



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.

May 02, 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: Rose Reynolds, Washington State Liquor Control Board; Carol Hill, Department of Labor & Industries; Millie Brombacher, Department of Social and Health Services; Barbara Benson, University of Washington; Sid McAlpin, Department of Health

Guests: Jennifer Baga, Secretary of State's Office; Andrea Watts, University of Washington; Megan Sibbert, University of Washington

I. ROUTINE BUSINESS

A. Call to Order: Steve Ryser called the meeting to order at 1:37 p.m.

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

C. Approve April 4, 2007 Minutes: Steve called for a motion to approve the April 04, 2007 minutes. Moved by Rochelle Klopfenstein; seconded by Jerry Handfield. Cindy Evans abstained from the motion.

Resolution: Motion carried to adopt the minutes as presented.

D. Adoption of May 02, 2007 Agenda: Steve called for a motion to approve today's agenda. Jerry Handfield requested that a new item be added to 'Other Business' titled *Resolution for Susan Carlson*. Lysa Walker requested that the Western Washington University records series titled *Course Repeats – Banner Reports* be added to the agenda. It was inadvertently left out of the committee's packet. Steve called for a motion to approve the agenda as amended. Moved by Rochelle Klopfenstein; seconded by Jerry Handfield.

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

II. NEW BUSINESS

A. Action Items for Committee Review/Approval

1. Washington State University

a. *Facilities Operations*

- 3) Backflow Incidents and Cross-Connection Control Annual Reports – New Series
- 5) Cross-Connection Control Inventory Information – New Series
- 7) Daily Source Meter Readings – New Series
- 14) Master List of Service Connections and/or Consumer's Premises – New Series

Action: Series 3, 5, 7 and 14 approved.

2. Western Washington University

a. *Registrar*

- 1) Master Class Schedules – Series Revised: Identified the records as on-line only; extended retention from 5 to 10 years due to the increased office reference for the information regarding student verification of course times and professors.
- 2) Records of Non-Payment of Tuition and Reinstatement Fee – Series Revised: Increased retention from 6 to 10 years due to the extended period of time in which students return to school, necessitating extended office reference to the information in the records.

Action: Series 1 and 2 approved.

- 1) Course Repeats – Banner Reports – New Series

Action: Series 1 approved.

3. Health Care Authority

a. *Small Employer Health Insurance Partnership (SEHIP)*

- 1) SEHIP Appeal Files – New Series
- 2) SEHIP Hearing Files – New Series
- 3) SEHIP Scanned Documents/Optical Disks – New Series
- 4) SEHIP Scanned Source Documents – New Series

Action: Series 1 – 4 tabled. The committee had questions and the agency Records Officer was not present.

4. Washington State Liquor Control Board

a. *Financial – Beer & Wine Reporting*

- 1) Report of Sales to Washington Retailers from Wine Certificate of Approval Holder – LIQ 778A-20 – New Series

- 2) Report of Sales to Washington Retailers from Beer Certificate of Approval Holder – LIQ 308A-20 – New Series
- 3) Wine Shipper to Consumer Summary Tax Report – LIQ 870-20 – New Series
- 4) Retailer Receiving Direct Shipment Summary Report – LIQ 871-20 – New Series
- 5) Wine Authorized Representative Certificate of Approval Holders Summary Tax Report – LIQ 318-20 – New Series
- 6) Beer Authorized Representative Certificate of Approval Holders Summary Tax Report – LIQ 319-20 – New Series

Action: Series 1 – 6 approved.

5. Department of Health

a. *Facilities & Services Licensing*

- 1) Adverse Health Events Reporting System – New Series
- 2) Adverse Health Events Annual Report – New Series

NOTE: This records series was designated Archival.

Action: Series 1 and 2 approved.

6. Department of Social and Health Services

a. *Human Resources*

- 315) Pre-Determination Settlement Agreement – Series Revised: Increased retention from 5 to 6 years.
- 851) Employee's Permanent Record Card – Series Revised: Increased retention from 5 to 6 years.
- 854) Employment Record Card – Series Revised: Increased retention from 1 to 6 years.

Action: Series 315, 851 and 854 approved.

7. University of Washington

a. *Office of Global Affairs: International Programs*

- 2) International Student Folders – Series Revised: Decreased retention from 3 to 2 years.

Action: Series 2 approved.

b. *Office of Global Affairs: International Students*

- 1) Labor Condition Applications – New Series

Action: Series 1 approved.

c. *Housing and Food Services: Husky Card Account*

- 2) Husky Card Credit Card Refund – New Series
- 3) Husky Card Check Refund – New Series

Action: Series 2 and 3 approved pending the agency combine both series revising the title and description to include both 'Credit' and 'Check'.

- 4) Payment of Sales via the Husky Card – New Series
- 5) Cancelled U-Passes – New Series

Action: Series 4 and 5 approved.

d. *Registrar's Office: Residence Classification Office*

- 2) Graduate/Professional Waivers – Approved – New Series

Action: Series 2 approved.

- e. *Med: Office of Research and Graduate Education*
 - 1) Internal Investigation (Biomedical Treatment or Intervention) – New Series
 - 2) Internal Investigation (Non-Biomedical Treatment or Intervention) – New Series

Action: Series 1 and 2 approved.

8. Department of Labor and Industries

- a. *(SL) Electrical Section Regional*

- 7) Supplemental Correction Reports (SRC) – Series Revised: Changed cut-off from 'Monthly' to 'Last Correction Made' and decreased the retention from 6 to 2 years.

Action: Series 7 approved.

9. Washington State Military Department

- a. *Contracts*

- 1) Department Programs Contracts and Agreements – New Series

Action: Series 1 tabled. The agency Records Officer was not present to respond to questions the committee raised regarding this schedule, in particular, why the agency could not utilize Section GS 06 titled *Contracts* in the State General Records Retention Schedule (State GS). The committee recommended that Susan Thomsen, Secretary of State's Office Attorney General Representative, contact the Military Department to discuss this matter and assist the committee in determining if, in fact, the agency should use a unique records series rather than the State GS.

10. Department of Personnel

- a. *Organizational & Employee Development Services*

- 1) Training Information Systems Database (HRDIS) – New Series

Action: Series 1 tabled. The committee requested that the description be rewritten to denote that the database may contain some confidential information rather than saying that all the database information as confidential. The committee recommended that the agency review the cut-off of 'When Superseded'. They could not understand how the agency could determine when the information in the database was 'superseded'.

III. OTHER BUSINESS

A. E-Mail Article Discussion – Jerry Handfield

Jerry briefly discussed the e-mail article included in the committee packets then turned the conversation over to Tri Howard to talk about the E-mail Archiving and Retention System (EARS).

The Department of Information Systems and the Secretary of State's Office have partnered to create a universal e-mail archiving system for 25 state agencies. The project is comprised of two teams, technical and business. Tri was appointed the chairperson for the business team. Several other state agencies are involved in this project including the Department of Social and Health Services, Department of Health, Department of Corrections, Office of Financial Management, Attorney General's Office, Department of Personnel and the Department of Revenue.

The business team was responsible for writing the RFP for the creation of this e-mail system along with developing business rules and a desktop guide template.

Questions and Answers

Q: Who will be responsible for determining the retention of each e-mail?

A: The user will have an 'auto-class capability', or a drop-down menu option, from which they can choose the records series that corresponds with the content of their e-mail and transfer the e-mail to the correct folder.

Q: Will the system 'purge' e-mails or will they be 'deleted' completely from the system?

A: This is a technical question and unknown at this time.

Q: Will the system support records that have been placed under a litigation hold?

A: Yes.

Q: How will the system determine the cut-off for each records series?

A: Due to the fact that the cut-off for a records series may vary considerably, the e-mail archiving system will require a level of individual end-user responsibility.

Tri will provide updates to the committee about the progress of the EARS project on a periodic basis.

B. Resolution for Susan Carlson

Jerry noted that a resolution has been drafted for Susan Carlson's hard work and commitment during her tenure on the SRC. The final resolution will be included in the June SRC agenda.

V. ADJOURNMENT

The meeting was adjourned at 3:12 p.m.

The next meeting of the State Records Committee is scheduled for June 06, 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 May 02, 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.