

Washington State Archives

Records Retention Schedule Revisions: Taming the Beast

Presented by:
Records Management
recordsmanagement@sos.wa.gov
360-586-4901



RETENTION SCHEDULES OUT OF CONTROL!! SO MANY RECORD SERIES! AARGH!

IT'S ALIVE!

GODZILLA

KING OF THE MONSTERS!

Spawned in the ocean's depths...
It stalks the earth!
Belching fire that blasts mighty cities into oblivion!
A gory Goliath that lives to kill... kills to live!
Diabolical Demon of Destruction...
Mightiest Monster of them all -
GODZILLA!

RAYMOND BARR

Managing Public Records

Effective records management helps agencies and saves money:

1. Know what records they have, and where they are
2. Know what records need to be kept, and for how long
3. Be in compliance with RCW 42.56 – Public Disclosure
4. Provides defensible disposition in that records are lawfully and systematically destroyed or transferred

Remember:

Records and information are an agency's most important assets

While ordinary and mundane to most, records are a vital necessity!

- People come and go
- Technology changes
- Records provide the continuity for the ongoing operations of agency

FAQ

- Do I have change everything now?
 - You are not required to do anything to your record series at all if you choose. You can do parts or certain divisions. The only requirement will be that at some point all unique series for an agency will be put into the new single document schedule format. Any changes you want to make you'll need to submit them in the new format.
- What if I absolutely can't get to this?
 - We're here to help. We can get you started and will work with you along the way to get your new agency schedule revised. There is no deadline for this.

FAQ

- What if I want to make changes after the new agency schedule is approved?
 - You will submit the agency schedule as a whole and indicate what changes you are making along with a summary sheet
- Why is the deadline so far in advance?
 - With the new initial process, staff needs extra time due to more budget cuts to process and review the initial new schedules, and the SRC needs extra time for their review. Once the all agencies have transitioned to the new format, the deadlines are likely to change for a faster turnaround

FAQ

- Can I keep my Office Numbers?
 - Yes, if you wish. Office numbers are not required as part of the agency schedule
 - Agencies may still continue to use office numbers for records center storage and tracking

First Step to Taming the Beast

Know your business

What is your agency mission?

What services/activities/functions
does it perform, and for whom?

- ✓ Look to your website for guidance

Functional Analysis

Key questions when developing meaningful record series:

- What functions does the position/department/agency perform? (Include program and support functions)
- What records are created and received in the process of carrying out those functions?
- Who is doing what to whom, and why?

In most instances, position / department / division and/or program records can be concentrated in a relatively small number of records series

Make it meaningful

A good record series is immune to:

- Organizational changes and shifts
- Formats and changes to technology
- Changes to business processes

Your business has not changed, the *methods* of how you do business has and will continue to change

Is it covered already?

Check first to see if records are covered under the approved State General Schedule:

- If it is a function of operating the agency as a business, good chance it's covered:
 - Agency management and administration
 - Financial management
 - Managing human resources
 - Managing agency assets, facilities, supplies, equipment and information

Remember:

Look at the description of the GS series – you may call it something different using your agency language or terms

If the activity or function meets the description criteria, then use the GS series

Ask for a worksheet

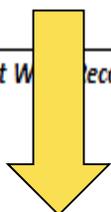
- We are happy to pre-populate a worksheet with your current active series
- Serves as a records series inventory so you can start cleaning house
- Use to identify what series are to be revoked, what series are covered under GS, what series to keep/combine/revise

Another worksheet - DSHS

Retention	SGRRS or Agency or Revoke?	Office/Function or Activity	Title	Description	DAN Number	Retention and Disposition	Designation(s)	NOTES
Archival FM	Agency	Used by all DSHS mental health and developmentally disabled institutions; and Special Commitment Center, if applicable	Medical Record Census Input Documents	Provides a record of census data which has been input into the Mental Health Institution Information System (MHIS).	86-09-37550	Retain 10 years after end of calendar year then Destroy	NON-ARCHIVAL NON-ESSENTIAL OFM	Retention change.
Archival FM	Agency	Used by all DSHS mental health and developmentally disabled institutions; and Special Commitment Center, if applicable	Statistical Report (Ward Census Report)	Reports patients coming in and leaving the hospital and census of the wards.	73-11-03252	Retain 10 years after end of calendar year then Destroy	NON-ARCHIVAL NON-ESSENTIAL OFM	Retention change.
Archival FM	Agency	Used by all DSHS mental health and developmentally disabled institutions; and Special Commitment Center, if applicable	Psychology Intern Applicant Support Files	Supporting documentation from applicants for psychology internships. Includes vitae/resumes, transcripts, letters of recommendation, and applicant ratings.	92-08-51203	Retain 10 years after end of calendar year then Destroy	NON-ARCHIVAL NON-ESSENTIAL OFM	Retention change.

Submitted by division

763 Western State Hospital		This section covers records specific to Western State Hospital.		
DAN	TITLE AND NOTES	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-12-62333	<i>Communications Center Response Reports</i>	Security log documentation of responses by Western State Hospital Communication Center regarding both routine and rapid response emergency calls to include patients missing or exhibiting notable behavior, Lakewood and Steilacoom police calls, and medical emergencies. Information contained includes date and time, information given to Security Guards, type of emergency code, and reports to police.	Retain for 10 years after date of incident <i>then</i> Destroy.	NON-ARCHIVAL POSSIBLY ESSENTIAL OPR
10-12-62336	<i>Dietary Services Food Health and Safety Records</i>	Safety and health documentation of food temperature recordings for food cooked and served, and stored in refrigerators / freezers by Dietary Services; and inspection results for ward kitchens, storage areas, dishwashing areas, and hot food cart. This series also includes sanitation solution log and cleaning schedule.	Retain for 2 years after date of document <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
10-05-62198	<i>Medication Area Inspection Record</i>	Medication Area Inspect Records, WSH 14-04, forms are completed monthly by a Pharmacy Technician after completing an inventory and medication distribution area inspection of the cottage medication rooms and kept in a binder located in the medication room. Information is verified by a nurse.	Retain for 6 years after calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
10-12-62337	<i>Patient Worker Records</i>	Documentation used to track patients and patient work schedules employed by Dietary Services, including accounting information to pay patient workers.	Retain for 6 years after termination of employment <i>then</i> Destroy.	NON-ARCHIVAL POSSIBLY ESSENTIAL OPR



DSHS – Proposed series submitted

814 Rainier School		This section covers records relating specifically to Rainier School.		
DAN	TITLE AND NOTES	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
83-03-31416 Rev. 1	<i>Death Register</i>	Maintains a chronologic list of resident deaths.	Retain for 50 years after calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31430 Rev. 0	<i>Hall Daily Books</i>	Records activities on resident halls. Used for inter-shift communication. Includes Census Book, Visitor Log, Maintenance Log, Inter-Shift Communication Book, Living Unit Staff Book, Program Cancellation Log, Fire Drill Log, and Initial Roster.	Retain for 2 years after calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31435 Rev. 0	<i>Population Change Record</i>	A weekly record documenting population changes.	Retain for 1 year after calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM
83-03-31420 Rev. 1	<i>Surname Reference Card</i>	Provides a cross reference between residents and relatives or correspondents.	Retain for 50 years after calendar year <i>then</i> Destroy.	NON-ARCHIVAL POSSIBLY ESSENTIAL OFM
83-03-31431 Rev. 0	<i>Twice Daily Count Record</i>	Documents resident counts.	Retain for 5 months after end of month <i>then</i> Destroy.	NON-ARCHIVAL POSSIBLY ESSENTIAL OFM
84-11-34781 REV. 1	<i>X-Ray Films (DD Institution Employees)</i>	Records physical condition of employees/staff at an institution for the developmentally disabled. Reports are filed in the employee's personnel file.	Retain for 5 years after termination of employment <i>then</i> Destroy.	NON-ARCHIVAL ESSENTIAL OFM

Avoid “agency speak”

When creating new or making revisions:

- Eliminate acronyms and ‘agency speak’
- Titles should be short, sweet and concise but make sense to more than one person
- Make descriptions more robust, including listing examples if need be, feel free to add notes and exclusions
- Plain talk – say what it is and does

For example - DSHS

Had 8 “collection files” for different divisions and different media

Now:

99-11-59334 REV. 2	<p>Collection Case Files</p> <p>Records documenting delinquent outstanding accounts for various DSHS offices that are collected. Includes, but is not limited to:</p> <ul style="list-style-type: none">• Fiscal records.• Accountability documents for claims.• Documentation of account and collection activities. <p><i>Note: Various offices include Juvenile Rehabilitation facilities, DSHS mental health and developmentally disabled institutions, and overpayments to clients, vendors, and employees.</i></p>	Retain for 6 years after account closed <i>then</i> Destroy	NON-ARCHIVAL ESSENTIAL OPR
-----------------------	--	--	----------------------------------

Liquor Control Board – color coded and tabs

E	F	G	H	I	J	K	L	M	N
SGRRS Designation	Status	Office	Series Title and Description	DAN	Cut-Off			Minimum Retention	Designation
Non-Archival Non-Essential	SGRRS	322	WAREHOUSE/LABRATORY (ANALYTICAL) RECEIVING REPORT (FORM 462-42) COPY 4 Documentation of beer and wine samples to the University of Washington for analysis. (Warehouse Emergency Bill of Lading, 218-45, Copy; Analytical Specimens & Supplies Receiving Report, 263-45, Copy.)	77-7-19666 Rev.0	Fiscal Year	48 Months	0 Months	4 Years	Non-Archival OFM
don't do any longer	don't do any longer	410	Alcohol Purchase Order File (Copy 1) Report of ethyl alcohol ordered, permit, invoice, and correspondence. REV 1: Change retention from 36/0/3 to 12/24/3 after end of fiscal year - 07/18/08	78-10-21094 Rev.1	Fiscal Year	12 Months	24 Months	3 Years	Non-Archival OFM
		410	PURCHASE ORDER FILE (REGULAR) Order required for regular orders of alcoholic beverages, scratch sheets, invoices, correspondence copies. (Copy 1)	78-10-21095 Rev.0	FISCAL YEAR	36 Months	0 Months	3 Years	Non-Archival OFM
Non-Archival Non-Essential	SGRRS	322	SAMPLES FOR CHEMICAL ANALYSIS RECEIVING REPORT AND BILL OF LADING (FORM LIQ 54-12) COPY 4 Documentation of beer and wine samples to the University of Washington for analysis.	78-10-21149 Rev.0	Fiscal Year	48 Months	0 Months	4 Years	Non-Archival OFM
		213	Report Form for Examination and Testing of Samples Submitted for the Purpose of Negotiating the..... (CONTINUED FROM TITLE) Sale of Liquor to the Board, COPY-LIQ 290-12 Reports testing and recommendation of samples submitted to Board.	92-04-50253 Rev.0	CALENDAR YEAR	900 Months	0 Months	75 Years	Non-Archival OFM
		410	LIQUOR PURCHASING CORRESPONDENCE	95-12-56258	Fiscal Year	24 Months	0 Months	2 Years	Non-

Investment Board

CURRENT AGENCY UNIQUES		Description of Changes						
Series Title and Description	DAN	Office/FunctionActivity	Title	Description	DAN Number	Retention and Disposition	Designation(s)	NOTES
Country Investment Research Files These files provide historical and background information as to the different investment products offered by other countries.	94-12-54758 Rev.0				Consolidated under 94-12-54757			Revoke; Consolidated with other research schedules KB
Industry Investment Research Files Provides historical and background information on investment topics, including but not limited to areas such as companies, industries, and countries, regardless of media. These files provide background information, valuations, and trends over entire industries. They also provide industry wide comparisons on things like pricing, production, etc. Rev. 1 = Changed title and description to encompass all investment research regardless of subject matter or asset class. Changed retention to destroy when	94-12-54757 Rev.0	Investment Division (this will be used by more than one unit in the investment division)	Investment Research	Provides historical and background information on investment topics, including but not limited to areas such as companies, industries, and countries, regardless of media.	94-12-54757 Rev. 1	Retain until no longer needed for agency business then destroy.	Non-Archival	Consolidate with other research schedules; title and description updated to accomplish consolidation; retention period changed to destroy when no longer needed for agency business. KB

Analyze and Organize

Once housekeeping has been done, take the record series that are left and:

- Keep as is, no changes
- Consolidate
- Revise

Then organize what you want to keep for inclusion in your agency schedule

Fish and Wildlife

Had 292 series, currently 32



Washington State Archives
Office of the Secretary of State

DRAFT

Department of Fish and Wildlife Records Retention Schedule
DRAFT #1 of Version 1.0 (January 2012)

4.2 Granting Licenses and Permits

The activity relating to licensing and permitting for both commercial and private hunting, fishing and collecting.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
77-05-06061	Hydraulic Project Approvals Records documenting permits approved/denied for construction activity that will divert, obstruct, or change the natural flow bed of state waters. Includes all marine waters and freshwaters of the state except artificial water courses.	Retain for 7 years after the date of the original issuance or denial of the permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
96-01-56409 Rev. 6	Scientific Collection Permits Permits issued to scientists/researchers, educators/educational institutions, museums, Aquarians and zoos that authorize the permit holder to collect samples and specimens for scientific and educational purposes. Includes but is not limited to: <ul style="list-style-type: none"> • Samples and specimens of fish, shellfish, mammals, reptiles, amphibians; • Their nests and eggs. 	Retain for 10 years after end of calendar year <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
78-04-20718 Rev. 7	Permits for Terminally Ill Individuals Records of detailed information related to applications and approvals for permits issued to terminally ill individuals.	Retain for 3 years after the expiration of the permit <i>then</i> Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

Department of Social and Health Services Started in 2010 with 1,475 series, reduced to 725 (2011), currently at 190



Washington State Archives
Office of the Secretary of State

DRAFT

Department of Social and Health Services Records Retention Schedule
DRAFT #1 of Version 1.0 (January 2012)

1.1 BACKGROUND CHECK CENTRAL UNIT (BCCU) – Office 106

This section covers records relating to the background check services provided by the Background Check Central Unit.

DISPOSITION AUTHORITY NUMBER (DAN)	DESCRIPTION OF RECORDS	RETENTION AND DISPOSITION ACTION	DESIGNATION
10-04-62163 Rev. 1	<p>BCCU Background Check Person of Interest (POI) Files</p> <p>A person of interest (POI) file includes anything BCCU receives in the process of conducting a background check. Files may include, but are not limited to, confidential information and may contain any combination of the following:</p> <ul style="list-style-type: none"> • signed and completed Background Check Authorization form; • authorizations submitted through Web; • FBI RAP sheets (non-public information); • WSP RAP sheets; • supplemental information or disclosures provided by the applicant; • other supporting information necessary to process a background check. <p>Other supporting information may include: DSHS finding notification; information from the Department of Corrections, Department of Health, and/or Office of Administrator of the Courts; out of state and federal court records; BCCU result letters, correspondence and records requests; and AAG equivalency analysis. Documents contain personal identifying information including applicants name, date of birth, aliases, driver's license number, and social security number. Confidential document destruction is required by the FBI.</p> <p><i>Note: Used specifically by Office 106 Background Check Central Unit (BCCU).</i></p>	<p>Retain for 20 years after last check completed <i>then</i> Destroy</p>	NON-ARCHIVAL ESSENTIAL OPR

You Are Not Alone

Records Management

recordsmanagement@sos.wa.gov

360-586-4901

Subscribe to listserv for the latest updates

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



Washington State Archives:
Partners in preservation and access