

ORCAS ISLAND HEALTH CARE DISTRICT POLICY

RECORDS MANAGEMENT POLICY

1. PURPOSE. This Policy provides requirements for the creation, maintenance, use, and disposition of the records of the Orcas Island Health Care District (the “District”). The Policy is designed to facilitate and sustain day-to-day operations; support predictive activities such as budgeting and planning; assist in answering questions about past decisions and activities; and demonstrate and document compliance with laws, regulations, and standards.

2. APPLICATION. This Policy applies to all District officers, employees and volunteers and all District records, regardless of format. Failure to comply with this Policy may result in disciplinary action up to and including termination from service.

3. GUIDANCE.

a. **Public Records Officer:** The Superintendent is the designated Public Records Officer and is responsible for public records in the District and oversees compliance with the public records disclosure requirements under RCW 42.56.

b. **Staff:** All District officers and employees create and use public records as part of their regular job duties and are responsible for following this Policy as well as associated policies and procedures. Staff will be responsible and held accountable to meet the District’s responsibilities under this Policy.

4. DEFINITIONS

a. **Active Record:** An active record is used in an office on a routine basis and accessed at least several times per year. Active records are usually kept on-site.

b. **Archival (Appraisal Required) Record:** Public records with archival (appraisal required) designation are records which may possess enduring legal and/or historic value and must be appraised by Washington State Archives on an individual basis. Records not selected for retention by Washington State Archives may be disposed of after appraisal.

c. **Archival (Permanent Retention) Record:** Public records with archival (permanent retention) designation are records which possess enduring legal and/or historic value and must not be destroyed. These records need to either be transferred to Washington State Archives or retained and preserved according to archival best practices until such time as they are transferred to Washington State Archives.

d. **Essential Record:** Essential records are those the District must have in order to maintain or resume business continuity following a disaster. While the retention requirements for

essential records may range from very short-term to archival, these records are necessary to resume core functions following a disaster. Security backup of these public records should be created and may be deposited with Washington State Archives.

e. Inactive Record: A record used or accessed in an office infrequently or no longer used in the conduct of current business, but still required to be kept by the retention schedule for legal or historical purposes. Inactive records may be stored off-site.

f. Public Record: RCW 40.14.010 defines public record as “any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business...”

g. Records Disposition: Actions taken with records when they are no longer required to be retained by the District. Possible disposition actions include transfer to archives and destruction.

h. Retention Schedule: A table setting out requirements adopted by the Washington State Local Records Committee which specifies the length of time each record series will be retained by the District, whether the record is designated essential, archival, or potentially archival, and final disposition of the record.

i. Transitory Records: Transitory records only document information of temporary, short-term value, provided that the records are not needed as evidence of a business transaction and are not covered by a more specific records series on the retention schedule.

5. Retention, Disposition, and Destruction

a. The District’s records retention schedules are established by the Local Records Committee as established by the Washington State Secretary of State. The schedules list records by series, provide retention periods, and describe final disposition needed. RCW 40.14 allows the District to legally destroy records only after the minimum retention period listed on the schedule has been met.

b. The retention period is the minimum time that records must be kept. The Superintendent or a designee should review records annually, both paper and electronic, and dispose of records that have met designated retention periods according to the instructions on the schedule.

c. Active records are those required for current use. Active records are typically housed within District offices and are referred to more than once per month.

d. Inactive records have not reached the end of the retention period but are accessed infrequently. To save space and reduce cost, inactive records may be stored off-site at a

secure records storage vendor. Inactive records must continue to be safeguarded and protected from damage and disorganization through the retention period.

e. Essential records are necessary for the continuity of District operations following a disaster and support the District's legal authority, responsibility, rights, and financial status; are necessary to resume and restore operations; and document the rights and obligations of District employees and citizens. Essential records require extra care to ensure they are adequately backed up and recoverable in the event of a disaster.

f. Records disposition refers to the action taken when records are no longer active. Disposition includes transferring inactive records to storage or destruction. Records subject to archival transfer as determined by the Washington State Archives are noted on the retention schedules.

g. District staff should complete a records destruction certificate when destroying primary copies of records in any format (paper, electronic, audio, etc.) that have met retention requirements.

h. Secondary copies are generally kept for administrative use and can be discarded when that purpose has been fulfilled. A records destruction certificate is not necessary when disposing of secondary or convenience copies unless otherwise noted on the retention schedule.

i. Transitory records can be discarded when their purpose has been fulfilled. A records destruction certificate is not necessary when disposing of transitory records.

j. Confidential or sensitive records, including non-paper media, must be reduced to illegible condition when destroyed.

6. Electronic Records

a. Electronic records must be retained in electronic format and remain useable, searchable, retrievable, and authentic for the applicable retention period. Printing and retaining a hard copy is not a substitute for the electronic version. Examples of electronic records include web pages and databases.

b. Electronic records must be retained and disposed of based on content rather than format. The same retention schedule applies to paper and electronic records.

c. In making decisions about how long to retain electronic records, staff should first check the retention schedule to ensure compliance and verify that the records are not subject to a legal hold. Many electronic records can be disposed of at the discretion of staff under the following guidance:

1. If the electronic record is the primary or only copy of an official document, it must be retained for the time period specified by the retention schedule. Once the

required retention has been met, the record should be deleted and documented on a records destruction certificate. Examples of official records include policies and procedures, executive level correspondence, and final reports.

2. If the electronic record is transitory in nature with no administrative, legal, fiscal, or archival value, then the record can be deleted at the discretion of the user.

Examples include secondary copies of memos, general office notices, general information, working copies, transmittal memos, meeting announcements, drafts.

3. E-mail records are subject to the same retention schedule as paper records. Many email records are transitory in nature and may be deleted when they are no longer needed. Emails, both sent and received, that require retention must be managed accordingly. The District may use programs to aid in the management, retention, and disposition of email, including deletion of messages after specific retention periods based on record series. Staff are expected to make use of these programs to ensure that proper retention is applied and that emails that do not need to be retained are deleted appropriately.

i. Some examples of email subject to retention include policy and procedure directives; correspondence or memoranda related to official business; documentation of actions, decisions, operations, and responsibilities, documentation of legal or audit issues; documents that initiate, authorize, or complete a business transaction; final reports or recommendations.

ii. Most email consists of transitory messages and attachments that may be deleted when no longer needed. An email that has no administrative, legal, fiscal, or archival retention requirements may be deleted as soon as it has served its purpose. Some examples of email not subject to retention include information only or duplicate copies; copies of publications; miscellaneous notices or memoranda of a general and non-continuing nature (meeting notices, reservations, confirmations); preliminary drafts of notes, letters, reports, worksheets which do not represent significant steps in the preparation of record documents; requests for routine information or forms.

iii. Use of personal email accounts (such as Hotmail or Gmail) for conducting District business is prohibited. In the event email related to the conduct of District business is received at a personal email address, it should be immediately forwarded as an attachment to the District email system.

4. Records created related to District business—including text messages, voicemail messages, and other electronic communications—are District records. These records therefore (1) should be managed according to the applicable retention schedule, and (2) may be subject to disclosure under the Public Records Act. The following is intended to help manage the business-related messages you send or receive on smart phones, tablets, or similar devices (iPhone, iPad, Blackberry, Android, etc.)

- i. Text messaging should only be used for routine or transitory messages that don't need to be retained by the District. Examples include informal notices of meetings, directions, scheduling information, and other routine messages that would not be kept in a file if it were a paper communication.
- ii. Text messages may not be used to send policy, contract, formal correspondence, or personnel related data. Sensitive information should not be sent by text message, including social security numbers, credit card numbers, and passwords.
- iii. Delete transitory, business-related text messages as soon as possible.
- iv. If a text message needs to be retained pursuant to a retention schedule, staff must transfer the messages to the District's network and/or devices.

7. Legal Holds and Public Records Requests. Records involved in litigation or reasonably anticipated or foreseeable litigation will be placed on legal hold and must be preserved until the legal hold is released by the Superintendent. If a record(s) covered by a public records request is scheduled for destruction, the record(s) must be retained until the request is fulfilled.

8. Location of Records. District records are those that are made or received by the District in connection with the transaction of public business. For this reason, District records are required to be saved and retained in District files or on the District's network and/or devices. District records cannot be saved solely on a personal device or outside District networks.

Adopted on the 6th of November, 2018