	<p>Title: Records Management Policy</p> <p>Number: 206</p> <p>Effective: November 17, 2020</p> <p>Cancel: Resolution No. 2019-36</p> <p>Prepared by: Tracy Becht, Public Records Officer</p> <p>Approved by: Authority Board Resolution No. 2020-37</p>
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POL-206 RECORDS MANAGEMENT POLICY

This policy applies to all Mason Transit Authority (MTA) Board members, employees and volunteers and all Mason Transit Authority records, regardless of format.

1.0 Purpose

This records management policy provides requirements and guidelines for the creation, maintenance, use and disposition of Mason Transit Authority records. This policy is designed to:


- 1.1 Demonstrate and document compliance with laws, regulations and standards.
- 1.2 Facilitate and sustain day-to-day operations.
- 1.3 Support budgeting and planning.
- 1.4 Assist in answering questions about past decisions and activities.

2.0 Policy

Proper handling of records enables and supports Mason Transit Authority in fulfilling its mission and the responsibilities required by RCW 40.14 and RCW 42.56. An effective records management program ensures that records necessary for the effective functioning of MTA business are systematically controlled from creation through use, storage and/or disposition.

3.0 Responsibility/Authority:

- 3.1 Public Records Officer: The Public Records Officer is the designated public records officer appointed by resolution by the Authority Board of Mason Transit Authority. The Public Records Officer oversees all records management; advises departments regarding records retention, disposition, public disclosure; and provides records management training.
- 3.2 Acting Public Records Officer: The Acting Public Records Officer, also appointed by resolution by the Authority Board of Mason Transit Authority, shall carry out those duties of the Public Records Officer when absent.
- 3.3 Managers: The Managers will assist and comply with the Public Records Officer’s directions and manage individual department records. Individual departments are responsible for securely maintaining records for the retention period indicated on the retention schedule (as defined in Section 4.0 below). Department responsibilities include ensuring the physical safety of records and ensuring that confidential records are protected from inappropriate release and the day-to-day management of records in all forms and as set forth in RCW 40.14 and 42.56.

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- 3.4 Staff: All employees create and use public records as a part of their regular job duties and are responsible for following this policy as well as in-house guidelines and procedures. Staff is expected to be responsible and will be held accountable in meeting Mason Transit Authority’s responsibilities under this policy. Failure to do so could result in disciplinary action.
- 3.5 All: Unless being terminated immediately, Managers and staff that are concluding their employment with Mason Transit Authority shall meet with the Public Records Officer and the Systems Administrator prior to their departure so that all paper and electronic records under that employee’s responsibility are transitioned as appropriate.

4.0 Definitions

4.1 As used in this policy, the following terms shall have the following meanings:

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

Archival Record: Public records with the “archival” designation in the Retention Schedule (as defined below) are records which may possess enduring legal and/or historic value and must not be destroyed. Archival Records are to be transferred to the Public Records Officer for proper transference to the Washington State Archives for permanent retention.

Essential Record: Essential records are those records that MTA must have in order to resume core functions and maintain or resume business continuity following a disaster, and support MTA’s legal authority, responsibility, rights and financial status; are necessary to resume and restore operations; and document the rights and obligations of MTA employees and citizens. Essential records require extra care to ensure they are adequately backed up and recoverable in the event of a disaster, such as a fireproof cabinet or backup of electronic records on a remote server. While the retention requirements for essential records may range from very short-term to archival, security backup of these public records shall be created and may be deposited with Washington State Archives.

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 in other than electronic format shall be stored in the Records Vault until the assigned retention period has been satisfied and shall be transferred to the Washington State



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Archives for permanent retention. Inactive records in electronic format shall be transferred electronically to the Washington State Archives.

Public Record: RCW 40.14.010 defines public records 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 or received by any agency of the state of Washington in connection with the transaction of public business...”; or as amended at any time.

Records Disposition: Actions taken with records when they are no longer required to be retained by Mason Transit Authority as set forth in the Retention Schedule. Possible disposition actions include transfer to archives and destruction.

Records Vault: That area of Mason Transit Authority that is secured by key entry and set aside for storage of all Inactive Records, unless custody is transferred to the Washington State Archives for historical preservation.

Retention Schedule: That document setting forth requirements adopted by the Washington State Archivist & Local Records Committee which specifies the length of time each record series will be retained by Mason Transit Authority, whether the record is designated essential, archival or potentially archival, and final disposition of the Public Record. ***In the case of WSDOT grant funding, all records relating to the project in which grant funding was received by MTA, whether Active, Inactive, Archival or Essential Records, shall be retained, at a minimum, for the term of the grant funded project plus six years thereafter.*** This requirement of WSDOT grant funding shall override the schedule of the Washington State Archivist and Local Records Committee for those Public Records that relate to a grant funded project.

Transitory Records: Transitory Records are those records identified in the Retention Schedule as such and only document information that is temporary, short-term value, provided that the Public Record is not needed as evidence of a business transaction and is not covered by a more specific record series on the Retention Schedule. Recording the destruction of transitory records is not required.

Record Series: Any group of Public Records that is used as a unit, filed as a unit and can be disposed of as a unit, so long as any disposition is in alignment with the Retention Schedule as fully defined above.



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Disposition Authority Number: The State Archivist & Local Records Committee assigns a Disposition Authority Number or “DAN” to each Public Record, which is identified in the Retention Schedule. It is up to the person doing the archiving to look up the type of record, locate the DAN and place it on the archive label or work with the Public Records Officer to ensure that the correct DAN is assigned to each record.

5.0 Record Retention

- 5.1 For Public Records that **do not** relate to WSDOT grant fundings, the Washington State Archivist & Local Records Committee Retention Schedules and RCW 40.14 provides Mason Transit Authority with the legal authority to destroy Public Records only after the minimum retention period listed in the Retention Schedules has been met. The retention period is the minimum time that records must be kept.
- 5.2 For any Public Records that relate to projects funded by WSDOT grants, those Public Records shall be retained during the term of the project and for six (6) years thereafter.
- 5.3 All destruction of any Public Records, except Transitory Documents, shall be performed and recorded by the Public Records Officer.
- 5.4 Confidential or sensitive records, including non-paper media, must be reduced to an illegible condition when destroyed.

6.0 Electronic Records

- 6.1 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, databases, records “born” in a digital format.
- 6.2 Electronic records must be retained and disposed of based on content rather than format. The Retention Schedule applies to all formats of records, as set forth in RCW 40.14.010
- 6.3 In making decisions about how long to retain electronic records, the Retention Schedule is the **minimum** requirement MTA must hold a record and should be used as a guide as much as possible. The Manager is responsible for determining whether or not it would be better for MTA to retain records for a longer period of time and notify the Public Records Officer for inventory, and if appropriate, storage purposes with a new destruction date to be determined.

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7.0 E-mail Employer’s Right to Access

Emails sent or received on MTA accounts, devices or equipment may be accessed and monitored in the normal course of business by system administrators, supervisors and support staff; may be releasable to the public, may require special measures for privacy protection; and are subject to discovery proceedings in legal actions. E-mail either sent from or received on MTA accounts, devices or equipment which relate to or contain information relating to the conduct of MTA business or the performance of any MTA governmental or proprietary function are public records subject to release. E-mails sent or received on personal devices are also public records if the subject of the e-mail is within the scope of employment of the individual. Any e-mails can qualify as public records if they contain any information that refers to or impacts the actions, processes, and functions of MTA. Employees may be required by MTA to search personal devices for any public records and turn over such records to the Public Records Officer.

8.0 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 Public Records Officer. 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.