



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
DEPARTMENT WIDE

REVISION DATE
6/9/14

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NUMBER
DOC 280.525

POLICY

TITLE
RECORDS MANAGEMENT

REVIEW/REVISION HISTORY:

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SUMMARY OF REVISION/REVIEW:

I.C. and III.D.2.c. - Added clarifying language


APPROVED:

Signature on file

BERNARD WARNER, Secretary
 Department of Corrections

5/8/14

 Date Signed

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REFERENCES:


DOC 100.100 is hereby incorporated into this policy; [RCW 40.14](#); [ACA 4-4095](#); [ACA 7D-08](#); [Records Retention Schedule](#)

POLICY:

- I. The Department has established guidelines approved by the State Records Committee to manage and preserve Department records. The Department is required to follow statutes, rules, and procedures established and enforced by the Office of the Secretary of State. [4-4095] [7D-08]

DIRECTIVE:

- I. Records Officer, Coordinators, and Custodians
 - A. The Correctional Records Program Administrator will serve as the Department's Records Officer, who will coordinate the Department records management program and:
 1. Serve as primary contact for Department employees, contract staff, and volunteers with the State Records Committee and the Office of the Secretary of State,
 2. Annually review retention schedules to ensure they are current and complete, and reflect the appropriate disposition,
 3. Approve all new and revised retention schedules, and ensure they are submitted to the State Records Committee for final approval,
 4. Review all records destruction requests and approve as appropriate, and
 5. Provide training and technical assistance to Department employees, contract staff, and volunteers on records retention requirements.
 - B. The Records Officer will be notified of employees/contract staff designated as Records Coordinators at Headquarters, and at each facility and office, who:
 1. Assist the Records Officer with the records management duties of their facility, section, or division, and
 2. Ensure that the records are appropriately processed.
 - C. Each Department employee, contract staff, and volunteer is a Records Custodian, responsible for records in his/her care. S/he must know and comply

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with records retention requirements and prevent unauthorized access to avoid loss, theft, or improper destruction.

II. Records Systems

- A. The Department uses records systems for paper and electronic communications (e.g., reports, correspondence, legal documents, email), and other media designed to maintain the confidentiality and security of Department records. [4-4095] [7D-08]
- B. Each facility and office has custodial responsibility for the records pertaining to its activities. The Records Coordinator will ensure that:
 1. Records systems are appropriately designed, organized, and indexed, and
 2. Employees, contract staff, and/or volunteers are informed of how the records systems will be maintained.

III. Records Retention [4-4095] [7D-08]

- A. Department records will be maintained per the Department-specific Records Retention Schedule and the General Records Retention Schedule. Electronic records must be retained in their original electronic format for the duration of their legal retention. Electronic records will be destroyed following the same process as paper records.
 1. The Department-specific Records Retention Schedule will be approved by the State Records Committee. The General Records Retention Schedule will be published by the Office of the Secretary of State for all state government agencies. Both schedules identify the period of time for storage of inactive records.
- B. Employees, contract staff, and volunteers will follow the Department-specific Records Retention Schedule to determine retention of a record.
 1. If the record type cannot be found on the schedule, the General Records Retention Schedule will be followed.
 2. The Department-specific and General Records Retention Schedules are located on the Records page on InsideDOC under Agency Records.
- C. Documents retained on site for the maximum time on the retention schedule will be processed as follows:
 1. All non-sensitive documents will be recycled/deleted.

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2. All sensitive documents (i.e., documents containing offender/employee social security numbers and/or non-disclosable/confidential information) will be shredded, placed in hot trash recycling, or deleted.
 3. Documents that qualify as historical per the Department-specific or the General Records Retention Schedule will be transferred to the State Archivist for preservation.
- D. Before any destruction of paper or electronic records with an assigned retention of one year or more, DOC 01-089 Records Destruction Request must be completed and sent to the Records Officer for signature approval.
1. Information stored in the statewide shared services E-mail Vault system will be destroyed per the assigned retention for the folder in which it is stored and does not require a DOC 01-089 Records Destruction Request.
 2. Records will not be sent to the Records Officer for approval for destruction if there is:
 - a. An existing public disclosure request,
 - b. Current litigation (i.e., lawsuit or other legal action), or
 - c. Reasonably anticipated litigation (e.g., tort claim, demand letter, preservation notice).

DEFINITIONS:

Words/terms appearing in this policy may be defined in the glossary section of the Policy Manual.

ATTACHMENTS:

None

DOC FORMS:

[DOC 01-089 Records Destruction Request](#)