



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

State Archives Conference Room

1:30 p.m.

November 01, 2006

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

Staff Present: Tri Howard, Public Records Program Manager; Lysa Walker, Forms and Records Analyst 3

Records Officers: Barbara Benson, University of Washington; Lura Harrison, Washington State Housing Finance Commission; Anita Wieland, Office of Financial Management; Eric Mark, Department of Licensing; Brenda Galarza, Office of the Secretary of State; Kristin Young, Washington State Patrol; Sid McAlpin, Department of Health; Millie Brombacher, Department of Social and Health Services; Irene Koester, Department of Corrections; Mary Ann Johnson, Office of the State Treasurer

Guests: Andrea Watts, University of Washington; Tami Schwender, Department of Corrections; Marla Kentfield, Office of the State Treasurer

II. ROUTINE BUSINESS

A. Call to Order: Steve Ryser called the meeting to order at 1:50 p.m.

B. Introduction of Records Officers/Guests: All Records Officers and guests were introduced.

C. Approve October 04, 2006 Minutes: Steve called for a motion to approve the October 04, 2006 minutes. Moved by Susan Carlson; seconded by Rochelle Klopfenstein.

Resolution: Motion carried to adopt the minutes as presented.

D. Adoption of November 01, 2006 Agenda: Steve called for a motion to approve today's agenda. Moved by Susan Carlson; seconded by Jerry Handfield.

Resolution: Motion carried to adopt today's agenda.

II. OLD BUSINESS

A. Records Series Withdrawn from October 04, 2006 Meeting

1. Department of Revenue
 - a. *Special Programs/Miscellaneous Tax*
 - 5) Vessel Tax Files

Action: Series 5 was withdrawn at the October meeting to be appraised by the Archival Review Committee for its enduring and/or historical value. The ARC met with the Records Officer and program staff to review the files. Jerry Handfield requested the series be tabled until further research is conducted.

- 8) Escheat Files

Action: Series 8 was withdrawn at the October meeting to be appraised by the Archival Review Committee for its enduring and/or historical value. The ARC met with the Records Officer and program staff to review the files and designated this series as Archival. However, the retention of the paper copy and digital copy will need to be determined. The series has been tabled until the December SRC meeting.

- 10) Indian Allocation Orders

Action: Series 10 was not considered at the October SRC meeting because it was included on the same page as Series 11.

- 11) Inheritance and Estate Tax Files

Action: Series 11 was withdrawn at the October meeting to be appraised by the Archival Review Committee for its enduring and/or historical value. The ARC met with the Records Officer and program staff to review the files and to determine that this records series is not Archival. Series 10 and 11 approved.

- b. *Special Programs/Forest Tax*
 - 5) Timber Assessed Value

Action: Series 5 was withdrawn at the October meeting to be appraised by the Archival Review Committee for its enduring and/or historical value. The ARC met with the Records Officer and program staff to review the files and designated this series as Archival. However, the retention of the paper copy and digital copy will need to be determined. The series has been tabled until the December SRC meeting.

B. Second Review and Approval of State General Records Retention Schedule Revision Procedures

Action: The revision procedures were reviewed and approved pending changes at the October SRC meeting. However, upon further review by Susan Carlson, some minor edits were made to the original changes. The committee approved the changes suggested by Susan pending until the following changes suggested by Jerry Handfield are made: change all references of "memo" to "memorandum" and in the *Records Management Office* section change "...of each month" at the end of the second sentence to "prior to the scheduled meeting". Lysa will make the requested changes and circulate the procedures for signature among the SRC members.

III. NEW BUSINESS

A. Action Items for Committee Review/Approval

1. Washington State University
 - a. *Student Advising and Learning Center (SALC)*
 - 1) Advisory Assignment Card – Series Revised: Changed cut-off from "Fiscal Year" to "Academic Year".

- 2) Certification of Major Card – Series Revised: Changed cut-off from “Fiscal Year” to “Academic Year”.
- 3) Change of Advisor Form – Series Revised: Changed cut-off from “Fiscal Year” to “Academic Year”.
- 4) Noncurrent Student Files – Series Revised: Changed cut-off from “Fiscal Year” to “Academic Year” and decreased retention from 5 years to 4 years.
- 5) Tutoring Agreement Files – New Series

Action: Series 1 – 5 approved.

2. Washington State Housing Finance Commission

a. *Administration*

- 1) Public Hearing Records – New Series

Action: Series 1 approved.

3. Washington State Patrol

a. *Investigative Assistance Division*

- 1) Missing Person Active Cases – Series Revised: Moved from Office 250 to 170 and changed designation from OFM to OPR.
- 2) Missing Person Cleared Case 1 – Series Revised: Moved from Office 250 to 170; changed cut-off from “Calendar Year” to “Case Closed” and changed designation from OFM to OPR.
- 3) Missing Person Cleared Cases 2 – Series Revised: Moved from Office 250 to 170; changed cut-off from “Calendar Year” to “Case Closed” and changed designation from OFM to OPR.
- 4) Missing Person Cleared Cases 3 – Series Revised: Moved from Office 250 to 170; changed cut-off from “Calendar Year” to “Case Closed” and changed designation from OFM to OPR.
- 5) Unidentified Persons Case – Series Revised: Moved from Office 250 to 170 and changed designation from OFM to OPR.

Action: Series 1 – 5 approved.

b. *District/Detachment*

- 1) Evidence Paperwork – Series Revised: Added the word “Paperwork” to the title; changed cut-off from “Case Closed” to “Case Closed (Adjudicated) or Statute of Limitations”; changed the designation from OFM to OPR and changed the retention from 7 years to 6 years.

Action: Series 1 approved.

4. University of Washington

a. *Any Office*

- 1) Financial Records for Grants/Contracts – New Series
- 2) Financial Records for Grants/Contracts – Series Revised: Reworded cut-off from “Termination of Grant/Contract and Submission of Final Expenditure Report” to “Submission of Final Expenditure Report” and increased retention from 6 years to 6.25 years.

Action: Series 1 and 2 approved.

b. Enrollment Services – Special Services

- 1) Change of Credit Load Report – Series Revised: Changed description; identified location of official copy; changed cut-off from “Quarter” to “Data Entry” and reduced retention from 1 year to 1 month.
- 2) Financial Aid Authorization & Disbursement Lists – Year End List – Series Revised: Reduced retention from 6 years to 2 years.
- 3) Veterans Educational Benefits Check Disbursement Reports – Series Revised: Changed cut-off from “Fiscal Year” to “Quarter” and reduced the retention period from 3 years to 3 months.
- 4) National Merit Scholarship and UW Undergraduate Scholar Award Files – Series Revised: Changed title from “Tuition Waivers”; changed description and changed designation from OFM to OPR.

Action: Series 1 – 4 approved.

c. Admissions & Records – Special Services

- 6) English as a Second Language (ESL) Program Files – Series Revised: Changed description and changed cut-off from “Quarter” to “Graduation or Last Activity”.

Action: Series 6 approved.

d. A&S: Burke Museum: Register

- 1) Accession/Deaccession Records – Series Revised: Transferred from Office 19.61.00 to 19.46.05; changed title; changed cut-off from “Object Deaccessioned” to “Collection Deaccessioned” and changed description.
- 2) Donor Cards – New Series
- 5) Loan Records – New Series

Action: Series 1, 2 and 5 approved.

e. Bothell: Center for University Studies and Programs

- 3) New Student Orientation Spreadsheet – New Series

Action: Series 3 approved.

f. Health Sciences Administration: Health Sciences

- 1) Access Card/Photo ID Application – New Series
- 2) Building Authorization Coordinator Records – New Series
- 3) Door Lock/Unlock Records – New Series
- 5) Log Sheets – New Series
- 6) Security Logs – New Series
- 7) Day Storage or Space Allocation Records – New Series

Action: Series 1 – 3, 5 – 7 approved.

- 1) Work Orders (Working Copy) – New Series
- 2) Phone Order Form – New Series
- 3) Room Change Requests – New Series
- 4) Logs – New Series
- 5) Equipment Scheduling Database – New Series
- 6) Room Inspection Records – New Series
- 7) Laundry Records – New Series
- 8) Locker Assignments – New Series
- 9) Key and Access Card Return Form – New Series
- 10) Enunciator Records – New Series

Action: Series 1 – 10 approved.

5. Department of Licensing

a. *Vehicle Services – SWAT Unit*

- 1) Vehicle and Vessel Non-Title Records (Source Documents) – Series Revised: Changed title and description to better reflect the current business practices and procedures; changed designation from OPR to OFM; changed cut-off from “Verified” to “Imaged and Verified” and transferred from office 423 to 420.

Action: Series 1 approved.

b. *Vehicle Services – IRU/Communications/Document*

- 1) Vehicle and Vessel Transaction Information (MF) – New Series
- 2) Driver, Vehicle and Vessel Transaction Information (MF) – New Series
- 3) Imaged Vehicle and Vessel Non-Title Documentation – New Series
- 4) Driver and Plate Search Database (Electronic) – New Series

Action: Series 1 – 4 approved.

c. *Vehicle and Special Licensing*

- 1) Disabled American Veteran and Former Prisoner of War Information (Electronic) – New Series
- 2) Amateur Radio Operator (HAM) and Military Affiliate Radio System (MARS) License Information (Electronic) – New Series
- 3) Vehicle and Vessel License Plate, Tab and Decal Inventory Information (Paper) – Series Revised: Changed the title and description to better reflect the contents of the records series; changed cut-off from “Monthly” to “Calendar Year” and moved from office 420 to 422. The primary record is maintained by office 429 under a new DAN that has not been issued yet.
- 4) Special Military License Plate or Disabled American Veteran Information (Paper) – Series Revised: Changed the title and description to better reflect the contents of the records series; changed the cut-off from “Verified” to “When Entered into Computer and Verified”; changed retention from 0 years to 1.5 years and transferred from office 425 to 422.
- 5) Amateur Radio Operator and Military Affiliate Radio System License Plate Information (Paper) – Series Revised: Changed the title and description to better reflect the contents of records series; changed cut-off from “Calendar Year” to “License Terminated”; changed the total retention from 5 years to 0 years and transferred from office 420 to 422.

Action: Series 1 – 5 approved.

IV. OTHER BUSINESS

A. Discuss Electronic Imaging System Language “Imaged and Verified” vs. “Scanned and Verified”.

Eric Mark, assistant to the Records Officer for the Department of Licensing, requested a discussion with the committee regarding the conflicting language between the Electronic Imaging System (EIS) guidelines of “Scanned and Verified” and the SRC request of “Imaged and Verified”. After some brief dialogue, the committee agreed that the word “Scanned” and the word “Imaged” shall be the preference of an individual agency. The committee approved the following three cut-off’s which may be used by state agencies for unique records series included in an EIS: “Scanned and Verified”, “Imaged and Verified” or “Scanned/Imaged and Verified”.

B. Discontinued Records Series Discussion

At the October meeting, the committee noted the following:

‘Susan Carlson expressed concern that once a schedule is discontinued it can no longer be relied on as authorization to destroy a record. Therefore, if an agency is continuing to retain records under a particular Disposition Authority Number (DAN), that DAN should not be discontinued until there are no more records being retained. The agency should ensure that records are not destroyed under a discontinued DAN.’

The Records Management Office (RMO) requested further clarification from the SRC regarding last month’s decision since the RMO has the authority to approve discontinued records series. It was agreed by the committee that records series being discontinued to use another unique records retention schedule or the State General Records Retention Schedule could be approved by the RMO. The RMO will remind Records Officers to contact the State Records Center so that proper transfer of the boxes affected by the DAN revision is completed.

Further discussion was held regarding the discontinuance of unique records series due to the fact that they may be in an office that is now obsolete, or they may no longer be an agency function. The concern, as noted at the October meeting, was whether or not all the records under the discontinued series had met their retention and been destroyed.

Action: Per the request of Tri Howard, this discussion was tabled so that further research on the subject of discontinued records series could be done. Tri and the RMO will report on this issue at the December meeting.

C. Review and Approved State General Records Retention Schedule Records Series

1. Internet Web Sites
2. Intranet Web Sites

The RMO requested that the committee table these records series due to unresolved concerns among agencies regarding possible conflicts with the proposed chapter 434-662 WAC titled *Preservation of Electronic Public Records at the Washington State Digital Archives*. The Records Officers present at the SRC meeting also expressed their apprehension and opinions regarding this issue. The following outline reflects several major concerns:

- a. Cost
- b. Size
- c. Retention period is not the official copy
- d. Format being scheduled, not the content
- e. Different retention periods
- f. All agencies, regardless of size, required to follow the schedule

Action: The committee tabled series 1 and 2 to allow consultation by the RMO with the Digital Archivist, Adam Jansen.

3. Conferences and Seminars, Agency Copy

Action: Series 3 approved.

D. Review and Approve Revisions to the State General Records Retention Schedule Glossary

Susan Carlson recommended using the "Cut-off" definition suggested by Lysa Walker and that the definition of "Convenience Files" be deleted from the glossary. She gave Lysa some handwritten edits which will be included in the updated draft. The committee also requested that the RMO create draft definitions for the following:

1. Internet
2. Intranet
3. Discontinued
4. Scanned/Imaged

Lysa will circulate the draft glossary among the Records Officers for comment. The glossary will be included on the December SRC agenda for the committee's review and approval.

E. The Spokane Review Article Regarding Department of Social and Health Services Foster Children Records – Jerry Handfield

Jerry briefed the committee and guests present on the Spokane Review article regarding the early destruction of Department of Social and Health Services (DSHS) foster children records. The article implied that no retention policy was set for the destruction of these records which led to their arbitrary destruction. Millie Brombacher, Records Officer for DSHS also provided comment on this matter. Further discussion will be held at future SRC meetings as information becomes available.

V. ADJOURNMENT

The meeting was adjourned at 4:04 p.m.

The next meeting of the State Records Committee is scheduled for December 6, 2006, at 1:30 p.m. in the Archives Building Conference Room.

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 November 01, 2006, 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.