

Records Management Oversight Committee Meeting
Library of Virginia, Board Room
January 4, 2018

Members Present: Greg Crawford, Ginny Dunn, Tracy Harter, John Metz, Paige Neal, Riley O'Brien, Chad Owen, Corey Smith, Glenn Smith, Claire Radcliffe, and Sandy Treadway

Members Absent: Renee Savits

Resources: None

Guests: None

Purpose

The committee met to discuss and review the following records retention schedules, as submitted by Glenn Smith directly to the full committee:

- 121-001, Office of the Governor
- GS-100, Governor's Cabinet - New
- 166-001, Commonwealth, Secretary of the
- 180-001, Administration, Secretary of
- 193-001, Agriculture and Forestry, Secretary of
- 192-001, Commerce and Trade, Secretary of
- 185-001, Education, Secretary of
- 190-001, Finance, Secretary of
- 188-001, Health and Human Resources, Secretary of
- 183-001, Natural Resources, Secretary of
- 187-001, Public Safety and Homeland Security, Secretary of
- 184-001, Technology, Secretary of
- 186-001, Transportation, Secretary of
- 454-001, Veterans and Defense Affairs, Secretary of

Introduction of Members and Guests

John Metz called the meeting to order and each member acknowledged his or her presence. Glenn Smith noted that all present are voting members.

Agenda

John Metz explained there had been a brief discussion about how to proceed with the agenda and called for a motion to proceed with the agenda as presented if there were no questions. Chad Owen moved; Greg Crawford seconded the motion. The agenda was approved.

Minutes of Prior Meeting

John Metz asked if there were any additions or corrections to minutes reflecting the business of the December 14, 2017 meeting. There were no recommendations and Metz called for a motion to approve the minutes. Chad Owen so moved, seconded by Ginny Dunn. The minutes were approved.

Old Business

The committee did not have any old business to discuss.

Overview of Updating the Governor's and Secretariats' Schedules

Glenn Smith thanked the committee for their flexibility with this out-of-ordinary process in the overhaul of the Governor's and Secretariat schedules. He noted that there are still some Secretariats and Governor's offices that have not responded to the draft schedules and survey questions that he sent out in November, and the best effort has been made in updating those schedules in preparation for the pending end-of-administration archival records transfer. Glenn explained the goal of the revisions is to consolidate and streamline the schedules, especially the Secretariats', because they are predominately duplicative of each other.

In drafting an Infolinx-compliant schedule, several types of series are being eliminated e.g., administration electronic records, electronic mail, personal and private papers. Smith explained none of the series are records—they are formats or non-records. Additional guidance will be provided on private and personal paper and e-mail. The plan is to work with the new administration on filing structures and workflows to streamline the records management process. Websites is an additional series that will be eliminated because they no longer transfer those because a Library staff member (Roger) captures those on a regular basis.

Smith explained that one of the most significant changes is the creation of a new records status. Currently a status can be "active," "defunct, superseded," "defunct, not superseded," or "defunct, permanent." The defunct, permanent series appear on printed schedules. If the schedules are approved as presented, then over 300 series will have a defunct, permanent status. If all of those appeared as defunct, permanent on the executive schedules, then they would be cumbersome and confusing. A new "defunct, executive" status has been created. Every executive series with, or that will have, a "defunct" status has been or will be examined, and those with records in the state archives will take on the status of "defunct, executive," while series that have no archived records and have not been superseded will become "defunct, not superseded." Creating the new status provides the means to print these schedules without the appearance of the defunct series, and also provides for the quick identification of which defunct series do and do not have archival records stored at the LVA.

Going forward when an Executive series is retired, even if it is functionally being superseded by another series, it will attain the status of "Defunct, Executive." This will keep the record in Infolinx of what records series were in place at the time of each administration and correlate with the schedules that the Governor's Records Archivist will print out and incorporate into the processed materials.

121-001, Office of the Governor

Smith explained that Constituent services has two series that have moved over to Executive Office and the language will reflect that. The Office of the First Lady was made “official” in this administration with the move of her physical space from the Executive Mansion to the Patrick Henry Building. There are updated and new records series to reflect that. The records remaining at the Executive Mansion deal with just the mansion business and activities, with “Events” merging with the Director’s records. The “Gifts” series now reflects those given to just the mansion. The Governor/the Administration and the First Lady will each have “Gifts” series.

Executive Office/Chief of Staff records are being updated and made Infolinx compliant. One series is being created for correspondence and subject files to cover records throughout the administration that might not fit into any other series.

The “Executive Office: General Files of the Governor's Counselor” series is being made “defunct, executive” and replaced with three new “Counsel” series. Records series that were created for a specific project, such as Virginia Tech, are being retired and covered by a series “Projects and Studies” within the proposed Governor’s Cabinet schedule. The committee discussed the Executive Office’s indication that this Administration doesn’t create Cabinet meeting files. A new series was created for significant gifts made to the Administration/Governor and the history of what happens with the gift.

There is a new First Lady series, along with the series for gifts.

Smith explained that the Policy Office is where much of the work takes place within the Governor’s office, though some responsibilities have shifted to other offices. Clemency Petitions and Executive Orders are now handled by the Secretary of the Commonwealth. The series for the Governor’s Strategic Plan is now with the Department of Planning and Budget. The Regulations series is now with the Counsel’s Office. The remaining three series have updated language.

The Press Office is now Communications. The record series for Official Speeches and Governor’s Itinerary are now in the Scheduling Office. Two series in Scheduling have been updated to reflect this, and the Conflict of Interest work is now the responsibility of the Ethics Commission.

The Virginia Liaison Office was renamed Office of Intergovernmental Affairs. The Southern Governor’s Association folded, so this series will become defunct. They do not have any association records and the association is defunct as of last year.

John Metz asked if anyone had discussed the Executive Mansion series with Meghan Townes since she works often with mansion staff members. Glenn explained he had consulted her and she helped with the language.

[Motion: John Metz called for a motion to approve schedule 121-001. Chad Owen so moved, Sandy Treadway seconded, and the motion was approved.]

GS-100, Governor's Cabinet

Glenn Smith presented this new schedule for the Cabinet that consolidates one-hundred-ninety-two specific series into eleven general series. He is working on updating the status of those series in Infolinx, per the previous explanation. There are no new series, only syntax updates. The series for Legislative Files will not consolidate to the general schedule. There was agreement at the secretariat level that any records in the offices are copies of what has been sent to the Governor via two electronic systems developed and managed by Planning and Budget. Those records are captured by the Governor's "Policy Office: Legislative Guidance and Review" series. Roger Christman and Greta Bollinger have system access and they are working on transferring those records.

[Motion: John Metz called for a motion to approve general schedule GS-100. Chad Owen so moved, Claire Radcliffe seconded, and the motion was approved.]

Glenn Smith presented each of the Secretary schedules. There are unique series that will remain on some schedules, but most series will be made defunct and "superseded" by the Governor's Cabinet general schedule. Five schedules will be completely retired. The details are available in the draft schedule spreadsheets kept in the Government Records Services Division.

166-001, Office of the Secretary of the Commonwealth

The Secretary of the Commonwealth is the administrator and record-keeper for the Office of the Governor. This is one of only two Secretary schedules that will contain non-permanent series. There are no significant changes; only a few language updates since the schedule was overhauled in 2015. Two series on the schedule are now handled by the Ethics Counsel going forward. Records for those series prior to that point in time remain with the Secretary. Nine series will be removed from this schedule, 23 will remain.

[Motion: John Metz called for a motion to approve schedule 166-001. Sandy Treadway so moved, Chad Owen seconded, and the motion was approved.]

180-001, Office of the Secretary of Administration

Fourteen series will be retired; five series will remain. There were no questions.

[Motion: John Metz called for a motion to defunct schedule 180-001. Chad Owen so moved, Riley O'Brien seconded, and the motion was approved.]

193-001, Secretary of Agriculture and Forestry

Two series will remain with minor syntax updates. Eighteen series will be retired. The committee did not have any question on those series.

[Motion: John Metz called for a motion to approve schedule 193-001. Ginny Dunn so moved, Chad Owen seconded, and the motion was approved.]

192-001, Secretary of Commerce and Trade

Three series remain, with the description of series 101367 and 101370 significantly updated. Eighteen series will be retired.

[**Motion:** John Metz called for a motion to approve schedule 192-001. Chad Owen so moved, Ginny Dunn seconded, and the motion was approved.]

185-001, Secretary of Education

This schedule will retain one series, Legislative Files. Because some agency heads under this office do not report directly to the Secretary, there is a uniqueness in how they communicate their legislative agendas. Eighteen series will be retired. There were no questions or comments.

[**Motion:** John Metz called for a motion to defunct to schedule 185-001. Greg Crawford so moved, Tracy Harter seconded, and the motion was approved.]

190-001, Secretary of Finance

Two records series will remain on this schedule and two new series, “Bond Rating” and Legislation: Budget” were created. Sixteen series will be retired. There were no questions.

[**Motion:** John Metz called for a motion to approve schedule 190-001. Ginny Dunn so moved, Corey Smith seconded, and the motion was approved.]

188-001, Office of the Secretary of Health and Human Resources

All fourteen series on this schedule will be retired. The committee did not have any questions.

[**Motion:** John Metz called for a motion to approve schedule 188-001. Greg Crawford so moved, Riley O’Brien seconded, and the motion was approved.]

183-001, Office of the Secretary of Natural Resources

There was no response received to the submitted survey. All eighteen series on this schedule will be retired. There was no discussion or questions.

[**Motion:** John Metz called for a motion to approve schedule 183-001. Claire Radcliffe so moved, Chad Owen seconded, and the motion was approved.]

187-001, Office of the Secretary of Public Safety and Homeland Security

Smith explained that he did not receive a response the survey questions he submitted in November. The unique series will stay basically the same, but will probably require updating in the near future. He was able to find some syntax information on their website and in the *Code* to update three series. Those, plus four more series will remain. Eighteen series will be retired. There was no discussion.

[**Motion:** John Metz called for a motion to approve schedule 187-001. Ginny Dunn so moved, Greg Crawford seconded, and the motion was approved.]

184-001, Office of the Secretary of Technology

This schedule pre-dates the creation of the Virginia Information Technology Agency (VITA). It contains four unique series that will be retired since those functions have been assumed by VITA. The remaining fifteen series will also be retired, and this Secretary will use the general schedule.

[**Motion:** John Metz called for a motion to approve schedule 184-001. Greg Crawford so moved, Chad Owen seconded, and the motion was approved.]

186-001, Office of the Secretary of Transportation

All seventeen series on this schedule will be retired and the office will be using the general schedule. Two of the series appeared unique, but they will be covered by new Special Projects series. There were no questions.

[**Motion:** John Metz called for a motion to approve schedule 186-001. Chad Owen so moved, Ginny Dunn seconded, and the motion was approved.]

454-001, Office of the Secretary of Veterans and defense Affairs

All eighteen series on this schedule will be retired. There was no discussion or questions.

[**Motion:** John Metz called for a motion to approve schedule 454-001. Greg Crawford so moved, Chad Owen seconded, and the motion was approved.]

New Business

None

Adjournment

John Metz called for a motion to adjourn the meeting. Greg Crawford so moved, Ginny Dunn seconded, and that motion ended the meeting. The meeting schedule will be determined and a notice sent to the members.