Managing Public Records

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Managing Public Records
Topics Covered

- Records Management
    - Responsibilities
    - What is a Public Record?
    - Why Manage Records?
    - Managing Your Records

- Electronic Records
    - Preserving Electronic Public Records
    - How to Manage Electronic Records
    - "Scanning & Tossing" Electronic Records

Managing Public Records
Responsibilities

✓ **Agency Records Officer**: Is responsible for the WMD records management program.

✓ **Records Coordinators**: Are responsible for overseeing the management of their division records and provide staff guidance on records maintenance, retention and disposition.

✓ **Records Custodians**: Are responsible for assisting the Records Coordinator with managing the divisions records.

✓ **Supervisors/Managers**: Are responsible for the records their staff produce.

✓ **Employees**: Are responsible for the records they create everyday during the course of business.

All WMD employees are responsible for managing the records they create everyday during the course of business and shall: comply with the guidelines established in the agency's Public Records Management Policy (DIR-005-08).

Managing Public Records
## What is a Public Record?

RCW 40.14.010 - Definition and classification of public records

The transaction of public business that is made or received by any agency in the State of Washington, regardless of physical form or characteristics.

Examples:

- If the transaction of public business occurs in paper, then the paper record is considered the primary copy and needs to be retained and managed.

- If the transaction of public business occurs electronically or "born digital" then the electronic record is considered the primary copy and needs to be maintained and managed.
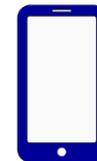
Managing Public Records
Chapter 40.14 RCW

All public records shall be and remain the property of the state of Washington. (RCW 40.14.020)

They shall be delivered by outgoing official 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.

What is a Public Record?

My Device/Account = My Records?

It may be your personal device or account, but if its being used for agency business, keep in mind that you are accessing (and sometimes creating) public records.

Why Manage Public Records?

Public records provide the evidence by which government agencies are able to demonstrate that they took the *right actions* at the *right time* for the *right reasons*.

- ✓ **Administrative** value

- ✓ **Audit** value

- ✓ **Fiscal** value

- ✓ **Historical** value

- ✓ **Legal** value

How to Manage Your Public Records

For Washington state agencies, records management consists of:

1. Keeping public records for the minimum required period of time as outlined in the approved **records retention schedules**.

2. Once the **retention period** has been met, either destroy the record or transfer records to the archives as outlined in the approved records retention schedules.

> *It is knowing what to keep, how long you need to keep it, and when you can get rid of it lawfully.*

Managing Public Records

How to Manage Your Public Records

There are two kinds of Retention Schedules:

1. **State Government General Records Retention Schedule**
   - Records common to all state agencies
   - Pre-approved by the State Records Committee

2. **Military Department Records Retention Schedule**
   - Records specific to the Military Department's program
   - Approved by the Military Department Records Officer and the State Records Committee

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
09-09-62118 Rev. 2	***Emergency Operations Center Activations – Level 1 (Audio Recordings)*** Audio recordings related to missions authorized and created by the Division of Emergency Management resulting in Emergency Operations Center Level 1.	**Retain** for 90 days after date of recording *then* **Transfer** to Washington State Archives for permanent retention.	**ARCHIVAL** **(Permanent Retention)** NON-ESSENTIAL OFM

How to Manage Your Public Records

It is the ***CONTENT*** and ***FUNCTION*** that determines a record and there may be more than one type of format for a record series.

What to keep… identify records that mean business and are needed as proof and evidence of business transactions and the conduct of government.

Examples: records related to policies, personnel/HR, facilities, purchasing, contracts, grants, disasters, historically significant, work orders.

What NOT to keep… transitory records that document information of temporary, short-term value, and is not needed as evidence in a business transaction or covered by a more specific record series.

Examples: Secondary (Duplicate) copies, reference materials, contact information, drafting and editing of correspondence/documents, requests for basic/routine agency information, and electric documents used to create signed paper records.

All staff E-mail notifications/communications such as agency memos and announcements, employment opportunities/job announcements, maintenance, training events, retirement, employee awards, newsletters and social events.

Chapter 434-662, WAC, Preservation of Electronic Public Records

WAC 434-662-040 Agency duties and responsibilities:

Electronic records must be retained in electronic format and remain usable, searchable, retrievable and authentic for the length of the designated retention period. Printing and retaining a hard copy is not a substitute for the electronic version unless approved by the applicable records committee.

Electronically stored information must be retained in its original electronic format with metadata intact!

Office 365 – Records Retention
How it Works

Office 365 Records Retention Labeling Process

- The administrator creates and publishes label(s) to locations selected in the label policy.

- The employee applies the appropriate label from a list to their documents or folders.

- Retention starts when the content is assigned a label.

- Employees can change a label that they assign to another label.

O365 Records Retention Instructions

Electronic Records Management - Classified Data

Agencies are required to protect data that is specifically protected from public disclosure (OCIO Standard No. 141.10)

Category 1 – Public Information: Public Information is information that can be or currently is released to the public. It does not need protection from unauthorized disclosure but does need integrity and availability protection controls.

** For Category 2, 3 or 4 Data please contact IGA&P for guidance on storage locations.

Category 2 – Sensitive Information: Sensitive Information may not be specifically protected from disclosure by law and is for official use only. Sensitive information is generally not released to the public unless specifically requested.

Category 3 – Confidential Information: Confidential information is information that is specifically protected from disclosure by law. It may include but is not limited to:
    a. Personal information about individuals, regardless of how that information is obtained.
    b. Information concerning employee personnel records
    c. Information regarding IT infrastructure and security of computer and telecommunications systems

Category 4 – Confidential Information Requiring Special Handling: Confidential information requiring special handling is information that is specifically protected from disclosure by law and for which:
    a. Especially strict handling requirements are dictated, such as by statutes, regulations, or agreements
    b. Serious consequences could arise from unauthorized disclosure, such as threat to health and safety, or legal sanctions

Managing Public Records
Electronic Records - "Scanning & Tossing"

When it makes sense!

1. The records **MUST** be "**NON-ARCHIVAL**" and covered by a current, approved records retention schedule by the State Records Committee in accordance with [RCW 40.14.050](#).

2. The records **MUST** be scanned and verified in a systematic and consistent fashion that ensures a complete and accurate copy of the source record in accordance with the guidelines in the ["Destruction Authorization for Records after Imaging"](#) form. Paper-based source records that have not been imaged completely and accurately **must not be destroyed**.

3. Images **MUST** be accessible and protected for the entire required retention period.

4. The records are **not** required for or subject to any of the following:
   a) Existing public records requests in accordance with chapter 42.56 RCW; or
   b) Ongoing or reasonable anticipated litigation; or
   c) Other legal requirements, federal statues, grant agreements, audits, etc that specifically requires retention of the original paper-based source record; or
   d) Archival transfer.

Electronic Records - Scanning & Tossing

Left form: WMD Form 0007-13

Scanning & Tossing Approval Form

Records Officer Use Only
DATE OF APPROVAL

1. Records Coordinator/Custodian Contact Information	2. Program Contact Information
RECORDS COORDINATOR/CUSTODIAN NAME	PROGRAM CONTACT NAME
DIVISION/UNIT/OFFICE	DIVISION/UNIT/OFFICE
TELEPHONE NUMBER	TELEPHONE NUMBER
EMAIL ADDRESS	EMAIL ADDRESS

Details about the records proposed for scanning and tossing, and storage of the scanned images, are listed below.

RECORD SERIES TITLE	DISPOSITION AUTHORITY NUMBER	HIGHEST CATEGORY OF INFORMATION (1-4):
IMAGE STORAGE LOCATION (FILE SERVER PATH)	ESTIMATED INITIAL FILE SIZE (GIGABYTES)	EST. MONTHLY FILE SIZE (GB)

3. Eligibility Requirements for Scanning and Tossing (completed by Program Contact)

Records are **NOT** eligible for scanning and tossing if these records:
- Are archival. Only non-archival records are eligible for early destruction after imaging.
- Are subject to an open public records request in accordance with chapter 42.56 RCW.
- Have been placed on litigation hold because there is potential or actual litigation.
- Have other legal requirements, federal statutes, grant agreements, etc. that prevent their destruction.

The conditions above do not apply to these records. If they apply in the future, destruction will be suspended until they no longer apply.

PROGRAM CONTACT SIGNATURE   DATE

4. Scan and Toss Minimum Requirements Checklist (completed by Records Coordinator/Custodian)

Are the records imaged in a way that ensures a complete and accurate copy?
- ☐ Quality control procedures are implemented to ensure capture of complete and accurate copies.
- ☐ Short-term records (six years or fewer) are imaged with an acceptable file format such as PDF, PDF/A, JPEG or TIFF.
- ☐ Long-term records (longer than six years) are imaged with an acceptable lossless file format such as TIFF or PNG.
- ☐ Black and white documents containing fonts no smaller than six-point and grayscale records are imaged with a resolution of at least 200 dpi.
- ☐ Black and white maps, engineering drawings, and other black and white documents containing fonts smaller than six-point, fine detail, or poor contrast, are imaged with a resolution of at least 300 dpi.
- ☐ Color records are imaged with a resolution of at least 150 dpi.

Are images accessible and protected for the entire required retention period?
- ☐ Appropriate steps are taken to protect images from deletion, alteration, or other damage / loss.
- ☐ Appropriate planning and strategies implemented for migration and technology changes.

I understand and agree to comply with the requirements above and the *Requirements for the Destruction of Non-Archival Paper Records After Imaging* provided by the Office of the Secretary of State.

RECORDS COORDINATOR/CUSTODIAN SIGNATURE   DATE

5. IT Authorization to Store Scanned Images on State Network

STATE IT STAFF SIGNATURE   DATE

6. Authorization to Destroy Paper-Based Source Records for Scanned Images

Request for destruction of imaged records is authorized.
RECORDS OFFICER SIGNATURE   DATE

Military Department staff MUST consult with the WMD Records Officer on all matters relating to the maintenance, retention, transfer and / or destruction of public records in accordance with RCW 40.14.040.

WMD Form 0007-13

Right form: WMD Form 0008-13

Washington Military Department (WMD)
Scanning and Tossing Quality Assurance Procedure Template

Division/Unit/Office			
Record Series Title(s) *[insert rows below if needed]*		DAN	

Description of Original Records to be Scanned and Tossed *[list by DAN if multiple]*

Approval	Name	Signature	Date
Records Coordinator/Custodian			
Manager			

Quality Assurance Procedure:

1. Within *[insert timeframe, for example, 30 days]* of *[insert event, for example, receiving the record]*, the *[insert position/title]* will scan the record to produce an image in accordance with the following parameters:
   a. Short-term records (six years or fewer) are imaged with an acceptable file format such as PDF, PDF/A, JPEG or TIFF.
   b. Long-term records (longer than six years) are imaged with an acceptable lossless file format such as TIFF or PNG.
   c. Black and white documents containing fonts no smaller than six-point and grayscale records are imaged with a resolution of at least 200 dpi.
   d. Black and white maps, engineering drawings, and other black and white documents containing fonts smaller than six-point, fine detail, or poor contrast, are imaged with a resolution of at least 300 dpi.
   e. Color records are imaged with a resolution of at least 150 dpi.
2. The *[insert position/title]* will:
   a. Open the image and compare it to the original record to ensure:
      i. The file format is appropriate for the record (e.g., TIFF or PNG for long-term records).
      ii. The image is accurate, complete, and of acceptable quality.
      iii. If 2.a.i or 2.a.ii is untrue, delete the image and return the record to step 1 of this procedure for reimaging.
   b. Save the image in the proper format using the following file naming convention and location:
      i. File Name: *[insert and explain file naming convention, for example, ### [ID#] Record Type v## [version #]]*
      ii. Location: *[insert location of folder on network file server]*
3. The *[insert position/title]* will:
   a. Open the saved image and compare it to the original record to ensure:
      i. The file name reflects the image and follows the file naming convention.
      ii. The image is accurate, complete, and of acceptable quality.
      iii. The file format is appropriate for the record (e.g., TIFF or PNG for long-term records).
      iv. If any of 3.a.i-3.a.iii is untrue, return the record to step 2 of this procedure for correction.
   b. Delete the original record by recycling or, if the document contains sensitive or confidential information, by shredding.

Original: Records Coordinator/Custodian
Copies: ☐ *[insert position/title]* ☐ *[insert position/title]* ☐ *[insert position/title]*

WMD Form 0008-13

Managing Public Records
To summarize...

1. Determine if it is a state record

2. Identify the record series
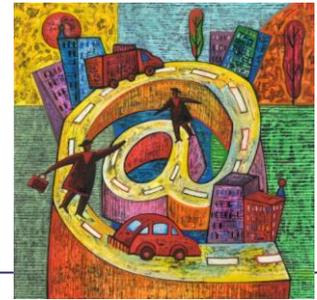
3. Maintain record - retention schedule

4. Dispose of record – destroy or archive

Managing Public Records
To summarize…

1. Everyone is responsible for the records they create, use and maintain.

2. Know the retention schedules for your records

3. Comply with WMD policies and procedures for records management, retention and disposition.

4. Electronic records are public records and must be kept in their original native format throughout their retention period on WMD sanctioned locations.

5. Data that is protected from disclosure by law must be properly secured.

6. Convert paper-based source records to digital format when practical and authorized in accordance with WMD Policy No. DIR-005a-13

Managing Public Records
Resources

Military Department Records Management Officer

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Military Department Public Records Officer

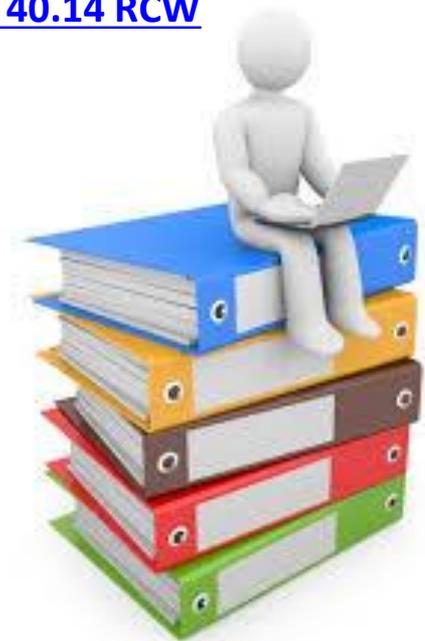Cynthia Whaley, cynthia.whaley@mil.wa.gov, (253) 512-8110

Washington State Preservation and Destruction of Public Records, ch. 40.14 RCW

Washington State Government General Records Retention Schedule

Military Department Records Retention Schedule

Washington State Records Management

Washington State Records Center

Questions?

What is Lean

Lean is a way of working where everyone is "maximizing customer value while minimizing waste" every day.

        - Lean Enterprise Institute

Training
Yellow Belt 2-Day Course

Upcoming Trainings	
Day 1	**Day 2**
Jan 20, 2022	Feb 17, 2022
Jan 27, 2022	Feb 24, 2022
Mar 10, 2022	Apr 8, 2022
Mar 24, 2022	Apr 21, 2022

Questions?