

5.6 RECORDS MANAGEMENT

The activity of systematically controlling the lifecycle of the state agency's public records (creation or receipt, use, maintenance, conversion/migration to other formats and destruction/transfer).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11011 Rev. 2	<p>Conversion/Conservation – Archival Records</p> <p>Records documenting the process of converting the agency's Archival public records from one form to another where <u>not</u> captured in the metadata of the converted records.</p> <p>Also includes records documenting the repair and stabilization of damaged Archival public records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Migration of digital records (mapping schemas, testing reports, etc.); • Digitization of paper-based records (tests, inspection results, etc.); • Microfilming of digital and/or paper-based records (arrangement of originals, guide sheets, etc.); • Transfer of magnetic recordings; • Records documenting conservation (repair/stabilization) treatments performed on public records. <p>Excludes source records covered by <i>Source Records – Imaged/Migrated (Archival) (DAN GS 11014)</i>.</p>	<p>Retain until the converted/repared Archival records are transferred to Washington State Archives</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>

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GS 11013 Rev. 1	<p>Conversion/Conservation – Non-Archival Records</p> <p>Records documenting the process of converting the agency's Non-Archival public records from one form to another where <u>not</u> captured in the metadata of the converted records. Also includes records documenting the repair and stabilization of damaged Non-Archival public records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Migration of digital records (mapping schemas, testing reports, etc.); • Digitization of paper-based records (tests, inspection results, etc.); • Microfilming of digital and/or paper-based records (arrangement of originals, guide sheets, etc.); • Transfer of magnetic recordings; • Records documenting conservation (repair/stabilization) treatments performed on public records. <p>Excludes source records covered by <i>Source Records – Imaged/Migrated (Non-Archival) (DAN GS 11012)</i>.</p>	<p>Retain until the converted/repared Non-Archival records have been destroyed in accordance with a current approved records retention schedule</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

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GS 11005 Rev. 1	<p><i>Destruction of Public Records</i> Records documenting the destruction of the agency's public records. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Destruction logs; • Affidavits; • Agency authorizations; • Certificates/notices of destruction. 	Retain for the life of the agency.	NON-ARCHIVAL ESSENTIAL OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11009 Rev. 2	<p>Records Control</p> <p>Records relating to the physical and intellectual control of the agency's records.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Essential records lists; • Files classification schemes/guidelines; • Inventories; • Records center transmittals/retrievals; • Master indexes, lists, registers, tracking systems, databases and other finding aids used to access public records designated as Non-Archival. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • <i>Destruction of Public Records (DAN GS 11005);</i> • <i>Transfer of Legal Custody (DAN GS 11001).</i> <p><i>Note: Master indexes, lists, registers, tracking systems, databases and other finding aids for public records designated as Archival should be retained with the records and transferred to Washington State Archives.</i></p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

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DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS 11003 Rev. 1	<p><i>Retention and Disposition Authorization</i></p> <p>Records relating to the retention of the agency's records in accordance with chapter 40.14 RCW.</p> <p>Includes, but not limited to:</p> <ul style="list-style-type: none"> • Internal working guides abstracted from approved records retention schedules; • Records relating to the former Early Destruction of Source Documents after Digitization (DAD) or Electronic Imaging Systems (EIS) application processes; • Agency's copies of records retention schedules approved by the State Records Committee in accordance with chapter 40.14 RCW. <p>Excludes the records of the Office of the Secretary of State and the State Records Committee.</p>	<p>Retain until no longer needed for agency business <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

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GS 11014 Rev. 1	<p>Source Records – Imaged/Migrated (Archival)</p> <p>Archival source records which have been imaged or migrated, <u>provided</u> the converted records are retained in accordance with a current approved records retention schedule.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Paper records which are scanned/digitized in accordance with <i>Requirements for the Destruction of Non-Archival Paper Records After Imaging</i>; • Paper records which are microfilmed in accordance with <i>Washington State Standards for the Production and Use of Microfilm</i>; • Digital records which are migrated to another digital format; • Magnetic records (VHS, cassette tapes, reel to reel, 8-track tapes, etc.) which are migrated to another magnetic or a digital format. <p><i>Note: Electronic records need to be retained in electronic format in accordance with WAC 434-662-040.</i></p>	<p>Retain until verification of successful conversion</p> <p><i>then</i></p> <p>Transfer to Washington State Archives for appraisal and selective retention.</p>	<p>ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM</p>

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GS 11012 Rev. 2	<p>Source Records – Imaged/Migrated (Non-Archival)</p> <p>Non-archival source records which have been imaged or migrated, <u>provided</u> the converted records are retained in accordance with a current approved records retention schedule.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Paper records which are scanned/digitized in accordance with <i>Requirements for the Destruction of Non-Archival Paper Records After Imaging</i>; • Paper records which are microfilmed in accordance with <i>Washington State Standards for the Production and Use of Microfilm</i>; • Digital records which are migrated to another digital format; • Magnetic records (VHS, cassette tapes, reel to reel, 8-track tapes, etc.) which are migrated to another magnetic or a digital format. <p><i>Note: Electronic records need to be retained in electronic format in accordance with WAC 434-662-040.</i></p>	<p>Retain until verification of successful conversion</p> <p><i>then</i></p> <p>Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
GS 11001 Rev. 1	<p>Transfer of Legal Custody</p> <p>Records documenting the transfer of the agency's legal custody of its public records under one of the following circumstances:</p> <ul style="list-style-type: none"> • Transfer of Archival records to Washington State Archives; • Lawful transfer to another government entity (other state agency, local government agency, etc.). <p><i>Note: Records of agencies that cease to exist are to be transferred to Washington State Archives in accordance with RCW 40.14.030.</i></p>	<p>Retain for the life of the agency.</p>	NON-ARCHIVAL ESSENTIAL OFM