

## Improving Agency Records Management Programs: Examples of Leading Practices in Action

**Purpose: Provide guidance to state and local government agencies as to what leading practices for records management and retention look like in action.**

<b>Responsibility Assigned</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Agency has assigned overall responsibility for managing and retaining records to someone (Records Officer)</li> <li><input type="checkbox"/> Agency has told Washington State Archives who their assigned person is</li> <li><input type="checkbox"/> Assigned person has the ability to influence the agency's policies, procedures and compliance</li> <li><input type="checkbox"/> Assigned person is part of the agency's Information Governance team</li> </ul>
<b>Policies and Procedures Exist</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Agency has policies and procedures governing the management of records</li> <li><input type="checkbox"/> Policies and procedures are applicable to all record formats (including emerging technologies such as social media)</li> <li><input type="checkbox"/> Policies and procedures are part of a larger Information Governance framework</li> </ul>
<b>Tools Available</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Agency has appropriate software/systems to manage and retain: email, social media, Word documents, spreadsheets, PowerPoints, text messages, websites, etc.</li> <li><input type="checkbox"/> Software/systems include retention management functionality</li> <li><input type="checkbox"/> Agency has implemented or is in the process of implementing an Enterprise Content Management System</li> </ul>
<b>Staff Trained</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Elected Officials have completed Open Government Training</li> <li><input type="checkbox"/> Records Officers have completed Open Government Training</li> <li><input type="checkbox"/> All other staff have been trained to manage the records they create or receive</li> <li><input type="checkbox"/> Records and Information Management training is part of new employee orientation</li> <li><input type="checkbox"/> Agency offers internal records and information management training on a regular basis</li> </ul>
<b>Retention Requirements Understood</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> 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</li> <li><input type="checkbox"/> All staff know how to apply retention to the records they create or receive and which records can be considered transitory</li> </ul>
<b>Records are Inventoried</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Paper records have been inventoried at least once within the last 10 years</li> <li><input type="checkbox"/> Electronic records have been inventoried at least once within the last 10 years</li> <li><input type="checkbox"/> Records are inventoried on a regular, systematic basis</li> </ul>
<b>Records are Organized</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Some coordination at the work group level regarding where records are stored and the naming conventions used</li> <li><input type="checkbox"/> Records are organized through agency-wide file plans and/or file naming conventions</li> </ul>
<b>Records are Kept for Required Time Period</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Electronic records are retained in electronic format</li> <li><input type="checkbox"/> Paper records are either retained in paper format or scanned and retained in electronic format according to Washington State Archives' Scan &amp; Toss requirements</li> <li><input type="checkbox"/> Records remain accessible throughout the entirety of their retention periods</li> <li><input type="checkbox"/> Electronic records are migrated to new formats as needed</li> <li><input type="checkbox"/> Safeguards are in place to protect against accidental or deliberate destruction of records</li> </ul>
<b>Records are Destroyed or Transferred</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Records are destroyed or transferred to Washington State Archives at the end of their retention periods</li> <li><input type="checkbox"/> Records are destroyed or transferred as part of a planned and systematic process</li> </ul>
<b>Disaster Preparedness</b>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Essential records are identified</li> <li><input type="checkbox"/> Agency creates back-ups of essential records on a routine, systematic basis</li> <li><input type="checkbox"/> Ability to restore from back-up files is tested/checked regularly</li> </ul>

**Additional advice regarding the management of public records is available from  
Washington State Archives:**