
	<h1>POLICY AND PROCEDURE</h1>	
SUBJECT: Records Management Policy	GROUP: Administration	NUMBER: 100-05
FIRST READING: March 17, 2020 EFFECTIVE DATE: June 16, 2020	SUPERCEDES: 100-05 dated April 1, 2003	
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1.0 PURPOSE

The City of Shelton's *Records Management Program* was established to provide direction and guidance to City employees and elected officials in the management of records created or received in the conduct of City business, and to ensure the City manages its records in compliance with applicable state, federal laws and rules.

2.0 DEPARTMENTS AFFECTED

All City departments.

3.0 REFERENCES

Office of the Secretary of State – Washington State Archives Division of Records Management – Common Records Retention Schedule (CORE): CORE is the guideline used to identify records series, a retention schedule, special maintenance instructions, and procedures for disposing of records.

<http://www.sos.wa.gov/archives/recordsretentionschedules.aspx>

Revised Code of Washington – Chapter 40 Records and Chapter 42 Public Records Act (RCW's are the compilation of all permanent laws currently in force)

<https://apps.leg.wa.gov/rcw/>

Washington Administrative Code – Chapter 434-600 through 434-840 (WACs are administrative regulations, or rules, adopted by state agencies' executive branch)

<https://app.leg.wa.gov/wac/>

Shelton Municipal Code – 2.06 City Departments; 2.18 City Manager; 2.22 City Clerk

https://sheltonwa.gov/government/municipal_code

City of Shelton Policies & Procedures – 100-01; 100-6; 100-7; 100-12; 100-17; 100-24; 200-1610; 200-1650 and 200-1651 w:\commonallstaff\citypolicies

4.0 POLICY AND PROCEDURE

In order to manage the City's records in an efficient manner, streamline paper flow, provide for document archiving, minimize storage constraints, and remain in compliance with applicable laws, rules, policies and procedures, which govern agency record keeping practices, the City's Record Management Program will implement best practices to include:

- Annual identification and disposal of obsolete records,
- The transfer of historically valuable records to the Washington State Archives system (Olympia Branch,
- Removal of non-essential records from office storage areas,
- Protection and security backup of records essential to City authority and operations,
- Disaster preparedness,
- Records system integrity and accessibility; and,
- Effective compliance with disclosure of public records requests

5.0 DEFINITIONS

5.1 Staff Designations

5.1.1 City Clerk: The City Clerk is the designated Public Records Officer. The Public Records Officer is responsible for the City's Records Management Program and provides advice, direction, support, and oversees the management of said records, policies and procedures.

5.1.2 City Clerk's Designee: The City Clerk's Designee is responsible for tracking records and information that pertains to the legislative and executive branches of the City, and provides liaison support to department Records Designees to ensure the City's Records Management Program is being followed.

5.1.3 Records Designee: A Records Designee is assigned by their department director to manage and maintain its department's records. Examples of responsibilities include, but are not limited to, ensuring the physical safety and protection of records, day-to-day management of records (paper and electronic), archiving, following the City's Records Management Policy, and working in coordination with the City Clerk and/or their designee.

5.2 Records Series

5.2.1 Active/Semi-Active Records: Records/information regularly used to conduct government activities are reviewed annually to ensure only the active and semi-active records are stored.

5.2.2 Inactive Records: Records/information that are accessed on a limited basis.

5.2.3 Essential Records: Records/information that are essential to the continuous operation of the City. These records/information do not necessarily have a permanent retention or historic value, but are preserved ensuring that in the event of a disaster, the information can be easily accessed and operations can continue.

5.2.4 Historical Records: Historical records/information document the history of the government and community. Historic records/information contain significant

information about persons, places, events, governmental events and are sometimes records and information that are valuable because of their age or rarity. Records and information that are determined to require preservation and are no longer required to remain on-site are transferred to the Washington Secretary of State Archives Division.

5.2.5 Electronic Records/Information: Electronic records are to be easily accessible and preserved for the required retention period on a City server in a format that preserves the integrity of the original record. Retention schedules apply to email, social media, text, voice messages, websites and databases. A printed hard copy of an electronic record is not a substitute for the electronic version.

6.0 PROCEDURES

6.1 Active/Semi-Active Records/Information: It is the responsibility of each department Records Designee to maintain and manage all active and semi-active records/information specific to their department.

6.2 Essential Records/Information Protection: In the Spring of each year, the City Clerk and/or their designee will work with department Record Designees to identify essential records/information and project the costs association with their preservation.

6.3 Inactive Records/Information & Storage – In the Spring of each year, Department Records Designees will compile a list of records that have become inactive and, after an interdepartmental review, will designate a record Disposition Authority Number (“DAN”) using the Washington State General Records Retention Schedule. The department Records Designee will determine the record/information termination date and assign a destruction date to the record/information, and record the information in the City’s records data system. For records/information that are to be stored in the City’s central records storage area, the City Clerk and/or their Designee will assign a shelving location to the Records Center Label. The department Records Designee will then move the files/records to the appropriate shelving location and input all the information relating to the inactive records/information into the City’s information database.

6.4 Inactive Records/Information Activation – Records Designees must submit a completed Inactive Records Request form to the City Clerk’s Office. If the review of the file is temporary, the file will be provided to the requesting staff with an expected date of return. If staff is seeking reactivation, the City Clerk’s Designee will review the request, and ask the City Clerk for comments. After a decision has been made, a notation will be indicated on the form and returned to the City Clerk’s Designee who will then notify staff of the decision. If the request has been approved, the City Clerk’s Designee will pull the record/information from its central storage location and remove it from the records database, unless it is determined by the City Clerk to leave the record in the database and assign a new inactive date. If not approved, the City Clerk’s Designee will forward the City Clerk’s comments to the requestor and the record will remain archived.

6.5 Destruction of Inactive Records/Information Past Retention Period -- The department Records Designees will prepare a list of records that are scheduled for destruction along with the *Records Destruction/Transfer Checklist* and a *Request for*

In-House Destruction to the City Clerk and/or their Designee for review and approval prior to destruction of any records. The Department Records Designee will destroy the records after obtaining required signatures from the Clerk’s Office.

6.6 Transfer to State Archives of Historical Records – The City Clerk and/or their Designee will prepare a list of records/information that is scheduled for transfer to the Washington State Archives and forward the list along with the *Records Destruction/Transfer Checklist* to the appropriate department Records Designee for review and interdepartmental approval. The City Clerk will perform the final review of the request. Requests will be returned with comments and/or authorization. Records/information to be transferred to the Washington State Archives, the City Clerk or their Designee will update the information in the City's records database and then transfer the documents/information to the Washington State Archives

6.7 Electronic Records – Records/information created and/or received in the transaction of public business are public records and subject to the laws, regulations and rules governing the retention, disclosure, destruction and archiving of public records/information. Electronic records must be retained in electronic format and remain searchable, usable, retrievable and authentic for the length of the designated retention period. Employees have 60 days from the date a communication is sent or received to determine if the email meets the criteria as retainable. If so, the electronic record will be placed in a pre-assigned folder on the W:\ Drive for the required retention period.

6.8 Information Technology Staff – Information Technology staff will assist the City Clerk and/or Designee as well as department Records Designees in developing, implementing, and maintaining an electronic records storage system that supports this policy and a disaster recovery backup system for City documents/information.