

Kittitas County
Board of County Commissioners

AGENDA STAFF REPORT

Agenda Date: January 16, 2018

Action Requested: Adopt a Resolution Updating the Kittitas County Records Management Policy

Background: On February 16, 2010 the Kittitas County Board of Commissioners adopted the Records Management Policy. In the November 27, 2017 IT study session Mr. Goeben presented to the board the Records Management Committee's recommendation for decommissioning the county's email archive. The board asked the Records Management Committee to first define minimum requirements for email records organization to which they will ask department heads and elected officials to write an email records organization plan. The Records Management Committee drafted requirements to be added to the Records Management Policy. These were reviewed by the Management Team who provided no concerns.

Interaction: Records Management Committee
Prosecuting Attorney's Office
Management Team

Recommendation: Adopt the resolution updating the Records Management Policies.

Handling: No handling necessary.

Attachments: Resolution
Proposed updates to the Records Management Policies

Lead Staff: Jim Goeben, IT Director and Records Management Committee Chair

**BOARD OF COUNTY COMMISSIONERS
COUNTY OF KITTITAS
STATE OF WASHINGTON**

**RESOLUTION
NO. 2018-_____**

RESOLUTION TO ADOPT REVISED RECORDS MANAGEMENT POLICY

WHEREAS, the Kittitas County Board of Commissioners adopted a Records Management Policy effective January 1, 2010; and

WHEREAS, the Kittitas County Board of Commissioners previously directed the creation of a Records Management Committee to support its efforts and obligations with regard to the creation, capture, and retention of public records; and

WHEREAS, the Kittitas County Board of Commissioners requested updates to the policy to provide minimum requirements for email records organization in order to ensure the efficient and consistent management of email records; and

WHEREAS, that Records Management Committee drafted a set of revisions to the policy which reflect the Kittitas County Board of Commissioners' direction; and

WHEREAS, the Board concurs in those proposed revisions, and desires to have those policies implemented and used as the basis for training county employees;

NOW THEREFORE, BE IT RESOLVED that the Board of County Commissioners of Kittitas County, Washington, hereby adopts the revisions made to the Records Management Policy that are attached hereto and incorporated by reference.

DATED this _____ day of _____, 2018, at Ellensburg, Washington.

BOARD OF COUNTY COMMISSIONERS
KITTITAS COUNTY, WASHINGTON

Laura Osiadacz, Chairman

Attest:

Obie O'Brien, Vice-Chairman

 Clerk of the Board, Julie Kjorsvik
 Deputy Clerk of the Board, Mandy Buchholz

Paul Jewell, Commissioner

Kittitas County Records Management Policies

1. Purpose

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

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

2. Definitions

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

Archival (Appraisal Required)

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

Archival (Permanent Retention)

Public records which possess enduring legal and/or historic value and must not be destroyed. Local government agencies must either transfer these records to Washington State Archives or retain and preserve these records according to archival best practices until such time as they are transferred to Washington State Archives (WSA).*

Born-digital

A record originally created as an electronic record. Born-digital records consist of the file along with its metadata and any attachments. Paper records that have been digitized or any other record converted into digital format are not born-digital.

Conversion

The activity of converting the agency's public records from one form (source records) to another (converted records) through the processes of imaging (digitization or microfilm preservation) or data migration (digital or magnetic).*

Disposition

The last action to be taken on a record; the disposal; i.e., permanent retention, destruction or transferred to the Washington State Archives.

Database Management System

(DBMS) A software system used to access and retrieve data stored in a database (e.g. SQL Server, Oracle, Microsoft Access and other similar programs).

Electronic Information System

A system in which computerized records (electronic records) are collected, organized, and categorized to facilitate their preservation, retrieval, use, access, and disposition.

Electronic Records

Any information in a format that only a machine can process, including but not limited to video or audio cassette tape, punch card, email, voicemail messages, text messages, and word processing files. The electronic record includes its metadata.

Essential Records

Public records that local government agencies must have in order to maintain or resume business continuity following a disaster. While the retention requirements for essential records may range from very short-term to archival, these records are necessary for an agency to resume its core functions following a disaster.* See [RCW 40.10.010](#).

Local Records Committee

(LRC) The committee established by [RCW 40.14.070](#) to review and approve disposition of local government records.*

Metadata

Information describing the contents and context of data files; often referred to as "data about data". This includes but is not limited to date of creation, access information, database schema, author/sender, and electronic routing information.

Permanent Records

See Archival (Appraisal Required) and Archival (Permanent Retention) above.

Preservation

The filing, storing, or any other method of systematically maintaining and keeping secure, a record in its entirety, including metadata. This term covers materials not only filed or otherwise systematically maintained but also those temporarily removed from existing filing systems.

Primary Record Holder

The employee who creates the record, or is first to receive the record created by a non-employee.

Public Records

[RCW 40.14.010](#) – Definition and classification of public records. "... The term "public records" shall include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business..."*

Records with Minimal Retention Value

Records created or received by the agency which are typically of short-term, temporary informational use.*

Records Retention Schedule

A document approved by the LRC that specifies required retention periods for a record series and provides ongoing disposition authority for the records series after its approved retention period has been satisfied. In addition to the Local Government Common Records Retention Schedule (CORE), there are additional retention schedules specific to certain departments and offices.

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.*

Retention Period

The retention period is the minimum amount of time that an agency is required to retain records within a record series. Retention periods are provided in records retention schedules.

Secondary Records

Copies (or duplicates) of the agency's primary records used for specific legal, fiscal, or administrative purposes.*

Transitory Records

See Records with Minimal Retention Value

* Local Government Common Records Retention Schedule (CORE), Version 4.0 (May 2017)

3. Policy

Department Heads and Elected Officials shall designate a Records Officer in their department/office responsible for coordinating records management within their department/office, including but not limited to:

1. Knowing, understanding, and enforcing county Records Management Policies and Procedures
2. Ensuring department/office staff understand and comply with the Records Management Policies and Procedures
3. Assisting staff with identifying public records, interpreting records retention schedules, converting records, scanning and tossing non-archival records, and obtaining appraisals and transferring archival records to the WA State Archives
4. Approving records destruction requests
5. Attending Records Management Committee meetings; occasional designee permitted

3.1 Identifying Public Records

Public records are defined by three key criteria in [RCW 40.14.010](#):

1. Made by or received by any agency in the State of Washington
2. In connection with the transaction of public business
3. Regardless of physical form or characteristics

A record provides evidence of an agency's decisions and actions, and therefore has a retention value.

3.2 Preserving Public Records

Kittitas County officials and employees shall retain all public records that document the official work of the county. These records, regardless of format or media, shall be retained in their native format for the minimum period required by retention schedules approved under [RCW 40.14](#) and [WAC 434-635](#).

The Primary Record Holder is responsible for retention of the record for the prescribed period of time.

Departments shall prescribe an appropriate records management program so records are identified, preserved, organized, retained, and easily recalled.

Each department shall, at a minimum:

1. Maintain records in their entirety
2. Identify temporary, permanent, essential, and archival records
3. Ensure accessibility and security
4. Organize records for easy recall
5. Physically or electronically segregated essential records
6. Periodically audit procedures and adherence to them to assess their adequacy.

3.2.1 Electronic Records

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

1. Original format: all electronic records must be kept in the record's original format. This demonstrates the authenticity of the record, maintains the context of the record, and preserves both the record and its metadata.
2. Conversion: conversion of a primary record from one data format to another is allowable only if the need for conversion and method is documented and all original metadata is preserved. Examples of when this is appropriate include new versions of software from the same vendor or moving from software of one vendor to that of another. Converting to a different format does not change any retention requirements. If a paper record has a 6 year retention beginning 4/1/2015 when it was received by the county, scanning that piece of paper to an image on 3/1/2017 does not change the retention requirement; the scanned document has the original 6 year retention from 4/1/2015.
3. External systems: Kittitas County departments with access to external electronic systems, e.g. Courts (AOC, JIS) and law enforcement (KITTCOM, Spillman), shall ensure that county records sent or received on these systems are preserved in an appropriate manner prior to being sent to such systems to the extent necessary to retain those records and access to them as may be required by law including applicable retention schedules.
4. County systems: Kittitas County IT is responsible for maintaining the county network and its storage devices. The primary record holder is responsible for maintaining and retaining their records within that system. Electronic backups of county systems are short term and for disaster recovery only, and as such shall not be relied upon for records management and retention.

3.2.2 Organizing Records

Each Department Head/Elected Official shall create a records filing structure to ensure records are easy to access, identify, retrieve, and dispose.

Minimum requirements for a proper filing structure:

1. Label files and folders in a way that the contents and retention/disposition requirements are easily discerned
2. Use the filing structure department/office wide, allowing for differences within operating units of the department/office
3. Separate records of minimal retention value from other records
4. Separate records designated as essential from other records
5. Do not store records that have a retention period in catch-all folders (such as email inbox and sent items)
6. Recommended: To the extent possible use the same filing structure for hardcopy and electronic records (including email)

3.3 Disposition of Public Records

Records will be destroyed at the end of their retention period. Secondary copies and other records with minimal retention value, as defined in the Local Government Common Records Retention Schedule, will be destroyed when they are no longer needed for agency business. Records may be retained longer than the required minimum period only if the need is documented.

All records not on legal hold must be destroyed once they have passed their retention period and any documented extensions. Records destruction shall be documented on the Kittitas County Public Records Destruction Disposition-Log except for those whose minimum retention is "Retain until no longer needed for agency business, then destroy."

At a minimum, each department shall ensure that:

1. After the retention requirements have been met for records that are listed as archival or potentially archival according to the Secretary of State Retention Schedule, the department shall contact the regional archives for appraisal and possible transfer.
2. Procedures are established and are followed for disposition of all copies of records.
3. All records scheduled for disposition are disposed of in a manner that ensures destruction of any sensitive, private, proprietary, or security information.

3.3.1 Legal Holds

The County is prohibited from destroying a public record, even if it is about to be lawfully destroyed under a retention schedule, if a public records request has been made for that record. Additional retention requirements might apply if the records may be relevant to actual or

anticipated litigation. The agency is required to retain the record until the record request and litigation has been resolved.

3.3.2 Digitizing and Destroying (Scanning and Tossing)

For early destruction after digitization (scanning), see the applicable county procedures and current approved records retention schedule, section 5.5 Records Conversion.

Non-archival paper-based source records that have been imaged – and verified to be complete and accurate – in accordance with county procedures and Washington State Archives requirements, may be destroyed (DAN GS50-09-14).

Archival paper-based source records must be transferred to the Washington State Archives. These records may be imaged – and verified to be complete and accurate – in accordance with county procedures and Washington State Archives requirements, then transferred to the Archives prior to the retention requirement.

3.4 Transfer of Public Records

Records considered archival (permanent retention) must be retained and preserved according to archival best practices until such time as they are transferred to Washington State Archives. [RCW 40.14.030](#), [40.14.070\(2\)\(a\)\(iii\)](#); [WAC 434-615-030](#)

Records that require appraisal must be coordinated with the State Archivist.

3.5 Training

Department Heads/Elected Officials (~~DH/EOs~~), in coordination with the Records Management Committee, are responsible for training employees regarding policy and procedures. [Department Heads/Elected Officials](#) ~~DH/EOs~~ will ensure accessibility of records management policy and procedures to all county employees.

3.6 Enforcement

Violation of Records Management Policies may result in progressive discipline (including termination) and criminal investigation in accordance with Kittitas County policies and applicable laws.

4. Resources

For additional information and resources, see the [Kittitas County Records Management Handbook](#).