Chapter 446-20 WAC
EMPLOYMENT—CONVICTION RECORDS

WAC
446-20-010 General applicability. Statutory Authority: RCW 43.43.830 -[43.43.]845, chapters 10.97, 28A.400 and 74.15 RCW. [446-20-620] 446-20-620 Superintendents of public instruction—Current educational employees hired prior to June 11, 1992. [Statutory Authority: RCW 43.43.830 - [43.43.]845, chapters 10.97, 28A.400 and 74.15 RCW. WSR 96-18-017, § 446-20-620, filed 8/26/96, effective 9/26/96.] Repealed by WSR 98-19-041, filed 9/11/98, effective 10/12/98. Statutory Authority: RCW 43.43.830.

WAC 446-20-010 General applicability. The regulations in this chapter will apply to state and local criminal justice agencies in the state of Washington that collect and maintain or disseminate criminal history record information. The regulations will also apply to criminal justice or other agencies outside the jurisdiction of the state of Washington for the purpose of the dissemination of criminal history record information to other agencies by state of Washington criminal justice agencies. The provisions of chapter 10.97 RCW do not generally apply to the courts and court recordkeeping agencies. The courts and court recordkeeping agencies have the right to request and receive criminal history record information from criminal justice agencies. The regulations are intended to cover all criminal justice records systems that contain criminal history record information, whether the systems are manual or automated. Chapter 10.97 RCW defines the rights and privileges relating to criminal history record information and should not be interpreted to redefine or amend rights or privileges relevant to any other kinds of records or information.

WAC 446-20-020 Definitions. For the purpose of this section the following apply:

(1) The definitions in RCW 10.97.030 will apply to these regulations.

(2) The definitions as enumerated in RCW 43.43.830 through 43.43.845, and as amended by chapter 9A.44 RCW, "An act relating to child and adult abuse information," will apply whenever applicable in these regulations.

(3) "Nonconviction data" has the meaning set forth in RCW 10.97.030(2), but will not include dismissals following a period of probation, or suspension, or deferral of sentence.

(4) "Section" means the identification and criminal history section of the Washington state patrol.

(5) "The administration of criminal justice" has the meaning set forth in RCW 10.97.030(6), but does not include crime prevention activities (if that is the sole function of the program or agency) or criminal defense activities.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-010, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-010, filed 7/1/08.]
WAC 446-20-030 Convictions under appeal or review. A conviction followed by an appeal or other court review may be treated as conviction information or as information pertaining to an incident for which a subject is currently being processed by the criminal justice system until such time as the conviction is reversed, vacated, or otherwise overturned by a court; but, notations of pending appeals or other court review will be included as a part of a person's criminal record if the agency disseminating the record has received written confirmation of such proceedings from the court.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-030, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-030, filed 7/1/80.]

WAC 446-20-040 Deferred prosecutions. (1) A deferred prosecution under chapter 10.05 RCW of an alleged offender does not become nonconviction data until more than one year has elapsed since arrest, citation, charge, or service of warrant, or there is a final decision to dismiss charges or not to prosecute, whichever occurs first.

(2) A deferred prosecution under this section will not be subject to deletion under RCW 10.97.060 until there is a final decision to dismiss charges or not to prosecute.

(3) Notwithstanding subsection (2) if this section, the section retains the discretion to refuse to delete nonconviction data as provided in RCW 10.97.060.

[Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-040, filed 11/3/15, effective 12/4/15; WSR 80-08-057 (Order 80-2), § 446-20-040, filed 7/1/80.]

WAC 446-20-050 Criminal justice agencies. (1) The following agencies will be considered criminal justice agencies for the purpose of chapter 10.97 RCW and these regulations.

(a) The Washington state patrol;

(b) Foreign, federal, state, and local governmental law enforcement agencies;

(c) State, county, or municipal agencies that have responsibility for the detention, pretrial release, posttrial release, correctional supervision, or rehabilitation of accused persons or criminal offenders;

(d) Indeterminate sentence review board;

(e) Courts at any level for the administration of criminal justice.

(2) An agency or portion thereof that has been certified as a criminal justice agency pursuant to WAC 446-20-060.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-050, filed 12/17/09, effective 1/17/10; WSR 97-05-048, § 446-20-050, filed 2/18/97, effective 3/21/97. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-050, filed 7/1/80.]

WAC 446-20-060 Certification of agencies. (1) An agency or portion of an agency that asserts a right to receive criminal history record information based on its status as a criminal justice agency must show satisfactory evidence of its certification as a criminal justice agency prior to receiving such information. The section will certify such an agency or portion of an agency, based on a showing that the agency or portion of an agency, meets the definition of a criminal justice agency in RCW 10.97.030. Agencies or portions of agencies which assert the right to be certified as a criminal justice agency must submit a written request for certification to the section on the form provided under WAC 446-20-430.

(2) An agency or portion of an agency that asserts a right to receive nonconviction criminal history record information must show satisfactory evidence of certification to receive such information. Certification by the section will be granted based upon statute, ordinance, executive order, or a court rule, decision, or order which expressly refers to nonconviction criminal history record information, and which authorizes or directs that it be available or accessible for a specific purpose.

(3) The application must include documentary evidence which establishes eligibility for access to criminal history record information.

(4) The section will make a determination in writing on the eligibility or noneligibility of the applicant. The written determination, together with reasons for the decisions, will be sent to the applicant.

(5) The section must keep a current list of all agencies that have been certified to receive criminal history record information.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-060, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-060, filed 7/1/80.]

WAC 446-20-070 Inspection—Individual's right to review record. Every criminal justice agency must permit an individual who is, or believes he may be, the subject of a criminal record maintained by that agency to come to the central records keeping office of that agency during its normal business hours and request to inspect said criminal history record.

To the extent that criminal history record information (CHRI) exists (which includes and will be limited to identifiable descriptions and notations of arrests, detentions, indictments, informations, or other formal criminal charges, and any dispositions arising therefrom, including sentences, correctional supervision and release) is interfiled with other records of the department the agency may extract the CHRI for review.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-070, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-070, filed 7/1/80.]

WAC 446-20-080 Inspection—Forms to be made available. The criminal justice agency must make available a request form to be completed by the person who is, or believes he or she may be, the subject of a criminal record maintained by that agency. The form must be substantially equivalent to that set forth in WAC 446-20-400.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-080, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-080, filed 7/1/80.]

[Ch. 446-20 WAC p. 2]
WAC 446-20-090 Inspection of record by the subject of record. (1) Any person desiring to inspect his or her criminal history record information or request a copy of his or her nonconviction data for a reasonable fee may do so at the central records keeping office of any criminal justice agency or at the Washington state patrol identification and criminal history section, during normal business hours, Monday through Friday, excepting legal holidays.

(2) Any person desiring to inspect his or her criminal history record information or request a copy of his or her nonconviction data for a reasonable fee must first permit his or her fingerprints to be taken by the criminal justice agency for identification purposes, if requested to do so. The criminal justice agency in its discretion may accept other identification in lieu of fingerprints.

(3) A reasonable period of time, not to exceed thirty minutes, will be allowed each individual to visually examine criminal history record information pertaining to himself or herself.

(4) If any person who desires to examine his or her criminal history record information is unable to read or is otherwise unable to examine same because of a physical disability, he or she may designate another person of their own choice to assist him or her. The person about whom the information pertains must execute, with his or her mark, a form provided by the criminal justice agency consenting to the inspection of criminal history information pertaining to himself or herself by another person for the purpose of it being read or otherwise described to him or her. Such designated person will then be permitted to read or otherwise describe or translate the criminal history record information to the person about whom it pertains.

(5) Each criminal justice agency will develop procedures to ensure that no individual improperly retains or mechanically reproduces nonconviction data during the process of inspection.

WAC 446-20-100 Inspection—Timeliness and manner of agency response. (1) A criminal justice agency not maintaining criminal history record information of the individual requesting inspection will not be obligated to further processing of inspection request.

(2) A criminal justice agency maintaining criminal history record information of the individual requesting inspection must respond in the manner following and as soon as administratively convenient, but in no event later than ten business days from the date of the receipt of the request.

(a) If the criminal history record information concerns offenses for which fingerprints were not submitted to the section, the agency must respond by disclosing the identifiable descriptions and notations of arrests, charges, and disposition that are contained in the files of the agency.

(b) If the criminal history record information concerns offenses for which fingerprints were submitted to the section, the agency upon request of the subject of the record, must forward the request to the section for processing.

(c) The section will copy all Washington state criminal history record information in the files of the section relating to the individual requester and forward it to the criminal justice agency submitting the request. The section may provide a copy of the individual's nonconviction data directly to the subject of record upon written request from the individual for a reasonable fee.

(d) Upon receipt by the criminal justice agency of the requester's criminal history record information, the agency will notify the requester at his or her designated address or telephone number that the requested information is available for inspection. The subject of the criminal history record information must appear at the agency during its normal business hours for purpose of inspecting the record.

WAC 446-20-120 Challenge—Individual's right to challenge. A subject seeking to challenge the accuracy or completeness of any part of his or her criminal history record information must do so in writing, clearly identifying that information which he or she asserts to be inaccurate or incomplete. This includes only records generated by Washington state criminal justice agencies.

WAC 446-20-130 Challenge—Forms to be made available. Every criminal justice agency which authorizes individuals to use its facilities for the purpose of inspecting their criminal history record information must provide an appropriate challenge form and the address of the agency whose record entry is being challenged. Such forms must be substantially equivalent to that set forth in WAC 446-20-450.

WAC 446-20-140 Challenge—Agency to make determination. The agency which initiated the criminal history record information being challenged must:

1. Not later than ten business days after receiving the written challenge, acknowledge receipt of the challenge in writing; and
2. Promptly, but in no event later than ten business days after acknowledging receipt of the challenge, either:
   a. Make any correction of any portion of the criminal history record information which the person challenging such information has designated as being inaccurate or incomplete.
   b. Inform the person challenging the criminal history record information, in writing, of the refusal to amend the criminal history record information, the reason for the refusal, and the procedures for review of that refusal.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-100, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-100, filed 7/1/80.]

[Ch. 446-20 WAC p. 3]
WAC 446-20-150 Correction of erroneous information. (1) The originating agency must send information correcting the previously incorrect information to all agencies and persons to which the previously incorrect information was disseminated by the originating agency. This obligation will be limited to disseminations made within one year of the date on which the challenge was initiated.

(2) Any criminal justice agency maintaining criminal history record information within the state must adopt a procedure which, when significant information in a criminal history record maintained on an individual is determined to be inaccurate, leads to the dissemination of corrected information to every agency and person(s) to which the prior erroneous information was disseminated within the preceding one year.

WAC 446-20-160 Review of refusal to alter record. A person who is the subject of a criminal record and who disagrees with the refusal of the agency maintaining or submitting the record to correct, complete, or delete the record, may request a review of the refusal within twenty business days of the date of receipt of such refusal. The request for review must be in writing, and must be made by the completion of a form substantially equivalent to that set forth in WAC 446-20-410. If review is requested in the time allowed, the head of the agency whose record or submission has been challenged must complete the review within thirty days and make a final determination of the challenge. The head of the agency may extend the thirty-day period for an additional period not to exceed thirty business days. If the head of the agency determines that the challenge should not be allowed, he or she must state his or her reasons in a written decision, a copy of which must be provided to the subject of the record. Denial by the agency head will constitute a final decision under RCW 34.04.130.

WAC 446-20-170 Secondary dissemination. (1) Criminal justice agencies that receive state criminal history record information from the section may disseminate them further, "but only to the same extent to which the section itself would be authorized to make dissemination in the first instance." Nonconviction data based on an incident that arose in the jurisdiction of that agency about to make the dissemination is not subject to this restriction, if the agency is otherwise authorized to disseminate such information.

(2) Noncriminal justice agencies authorized to receive criminal history record information from whatever source may use it only for the specific purpose for which the agency is certified and shall not disseminate it further.

(3) Use of criminal history record information contrary to chapter 10.97 RCW or chapter 446-20 WAC may result in suspension or cancellation of authorization.

WAC 446-20-180 Dissemination pursuant to contract for services. (1) Criminal history record information which includes nonconviction data may be disseminated pursuant to a contract to provide services, as set forth in RCW 10.97.050(5). The contract must contain provisions giving notice to the individual or agency to which the information is to be disseminated that the use of such information is subject to the provisions of chapter 10.97 RCW and these regulations, and federal statutes and regulations, which must be cited with express reference to the penalties provided for a violation thereof.

(2) When a criminal justice agency uses an information system containing criminal history record information that is controlled and managed by a noncriminal justice agency, the noncriminal justice agency may disseminate criminal history record information only as authorized by the criminal justice agency. Authorization must be established in a contract between the criminal justice agency and the noncriminal justice agency providing the management service or support. Any criminal justice agency entering a contract with a noncriminal justice agency must require that the noncriminal justice agency and personnel, who utilize criminal history record information, meet the same physical security and personnel standards as set forth by the Washington state patrol under RCW 10.97.090.

All programs, tapes, source documents, listings, and other developmental or related data processing information containing or permitting any person to gain access to criminal history record information, and all personnel involved in the development, maintenance, or operation of an automated information system containing criminal history record information, are subject to the requirements of RCW 10.97.050(5) and these regulations. A statement to this effect must be included in the contract.

The contract for support services must be substantially similar to that set forth in WAC 446-20-440.

WAC 446-20-190 Dissemination—Research purposes. Criminal history record information which includes nonconviction data may be disseminated for research purposes according to the provisions of RCW 10.97.050(6). The transfer agreement provided for by that section must be substantially similar to that set forth in WAC 446-20-420 (model transfer provisions).
WAC 446-20-200 Disclosure to assist victim. A criminal justice agency may, but need not, disclose investigative information to "persons who have suffered physical loss, property damage, or injury compensable through civil action" as contemplated by RCW 10.97.070. Disclosure may be made to the apparent victim; an attorney, parent or guardian acting for the victim or an executor or administrator of an estate of a deceased victim; an authorized agent of the victim; another law enforcement or criminal justice agency making inquiry on behalf of the victim; and/or, upon an appropriate showing, an indemnitor, assignee, insurer, or subrogee of the victim. Written capacity to act on behalf of the victim may be required by the agency. Investigative information which "... may be of assistance to the victim in obtaining civil redress" may include but is not limited to:

1. The name, address, and other location information about a suspect, witness, and in the event of a juvenile, the suspect's parent or guardian;
2. Copies of the incident report; and in person review of documents, photographs, statements, and other materials collected in the course of an investigation;
3. The location of, and identity of receivers and custodians of stolen property and of property recovered as lost and found property;
4. The progress of proceedings arising from the incident and the disposition of any prosecution or other action.

An agency making a disclosure is not expected to evaluate the merits of a victim's claim for civil relief. Disclosure merely indicates the information has been received and the agency reasonably believes the information may be useful to the recipient in seeking civil redress. Disclosure does not constitute an opinion or comment upon the existence or merits of a claim and it does not vouch for the accuracy or completeness of the information.

Disclosures made to victims under the authority of RCW 10.97.070 must be considered in conjunction with chapter 42.56 RCW, chapter 46.52 RCW (Confidentiality of accident reports and statements), civil and criminal court rules governing discovery and other state and federal laws.

WAC 446-20-210 Protection from accidental loss or injury. Criminal justice agencies (hereinafter, agency(s)) and noncriminal justice contractors, (hereinafter, contractor(s)) which collect, retrieve, and/or store and disseminate criminal history record information in manual and automated systems, must institute procedures for the protection of criminal history record information from environmental hazards, including fire, flood, power failure, or other natural or man-made disasters, or in accordance with local fire, safety, and building codes.

WAC 446-20-220 Protection against unauthorized access. Criminal history record systems, whether dedicated to criminal justice purposes, or shared, will be designed and operated in accordance with procedures which will assure that:

1. Access to criminal history record information facilities and system operating areas (whether for computerized or manual systems) and the content of data files and systems documentation, will be restricted to authorized personnel. These procedures may include use of guards, keys, badges, passwords, sign-in logs, or similar safeguards.
2. All facilities which house criminal history record information must be designed and constructed so as to reduce the possibility of physical damage to the information resulting from unauthorized access.
3. Criminal history record information is stored in such a manner that will prevent modification, destruction, access, change, purging, or overlay of criminal history record information by unauthorized personnel.
4. Operational programs are used in computerized systems that will prohibit inquiry, record updates, or destruction of records from any terminal other than those authorized to perform criminal history record information functions.
5. The purging or destruction of records is limited to personnel authorized by the criminal justice agency or through contract with the noncriminal justice agency as required under WAC 446-20-180, and consistent with WAC 446-20-230.
6. Refuse from the criminal history record information system installations is transferred and destroyed under such reasonably secure conditions as will effectively guard against unauthorized availability.
7. Operational procedures are used in computerized systems to detect and store unauthorized attempts to penetrate any criminal history record information system, program or file, and that such information is made available only to criminal justice agency employees with responsibility for system security, or as authorized by WAC 446-20-180.
8. The procedures developed to meet standards of subsections (4) and (7) of this section, are known only to authorized employees responsible for criminal history records information system control.

WAC 446-20-230 Personnel security. (1) Agencies and contractors which collect and retrieve, or are authorized to maintain or modify, criminal history record information must: Identify those positions which are of such a sensitive nature that fingerprints of employees will be required and used to conduct a criminal record background investigation. Such background investigations will be the responsibility of the criminal justice agency and may consider the date, the disposition, number, and seriousness of any previous arrests or convictions. Decisions concerning employment will be the responsibility of the employing agency or contractor.
2. When agency or contractor personnel violate the provisions of chapter 10.97 RCW or other security requirements established through administrative code for the collection, storage and dissemination of such information, agencies or contractors, as defined by subsection (1) of this section, must initiate, or cause to be initiated, action that will ensure the
WAC 446-20-240 Personnel training. (1) Criminal justice agencies will be required directly, or in cooperation with the criminal justice training commission to familiarize their employees and those of the contractors, with all federal, state, and local legislation, executive orders, rules, and regulations, applicable to such a system.

(2) Training to be provided must include not only initial training, but continuing training, designed to maintain among criminal history record information system personnel current knowledge and operational proficiency with respect to security and privacy law and regulations.

WAC 446-20-250 Contractor personnel clearances. (1) No personnel of a noncriminal justice agency will be granted access to criminal history record information without appropriate security clearance by the contracting agency or agencies.

(2) To provide evidence of the person's security clearance, the grantor of such clearance may provide an authenticated card or certificate. Responsibility for control of the issuance, or revocation of such clearances must rest with the grantor.

WAC 446-20-260 Auditing of criminal history record information systems. (1) Every criminal justice agency, including contractors authorized to collect, retrieve, maintain, and disseminate criminal history record information pursuant to WAC 446-20-180, must make its records available under RCW 10.97.090(3) to determine the extent of compliance with the following:

(a) Dissemination records as required under RCW 10.97.050(7);

(b) Security procedures as required by RCW 10.97.090 (1); and

(c) Personnel standards as required by RCW 10.97.090 (2).

(2) Personnel engaged in the auditing function will be subject to the same personnel security requirement as required under WAC 446-20-230, 446-20-240, and 446-20-250, as employees who are responsible for the management and operation of criminal history record information systems.

WAC 446-20-250 Employment—Conviction records. Every criminal justice agency which collects, retrieves, maintains, and/or disseminates criminal history record information must establish written rules and regulations setting forth security and personnel procedures for authorized access to criminal history record information files or adopt administrative regulations promulgated by the Washington state patrol.

WAC 446-20-280 Employment—Conviction records. (1) A conviction record will be furnished consistent with the provisions of RCW 43.43.815, upon the submission of a written or electronic request of any employer, accompanied by fingerprints and other identifying data of the employee or prospective employee.

(2) Fingerprints must be submitted on cards of the type specified by the section, and must contain a certification by the employer that the information is being disseminated to and will be available only to persons involved in the hiring, background investigation, or job assignment of the person whose record is disseminated, that the record will be used only as necessary for the purposes enumerated in this section, and that the request for conviction data is for one of the following purposes:

(a) Securing a bond required for any employment;

(b) Conducting preemployment and postemployment evaluations of employees and prospective employees who, in the course of employment, may have access to information affecting national security, trade secrets, confidential or proprietary business information, money, or items of value; or

(c) Assisting an investigation of suspected employee misconduct where such misconduct may also constitute a penal offense under the laws of the United States or any state.

WAC 446-20-285 Employment—Conviction records. Conviction information will be furnished by the state patrol upon written or electronic request of any applicant, business or organization, the state board of education, or the department of social and health services. This information will consist of the following:

(1) Convictions of crimes; and

(2) Criminal history information will be furnished from the section, consistent with the provisions of RCW 43.43.830 through 43.43.840, upon receipt of a written or electronic request.

School districts, the superintendent of public instruction, educational service districts, and their contractors will also receive conviction information under RCW 10.97.030 and 10.97.050 pursuant to chapter 159, Laws of 1992.

The section will also furnish any similar records maintained by the Federal Bureau of Investigation or records in custody of the National Crime Information Center, if avail-
able, subject to their policies and procedures regarding such dissemination.

(a) The business or organization making such request will not make an inquiry to the Washington state patrol or an equivalent inquiry to a federal law enforcement agency unless the business or organization has notified the applicant who has been offered a position as an employee or volunteer that an inquiry may be made.

(b) For positive identification, the request for criminal history information form may be accompanied by fingerprint cards of a type specified by the section, and must contain a certification by the business or organization; the state board of education; or the department of social and health services, that the information is being requested and will be used only for the purposes as enumerated in RCW 43.43.830 through 43.43.845.

(c) In the absence of fingerprint cards, the applicant may provide a right thumb fingerprint impression in the area provided on the request for criminal history information form. In the event of a possible match to the applicant's name and date of birth, the right thumb fingerprint impression will be used for identification verification purposes only.

(d) After processing a properly completed request for criminal history information form, if the conviction record, disciplinary authority final decision, or equivalent response from a federal law enforcement agency shows no evidence of crimes, an identification declaring the showing of no evidence will be issued to the business or organization by the section within fourteen working days of receipt of the request. Possession of such identification will satisfy future record check requirements for the applicant for a two-year period.

(e) The business or organization must notify the applicant of such availability.

(f) The business or organization will be immune from civil liability for failure to request background information on a prospective employee or volunteer unless the failure to do so constitutes gross negligence.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 12-17-114, § 446-20-285, filed 8/21/12, effective 9/21/12; WSR 10-01-109, § 446-20-285, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.030 and 43.43.830-43.43.845 [43.43.830-43.43.845]. WSR 03-05-007, § 446-20-285, filed 2/7/03, effective 3/10/03. Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 97-05-048, § 446-20-285, filed 2/18/97, effective 3/21/97. Statutory Authority: RCW 43.43.760, 43.43.815 and 43.43.838. WSR 92-15-015, § 446-20-285, filed 7/6/92, effective 8/6/92. Statutory Authority: RCW 43.43.838 and 1987 c 486 § 5. WSR 88-07-066 (Order 88-03-A), § 446-20-300, filed 3/17/88. Statutory Authority: 1982 c 202 § 1(7). WSR 82-22-006 (Order 82-5), § 446-20-300, filed 10/22/82.]

**WAC 446-20-310 Audits.** (1) All employers or prospective employers receiving conviction records pursuant to RCW 43.43.815 must comply with the provisions of WAC 446-20-260 through 446-20-270 relating to audit of the recordkeeping system.

(2) Businesses or organizations, the state board of education and the department of social and health services receiving conviction records or disciplinary board final decision information may be subject to periodic audits by Washington state patrol personnel to determine compliance with the provisions of WAC 446-20-300(2).

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 12-17-114, § 446-20-310, filed 8/21/12, effective 9/21/12; WSR 10-01-109, § 446-20-310, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.090. WSR 91-24-099 (Order 91-004), § 446-20-310, filed 12/4/91, effective 1/14/92. Statutory Authority: RCW 43.43.838 and 1987 c 486 § 5. WSR 88-07-066 (Order 88-03-A), § 446-20-310, filed 3/17/88. Statutory Authority: 1982 c 202 § 1(7). WSR 82-22-006 (Order 82-5), § 446-20-310, filed 10/22/82.]

**WAC 446-20-400 Form of request to inspect record.**

**INSPECTION OF RECORD REQUEST**

(RCW 10.97.080/WAC 446-20-070)

Agency .........................................................

Agency No ...................................................

Date .........................................................

Time .........................................................

I, , , request to inspect my criminal history record information maintained in the files of the above named agency.

I was born (Date of Birth) in (Place of Birth), and to ensure positive identification as the person in question, I am willing to submit my fingerprints in the space provided below, if required or requested.

(11/3/15)

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(Fill in and check applicable box)
Because I am unable to read □; I do not understand English □; otherwise need assistance in reviewing my record □; I designate and consent that __________, whose address is . . . . . . . . . . . . , assist me in examining the criminal history record information concerning myself.

Prints of right four fingers taken simultaneously (Signature or mark of Applicant)

(Address)

(Signature of Designee)

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-400, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-400, filed 7/1/80.]

WAC 446-20-410 Form of request to review refusal to modify record.

REQUEST FOR REVIEW OF REFUSAL TO MODIFY RECORD

(RCW 10.97.080/WAC 446-20-160)

Date . . . . . . . . . . . . . .

I, __________, request the head of __________, to review and make a final determination of my challenge to the accuracy or completeness of my criminal history record information maintained by __________.

My challenge, a copy of which is attached, was made on __________, and was refused on __________. I request that my challenge be allowed and my record be modified in accordance with such challenge.

(Signature of Applicant)

(Address of Applicant)

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-410, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-410, filed 7/1/80.]

WAC 446-20-420 Model agreement for research, evaluative or statistical purposes.

AGREEMENT made this . . . day of . . . , 20. . . , between . . . . . . . . . . . . , (hereinafter referred to as "RESEARCHER") and . . . . . . . . . . . . , (hereinafter referred to as "CRIMINAL JUSTICE AGENCY")*

WHEREAS the RESEARCHER had made a written request to the CRIMINAL JUSTICE AGENCY dated . . . . . . . . . . . . , a copy of which is annexed hereto and made a part hereof, and

WHEREAS the CRIMINAL JUSTICE AGENCY has reviewed said written request and determined that it clearly specifies (1) the criminal history record information sought, and (2) the research, evaluative or statistical purpose for which the said information is sought,** and

WHEREAS the RESEARCHER represents that (he) (she) (it) is in receipt of, and is familiar with, the provisions of chapter 10.97 RCW, 28 C.F.R. Part 22, including provisions for sanctions at Parts 22.24(e) and 22.29 thereof,

NOW, THEREFORE, IT IS AGREED AS FOLLOWS:

1. The CRIMINAL JUSTICE AGENCY will supply the following items of information to the RESEARCHER:

(Describe in detail)***

2. The RESEARCHER will:

(a) Use the said information only for the research, evaluative, or statistical purposes described in the above mentioned written request dated . . . . . . . . . . . . , and for no other purpose;

(b) Limit access to said information to the RESEARCHER and those of the RESEARCHER's employees whose responsibilities cannot be accomplished without such access, and who have been advised of, and agreed to comply with, the provisions of this agreement, and of 28 C.F.R. Part 22;****

(c) Store all said information received pursuant to this agreement in secure, locked containers;

(d) So far as possible, replace the name and address of any record subject with an alpha-numeric or other appropriate code;

(e) Immediately notify the CRIMINAL JUSTICE AGENCY in writing of any proposed material changes in the purposes or objectives of its research, or in the manner in which said information will be used.

3. The RESEARCHER will not:

(a) Disclose any of the said information in a form which is identifiable to an individual, in any project report or in any manner whatsoever, except pursuant to 28 C.F.R. Part 22.24 (b)(1)(2).

(b) Make copies of any of the said information, except as clearly necessary for use by employees or contractors to accomplish the purposes of the research. (To the extent reasonably possible, copies will not be made of criminal history record information, but information derived therefrom which is not identifiable to specific individuals must be used for research tasks. Where this is not possible, every reasonable effort must be made to utilize coded identification data as an alternative to names when producing copies of criminal history record information for working purposes.)

(c) Utilize any of the said information for purposes or objectives or in a manner subject to the requirement for notice set forth in 2.(e) until specific written authorization therefor is received from the CRIMINAL JUSTICE AGENCY.

4. In the event the RESEARCHER deems it necessary, for the purposes of the research, to disclose said information to any subcontractor, (he) (she) (it) must secure the written

[Ch. 446-20 WAC p. 8]
agreement of said subcontractor to comply with all the terms of this agreement as if (he) (she) (it) were the RESEARCHER named herein.****

5. The RESEARCHER further agrees that:
   (a) The CRIMINAL JUSTICE AGENCY shall have the right, at any time, to monitor, audit, and review the activities and policies of the RESEARCHER or its subcontractors in implementing this agreement in order to assure compliance therewith; and
   (b) Upon completion, termination or suspension of the researcher, it will return all said information, and any copies thereof made by the RESEARCHER, to the CRIMINAL JUSTICE AGENCY, unless the CRIMINAL JUSTICE AGENCY gives its written consent to destruction, obliteration or other alternative disposition.

6. In the event the RESEARCHER fails to comply with any term of this Agreement the CRIMINAL JUSTICE AGENCY will have the right to take such action as it deems appropriate, including termination of this Agreement. If the CRIMINAL JUSTICE AGENCY so terminates this Agreement, the RESEARCHER and any subcontractors must forthwith return all the said information, and all copies thereof, to the CRIMINAL JUSTICE AGENCY or make such alternative disposition thereof, as is directed by the CRIMINAL JUSTICE AGENCY. The exercise of remedies pursuant to this paragraph will be in addition to all sanctions provided by law, and to legal remedies available to parties injured by disclosures.

7. INDEMNIFICATION. The RESEARCHER agrees to indemnify and hold harmless (CRIMINAL JUSTICE AGENCY) and its officers, agents and employees from and against any and all loss, damages, injury, liability suits and proceedings however caused, arising directly or indirectly out of any action or conduct of the (RESEARCHER) in the exercise or enjoyment of this agreement. Such indemnification will include all costs of defending any such suit, including attorney fees.

IN WITNESS WHEREOF the parties have signed their names hereto this . . . day of . . . , 20 . . .

........................................ (CRIMINAL JUSTICE AGENCY)
by ........................................

(Name)

Title: ........................................

(RESEARCHERS)
by ........................................

(Name)

Title: ........................................

COMPLIANCE AGREEMENT of employee, consultant or subcontractor.

(I) (We), employee(s) of, consultant to, (and) (or) subcontractor of the RESEARCHER, acknowledge familiarity with the terms and conditions of the foregoing agreement between the CRIMINAL JUSTICE AGENCY and RESEARCHER, and agree to comply with the terms and conditions thereof in (my) (our) use and protection of the criminal history record information obtained pursuant to the foregoing agreement.

........................................ (date)  ........................................ (signature)

........................................ (date)  ........................................ (signature)

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-420, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 43.43.760, 43.43.815 and 43.43.838. WSR 92-15-015, § 446-20-420, filed 7/6/92, effective 8/6/92. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-420, filed 7/1/80.]

WAC 446-20-430 Certification request.

INSTRUCTIONS

This form is for agencies requesting certification for access to Criminal History Record Information (hereinafter referred to as "CHRI").

REQUEST FOR CERTIFICATION

1. Agency making request:
   a. Name:  ........................................
   b. Address:  ........................................
      Street    City    State    Zip
   c. Telephone Number: ( . . . . . ) ........................................
      Area Code
   d. Official or employee who should be contacted concerning the application.

2. Cite specifically the statutory or regulatory provisions which establish your agency as a governmental agency, and the provisions which indicate your agency’s need for CHRI.

3. Attach a copy of the above provision(s) to this application and indicate, by marking, the specific language upon which you base your request.

4. State your agency’s need for access to CHRI relative to the above cited provisions.

   I hereby affirm that all facts and representations made in this document are true and accurate to the best of my knowledge, information and belief.

   Signature of person filling out form

   ........................................
   Title

   ........................................
   Date

[Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-430, filed 7/1/80.]

WAC 446-20-440 Contract for support services model agreement under WAC 446-20-180. (Some provisions may not be applicable in all cases and are noted accordingly.)
I. General Provisions
   A. Parties: This agreement is made and entered into this ___ day of _______, 20___, by and between (____(head of agency))_. Administrator of (____(criminal justice agency))_ and (____(head of agency)_) of (Support Services Agency of "User").
   B. Purpose of Agreement: This agreement authorizes (user) to collect, retrieve, maintain and/or disseminate criminal history record information (hereinafter, CHRI) pursuant to RCW 10.97.050(5), WAC 446-20-180, and the terms of this contract. In addition, it provides for the security and privacy of information in that dissemination to criminal justice agencies must be limited for the purposes of the administration of justice and criminal justice agency employment. Dissemination to other individuals and agencies must be limited to those individuals and agencies authorized by either the Washington state patrol, under chapter 10.97 RCW or local ordinance, as specified by the terms of this contract, and must be limited to the purposes for which it was given and may not be disseminated further.

II. Duties of Criminal Justice Agency
   A. In accordance with federal and state regulations, (criminal justice agency) agrees to furnish complete and accurate criminal history information to user, pursuant to RCW 10.97.040.
   B. (Criminal justice agency) must specify and approve those individuals or agencies authorized to obtain CHRI, which includes nonconviction data, pursuant to RCW 10.97.050(4) or by local ordinance.

III. Duties of User
   A. (User) will collect, retrieve, maintain and/or disseminate all information covered by the terms of this agreement in strict compliance with all present and future federal and state laws and regulations. In addition, all programs, tapes, source documents, listings, and other developmental or related data processing information containing or permitting any person to gain access to CHRI and all personnel involved in the development, maintenance, or operation of an automated information system containing CHRI are subject to the requirements of RCW 10.97.050(5) and WAC 446-20-180.
   B. (User) will obtain the assistance of the (criminal justice agency) to familiarize its personnel with and fully adhere to section 524(b) of the Crime Control Act 1973 (42 U.S.C. 3771(b)), 28 C.F.R. Part 20, chapter 10.97 RCW and chapter 446-20 WAC, promulgated by the Washington state patrol.
   C. (User) will disseminate CHRI only as authorized by chapter 10.97 RCW and as specified by (criminal justice agency) in this agreement.
   D. (User) agrees to fully comply with all rules and regulations promulgated by the Washington state patrol, pursuant to RCW 10.97.090(2), regarding standards for the physical security, protection against unauthorized access and personnel procedures and safeguards.
   E. (User) agrees to permit access to its records system for the purposes of an audit, as specified under RCW 10.97.090(3).

IV. Suspension of Service
   (Criminal justice agency) reserves the right to immediately suspend furnishing information covered by the terms of this agreement to (User), when any terms of this agreement are violated. (Criminal justice agency) will resume furnishing information upon receipt of satisfactory assurances that such violations have been fully corrected or eliminated.

V. Cancellation
   Either (criminal justice agency) or (user) may cancel this agreement upon thirty days notice to the other party.

VI. Indemnification
   User hereby agrees to indemnify and hold harmless (criminal justice agency) and its officers, agents and employees from and against any and all loss, damages, injury, liability suits and proceedings however caused, arising directly or indirectly out of any action or conduct of the (user) in the exercise or enjoyment of this agreement. Such indemnification will include all costs of defending any suit, including attorney fees.

VII. Construction
   This agreement will be liberally construed to apply to both manual and automated information systems wherever and whenever possible.

(CRIMINAL JUSTICE AGENCY) (USER)

By: ___________________________ By: ___________________________

Title: ___________________________ Title: ___________________________

Date: ___________________________ Date: ___________________________

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-440, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 43.43.760, 43.43.815 and 43.43.838. WSR 92-15-015, § 446-20-440, filed 7/6/92, effective 8/6/92. Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-440, filed 7/1/80.]

WAC 446-20-450 CHRI challenge form.

CHRI CHALLENGE FORM

(REQUEST FOR MODIFICATION OF CHRI)

RCW 10.97.080/WAC 446-20-120

AGENCY __________________ AGENCY CASE NO. __________

ADDRESS __________________ DATE ________________

______________________________

I, (Print Name), hereby acknowledge review this date, ______, of a copy of a CHRI rap sheet bearing agency number ________, or SID number ________, consisting of ______ page(s) and identified as a history of criminal offenses charged to me.

I challenge the following specific portion(s) of the CHRI as being inaccurate or incomplete:

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<tr>
<th>Agency</th>
<th>Case No.</th>
<th>Date</th>
<th>Charge</th>
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</tbody>
</table>
and request modification to read:

I further request, if such modifications are determined to be valid, that all agencies who have received prior copies of the CHRI be advised of the modifications.

(Signature of Challenger)

[Statutory Authority: RCW 10.97.080 and 10.97.090. WSR 80-08-057 (Order 80-2), § 446-20-450, filed 7/1/80.]

WAC 446-20-500 Sex offender and kidnapping offender registration. RCW 9A.44.130 requires any adult or juvenile residing in this state who has been found to have committed or has been convicted of any sex offense or kidnapping offense to register with the county sheriff for the county of that person's residence. The sheriff is required to forward the registration information to the section within five working days. The Washington state patrol is mandated to maintain a central registry of sex offenders and kidnapping offenders consistent with chapters 10.97, 10.98, and 43.43 RCW.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-500, filed 12/17/09, effective 1/17/10. Statutory Authority: RCW 4.24.550, 9A.44.130, [9A.44.]140, 10.02.200, 43.43.540 and 70.48.470. WSR 98-01-021, § 446-20-500, filed 12/8/97, effective 1/8/98. Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 97-05-048, § 446-20-500, filed 2/18/97, effective 3/21/97. Statutory Authority: RCW 43.43.760, 43.43.540, 9A.44.130, 10.02.200 and 43.43.838. WSR 92-15-015, § 446-20-520, filed 7/6/92, effective 8/6/92. Statutory Authority: 1990 c 3. WSR 90-20-003 (Order 90-003), § 446-20-500, filed 9/20/90, effective 10/21/90.]

WAC 446-20-510 History retention. Sex and kidnapping offender registration information will be maintained in the offender's criminal history file according to retention periods outlined in RCW 9A.44.140. Once an offender is registered, a notation of "registered sex offender" or "registered kidnapping offender" will be printed on the transcript of record for that individual.


WAC 446-20-515 Photograph/fingerprint requirement. Registration requires the offender be fingerprinted and photographed and also provide the sheriff with the following information which must be forwarded to the Washington state patrol identification and criminal history section within five working days:

Name;
Address;
Date of birth;
Place of birth;
Social Security number;
Institution of higher education enrolled, attending;
Place of employment;
Crime for which convicted;

Date/place of conviction; and
Aliases used.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-515, filed 12/17/09, effective 1/17/10. Statutory Authority: 1991 c 274. WSR 91-20-045 (Order 91-005), § 446-20-515, filed 9/24/91, effective 10/25/91. Statutory Authority: 1990 c 3. WSR 90-20-003 (Order 90-003), § 446-20-515, filed 9/20/90, effective 10/21/90.]

WAC 446-20-520 Photographs. Photographs must be in color. These are not to be file photographs. A new photograph is required.

For paper submissions, write full name, date of birth, and state identification number (SID). Paperclip (no staples please) the photograph to the fingerprint card with the registration information completed and forward to Washington state patrol, identification and criminal history section. For electronic submissions, color photographs may be electronically mailed to a designated email address at the section. Identifying information (full name, date of birth, and SID) must accompany the photograph.

[Statutory Authority: Chapters 10.97 and 43.43 RCW. WSR 10-01-109, § 446-20-520, filed 12/17/09, effective 1/17/10; WSR 97-05-048, § 446-20-520, filed 2/18/97, effective 3/21/97. Statutory Authority: RCW 43.43.760, 43.43.838, 9A.44.130 and 43.43.540. WSR 92-15-015, § 446-20-520, filed 7/6/92, effective 8/6/92. Statutory Authority: 1990 c 3. WSR 90-20-003 (Order 90-003), § 446-20-520, filed 9/20/90, effective 10/21/90.]
WAC 446-20-600 Fees. (1) A nonrefundable fee must accompany each request for conviction records submitted for a name and date of birth background check or a background check requested by fingerprint search at the state level pursuant to RCW 43.43.830 through 43.43.845, and chapter 10.97 RCW unless through prior arrangement, an account is authorized and established.

(2) A nonrefundable FBI fee will be charged for fingerprint cards submitted for federal searches. It will be the responsibility of the section to collect all fees due and forward fingerprint cards and fees to the FBI.

(3) A nonrefundable fee will be charged for taking fingerprint impressions by the section. Fees are to be deposited in the Washington state patrol fingerprint identification account.

(4) A reasonable fee will be charged for a request for nonconviction data in lieu of a record review pursuant to RCW 10.97.080.

(5) All fees are to be made payable to the Washington state patrol and are to be remitted by check, cashier’s check, money order or check written on a business account. Credit cards may be used only for payment of electronic requests and for any other fingerprint or conviction record services the state patrol has implemented credit card payment procedures. The section must adjust the fee schedule as may be practicable to ensure that direct and indirect costs associated with the provisions of these chapters are recovered.

(6) Pursuant to the provisions of RCW 43.43.838 and chapter 28A.410 RCW, no fees will be charged to a nonprofit organization, or volunteers in school districts and educational service districts for background checks.

WAC 446-20-610 Superintendent of public instruction—Prospective educational employees—Fees. (1) In addition to the state search, an FBI search is required for requests submitted under chapter 28A.410 RCW. One fingerprint card is required to be submitted to the Washington state patrol fingerprint identification and criminal history section.

(2) Appropriate nonrefundable fees are to be charged and made payable to the Washington state patrol for searches conducted under chapter 28A.410 RCW.

(3) Prospective employees hired by the superintendent of public instruction, educational service districts, school districts and/or their contractors must pay the appropriate fees for state and federal fingerprint checks conducted under chapter 28A.410 RCW.