

Records Management Oversight Committee Meeting
Library of Virginia, Board Room
August 10, 2017

Members Present: Greg Crawford, Ginny Dunn, Paige Neal, Chad Owen, Renee Savits, Corey Smith, Glenn Smith, Riley O'Brien, Claire Radcliffe, and Sandra Treadway

Members Absent: John Metz

Resources:

Guests: Steve Effinger and Gladys Butler, Virginia Department of Transportation

Purpose

The committee met to discuss and review the following records retention schedules, as submitted by the pre-Records Oversight Committee:

- 117-004, Virginia State Bar, Disciplinary System
- 154-010, Department of Motor Vehicles, Vehicle Services Division
- 171-076, State Corporation Commission, Bureau of Insurance, License Applications
- 171-194, State Corporation Commission, Bureau of Insurance, Agent Investigations
- 409-002, Division of Mined Land Reclamation, Abandoned Mine Lands
- 409-003, Division of Mined Land Reclamation, Reclamation Services, Enforcement
- 409-004, Division of Mined Land Reclamation, Water Quality
- 409-007, Division of Mined Land Reclamation, Reclamation Services, Permitting
- 409-009, Department of Mines, Minerals and Energy; Division of Gas and Oil
- 409-010, Division of Mined Land Reclamation, Customer Service
- 409-011, Department of Mines, Minerals and Energy; Division of Mined Land Reclamation
- 409-012, Division of Mines, Minerals and Energy, Division of Mineral Mining
- 440-018, Department of Environmental Quality; Water Division, Stormwater, Dept. of
- 501-007, Virginia Department of Transportation, Fiscal Division
- 501-103, Virginia Department of Transportation, Federal Programs Division
- 601-020, Department of Medical Assistance Services, Program Operations

Introduction of Members and Guests

Sandy Treadway called the meeting to order acknowledged the guest attending the meeting, Steve Effinger with the Virginia Department of Transportation.

Agenda

Sandy Treadway called for the motion to approve the agenda. Chad Owen so moved, Ginny Dunn seconded, and the motion was approved. Glenn Smith added one clarification regarding a change that he made to the agenda after it was uploaded. The schedule number for the Virginia State Bar was changed from 117-001 to 117-004. Corey Smith explained one additional

correction needed. The initial of the analyst presenting schedule 409-009 should be “C” and not “G”. Treadway expressed that the vote taken will stand to include those changes.

Corey Smith welcomed and introduced Gladys Butler with the Virginia Department of Transportation.

Minutes of Prior Meeting

Sandy Treadway asked if there were any additions or corrections to minutes reflecting the business of the June 8, 2017 meeting. Glenn Smith explained that there is a correction to the notes on Virginia Department of Environmental Quality Schedule, 440-006. The explanation of what happens to a record with 0 year retention was not quite clear. It will be revised as shown on screen. Treadway called for a motion to approve the minutes with the changes Glenn Smith provided. Corey Smith so moved, seconded by Glenn Smith. The minutes were approved as amended.

Old Business

Chad Owen provided a progress update on the Responsibilities of Designated Records Officer (RM-25) and Infolinx User (RM-27) Forms. Changes to both forms are complete. The instructions need to be corrected and updated. He explained that the records coordinator role will be removed from the RM-25 form because that caused confusion. The RM-25 will be used to designate records officers only. In place of the coordinator role, the RM-27 will be used to designate Infolinx Users. Records officers be notified on VA-ROL about the change.

117-004, Virginia State Bar, Disciplinary System

Glenn Smith presented this schedule. Smith explained that the schedule is for the Virginia State Bar section that receives complaints or issues complaints of attorney misconduct. He explained two series that deal with disciplinary cases, Disciplinary Cases-Discipline Imposed (100302) and Disciplinary Cases – Dismissed (100303). There are two other more defined series Disciplinary Cases-CRESPA-Discipline Imposed (100304) and Disciplinary Cases –CRESPA –Dismissed (100305) that primarily dealt with attorney misconduct involving real estate property. The Code changed on the CRESPA series and the agency decided to defunct those series and incorporate them into the series 100302 for imposed and series 100303 for dismissed. Additionally there was a series for Orders listed on an older schedule that had not been entered into Gain or Infolinx; that series was updated for inclusion on this schedule and will be retained permanent, in agency.

[Motion: Sandy Treadway called for a motion to approve the schedule 117-004. Chad Owen so moved, Claire Radcliffe seconded, and the motion was approved.]

154-010, Department of Motor Vehicles, Vehicle Services Division

Corey Smith explained that the agency is updating the entire schedule. One new series is being added for Salvage Dealer and Manufacturer Distributor Licensing Denied Applications. The agency uses a GS-101 series for the approved application. All other changes will make the schedule Infolinx compliant.

[**Motion:** Sandy Treadway called for a motion to approve the schedule 154-010. Chad Owen so moved, Renee Savits seconded, and the motion was approved.]

171-076, State Corporation Commission Bureau of Insurance, License Applications

Chad Owen explained the schedule series are specific to insurance agents. Two series are no longer created because those roles no longer exist, Insurance Consultant License Applications (005132) and Surplus Lines Agent License Applications (005133). The agency will be making those defunct, not superseded. Insurance Agent License Applications – With Criminal History (005494) and Insurance Agent License Applications – Routine (005131) were revised to be Infolinx compliant. The retention for series 005494 was reduced from 75 to 20 years. There are two new series, Navigator Registration: With Criminal History and Navigator Registration. Owen explained that a navigator is defined by federal code as a person who helps people navigate the health exchange to locate health care insurance. The retention for those series mirror the insurance agent applications.

[**Motion:** Sandy Treadway called for a motion to approve schedule 171-076. Glenn Smith so moved, Ginny Dunn seconded, and the motion was approved.]

171-194, State Corporation Commission, Bureau of Insurance, Agent Investigations

Chad Owen presented this schedule. There were two existing series on the schedule; they were updated to be Infolinx compliant. One new series was added for Insurance Agents or Agency Investigations – Real Estate Settlement Agents (RESA). Owen explained that all of the series deal with citizen complaints about agents or agencies investigated by the bureau and the results of those investigations. The records created are the original complaint, the investigative report, and the results. Combining the three series was discussed with the agency, but they decided to have separate series.

[**Motion:** Sandy Treadway called for a motion to approve schedule 171-194. Ginny Dunn so moved, Paige Neal seconded, and the motion was approved.]

409-009, Department of Mines, Minerals and Energy; Division of Gas and Oil

Corey Smith presented this schedule. Smith explained scheduled 409-009 and 409-011 are being reviewed first because after approval some of the Department's other schedules will be defunct and superseded.

Corey explained the Natural Gas and Oil Division regulates natural gas and oil wells above and below surfaces around Virginia. This is an update to their schedule to make it Infolinx compliant.

[**Motion:** Sandy Treadway called for a motion to approve schedule 409-009. Renee Savits so moved, Glenn Smith seconded, and the motion was approved.]

409-011, Department of Mines, Minerals and Energy, Division of Mined Land Reclamation

Corey Smith presented this schedule. He explained this schedule will combining series from multiple division schedules. Schedule language was updated to make the series Infolinx compliant and retention periods and other information was updated to reflect how they currently operate. Schedule 409-011 will supersede the following schedules:

- 409-002, Division of Mined Land Reclamation, Abandoned Mine Lands
- 409-003, Division of Mined Land Reclamation, Reclamation Services, Enforcement
- 409-004, Division of Mined Land Reclamation, Water Quality
- 409-007, Division of Mined Land Reclamation, Reclamation Services, Permitting
- 409-010, Division of Mined Land Reclamation, Customer Service.

[**Motion:** Sandy Treadway called for a motion to approve schedule 409-011. Chad Owen so moved, Claire Radcliffe seconded, and the motion was approved.]

[**Motion:** Sandy Treadway called for a motion to defunct schedules 409-002, 409-003, 409-004, 409-007 and 409-010, and supersede them by 409-011. Ginny Dunn so moved, Renee Savits seconded, and the motion was approved.]

409-012, Department of Mines, Minerals and Energy; Division of Mineral Mining, Special Projects Management Section

Corey Smith presented schedule. The division is adding twelve new records series to the schedule.

[**Motion:** Sandy Treadway called for a motion to approve schedule 409-012. Chad Owen so moved, Paige Neal seconded, and the motion was approved. Sandy Treadway arrived for the remaining votes.]

440-018, Department of Environmental Quality, Division of Water, Department of Stormwater

Chad Owen presented this schedule. Owen explained the entire schedule was revised because the Legislature transferred some Department of Conservation and Recreation duties to the Department of Environmental Quality (DEQ). DEQ changed series to reflect how they perform those operations. Most series were rewritten to be Infolinx compliant, a few retention periods were changed, and the destruction method changed from confidential to non-confidential on most series. The retention period for Citizen Complaints: Erosion, Sediment Control and Stormwater Programs (6155) changed from 3 to 5 years. Chad explained more stormwater series were added, explained each series and that they are kept until superseded. Glenn Smith asked if the agency had confirmed that there were not reasons to keep a past version once superseded. Owen explained that they had determined there is not.

[**Motion:** Sandy Treadway called for a motion to approve schedule 440-018. Glenn Smith so moved, Riley O'Brien seconded, and the motion was approved.]

501-007, Virginia Department of Transportation, Fiscal Division

Corey Smith presented this schedule. He explained the schedule is for the department's Fiscal Division and was completely overhauled. They decided some series were no longer needed and some series would be superseded by General Schedule series. They kept series where their retention requirements were different from general schedule retention requirements. One new series was added for Accounts Payable-Non-Federal and the records will be retained 6 years.

[Motion: Sandy Treadway called for a motion to approve schedule 501-007. Ginny Dunn so moved, Renee Savits seconded, and the motion was approved.]

Note: At a later point in the meeting. Glenn Smith advised the committee that Matt Ball informed him that some VDOT records subject to these series and stored at the SRC that will be affected by a shortened retention period. For those SRC boxes that contain series that will have longer retention periods than the series currently noted in Infolinx, the agency will have to change those boxes to a series that will provide an appropriate retention period. Corey Smith will work with the agency on the adjustments needed in Infolinx.

501-103, Virginia Department of Transportation, Federal Programs Division

Corey Smith presented this schedule. Smith explained this schedule is for the new Federal Program Division. The Accounts Receivable, Federal Final Vouchers and Federal Land Division of FHWA files (1449) is being moved from the fiscal schedule, 501-007, to this schedule.

[Motion: Sandy Treadway called for a motion to approve schedule 501-103. Chad Owen so moved, Glenn Smith seconded, and the motion was approved. Sandy Treadway arrived for the remaining votes.]

602-020, Department of Medical Assistance Services, Department of Program Operations

Corey Smith presented this schedule. He explained this is a new division within the Department of Medical Assistance Services and there is one new series proposed, Non-Resident Alien (NRA) Medical Emergency Certifications. The records documents medical services provided to non-resident aliens.

[Motion: Sandy Treadway called for a motion to approve schedule 602-020. Glenn Smith so moved, Riley O'Brien seconded, and the motion was approved.]

New Business

The committee did not have any new business to discuss.

Adjournment

Sandy Treadway adjourned the meeting. The next meeting will be October 12, 2017 in the Library Board Room, 2M.