



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

April 26 – 10:00 a.m.

State Archives Conference Room

1129 Washington St SE, Olympia, WA 98504

MEETING MINUTES

Members Present: Mark Rapozo (Chair) – State Auditor’s Office, Cindy Evans – Attorney General’s Office, Jerry Handfield – State Archivist

Staff Present: Russell Wood – State Records Manager, Julie Blecha – Local Government Records Management Specialist, Leslie Koziara –Records Management Consultant, Scott Sackett –Records Management Consultant (via video conference)

Guests Present: Jon Cohen – Energy Northwest, Marian Kellett – Energy Northwest, Tami Micheau – City of Olympia, Patty Holmquist – Tacoma Public Utilities, Maureen Duncan – Thurston County

I. ROUTINE ITEMS

A. Call to Order

Mark Rapozo called the meeting to order at 10:00 a.m.

B. Introduction of Guests

C. Approval of Minutes for December 15, 2011

Motion to adopt the minutes as amended with correction to the year the budget transfer occurred, and to correct the spelling of Caitlin Olya to Caitlin Oiy; Evans, second by Handfield

Resolution: Motion carried

D. Adoption of April 26, 2012 Agenda

Motion to adopt the agenda as amended to correct the name Julie Woods to Julie Blecha; Evans, second by Handfield.

Resolution: Motion carried

II. OLD BUSINESS/ACTION ITEMS

A. Public Utilities Records Retention Schedule Version 1.1

- i. Scott Sackett provided the committee with the revised Nuclear Utilities section of the *Public Utilities Record Retention Schedule*, and an accompanying revision guide. Cindy Evans asked if a document exists that maps Energy Northwest’s 300+ (former) agency uniques to the *Local Government Common Records Retention Schedule (CORE)* and/or to the new

series. A crosswalk has been developed by Energy Northwest and reviewed by Scott Sackett. Cindy Evans requested that the crosswalk be included as part of the proposed schedule.

Evans appreciated additional work and modifications to the schedule and especially the inclusion of a glossary of terms. She thanked Scott Sackett for his hard work. Scott, in turn, expressed his thanks to Jon Cohen (Energy Northwest), Julie Blecha and Russell Wood. Jerry Handfield also added his appreciation for the work done on this very challenging project, and Energy Northwest expressed its thanks to the Washington State Archives team.

Motion: Approve and adopt schedule as indicated with the inclusion of a crosswalk provided by Energy Northwest; Evans, Seconded by Handfield.

III. WASHINGTON STATE ARCHIVES UPDATES

A. Retention Schedule Updates from Julie Blecha

- i. **School District Schedule** – Julie spoke about the complexity of work developing the next version of the school district schedule, targeted for inclusion on the July agenda. Among the requests for changes are increases to meet audit concerns, requests for 18 series that are changes from permanent to Archival, and changes to student health records. The WASBO Committee and Julie met to review the schedule, and Julie thanked Rick Bonner from the State Auditor’s office for his assistance via Polycom in the development of the series. The goal is to present to the Committee in July, and present changes annually going forward. Next year’s focus will be on training records.
- ii. **CORE Asset Management** – The revisions to the Asset Management section turned out to be very complex. A draft will be available for comment next week and included on the July agenda. Some of the Asset Management series will be provided, with additional work ahead to focus on conservation and environmental records. Patti Holmquist commented on whether or not the conservation/environmental types of series will be addressing concerns of utilities.. Julie replied that we are doing the best we can under the circumstances and that these issues will be addressed as we can get to them.
- iii. **Justice** – Julie is currently working on the development of a justice schedule. The initial focus will be on the attorney record series, and the larger picture is the development of a justice schedule that will include the district and municipal courts, juvenile justice, and the coroner.
- iv. **LGRRS** – Also proposed in July, and as part of the major overhaul, the current Local Government General Records Retention Schedule as it remains is being “dismantled”, with the remaining series being separated out into their own sector schedules. It is very confusing for agencies to go back and forth between the schedules, and we want to be able to get to the point where agencies are using only the CORE and their own sector schedule for managing their records. Cindy Evans commented on the complexity of the revisions to the schedules, and appreciated the month lead time for review. Julie brought up the complexity of developing the local government schedules in that so many are intertwined and need to be carefully separated and reviewed.
- v. **Listserv** – Julie did not have the latest statistics for listserv subscribers, but Jerry Handfield confirmed that there were currently over 2,000.

D. Requirements For Imaging Updates – Leslie Koziara

- i. Leslie announced the approval and publication of the “Requirements for the Destruction of Non-Archival Records After Imaging” document, also known as “Scanning and Tossing” There has historically been a great deal of confusion and chaos over the “Imaging Standards” outlined in chapter 434-663 WAC, and previous attempts to grant agencies authority to “scan and toss” became quite onerous, especially in light of budget cuts. So we embarked on the development of a document and requirements that would grant agencies the authority to “scan and toss” NON-Archival records provided that the agency is scanning in accordance to the requirements, without having to submit an application.

The feedback on this change has been pretty tremendous. Both Cindy Evans and Maureen Duncan commented on the positive feedback that they themselves have gotten, and Julie thanked Jerry and the committee for their support in this process. Jerry Handfield spoke on the history behind paperwork reduction, and the revolution of going digital. In 1989, Jerry had taken over another agency in another state, and started a taskforce on paperwork reduction. He went to several displays in Chicago and looked at the different types of technology available. He kept track of the different displays, and stopped at over 50 versions of optical disk equipment. Jerry envisioned the problems ahead and felt it necessary to adopt standards for agencies to purchase optical disks. When he arrived here in 2001, one of the nightmares was that we had thousands of rolls of microfilm stored in our vault, and none of them had been inspected. This posed problems since in the past capture of the record was frequently done incorrectly, was incomplete, or the original was barely legible. We still field inquiries from unreadable images. Education was lacking and salespeople would tell agencies things in order to sell the product and were not concerned about preservation. In 2001, the records management team was pretty small, and there needed to be a process to ensure that agencies were scanning properly. With the current records management team in place, and the effort to educate agencies on the requirements, Jerry was very comfortable supporting this effort.

Mark Rapozo, the State Auditor representative, voiced concerns over the language in the existing document about the phrase “best scan possible”. From an auditor’s point of view, if the original document is damaged or illegible, then the original should be retained. The concern is having a scan that is barely readable. The auditor needs to validate the transaction, and agencies need to document quality controls to ensure a complete and accurate capture. If the auditor’s office doesn’t have the records to perform the audit, then they can’t go forward with an audit. Scanning and tossing is great, so long as those records are a complete and accurate record. There was a short discussion from others on their experiences. Mark then suggested that language be included that if an original is damaged or illegible, and a complete and accurate capture is not possible, then the original document must be retained by the agency for the entire length of the retention period. Julie then left the meeting, made the suggested changes, and the new requirements were approved, and the appropriate notifications were to be made.

E. Announcements from the State Archivist

- i. **News Item** – In a recent news item, a Federal judge warned people to beware sending their records to the cloud. There was an instance where medical records that were stored using a cloud provider and deleted automatically without notice. The vendor had a policy for auto deletion after 60 days, and the records disappeared.
- ii. **Budget Update** - The recent legislative session continued with a 10% cut in the State Archives budget for state funds. The County Auditors supported the diversion of some of the Heritage Center funds to Archives operations, but that was not successful. The Digital Archives successfully renegotiated the building loan by 1.8% from \$900,000.00 to \$770,00 saving \$100,000. We have made changes to some of the operations and local branches are now closed Mondays and Tuesdays. We are re-examining the central service charges of

\$20.00 per year per FTE and plan to reallocate or come up with different ways to fund the Archives to avoid dependence on the economy.

- iii. **Archives Oversight Committee (AOC)** – The AOC met and will make the State Archives a government priority in the 2013 session. The committee decided to extend the completion of the current 2011-2013 grants into the 2013-2015 biennium, and not award any additional grants for the 2013-2015 cycle.
- iv. **Secretary of State Candidates** – Four of the candidates for the Secretary of State have come to the Archives for briefings and tours. Jim Kastema, Kim Wyman, Greg Nichols, and Kathleen Drew were all given a tour, and Mr. Nichols also visited the Digital Archives.
- v. **Liquor Control Board** – The Archives and it's Records Center staff were approached by OFM and the Liquor Control Board to help manage the the transition from state run liquor stores to privately run stores, which took place on June 1, 2012. There were many challenges in managing the records and the logistics, but the Records Center was able to successfully negotiate and perform all the requirements for transporting and storing for the state-run stores, as well as transporting back post-audit records for the private stores. Kudos to Clyde Stephenson and his team.
- vi. **Online access** – To further support the need for online access and support, the Digital Archives did an on-line survey of their customers, and the respondents completely supported online research. 95% responded that they realized real cost savings in the use of the Digital Archives as opposed to having to drive or call. National Archives and Records Administration is in the middle of ingesting 200 million emails and estimate that it will take 200 years to complete the processing.

IV. NEW BUSINESS/ACTION ITEMS

There were no other business action items on the agenda.

V. NEXT MEETING – July 26, 2011, 10 a.m.

VI. ADJOURNMENT

The chair adjourned the meeting at 11:22 p.m.

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 April 26, 2012, 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

7/26/2012
Date