



Meeting Summary

9:00 am – 11:00 am July 2, 2014

Tumwater AGO Building
7141 Cleanwater Lane SW
Tumwater, WA

Workgroup Members Present: Steve Excell (Washington State Archivist); Ken Raske (Secretary of State); Michael Huntley (Office of the Secretary of State); Russell Wood (State Records Manager); Jason Howell (Department of Social and Health Services); Millie Brombacher (Department of Social and Health Services); Sean Krier (Department of Health); Cathy Downs (Department of Transportation); Jeff Evan (Office of the Attorney General); Martin Singleton (Office of the Attorney General); Michael Marty (State Auditor's Office); Mark Rapozo (State Auditor's Office); Mark Neary (Secretary of State) Gunther Johnson (Department of Corrections); Wendy Stigall (Department of Corrections); Larry Johnson (Secretary of State); Terry Badger (Washington State Archives); Dave Kirk (Office of the Chief Information Officer); Ro Marcus (Office of Financial Management)

Observers Present: Katie Blinn (Office of the Secretary of State); Cindy Evans (State Auditor's Office); Kathy Cody (Office of Financial Management); Leslie Koziara (Washington State Archives).

Introductions

- Steve Excell called the meeting to order at 9:05 am and there were brief introductions.
- The group was tasked with considering the following questions for the this meeting:
 1. What are obstacles to going born digital?
 2. What are the obstacles to reducing retention periods?

As things come up, items will be listed on a spreadsheet/living list for consideration for the development of the report due in the Fall for the legislature.

Roundtable Discussion

- One of the issues that keeps surfacing is that 6 years is a common retention requirement for agency business records and why? Often told if audit requirements and cycles is a driver for that?
- Mark Rapozo - local audit has a policy to audit at least every 3 years so yes, audit cycles do play a part. They ask that agencies keep their records for 3-4 years after the audit is completed.
- Cindy Evens brought up that contracts and agreements also have a 6 year requirement that is driven by a statute RCW 4.16, and federal grants are often a 3 year retention.
- It may be difficult to get that reduced due to audit cycles and need to keep.
- Would you need all financial transactions to be kept for that 6 year period of time? Regardless of whether you are buying pencils or buying laptops, the need to keep financial records does not change for audit and accountability purposes.



Office of the Secretary of State

Washington State Archives

Paper Records Reduction Workgroup

- Did work with RM to get retention requirements for local government slightly reduced for retention to help save some storage costs.
- Event based retention is more difficult to manage – since in some instances you don't know when something will be completed or closed. Sometimes cases will go on for years, and so on.
- Same thing with continuing grants – those will go on for some time, and hard to have definitive dates for disposition.
- Auditor's office does encourage and support electronic source documents and does support "scanning and tossing" as an alternative for paper based source records. Slowly things are changing to go completely digital or convert to digital processes.
- Current status for scanning and tossing is only for non-archival records. Records Management is reviewing archival records on a case-by-case value to arrange for appraisals and determine if we do want the paper source documents or not and arrange with agencies for transfer of the electronic or digital copies. We're looking at this further.
- Is it the information important or does the paper record have significant enduring intrinsic value? Executive orders and law signed historic documents do have a value to the original paper signed documents – we can scan in the State Constitution but will not shred the original because that has an intrinsic historic value. But we don't want 3½ million voter registration cards in the Archives, the database and data sets are what we would want instead of all the paper.
- This brings up the subject of digital signature issue. Does a scanned copy of a contract with the physical signature qualify as an official original contract?
- Ro Marcus provided an update in that the issue – haven't gotten very far and are finalizing the survey on that issue. They are reaching out to the bar association to get involved to address transactions for government and make sure the security issues and validations, etc. are covered.
- There are impediments to some of this relating to e-notaries as well and making sure all the legalities are met such as identification and authorizations to ensure legal compliance.
- Updates to the Information Governance/Enterprise Content Management (ECM) state wide initiative
- Dave Kirk presented an update to the Information Governance/Enterprise Content Management (ECM) state wide initiative his office and a team of agencies are working on as part of the solution for reducing paper.
- The Charter is finished, inviting executive sponsors to join with Michael Cockrill, the State CIO and policy leads for a steering committee. We have 5 teams established to move this initiative forward and choose systems for state wise use and be available at a master contract level.



- This has already received widespread support and a great deal of interest.
- The guidance team will be developing principles and guidance on managing electronic records and taking a different approach. We're working on breaking through the barriers and resolving the arguments that get agencies stuck, and build/support the concepts of information governance for the state. The team will also address the myths and misconceptions that still persist surrounding managing records and information.
- The ECM Selection team is developing an RFP and requirements to evaluate ECM systems that can provide a solution to managing information. This is a multi-disciplinary team is comprised of subject matter experts and thought leaders that are working collaboratively to get a short list of qualified systems that agencies can choose to implement for their use. This way we can aggregate the volume to include local government and get prices to an affordable level for everyone.
- The third team is an agency/team or teams that will actually implement a proof of concept where the agency will validate the business value of an ECM adoption, test and refine the IG principles and guidance and develop a "lessons learned" for other agencies to use.
- Along with the ECM selection team, there is a small team that will be evaluating ECM consultants to assist agencies in the work involved and get them through the woods faster to implementation.
- The last team is a communications team that will take the initiatives and lessons learned and promote/educate stakeholders through professional groups and stakeholders to clear the way. It's more of a campaign in garnering support and to move ahead on.
- The whole point will be to eliminate barriers, eliminate the confusion, stop the debates, and to facilitate implementation of solutions to help agencies get out of the rut they are stuck in.
- Part of this will be to work with vendors to provide a different model of pricing and scalability.
- These systems have reached the maturity level of not only being a records management system and now have workflow, e-form and other interface and other functional tools to support an enterprise.
- A possible barrier for paper reduction efforts in that some of the hanging on to paper is due to a lack of system that users trust.
- Any other suggestions/comments findings and input should be sent to Russell for review for the development of the report.

Next Meeting:

- Since summer vacations will be in full force, the next meeting will probably convene after Labor Day in September.
- Topics will include more focused discussions on digital signatures and retention period analysis.