. An automatic reduction of retention periods from seven to six years for official public records on record retention schedules existing on June 10, 1982, shall not be made, but the same shall be reviewed individually by the state records committee for approval or disapproval of the change to a retention period of six years.
Recommendations for the destruction or disposition of office files and memoranda shall be submitted to the records committee upon approved forms prepared by the records officer of the agency concerned and the archivist. The committee shall determine the period of time that any office file or memorandum shall be preserved and may authorize the division of archives and records management to arrange for its destruction or disposition.
[1999 c 326 § 1; 1982 c 36 § 5; 1979 c 151 § 52; 1973 c 54 § 4; 1957 c 246 § 6.]

RCW 40.14.070
Destruction, disposition of local government records -- Preservation for historical interest -- Local records committee, duties -- Record retention schedules.
(1)(a) County, municipal, and other local government agencies may request authority to destroy noncurrent public records having no further administrative or legal value by submitting to the division of archives and records management lists of such records on forms prepared by the division. The archivist, a representative appointed by the state auditor, and a representative appointed by the attorney general shall constitute a committee, known as the local records committee, which shall review such lists and which may veto the destruction of any or all items contained therein.
(b) A local government agency, as an alternative to submitting lists, may elect to establish a records control program based on recurring disposition schedules recommended by the agency to the local records committee. The schedules are to be submitted on forms provided by the division of archives and records management to the local records committee, which may either veto, approve, or amend the schedule. Approval of such schedule or amended schedule shall be by unanimous vote of the local records committee. Upon such approval, the schedule shall constitute authority for the local government agency to destroy the records listed thereon, after the required retention period, on a recurring basis until the schedule is either amended or revised by the committee.
(2)(a) Except as otherwise provided by law, no public records shall be destroyed until approved for destruction by the local records committee. Official public records shall not be destroyed unless:
(i) The records are six or more years old;
(ii) The department of origin of the records has made a satisfactory showing to the state records committee that the retention of the records for a minimum of six years is both unnecessary and uneconomical, particularly where lesser federal retention periods for records generated by the state under federal programs have been established; or
(iii) The originals of official public records less than six years old have been copied or reproduced by any photographic, photo static, microfilm, miniature photographic, or other process approved by the state archivist which accurately reproduces or forms a durable medium for so reproducing the original.
An automatic reduction of retention periods from seven to six years for official public records on record retention schedules existing on June 10, 1982, shall not be made, but the same shall be reviewed individually by the local records committee for approval or disapproval of the change to a retention period of six years.
The state archivist may furnish appropriate information, suggestions, and guidelines to local government agencies for their assistance in the preparation of lists and schedules or any other matter relating to the retention, preservation, or destruction of records under this chapter. The local records committee may adopt appropriate regulations establishing procedures to be followed in such matters.
Records of county, municipal, or other local government agencies, designated by the archivist as of primarily historical interest, may be transferred to a recognized depository agency.

(b) Records of investigative reports prepared by any state, county, municipal, or other law enforcement agency pertaining to sex offenders contained in chapter 9A.44 RCW or sexually violent offenses as defined in RCW 71.09.020 that are not required in the current operation of the law enforcement agency or for pending judicial proceedings shall, following the expiration of the applicable schedule of the law enforcement agency's retention of the records, be transferred to the Washington association of sheriffs and police chiefs for permanent electronic retention and retrieval. Upon electronic retention of any document, the association shall be permitted to destroy the paper copy of the document.
(c) Any record transferred to the Washington association of sheriffs and police chiefs pursuant to (b) of this subsection shall be deemed to no longer constitute a public record pursuant to RCW 42.17.020 and shall be exempt from public disclosure. Such records shall be disseminated only to criminal justice agencies as defined in RCW 10.97.030 for the purpose of determining if a sex offender met the criteria of a sexually violent predator as defined in chapter 71.09 RCW.
[1999 c 326 § 2; 1995 c 301 § 71; 1982 c 36 § 6; 1973 c 54 § 5; 1971 ex.s. c 10 § 1; 1957 c 246 § 7.]
NOTES:
Copying, preserving, and indexing of documents recorded by county auditor: RCW 36.22.160 through 36.22.190.Destruction and reproduction of court records: RCW 36.23.065 through 36.23.070.

RCW 40.14.080
Chapter not to affect other laws.
The provisions of this chapter shall not be construed as repealing or modifying any other acts or parts of acts authorizing the destruction of public records save for those specifically named in *section 9 of this act; nor shall this chapter affect the provisions of chapter 40.07 RCW requiring the deposit of all state publications in the state library. [1983 c 3 § 84; 1957 c 246 § 8.] **NOTES: *Reviser's note:** "section 9 of this

RCW 40.14.100
Legislative records -- Defined.
As used in RCW 40.14.010 and 40.14.100 through 40.14.180, unless the context requires otherwise, "legislative records" shall be defined as correspondence, amendments, reports, and minutes of meetings made by or submitted to legislative committees or subcommittees and transcripts or other records of hearings or supplementary written testimony or data thereof filed with committees or subcommittees in connection with the exercise of legislative or investigatory functions, but does not include the records of an official act of the legislature kept by the secretary of state, bills and their copies, published materials, digests, or multi-copied matter which are routinely retained and otherwise available at the state library or in a public repository, or reports or correspondence made or received by or in any way under the personal control of the individual members of the legislature.
[1971 ex.s. c 102 § 2.]

RCW 40.14.110
Legislative records -- Contribution of papers by legislators and employees
Nothing in RCW 40.14.010 and 40.14.100 through 40.14.180 shall prohibit a legislator or legislative employee from contributing his personal papers to any private library, public library, or the state archives. The state archivist is authorized to receive papers of legislators and legislative employees and is directed to encourage the donation of such personal records to the state. The state archivist is authorized to establish such guidelines and procedures for the collection of personal papers and correspondence relating to the legislature as he sees fit. Legislators and legislative employees are encouraged to contribute their personal papers to the state for preservation.
[1971 ex.'s. c 102 § 3.]

RCW 40.14.120
Legislative records -- "Clerk," "secretary" defined.
As used in RCW 40.14.010 and 40.14.100 through 40.14.180 "clerk" means clerk of the Washington state house of representatives and "secretary" means the secretary of the Washington state senate.
[1971 ex.'s. c 102 § 4.]

RCW 40.14.130

Legislative records -- Duties of legislative officials, employees and state archivist -- Delivery of records -- Custody -- Availability.

The legislative committee chairman, subcommittee chairman, committee member, or employed personnel of the state legislature having possession of legislative records that are not required for the regular performance of official duties shall, within ten days after the adjournment sine die of a regular or special session, deliver all such legislative records to the clerk of the house or the secretary of the senate.

The clerk of the house and the secretary of the senate are charged to include requirements and responsibilities for keeping committee minutes and records as part of their instructions to committee chairmen and employees.

The clerk or the secretary, with the assistance of the state archivist, shall classify and arrange the legislative records delivered to the clerk or secretary in a manner that he considers best suited to carry out the efficient and economical utilization, maintenance, preservation, and disposition of the records. The clerk or the secretary may deliver to the state archivist all legislative records in his possession when such records have been classified and arranged and are no longer needed by either house. The state archivist shall thereafter be custodian of the records so delivered, but shall deliver such records back to either the clerk or secretary upon his request.

The chairman, member, or employee of a legislative interim committee responsible for maintaining the legislative records of that committee shall, on a scheduled basis agreed upon by the chairman, member, or employee of the legislative interim committee, deliver to the clerk or secretary all legislative records in his possession, as long as such records are not required for the regular performance of official duties. He shall also deliver to the clerk or secretary all records of an interim committee within ten days after the committee ceases to function.

[1971 ex.'s. c 102 § 5.]

RCW 40.14.140

Legislative records -- Party caucuses to be advised -- Information and instructions.

It shall be the duty of the clerk and the secretary to advise the party caucuses in each house concerning the necessity to keep public records. The state archivist or his representative shall work with the clerk and secretary to provide information and instructions on the best method for keeping legislative records.

[1971 ex.'s. c 102 § 6.]

RCW 40.14.150

Legislative records -- Use for research.

Committee records may be used by legislative employees for research at the discretion of the clerk or the secretary.

[1971 ex.'s. c 102 § 7.]

RCW 40.14.160

Legislative records -- Rules for access to records

The clerk or the secretary shall, with advice of the state archivist, prescribe rules for access to records more than three years old when such records have been delivered to the state archives for preservation and maintenance.

[1971 ex.s. c 102 § 8.]

RCW 40.14.170

Legislative records -- Sound recordings

Any sound recording of debate in the house or senate made by legislative employees shall be preserved by the chief clerk of the house and by the secretary of the senate, respectively, for two years from the end of the session at which made, and thereafter shall be transmitted to the state archivist. The chief clerk and the secretary shall catalogue or index the recordings in their custody according to a uniform system, in order to allow easy access to the debate on specific questions before either house, and shall make available to any court of record, at the cost of reproduction, such portions of the recordings as the court may request.

[1971 ex.s. c 102 § 9.]

RCW 40.14.180
Legislative records -- Construction -- Confidentiality of bill drafting records.
The provisions of RCW 40.14.010 and 40.14.100 through 40.14.180 shall not be construed as repealing or modifying any other acts or parts of acts authorizing the retention or destruction of public records nor shall RCW 40.14.010 and 40.14.100 through 40.14.180 affect the provisions of chapter 40.07 RCW requiring the deposit of all state publications in the state library nor shall it affect the confidentiality of the bill drafting records of the code reviser's office.
[1983 c 3 § 85; 1971 ex.s. c 102 § 10.]

CHAPTER 40.16 – PENAL PROVISIONS

RCW 40.16.010
INJURY TO PUBLIC RECORD.

Every person who shall willfully and unlawfully remove, alter, mutilate, destroy, conceal, or obliterate a record, map, book, paper, document, or other thing filed or deposited in a public office, or with any public officer, by authority of law, shall be punished by imprisonment in a state correctional facility for not more than five years, or by a fine of not more than one thousand dollars, or by both.

[1992 c 7 § 34; 1909 c 249 § 95; RRS § 2347.]

RCW 40.16.020
Injury to and misappropriation of record

Every officer who shall mutilate, destroy, conceal, erase, obliterate, or falsify any record or paper appertaining to the officer's office, or who shall fraudulently appropriate to the officer's own use or to the use of another person, or secrete with intent to appropriate to such use, any money, evidence of debt or other property entrusted to the officer by virtue of the officer's office, shall be punished by imprisonment in a state correctional facility for not more than ten years, or by a fine of not more than five thousand dollars, or by both.

[1992 c 7 § 35; 1909 c 249 § 96; RRS § 2348.]

RCW 40.16.030
Offering false instrument for filing or record

Every person who shall knowingly procure or offer any false or forged instrument to be filed, registered, or recorded in any public office, which instrument, if genuine, might be filed, registered or recorded in such office under any law of this state or of the United States, shall be punished by imprisonment in a state correctional facility for not more than five years, or by a fine of not more than five thousand dollars, or by both.

[1992 c 7 § 36; 1909 c 249 § 97; RRS § 2349.]

CHAPTER 42.17 DISCLOSURE--CAMPAIGN FINANCES--

LOBBYING--RECORDS

42.17.021 Additional **definitions.** [1993 c 2 § 30 (Initiative Measure No. 134, approved November 3, 1992).] Repealed by 1995 c 397 § 34, effective July 1, 1995.

42.17.132 Restrictions **on mailings by incumbents.** [1997 c 320 § 1; 1995 c 397 § 5; 1993 c 2 § 25 (Initiative Measure No. 134, approved November 3, 1992).] Recodified as RCW 42.52.185 pursuant to 1997 c 320 § 2.

42.17.140 Campaign **expenditure limitations** [1973 c 1 § 14 (Initiative Measure No. 276 § 14).] Repealed by 1982 c 147 § 19.

42.17.195 Intergovernmental **information and communications--Reimbursement of employees for expenses incurred authorized--Reporting.** [1975-'76 2nd ex.s. c 112 § 14.] Repealed by 1977 ex.s. c 313 § 7.

42.17.2415 Reporting **gifts.** [1991 sp.s. c 18 § 3.] Repealed by 1995 c 397 § 34, effective July 1, 1995.

42.17.243 Public **office fund--What constitutes, restrictions on use--Reporting of--Disposal of remaining funds.** [1977 ex.s. c 336 § 5.] Repealed by 1993 c 2 § 35 (Initiative Measure No. 134, approved November 3, 1992).

NOTES:

Reviser's note: RCW 42.17.243 was amended by 1991 sp.s. c 18 § 4 without reference to its repeal by 1993 c 2 § 35 (Initiative Measure No. 134) It has been decodified for publication purposes under RCW 1.12.025.

42.17.261 Public **information access policy task force** [1994 c 40 § 4.] Repealed by 1999 c 151 § 801, effective July 1, 1999.

42.17.392 Civil **penalty for untimely filing--Payment--Waiver--Enforcement** [1975-'76 2nd ex.s. c 112 § 11.] Repealed by 1982 c 147 § 19.

42.17.630 Definitions [1993 c 2 § 3 (Initiative Measure No. 134, approved November 3, 1992).] Repealed by 1995 c 397 § 34, effective July 1, 1995.

CHAPTER 40.20 RCW - REPRODUCED RECORDS FOR GOVERNMENTS AND BUSINESS

RCW 40.20.010
"Business" defined.

For the purpose of this chapter, the term "business" shall mean and include business, industry, profession, occupation and calling of every kind.

[1949 c 223 § 3; Rem. Supp. 1949 § 1257-6.]

RCW 40.20.020
Reproduction by film or photograph

The head of any business or the head of any state, county or municipal department, commission, bureau or board may cause any or all records required or authorized by law to be made or kept by such official, department, commission, bureau, board, or business to be photographed, micro photographed, reproduced on film, or photocopied for all purposes of recording documents, plats, files or papers, or copying or reproducing such records. Such film or reproducing material shall be of permanent material and the device used to reproduce such records on such film or material shall be such as to accurately reproduce and perpetuate the original records in all details, and shall be approved for the intended purpose: PROVIDED, That the state archivist shall approve such material for state records use: PROVIDED, FURTHER, That the state auditor shall approve such material for use by local governmental subdivisions.

[1981 c 32 § 5; 1973 c 95 § 1; 1949 c 223 § 1; Rem. Supp. 1949 § 1257-4.]

RCW 40.20.030
Use as original.

Such photo static copy, photograph, microphotograph or photographic film record, or copy of the original records shall be deemed to be an original record for all purposes, and shall be admissible in evidence in all courts or administrative agencies. A facsimile, exemplification or certified copy thereof shall, for all purposes recited herein, be deemed to be a transcript, exemplification or certified copy of the original.

[1949 c 223 § 2; Rem. Supp. 1949 §

WACS PERTAINING TO RECORDS MANAGEMENT

PROMULGATION

WAC 434-600-010 General purpose These regulations are adopted under the provisions of chapter 40.14 RCW as amended by section 1, chapter 10, Laws of 1971 ex. sess. and chapter 54, Laws of 1973, in order to furnish procedures for the management, disposition, and preservation of public records of state and local agencies.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-600-010, filed 1/21/93, effective 2/21/93.]

DEFINITIONS

WAC 434-610-010 "Agency" defined. "Agency" means any department, office, commission, board, or division of state government; and any county, city, district, or other political subdivision or Municipal Corporation or any department, office, commission, court, or board or any other state or local government unit, however designated.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-010, filed 1/21/93, effective 2/21/93.]

WAC 434-610-020 "Public record" defined. "Public records" means any paper, correspondence, completed form, record book, photograph, map, or drawing, regardless of physical form or characteristics, and including records stored on magnetic, electronic, or optical media, and including all copies thereof, that have been made by any agency or received by it in connection with the transaction of public business. And includes any writing containing information relating to the conduct of government or the performance of government or proprietary function prepared, owned, used, or retained by the state or local agency regardless of physical form or characteristics.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-020, filed 1/21/93, effective 2/21/93.]

WAC 434-610-025 "Writing" defined. "Writing" means handwriting, typewriting, printing, Photostatting, photographing, and every other means of recording any form of communication or representation, including letters, words, pictures, sounds, symbols, or combinations thereof, and all papers, maps, magnetic tape, punched cards, discs, drums, and other documents.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-025, filed 1/21/93, effective 2/21/93.]

WAC 434-610-030 "Records classification" defined. "Records classification" means the designation of a record as either an official public record or as an office file and memorandum, as those terms are defined by RCW 40.14.010 and by these regulations.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-030, filed 1/21/93, effective 2/21/93.]

WAC 434-610-040 "Official public records" defined. "Official public records" means all original or most important copies of vouchers, receipts, and other documents necessary to isolate and prove the validity of every transaction relating to the receipt, use, and disposition of all public property and

public income from all sources whatever; all agreements and contracts to which the state of Washington or any agency thereof may be a party; all fidelity, surety, and performance bonds; all claims filed against the state of Washington or any agency thereof; all records and documents required by law to be filed with or kept by the state of Washington or any agency thereof; all legislative records as defined in section 2, chapter 1, Laws of 1971, ex. sess., and chapter 2, Laws of 1971 ex. sess.; and all other documents or records determined by the state or local records committees to be official public records.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-040, filed 1/21/93, effective 2/21/93.]

WAC 434-610-050 "Office files and memoranda" defined. "Office files and memoranda" means all records, correspondence, exhibits, record books, booklets, drawings, maps, completed forms, or documents produced or received by the agency but not defined and classified as official public records; all documents and reports made for the internal administration of the office to which they pertain, but not required by law to be filed or kept with such agency; and all other documents or records determined by the state or local records committees to be office files and memoranda.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-050, filed 1/21/93, effective 2/21/93.]

WAC 434-610-060 "Record series" defined. "Record series" means any group of related records which is filed and used as a unit and which permits evaluation as a unit for disposition purposes.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-060, filed 1/21/93, effective 2/21/93.]

WAC 434-610-070 "Retention period" defined. "Retention period" means the period of time that must elapse before a specific record is eligible for disposal or transfer in accord with approved retention schedules.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-070, filed 1/21/93, effective 2/21/93.]

WAC 434-610-080 "Long term records" defined. "Long term records" means records, which have an enduring administrative, legal, or financial, value and in consequence thereof, must be retained and preserved more than six year.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-080, filed 1/21/93, effective 2/21/93.]

WAC 434-610-090 "Archival records" defined. "Archival records" means those public records of state and local government agencies which are determined by the state archivist as having continued historical value, must be permanently preserved and have been or may be transferred to the custody of the division of archives after their approved retention has been met.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-090, filed 1/21/93, effective 2/21/93.]

WAC 434-610-100 "Retention schedule" defined. "Retention schedule" means a compilation of records of an office by name and description which indicates the length of time each record series must be retained and authorizing its disposition.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-100, filed 1/21/93, effective 2/21/93.]

WAC 434-610-110 "Scheduled records" defined. "Scheduled records" are those public records which have been inventoried in accord with these regulations and approved for disposition and/or transfer to the records center but remain under the jurisdiction of the agency of origin.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-110, filed 1/21/93, effective 2/21/93.]

WAC 434-610-120 "Division records" defined. "Division records" are those records pertaining to the operations of the division of archives and records management.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-610-120, filed 1/21/93, effective 2/21/93.]

CUSTODY OF PUBLIC RECORDS

WAC 434-615-010 Public records as public property. All public records shall be and remain the property of the state or local agency. They shall be delivered by outgoing officials and employees to their successors and shall be preserved, stored, transferred, destroyed, and otherwise managed, only in accordance with the provisions of chapter 40.14 RCW or as otherwise provided for by law and by these regulations.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-615-010, filed 1/21/93, effective 2/21/93.]

WAC 434-615-020 Custody Unless otherwise provided by law, public records must remain in the legal custody of the office in which they were originally filed, which shall be considered the office of record, or shall be destroyed or transferred pursuant to instructions from the state or local records committee as required by chapter 40.14 RCW. They shall not be placed in the legal or physical custody of any other person or agency, public or private, or released to individuals, except for disposition pursuant to law or unless otherwise expressly provided by law or by these regulations.
[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-615-020, filed 1/21/93, effective 2/21/93.]

WAC 434-615-030 Authority to transfer records All state agency records not required in the current operation of the office where they are made or kept, and all records of every state agency, commission, committee, or any other activity of state or local government which may be abolished or discontinued, shall be transferred to the state archives in accord with approved records retention schedules.

State records designated by the state archivist as being archival or potentially archival shall be transferred to the legal and physical custody of the state archives so that the valuable historical records of the state may be centralized, made more widely available for research, and insured permanent preservation.

Transfer of archival records to the state archives must take place within fifty years of the creation of the records so that they may be preserved for posterity in archival-quality conditions. Records, which the state is required to keep permanently, will be maintained intact by the state archivist, who will assume all responsibility for the access, care and preservation of such records.

Local government agency records designated by the state archivist as of primarily historical interest may be transferred to the state archives, or one of its designated regional depositories, in order to relieve local offices of the burden of housing them, to insure their preservation, and to make them available for reference or study. Officials of local agencies are authorized to transfer records in their custody, which are no longer in current use to the Washington state archives. The state archives are

not under obligation to acquire such records and will accept only records deemed valuable as a historical source. Any transfer must be by concurrent agreement, excepting wherein records are selected for preservation as historical sources from records retention schedules submitted to the local records committee for disposition authorization.

Records designated as archival on records retention schedules must be either transferred to the state archives system or retained by the originating agency in accord with standards for the maintenance of and access to archival records issued by the state archivist.

[Statutory Authority: RCW 40.14.020. 94-21-089, § 434-615-030, filed 10/19/94, effective 11/19/94. Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-615-030, filed 1/21/93, effective 2/21/93.]

POWERS AND DUTIES OF THE STATE ARCHIVIST

WAC 434-620-010 Powers and duties of the state archivist The division of archives and records management is established in the office of the secretary of state. The division is administered by the state archivist and is the primary archival and records management agency of Washington state government. In order to insure the proper management and safekeeping of public records, the state archivist, through the several sections of the division, carries out the following functions:

(1) Manages the archives of the state of Washington;

(2) Centralizes the archives of the state of Washington to make them available for reference and scholarship, and to insure their proper preservation;

(3) Inspects, inventories, catalogs, and arranges records retention and transfer schedules on all record files of all state departments and other agencies of state government;

(4) Insures the maintenance and security of all state public records and establishes safeguards against unauthorized removal or destruction;

(5) Establishes and operates such state records centers as may from time to time be authorized by appropriation for the purpose of preserving, servicing, screening, and protecting all state public records which must be retained temporarily or permanently, but which need not be kept in office space and equipment;

(6) Adopts rules under chapter 34.05 RCW:

(a) Establishing standards for the durability and permanence of public records maintained by state and local agencies;

(b) Governing procedures for the creation, maintenance, transmission, or reproduction of public documents or records in a manner consistent with current standards, policies, and procedures of the department of information services for the acquisition of information technology;

(c) Governing the accuracy and durability of photographic, optical, electronic, or other images used as public records;

(d) Carrying out other provisions of chapter 40.14 RCW.

(7) Operates a central microfilm bureau which will microfilm, at cost, records approved for filming by the head of the office of origin and the archivist; approves microfilming projects undertaken by state departments and other agencies of state government; and maintains proper standards for this work;

(8) Maintains necessary facilities for the review of records approved for destruction and for their economical disposition; directly supervise such destruction of records as should be authorized by law;

(9) Provides assistance to agencies of local government in records management related matters;

(10) Manages a statewide essential records protection program including the operation of an essential records storage facility, and serves as depository for essential record microfilms for state and local government agencies.

[Statutory Authority: Chapter 40.14 RCW. 93-04-001, § 434-620-010, filed 1/21/93, effective 2/21/93.]

POWERS AND DUTIES OF THE LOCAL RECORDS COMMITTEE

WAC 434-630-010 Membership The chief examiner of the division of municipal corporations of the state auditor's office, the state archivist, and a representative appointed by the attorney general shall constitute a committee to be known as the local records committee. Reference: RCW 40.14.070.
[Statutory Authority: Chapter 40.14 RCW. 92-18-047, § 434-630-010, filed 8/28/92, effective 9/28/92.]

WAC 434-630-020 Committee officers -- Duties The chief examiner of the division of municipal corporations shall be ex officio chairperson of the local records committee. The representative appointed by the attorney general shall be vice-chairperson. The state archivist shall act as secretary and shall be responsible for the proper recording of its proceedings.
[Statutory Authority: Chapter 40.14 RCW. 92-18-047, § 434-630-020, filed 8/28/92, effective 9/28/92.]

WAC 434-630-030 General powers of the committee The local records committee may adopt appropriate procedures for records disposition authorization, scheduling, and other matters relating to the retention, preservation, or destruction of public records of local government agencies, and may exercise such further powers as are granted by chapter 40.14 RCW or any other statute.
[Statutory Authority: Chapter 40.14 RCW. 92-18-047, § 434-630-030, filed 8/28/92, effective 9/28/92.]

WAC 434-630-040 General duties of the committee The local records committee shall review lists of records submitted to it for destruction authorization and may veto the destruction of any or all items contained therein.
The local records committee shall also review recurring disposition schedules recommended to it by agencies of local government and may veto, approve, or amend such schedules. Approval of a schedule or amended schedule shall be by unanimous vote of the local records committee members.
[Statutory Authority: Chapter 40.14 RCW. 92-18-047, § 434-630-040, filed 8/28/92, effective 9/28/92.]

WAC 434-630-050 Duties of the state archivist To facilitate the work of the local records committee, the state archivist shall have reasonable access to all public records, wherever kept, for the purposes of information, surveying, or cataloging them and shall perform the following duties:
(1) Provide guidelines to local governmental agencies for their assistance in preparing lists and schedules for destruction authorization.
(2) Record final actions and maintain the official files of the committee.
(3) Designate those records of county, municipal, or other local government agencies, which are of primarily historical interest and arrange for document transfer to a recognized depository agency in order to relieve local officers of the burden of housing such records and to insure their preservation.
[Statutory Authority: Chapter 40.14 RCW. 92-18-047, § 434-630-050, filed 8/28/92, effective 9/28/92.]

WAC 434-630-060 Committee meetings The local records committee shall meet in open public session on the last Thursday of each month at 10:00 a.m. to consider all business relevant to the duties of the committee, at the office of the state archivist, Olympia, Washington.
[Statutory Authority: Chapter 40.14 RCW. 92-18-047, § 434-630-060, filed 8/28/92, effective 9/28/92.]

LOCAL RECORDS DISPOSITION AUTHORIZATION

WAC 434-635-010 Statutory requirements No public record other than office files and memoranda of any local government agency shall be destroyed until it is six years old or until the six-year retention is reduced by the local records committee for records that are shown by the requesting agency that a six-year retention is both unnecessary and uneconomical or that a lesser federal retention guideline has been established; or until the record has been authorized for microfilming or for conversion to any other document imaging system approved by the state archivist.

Except as otherwise provided by law, no public record, including office files and memoranda, shall be destroyed until approved for destruction by the local records committee. Reference chapter 40.14 RCW.

[Statutory Authority: Chapter 40.14 RCW. 92-18-048, § 434-635-010, filed 8/28/92, effective 9/28/92.]

WAC 434-635-020 Types of destruction authorizations Requests to destroy public records in the possession of local government agencies shall be approved only by the local records committee and shall be of two types as further set forth in these regulations; namely:

(1) Listed nonrecurring authorization; and

(2) Recurring disposition schedules.

[Statutory Authority: Chapter 40.14 RCW. 92-18-048, § 434-635-020, filed 8/28/92, effective 9/28/92.]

WAC 434-635-030 Listed nonrecurring authorization County, municipal, and other local government agencies may request authority to destroy non-current public records having no further administrative or legal value by submitting to the local records committee lists of such records on forms provided by the division of archives and records management. Such lists, when approved by the local records committee, constitute authority to destroy the specifically dated records indicated. Listed authorizations are valid only for the dates specified and are not recurring for subsequently dated records without submittal of a new list.

[Statutory Authority: Chapter 40.14 RCW. 92-18-048, § 434-635-030, filed 8/28/92, effective 9/28/92.]

WAC 434-635-040 Recurring disposition schedules A local government agency, as an alternative to submitting lists, may elect to establish a records control program based on recurring disposition schedules recommended by the agency to the local records committee. The schedules are to be submitted on forms provided by the division of archives and records management, to the local records committee, which may either veto, approve, or amend the schedule. Approval of such schedules or amended schedules shall be by unanimous vote of the local records committee.

[Statutory Authority: Chapter 40.14 RCW. 92-18-048, § 434-635-040, filed 8/28/92, effective 9/28/92.]

WAC 434-635-050 General schedules may be adopted. The local records committee may approve and issue records retention/disposition schedules which shall constitute authority to dispose of specific records, held commonly by like agencies, after a required retention period, on a recurring basis until the schedule is either amended or revised by the committee.

[Statutory Authority: Chapter 40.14 RCW. 92-18-048, § 434-635-050, filed 8/28/92, effective 9/28/92.]

WAC 434-635-060 Records retention and disposition guidelines The state archivist may furnish suggestions and guidelines to local governmental agencies for their assistance in the preparation of

lists and schedules and may furnish information relating to any other matter relating to the retention, preservation, or destruction of public records. Such guidelines may be published and include suggestions relative to the minimal retentions of records and recommendations for microfilming. The guidelines are suggestive only and are not records destruction authorizations.
[Statutory Authority: Chapter 40.14 RCW. 92-18-048, § 434-635-060, filed 8/28/92, effective 9/28/92.]

METHODS OF RECORDS DISPOSAL

WAC 434-640-010 Records disposal -- Generally When the state or local records committee has authorized the destruction of public records in accord with chapter 40.14 RCW, it shall be the responsibility of the agency having requested or received such authorization to cause such records to be disposed of promptly and effectively, after the approved retention period.
[Statutory Authority: RCW 40.14.020. 92-05-060, § 434-640-010, filed 2/14/92, effective 3/16/92.]

WAC 434-640-020 Disposal of confidential records It is the agency's responsibility to insure that records exempt from disclosure per chapter 42.17 RCW, or which are otherwise considered confidential, are protected from unauthorized access during any disposal process. The primary purpose of such disposal shall be that of reducing the records to an illegible condition.
[Statutory Authority: RCW 40.14.020. 92-05-060, § 434-640-020, filed 2/14/92, effective 3/16/92.]

WAC 434-640-030 Disposal by recycling Pursuant to disposal authorization from the state or local records committee, an agency may dispose of records by recycling, under the following conditions:
(1) The prompt destruction of the records shall be insured, and the responsibility for such destruction shall continue to be that of the agency until effectuated.
(2) The recycling agent or entity shall have any required licenses and shall be insured or bonded.
(3) Records shall not be kept in unattended and unprotected storage awaiting their destruction.
(4) The agency or its authorized agent shall have in effect a contract or written agreement with the recycling entity which includes these conditions.
[Statutory Authority: RCW 40.14.020. 92-05-060, § 434-640-030, filed 2/14/92, effective 3/16/92.]

STANDARDS FOR THE ACCURACY, DURABILITY AND PERMANENCE OF PUBLIC RECORDS

WAC 434-660-010 Statutory authority The state archivist shall adopt rules under chapter 34.05 RCW setting standards for the durability and permanence of public records maintained by state and local agencies:
(1) Governing procedures for the creation, maintenance, transmission, or reproduction of photographic, optical, electronic, or other images of public documents or records in a manner consistent with current standards, policies, and procedures of the department of information services;
(2) Governing the accuracy and durability of photographic, optical, electronic or other images used as public records. Reference RCW 40.14.020.
[Statutory Authority: Chapter 40.14 RCW. 93-19-051, § 434-660-010, filed 9/10/93, effective 10/11/93.]

IMAGING SYSTEMS, STANDARDS FOR ACCURACY AND DURABILITY

WAC 434-663-100 Legality The purpose of this chapter is to establish standards and recommended practices for the creation, preservation, access to, and retention of public records on electronic imaging systems. Electronic imaging systems may legally be used for recording, producing, reproducing, maintaining, and storing public records if:
(1) Those systems meet the standards set forth in this chapter;
(2) The systems are used in accordance with this chapter; and
(3) The retention and disposition of the original and copies of records maintained on those systems regardless of media are scheduled, maintained, and disposed of in accordance with chapter 40.14 RCW. Nothing in this chapter can be construed to limit the admissibility of any public record as evidence.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-100, filed 9/28/00, effective 10/29/00. Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-100, filed 2/1/94, effective 3/7/94.]

WAC 434-663-200 Electronic document 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.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-200, filed 2/1/94, effective 3/7/94.]

WAC 434-663-210 Document scanning. A specially designed input workstation is required to convert documents or images to machine-readable form for computer processing and storage. At a minimum, the input workstation includes a document scanner, an image processor unit, a video display unit, keyboard, and access to storage. Using a solid-state array or other photosensitive components, the document scanner measures the amount of light associated with successively encountered PELs (Picture Element) and transmit a corresponding electrical signal that is converted to computer compatible digital codes.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-210, filed 2/1/94, effective 3/7/94.]

WAC 434-663-220 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.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-220, filed 2/1/94, effective 3/7/94.]

WAC 434-663-230 Enhancement Any method including adjusting brightness and contrast, or algorithm employed with the objective of producing an accurate and legible copy.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-230, filed 2/1/94, effective 3/7/94.]

WAC 434-663-240 Archival records. Archival records are records that have permanent and/or historical value and are scheduled as archival. Long-term records are records having a retention period in excess of ten years. Permanent records are those records that are required by specific statute to be retained permanently.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-240, filed 2/1/94, effective 3/7/94.]

WAC 434-663-250 Open system Open system is defined to be a system that implements sufficient public specifications for interfaces, services and supporting formats to enable applications software to be ported across a wide range of systems, to interoperate or interchange with other applications on local and remote systems, and to interact with users in a style that facilitates portability. Public specifications are maintained by open, public consensus process to accommodate new technology over time, and which are consistent with international standards.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-250, filed 2/1/94, effective 3/7/94.]

WAC 434-663-260 De facto standard A de facto standard is a widely accepted industry standard without official recognition by a standards group.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-260, filed 2/1/94, effective 3/7/94.]

WAC 434-663-270 Record series A group of records that are created, used, filed, and disposed of as a unit because they relate to a particular subject or function, result from the same activity, or document a specific kind of transaction.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-270, filed 9/28/00, effective 10/29/00.]

WAC 434-663-300 Quality of digital images Ensuring the quality of digitized images requires exercising control over the conversion of the original image to digital data, enhancement of the digital image if necessary, compression of the digital data for storage, decompression of digital data for retrieval, displaying the image, and printing the image.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-300, filed 9/28/00, effective 10/29/00. Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-300, filed 2/1/94, effective 3/7/94.]

WAC 434-663-305 Scanning density. Bitonal images of documents containing type fonts no smaller than six-point shall be scanned at a minimum density of 200 dots per inch (dpi). Bitonal images of documents containing type fonts smaller than six-point, engineering drawings, maps, and similar documents with fine detail or poor contrast, shall be scanned at a minimum density of 300 dots per inch. Until an ANSI or AIIM standard for color images using a loss less nonproprietary compression algorithm is established, it is recommended that color documents be scanned at a minimum density of 150 dots per inch (dpi) and use TIFF, Version 5, specifications. Scanner quality control procedures shall conform to ANSI/AIIM MS44-1988, Recommended Practice for Quality Control of Images Scanners.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-305, filed 9/28/00, effective 10/29/00.]

WAC 434-663-325 Compression and decompression of data Electronic imaging systems for bitonal images shall use the Consultative Committee on International Telegraphy and Telephony (CCITT) Group 3 or Group 4 compression and decompression techniques without proprietary alterations to the algorithm. For the storage of electronic images of records for which the state or local records committee has approved a retention period of six years or less from the date of creation, a nonproprietary loss less compression algorithm may be used if a utility program or application software option is maintained to convert images to the TIFF Group 3 or Group 4 standard. For the compression and decompression of color images a loss less algorithm, such as TIFF, Group 5, is recommended.

[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-325, filed 9/28/00, effective 10/29/00.]

WAC 434-663-500 Open systems architecture Ensuring the usability of digital images to serve the functions for which they were designed involves long-term commitment to an open systems architecture and an approach to component upgrading, data transfer, and migration path that guarantees the portability of current data to be used with future technologies.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-500, filed 2/1/94, effective 3/7/94.]

WAC 434-663-530 System documentation Detailed technical documentation is needed to facilitate future system access. Minimum documentation must include:
(1) A hardware systems administrator manual specifying hardware, cabling, and communications configurations;
(2) Software applications documentation, including user manuals and design documentation;
(3) Operational procedures for scanning, indexing and verifying images;
(4) Current security and system change control procedures, including logs of those changes, indicating the date, identity of the person making the changes and the reason for the change; and
(5) Written procedures for periodic back-ups, including schedules and the location of secure off-site storage for those back-ups.
Agencies will maintain one copy of current documentation on-site and one current copy in designated secure storage.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-530, filed 9/28/00, effective 10/29/00. Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-530, filed 2/1/94, effective 3/7/94.]

WAC 434-663-600 Retention scheduling and disposition of public records Conversion to an imaging system does not automatically authorize the destruction of the source documents for which images have been created. Destruction of, or changes to the retention period of, any public records due to conversion to or the use of a new media requires legal approval of the state or local records committee of the state of Washington under chapter 40.14 RCW, chapter 434-635 WAC, and other applicable state laws.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-600, filed 9/28/00, effective 10/29/00. Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-600, filed 2/1/94, effective 3/7/94.]

WAC 434-663-615 Records retention scheduling for records on imaging system The required retention scheduling of public records to be created, maintained, accessed, distributed, or preserved by government entities on electronic imaging systems should be done prior to the creation or copying of images of those records. Retention schedules shall be based on the information content and function of the record series. Record series documenting electronic information system operation, and maintenance must also be included on the records retention schedule approved for the agency using the system. Electronic image media rendered obsolete through the verified accurate migration of its images to a more current media for readability may be considered a redundant version and disposed of as directed by chapter 40.14 RCW.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-615, filed 9/28/00, effective 10/29/00.]

WAC 434-663-630 Agency acquisition -- Department of information services approval State agencies intending to utilize an imaging system for the storage or conversion of public records must

include such plans in their biennial information technology plan submitted to the department of information services and comply with other requirements of DIS as may apply.
[Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-630, filed 2/1/94, effective 3/7/94.]

WAC 434-663-640 Disposition of records identified by records committee as archival. Public records that are designated "archival" or "potentially archival" by the state or local records committee may not be destroyed without committee approval, even where images of those records have been produced and stored on an electronic imaging system.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-640, filed 9/28/00, effective 10/29/00.]

WAC 434-663-700 Usability of image and index data over time Maintaining access to and usability of electronic records requires the ability to process images and indexes both on the computer system on which they were created and on their replacement computer systems without loss of information for the full retention period approved for that record. Ensuring the readability of electronic records over time requires the maintenance of proper environmental conditions, periodic recopying, and strategies to preserve data by migration from one generation of technology to another through a commitment to open architecture.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, amended and recodified as § 434-663-700, filed 9/28/00, effective 10/29/00. Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-400, filed 2/1/94, effective 3/7/94.]

WAC 434-663-705 Record keeping capabilities Electronic imaging systems must have the following security and retention features or capabilities:
(1) Tracking information at the records series level.
(2) Ability to properly eliminate or dispose of records that exceed their retention periods as established under RCW 40.14.050 through 40.14.070.
(3) Record authentication functions as needed to meet legal, audit, and administrative requirements including automatic, computer-generated maintenance of the date and time of record creation or updating, the identity of the user or system that created or updated the record, and a system-enforced log of disposition actions.
(4) Protection against unauthorized access to records by means of a password hierarchy or other system security.
(5) Indexing capabilities that provide flexibility in associating a record series with multiple subject categories, that facilitate access and retrieval, and that provide links to related records or supporting documentation.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-705, filed 9/28/00, effective 10/29/00.]

WAC 434-663-710 Defining indexing requirements The selection of indexing methods and terms should be based on an analysis of the retrieval requirements associated with a particular application, and must ensure efficient and accurate retrieval of images and information. The design and content of the index should utilize standard attributes wherever available and take into account the security of the index and the retrieval requirements of both current and future users of the records including agency personnel, researchers, and the public.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, amended and recodified as § 434-663-710, filed 9/28/00, effective 10/29/00. Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-410, filed 2/1/94, effective 3/7/94.]

WAC 434-663-720 Preservation strategy For an electronic image system containing public records with a retention period of ten years or longer or records containing archival information, one or more of the following preservation strategies must be employed:
(1) Retain the original paper documents;
(2) Microfilm the original documents;
(3) Migrate optical media and magnetic media at least every ten years or sooner as is necessary to avoid technical obsolescence, loss of readability, and excessive read error rates; or
(4) Record the electronic images on industry standard microfilm at the same density at which they were scanned.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, amended and recodified as § 434-663-720, filed 9/28/00, effective 10/29/00. Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-420, filed 2/1/94, effective 3/7/94.]

WAC 434-663-730 Header information on image files An electronic imaging system containing public records with a retention period of ten years or longer or records containing archival information must use a nonproprietary file header format such as Tagged Image File Format (TIFF) or a header that complies with ANSI-AIIM MS53, File Format for Storage and Exchange of Images, or Bi-level File Format: Part 1.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-730, filed 9/28/00, effective 10/29/00.]

WAC 434-663-740 Security backup copies Security backup copies must be made of electronic imaging system records stored on electronic media. The methods and frequency of backup should be determined by the amount of information that would be lost if data had to be restored using the previous backup. Since backup copies are also subject to media failure, it is recommended that redundant (multiple) backup copies be made and stored at different locations, with one copy stored off-site. In order to ensure accessibility of data, at least one redundant backup copy should be recorded in a nonproprietary format. Security backup copy media must be inspected for quality using de facto or industry standards on a regular schedule and replaced before predicted failure. If the primary backup copy of an operational imaging system is found to deviate from the primary production copy due to suspected corruption or read errors, the discrepancy must be located and both the production and backup copies must be corrected to contain accurate versions of the original images.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-740, filed 9/28/00, effective 10/29/00.]

WAC 434-663-750 Ensuring usability. At a minimum, the system must include an electronic error checking utility that will check the integrity of the data when written to the media.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, recodified as § 434-663-750, filed 9/28/00, effective 10/29/00. Statutory Authority: Chapter 40.14 RCW. 94-04-102, § 434-663-450, filed 2/1/94, effective 3/7/94.]

WAC 434-663-760 Environmental standards or best practices for storage of electronic media Electronic media should be stored in a dust-free environment under the following environmental conditions:
(1) Temperature ranges meeting standards or best practices recommended for the media stored;
(2) A relative humidity range meeting standards or best practices recommended for the media stored;
(3) Media should be stored in a closed container to protect from dust and fingerprints; and

(4) Magnetic tape should be rewound in accordance with de facto or industry standards, or to best practices.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-760, filed 9/28/00, effective 10/29/00.]

WAC 434-663-770 Continued access to data If access to data in an existing electronic imaging system cannot be maintained for the specified retention period of the records stored in that system, the images must be migrated, without loss to the images or indexes, at the time of acquisition or implementation of a new system. Access to electronic data, which has not been migrated to a new system, requires preserving the data, the storage medium in which the data is kept, and whatever hardware, operating system, and applications software is needed to view and use the data.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-770, filed 9/28/00, effective 10/29/00.]

WAC 434-663-780 Data conversion costs The adoption of new electronic imaging systems may require significant expenditures for conversion of information maintained in existing electronic formats to the formats required by new imaging systems. System planning should include analysis of future information access, maintenance, data conversion, and security costs.
[Statutory Authority: RCW 40.14.020(6). 00-20-038, § 434-663-780, filed 9/28/00, effective 10/29/00.]

SECURITY MICROFILM

WAC 434-677-010 Security microfilm Security microfilm is generated to protect records identified as essential to the continuity of state and local government, or as otherwise provided by law. Reference: Chapter 40.10 RCW.
[Statutory Authority: RCW 40.14.020. 92-08-020, § 434-677-010, filed 3/20/92, effective 4/20/92.]

WAC 434-677-020 Storage of security microfilm Security microfilm shall be stored off-site from the original records, working copies of the microfilm, or other media containing the same information or documents. Security microfilm shall be stored in facilities under the public domain. Storage must meet atmospheric, fire, and security criteria established by technical standards for the storage of public records issued by the state archivist. Reference: Chapter 40.14 RCW.
[Statutory Authority: RCW 40.14.020. 92-08-020, § 434-677-020, filed 3/20/92, effective 4/20/92.]

WAC 434-677-030 Use of state archives security storage facility State agencies shall store security microfilm in facilities provided by the division of archives and records management. Local agencies may store security microfilm with the division of archives or at other sites, which meet archival microfilm vault storage standards.
[Statutory Authority: RCW 40.14.020. 92-08-020, § 434-677-030, filed 3/20/92, effective 4/20/92.]

WAC 434-677-040 Retention of security microfilm Microfilm accepted for security storage will be retained per records retention schedules approved by the state or local records committee established in accord with chapter 40.14 RCW or per agency-approved essential records schedules established in accord with chapter 40.10 RCW. If the film is determined by the division of archives microfilm quality control examiner to be substandard, and the office of record has refused to take corrective or remedial action, the division reserves the right to return the film prior to the expiration of the scheduled retention.
[Statutory Authority: RCW 40.14.020. 92-08-020, § 434-677-040, filed 3/20/92, effective 4/20/92.]

WAC 434-677-050 Access to security film. Access to security microfilm stored by the state archives is restricted to authorized staff of the state archives for purposes of filing, inventory, inspection maintenance and approved duplication; and to authorized staff of the office of record depositing the film, for purposes of inspection.
[Statutory Authority: RCW 40.14.020. 92-08-020, § 434-677-050, filed 3/20/92, effective 4/20/92.]

WAC 434-677-060 Use and removal of security microfilm Security microfilm is for use only as a master for authorized film duplication. Security microfilm will not be removed from the state archives storage facility except for permanent return to the agency of origin upon a sixty-day notification by the agency or the division of archives. Any relocation of security microfilm must be to facilities meeting security film storage standards.
[Statutory Authority: RCW 40.14.020. 92-08-020, § 434-677-060, filed 3/20/92, effective 4/20/92.]

WAC 434-677-070 Inspection and notification Security microfilm will be inspected upon receipt for film type, condition, density, and resolution quality. Security microfilm shall be spot checked throughout its storage life for evidence of deterioration. Agencies will be notified of substandard film and advised of recommended remedial actions.
[Statutory Authority: RCW 40.14.020. 92-08-020, § 434-677-070, filed 3/20/92, effective 4/20/92.]

WAC 434-677-080 Right to refuse or return security film The division reserves the right to refuse or return microfilm sent for security storage under certain conditions including the following:
(1) The film is not the silver halide camera negative or first copy positive.
(2) The film does not meet state quality standards for density and resolution.
(3) The film has microscopic blemishing, mold, or other forms of deterioration or damage, or will not produce a usable work copy.
(4) The film is not packaged, identified, and transmitted in accord with division guidelines.
(5) The records being secured on microfilm do not qualify as essential records per chapter 40.10 RCW, or are not appraised as historically valuable.
[Statutory Authority: RCW 40.14.020. 92-08-020, § 434-677-080, filed 3/20/92, effective 4/20/92.]

ARCHIVES – ACCESS TO PUBLIC RECORDS

WAC 434-690-010 Purpose The purpose of this chapter shall be to ensure compliance by the office of the secretary of state, division of archives and records management with the provisions of chapter 1, Laws of 1973 (Initiative 276), Disclosure -- Campaign finances -- Lobbying -- Records; and in particular with sections 25–32 of that act, dealing with public records.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-010, filed 11/12/91, effective 12/13/91.]

WAC 434-690-020 Description of central and field organization of the division of archives and records management Division of archives and records management The division is an administrative service and regulatory agency. The administrative office of the division and its staff are located at the Archives and Records Center Building, Olympia, Washington.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-020, filed 11/12/91, effective 12/13/91.]

WAC 434-690-030 Operations and procedures The division of archives and records management is the primary archival and records management agency of Washington state government. The division is organized as depicted in Appendix A. Through its several sections, operating units, and regional offices it carries on the functions cited in chapter 434-620 WAC.

[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-030, filed 11/12/91, effective 12/13/91.]

WAC 434-690-040 Public records available. All public records of the division as defined in WAC 434-15-610 are deemed to be available for public inspection and copying pursuant to these rules, except as otherwise provided by RCW 42.17.310 and WAC 434-690-100.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-040, filed 11/12/91, effective 12/13/91.]

WAC 434-690-050 Public records officer. (1) The divisional records shall be in the charge of the public records officer designated by the secretary of state. The person so designated shall be located in the administrative office of the secretary of state. The public records officer shall be responsible for the following: The implementation of the division's rules and regulations regarding release of public records, coordinating the staff of the division in this regard, and generally insuring compliance by the staff with the public records disclosure requirements of chapter 42.17 RCW.
(2) The archival records in the custody of the division shall be in the charge of the state archivist. The state archivist shall be located in the state archives and records center building. The state archivist shall be responsible for the following: The implementation of the division's regulations regarding the release of archival records, coordinating the staff of the division in this regard and generally insuring compliance by the staff with the public records disclosure requirements of chapter 42.17 RCW.
(3) The scheduled records in the custody of the division shall be in the charge of the public records officer designated by the agency of record origin. The public records officer of the agency of records origin shall be responsible for implementation of the agency's rules and regulations regarding the release of public records and coordinating with the staff of the state archives in this regard insofar as records of his agency in the custody of the state archivist are concerned.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-050, filed 11/12/91, effective 12/13/91.]

WAC 434-690-060 Office hours Divisional records, archives and scheduled records shall be available for inspection and copying during the customary office hours of the division. For the purposes of this chapter, the customary office hours shall be from 8:30 a.m. to 4:30 p.m., Monday through Friday, excluding legal holidays.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-060, filed 11/12/91, effective 12/13/91.]
WAC 434-690-070 Requests for public records – Archives -- Scheduled records. In accordance with requirements of chapter 42.17 RCW that agencies prevent unreasonable invasions of privacy, protect public records from damage or disorganization and prevent excessive interference with essential functions of the agency, public records may be inspected or copied or copies of such records may be obtained, by members of the public, upon compliance with the following procedures:
(1) **Divisional records.** A request shall be made in writing upon the form prescribed in WAC 434-690-150 which shall be available at the division's administrative office or at the secretary of state's administrative office. The form shall be presented to the secretary of state's public records officer at his/her office, or if he/she is not available, to any member of the division's staff at the administrative office of the division, during customary office hours. The request shall include the following information:
(a) The name of the person requesting the record;
(b) The time of day and calendar date on which the request was made;
(c) The nature of the request;

(d) If the matter requested is referenced within the current index maintained by the records officer, a reference to the requested record as it is described in such current index;
(e) If the requested matter is not identifiable by reference to the division's current index, an appropriate description of the record requested.
(2) **Archives.** A request shall be made in writing upon a form prescribed by the division which shall be available at the state archives and records center. The form shall be presented to the state archivist, or to a member of the division's staff, designated by the state archivist, at the state archives building, during customary office hours. The requests shall include specific subject and date and/or state archives record group, sub-group, series and date information to facilitate record retrieval.
(3) **Schedule d records.** Requests for scheduled records in the custody but not under the jurisdiction of the state archives, must be made through the office of record origin in accord with the rules and regulations regarding the release of public records by that agency as published in the Washington Administrative Code in compliance with chapter 42.17 RCW. An approved request form or letter of authorization from an appropriate agency of records origin must then be presented to the state archivist, or a member of the division's staff, thereby granting access, unless the division has other access authority granted by agency of record. The request or letter of authorization shall include the same or nearly the same identifying information as that supplied for public records of the division.
(4) In all cases in which a member of the public is making a request, it shall be the obligation of the public records officer or staff member to whom the request is made, to assist the member of the public in appropriately identifying the public record requested.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-070, filed 11/12/91, effective 12/13/91.]

WAC 434-690-080 Fees (1) No fee shall be charged for the inspection of public records.
(2) No fees shall be charged for records search and retrieval services.
(3) The division may impose a reasonable charge for providing copies of public records, regardless of media, and for the use by any person of division equipment to copy public records. Charges shall not exceed the amount necessary to reimburse the division for its actual costs incident to such copying.
(4) The division may charge a fee for research services prorated on salary benefit and overhead costs with a half-hour minimum.
(5) The division shall charge a fee of five dollars per certificate for issuance of a certificate or certified copies.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-080, filed 11/12/91, effective 12/13/91.]

WAC 434-690-090 Exemptions (1) The division reserves the right to determine that a public record or archive record requested in accordance with the procedures outlined in WAC 434-690-070 is exempt under the provisions of RCW 42.17.310.
(2) In addition, pursuant to RCW 42.17.310, the division reserves the right to delete identifying details when it makes available or publishes any public record, in any cases when there is reason to believe that disclosure of such details would be an invasion of personal privacy protected by chapter 42.17 RCW. The public records officer or state archivist will fully justify such deletion in writing.
(3) All denials of requests for public records must be accompanied by a written statement specifying the reason for the denial, including a statement of the specific exemption authorizing the withholding of the record and a brief explanation of how the exemption applies to the record withheld
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-090, filed 11/12/91, effective 12/13/91.]

WAC 434-690-100 Review of denials of public records requests. (1) Any person who objects to the denial of a request for a public record may petition for prompt review of such decision by tendering a written request for review. The written request shall specifically refer to the written statement by the public records officer or other staff member, which constituted or accompanied the denial.
(2) Immediately after receiving a written request for review of a decision denying a public record, the public records officer or other staff member denying the request shall refer it to the secretary of state. The secretary of state shall immediately consider the matter and either affirm or reverse such denial. In any case, the request shall be returned with a final decision, within two business days following the original denial.
(3) Administrative remedies shall not be considered exhausted until the secretary of state has returned the petition with a decision or until the close of the second business day following denial of inspection, whichever occurs first.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-100, filed 11/12/91, effective 12/13/91.]

WAC 434-690-110 Protection of public records Records will be made available to the requestor subject to the following restrictions:
(1) the records may not be removed from the area designated.
(2) The quantity of records may be limited in consonance with the requested use.
(3) All possible care will be taken by the requestor to prevent damage to the records.
(4) Records may not be marked or altered in any way.
(5) Use of liquids and fountain pens; also eating, drinking, and smoking while utilizing the records is prohibited.
(6) Records shall not be defaced in any way including writing on, folding or folding anew if in folded form, tracing or fastening with clips or other fasteners except those that may already exist in the file.
(7) Records may not be cut or mutilated in any way.
(8) Records must be kept in the order in which received.
(9) Records will be returned to the state archivist or his designee by the requestor when no longer required and no later than the end of the customary office hours as set forth in WAC 434-690-060.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-110, filed 11/12/91, effective 12/13/91.]

WAC 434-690-120 Records index (1) **Index.** The division has available to all persons a current index which provides identifying information as to the following records issued, adopted, or promulgated since its inception:
"(a) Final opinions, including concurring and dissenting opinions, as well as orders, made in the adjudication of cases;
"(b) Those statements of policy and interpretations of policy, statute and the constitution which have been adopted by the agency;
"(c) Administrative staff manuals and instructions to staff that affect a member of the public;
"(d) Planning policies and goals, and interim and final planning decisions;
"(e) Factual staff reports and studies, factual consultant's reports and studies, scientific reports and studies, and any other factual information derived from tests, studies, reports, or surveys, whether conducted by public employees or others;
"(f) Correspondence, and materials referred to therein, by and with the agency relating to any regulatory, supervisory, or enforcement responsibilities of the agency, whereby the agency determines, or opines upon, or it is asked to determine or opine upon, the rights of the state, the public, a subdivision of state government, or of any private party;

"(g) Public records accessioned into the archive proper of the state of Washington; and
"(h) Scheduled records in the custody of the state archives."
(2) **Availability.** The current index promulgated by the division shall be available to all persons under the same rules and on the same conditions as are applied to public records available for inspection.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-120, filed 11/12/91, effective 12/13/91.]

WAC 434-690-130 Communication with division -- Address. All communications with the division including but not limited to the submission of materials pertaining to its operations and/or the administration or enforcement of chapter 42.17 RCW and these rules; requests for copies of the division's decisions and other matters, shall be addressed as follows: Office of the Secretary of State, c/o Public Records Officer, Legislative Building, Olympia, Washington 98504-0000.
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-130, filed 11/12/91, effective 12/13/91.]

WAC 434-690-140 Adoption of form The division hereby adopts for use by all persons requesting inspection and/or copying or copies of its records, the form attached hereto as Appendix B entitled "Request for public record."
[Statutory Authority: RCW 42.17.250. 91-23-024, § 434-690-140, filed 11/12/91, effective 12/13/91.]