



STATE OF WASHINGTON

STATE RECORDS COMMITTEE

Office of the State Auditor • Office of Financial Management • Office of the Attorney General • State Archives

PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

MEETING MINUTES

Archives Conference Room, Olympia

1:30 p.m.

April 04, 2007

Members Present: Steve Ryser (Chair), State Auditor's Office; Susan Carlson, Attorney General's Office; Rochelle Klopfenstein, Office of Financial Management

Members Absent: Jerry Handfield, Secretary of State's Office

Staff Present: Lysa Walker, Records Management Program Specialist; Joe Settanni, General Schedule Records Analyst

Records Officers: Julie Walter, State Board of Community and Technical Colleges; Steve Laurence, Department of Retirement Systems; Kathy Marshall, Marine Employees' Commission; Kristin Young, Washington State Patrol; Sid McAlpin, Department of Health; Eric Mark, Office of the Insurance Commissioner; Carol D. Hill, Department of Labor & Industries; Rose Reynolds, Liquor Control Board; Millie Brombacher, Department of Social and Health Services; Anita Wieland, Office of Financial Management; Barbara Benson, University of Washington; Tricia Mackin, Department of Personnel; Cathy Downs, Department of Transportation

Guests: Kym Nelson, Department of Retirement Systems; Linda Hoverter, Marine Employees' Commission; Karen Bostwick, Washington State Military Department; Andrea Watts, University of Washington; Megan Sibbert, University of Washington; Teresa Parsons, Department of Personnel; Jessica Alexander, Department of Transportation

I. ROUTINE BUSINESS

A. Call to Order: Steve Ryser called the meeting to order at 1:34 p.m.

B. Introduction of Records Officers/Guests: All Records Officers and guests were introduced. During the introductions, Susan Carlson, told the committee members, guests and staff present that this would be her last meeting. She accepted a position with the Supreme Court as a Deputy Clerk. She thanked everyone, especially the Records Officers for their hard work, knowledge and participation.

C. Approve February 7, 2007 Minutes: Steve called for a motion to approve the February 07, 2007 minutes. Moved by Susan Carlson; seconded by Rochelle Klopfenstein.

Resolution: Motion carried to adopt the minutes as presented.

D. Adoption of April 04, 2007 Agenda: Steve called for a motion to approve today's agenda. Moved by Susan Carlson; seconded by Rochelle Klopfenstein.

Resolution: Motion carried to adopt today's agenda.

II. OLD BUSINESS

A. State General Records Retention Schedule Glossary Review and Approval - Update on Program Level Records Definition

Lysa Walker explained that after a lengthy discussion with David Hastings, State Government Archivist, the Archives and Records Management Division recommends that the Program Level Records definition be removed from the State General Records Retention Schedule (State GS) Glossary. Records Officers understand that if their agency's program level records cannot be retained under a records series in the State GS, a unique records retention schedule must be created and approved by the State Records Committee, before the records can be destroyed. Therefore, the current definition is a source of confusion for Records Officers and their agency staff. The Records Officers and guests present agreed with the Archives and Records Management recommendation to remove the Program Level Records definition from the glossary.

Action: The committee approved the removal of the Program Level Records definition and approved the final revised version of the State GS Glossary.

III. NEW BUSINESS

A. Action Items for Committee Review/Approval

1. Washington State Housing Finance Commission

a. Compliance

1) Compliance Property Transfer Files – New Series

Action: Series 1 approved.

2. Central Washington University

a. Athletics – National Collegiate Athletic Association (NCAA)

20) Eligibility Report – New Series

21) Participation Roster – New Series

22) Sports Files – New Series

23) National Collegiate Athletic Association (NCAA)

The Archival Review Committee designated this series 'Potentially Archival'.

24) Great Northwest Athletic Conference (GNAC)

The Archival Review Committee designated this series 'Potentially Archival'.

25) NCAA Catastrophic Insurance Program – Claim Files – New Series

26) Student/Sport Financial Aid Reports – New Series

27) Permission Letters – New Series

28) Recruiting Information/Official Visits – New Series

29) Student Files – New Series

Action: Series 20 – 29 approved.

b. Financial Aid/Scholarships/Student Employment

49) Student Payment Authorization Forms – New Series

50) Satisfactory Progress Edit Lists – New Series

51) Quality Assurance Files – New Series

52) Graduate Students Eligibility Reports – New Series

53) National Exchanges and International Student Programs – New Series

54) Third Party Sponsor Records – New Series

Action: Series 49 – 54 approved.

c. Athletics

1) Excess Insurance Program – Claim Files – New Series

2) Letters of Intent – New Series

3) Ticket Files – New Series

4) Camps – Athlete/Camper Information – New Series

5) Settlement/Agreements – Intercollegiate Athletics, National Collegiate Athletic Association (NCAA) – New Series

6) Contest Agreements and Entry Fees – New Series

7) Medical Expense Log – New Series

8) Athletic Recognition – New Series

9) Tournament and National Information/Nationals Reports – New Series

10) Athlete Medical Files (Expired) – New Series

11) Individual Athlete Insurance Claim Files – New Series

12) Travel Files – New Series

13) Donor Files – New Series

14) Endowment Files – New Series

15) Concession Files – New Series

16) Financial Records – New Series

17) Documentation of Drug Test Clearance – New Series

18) Athletics Annual Report – New Series

19) Donations/Contributions/Sponsorships – New Series

The Archival Review Committee designated this series 'Archival'.

Action: Series 1 – 19 approved.

3. Department of Health

a. HPQA – Customer Service Center

1) Name Change Documents – Series Revised: Changed cut-off from 'Entered in the System' to 'Entered into Database' and changed retention from 5 years to 60 years.

Action: Series 1 approved.

b. Health Professions Quality Assurance

1) Complaint/Investigation Files – Series Revised: increased the retention from 7 years to 20 years due to implementation of Chapter 99, Section 5, Laws of 2006 (SHB 2974).

Action: Series 1 approved.

4. Washington State Military Department

a. *Contracts*

- 1) Public Works Construction Contracts and Agreements – Washington Military Department Facilities – New Series

The Archival Review Committee designated this series 'Archival'.

Action: Series 1 approved.

5. University of Washington

a. *Any Dentistry Clinic*

- 1) Request for Radiographic Examination – New Series

Action: Series 1 approved pending the submittal date be corrected.

b. *Dentistry: Oral & Maxillofacial Surgery: Faculty/Student*

- 1) Patient Research Charts – Series Revised: Decreased retention from 40 years to 30 years to make it consistent with the retention period of the other patient charts maintained by the School of Dentistry.

Action: Series 1 approved.

c. *Dentistry: Office of Clinical Services: Clinic Operations*

- 1) Log of Spore Tests – New Series
2) Instrument Check-Out – New Series

Action: Series 1 and 2 approved.

d. *Management Accounting and Analysis*

- 6) Annual Approval of Recharge Centers – New Series
7) Initial Approval of Cost Center Rates – New Series

Action: Series 6 and 7 approved.

e. *Any Office*

- 1) Model Release Forms – New Series

Action: Series 1 approved.

f. *Dentistry: Oral & Maxillofacial Surgery: Oral Pathology*

- 1) Biopsy Reports (Pathology) – Series Revised: Decreased retention from 39 years to 30 years to make the retention period consistent with other medical-related records.

Action: Series 1 approved.

g. *Broadcast Services: KUOW Radio Station*

- 13) Pledge Forms – Series Revised: Increases retention from 4 years to 6 years and changes the designation from OFM to OPR.
15) Balance Sheet Reconciliation – New Series
16) Pledge Credit Card Receipts – New Series
18) Monthly Summary Reports – New Series
19) Vendor Invoices – New Series

Action: Series 13, 15, 18 and 19 approved.

h. *Publications Services*

- 1) Photocopy Work Request – Series Revised: Changed the designation from OFM to OPR and increased retention from 2 years to 6 years.

Action: Series 1 approved.

6. Department of Social and Health Services

a. *Mental Health Division*

- 1) Dangerous Mentally Ill (DMIO) Mental Health Contracted Services Files – New Series

Action: Series 1 approved.

b. *Social Services Payment System (SSPS)*

- 1) Social Services Payment System (SSPS) Provider Database – New Series

Action: Series 1 approved.

c. *Office of the Deaf and Hard of Hearing*

- 1) Telecommunications Equipment Distribution (TED) Case Files – Series Revised: Updated titled; changed description to include all TED applications; changed designation from OFM to OPR (these documents include client signatures and payment information) and changed retention from 3 years to 6 years.

Action: Series 1 approved.

7. Washington State Patrol

a. *Investigative Assistance Division*

- 1) Anonymous Tips – New Series

Action: Series 1 approved.

b. *District/Detachment*

- 1) Case Files – Series Revised: Increased retention from 6 years to 10 years and changed cut-off from 'Case Closed (Adjudicated) or Statute of Limitations' to 'Calendar Year'.

Action: Series 1 approved.

c. *Investigative Assistance Division*

- 1) Ferry Tip Files – Series Revised: Decreased retention from 7 years to 6 years.
- 2) Field Information Reports (FIRS) – Series Revised: Decreased retention from 7 years to 6 years.
- 3) Imprest Fund Documentation – Series Revised: Decreased retention from 7 years to 6 years and changed cut-off from 'Fiscal Year' to 'Calendar Year'.
- 4) Informant Files – Series Revised: Decreased retention from 7 years to 6 years and changed designation from OFM to OPR.
- 5) Investigative Files – Series Revised: Decreased retention from 7 years to 6 years and changed cut-off from 'Case Closed' to 'Case Adjudicated or Statute of Limitations'.
- 6) Open Missing and Exploited Children Case Files – Series Revised: Decreased retention from 7 years to 6 years; changed cut-off from 'Case Closed' to 'Case Adjudicated or Statute of Limitations' and changed designation from OFM to OPR.
- 7) Request for Background Assistance – Series Revised: Changed retention from 7 years to 6 years.

Action: Series 1 – 7 approved.

8. Department of Labor and Industries

a. *Elevator Section*

- 1) Master Conveyance File (Hard Copy) – Series Revised: Includes DAN 80-10-26207; changed designation from OFM to OPR; changed retention from 24/48/6 years to 12/60/6 years; changed title from ‘Master Elevator File’ and changed cut-off from ‘Until Data Entered in Computer’ to ‘Documentation of Conveyance Removal’.
- 2) Elevators Removed From Building (ID Numbers) – Series Revised: Changed cut-off from ‘Monthly’ to ‘Documentation of Conveyance Removal’ and changed retention from ‘72/0/6 years to 12/60/6 years.
- 3) Master Conveyance File (Magnetic Media) – Series Revised: Includes DAN 80-10-26207; changed title from ‘Master Elevator File (Computer File)’; updated description; changed cut-off from ‘Expiration of Operating Permit’ to ‘Documentation of Conveyance Removal’ and changed retention from 72/0/6 years to 12/60/6 years.
- 4) Plan Review of Conveyance Installation – Series Revised: Changed cut-off from ‘Monthly’ to ‘Date of Document’.
- 5) Correction Notice – Series Revised: Includes 98-01-58263; updated description and changed cut-off from ‘Monthly’ to ‘Discrepancies Resolved’.
- 6) Correction Notice (Magnetic Media) – Series Revised: Includes 85-09-36037; updated description; changed cut-off from ‘Monthly’ to ‘Discrepancies Resolved’ and increased retention from 3 years to 6 years.

Action: Series 1 – 6 approved.

b. *(SL) Field Audit*

- 1) Fiscal Tracking & Duplicate Service Location Records – Series Revised: Changed title from ‘Duplicate Service Location Records’; updated description and increased retention from 6 months to 1 year.

Action: Series 1 approved.

c. *General Accounting/Administration*

- 1) Fiscal Tracking & Duplicate Service Location Records – Series Revised: Changed title from ‘Duplicate Service Location Records’; updated description and increased retention from 6 months to 1 year.
- 2) US Department of Energy Pension Program – New Series

Action: Series 1 and 2 approved.

d. *Risk Management Services*

- 1) Return to Work Options – New Series
- 2) Retrospective Rate Assessments – New Series

Action: Series 1 and 2 approved.

e. *Claims Consultants*

- 1) Statistical Data for Appeals and Protests – New Series
The Archival Review Committee designated this series ‘Archival’.

Action: Series 1 approved.

f. *DOSH Consultation Administration*

- 1) Alliances – New Series

Action: Series 1 approved.

g. Industrial Hygiene Program

- 1) Notice of Asbestos Abatement Project – New Series
- 2) Training Materials for Asbestos Training – New Series

Action: Series 1 and 2 approved.

h. DOSH Consultation Policy & Cooperative Program

- 1) Consultants Assistance Record – New Series
- 2) Voluntary Protection Program – New Series
- 3) Small Business Recognition Program – New Series

The Archival Review Committee designated this series 'Archival'.

Action: Series 1 – 3 approved.

i. Electrical Chief

- 1) Electrical Class B Permits – New Series

Action: Series 1 approved.

j. DOSH Consultation Policy & Cooperative Program

- 1) Self-Insurance Accident Prevention Program Analysis

Action: Series 1 approved.

k. Electrical Licensing - Olympia

- 1) Electrical Master Files, Electronic Worksheet – New Series

The Archival Review Committee designated this series 'Archival'.

Action: Series 1 approved.

l. Private Sector Rehab Services (PSRS)

- 1) Provider Registration Records for Vocational Rehabilitation – New Series

Action: Series 1 approved.

9. Department of Personnel

a. Legal Affairs Division

- 1) Non-Allocation Reviews – Series Revised: Changed description; decreased retention from 15 years to 5 years and transferred from office 600 to office 500.
- 2) Allocation Reviews – Series Revised: Changed description; decreased retention from 15 years to 5 years and transferred from office 600 to office 500.
- 3) Non-Allocation and Allocation Decisions – Series Revised: Changed the title from 'Case Reference'; revised description; decreased the retention from 75 years to 50 years; changed designation from OFM to OPR and transferred from office 600 to office 500.
- 4) Personnel Resources Board Files and Exhibits – Series Revised: Changed the title from 'Personnel Appeals Board Appeal Files'; changed description; changed cut-off to 'Appeal Completed' and increased retention from 3 years to 6 years.
- 5) Personnel Resources Board Appeals Orders – Series Revised: Changed the title from 'Personnel Appeals Board'; changed description and increased retention from 20 years to 50 years.

- 6) Voice Recording of Personnel Resources Board Appeal Hearings – Series Revised – Changed title from ‘Personnel Appeals Board’; changed description; changed designation from OPR to OFM; changed cut-off from ‘Calendar Year’ to ‘Final Order’ and decreased retention from 1 year to 90 days.

Action: Series 1 – 6 approved.

10. Marine Employees’ Commission

a. *Marine Employees’ Commission*

- 26) Official Agency Record on Appeal – New Series

Action: Series 26 approved.

11. Liquor Control Board

a. *Financial – Administration Services/Administration Auditing*

- 1) Distribution of Excess Funds – Series Revised: Decreased retention from 75 years to 10 years; changed designation from OFM to OPR and updated description.

Action: Series 1 approved.

12. Department of Revenue

a. *Taxpayer Account Administration/Information*

- 1) Trust Fund Accountability Assessment – Series Revised: Removed from description ‘Same statutory retention period as Tax Warrants 98-10-58762; changed cut-off from ‘Date Assessment is Issued Once Imaged and Verified’ to ‘Once Imaged and Verified’ and changed total retention from 10 years to 12 years.

Action: Series 1 approved.

13. Department of Retirement Systems

a. *Employer Information Processing*

- 1) Transmittal Files – Series Revised: Increased retention from 3 years to 75 years and transferred from office 241 to office 290.

Action: Series 1 approved.

14. Department of Transportation

a. *Materials Laboratory*

- 1) Project Geotechnical Files – Series Revised: Changed cut-off from ‘Certification of Contract or Work Order Closure Request’ to ‘Last Activity Date’ and changed retention from 24/876/75 years to 6/894/75 years.

The Archival Review Committee designated this series ‘Archival’.

Action: Series 1 approved.

a. *Materials Laboratory – Seattle Inspection Office*

- 4) Radiographic Film – New Series

The Archival Review Committee designated this series ‘Archival’.

Action: Series 4 approved.

b. *Public Transportation and Rail Office*

- 1) Consolidated Grant Program Files – New Series

Action: Series 1 approved.

15. Office of the Insurance Commissioner

a. *Consumer Protection – Licensing*

- 1) Required Documents for License (Imaged) – New Series
- 2) Premium Finance Company Files (Imaged) – New Series
- 3) Insurance License Renewal Notices (Imaged) – New Series
- 5) Required Documents for License (Paper) – Series Revised: Identified series as 'paper' and changed retention from 72/0/6 years to 0/72/6 years.
- 6) Premium Finance Company Files (Paper) – Series Revised: Identifies series as 'paper'; changed cut-off from 'After Expiration' to 'Scanned and Verified' and decreased retention from 7 years to 6 years.
- 7) Insurance License Renewal Notices (Paper) – Series Revised: Reinstate series and identify as 'paper'; changed cut-off from 'Until Superseded' to 'Scanned and Verified' and changed retention from zero to 6 years.

Action: Series 1 – 3 and 5 – 7 approved.

b. *Continuing Education*

- 1) Approved Requests for Continuing Education Courses (Imaged) – New Series
- 2) Approved Requests for Continuing Education Courses (Paper) – New Series

Action: Series 1 and 2 approved.

c. *Company Supervision*

- 1) Auxiliary Line Information (Imaged) – New Series
- 2) Domestic Insurance Company & Health Carrier Financial Analysis Workpapers (Imaged) – New Series
- 3) Insurance Company & Health Carrier Financial Analysis Workpapers (Imaged) – New Series
- 4) Domestic Insurance Company Records (Imaged) – New Series
- 5) Purchasing Groups Registration (Paper) – Series Revised: Identified series as 'paper'; changed description to eliminate reference to the storage media and changed retention from 72/0/6 years to 0/72/6 years.
- 6) Foreign Insurance Company Records (Paper) – Series Revised: Identified series as 'paper' and changed retention from 72/0/6 years to 0/72/6 years.
- 7) Trusted Alien Reinsurers (Paper) – Series Revised: Identified series as 'paper' and changed retention from 72/0/6 years to 0/72/6 years.
- 8) Domestic Insurance Company Records (Paper) – Series Revised: Identified series as 'paper' and changed cut-off from 'Calendar Year' to 'Scanned and Verified'.
- 9) Reinsurance Intermediaries Filings (Paper) – Series Revised: Identified series as 'paper' and changed retention from 72/0/6 years to 0/72/6 years.
- 10) Service Contract Provider Filings (Paper) – Series Revised: Identified series as 'paper' and changed retention from 72/0/6 years to 0/72/6 years.
- 11) Viatical Settlement Provider Filings (Paper) – Series Revised – Identified series as 'paper' and changed retention from 72/0/6 years to 0/72/6 years.

Action: Series 1 – 11 approved.

d. *Rates and Forms*

- 1) Imaged Property & Casualty Insurance Companies Forms, Rules and Rate Filings – Series Revised: Changed designation from OPR to OFM and changed cut-off from ‘Once Imaged and Verified’ to ‘Image Verified’.
- 2) Imaged Life and Disability Insurance Companies All Rate and Contract Filings – Series Revised: Changed designation from OPR to OFM and cut-off from ‘Once Imaged and Verified’ to ‘Image Verified’.
- 3) Imaged Health Maintenance Organizations and Health Care Service Contractors – Series Revised: Changed title to identify this as an imaged series; changed designation from OPR to OFM and changed cut-off from ‘Once Imaged and Verified’ to ‘Image Verified’.
- 4) Health Maintenance Organizations and Health Care Service Contractors (Paper) – New Series
- 5) Property & Casualty Insurance Companies Forms, Rules and Rate Filings (Paper) – New Series
- 6) Life and Disability Insurance Companies All Rate and Contract Filings (Paper) – New Series

Action: Series 1 – 6 approved.

e. *Consumer Assistance*

- 1) Imaged Insurance Company Complaint and Inquiry Files – New Series
- 2) Insurance Company Complaint and Inquiry Files (Paper) – Series Revised: Changed cut-off from ‘ACR’ to ‘Complaint Closed’ and changed retention from 7 years to 6 years.

Action: Series 1 and 2 approved.

IV. OTHER BUSINESS

A. State General Records Retention Schedule Item for Review and Approval

1. *Voluntary Employee’s Beneficiary Association (VEBA) Ballots* – New Series

Action: Series approved pending the word ‘Ballot’ in the title be changed to ‘Documentation’ and the description be changed from ‘Documentation of an agency action...’ to ‘Documentation of an agency participation in...’

B. Community and Technical College System Records Retention Schedule Item for Review and Approval

1. *Grants Issued by the Federal Government – CT0701.02* – Revised Series

Action: Series approved.

C. FYI: Archival Designation Modification Recommendation by the Archival Appraisal Committee

1. Archival designation removed from Secretary of State Records Series titled *New Registration Control Records*

V. ADJOURNMENT

The meeting was adjourned at 2:59 p.m.

The next meeting of the State Records Committee is scheduled for May 02, 2007, at 1:30 p.m. in the Archives Conference Room, Archives and Records Building, Olympia.

CERTIFICATION OF MINUTES OF THE STATE RECORDS COMMITTEE MEETING:

I, Steve Ryser, Chair of the State Records Committee, certify that the above is a true and correct transcript of the minutes of a public meeting of the State Records Committee of the Secretary of State, Archives and Records Management Division, held in the State Archives Building conference room on April 04, 2007, and that the public meeting was duly called and held in all respects in accordance with the laws of the State of Washington and that a quorum was present.

Chair Signature

Date

NOTE: Official signature on file at Secretary of State Records Management Office.