

I. ROUTINE ITEMS

B. Adoption of Today's Agenda – June 25, 2015

C. Approval of Minutes – December 18, 2015



STATE OF WASHINGTON

LOCAL RECORDS COMMITTEE

Office of the State Auditor • Office of the Attorney General • Office of the State Archivist
PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

June 25, 2015 – 10:00 a.m.
Archives Conference Room

1129 Washington St SE, Olympia, WA, 98504

AGENDA

I. ROUTINE ITEMS

- A. Call to Order
- B. Adoption of Today's Agenda
- C. Approval of Minutes for December 18, 2014

II. NEW BUSINESS/ACTION ITEMS

- A. *County Coroners and Medical Examiners Records Retention Schedule (Ver. 2.0)* – Julie Blecha
- B. Financial Transactions – Sensitive Authentication Data (GS2014-030) Update Discussion – Blecha

III. WASHINGTON STATE ARCHIVES UPDATES

- A. Announcements from the State Archivist – Steve Excell
- B. Information Governance Enterprise Content Management Initiative Update – Russell Wood
- C. Local Government Records Retention Program Update – Wood
- D. Revision of Records Retention Schedules – Blecha

IV. NEXT MEETING

- A. July 30, 2015

V. ADJOURNMENT



STATE OF WASHINGTON
LOCAL RECORDS COMMITTEE

Office of the State Auditor • Office of the Attorney General • Office of the State Archivist
PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

December 18, 2014 – 10:00 a.m.
State Archives Conference Room
1129 Washington St SE, Olympia, WA 98504

MEETING MINUTES

Members Present: Cindy Evans, Chair – State Auditor’s Office; Matt Kernutt – Attorney General’s Office; Steve Excell – State Archivist.

Staff Present: Russell Wood – State Records Manager; Julie Blecha – Local Government Records Retention Specialist; Leslie Koziara – Electronic Records Consultant; Scott Sackett – Electronic Records Consultant and Brigid Clift – Central Regional Branch Archivist (via PolyCom).

I. ROUTINE ITEMS

A. Call to Order

Cindy Evans called the meeting to order at 10:01 a.m.

B. Adoption of Today’s Agenda

Motion to adopt the agenda as presented; Evans; second by Steve Excell.

Resolution: Motion carried.

C. Approval of Minutes for September 25, 2014

Motion to approve the minutes as presented: Matt Kernutt; second by Excell.

Resolution: Motion carried.

II. NEW BUSINESS/ACTION ITEMS

A. *School Districts and Educational Service Districts Records Retention Schedule (Version 8.2)* – Julie Blecha

In response to school district inquiries seeking detailed clarification of recently-approved records series relating to *employee sexual misconduct* and *employee verbal/physical abuse*, modifications to SD2014-020 and SD2014-021 state that in the event the **accused** dies *before* reaching age 80, the associated records need to be retained for a total of 30 years or 10 years (respectively) **after** the date of the most recent **accusation and completion of investigation** (if any). A variety of *prospective* real-life scenarios has been provided in the updated Summary of Changes. Evans commented that the examples are very helpful.

One additional change was requested yesterday by of members the Washington Association of School Business Officials Records Management Committee (WASBO) due to *specific* statutory requirements relating to the identification and treatment of brain trauma/injury in students ([RCW 28A.600.190](#)).

Today's proposed draft contains the requested language, "concussion/head injury", which was added as an example of a type of "health care/service" covered by SD2012-071, **Health Care/Services Provided to Students**.

Motion to approve the *School Districts and Educational Service Districts Records Retention Schedule (Version 8.2)* as presented with the addition of "concussion/head injury" added to SD2012-071; Excell, second by Matt Kernutt.

Resolution: Motion carried.

B. Local Government Common Records Retention Schedule (CORE) (Version 3.1) – Blecha

Since CORE was revised in 2012, several sector schedules have been updated, including those for housing authorities and prosecuting attorneys. Version 3.1 includes associated modifications relating to these updates that were noted for inclusion in a future version of CORE, as well as a few "housekeeping" matters (typo corrections, etc.). One new series (GS2014-030) was created in consultation with the State Auditor's Office and covers sensitive authentication data relating to credit card transactions. Members received comments submitted by the City of Spokane Valley and Tacoma Public Utilities (TPU). Discussion ensued.

Motion to approve the *Local Government Common Records Retention Schedule (Version 3.1)* as presented; Evans, second by Matt Kernutt.

Resolution: Motion carried.

III. COMMUNICATIONS

A. 10/15/2014 Email from Kristin Demory, Benton PUD

Via phone conference, Kristin Demory discussed concerns with the Local Records Committee as presented in her email about *utility customer ongoing authorizations for automatic payments*. Because these authorizations are filed/boxed up *by calendar year* - and the agency has no idea how long the agreements are/will be valid (*can range from a month to many years*) – the PUD is having difficulty managing them as contracts/agreements (GS50-01-11, **Contracts and Agreements – General**). The agency has not found a cost-effective solution that is convenient for Benton PUD's customers or easy for the agency. Demory questioned whether these authorizations are even covered by GS50-01-11 since they are not signed by the agency and stated that it would make it a lot easier if authorizations like these could be retained for *6 years after the end of the fiscal year* (rather than termination/expiration of the ongoing authorization).

Kernutt expressed curiosity about the financial institution's retention of authorizations *that allow transfer of funds to a third party* and whether these are legally different than a standard two-party contract. Evans suggested that this record is the "poster child" for scanning and tossing, with the authorization could be linked to the *customer* rather than the *calendar year*. Excell questioned that if the agency destroy the authorizations after 6 years, what authority/evidence would it have for continuing automatic withdrawals *in the seventh year*? Discussion ensued.

Patty Holmquist (TPU) stated that these authorizations are not signed by the agency and *technically* are not contracts as described in GS50-01-11. Evans explained that under law, agreements do not have to be signed to be legal...they *can* be oral agreements or written ones signed by one party, both parties, etc.

Holmquist suggested that every type of contract, agreement and/or authorization could be listed in GS50-01-11 for clarity. Evans advised that it would be too unwieldy to list each and every possible type of legal contract/agreement used by local government agencies, but that perhaps a guidance document could be published (and linked to the retention schedule) listing additional examples of agreements. Further discussion. Holmquist and Demory will provide WSA staff a list any other *types* of

contracts/agreements that could be included in GS50-01-11, or that are exceptions (needing to be) covered elsewhere.

Russell Wood reminded everyone that all resources for advice and records retention schedules for local and state government agencies are the four Records Management staff members currently attending this meeting. There are far more things to accomplish than the team has the capacity to do, but appreciates it when agencies step up and help with the process. Excell added that staff rely on input from the various sectors and appreciate when information is gathered among the associations and communicated to WSA.

IV. WASHINGTON STATE ARCHIVES UPDATES

A. Revision of Records Retention Schedules – Blecha

CORE *Human Resource Management* and *Legal Affairs* are the first major revision projects planned for 2015. Firefighter training will also be reviewed because WSA has been informed that training documentation may need to be retained longer than required by GS2011-180 (6 years after training provided). The County Coroners/Medical Examiners schedule is in progress, after which the County Assessors, County Treasurers, and Public Utilities (sewer/water, solid waste and telecommunications) will be addressed.

B. Announcements from the State Archivist – Steve Excell

Apologies for the construction due to HVAC work in the building; removal of ceiling grids and ductwork has been disruptive, but the project should be completed soon. Still unsure how WSA's space issue will be treated this Legislative session; expansion space is still needed, and efforts to procure the warehouse space previously used by the state printer's office were unsuccessful. At some point, it may be necessary to propose a moratorium on taking in records at the Records Center and the Archives.

V. NEXT MEETING

Blecha presented several 2015 Local Records Committee (LRC) meeting schedule options. Wood stated that because it's difficult to time revision projects to align with LRC meeting dates, meetings are being postponed. Do members prefer to stick with the published schedule *whether or not there are action items* is the preference to postpone meetings until a retention schedule is ready for approval submission? Evans said that the LRC is required to meet quarterly, and that if meeting dates change from the calendar provided to the Code Reviser, appropriate notification is necessary. Members agreed that they would prefer to modify the schedule to encompass action items, as long as the quarterly meeting requirement is satisfied.

Members agreed that the 2015 meeting schedule submitted to the Office of the Code Reviser will list the following dates: January 29, April 30, July 30, and October 29, 2015.

ADJOURNMENT: 10:50 am

CERTIFICATION OF MEETING MINUTES OF THE LOCAL RECORDS COMMITTEE:

I, Cindy Evans, Chair of Local Records Committee, certify that the above is a true and correct transcript of the minutes of a public meeting of the Local Records Committee of the State of Washington held in the State Archives Building conference room on December 18, 2014, 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

II. NEW BUSINESS/ACTION ITEMS

A. County Coroners and Medical Examiners Records Retention Schedule (Ver. 2.0)

- *Draft* Version 2.0
- Summary of Changes

For Local Records Committee Approval



County Coroners and Medical Examiners Records Retention Schedule **DRAFT** Version 2.0 (June 25, 2015)

This schedule applies to: County Coroners and Medical Examiners

Scope of records retention schedule

This records retention schedule authorizes the destruction/transfer of public records of County Coroners and Medical Examiners relating to the function of death investigation and other duties in accordance with [chapters 36.24](#) and [68.50 RCW](#). It is to be used in conjunction with the *Local Government Common Records Retention Schedule (CORE)*, which authorizes the destruction/transfer of public records common to all local government agencies. *CORE* can be accessed online at: <http://www.sos.wa.gov/archives/recordsmanagement/UsingtheLocalGovernmentCommonRecordsRetentionScheduleCORE.aspx>.

Disposition of public records

Public records covered by records series within this records retention schedule must be retained for the minimum retention period as specified in this schedule. Washington State Archives strongly recommends the disposition of public records at the end of their minimum retention period for the efficient and effective management of local resources.

Public records designated as Archival (Permanent Retention) or Non-Archival (with a retention period of “Life of the Agency” or “Permanent”) must not be destroyed. Records designated as Archival (Appraisal Required) must be appraised by the Washington State Archives before disposition. Public records must not be destroyed if they are subject to ongoing or reasonably anticipated litigation. Such public records must be managed in accordance with the agency’s policies and procedures for legal holds. Public records must not be destroyed if they are subject to an existing public records request in accordance with [chapter 42.56 RCW](#). Such public records must be managed in accordance with the agency’s policies and procedures for public records requests.

In addition to the minimum retention requirements specified in this schedule, there may be additional (longer) retention requirements mandated by federal, state and/or local statute, grant agreement, and/or other contractual obligations.

Revocation of previously issued records retention schedules

All previously approved disposition authorities for records that are covered by this retention schedule are revoked, including those listed in all general and agency unique retention schedules. Local government agencies should take measures to ensure that the retention and disposition of public records is in accordance with current approved records retention schedules.

Authority

This records retention schedule was approved by the Local Records Committee in accordance with [RCW 40.14.070](#) on June 25, 2015.

For the State Auditor: Cindy Evans

For the Attorney General: Matt Kernutt

The State Archivist: Steve Excell

For Local Records Committee Approval



Revision History

Version	Date Approved	Extent of Revision
1.0	11/29/2012	New sector schedule created from records series imported from version 5.2 of the <i>Local Government General Records Retention Schedule (LGGRRS)</i> , which has been dismantled. 4 series have been designated “Archival – Permanent Retention” (Card File Index, Inquests, Coroner/Medical Examiner Investigation Files, and Coroner/Medical Examiner Ledger). All disposition authority numbers (DANs) have been assigned a prefix of “CO” and a revision number of “0” (zero). A glossary of terms is located in the <i>Local Government Common</i>
2.0	06/25/2015	Major revision/overhaul. Consolidation of all records relating to deaths reported to the County Coroner/Medical Examiner <i>whether or not jurisdiction is assumed</i> in order to simplify AND align with modern (electronic) recordkeeping practices. Death Ledgers/Registers are legacy records that possess enduring historical value and should be transferred to Washington State Archives. Financial records relating to indigent burial are covered by GS2011-184, Financial Transactions – General , in the Local Government Common Records Retention Schedule (CORE) . All changes are detailed in the Summary of Changes. Note: Biological samples are <u>not</u> considered public records for purposes of chapter 40.14 RCW , and should be retained and disposed of pursuant to County Coroner/Medical Examiner policy.

TABLE OF CONTENTS

1. DEATH INVESTIGATION 3

2. LEGACY RECORDS (NO LONGER CREATED AND/OR RECEIVED BY COUNTY CORONERS)..... 5

INDEXES 6

For Local Records Committee Approval



1. DEATH INVESTIGATION

The function of determining cause of death and the management of the bodies and property of deceased individuals in accordance with [chapter 68.50 RCW](#).

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
CO50-34-03 Rev. 1	<p><i>Death Investigation Case Files</i> All records relating to the investigation of deceased persons by the County Coroner/Medical Examiner, including initial notice, determination of manner & cause of death, identification of the deceased, certification of death, and disposition of remains. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • All notices of death (<i>whether or not</i> jurisdiction is assumed and <i>whether or not</i> full investigation is warranted); • All manners of death (accident, natural, homicide, suicide and undetermined); • Investigative work (scene notes and sketches; photographs, audio/video/digital recordings, etc.); • Laboratory work (autopsy report, radiographs, lab reports, state toxicologist analyses, dental records, etc.); • Coroner’s inquests held pursuant to RCW 36.24.020 (including coroner’s files, transcripts, records of oral proceedings, list of impaneled juror <i>names</i>, etc.); • Personal property list compiled pursuant to RCW 68.50.040; property release forms; suicide notes (or <i>copies</i> of suicide notes), etc.; • Disposition of remains (including claimed, unclaimed, indigent, etc.); • Related correspondence, regardless of format; • Index used to identify/locate individual case files (card index, register, list, spreadsheet, database, etc.). <p>Excludes financial records relating to indigent burial covered by GS2011-184, <i>Financial Transactions – General</i> in the Local Government Common Records Retention Schedule (CORE). <i>Note: Includes confidential records, which will retain their confidentiality at Washington State Archives pursuant to state law.</i></p>	<p>Retain one copy permanently <i>and</i> Contact Washington State Archives for appraisal and transfer of paper/hard copy, electronic copy, microfilm, and/or any other format.</p>	<p>ARCHIVAL (Appraisal Required) ESSENTIAL OPR</p>

For Local Records Committee Approval



County Coroners and Medical Examiners Records Retention Schedule **DRAFT** Version 2.0 (June 25, 2015)

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
CO50-34-06 Rev. 1	Morgue Register Register/log recording the arrival and removal of human remains from morgues established pursuant to RCW 68.52.010 .	Retain for 6 years after last log entry <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR

For Local Records Committee Approval



2. LEGACY RECORDS (no longer created and/or received by County Coroners)

These are records no longer created by County Coroners; however, Coroners/Medical Examiner offices may still hold some of these records.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
CO50-34-02 Rev. 1	<p>Death Ledger/Register Death ledgers/registers created by County Coroners from early statehood into the 20th century. While bound volumes/ledgers are no longer created, offices <i>may</i> still hold these records <i>which possess enduring legal and/or historical value.</i></p> <p>Death ledgers/registers contain information <i>such as</i>:</p> <ul style="list-style-type: none"> • Name, gender, race, marital status, residence, occupation & age of deceased; • Date and place of birth; • Date and place of death; • Cause and manner of death; • Name of person who signed the death return/certificate. <p>Excludes Death Investigation Case Files (and indexes) covered by CO50-34-03.</p>	<p>Retain until no longer needed for agency business <i>and</i> Contact Washington State Archives for appraisal and transfer of paper/hard copy, electronic copy, microfilm, and/or any other format.</p>	<p>ARCHIVAL (Permanent Retention) ESSENTIAL OPR</p>

For Local Records Committee Approval



INDEXES: ARCHIVAL / PERMANENT RECORDS

Death Investigation Case Files 3 Death Ledger/Register 5

INDEX: ESSENTIAL RECORDS

Death Investigation Case Files 3 Death Ledger/Register 5

INDEX: DISPOSITION AUTHORITY NUMBERS (DANs)

CO50-34-02..... 5 CO50-34-03..... 3 CO50-34-06..... 4

For Local Records Committee Approval



INDEX: SUBJECTS

NOTE: "CORE" refers to the Local Government Common Records Retention Schedule.

5
504 accommodations... see CORE series GS50-04C-01

A
accidents/incidents (employee)..... see CORE
accounting..... see CORE
annual report..... see CORE
as-built drawings..... see CORE
asset management..... see CORE

B
benefits (human resources)..... see CORE
biological samples..... 2
boards/councils/committees..... see CORE
budget..... see CORE
buses..... see CORE

C
community/public relations..... see CORE
construction (agency structures)..... see CORE
contracts..... see CORE

D
drawings
architectural (agency structures)..... see CORE
investigative..... 3

E
electronic information systems..... see CORE
emergency preparedness (agency)..... see CORE
employee (HR Mgmt)..... see CORE
executive communications..... see CORE

F
facilities/property management..... see CORE
financial management..... see CORE
fleet/motor pool..... see CORE

G
gas usage..... see CORE
glossary of terms..... see CORE

H
human remains (biological samples) 2
human resources..... see CORE

I
illness/injury (employee)..... see CORE
incidents/accidents..... see CORE
insurance..... see CORE
inventory..... see CORE
investigation
death..... 3
employee misconduct..... see CORE

L
ledger
agency financials..... see CORE
death ledger/register..... 5
legal (advice, litigation, legal affairs) see CORE
liability waivers..... see CORE

For Local Records Committee Approval



County Coroners and Medical Examiners Records Retention Schedule *DRAFT* Version 2.0 (June 25, 2015)

M		S
mail/delivery <i>see CORE</i>	photos	security..... <i>see CORE</i>
maintenance <i>see CORE</i>	agency..... <i>see CORE</i>	slides (biological samples)..... 2
meetings <i>see CORE</i>	investigative..... 3	
minutes <i>see CORE</i>	procedures/policies/planning..... <i>see CORE</i>	
misconduct (employee) <i>see CORE</i>	property management	
	agency..... <i>see CORE</i>	
	personal (deceased) 3	
	public	
	disclosure..... <i>see CORE</i>	
	R	
	receipts <i>see CORE</i>	
	records management..... <i>see CORE</i>	
	register/ledger (death) 5	
		V
		vehicles <i>see CORE</i>

For assistance and advice in applying this records retention schedule,

please contact Washington State Archives at:

recordsmanagement@sos.wa.gov

or contact your Regional Archivist.

<http://www.sos.wa.gov/archives/>



SUMMARY OF CHANGES

To better assist local government agencies in the retention, destruction, and transfer of their public records, Washington State Archives is continuing to implement improvements to records retention schedules.

All *previously approved* disposition authorities for records that are covered by the *County Coroners and Medical Examiners Records Retention Schedule Version 1.0* are **revoked**, including those listed in all general **and** agency unique retention schedules. Agencies should take measures to ensure that the retention and disposition of public records is in accordance with current approved records retention schedules.

This revision guide has been prepared as a helpful tool for agency staff. It highlights changes to records retention requirements as approved by the Local Records Committee on **June 25, 2015** pursuant to RCW 40.14.070. **This guide is NOT the records retention schedule, itself.** Rather, it is provided as a “crosswalk” to be used while transitioning from the previous version (1.0) to the *current, approved* version (2.0).

Changes include:

- ✓ 3 records series updated and enhanced to provide clarity and user ease;
- ✓ 4 records series discontinued because the records have been consolidated into existing series.

TABLE OF CONTENTS

1. REVISED RECORDS SERIES	2
2. DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANS)	4

Note: **CORE** = Local Government Common Records Retention Schedule
DAN = Disposition Authority Number

For Local Records Committee Meeting



Summary of Changes County Coroners and Medical Examiners Records Retention Schedule Crosswalk from Version 1.0 to Version 2.0 (June 25, 2015)

REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided.

DAN	Version 1.0 Title	Version 1.0 Retention	Version 2.0 Title	Version 2.0 Retention and Disposition	Version 2.0 Change and/or rationale
CO50-34-03 Ver. 1.0 p. 4 Ver. 2.0 p. 4	INVESTIGATION FILES	Retain until no longer needed for agency business then transfer to WSA for permanent retention.	<i>Death Investigation Case Files</i>	Retain one copy permanently and contact WSA for appraisal and transfer of paper/hard copy, electronic copy, microfilm, and/or any other format.	<p>Any and all records relating to the investigation of deceased persons including those <i>where jurisdiction is <u>not</u> assumed and/or where a full investigation is <u>not</u> warranted</i>. Records include:</p> <ul style="list-style-type: none"> • Initial notice • Determination of manner and cause of death • Identification of the deceased • Certification of death, and • Disposition of remains (including indigent). <p>Also includes records relating to Coroner’s inquests held pursuant RCW 36.24.020.</p> <p>Financial records relating to indigent burial are covered by GS2011-184, Financial Transactions – General, located in the Local Government Common Records Retention Schedule (CORE).</p>
CO50-34-02 Ver. 1.0 p. 5 Ver. 2.0 p. 5	LEDGER	Retain until no longer needed for agency business then transfer to WSA for permanent retention.	<i>Death Register</i>	Retain until no longer needed for agency business <i>and</i> Contact WSA for appraisal and transfer of paper/hard copy, electronic copy, microfilm, and/or any other format.	Legacy record created between early statehood and early/mid 20 th century. These records possess enduring legal and/or historical value and may be transferred to WSA. During individual agency appraisal process, WSA will determine which format(s) it will accept for permanent retention (paper/hard copy, microfilm, electronic image, etc.)



Summary of Changes

**County Coroners and Medical Examiners Records Retention Schedule
Crosswalk from Version 1.0 to Version 2.0 (June 25, 2015)**

REVISED RECORDS SERIES

The records series listed below have been revised; changes and rationale are provided.

DAN	Version 1.0 Title	Version 1.0 Retention	Version 2.0 Title	Version 2.0 Retention and Disposition	Version 2.0 Change and/or rationale
CO50-34-06 Ver. 1.0 p. 5 Ver. 2.0 p. 4	MORGUE REGISTER	Retain for 6 years after last log entry <i>then</i> Destroy.	<i>Morgue Register</i>	Retain for 6 years after last log entry <i>then</i> Destroy.	Description enhanced.

For assistance and advice in applying records retention schedules,
please contact Washington State Archives at:

recordsmanagement@sos.wa.gov

or contact your Regional Archivist.



Summary of Changes

County Coroners and Medical Examiners Records Retention Schedule

Crosswalk from Version 1.0 to Version 2.0 (June 25, 2015)

DISCONTINUED DISPOSITION AUTHORITY NUMBERS (DANS)

Version 1.0 records series listed on the left have been discontinued. Current DANs for the records described are on the right.

Discontinued DAN Ver 1.0	Version 1.0 Title	Version 1.0 Retention	Version 2.0 DAN	Version 2.0 Title	Version 2.0 Retention and Disposition	Version 2.0 Designations	Rationale
CO50-34-01 p. 4	CARD FILE INDEX	Retain until no longer needed for agency business then transfer to WSA for permanent retention.	CO50-34-02	Death Register	Retain until no longer needed for agency business <i>and</i> Contact Washington State Archives for appraisal and transfer of paper/hard copy, electronic copy, microfilm, and/or any other format.	Archival – Permanent ESSENTIAL	Indexes created/used to identify or locate individual case files (or other death record or documentation) must be kept with the records for which they provide search information – regardless of format (card index, register, list, spreadsheet, database, etc.).
			CO50-34-03	Death Investigation Case Files	Retain one copy permanently <i>and</i> Contact Washington State Archives for appraisal and transfer of paper/hard copy, electronic copy, microfilm, and/or any other format.	Archival – Appraisal Required ESSENTIAL	
CO50-34-05 p. 4	INQUESTS	Retain until no longer needed for agency business then transfer to WSA for permanent retention.					Any and all records relating to the investigation of deceased <i>persons including those where jurisdiction is not assumed and/or where a full investigation is not warranted.</i>
CO50-34-07 p. 5	PERSONAL PROPERTY DOCUMENTATION FOR DECEASED PERSONS	Retain for 3 years after filing with the County Auditor <i>then</i> Destroy.	CO50-34-03	Death Investigation Case Files	Retain one copy permanently <i>and</i> Contact Washington State Archives for appraisal and transfer of paper/hard copy, electronic copy, microfilm, and/or any other format.	Archival – Appraisal Required ESSENTIAL	Coroners' inquests are part of the investigative process. Financial records relating to indigent burial are covered by GS2011-184, Financial Transactions – General , located in the Local Government Common Records Retention Schedule (CORE) .
CO50-34-04 p. 4	DEATH REPORTS AND INDIGENT BURIAL DOCUMENTATION	Retain for 6 years after matter closed then Destroy.					

II. NEW BUSINESS/ACTION ITEMS

B. Financial Transactions – Sensitive Authentication Data (GS2014-030, CORE Ver. 3.1)

- Draft advice sheet;
- Draft updated records series

Destruction of Non-Archival Records: Sensitive Authentication Data Obtained During Payment Card Transactions

Purpose: Provide guidance to government agencies on lawful destruction of sensitive payment card authentication data to minimize public and agency risk.

Any state or local government agency that **processes, stores, or transmits payment card data** is required by the card provider (Visa, MasterCard, American Express, etc.) to comply with certain security standards to prevent cardholder data theft. In 2006, the [Payment Card Industry \(PCI\) Security Standards Council](#) established its [Data Security Standard](#) (PCI DSS), and in 2010 the Revised Code of Washington incorporated the standard into [chapter 19.255 RCW](#), Personal Information – Notice of Security Breaches.

Part of the security standard stipulates that certain Sensitive Authentication Data is forbidden to be stored once the payment card transaction has been completed. This includes data that is used to authenticate electronic transactions where the card is not physically present, such as the Card Verification Value (CVV) or Card Validation Code (CVC) found on the front or back of the card and/or encoded in its magnetic stripe. In an effort to mitigate financial risk to customers and the public agencies that serve them, the Local Records Committee (LRC) has approved specific disposition authority for this information by approving DAN GS2014-030, **Financial Transactions - Sensitive Authentication Data**, which is located in the Financial Management section of the *Local Government Common Records Retention Schedule (CORE)*. The State Auditor's Office has confirmed that it does not require this Sensitive Authentication Data to be retained for audit purposes.

The State Auditor's Office has clarified what must be maintained for audit purposes by local governments when **receiving** credit card payments. Local governments should only maintain the **transaction number** assigned by the credit card company or the third party credit card processing vendor, *not the entire primary account number or credit card number*. Local governments are encouraged to comply with PCI DSS standards, including the requirements to render any stored primary account number or credit card number unreadable.

This is the first time that the LRC has ever approved destruction of a **portion** of a record. However, given the enormity of the potential security risk, it was deemed necessary and appropriate. Please note that only **Sensitive Authentication Data** as defined in current PCI DSS standards may be destroyed under GS2014-030.

All other elements of the record that are **made or received** by the agency (such as the primary account number, the credit card number *[if different]*, and the transaction amount) need separate disposition authority because they are NOT considered SAD and must be retained in accordance with the appropriate **Financial Transactions** series. PLEASE NOTE: This is no way requires that the agency create a record (or portion of a record) that it otherwise does not make or receive.

**Additional advice regarding the management of public records is available from
Washington State Archives:**

www.sos.wa.gov/archives
recordsmanagement@sos.wa.gov

Common Methods of Destroying Sensitive Authentication Data:

Under WAC 434-640-020, destruction of confidential records must reduce them to an illegible or otherwise irretrievable condition.

For **existing database records**, Sensitive Authentication Data should be deleted. If a field in a batch of transaction records consists entirely of Sensitive Authentication Data, that field may be completely removed as soon as the transactions are complete. This deletion should also be applied to any backups of these records.

Existing paper records at the agency should have any Sensitive Authentication Data removed in some permanent fashion, such as physically cutting out the sensitive portion or covering it and then photocopying or scanning the record. Similarly, **records that have already been scanned to digital format** in accordance with the "scan and toss" requirements should have this data redacted from both the image and any metadata.

Existing emails containing Sensitive Authentication Data should be redacted and resaved in electronic format, retaining as much of the original metadata as possible.

Point forward, both paper-based and electronic records should be created in a manner that ensures that all Sensitive Authentication Data is retained separately or can be easily separated from the rest of the transaction record (e.g., as a separate data field, on a Post-It note attached to the transaction record, etc.) This approach should be documented in official agency procedures.

Destruction of Non-Archival Records:

Sensitive Authentication Data Obtained During Payment Card Transactions (page 2 of 2)

Additional advice regarding the management of public records is available from
Washington State Archives:

Financial Transactions - Sensitive Authentication Data (GS2014-030)

CORE 3.1 – Current approved Series:

3.1 ACCOUNTING			
<i>The activity relating to the creation of financial records of agency business transactions and the preparation of statements concerning the assets, liabilities, and performance of the local government agency.</i>			
DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
GS2014-030 Rev. 0	<p>Financial Transactions – Sensitive Authentication Data Security/verification code or other Sensitive Authentication Data <i>as defined by the Payment Card Industry Data Security Standard (PCI DSS)</i> used to authenticate electronic financial transactions.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Three- or four-digit customer identification (CID) number printed on the front or back of a payment card and/or embedded in magnetic stripe data such as Card Identification Number (CIN), Card Verification Value (CVV), Card Validation Code (CVC), etc.; • PIN Verification Key Indicator (PVKI) or PIN Verification Value (PVV). <p>IMPORTANT: According to the State Auditor’s Office, Sensitive Authentication Data <u>does not</u> include the primary account number (PAN), the credit card number (if different), and/or the transaction amount, all of which <u>must</u> be retained to document the financial transaction.</p>	<p>Retain until completion of transaction <i>then</i> Destroy.</p>	NON-ARCHIVAL NON-ESSENTIAL OFM

Draft Revised Series:

GS2014-030 Rev. 1 DRAFT	<p>Financial Transactions – Sensitive Authentication Data Sensitive Authentication Data (SAD) <i>as defined by the Payment Card Industry Data Security Standard (PCI DSS)</i> used to verify the identity of payment cardholders during electronic financial transactions where the agency stores, processes or transmits cardholder data received via point of sale systems, phone, email, internet, paper, etc.</p> <p>Sensitive authentication data includes, but is not limited to:</p> <ul style="list-style-type: none"> • Three- or four-digit customer identification (CID) number printed on the front or back of a payment card and/or embedded in magnetic stripe data such as Card Identification Number (CIN), Card Verification Value (CVV), Card Validation Code (CVC), etc.; • PIN Verification Key Indicator (PVKI) or PIN Verification Value (PVV). <p>Excludes data elements <i>other than SAD</i> that are <u>received</u> by the agency which must be retained pursuant to GS2012-083, GS2012-084, or other applicable DAN.</p>	<p>Retain until completion of transaction <i>then</i> Destroy.</p> <p>DRAFT</p> <p> (Ctrl) ▾</p>	NON-ARCHIVAL NON-ESSENTIAL OFM
--	---	--	--------------------------------------

III. WASHINGTON STATE ARCHIVES UPDATES

- Records Retention Schedule Revision Plan (Local Government)

Developing Records Retention Schedules: Records Retention Schedule Revision Plan (Local Government)

Purpose: Provide guidance to local government agencies about Washington State Archives' plans to revise local government retention schedules.

To better assist local government agencies in the retention, destruction, and transfer of their public records, Washington State Archives (WSA) is continually updating and revising records retention schedules to submit to the Local Records Committee for approval pursuant to [RCW 40.14.070](#).

On a daily basis, local government agencies suggest improvements to records retention schedules ranging from gaps (lack of disposition authority for one of the agency's records), minor errors (such as typographical), and obsolete information (minimum requirements that do not reflect current statutory responsibilities), to incomplete or unclear descriptions or cut-offs. All suggestions and comments are reviewed, and revisions to retention schedules are prioritized based on several factors, including:

- ❖ Potential risk to the record (possible inappropriate/inadvertent destruction); and,
- ❖ Potential risk to the agency (confusing information puts agency at risk).

While some retention schedules need only a minor adjustment and can be completed rather quickly, others require such a complex overhaul that many months are necessary to produce an accurate and up-to-date product that benefits not only the end-users, but also the public. A reference group of subject-matter experts is critical to the development of quality retention schedule.

Once a retention schedule (or section of one) has been identified as needing a revision, a reference group is convened. Typically, a listserv bulletin is distributed, asking for volunteers. If you are not currently registered on the local government listserv, you may do so by clicking the link on our [webpage](#). (On occasion, we procure reference group members through professional associations.) Local government agency employees are always given an opportunity to comment on drafts, which are distributed in the [Local Records Committee](#) agenda packets, also available on our website.

The following records retention schedules have been scheduled for revision; timeframes are vague in consideration of other responsibilities and emergent needs that (may) arise:

Current Records Retention Schedule (RRS) Revision Projects (2015):

1. *Local Government Common RRS (CORE):*
 - Human Resource Management
 - Payroll
2. *Local Government Common RRS (CORE):*
 - Agency Management (Legal Affairs)

(Continued next page)

Upcoming Records Retention Schedule (RRS) Revision Projects (2015)*

1. *Utility Services RRS:*

- Sewer and Water Systems
- Solid Waste Management
- Telecommunications (cable, internet, telephone, cellular)

2. *Land Use Planning and Permitting RRS*

Next in Line (2016-2017)* - Listed Alphabetically

- ★ *County Assessors RRS*
- ★ *County Treasurers RRS*
- ★ *District and Municipal Courts RRS*
- ★ *Fire and Emergency Medical RRS*
- ★ *Economic Development and Transportation RRS (Ports)*
- ★ *Emergency Communications (911) RRS*
- ★ *Licensing, Permitting and Taxation RRS*
- ★ *Transit Authorities RRS*
- ★ *Public Hospital Districts RRS*

***NOTE:** These lists are subject to change.

Additional advice regarding the management of public records is available from
Washington State Archives:

www.sos.wa.gov/archives
recordsmanagement@sos.wa.gov

Meeting Handout(s)

The following item was presented *during* the meeting:

- Letter (dated 6/23/2015) from Dr. Timothy J. Davidson, President, Washington Association of Coroners and Medical Examiners



Washington Association of Coroners and Medical Examiners

June 23, 2015

Cindy Evans, Chair
Washington State Local Records Committee
C/o Washington State Archives
1129 Washington Street, SE
Olympia, Washington 98504

Dear Ms. Evans and committee,

Thank you for your consideration of the newly revised County Coroner and Medical Examiner Retention Schedule. As President of the Washington Association of Coroners and Medical Examiners (WACME) I am writing in support of the proposed changes and ask that you approve them as submitted.

WACME members have been afforded the time to review and comment on the revised schedule individually and again collectively at our recent annual conference where the revisions were formally approved. The general consensus is that there are many significant improvements herein, especially ease of readability.

This schedule is the work product of a capable ad hoc committee of coroners, prosecutor-coroners, and medical examiners and Local Government Records Retention Specialist Julie Blecha, who was able to grasp the purpose and functions of not only our different record series but also the differences within our professional community. The revisions efficiently segregate legacy records and those currently being produced while providing improved directions along with a readability level not seen previously.

I believe that these revisions will provide the basis for better records management because of its concise, well organized, logical, and comprehensive language. I know I speak for all the members of WACME when I say we sincerely appreciate your committee support as we strive to keep the records produced by the state's medicolegal community with impeccable professionalism while remaining vigilant of an environment of limited public resources.

Sincerely,

Dr. Timothy J. Davidson, DHA, D-ABMDI
Cowlitz County Coroner
WACME President

C/o Cowlitz County Coroner's Office
1946-B 3rd Avenue, Longview, Washington 98632
Office: 360-577-3079 / Fax: 360-575-1458 / email: davidson@co.cowlitz.wa.us