

CHAPTER 1 – GUIDANCE FOR TRACKING DATA

- **METRIC 1: Leading practices and processes for records management and retention implemented, including technological upgrades**
[ESHB 1594, Sec. 6(5)(a)]

JLARC is gathering information on leading practices currently used by agencies to improve the quality and efficiency of records management and retention. Information provided by agencies in the 2018 reporting cycle will help establish a baseline for future reporting.

Washington State Archives, within the Office of the Secretary of State, is responsible for providing agencies with guidance and training on best practices. They have identified 10 high-level leading practices and two to four typical supporting activities that agencies may be doing to implement those practices. These are typical activities however agencies should not feel limited by these examples. If your agency is implementing the high-level leading practice in a different or novel way, you are provided a way to describe your approach.

Reporting agencies are required to identify whether they are currently implementing one or more of these activities for EACH of the ten leading practices. If your agency is implementing a leading practice, but the specific activity or activities you are doing are not listed, you should mark “other” and describe those activities in the box provided. NOTE: Your response is limited to 600 characters.

HIGH-LEVEL LEADING PRACTICE	SUPPORTING ACTIVITIES
Responsibility Assigned	<ul style="list-style-type: none">• Agency has assigned overall responsibility for managing and retaining records to someone (Records Officer)• Agency has told Washington State Archives who their assigned person is• Assigned person has the ability to influence the agency’s policies, procedures, and compliance• Assigned person is part of the agency’s Information Governance team
Policies and Procedures Exist	<ul style="list-style-type: none">• Agency has policies or procedures governing the management of records• Policies and procedures are applicable to all record formats (including emerging technologies such as social media)• Policies and procedures are part of a larger Information Governance framework
Tools Available	<ul style="list-style-type: none">• Agency has appropriate software/systems to manage and retain: email, social media, Word documents, spreadsheets, PowerPoints, text messages, websites, etc.

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	<ul style="list-style-type: none">• Software/systems include retention management functionality• Agency has implemented or is in the process of implementing an Enterprise Content Management System
Staff Trained	<ul style="list-style-type: none">• Elected Officials have completed Open Government Training• Records Officers have completed Open Government Training• All other staff have been trained to manage the records they create or receive• Records and information management training is part of new employee orientation• Agency offers internal records and information management training on a regular basis
Retention Requirements Understood	<ul style="list-style-type: none">• Key staff know how to locate all records retention schedules which are applicable to the agency, how to apply retention, and what records can be considered transitory• All staff know how to apply retention to the records they create or receive and which records can be considered transitory
Records Are Inventoried	<ul style="list-style-type: none">• Paper records have been inventoried at least once within the last 10 years• Electronic records have been inventoried at least once within the last 10 years• Records are inventoried on a regular, systematic basis
Records Are Organized	<ul style="list-style-type: none">• Some coordination at the work group level regarding where records are stored and the naming conventions used• Records are organized through agency-wide file plans and/or file naming conventions
Records Are Kept for Required Time Period	<ul style="list-style-type: none">• Electronic records are retained in electronic format• Paper records are either retained in paper format or scanned and retained in electronic format according to Washington State Archives' Scan & Toss requirements• Records remain accessible throughout the entirety of their retention periods• Electronic records are migrated to new formats as needed• Safeguards are in place to protect against accidental or deliberate destruction of records
Records Are Destroyed or Transferred	<ul style="list-style-type: none">• Records are destroyed or transferred to the Washington State Archives at the end of their retention periods

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	<ul style="list-style-type: none">• Records are destroyed or transferred as part of a planned and systematic process
Disaster Preparedness	<ul style="list-style-type: none">• Essential records are identified• Agency creates back-ups of essential records on a routine, systematic basis• Ability to restore from back-up files is tested/checked regularly
