Inventorying & Scheduling Guidelines

For Agency Records Officers

Office of the Secretary of State
Archives & Records Management Division
Records Management Office

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TABLE OF CONTENTS

PART I: Guidelines for Conducting a Records Inventory

Introduction

A records inventory is the foundation of sound records management and should be the first step in establishing a records management program. An inventory locates, identifies and describes all agency records, regardless of physical form (electronic, paper, microfilm, etc.). Records are inventoried at the *records series* level (a set of related records used and filed as a unit), rather than at the item or folder level.

Analysis of the completed *inventory, the needs assessment*, leads to the formation of a strong *records management program*. Moreover, agencies have a legal responsibility to create and maintain a records management program. Records management programs can assist in creating better government services at less cost to Washington taxpayers.

Records Inventory Benefits

The records inventory is an essential first step in any agency's records management program. It will provide the Records Officer valuable information necessary to prepare agency records retention and disposition schedules. The inventory should:

- ❑ Provide an appraisal of the volume of records
- ❑ Identify a records series
- ❑ Determine location of a records series
- ❑ Identify records values: Administrative, Legal, Fiscal, Historical
- ❑ Identify essential, confidential, and obsolete records
- ❑ Determine storage needs for active and inactive records
- ❑ Establish reasonable retention and disposition periods
- ❑ Raise staff awareness of the importance of records management
- ❑ Determine the agency's need for automation and microfilming
- ❑ Provide an advantage in determining methods of increased efficiency and future storage cost
- ❑ Provide the foundation of a strong records management plan by assuring the agency's legal records management responsibilities

Planning the Inventory

Before conducting the physical inventory, the Records Officer may wish to consider doing a preliminary overview of the records to be inventoried. This can provide an overall look at the agency's records situation. Start the overview with cooperative departments and offices to ensure a successful beginning. Just as in the physical inventory, make sure to contact offices ahead of time, and to acquaint the office heads with the purpose and timetable of the interview. *Support from agency executive officers is essential. They should authorize the inventory and write to all units asking for cooperation.* In addition, the Records Officer should direct the inventory project and ensure its completion. An organizational chart will help staff determine which units to inventory, the order in which to inventory them, and how they relate to one another.

Conducting the Inventory

A logical first step would be visiting unit supervisors or those individual office records coordinators to explain the inventory process and how they will benefit. This will secure their cooperation and that of their staff. They should understand that inventory workers (preferably trained internal staff who are familiar with their records) will need access to all the office's records – electronic, microfilm, etc., and that they will need to ask questions as they work. Supervisors and staff should also see that the purpose of the inventory is to help them manage their files and not to criticize current filing methods (the inventory is not an audit). While in each unit, inventory staff should draw a map *(see example, page 13)* of the physical layout of the area and number each storage device (file cabinet, shelf, box, etc.). They should also note on the map the location of all the records series (sequence of records systematically classified and filed or as a group of records created for a specific activity or function). Not only will this be helpful when completing inventory worksheets, but also when formulating a disaster plan.

If conditions are favorable, the inventory can start with active office files. These take up the costliest space and are usually housed in file cabinets making them more expensive to store than inactive records that may be stored on metal shelving. It is important to look at the records and to open every file drawer and box since labels may not be accurate. When removing folders, place markers to ensure returning records to the same file locations.

Inactive records often comprise a significant percentage of active file space and by separating them from active records at the outset agencies, will realize immediate savings. File cabinets will be freed for future active files, inactive records can be transferred to less expensive storage areas, and any obsolete records can be flagged for disposal. Inventory workers can then progress to storage areas, both in-house and off-site.

The number of records created and maintained by the agency in electronic form is increasing dramatically. Agencies need to use different methods to inventory these records series. Several relevant issues must be addressed before the inventory: naming these records series, describing where and how records are stored, identifying hardware and software required for intelligible access and whether these records are *hardware or software dependent,* identifying file size and format, describing access and use patterns, describing data and application migration, and describing retention and preservation requirements. Inventory staff will need information regarding these issues when carrying out their work.

Inventory worksheets should be filled out per records series - per location. There may be additional records in basement storage areas that are part of the same series filed in an office. However, a separate inventory worksheet should be filled out for EACH location. This will ensure efficient access and retrieval of all records after the inventory and when it is time for transfer and disposition. Worksheets from the same records series but different locations should be cross-referenced. Inventory staff should **avoid abbreviations** to eliminate misinterpretations when later analyzing the information. *Publications created outside the agency and blank forms should be excluded from the inventory, since these are not records.*

An extremely beneficial product of the inventory can be a database containing information recorded to the inventory worksheets. This will allow agencies to identify all locations of a fragmented records series, and maintain an up-to-date inventory with a minimum of effort. They should consider automating the inventory process and/or the data as an option during the planning phase of the inventory.

Records Appraisal

Once you know what records the agency has, the next step is to decide how long each records series should be kept in the office and in storage before being destroyed. To do this you must determine the immediate and future usefulness of the records to the agency. In general, records should be retained in office areas as long as they serve the immediate administrative, legal and fiscal purposes for which they were created. When records no longer serve these purposes, they should be destroyed, transferred to a records center or, if flagged on an approved records retention schedule, deposited in the State Archives.

A realistic appraisal of the records series in relation to their period of usefulness and value to the agency reiterates a sound records management program. Evaluating the records inventory enables the Records Officer to:

- ❑ Establish reasonable retention periods
- ❑ Identify records that can be destroyed immediately
- ❑ Identify records that can be transferred to a records center
- ❑ Identify essential records
- ❑ Identify confidential records
- ❑ Classify records as Official Public Records, or Office Files & Memorandum (RCW 40.14.010) or non-records as defined in General Schedule 50

Analyzing the Inventory: Needs Assessment

The needs assessment is in essence a list of records management needs and difficulties within the agency. It should be based on data gathered from the inventory, discussions with supervisors and employees of divisions, and observations and experiences gained while conducting the inventory. It should also involve analysis and information gathering after the inventory and appraisal process. Consider the following items when determining records management needs.

- ❑ Staffing and training needs
- ❑ Space requirements
- ❑ Facility options: in-house/offsite
- ❑ Environmental and physical conditions appropriate for records
- ❑ Consolidation of records series
- ❑ Transfer of inactive records
- ❑ Disposal of obsolete records
- ❑ Policy and procedures documentation and review
- ❑ Security of records
- ❑ Technological options: appropriate and affordable?
- ❑ Accessibility of records
- ❑ Reference needs
- ❑ Establish security of essential records and disaster recovery
- ❑ Records Management program support

INVENTORY CHECKLIST

- ❑ Contact departments or unit/offices to be inventoried to explain the project[1]
- ❑ Determine the order in which to inventory them departments or unit/offices
- ❑ Visit departments or unit/offices to conduct a preliminary overview of the records to be inventoried
- ❑ Have each department unit/office head appoint a staff member to work with the inventory supervisor and serve as liaison
- ❑ Appoint Inventory Staff
- ❑ Write a work plan with a timeline
- ❑ Meet with and train department unit/office liaisons: explain inventory worksheets, distribute reference materials and work plan
- ❑ Draw maps of each area and include storage units
- ❑ Duplicate worksheets after filling in repetitive sections
- ❑ Procure supplies: worksheets, pencils, marking pens, and tape Measure, etc
- ❑ Assign a folder to each area with a map attached inside
- ❑ Complete one worksheet per records series per location

[1] Obtain authority signature from the department director, manager, etc. to conduct the inventory.

Washington Secretary of State
SAM REED

State Archives Records Management Office

Records Inventory Worksheet

Page ___ of ___

Date __________

Agency	Department/Division/Section		Building/Office/Cubicle #
Name of Contact Person Who Completed this Form	**Contact Person Phone #**	**Name of Records Coordinator**	**Records Coordinator Phone #**

Title of Records		Description	
Inclusive Dates	**Location of Records** ☐ Cube/Room # _____ ☐ File Drawer ☐ Network ☐ Other _________________	**Total Volume**	**Do indexes or finding aids exist for these records? If so, please describe them.**

Media Type	Frequency of Use	Original or Copies
☐ Paper ☐ Electronic ☐ CD-DVD ☐ Microfilm/fiche ☐ Video/Audio Tape ☐ Other __________________________	☐ Daily ☐ Weekly ☐ Monthly ☐ Annually ☐ Other ______________	☐ Original ☐ Primary ☐ Secondary ☐ Back-up If secondary copy, where is primary/original? ____________________________

FOR RECORDS OFFICER/RECORDS COORDINATOR USE ONLY

Records Series Title	Disposition Authority Number (DAN)	In-Office Retention	Records Center Retention	Cut-Off	Total Retention in Years
		Months _____ Years _____	Months _____ Years _____		

Remarks	Comments
☐ Essential ☐ Archival ☐ Confidential ☐ Other _________________________________	

Instructions for Completing the Inventory Worksheet

Archives & Records Management Division strongly recommends the use of the inventory worksheet. This worksheet can be completed on paper or electronically. It has been divided into two sections. The first section is for the "Contact Person" (i.e., the person filling out the worksheet). The second section is for the agency Records Officer and/or Records Coordinator.

Section One – For the "Contact Person"

Agency, Department/Division/Section and Building/Office/Cubicle

These three fields can be pre-filled when preparing the forms for the agency inventory.

Name and Phone of Person Completing Form

The Contact Person is defined as the individual completing the inventory worksheet for the office and/or section in their agency.

Name and Phone of Records Coordinator

The Contact Person should fill out the name of their Records Coordinator, or this can be a pre-filled section when preparing the forms for the agency inventory.

Title of Records

The Title of Records is the name selected by your office and/or section for your records or file(s). It does not have to duplicate a title from the State General Records Retention Schedule (State GS). However, it should be the correct title found on the Unique Records Retention Schedule (Unique Schedule).

Description

The Description should be as complete as possible. This will assist the Records Officer and/or Records Coordinator to determine if these records are in the State GS or require a revision to on a Unique Schedule.

Inclusive Dates

The Inclusive Dates are the month(s) and/or year(s) that the records inventorying process should start and end.

Location of Records

The Location of Records denotes where the records are stored.

Total Volume

The Total Volume indicates cubic feet, number of items, number of rolls, megabytes, etc.

Indexes or Finding Aids

Indexes or Finding Aids may include a files management system as simple as a listing of what is kept in each file cabinet, an electronic file folder system, a site map found on a web site, etc.

Media Type

The Media Type can be any form and more than one type of media for records. Examples include: paper, electronic, microfilm/fiche, CD-ROM, DVD, etc.

Frequency of Use

The Frequency of Use is how often the records are accessed.

Original or Copies

The Primary Copy would be considered the 'original' for the agency, even if it is not the actual original. The Secondary Copy is one received by another employee, division or agency.

Section Two – For Records Officer/Records Coordinator Use Only

Records Series Title
The Records Series Title is either obtained from the State GS or from an approved Unique Schedule.

Disposition Authority Number (DAN)
The DAN is either transposed form the State GS or an approved Unique Schedule DAN.

In-Office Retention
The In-Office Retention will be determined on a Unique Schedule, by the cut-off in the State GS, or determined by the Frequency of Use.

Records Center Retention
The Records Center Retention will be determined on a Unique Schedule, by the cut-off in the State GS, or determined by Frequency of Use.

Cut-Off
The Cut-off will be determined on a Unique Schedule or in the State GS.

Total Retention
The Total Retention will be determined on a Unique Schedule or in the State GS.

Remarks
The Remarks will already be determined on a Unique Schedule or in the State GS. "Other" could be a records series which is part of an Electronic Imaging System (EIS), or any other information relevant to the inventory.

Comments
The Comment section can be used for anything relevant to the inventory process, particularly if the records series is determined to be new.

MORE INFORMATION OR ASSISTANCE

The State Records Management Office recommends records coordinators or others performing this inventory first contact their agency Records Officer for information or assistance. Your Records Officer is your agency liaison with the State Records Management Office. Records Officers can contact their assigned records specialists at the State Records Management unit for assistance with filling out this form.

ARCHIVES AND RECORDS MANAGEMENT DIRECTORY		
ARCHIVES:	(360) 586-1492	research@secstate.wa.gov
RECORDS CENTER:	(360) 586-2487	recordscenter@secstate.wa.gov
IMAGING SERVICES:	(360) 586-0749	dtuckett@secstate.wa.gov
RECORDS MANAGEMENT:	(360) 586-4900	thoward@secstate.wa.gov

TABLE OF CUBIC FOOT EQUIVALENTS

File Folder Drawers

Quantity	Item and Size Description	Cubic Feet
1	File Drawer, Letter-size Vertical	1.5
1	File Drawer, Legal –size Vertical	2.0.
1	File Drawer, Letter-size Lateral	2.0.
1	File Drawer, Legal-size Lateral	2.5

Shelf Units

Quantity	Item and Size Description	Cubic Feet
1	Open Shelf, Letter-size – 36” long	2.0
1	Open Shelf, Legal-size – 36” long	2.5
1 linear ft	Open Shelving, Letter-size – Various Lengths	0.75
1 linear ft	Open Shelving, Legal-size – Various Lengths	1.0

Off-Site Storage Containers

Quantity	Item and Size Description	Cubic Feet
1	Check Storage Box, Standard (3.5”x 8”x 24”)	0.4
1	Records Ctr Storage Box, Standard (10”x12”x15”)	1.0
1	Storage Box Large/Letter-size (10”x12”x36”)	2.0
1	Storage Box Large/Legal-size (10”x15”x36”)	2.5
1	Tab Storage (3.5”x8”x14”)	0.2
1	Map Storage (6”x6”x36”)	0.7
1	Map Storage (6”x6”x48”)	1.0
1	Map Storage (4”x4”x48”)	0.4

Map or Plan Drawers

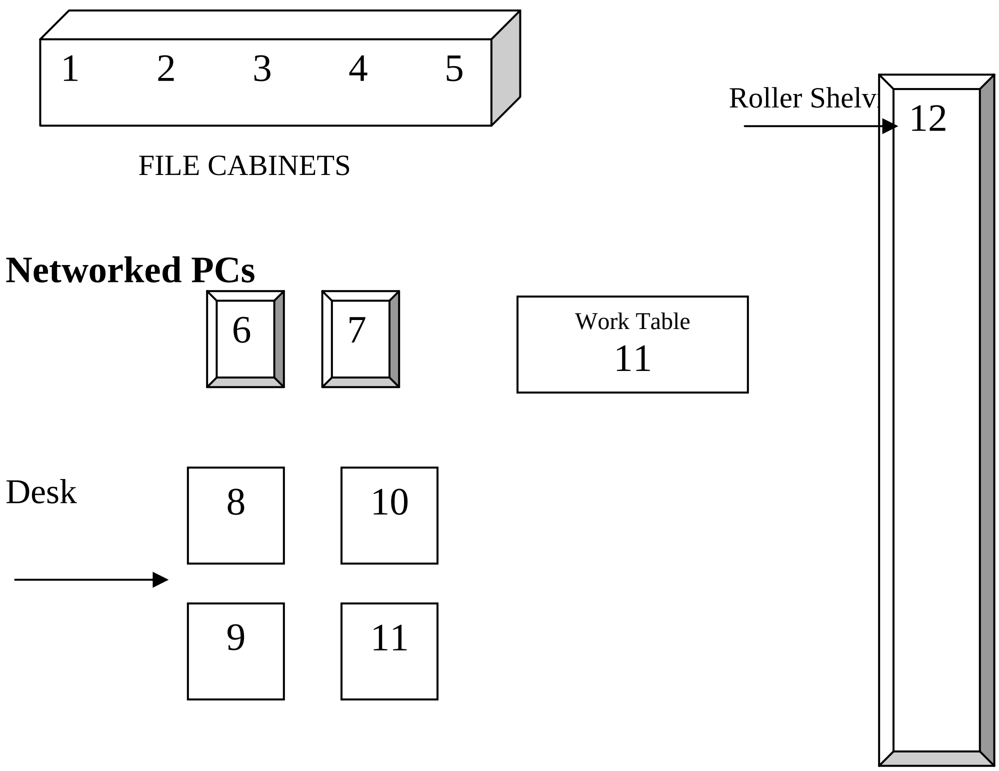
Quantity	Item and Size Description	Cubic Feet
1	2”x 26”x 38” Flat	1.1
1	2”x 26”x 50” Flat	2.2
1	4”x 26”x 38” Flat	2.3
1	4”x 26”x 50” Flat	4.4

Map or Plan Tubes

Quantity	Item and Size Description	Cubic Feet
1	2”x 26”x 38” Roll	0.1
1	2”x 26”x 50” Roll	0.1
1	4”x 26”x 38” Roll	0.3
1	4”x 26”x 50” Roll	0.5

Other Situations: To convert measurements of items of other size into Cubic Feet, use the following formula: Measure in inches and then multiply the item’s LENGTH x WIDTH x HEIGHT then divide the total by 1728 to equal cubic feet.

SAMPLE INVENTORY MAP



Office:______________________________

Building:______________________________

Address:______________________________

Room:______________________________

Date:______________________________

Map Drawn By:______________________________

NEEDS ASSESSMENT CHECKLIST

Issues to consider

The needs assessment document analyzes the information gathered during the records inventory and discusses areas of concern, possible solutions and future goals. It is a fundamental component in the development of a records management plan.

- ❑ Advisory Board
- ❑ Appraisal
- ❑ Archives
- ❑ Automation
- ❑ Budgeting
- ❑ Collections
- ❑ Conservation/Preservation
- ❑ Confidentiality
- ❑ Disaster Recovery
- ❑ Disposition
- ❑ Equipment
- ❑ Environment
- ❑ Facilities
- ❑ Files Management
- ❑ Information Technology
- ❑ Inventory (including updates)
- ❑ Legislation
- ❑ Microfilming
- ❑ Policies/Procedures
- ❑ Processing
- ❑ Public Relations
- ❑ Publications
- ❑ Reference
- ❑ Reproduction
- ❑ Safety
- ❑ Scheduling
- ❑ Security
- ❑ Staffing
- ❑ Training
- ❑ Users/Uses
- ❑ Vendors/Consultants
- ❑ Essential Records
- ❑ ________________
- ❑ ________________
- ❑ ________________

PART II: Guidelines for Scheduling

Why a Records Retention and Disposition Schedule?

Records retention and disposition schedules are vital to every records management program. The regular use of records retention and disposition schedules provides the following:

- *Ensures that records have been retained for as long as they are needed*
- *Ensures the prompt and legal disposition of records after they are no longer needed*
- *Frees file cabinets and office and storage space for reuse, saving the cost of new equipment or new construction*
- *Reduces the amount of staff time required to manage unneeded or obsolete records and locate needed documents*
- *Facilitates the identification and preservation of archival records*

The purpose of a records retention and disposition schedule is to ensure that records are retained as long as they are needed by a state government agency for administrative, fiscal, legal, or historical/research purposes. Minimum records retention periods are determined by careful study and analysis of records by the agencies' appointed records officer[2] to determine their potential value for these purposes. Understanding the meaning of these different kinds of "values" is key to understanding the importance of using a records retention and disposition schedule, and, therefore, to operating a sound records management program.

<u>Administrative value</u> means that the records/document has value for as long as the information it holds is necessary for program operations or for the continued administration of the program or the agency. If a records possessing administrative value were accidentally disposed of, it would directly affect a state government agency's ability to carry out its duties.

<u>Fiscal value</u> identifies records that document money received, managed, and spent, and establishes an audit trail. Records with fiscal value include, for example, audit reports, bills of sale, receipts, and accounting registers.

<u>Legal value</u> means that the records document the rights or responsibilities of a government and its citizens. In court cases, records of legal value can support a state government agency, whether it is the plaintiff or the defendant. Records having legal value include, for example, maps and plans, permits and approvals, logs, indexes, and contracts.

<u>Historical or enduring value</u> is found in records that are valuable for the information they contain about a state government agency, its activities, and the citizens it serves. These are records that document the history of a community and its citizens, or that have value for future program and policy analysis by the government. Records with continuing historical or other research value include, for example, minutes, tax rolls, deeds, mortgages, building permits, census records, maps, and architectural drawings.

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[2] *Records Officers are designated at each agency to supervise its records program and to represent the office in all contacts with the state records committee and the division of archives and records management. A records officer's designation, power and duties are described in RCW 40.14.040.*

Types of Schedules

There are general schedules and unique schedules. State General Schedules are designed for records that are common to many government offices; unique schedules are designed for records that are specific to an agency.

Records Series Appraisal for Scheduling

The agency records schedules are developed through a comprehensive analysis and appraisal process. Assembled information, including a *completed inventory worksheet*, applicable laws and regulations, and surveys of internal offices.

A records retention and disposition schedule describes the life cycle of specific records series[3] and eventually the time to destroy, send to Archives, or otherwise dispose of the records. State law requires State Records Committee approval of state agency submitted retention schedules before any records destruction can occur. State agency schedules are submitted to the Secretary of State's Archives and Records Management Division, Records Management Section for review prior to State Records Committee consideration.

Records officers should compare each records series developed for the State General Records Retention Schedules for Agencies of Washington State Government (State General Schedule). If the information gathered does not substantially match the content and function of a series contained in the State General Schedule, it is probably unique to your agency and will require a unique retention schedule describing the records and proposed retention periods.

Unique records retention and disposition schedules must be developed along agency lines, with schedules written for specific agency office/units. Agency based schedules facilitate either transfer of inactive records to a records center and final destruction, or transfer to the Archives for historical preservation.

Records series must be reviewed on an annual basis and revised as needed. Since state laws, services and office operations are constantly revised, agency schedules must reflect its current business practices. These are subsequently submitted for review by the Records Management office, State Records Committee, and the State Archival Appraisal Committee for approval. The Records Management office is willing to review a draft of a schedule before it is finalized. Review of a draft can often save time and work. Upon final approval the agency records officer is mailed a copy of the schedule and the original is filed at the Records Management office.

Using the State General Schedule

The State General Schedule is approved and ready to use by any state government agency. After the appraisal and designation that the records series is a State General Schedule item, it is your authority to dispose of records after these records exceed the specified retention periods, and are no longer needed for any purpose. Retention periods listed in the State General Schedule pertain to information contained in records regardless of media: paper, microfilm, computer disk or tape, audio or videotape, or other forms. Whatever the medium, state government agencies must retain records for the length of time specified by the scheduled retention periods and must ensure that they are accessible for the full retention period. A retention requirement is not met, for example, without the hardware and software needed to “read” a record that exists only in machine-readable form.

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[3] *A records series is a group of documents, volumes, folders, or other records having the same physical form and one or more of the following aspects: Arrangement under a single filing system; Relation to a particular subject; Documentation of a particular kind of transaction. See WAC 434-663-270.*

Before using the State General Schedule, take time to read the introduction and become familiar with the functional headings. The records series in the State General Schedule are written in general terms, and are arranged under headings that reflect their function (e.g., fiscal). Under each functional heading are schedule items that describe the purpose or function of records (e.g., audit) rather than identify individual documents or forms. Records, whose content and function are substantially the same as an item described on the schedule, should be considered covered by that item.

When using the State General Schedule, records officers should determine whether they are dealing with a primary copy of a records or a secondary (duplicate) copy produced for informational purpose (which can be discarded if no longer needed) or if the secondary copy has a specific administrative, fiscal or legal purpose (which will need to be scheduled separately). This is determined from the inventory worksheet or by consulting with appropriate personnel in the offices where the records are used.

The State General Schedule's retention periods apply to primary copies of the records. Duplicate copies are covered on the State General Schedule's cover pages at the beginning of each section. By identifying primary and duplicate copies, those redundant or convenience copies may be eliminated, freeing space and equipment.

The State General Schedule contains similar records that could be found within most state governments. No one state government agency will have all of the records listed in the State General Schedule. If a state government agency does not normally create records, the presence of that item on a State General Schedule does not mean that it must now do so. It means only that if the state government agency at some point creates the records, then that records must be retained for the listed period.

The records series contained in the State General Schedule are developed to be broad, all encompassing documents, applicable to many different types of state government agency offices. For agency's internal offices, it is recommended that records officers distribute State General Schedule items specific to their office. State General Schedule items cannot be revised or altered. They are already approved and should NOT to be submitted with an agencies unique schedule for the Review & Approval Process. However, state government agencies can make recommendations for new records series to be added to, and revisions to existing records series, in the State General Schedule. See our web site at www.secstate.wa.gov/archives.

Preparing an Agency Unique Schedule

All records having a value must be scheduled. With the exception of non-records defined in Section GS 50 of the State General Schedule, which can be discarded as soon as they are read and should never reach a filing cabinet. See the State General Schedules for examples.

Schedules are timetables that identify a records series and the length of time records must be kept in active and inactive status prior to final disposition. Working directly from your completed inventory worksheet to prepare your schedule you can determine:

- Agency office & person responsible for the records series
- Records series media type (paper, auto-video, microfilm, electronic)
- Title and description of the records series
- Copy status (primary or duplicate) & location of other copies
- Classification - Official Public Records (OPR) or Office Files & Memoranda (OFM). *RCW 40.14.010*
- Value (administrative, fiscal, legal, historical/research)
- Years covered by the records series

Determining a Records Series Retention

Determining a retention period best suited to a records series requires careful analysis and consideration of the information gathered during the inventory process. No records should be destroyed while it still has significant value. No records should be retained after its value has been exhausted. Do not keep records based on "someone may need them someday." Maintaining records on this basis uses valuable resources and is costly to your agency. Evaluation for retention periods should be based on:

> *Statutory or regulatory requirements* for specific records retention periods are infrequent. Statutes and regulations are usually geared toward actions rather than records. Records retention may be inferred, however, by the need to provide evidence of a particular action. When a statute or regulation is being cited as the basis for a retention period, the specific statute or regulation should be indicated on the records inventory worksheet and added to the retention schedule.
>
> *Audit requirements* usually only apply to financial or fiscal records. These requirements are most often limited to retention of three or four years. Do not assign retention periods based on what an individual auditor wants. The auditing authority should make this determination.

Approval of Retention & Disposition Schedules

The State Records Committee has sole statutory authority for approval of state agencies' records retention schedule requests in accordance with the provisions of chapter 40.14 RCW. The Records Management office has been assigned authority to assign Disposition Authority Numbers (DANs) after Committee approval, conduct a comprehensive analysis and recommend appropriate schedule modifications, and dispense schedules for the appropriate level of signature authority need as outlined below.

State Records Committee (SRC) Approval	**Records Management Office Approval**
New records series.	Discontinued records series.
Increase in 'Office' retention or 'Total' retention.	Records series being transferred from one agency to another.
Revision to cut-off.	Series being transferred from one office to another within the agency.
Major change to title and/or description which completely alters the function of the series.	Minor revisions to title and/or description which do not completely alter the function of the series.
OPR/OFM designation changes to records series.	Increase in Records Center retention, with no change to total retention.
Change in media type.	Reinstatement of DAN with no major changes to the series function.

The review and approval process establishes agency records management procedures, safeguards the integrity of the State Records Committee's approval authority, and provides quality control for the DAN system. This process is streamlined by eliminating duplicate effort and potential error caused by submission of schedules with records series that do not require approval.

General Schedule records do not require additional approval and should not be included when submitting a unique schedule for this process. Unique records series submitted on a schedule without a revision statement indicating what change is being requested or containing a previously approved revision statement will not be accepted. The Records Management office has been authorized by the Committee to *return these to the agency records officer unprocessed.*

For State Records Committee Member guidelines, Records Management Office Guidelines and State Records Committee Prior Review procedures see our web site at www.secstate.wa.gov/archives.

Archives & Records Management Division Services

The Archives section mission is to centralize the archives of the state of Washington, to make them available for reference and scholarship and to ensure their proper preservation. Their duties include: appraisal of all state government records for archival value; designation of records that shall be transferred to the Archives; preservation of historical records of the State as a public trust; and assuring availability of records to researchers (RCW 40.14.030).

The Records Management office provides records management services to state and local governments including technical advice and assistance, publications, training, and consultations with records officers concerning records and information management issues. The section staff has experienced records specialist who can visit and provide on-the-spot advice. They also provide administrative staff and services to the State and Local Records Committee (RCW 40.14.010 and RCW 40.14.060).

The State Records Center provides low-cost, secure, and accurate off-site storage for state agency records that need to be retained, but do not need to be kept in more expensive office space. Services include training, consultation, supplies, box pick-up, storage, reference and refilling, and records disposal.

Imaging Services provides micrographic production, security microfilm inspection/storage, and data-imaging conversion under current industry standards. Services are provided at actual cost by contract and include consultations on alternative media storage options.

The State Records Committee was formed by RCW 40.14.050. The committee is required to approve, modify, or not approve the recommendations submitted on a records retention schedule. The committee consists of the State Archivist and representatives from the Office of the Attorney General, the State Auditor, and the Office of Financial Management. The committee may adopt appropriate procedures for records disposition authorization, scheduling and other matters relating to retention, preservation or destruction of public records.

The committee meets at least once a quarter in an open public meeting. These meetings are generally held as business dictates on the first Wednesday of each month at 1:30 p.m. in the Archives & Records Building in Olympia, Washington.

Archival Appraisal Committee: The committee consists of four archivists. When agency records officers submit a unique records series for State Records Committee approval, these schedules are also routed to the Archival Appraisal Committee to appraise the records series for their historical and/or enduring value. The State Archivist uses this committee's recommendations.

The Digital Archives is the nation's first facility of its kind, dedicated to preserving electronic records of legal, fiscal or historic value from both State and Local agencies. The Digital Archives provides simple, straight-forward access to researchers anywhere in the world at anytime. The facility holds unique and critical electronic records and has a custom designed web interface and database storehouse.

Washington Secretary of State SAM REED	Washington State Archives Records Management Section PO Box 40238 Olympia, WA 98504-0238 (360) 586-4901	REQUEST FOR RECORDS RETENTION SCHEDULE AND DISPOSITION AUTHORITY NUMBER REFERENCE: RCW 40.14	PAGE		OF	

AGENCY OFM NO.	AGENCY	OFFICE NAME	OFFICE NO.

ADDRESS (MS or Street, City and Zip Code)	RECORDS COORDINATOR CONTACT NAME	RECORDS COORDINATOR PHONE NO.

RECORDS OFFICER NAME	RECORDS OFFICER SIGNATURE (Required) I hereby certify that I have completed an appraisal of the records series and examined this schedule for accuracy.	RECORDS OFFICER PHONE NO.	DATE OF SUBMITTAL

ITEM NO.	STATUS / TITLE / DESCRIPTION	OPR/OFM	CUT-OFF	RETENTION			DISPOSITION AUTHORITY NO. (DAN)	ARCHIVAL DESIGNATION/REMARKS
				ACTIVE (Months in Office)	INACTIVE (Months in Records Center)	TOTAL (Years)		
	☐ NEW ☐ REVISED ☐ DISCONTINUED ☐ TRANSFER Title: Revision No. / Statement							
	☐ NEW ☐ REVISED ☐ DISCONTINUED ☐ TRANSFER Title: Revision No. / Statement							
	☐ NEW ☐ REVISED ☐ DISCONTINUED ☐ TRANSFER Title: Revision No. / Statement							

STATE RECORDS COMMITTEE / RECORDS MANAGEMENT STAFF ACTION			
ACTION: ❑ **Approved** ❑ **Returned to agency for further work**			**DATE OF ACTION:**
FOR THE STATE AUDITOR	FOR THE ATTORNEY GENERAL	FOR THE OFFICE OF FINANCIAL MANAGEMENT	FOR THE STATE ARCHIVIST
AUTHORIZED RECORDS MANAGEMENT STAFF SIGNATURE: For minor revisions to title / description, increase in Records Center retention / reduction in office retention (no change to total), series discontinued and replaced by the State General Schedules, and office transfers.			FOR RECORDS MANAGEMENT STAFF

AR-002 (04/05)

Instructions for Completing the Records Retention Schedule

Archives and Records Management Division will only accept the approved Request For Records Retention Schedule and Disposition Authority Number, Form AR-002, when submitting records series to the State Records Committee.

Agency OFM Number

Indicate the three-digit number assigned to your agency by Office of Financial Management. If you do not know this number, contact the Records Management Office for assistance.

Agency

Give the full, legal name of your agency. Please do not use acronyms, or include the acronym in parentheses after.

Office Name

Give the complete division/office/section name. Please do not use acronyms, or include the acronym in parentheses after.

Office number

Indicate the internal office number. Contact the Records Management office if you are unsure what this is or need assistance in creating internal office numbers for your agency.

Address (MS or Street, City, and Zipcode)

If your agency uses Consolidated Mail Services, enter the office mail stop only. If no Consolidated Mail Services is available, please enter your complete mailing address.

Records Coordinator Contact Name and Phone Number

Please enter the Records Coordinator name and phone number for the division/office/section.

Records Officer Name, Signature and Phone Number

The agency records officer signature is required to certify that they have completed an appraisal of the records series and examined this schedule for accuracy by signing any schedule submitted for approval.

Date of Submittal

Enter the date that the schedule is submitted to the Records Management office.

Item Number

This is the number of the series as it is listed on the schedule. However, some agencies use an internal item number from their agency database. This number is not utilized by the Records Management office.

Status

a. New: Put an X in this box if the records series is new and needs a DAN assigned to it.
b. Revised: Put an X in this box if this is a series that already exists which needs revisions made to it.
c. Discontinued: Put an X in this box if this is an existing series which is being discontinued to utilize another records series or is no longer received, collected or created by the agency. Contact the Records Management office for specific wording which must be included in the revision statement for discontinued records series.
d. Transfer: Put an X in this box if the series is being transferred to another office or another agency.

Title

Be specific and descriptive. Spell out acronyms and use simple terms. You may be familiar with the series, but others who look at the schedule may not.

Description
Describe the function/purpose of the series. Again, spell out acronyms. Keep the description as simple and brief as possible, but providing adequate information to fully describe the series.

Revision Number/Statement
The revision number should be the next number after the last approved revision. If there have never been any revisions, the revision number would be 1 (one). For the revision statement, describe what you are changing the records series FROM. You do not need to include what you are changing the series TO, as that information would be in the corresponding columns (i.e., Revise retention from 24/48/6 years, or, Change cut-off from 'Calendar Year'.

OPR/OFM
Determine if this series is an 'Official Public Records' (OPR) or 'Office Files and Memoranda' (OFM). For help in determining this, please see RCW 40.14.010.

Cut-Off
This is the date or event which begins the retention period. (i.e., Case Closed, Termination of Contract, Calendar Year, Fiscal Year, Date of Document, etc.)

Retention
a. Active (Months in Office): This is how many months an agency would like the records kept in the office filing system (i.e., 1 years = 12 months, 2 years = 24 months, etc.).
b. Inactive (Months in Records Center): This is how many months the agency would like the records held at the State Records Center.
c. Total (Years): This is the total – in years- of the retention period for the records series. Add the months from office and months from Records Center storage and put total in this space.

Disposition Authority Number (DAN)
If this series already exists, put the 9 digit DAN here. IF the agency is requesting a new series, leave this space blank. The Records Management office will assign a new number when the series has been approved by the State Records Committee.

Archival Designation/Remarks
This column is used to list statutes or other citations pertaining to the series retention. It is also used by the State Archives to denote if the series is Archival or Essential. Please note that this area can also be used to put in the amount of cubic feet this series takes in your office.

The former glossary was removed from the Inventory and Scheduling Guidelines. To reference a complete glossary, please refer to the State General Records Retention Schedule on our web site at www.secstate.wa.gov/archives.