



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.

February 07, 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: Tri Howard, State Records Manager; Lysa Walker, Records Management Program Specialist

Records Officers: Sherree Christiansen-Hempstead, Department of Revenue; Eric Mark – Office of the Insurance Commissioner; Barbara Benson – University of Washington; Carol Hill – Department of Labor and Industries; Liza Navaso – Department of Veteran Affairs; Hannah Fultz – Department of Licensing; Brenda Galarza – Office of the Secretary of State; Kristin Young – Washington State Patrol; Jamey Taylor – Department of Natural Resources; Anita Wieland – Office of Financial Management

Guests: Stephanie Ferrell – Office of the Insurance Commissioner; Andrea Watts – University of Washington; Megan Sibbert – University of Washington; Steve Morris – Department of Labor and Industries; Sid McAlpin – Department of Health; Donna Velej – Freight Mobility Strategic Investment Board; Melissa Gannie – Washington State Patrol

II. ROUTINE BUSINESS

A. Call to Order: Steve Ryser called the meeting to order at 1:36 p.m.

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

C. Approve January 3, 2007 Minutes: Steve called for a motion to approve the January 03, 2007 minutes. Moved by Susan Carlson; seconded by Rochelle Klopfenstein.

Resolution: Motion carried to adopt the minutes as presented.

D. Adoption of February 07, 2007 Agenda: Steve called for a motion to approve today's agenda. Lysa requested that Item A be added to Section IV Other Business on

the agenda titled 'Relocate Meeting to Archives Conference Room'. Steve called for a motion to approved today's agenda as amended. 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 - Including Discontinued Definition and Clarification of Program Level Records

Discontinued Definition

Due to the issues raised by the SRC, the Records Management Office (RMO) chose to temporarily suspend the approval process of discontinued records series submitted to the office, unless the series were being discontinued to make use of a unique schedule or the State GS. In light of the SRC approved discontinued definition, the RMO requested the committee's permission to end the temporary suspension of discontinued records series. The committee agreed that the RMO should treat the discontinued definition as a guideline to begin discontinuing records series requests.

An agency Records Officer noted that the discontinued definition did not include State GS records series that were discontinued. Susan Carlson agreed to draft an addition to the definition so that it includes discontinued State GS records series.

Program Level Records Definition

The current and updated version of the program level records definition is unclear to some of the Records Officers, so further clarification was requested by the SRC. A thorough discussion was held among the Records Officers, staff and committee members present regarding what is a program level record and how the definition should be rewritten.

It was noted that program level records should contain records which pertain to the creation and mission of the program. Programs are usually determined by the structure of the agency. After an agency program has begun the State GS records series can then be utilized. However, there are several records series in the State GS with instructional notes that state the series should not be used for program level records. These notes have, for some Records Officers, added misunderstanding of what exactly is a program level record.

One of the guests present asked why program level records were not scheduled as a State GS records series. The committee noted they were unable to decide on a retention period since some programs are fairly short life cycles while others continue for many years.

Action: The committee agreed to table this discussion until the March 2007 SRC meeting. The committee requested the RMO to do the following:

- Meet to finalize the definition for 'Imaging'.
- Research the history of program level records.
- Obtain recommendations from the Records Officers on how the program level records definition should be written.

B. Series Withdrawn at the October 04, 2006 Meeting

1. Department of Revenue

a. Appeals

- 1) Board of Tax Appeals Excise Tax Orders – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed designation from OPR to OFM; changed cut-off from ‘Issued’ to ‘When Imaged and Verified’; changed total retention from 50 years to 75 years to be consistent with DAN 00-MM-59717 titled *Determinations – Imaged Copy* and removed Archival designation per the Archival Review Committee since Board of Tax Appeals archives the originals.
- 2) Board of Tax Appeals Briefs – Series Revised: Changed description by removing ‘Filed by Interpretation and Appeals’ and added to description ‘Disposal of paper after source documents are imaged and verified’; changed designation from OFM to OPR; changed cut-off from ‘Issued’ to ‘When Imaged and Verified’ and changed office retention from 120 months/780 months/75 years to 900 months/zero months/75 years.

Action: Series 1 and 2 approved.

b. Special Programs/Miscellaneous Tax

- 5) Vessel Tax Files – New Series

Action: Series 5 approved.

III. NEW BUSINESS

A. Action Items for Committee Review/Approval

1. Western Washington University

a. Admissions

- 1) Admission Applications/Credentials – Unsolicited Material – New Series

Action: Series 1 approved, however, the original signed schedule was not received by the Records Management Office in time for the SRC to sign. Once received, the Records Management Office will circulate for signature.

2. Washington State Patrol

a. Fire Protection Bureau

- 1) NFIRS Data Transactions – New Series

Action: Series 1 approved.

- 1) Plan Reviews (Fire and Life Safety) – New Series

Action: Series 1 approved.

3. Office of the Insurance Commissioner

a. Rates and Forms

- 1) Imaged Property & Casualty Insurance Companies Forms, Rules and Rate Filings – Series Revised: Changed the records series title to designate the series as an imaged records series; changed the designation from OFM to OPR; changed the office retention from 0 months to 96 months and records center retention from 96 months to 0 months.
- 2) Imaged Life and Disability Insurance Companies All Rate and Contract Filings – Series Revised: Changed the records series title to designate the series as an imaged records series; changed the designation from OFM to

OPR and changed the office retention from 0 months to 96 months and the records center retention from 96 months to 0 months.

Action: Series 1 and 2 approved

b. Any Office

1) Imaged Source Documentation – New Series

Action: Series 1 approved.

4. Department of Licensing

a. Real Estate – Regulatory and Enforcement Section

1) Complaint and Investigation Files Including Washington State Criminal History Reports (Compliance or No Finding) – Series Revised: Changed title and description to provide a more detailed description of the records series and reduced total retention from 10 years to 5 years.

2) Notice of Correction Files – Series Revised: Changed title and description to provide a more detailed description of the records series and changed the total retention from 10 years to 5 years.

Action: Series 1 and 2 approved.

5. University of Washington

a. FSO: Finance and Computing Services: Business Office

3) Inventory Issues/Receipts – Series Revised: Changed title from 'Inventory Issues/Receipts – Long Term Storage'; increased the retention from 2 years to 6 years; changed the description; changed designation from OFM to OPR and removed 'Maintenance and Alterations' as the original office holder.

8) Stores Listings by Budget Number – Series Revised: Changed the cut-off from 'Fiscal Year' to 'When Superseded'.

9) Utilities Listings – Series Revised: Changed cut-off from 'Administrative Purpose Served' to 'Fiscal Year'; changed title from 'Utilities Listings (04-101 through 103)' and increased retention from zero years to 3 years.

Action: Series 3, 8 and 9 approved.

b. Any Publication

1) Publication Working File – New Series

Action: Series 1 approved.

IV. OTHER BUSINESS

A. Relocate Meeting to Archives Building Conference Room – Lysa Walker

Lysa noted that the Archives Conference Room, formerly used for the SRC meetings, has been remodeled. Originally, the room was very small and unaccommodating. However, the conference room has now been relocated and will comfortably support the amount of Records Officers and guests who regularly attend the meetings.

Lysa also noted that in the near future, a printer will be available for use in the Archives Conference Room. All the Records Officers will be requested to send the electronic version of their agency unique schedules to the RMO along with the original paper copy. Having the electronic schedules available will allow changes requested by the committee during the meeting to be done immediately rather than

the schedule being circulated for signature, which sometimes takes weeks. One of the Records Officers asked if the conference room would have wireless capabilities. This feature is currently not available but will be in the future. Lysa formally requested that the committee relocate the meeting back to the Archives Conference Room for all future meetings beginning March 7, 2007.

Action: The committee agreed to relocate the meeting to the Archives Conference Room effective March 7, 2007.

V. ADJOURNMENT

The meeting was adjourned at 2:32 p.m.

The next meeting of the State Records Committee is scheduled for March 7, 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 Rose Room-conference room on February 07, 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.*