



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.

June 06, 2007

Members Present: Steve Ryser (Chair), State Auditor's Office; Cindy Evans (Interim), Attorney General's Office; Rochelle Klopfenstein, Office of Financial Management, Jerry Handfield, Secretary of State's Office

Staff Present: Tri Howard, State Records Manager; Lysa Walker, Records Management Program Specialist

Records Officers: Brenda Galarza, Secretary of State's Office; Jeff Larsen, Department of Agriculture; Barbara Benson, University of Washington; Tricia Mackin, Department of Personnel; Millie Brombacher, Department of Social and Health Services; Anita Wieland, Office of Financial Management; Carol Hill, Department of Labor & Industries

Guests: Andrea Watts, University of Washington; Megan Sibbert, University of Washington; Pauline Yale, Department of Financial Institutions; Jeannette Terry, Department of Financial Institutions, Bill Zochmann, Department of Personnel; Sid McAlpin, Department of Health; Teresa Parson, Department of Personnel

I. ROUTINE BUSINESS

A. Call to Order: Steve Ryser called the meeting to order at 1:39 p.m.

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

C. Approve May 2, 2007 Minutes: Steve called for a motion to approve the May 02, 2007 minutes. Moved by Rochelle Klopfenstein; seconded by Jerry Handfield

Resolution: Motion carried to adopt the minutes as presented.

D. Adoption of June 06, 2007 Agenda: Steve called for a motion to approve today's agenda. Jerry requested that Item C. be added to Section IV. Other Business titled *Cheney Workshop, Heritage Center and Other Announcements*. Steve called for a motion to approve today's agenda as amended. Moved by Jerry Handfield; seconded by Cindy Evans.

Resolution: Motion carried to adopt today's agenda as amended.

II. OLD BUSINESS

A. Series Tabled at the May 2, 2007 Meeting

1. Department of Personnel

a. *Organizational & Employee Development Services*

- 1) Training Information Systems Database (HRDIS) – New Series
- 2) Course Folders – Series Revised: Changed description; decreased office retention from 2 years to 4 years and transferred from Office 750 to Office 300.

Action: Motion to approve Items 1 and 2: Rochelle Klopfenstein; seconded by Jerry Handfield.

Resolution: Motion carried.

III. NEW BUSINESS

A. Action Items for Committee Review/Approval

1. Washington State University (WSU)

a. *Payroll and Personnel Records*

- 1) Annual Review of Faculty – New WSU General Schedule Series

Action: Steve called for a motion to approve Items 1: Rochelle Klopfenstein; seconded by Jerry Handfield.

Resolution: Motion carried.

b. *Information Services Records*

- 1) Web Browser Logs – New WSU General Schedule Series
- 2) Server Logs – New WSU General Schedule Series

Action: Motion to table Item 1 until further research is done by WSU and the Records Management Office (RMO) regarding the appropriate cut-off and retention and to approve Item 2: Cindy Evans; seconded by Jerry Handfield.

Resolution: Motion carried.

NOTE: Item 2 will be resubmitted on a schedule and circulated for signature.

2. Department of Health

a. *Newborn Screening*

- 1) Teddy Study (Diabetes) Consent Forms – New Series

Action: Motion to approve Item 1: Rochelle Klopfenstein; seconded by Jerry Handfield.

Resolution: Motion carried.

b. *Health Professions Quality Assurance*

- 1) Incomplete/Rejected/Failed Applications for License – Series Revised: Changed cut-off from 'When Received' to 'When Denied' and changed retention from 24mo/48mo/6 years to 0mo/72mo/6 years.

Action: Motion to approve Item 1: Jerry Handfield; seconded by Rochelle Klopfenstein.

Resolution: Motion carried.

3. Department of Labor & Industries (L&I)

a. *Medical Information Payment System (MIPS)*

- 1) Special Handling Lists – Series Revised: Transferred from Office 276 to Office 274 and increased retention from 6 months to 1 year.

Action: Motion to approve Item 1 with title change to *Internal Warrant Handling Lists*: Rochelle Klopfenstein; seconded by Jerry Handfield.

Resolution: Motion carried.

b. *Self Insurance*

- 1) Annual Report of Self Insured Business – Series Revised: Changed description; changed designation from OFM and increased retention from 5 years to 30 years.
- 2) Self Insurers Surety Report – Series Revised: Changed description; changed designation from OFM and increased retention from 11 years to 30 years.
- 3) Financial Reports – Series Revised: Changed description; changed designation from OFM and increased retention from 5 years to 30 years.
- 4) Quarterly Report of Self Insured Business – Series Revised: Changed description; changed designation from OFM and increased retention from 3 years to 30 years.
- 5) Employer Correspondence/Master Record File – Series Revised: Changed description; changed designation from OFM and decreased retention from 75 years to 25 years.
- 6) Claims Files, Non-Compensable – Series Revised: Changed description to reflect change in State Fund claim file retention and increased retention from 10 years to 40 years.

Action: Motion to approve Items 1 – 6: Rochelle Klopfenstein; seconded by Jerry Handfield.

Resolution: Motion carried.

NOTE: The committee requested that Carol Hill, L&I Records Officer, determine the oldest date for the records in Item 5 and to report that information to Jerry Handfield.

4. Department of Social and Health Services

a. *Administrative Services Division, Central Contract Services*

- 1) Contract Format Files – New Series

Action: Motion to approve Item 1 with designation changed from OFM to OPR: Rochelle Klopfenstein; seconded by Cindy Evans.

Resolution: Motion carried.

b. *Aging and Disability Services Administration, Home and Community Services*

- 1) Registered Nurse Delegators (RND) Files – New Series

Action: Motion to approve Items 1: Cindy Evans; seconded by Jerry Handfield.

Resolution: Motion carried.

5. Department of Agriculture

a. *Organic Food*

- 1) Export Files – New Series

Action: Motion to approve Item 1: Jerry Handfield; seconded by Rochelle Klopfenstein.

Resolution: Motion carried.

6. Department of Financial Institutions

a. *Consumer Services Division*

- 1) Money Services Companies Complaint File – New Series
 - 2) Money Services Companies Investigation File – New Series
 - 3) Money Services Annual Report & Annual Assessment
- NOTE: Items 1 – 3 were designated Archival.
- 4) Examiner's Report of Money Services (Money Transmitters and Currency Exchanger) – New Series
 - 5) Examiner's Report of Mortgage Broker's – New Series
 - 6) Tax Refund Anticipation Loan Act Expired Registration Files – New Series
 - 7) Loan Originator License Files and Abandoned, Rejected, Denied, and Withdrawn Application Files – New Series
 - 8) Money Transmitter and Currency Exchange License Files and Rejected, Denied, or Withdrawn Applications – New Series

Action: Motion to approve Items 1 – 8: Jerry Handfield; seconded by Cindy Evans.

Resolution: Motion carried.

7. Office of the Secretary of State

a. *Elections Division*

- 1) Voter Registration Database (VRDB) – New Series
- 2) VRDB Public Extract CD – New Series
- 3) VRDB User Manuals – New Series
- 4) VRDB Development and Implementation Documentation – New Series
- 5) Initiative Checking Database – New Series
- 6) Initiative Petition Sheets, Paper Copies – New Series
- 7) Precinct Returns of State-Wide Elections – New Series
- 8) Initiative Files – Series Revised: Updated description and changed retention from 6 years to 1 year.

Action: Brenda Galarza, OSOS Records Officer, requested that the Election Division records series be withdrawn so further work can be completed. They will be resubmitted at a later date.

b. *Corporations Division*

- 1) Domestic Partnerships Registration Documentation (Electronic Version) – New Series
- 2) Domestic Partnerships Registration Documentation (Paper Version) – New Series

Action: Motion to approve Items 1 and 2: Jerry Handfield; seconded by Rochelle Klopfenstein.

Resolution: Motion carried.

7. University of Washington

a. *Student Fiscal Services*

- 1) Affix Payment Summary Charge Code/Due Date – Series Revised: Changed the cut-off from 'Fiscal Year' to 'Administrative Purpose Served' and reduced the retention from 2 years to zero.
- 2) Affixed Payments to Tuition Fees, Surcharges, and Forfeitures – (SA70125) Daily Aid Check Register – Series Revised: Changed cut-off from 'Fiscal Year' to 'Quarter'.
- 3) Aged Receivables/Student Name (SA70155-M) – Series Revised: Changed cut-off from 'Fiscal Year' to 'Quarter'.
- 4) Check Disbursement Transactions (SA804005-D3) (TC-50) – Series Revised: Changed title from 'Automated Check Disbursement' and changed cut-off from 'Fiscal Year' to 'Quarter'.
- 5) FAS Cash Receipt Transaction Reports (CT's) (SA804005-D1) (TC-30) – Series Revised: Changed title from 'Automated Cash Transmittals' and changed cut-off from 'Fiscal Year' to 'Quarter'.
- 8) Collection Agency Invoices – Changed cut-off from 'Fiscal Year' to 'Quarter'.
- 9) Period Aid Check Summary Date/Fund (SA70105-R-05) – Series Revised: Changed cut-off from 'Fiscal Year' to 'Quarter'.
- 10) Period Check Register (SA70105-R-02, SA 70105-R-04) – Series Revised: Changed cut-off from 'Fiscal Year' to 'Quarter'.

Action: Motion to approve Items 1 – 5 and Items 8 - 10: Cindy Evans; seconded by Jerry Handfield.

Resolution: Motion carried.

- 12) Tuition Remittance Worksheets – Series Revised: Changed cut-off from 'Fiscal Year' to 'Quarter'.
- 13) Accounts Entitled for Refund (SA70115) – Series Revised: Changed cut-off from 'Month' to 'End of Quarter'.
- 14) Accounts Flagged Uncollectable (SA60160) – Series Revised: Changed cut-off from 'Fiscal Year' to 'Administrative Purpose Served' and decreased retention from 1 year to zero.

Action: Motion to approve Items 12 – 14 with Item 12 cut-off changed from 'Quarter' to 'End of Quarter': Rochelle Klopfenstein; seconded by Cindy Evans.

Resolution: Motion carried.

- 19) Insurance Report to Agency (SA70110) – Series Revised: Decreased retention from 6 years to 3 years and changed name of official copy holder from Student Affairs.
- 24) Petition Forms – Series Revised: Decreased retention from 6 years to 2 years.
- 30) Tuition Account Record – Student Database – Series Revised: Changed the designation from OFM to OPR and changed the cut-off from 'Fiscal Year' to 'Last Quarter of Enrollment'.

Action: Motion to approve Items 19, 24 and 30: Rochelle Klopfenstein; seconded by Jerry Handfield.

Resolution: Motion carried.

- 32) Uncollectables: Over \$1,000 – Series Revised: Changed the cut-off from 'Fiscal Year' to 'Quarter'.

- 33) Uncollectables: Under \$1,000 – Series Revised: Changed the cut-off from 'Fiscal Year' to 'Quarter'.
- 34) Armored Transport Slips – Series Revised: Decreased the retention from 2 years to 1 year.
- 35) Bank Lock Box Check Images (CDROM) – Series Revised: Changed the title from 'Lock Box Listing: Bank Deposit Report' and changed the cut-off from 'Fiscal Year' to 'Quarter'.
- 43) Accounts Receivable Invoices – Series Revised: Changed the title from 'Accounts Receivable Invoices – After October 1, 1984' and changed the cut-off from 'Fiscal Year' to 'Quarter'.

Action: Motion to approve Items 32 – 35 and Item 43: Rochelle Klopfenstein; seconded by Cindy Evans.

Resolution: Motion carried.

- 47) A/R Invoices Monthly Aging Reports – Series Revised: Changed the title from 'Monthly Aging Reports'; update the description and changed the cut-off from 'Fiscal Year' to 'Quarter'.
- 49) Overawards File – Financial Aid – Series Revised: Update the description and changed the cut-off from 'Fiscal Year' to 'Quarter'.
- 50) Returned Checks Listing – Series Revised: Changed title; updated description; changed the office of official copy holder from 'General Accounting' and decreased retention from 6 years to 2 years.
- 53) Third Party Billing Accounts Reconciliation – Series Revised: Changed the title from 'Billing Accounts Reconciliation' and changed the cut-off from 'Fiscal Year' to 'Quarter'.

Action: Motion to approve Items 32 – 35 and Item 43: Rochelle Klopfenstein; seconded by Cindy Evans.

Resolution: Motion carried.

- 55) Financial Aid Reports (SA70105-R11) SA70105-R14) – Series Revised: Decreased the retention from 3 years to 2 years.
- 56) Non-Resident Aliens Annual Tax Report – Series Revised: Changed the title from 'Non-Resident Aliens Quarterly Tax Report'; update the description; added the UW Payroll Office as the location of Official Copy; changed the designation from OPR to OFM and decreased the retention from 6 years to 1 year.
- 58) Scholarship Files – Series Revised: Changed the cut-off from 'Fiscal Year' to 'Quarter'.
- 61) Teaching Assistant/Research Assistant Fee Waiver Report (SA80110-R-01) SA80100-R-02) – Series Revised: Decreased the retention from 3 years to 1 year.
- 62) Western Interstate Committee for Higher Education (WICHE) Report – Series Revised: Changed the cut-off from 'Fiscal Year' to 'Quarter'.
- 69) Non-Debt Bankruptcy Files – Series Revised: Transferred series from Office 09.08.00 to Office 09.06.00; changed cut-off from 'Calendar Year' to 'Receipt' and decreased retention from 1 year to zero.
- 72) Electronic Payment Reports – New Series
- 73) Automated Clearinghouse (ACH) Deposit Reports – New Series
- 74) Electronic Funds Wire Transfer Reports – New Series

- b. *Any Dentistry Clinic*
 - 1) Clinic Schedules – Series Revised: Changed the cut-off from ‘Administrative Purpose Served’ to ‘End of Quarter’ and updated the description.
- e. *Undergraduate Academic Affairs: Teaching Academy*
 - 1) Teaching Award Nomination Files – Recipients – Series Revised: Transferred series from Office 06.00.00 to 06.10.00; changed title from ‘Teaching Award Nomination Files; increased retention from 5 years to 6 years and changed the designation from OFM to OPR.
 - 2) Teaching Award Nomination Files – Denied – New Series
- d. *FSO: Parking: Special Events*
 - 1) World Series Permit Orders – New Series
 - 2) Football/Basketball Disability Parking Orders – New Series
 - 3) Special Events and Arranged Parking Request Forms – New Series
 - 4) Operational Analysis – Football/Basketball Season – New Series
 - 6) Recurring Event Files – New Series
 - 7) Single Event Files – New Series
- e. *Student Fiscal Services*

Action: Motion to approve Items 55, 56, 58, 61, 63, 69, and 72-74 from *Student Fiscal Services Office*; Item 1 from *Any Dentistry Clinic*; Item 1 and 2 from *Undergraduate Academic Affairs: Teaching Academy*; and Item 1-7 from *FSO: Parking: Special Events*; Jerry Handfield; seconded by Rochelle Klopfenstein.

Resolution: Motion carried.

8. Department of Personnel
 a. *Legal Affairs Division*

- 1) Non-Allocation Reviews – Series Revised: Changed description to include Director’s decision; changed designation from OFM to OPR and increased retention from 5 years to 7 years.
- 2) Allocation Reviews – Series Revised: Changed description to include Director’s decision; changed designation from OFM to OPR and increased retention from 5 years to 7 years.

Action: Motion to approve Items 1 and 2: Jerry Handfield; seconded by Rochelle Klopfenstein.

Resolution: Motion carried.

III. OTHER BUSINESS

A. Check 21 Discussion – Tri Howard

Tri explained to the committee that in October 2004 banking entities started providing their clients with an electronic copy of their processed checks and warrants rather than the original, which had been done in the past. This copy, known as a substitute-check is now the legal copy. The Local Records Committee revised the Local Government General Records Retention Schedule (LGGRS) records series for these types of banking records to include the electronic substitute-checks.

The Evergreen State College is no longer receiving their original checks from their banking facility they use. Therefore, they have requested that the SRC revise the

records series GS 01013 titled *Banking Records* to include a 'Note' which explains that the electronic substitute-checks received from the bank can also be included under this records series.

Lysa Walker recommended that she and Tri have a meeting to revise the records series GS 01013. Lysa will then circulate the revised series among the agency Records Officers for their review. The final version will be included on the agenda for the September SRC meeting. The committee and Tri agreed to this recommendation.

B. 'Termination of Employment' Cut-off Discussion – Lysa Walker

Lysa updated the committee regarding the 'Termination of Employment' cut-off issue, which was originally brought before the LRC in October 2006. At the January 2007 meeting, the committee recommended tabling this discussion again in lieu of further research by the RMO and the Department of Personnel (DOP).

Included in the committee's June packet was a letter from the OSOS Attorney General Representative (AGR), Susan Thomsen. The letter states that, in her opinion, the SRC has the authority to revise this cut-off for any of the records series in the State General Records Retention Schedule (State GS).

The Records Officer for DOP, Tricia Mackin, and a representative from the DOP Human Resources division, discussed this issue with their AGR, who concurred with the OSOS AGR. The Department of Personnel submitted new cut-off recommendations to the RMO for the 11 records series affected in the State GS. These recommendations were circulated among the state agency Records Officers for their review and comment. The RMO and DOP will assess the comments received by the agency Records Officers, and final recommendations will be included on the agenda for the September SRC meeting.

C. Cheney Workshop, Heritage Center and Other Announcements – Jerry Handfield

Jerry reported to the committee and guests that the May 17, 2007 Training Workshop held in Cheney for our Eastern Washington clients was a success. Both state and local government attended the workshop, including a member of the Local Government Oversight Committee. Carrie Fager, Louisiana State Records Manager, was the keynote speaker regarding Hurricane Katrina and Disaster Preparedness. The workshop was modeled after the one held in Western Washington on January 9, 2007. Overall, the attendees made it very clear they enjoyed the workshop, and would like the Archives and Records Management Division to hold workshops in Eastern Washington on a regular basis.

Jerry also updated those present on the Heritage Center Bill, which Governor Gregoire signed on May 15, 2007. The Heritage Center will house the State Archives, the State Library and the Capital Museum. The Heritage Center will be located at the site of the General Administration building. It will be a five story building, with a restaurant and a 400-seat auditorium. The projected end date for this project is 2012.

Finally, Jerry showed the committee and guests present a new publication available titled *The Birth of a Town*, which is about the 'Archival Center of the United States', Quincy, Washington. The companies Microsoft, Yahoo and Intuit are building server farms in that area due to easy access to Interstate 90, dependable electricity and water access.

V. ADJOURNMENT

The meeting was adjourned at 3:43 p.m.

The next meeting of the State Records Committee is scheduled for August 01, 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 June 06, 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.

Steve Ryser 8-1-07
Chair Signature Date

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