



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

Blake East Building, Rose Conference Room, Lacey

1:30 p.m.

January 03, 2007

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, State Records Manager; Leslie Koziara, Local Government Records Management Trainer; Lysa Walker, Records Management Program Specialist; Boyd Barber, State Records Center Manager

Records Officers: Barbara Benson, University of Washington; Tricia Mackin, Department of Personnel; Laura Russell, Office of the Superintendent of Public Instruction; Millie Brombacher, Department of Social and Health Services; Kathleen Turnbow, Caseload Forecast Council; Sherree Christian Hempstead, Department of Revenue; Brenda Galarza, Office of the Secretary of State; Anita Wieland, Office of Financial Management; Jamey Taylor, Department of Natural Resources; Irene Koester, Department of Corrections; Hannah Fultz, Department of Licensing

Guests: Megan Sibbert, University of Washington; Andrea Watts, University of Washington; Barb Ursini, Department of Personnel; Mike Dooley, Office of the Superintendent of Public Instruction; Steve Spitzer, Department of Social and Health Services; Chris Westwood, Department of Revenue; Mel Kirpes, Department of Revenue; Mary Vanderhoof, Department of Corrections; Tami Schwender, Department of Corrections; Michelle Sabin, Office of the Superintendent of Public Instruction

II. ROUTINE BUSINESS

A. Call to Order: Steve Ryser called the meeting to order at 1:35 p.m.

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

C. Approve November 01, 2006 Minutes and December 15, 2006 Report: Steve called for a motion to approve the November 01, 2006 minutes. Moved by Susan Carlson; seconded by Rochelle Klopfenstein.

Resolution: Motion carried to adopt the minutes as presented.

Steve called for a motion to approve the December 15, 2006 Report. Moved by Susan Carlson; seconded by Jerry Handfield.

Resolution: Motion carried to adopt the report as presented.

D. Adoption of January 03, 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. Records Series Withdrawn from October 04, 2006 Meeting

1. Department of Revenue

a. *Special Programs/Miscellaneous Tax*

8) Escheat Files – Paper – Series Revised: Changed title from 'Escheat Files'; changed designation from OPR; changed cut-off from 'Escheat Closed' to 'Annually' and changed retention from 7 years to '0' years.

70) Escheat Files – Imaged – New Series

9) Exempt Stamping Allowance Payments – Series Revised: Removed 'Paper' from the title; removed from the description 'Paper copy is kept for state auditor'; added to description 'Disposal of paper after source documents are imaged and verified'; changed cut-off from 'When Inputted into Database' to 'When Imaged and Verified' and changed retention from 6 years to 7 years.

Action: Series 8, 70 and 9 approved.

b. *Special Programs/Forest Tax*

5) Timber Assessed Value – Paper – Series Revised: Changed title from 'Timber Assessed Value'; changed total retention from 6 years to '0' years; changed designation from OPR to OFM; changed cut-off from 'Calendar Year' to 'Annually' and added comment in Archival Designation/Remarks column 'Transfer to State Archives on an annual basis'.

69) Timber Assessed Value – Imaged – New Series

Action: Series 5 and 69 approved.

B. Discontinued Records Series Discussion

At the October 2006 State Records Committee (SRC) 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.' (Minutes of October 2006 SRC meeting, page 10 of 16)

At the November meeting, the Records Management Office (RMO) requested further clarification from the SRC regarding discontinued records series due to the fact that the RMO has authority to approve discontinued series. The committee agreed that records series being discontinued to use another unique records retention schedule or the State General Records Retention Schedule (State GS) could be approved by the

RMO. However, the committee was concerned that records series were being discontinued because the records were no longer created but the Disposition Authority Number (DAN) was still being used to destroy existing records which had not met their retention. The committee feels that once a records series is discontinued, the agency no longer has authority to destroy records which may still exist under that DAN. Per the request of Tri Howard, the discussion was tabled so that further research on the subject of discontinued records series could be done.

The RMO discussed the discontinued records series issue with a variety of experienced agency Records Officers and Boyd Barber, State Records Center Manager. The RMO also determined that no prior definition existed for a discontinued records series.

During the meeting, Boyd and several of the Records Officers present explained to the committee that the agencies no longer use the records series after it has been discontinued. The records created prior to the series being discontinued are maintained until the retention period has ended. This has been a long-standing practice. The term 'discontinued' has not been used to mean that there were no more records existing under that series, it only reflected that agency personnel could no longer store records under that DAN.

After hearing comments from staff and guests present, Susan Carlson suggested that the definition of 'discontinued' in the State General Records Retention Schedule (State GS) Glossary should make clear that agencies still have authority to dispose of records pursuant to the DAN even though the records series has been discontinued. By putting this in the definition, agencies would be covered if someone challenged their authority to use the DAN for the destruction of records that were retained pursuant to that DAN before that DAN was marked as 'discontinued'.

Action: This discussion was tabled until the February meeting. Susan Carlson will revise the draft 'discontinued' definition provided by the Department of Corrections and send it to Lysa Walker. The definition will be forwarded to the agency Records Officers for their review and comment.

C. 'Termination of Employment' Cut-off Discussion

At the October 2006 SRC meeting, the members, staff and guests present discussed the following:

'Brenda Galarza, Records Officer for the Office of the Secretary of State (OSOS), asked if the committee could clarify the definition 'Termination of Employment' which is the cut-off used for numerous records series in the State General Records Retention Schedule. There is some confusion among OSOS personnel whether the definition means 'termination of employment from an agency' or 'termination of employment from state service'. She became concerned that the definition was being misinterpreted. Brenda discovered employee medical files were not being transferred with the personnel file when employee's ended employment with OSOS to work for another state agency.'

(Minutes of the October 2006 SRC meeting, page 15 of 16)

The committee recommended:

'The State Records Committee (SRC) requested that this discussion be tabled until further research has been done by the Records Management Office. The committee recommended that the Records Management Office contact the Department of Personnel and other agency Records Officers along with researching other states. This discussion will be included under 'Old Business' of the SRC agenda in the next couple of months.' (Minutes of the October 2006 SRC meeting, page 15 of 16)

The RMO completed the requested research, which included information provided by the Department of Personnel, comments from agency Records Officers and research on the cut-off terminology used by other states. Currently, the 'Termination of Employment' cut-off is being used for 10 different records series in the State GS. The RMO asked agency Records Officers the following two questions:

- a. Does 'Termination of Employment' mean termination from a single agency or from state government?
- b. Does your agency transfer medical files along with the personnel file when an employee moves from your agency to another state agency?

Action: This discussion was tabled until the March meeting. The research provided by the RMO showed that there was no consistency among the agencies interpretation of the cut-off in question. The committee requested that Jerry Handfield discuss the 'Termination of Employment' cut-off with the assistant attorney general that advises the Office the Secretary of State Attorney General Representative (AGR). This discussion should result in an opinion on how to proceed with the discrepancies between the agencies defining the 'Termination of Employment' cut-off. The committee also requested that the Department of Personnel (DOP) Records Officer, Tricia Mackin, obtain her assistant attorney general's opinion on this matter. Further discussion was tabled until the March meeting.

III. NEW BUSINESS

A. Action Items for Committee Review/Approval

1. Washington State University
 - a. *Accounting/Fiscal Records*
 - 52) Authorization for Direct Deposit of Funds – New Series

Action: Series 52 approved.

2. Department of Social and Health Services
 - a. *Financial Services Administration (FSA), Office of Financial Recovery*
 - 97) Collection Case Files (SSI) – Series Revised: This series is being added to the EIS for the Division of Child Support, approved 12/02/02 and the sentence 'Source docs will be destroyed only after the imaged information is verified for accuracy' was added to the description.
 - 134) Collection Case Files (Overpayments) – Series Revised: This series is being added to the EIS for Division of Child Support, approved 12/02/02 and the last sentence of the description was added.
 - 135) Collection Case Files (Institutional RPS Accounts) – Series Revised: This series is being added to the EIS for Division of Child Support,

approved 12/02/02; added the last sentence of the description and added '(Paid or Written Off)' to the cut-off for clarification.

1756) Collection Case Files (DJR Accounts) – Series Revised: This series is being added to the EIS for Division of Child Support, approved 12/02/02; added the last sentence of the description and added '(Paid or Written Off)' to the cut-off for clarification.

Action: Series 97, 134, 135 and 1756 approved.

3. Superintendent of Public Instruction

a. *School Financial Services*

5) Signed Certification Page, Checklist and Supporting Work Papers for Review of School District Budgets and Budget Extensions – Series Revised: Updated records series title, designation changed from OFM to OPR and retention period from 1 year to 6 years.

14) Signed Certification Page, Checklist and Supporting Work Papers for Review of Annual Financial Statements for Public School Districts – Series Revised: Updated description, designation changed from OFM to OPR and retention period from 1 year to 6 years.

Action: Series 5 and 14 approved.

17) Annual Budget for Educational Service District F-206Cleared Cases 2 – Series Revised: Updated description, designation changed from OFM to OPR and retention period from 1 year to 6 years.

19) Request for Budget Extension for Educational Service District F-269 – Series Revised: Updated description, designation changed from OFM to OPR and retention period from 1 year to 6 years.

21) School District and Educational Service District Financial Reporting Summary – Series Revised: Updated description, designation changed from OFM to OPR and retention period from 1 year to 6 years.

Action: Series 17, 19 and 20 approved with an Archival designation assigned.

12) Educational Service District Year End Reports F-186 – Series Revised: Discontinued because records are no longer microfilmed (see DAN 91-02-47388). Existing copies will be retained for their established retention period before disposal.

13) Microfilm Copy of Educational Service District Year End Reports F-185 – Series Revised: Discontinued because records are no longer microfilmed (see DAN 91-02-47388). Existing copies will be retained for their established retention period before disposal.

18) Microfilm Copy of Annual Budget for Educational Service District F-206 – Series Revised: Discontinued because records are no longer microfilmed (see DAN 80-09-26042). Existing copies will be retained for their established retention period before disposal.

20) Microfilm Copy of Request for Budget Extension for Educational Service District F-269 – Series Revised: Discontinued because records are no longer microfilmed (see DAN 80-09-26043). Existing copies will be retained for their established retention period before disposal.

22) Microfilm Copy of Financial Data Reports – Series Revised: Discontinued because records are no longer microfilmed (see DAN 80-09-26044).

Existing copies will be retained for their established retention period before disposal.

Action: Series 12, 13, 18, 20 and 22 approved pending the revision statement be changed from 'Discontinued because records are no longer microfilmed (see appropriate DAN). Existing copies will be retained for their established retention period before disposal' to 'This records series is discontinued as it was never microfilmed. See original records series appropriate DAN.' Once revised, the schedules can be circulated for signatures by the committee.

4. Office of Secretary of State

a. *Washington State Library – Library Development*

- 1) Library Services and Technology Act (LSTA) Grant Files – Series Revised: Changed title from LSTA Grant Files; updated description and changed retention period from 6 years to 9 years to meet Federal Retention Requirements.

Action: Series 1 approved.

5. University of Washington

a. *Health Sciences Administration: H S AS&F*

- 5) Intake Order and Light Bulb Order Request Forms – New Series
- 13) Completed Work Order Summary – New Series
- 14) Projects Folders (Informal Projects) – New Series

Action: Series 1 approved.

b. *PH&CM: Dean's Office: NW Public Health*

- 1) Rejected Articles – New Series
- 2) Unsolicited Proposals or Articles – New Series

Action: Series 1 and 2 approved.

c. *Dentistry: Office of Clinical Services: Accounting*

- 1) Parking Validation Log – New Series

Action: Series 1 approved.

d. *Med: Oncology: Tumor Vaccine Group*

- 1) Ineligible Pre-screening Records – New Series

Action: Series 1 approved.

6. Department of Personnel

a. *PSD – Classification & Compensation*

- 1) Minutes of Personnel Board Meeting/Director's Meeting – Series Revised: Revised description to include Director's Meeting minute; discontinue unique DAN 85-04-35256 to use GS10004 and transfer from office 100 to 400.
- 2) Transcripts of Personnel Board Meeting/Director's Meeting – Series Revised: Series combined with the Personnel Board Item Files DAN 82-10-30406; transferred from office 100 to 400 and Archival designation removed 11/14/06 per the Archival Review Committee.
- 3) Personnel Board/Director's Meeting Files – Series Revised: Revised description to include Director's meeting, verbatim recordings/tapes; increased retention from 6 years to 40 years; transferred from office 520 to 400 and changed designation from OFM to OPR.

- 4) Personnel Board/Director's Meeting Item Correspondence – Series Discontinued: Series combined with the Personnel Board Item Files DAN 82-10-30406 and transferred from office 100 to 400.
- 5) Personnel Board/Director's Meeting Minutes (Exhibits) – Series Discontinued: Series combined with the Personnel Board Item Files DAN 82-10-30406; transferred from office 100 to 400 and Archival designation removed 11/14/06 per the Archival Review Committee. (No cut-off ever assigned.)

Action: Series 1 – 5 approved.

b. ASD – Employee Assistance Program

- 1) Employee Assistance Program (EAP) Case Files – Series Revised: Changed name from 'Client Case Files'; updated description; changed designation from OFM to OPR and transferred from office 900 to 200.

Action: Series 1 approved pending the revision statement include the former name of the Employee Assistance Program. The schedule can be circulated for signature after this change is made.

- 2) Employee Assistance Program (EAP) Workplace Consultation Files – New Series

Action: Series 2 approved.

7. Department of Licensing

a. Vehicle Record Management, SWAT Unit

- 1) VS Sequel Server Databases – New Series

Action: Series 1 approved.

8. Caseload Forecast Council

a. Caseload Forecast Council

- 1) Official Caseload Forecasts – New Series

Action: Series 1 approved.

IV. OTHER BUSINESS

A. Review Revisions to the State General Records Retention Schedules

Glossary

Susan Carlson requested the definitions for 'Suspense File' and 'Tickler File' be removed from the glossary as she did not think these terms were used in the general schedule. Rochelle Klopfenstein recommended that the opening line for the 'Internet' definition be changed from 'global information system' to 'data communication network'. Rochelle also noted that the word 'intranet' should not be capitalized in the 'Intranet' description.

The glossary will be included on the February agenda for final review and approval.

B. FYI: Archival Designation Modification Recommendation

The Department of Personnel's records series titled *Arbitration Files*, DAN 85-04-35258, was re-examined by the Archival Appraisal Committee for its enduring historical value, with the result that the Archival designation be removed. The

records are noted as 'Transitory, non-precedent setting cases and unnecessary to keep beyond the 10 year retention period.

**C. 2nd Annual Western Washington Records Management Workshop
– Jerry Handfield**

Jerry announced that the Archives and Records Management Division would be holding a Records Management workshop on January 9, 2007 at the Department of Labor and Industries conference auditorium. He invited the SRC members to attend. He noted that Steve Ryser, SRC State Auditor representative and chairperson, would be hosting a workshop titled 'Auditing and Records', Jerry also noted that the keynote lunch speaker was Hank Holmes, the Director of the Mississippi State Archives, who was hosting a presentation on Hurricane Katrina and Disaster Preparedness.

V. ADJOURNMENT

The meeting was adjourned at 3:07 p.m.

The next meeting of the State Records Committee is scheduled for February 7, 2006, at 1:30 p.m. in the Blake East Building, Rose 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 January 03, 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.