

2009
RECORDS
PROCEDURES
MANUAL

CITY OF
KIRKLAND

Records Management Information

City Clerk
Kathi Anderson
425-587-3197

Records Management Specialist
Victoria Davies
425-587-3193

TABLE OF CONTENTS

		<u>PAGE</u>
I.	Introduction	4
	Concepts of Records Management	5
II.	Records Committee Role and Responsibilities	6
III.	Active Record Care	7
	Opening Files	7
	Understanding Records Series	7
	Labeling File Folders	8
	Maintaining Files	9
IV.	Inactive Record Care	10
	Purging Office Files	10
	Identifying Records Eligible for Inactive Storage	11
	Disaster Recovery	11
	Off-Site Records Procedures	11
	Transfer of Records to Off-Site Storage Facility	11
	Packing the Boxes	11
	Completing the Transmittal Form	12
	Iron Mountain Records Mgmt (IM) Labeling Instructions	12
	Retrieving Inactive Stored Records	16
	Returning Records to Inactive Storage	17
	Destruction of Material Stored Off-Site	17
	Disposal by Recycling	17
	Legal References	18
	Electronic Imaging	18
	Electronic Mail	19
V.	Glossary	23
VI.	Appendices	

FIGURES & FORMS

		<u>PAGE</u>
Figure A	File Folder Label	9
Figure B	Files Image	9
Figure C	Department Codes	14
Figure D	Records Management Classification Codes	15
Figure E	Records Management Retention Codes	16

INTRODUCTION

The State of Washington mandates special statutory requirements for the minimum *retention* and final *disposition* of *public records*. The term “public records” applies to any paper, correspondence, form, bound volume, film, magnetic record, drawing or other document, regardless of form or physical characteristics, that has been created or received by any state or local government agency during the course of public business (RCW 40.14.010 and WAC 434-610-010). Microfilm copies of public records, having completeness and clarity which meet state standards and are officially sanctioned, have the same legal status as the paper originals (RCW 40.20.020 and RCW 5.46.010).

The City of Kirkland creates and receives *public records*, and therefore, is legally responsible to follow State legal record keeping requirements for local government agencies. Departmental Records Representatives help ensure the City’s compliance with the legal record keeping requirements.

The objective of this manual is to provide you, the Departmental Records Representatives, with a guide for managing the records and information within your department.

This manual is organized so that you can use it in one of two ways. If all you need is a quick review of a particular procedure, you can locate the procedure in the Table of Contents, and read only that section. If you need more comprehensive information about City Records Procedures, you can read the entire manual. Either way, you will usually find enough details in the discussions to allow you to accomplish the task at hand. Records management terms, italicized throughout the text, and are defined in the glossary.

It is suggested you establish a “records management kit” a three ring binder. Having a specific place to keep the supplies (this manual, the Records Management Disaster Recovery Plan, forms, box labels, helpful hints) for arranging storage, retrieval, and destruction of departmental records can simplify procedures and assist your department in the event you are not available.

The manual describes care and processing of records from the time of creation through the time of *disposition*. The information provides standards for the storage, maintenance, retrieval, and *disposition* of City records, as well as assurance there will be appropriate retention in compliance with state and federal legal requirements.

Concepts of Records Management

The Problem

Our ability to control information has not kept pace with our capacity to produce it.

For example, who in your agency knows:

The total volume of records being held?

What portions of those records are active, inactive, or obsolete?

How rapidly those records are growing?

How many forms are being used?

How much time is required to prepare each form?

How many reports are being produced and who received them?

How much time it takes to file, reference and refile records?

These are important records management considerations. The conditions to which they relate have a tremendous impact upon the efficiency and cost effectiveness of our offices. For example, the cost of records creation, maintenance and storage are considerable.

(Washington State Archives, Office of Secretary of State)

Our Investment in Records

Records Creation:

Each inch of file space contains up to 160 pieces of correspondence, reports, or forms. Original correspondence has been reliably estimated to cost as much as \$12.00 in professional and clerical time to prepare. That adds up to as much as \$1,920.00 per inch or \$48,000.00 per file drawer in value.

Records Maintenance:

The average annual cost of filing and retrieval is about \$48.30 per file inch in clerical and supervisory costs.

Records Storage:

The average cost of office space is about \$12.00 per square foot per year. On that basis, it costs \$96.00 per year to house each letter-size four-drawer filing cabinet and \$144.00 per year to house each legal-size four-drawer filing cabinet.

The Solution: Records Management

"Records management" is a general term which encompasses a number of activities and techniques that contribute to the common goal of making records-keeping easier, more efficient and more cost-effective. These include, but are not restricted to, records retention scheduling, noncurrent records storage, files management, forms management, micrographics, reports management, and essential records protection. Any or all of these techniques may be incorporated into a specific program to meet the needs of a public agency.

RECORDS COMMITTEE ROLES AND RESPONSIBILITIES

Policy

All departments will work with the agency City Clerk and Records Management Specialist to insure that:

- Only active records are stored in valuable office space.
- Noncurrent records are regularly shifted to low-cost records center storage.
- Historically valuable records are preserved and transferred to the State's Regional Archives facility.
- Obsolete, valueless records are efficiently destroyed.
- Records essential to agency authority and operations are adequately protected from damage or loss.
- The agency will be prepared to recover or replace records damaged by fire, flood or other disaster.
- All information systems shall preserve the integrity and accessibility of the public records they hold for the duration of their required retention periods.
- Records will be made accessible for public inspection and their security will be maintained according to the provisions of the Public Disclosure Act.

Records Management Staff

The City Clerk has ultimate responsibility for implementing and administering a records management system that meets both the needs of the City and the requirements of federal, state and local law.

The City Clerk and Records Management Specialist perform departmental records analysis and develop comprehensive inventories which will complete and update current inventories and meet State guidelines. They provide analysis and advice on filing systems, and provide training on request. The Records Management Specialist also coordinates the performance of records retrievals, distribution of files to users, refileing of records, and the transfer of new boxes into the offsite Records Center.

Departmental Records Representatives

Day-to-day records program management is delegated to the Records Representative in each Division/Department (Appendix A). This includes managing the enhancement of existing systems; establishing general procedures; and providing orientation and ongoing guidance to department staff.

The Records Representative is also responsible for maintaining the Records Procedures Manual; overseeing Division/Department records policy compliance; acting as liaison to Records Management for records requests, communicating additions, deletions, and reactivation of files to the Records Management Specialist; and providing authorization for records destruction.

ACTIVE RECORD CARE

Opening Files

There are a variety of filing systems in use by City departments. Attention to how records are requested by the staff helps determine which system is best suited to your department's needs.



When setting up files, consider how often the files will be referenced, what the *retention periods* of the records are, and what filing equipment is available for your use. Promote the use of letter size folders.

If you are having difficulty deciding which system will work best, the records management staff can provide assistance.

Prepare an index or other finding guide for each file and keep the guide in a well known place. Recording updates in a timely manner keeps *finding aids* current. The idea is to make locating the non-confidential files for your department so simple that anyone unfamiliar with your particular system can find what they need.

Understanding Records Series

Retention periods define how long to keep specific types (*records series*) of records. The *retention periods* take into account Department operating needs as well as state and federal requirements. They are developed by the Department and the records management staff, and approved by the Local Records Committee of the State of Washington.



Record series will be reviewed yearly. Record series list updates will be sent to each Department/Division Records Representative.

Record series can be thought of as a group of records performing a particular function. The group is used as a unit, filed as a unit and can be disposed of as a unit. Record series are generally one of the following three types:

1. **Functional** - *Records series* that are unique to a department (groups of records that would not exist were it not for the work of the department) are called *Functional*. *Functional records series* often include materials that generally have longer *retention periods*.
2. **Administrative** - *Administrative records series* contain materials that are often found as copies in several City offices at the same time. They can be thought of as the records that help “manage” the current business of the departments. *Administrative records series* have a short-term *retention* period and need to be reviewed and purged each year.
3. **Reference** - The third type of *records series* is called *Reference*. This type includes materials that are “consulted to.” *Reference* records should be disposed of when no longer needed or when superseded.

Records series may be thought of differently by different departments. For example, a Purchase Order (*official record*) belongs to the Finance Department within the *records series* called “Purchase Orders and Requisitions.” This *records series* is functional for the Finance Department. However, the department originating the purchase order may keep a “copy” of this record as part of an administrative *records series* which has a shorter retention period than the official record held and owned by the Finance Department.

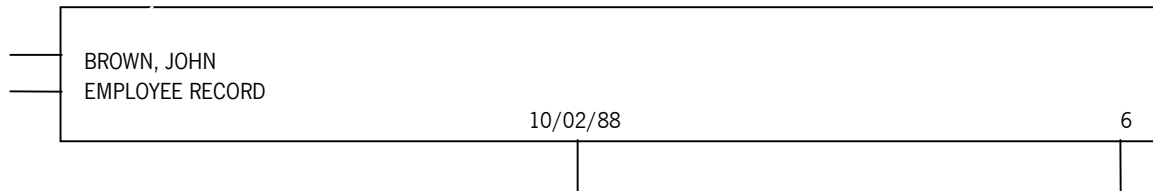
Labeling File Folders

When labeling file folders, it is suggested to include:

1. FILE NAME - Type the file name in the upper left hand corner of label.
2. RECORD SERIES NAME - Type the name of the *records series*. Refer to Records Series List for correct names.
3. INCLUSIVE DATES (FILE OPENING DATE-CLOSING DATE) - Type the date the file is begun followed by a dash on lower portion of label. The last date is unknown at this time. Later it can be handwritten on the label following the dash.
4. RETENTION PERIOD - Type the retention time in the lower right hand corner of the label. This number is available for any given *records series* on the Retention Schedule.

It is generally best to use letter sized top tab folders for filing. It is recommended that each folder be labeled as is shown:

Figure A



If an open-shelf filing system is used, labels should be placed on the top as well as the side. Top labels are needed to retrieve file folders from boxes stored at the Records Center.

Maintaining Files

Figure B

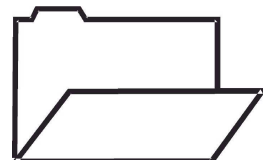
- * FILE RECORDS ON A DAILY BASIS
- * AVOID UNNECESSARY FILING



- * KEEP OFFICIAL DOCUMENTS IN OFFICIAL FILE

Do not allow file folders to become more than 1/2" full. Folders do not stretch, and overfilling them creates retrieval problems, potential damage to documents, and possible loss of documents. Write the *inclusive dates* on the label of the filled file and then create a new folder to hold the "overflow" records. The new folder file label should be identical to the filled folder file label with the exception of the inclusive dates. Creating new folders for growing records can be repeated as many times as is necessary before a group of records is ready to be closed.

Closing the files in a given *records series* usually marks the beginning of the *retention period* for that group of records. You may wish to close files on the basis of a scheduled time (once a year) or an event (conclusion of a contract). *Closing* groups of records is an appropriate time to move them from active records office storage to *inactive records* center storage.



INACTIVE RECORD CARE

Records Representatives need to review their files at least once each year to identify records ready for destruction or transfer to *inactive records* storage. Noting *retention periods* (this information is on the Retention Schedule) on the file folder labels when the files are established will make this an easy task. Conscientious movement of departmental files from active (office storage) to *inactive* status (Records Center storage) ensures appropriate use of costly space.

Audio verbatim tape recordings of all city hearing examiner sessions, city council, community council, and city board and commission meetings shall be retained by the City Clerk's office for the duration of the retention period. At the termination of the appropriate retention period, such audio verbatim tape recordings may be destroyed in any manner not inconsistent with the requirements of RCW 40.14.070 and Chapter 414-24, Washington Administrative Code:

- (1) Audio verbatim tape recordings of all regular scheduled meetings (including hearing examiner sessions and other public hearings, but excluding those meetings identified in Section 3.10.020 of this code as "study meetings") of the hearing examiner, the city council and the planning commission shall be retained for ten years.
- (2) Audio verbatim tape recordings of meetings of the city council, planning commission, civil service commission, park board, Houghton community council and all other official boards and commissions of the city shall be retained for ten years.

Purging Office Files

There are records within your department that need never go to the Records Center for storage. Instead, they can be destroyed following their usefulness. Make sure these records are clearly identified on the Retention Schedule for your department and that *retention periods* have been met before arranging for the records destruction.

Remove records ready for destruction from file folders. Detach rubber bands and paper clips from the records. It is important to ensure the confidentiality of these documents. Place them in the destruction bins provided in the basement records room or, if the quantity is too large, into sturdy boxes (records boxes are not to be used) and seal each box with tape. Medium sized garbage bags closed by tying the plastic in a knot at the open end may be substituted for boxes. Clearly mark these containers "DESTROY." Place boxes or bags in destruction staging area in the records room.

Before discarding the documents, complete the form entitled Public Records Destruction Log. The Records Series is the name of the document. Inclusive Dates is the date range of the documents. Disposition Authority is the Destruction Authorization Number from the State Retention Schedule. Complete the bottom of the form, and send it to the Records Management Specialist, keeping a copy for your records.

Identifying Records Eligible for Inactive Storage

Records Management (City Clerk's Office) provides off-site storage facilities for *inactive* Department records. These facilities provide substantial savings to the City by utilizing low-cost space.



Contact the Records Management Specialist to obtain *transmittal forms* and box labels. Each storage box holds one foot of legal files and fifteen inches of letter-size files. Each department has open shelving space downstairs in the inactive records storage center for short-term (one year) storage prior to destruction.

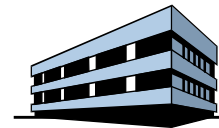
Disaster Recovery

Contrary to popular belief, there is a great deal that can be done to recover records damaged in most disasters. The important considerations are being prepared and acting rapidly. Immediately notify the records analyst of any records that have been damaged. Refer to the City's Records Disaster Plan for procedures to follow in the event of a disaster.

Off-site Records Procedures

Transfer of Records to Off-Site Storage Facility

The Washington State Records Retention schedule identifies record series and assigns alpha-numeric codes to them. The first step in transferring records is to identify and classify them correctly. If you have trouble interpreting the records retention schedule, you will want to arrange some time with the Records Management Specialist or City Clerk for assistance. If you have a records series that doesn't fall into any of the listed categories, a new category may need to be created. The retention schedule is designed to be a guide and to aid you; if adjustments or clarification will enhance its usefulness, please let us know.



Packing the Boxes

The goal of packing the boxes is to provide the most protection to the records being stored and to ensure fast, efficient retrieval of the records when they are requested.



Once the records are classified and scheduled (the length of storage time has been identified), the next step is to box them in the most efficient and clear way possible. The preferred method is to be able to list a span of files or documents enclosed, for instance a certain type of record for a specific time frame, an alphabetical span, or a numerical span. In some cases, of course, you will have a group of unrelated files which would be more appropriately listed individually (by file folder title).

Remove all pendaflex folders from records. Remove materials from notebooks and binders to avoid extra weight, and to recycle supplies. All papers placed in boxes must be in labeled file folders. Do not place papers horizontally in boxes because retrieval of papers packed in this

manner is difficult. Leave about one inch of unfilled space at one end of each box. Boxes that are overfilled are difficult to handle and retrieve from.

Never change the contents of a retrieved box or combine the contents of different boxes without consulting the Records Management Specialist.

Completing the Transmittal Form

The Records Management Specialist uses a transmittal form (the old Iron Mountain form) as a worksheet to e-mail box contents information to the offsite storage vendor. The *Transmittal Form* identifies the contents of the storage box in the order in which the materials are placed in the box. You will be provided training in filling out these forms, and on-going advice is always available when new situations arise. The goal is to keep all record series titled in exactly the same way, so that they will all appear grouped together on the records listing. A small thing such as a difference in abbreviation can change the position on the list of a single box. Single files or documents can also be interfiled within boxes or files, and forms are available for this process as well.

When you have reached the stage where you are ready to make the transfer, the boxes should be brought to the records area next to the Records Management Specialist's office, and the transfer forms submitted for review and pickup. If you have larger quantities of boxes (over twelve), please notify the Records Management Specialist in order to arrange for a timely pickup of the material from its location at City Hall or other City facility.

Washington Archives Management (WAM) Labeling Instructions

Sending new boxes to WAM

The IM *Records Transmittal* is easy to complete and a helpful tool in maintaining a well-organized records management program. The *Records Transmittal* describes the records included in a box to be stored.

The Box Number

A unique box number identifies the inventory item described on this *Transmittal* and the peel-off label makes identifying the item simple. Moreover, utilizing barcode technology and state-of-the-art barcode scanning equipment, inventory labels and corresponding *Records Transmittals* are accurately matched.

Completing the Records Transmittal

Complete the *Records Transmittal* form for each box to be stored at Washington Archives. The *transmittal form* is your means of identifying and retrieving your department's stored records. Therefore, it is an extremely important record and requires special care.

1. You can complete a separate transmittal form for each box, or, for multiple boxes, compose a list containing each box number and its contents. Insert the correct information in the areas indicated.
 - a. Enter the DEPARTMENT ID. Affix the small barcode label onto the form or list.

- b. Enter the FROM DATE/TO DATE range of the records in the box.
- c. Enter the MAJOR DESCRIPTION as it is to appear on the records listings produced by WAM. Numeric or alpha ranges must be separated with a dash.
 - i. **Example:** ALE - AMA or 100 - 999.
 - ii. Complete descriptions may be spelled out.
 - iii. **Example:** CORRESPONDENCE.
 - iv. **Note:** In order to keep numeric ranges in the proper sort sequence and to maintain an orderly listing, the dash '-' should be placed to the right of the heavy vertical line and fields should be zero-filled where necessary as shown below:

a. | | | | 0|0|1|2|5|- 0|0|1|8|5| | | | |
 b. | | | | 1|2|0|5|0|- 1|2|1|7|5| | | | |

- d. If the box is individually listed, write Individually Listed on the second (MINOR DESCRIPTION) line.
- e. Enter the DESTROY DATE or check one of the DESTRUCTION VALUES shown, if this information is known.
 - i. NOTE: Nothing will be destroyed automatically. A letter of authorization from your company is required for each destruction.
- f. Print your NAME, DATE, DEPARTMENT ID, and TELEPHONE NUMBER at the bottom.

- 2. Affix the large peel-off label onto the front of the box.
- 3. Submit completed *transmittal forms* or box listing to the Records Management Specialist when your boxes are ready for pickup.

Retrieving Inactive Stored Records from Off-Site Storage

As a departmental records representative, you have been provided with your online password and training in how to order records online.

Returning Records to Inactive Storage

Return Records to the filing cubicle in the City Clerk division area. If your department is located outside of City Hall, you may order pick-ups yourself, directly from the vendor

Destruction of Material Stored Off-Site

The records classification and corresponding coding process that you undertook as step one in the records transfer will have provided you with an appropriate destruction date for the stored material. Periodically we will request that our storage facility provide this service for us, and you will be asked to review your list of records and submit a copy of your list with items due for destruction highlighted. If there are items which are scheduled for destruction that need to be retained for a longer period, please discuss the situation with the City Clerk. It is important to remain consistent with the retention schedule wherever possible. Your records will NOT be automatically destroyed in accordance with the destruction date assigned. The storage facility will only undertake this service when we request them to, and only those records designated and approved by the Records Management Specialist (assembled from your submitted lists) will be destroyed.

WAC 434-460-030 Disposal by Recycling

Pursuant to disposal authorization from the state or local records committee, an agency may dispose of records by recycling, under the following conditions:



- (1) The prompt destruction of the records shall be ensured, and the responsibility for such destruction shall continue to be that of the agency until effectuated;
- (2) The recycling agent or entity shall have any required licenses and shall be insured or bonded;
- (3) Records shall not be kept in unattended and unprotected storage while awaiting their destruction;
- (4) The agency or its authorized agent shall have in effect a contract or written agreement with the recycling entity which includes these conditions.

Legal References

Legal Authority for management of City of Kirkland records that are retained can be found in RCW 40.14.

Legal Authority for public disclosure are:

RCW 42.17.010 and RCW 42.17.020, and RCW 42.17.250 through 42.17.340.

Legal Authority for public records and procedures are:

KMC Citation 3.84.

Electronic Imaging

Electronic imaging may be legally used for recording, producing, reproducing, maintaining and storing public records (RCW 40.14.020). Chapter 434-663 WAC outlines the regulations that the State Archivist has developed for the use of the technology. A copy of WAC 434-663 may be obtained through your regional archivist.



Scheduling:



Public records maintained on either optical disks, an imaging system, or any other electronic medium, must be covered by an approved Records Retention and Disposition Schedule like records on any other medium, per RCW 40.14. Both the imaged copy and the original source copy must be listed on the schedule. The scheduling must be done prior to the implementation of the system. Records with permanent, legal value stored on electronic media should have a security backup copy on another type of medium, unless there are strong backup systems in place, and systems and procedures in place for periodic recopying.

Technical Documentation:

A migration plan must be developed for all digital imaging systems that store public records with a retention period in excess of ten years. The plan should include a reasonable estimate of the useful life expectancy of the system, header file information, and a proposed strategy for migrating the information to new systems. Technical documentation on system components, application software and operating systems is essential to facilitate long-term access to records stored in optical media.

System Operation:

Each imaging system should have a System Administrator. A written policy statement can formalize the use of imaging as part of a government agency's regular business practices. Operating procedures should be fully documented. Periodic performance audits must be conducted on the functioning of the system.

Electronic Mail

Purpose of E-mail

The purpose of the City of Kirkland's electronic communication systems is to provide an automated means of fostering effective communication between City staff in the performance of City business. Electronic communications include electronic messaging (internal and Internet e-mail) and scheduling software on proprietary City systems for communication and information retrieval.

Electronic Mail as a Public Record

An electronic mail message, like any other written or electronic information, is a record. As a public entity, the City - and therefore its records - is subject to a high degree of scrutiny and open review. Though all electronic records are not open for disclosure, electronic mail users must be aware that their messages may be open to internal and public review. **Electronic mail messages are a public record.**

Policies:

- In composing and sending electronic mail messages, all users should treat their messages as though they would be disclosed to the public and City staff.
- Confidential and sensitive issues should not be communicated via electronic mail. This includes any personnel issues (performance reviews, grievances, etc.) or issues related to high-level policy decisions.
- Routine electronic mail messages which have little value once acted upon should be deleted (i.e. automatically moved to the user's electronic mail wastebasket).
- The City's electronic mail record-keeping policies will be updated as required to remain in conformance with City record-keeping requirements, state public disclosure law and any other applicable regulations.

E-mail Security

Because the electronic mail system is an important City asset, it is the responsibility of each E-mail user to properly protect his or her mailbox and the information it contains.



Policies:

- Each user should password protect his or her electronic communication resources.
- Each user should exit the electronic mail system before leaving his or her desk.

General Electronic Mail Use and Etiquette

Electronic mail messages, like hard-copy messages, should be presented in a manner that is both professional and non-offensive to the reader. Electronic mail messages must also be focused on City business.

Policies:

- The electronic mail system should only be used to relay messages related to City business, including information on City-sanctioned activities or committees. The electronic mail system should not be used to relay messages of a personal nature, nor should it be used as a communication tool for the City's bargaining units.
- Electronic mail messages must not include offensive language, references or otherwise stray from the City's standards of professional communication.

Guidelines:

- Before sending messages to the 'ALL' group, users should evaluate the clientele for the message and narrow the recipient list accordingly.



City of Kirkland Copy and Publication Charges

GENERAL

Photocopy – B/W (8.5 x 11) each page (first 5 pgs. @ no charge)	.15
Photocopy – B/W (11 x 17) each page	.20
Photocopy – B/W (18x24) each page	2.00
Photocopy – B/W (24x36) each page	3.00
Photocopy – B/W (36x48) each page	3.50
Certification of Copies of City Records/each page	3.00
Audio Tape of Meetings	3.00/tape
Video Tape of Meetings	5.00/tape
<i>*City Council Meeting Packets /All Others Not Specified</i>	10.00
Delivery - Express Courier Fee – King County Recordings	35.00

BUILDING

<i>Building Code Amendments</i>	3.50
---------------------------------	------

PUBLIC WORKS

<i>City Pre-approved Plans (Binder)</i>	60.00
<i>City Pre-approved Plans (CD)</i>	5.00

FINANCE

<i>Annual Budget</i>	20.00
<i>Capital Improvement Program</i>	15.00

PLANNING

Kirkland Streams, Wetlands & Wildlife Report	20.00
PCD Community Vision Report - 1992	3.00
Mylar	4.00
Mylars – Short Plat	1.00
PCS 2001 Comp Open Space & Reg Plan	9.70
Staff Reports Pertaining to a Hearing (up to date of hearing)	-0-

POLICE

Accident Reports	No Charge
Case Reports	No Charge
Concealed Weapon Permit Replacement	10.00

GIS

Standard GIS enterprise data CD (shape files, metadata and ortho image in MrSID format)		24.00
Standard GIS maps in PDF format on CD		45.75
Reference Grid Map	11" x 17"	5.00
Parcel Boundary Map	36" x 48"	8.40
Parcel Boundary Quartersection Maps	30" x 36"	10.00
Orthophoto Map	36" x 48"	10.60
Comprehensive Plan Map	11" x 17"	6.40
<i>Sensitive Areas Map</i>	11" x 17"	16.60
Neighborhood Map	11" x 17"	7.85
Zoning Map	36" x 48"	17.10
Right-of-Ways Map	36" x 48"	8.40
Two-Foot Contour Quartersection Maps	30" x 36"	18.65
Ten-Foot Contour Map	36" x 48"	20.00

*** Individuals directly impacted by an agenda item (i.e., party of record or applicant) may receive a copy of that specific agenda item at no cost. *Italics indicate:* Neighborhood Associations and organizations on contract with the City are fee exempt for one copy only.**

Authorized:	
City Manager	
01/01/2003	

DISCLOSURE OF PUBLIC RECORDS

Kirkland has a Council-Manager form of government. The chief administrative officer of the City is the City Manager, under whom nine departments operate. Records requests should be made to the appropriate department or City Clerk. Kirkland City Council Resolution 4669 adopts Public Records Act rules and designates the City Clerk as the City's Public Records Officer.

PURPOSE: This procedure explains how the City of Kirkland will respond to requests for public records under the provisions of the Washington State Public Disclosure Law (RCW 42.56). The intent of the law is to promote public access to information about the conduct of government at all levels, while at the same time protecting the individual's right to privacy.

The procedure is intended to ensure compliance, with as little deviation as possible from established Departmental practices. It explains the general points and thrust of the law, and provides the Department with a mechanism for handling difficult or unusual situations. It does not offer precise answers about what is and what is not public information.

POLICY. It is City policy to handle all requests for public records uniformly, fairly, and expeditiously, with all due consideration for the requestor's needs as expressed or perceived. Uniformity of procedure supports the legality of the process and enhances the credibility of the City.

PROCEDURE

Routine Requests. Accept requests for information in person, over the phone, by mail or FAX. Make the records or desired information available to the requestor if the type of request has been routinely dealt with before.

Refer any request for a credit check or verification of employment to Human Resources.

Non-Routine Requests. Have the requestor complete the "Request for Access to Public Records" form. Promptly forward the request to the City Clerk who will refer the matter to the City Attorney's Office for an opinion if necessary. If the request is to inspect or copy a record maintained by the Police Department, Fire and Building Department, or Municipal Court, the form will be immediately delivered to the appropriate contact for response. Within five business days of the date of receipt by the City of the written request for a record, the responder shall: (1) provide the record; (2) acknowledge that the City has received the request and provide a reasonable estimate of the time the City will require to respond to the request; or (3) deny the public record request. In all cases, if the City denies access to a particular record, it is required to respond in writing, cite the legal exemption involved, and explain how the exemption applies to each record requested (RCW 42.56.520).

GLOSSARY

ACCESSION - The act and procedures involved in the transferring and the taking of records or papers into the physical custody of the records center.

ACCESSION NUMBER - The internal tracking number used by the Records Management Office.

ACTIVE FILES - Collections of records that are referenced on a regular basis. Active files should be retained in the office.

ACTIVE RECORDS - Records that are referred to more than once per month per file drawer; records that are referenced on a regular basis. Active records should be retained in the office.

ADMINISTRATIVE (RECORD SERIES) - Records documenting the operation, management and administration of an office; usually distinguished from functional records that relate to the office's primary function.

ARCHIVAL - A record or other material that has been appraised for permanent retention because of its historical, fiscal, or legal value.

ARCHIVES - The noncurrent records of an organization or institution preserved because of their permanent, continuing historical, fiscal or legal value; the building where such materials are located.

CLOSE OR CLOSING FILES - Recording the inclusive dates (first date and last date) of the files and moving them from active office storage to inactive off-site Records Center storage.

DISPOSITION - Any manner or method of changing the custody, location, or physical state of records.

DISPOSITION AUTHORITY NUMBER - The number assigned by the State Archivist that authorizes the final disposition of each *record series*.

FILE - A group of related documents.

FINDING AID - An index or dictionary-type listing that shows all possible words and word combinations by which material may be requested. The items are arranged in a searchable order, such as alphabetical, numerical or chronological.

FUNCTIONAL (RECORDS SERIES) - Groups of records that would support the work of the department; these materials generally have longer retention periods.

INACTIVE RECORDS - Records with a reference rate of less than one search per file drawer per month, which therefore may be either destroyed, or if required for local or historical purposes may be transferred.

INCLUSIVE DATES - Two dates describing the span of time from first date and opening of the file to last date of the file.

OFFICE OF RECORD - The custodians of the record; the office creating or receiving the record.

OFFICIAL DOCUMENTS/FILES - Documents/files belonging to any *records series* which serves legal or official proof of an action, transaction or agreement.

PUBLIC RECORDS - Applies to any paper, correspondence, form, bound volume, film, machine readable material, drawing or other document, regardless of form or physical characteristics, that has been created or received by any state or local government agency during the course of public business.

PURGING - Removing closed files from office filing equipment.

RECORDS - Papers (reports, correspondence, studies, etc.), photographs, magnetic tape, microfilm, sound recordings, maps, drawings, or other documents, regardless of physical form or characteristics, and including all copies thereof, either organized or received by an institution.

RECORD SERIES - A group of records, performing a particular function, which is used as a unit, filed as a unit and can be disposed of as a unit.

RECORDS CENTER - A low-cost facility for the organized and controlled storage, maintenance, retrieval, and disposition of inactive and semi-inactive records.

REFERENCE FILES - Publications, books, periodicals, catalogs, bulletins, reports, maps, theses, tapes, films, photographs, and other materials that are needed as informational resources but are not a part of the main body of files.

RETENTION PERIOD - The period of time during which records must be kept before they may be disposed of; usually in terms of years or contingent upon an event, such as completion of a project.

TRANSMITTAL FORM - A form describing the contents of a group(s) of records that are transmitted from one holding area to another, usually from active files to a records center.

APPENDIX A

DEPARTMENTAL/DIVISIONAL RECORDS REPRESENTATIVES

City Clerk	Kathi Anderson	425-587-3197
Records Mgmt. Spec.	Victoria Davies	425-587-3193
Building	John Brickey	425-587-3626
City Attorney's Office	Leta Santangelo	425-587-3032
City Manager's Office	Karen Vander Hoek	425-587-3006
Finance – Acctg. Support	Cheryl Cronic	425-587-3122
Finance – Administration	Anja Mullin	425-587-3102
Finance – Administration	Karen Terrell	425-587-3103
Finance – Utility Billing	Jan Sullivan	425-587-3137
Finance – Licensing/Cemetery	Gloria Martin	425-587-3141
Finance – Financial Planning	Sandi Hines	425-587-3132
Finance – Payroll	Doreen Reed	425-587-3125
Fire	Nicole Kidd	425-587-3661
Fire	Teri Wallace	425-587-3654
Human Resources	Betsy Reali	425-587-3213
Information Technology	Paul Mantey	425-587-3052
Municipal Court	Erin Profitt	425-587-3168
Parks & Community Services	Cheryl Harmon	425-587-3302
Planning & Community Develop.	Prins Cowin	425-587-3231
Police	Peggy Malkowski	425-587-3458
Public Works	Amy Bolen	425-587-3811

Disaster Recovery Team Contact Numbers

<u>Position</u>	<u>Name</u>	<u>Home Phone</u>	<u>Work Phone</u>
City Clerk	Kathi Anderson	425-821-0637	425-587-3197
Records Mgmt. Spec.	Victoria Davies	425-485-6025	425-587-3193
Deputy Fire Chief	Jack Henderson	425-482-1242	425-587-3602
Building – Admin. Clerk	John Brickey		425-587-3626
CAO – Legal Asst.	Leta Santangelo	425-488-1225	425-587-3032
CMO – Admin. Assoc.	Karen Vander Hoek	425-681-6843	425-587-3006
Finance – Acctg. Support	Cheryl Cronic	425-822-4378	425-587-3122
Fire – Admin. Asst.	Nicole Kidd		425-587-3661
Fire – Admin. Clerk	Teri Wallace	425-876-0813	425-587-3654
I T – Admin. Asst.	Paul Mantey		425-587-3052
Municipal Court – Jud. Sup. Supv.	Erin Profitt		425-587-3168
Parks – Admin. Asst.	Cheryl Harmon	425-204-5081	425-587-3302
Planning – Exec. Asst	Prins Cowin	425-481-6143	425-587-3231
Police – Lead Support Assoc.	Peggy Malkowski	425-587-4000	425-587-3458
Public Works – Admin. Asst.	Lisa Nelson	206-719-4041	425-587-3803