

Records Management Oversight Committee Meeting  
Library of Virginia, Board Room, 2M  
April 11, 2013

Members Present: Ginny Dunn, Greg Crawford, Jessie Graham, Lyn Hart, John Metz, Paige Neal, Corey Smith, Glenn Smith, Sandy Treadway and Anita Vannucci

Members Absent: Carl Childs, Roger Christman and Craig Moore

Resources: Steve White, State Records Center; and Matt Ball, State Records Center

Resources absent: Susan Gray Page, LVA Information Technology Department

Guests: Bettie Tate, Chesterfield County Treasurer's Office

### Purpose

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

- GS-28, County and Municipal Governments, Treasurer Records
- 166-001, Secretary of the Commonwealth
- 202-027, Library of Virginia, Records Analysis Services
- 440-005, Department of Environmental Quality, Water Quality
- 777-005, Department of Juvenile Justice Services, CSU
- GS-17, County and Municipal Governments, Law Enforcement
- GS-18, County and Municipal Governments, Locality Mental Health Services, Community Services Boards
- GS-22, County and Municipal Governments, Public Libraries

### Agenda

John Metz asked if there were any additions or changes to the agenda and there were none. Metz called for a motion to approve the agenda as presented. Lyn Hart made the motion; Glenn Smith seconded. The committee approved the agenda.

### Minutes

John Metz asked if there were any questions, comments or changes to the business reflected in the minutes of February 14, 2013. There were no changes recommended. Metz called for the motion to approve the minutes. Lyn Hart motioned to approve the minutes, seconded by Anita Vannucci. The committee approved the minutes.

### Old Business

*The committee did not have any old business.*

#### GS-28, County and Municipal Governments, Treasurer Records

Corey Smith presented this schedule and explained that the schedule was last approved in 2001. Corey explained he had formed an online focus group and that Betty Tate, Chesterfield County Treasurer was a part of the group. Corey invited Ms. Tate to attend the meeting and he introduced her to the committee. Corey explained the focus group decided to combine some series for retention purposes and decided to make some series defunct because they are no longer used. The group added three new series that resulted from combining series and added language throughout the schedule. Corey asked if there were any questions about the schedule. The committee did not have any questions.

**[Motion:** John Metz called for a motion to approve GS-28 County and Municipal Government Treasurer Schedule as amended. Lyn Hart made the motion, seconded by Ginny Dunn. ]

Ms. Tate thanked the committee for the opportunity to attend the meeting and for the opportunity to work on focus group to revise the schedule.

#### 166-001, Office of the Secretary of the Commonwealth

Anita Vannucci presented this schedule and explained this is a minor update for Lobbyist Files. Anita explained this is the only office in the Governor's administration that uses the State Record Center for non-permanent records. The office has been sending Lobbyist Files to the SRC. Those files had a retention statement of send to SRC for x number of years, then send to Archives. These types of retentions are not acceptable and cause extra work for SRC staff. Additionally it would be difficult for staff to identify the archival records with the records stored under a non-permanent retention. She explained the agency wanted to continue to send the files to the SRC but Infolinx will not accept the data entry for those records. She and Matt Ball could not determine a retention that would work in Infolinx. Roger Christman offered to review the records series and decided the files should not be transferred to the Archives. Anita explained the new five years retention works for all and the agency maintains a database of information that on is the form and these forms are updated and filed annually.

**[Motion:** John Metz called for a motion to approve 166-001. Lyn Hart made the motion. Paige Neal seconded the motion.]

#### 202-027, Library of Virginia, Records Analysis Services

Anita Vannucci presented this schedule. She and Bethany Wolfe worked on updating the schedule. They combined series and eliminated many database series that were non-records. Archival receipts and inventories records series are included on the Records Analysis Schedule but are maintained by state or local records. The inventories records will be moved to the appropriate state or local records schedule when those schedules are updated. Schedule histories and a few other series were changed to retain permanent in agency instead of a permanent in archives, because they are working files. Lyn Hart asked about the records destruction certificates not being permanent series. Hart explained there was a time when analysts corrected forms, so how would you know if agencies complied with what was corrected, and the certificate shows what things were destroyed and that if something were wrong the certificate would be that documentation. Anita explained the records are kept 50 years because it was determined that 50 year is a reasonable timeframe if the records were needed. Glenn Smith explained the processed has changed and ownership is on the agency that the Library holds the form for their defense.

**[Motion:** John Metz called for a motion to approve 202-007. Lyn Hart made the motion. Ginny Dunn seconded the motion.]

#### 440-005, Department of Environmental Quality, Water Quality

Anita Vannucci presented this schedule. The schedule was updated to change a few permanent series to non-permanent for ECM purposes, the language until administratively necessary replaced more specific language such as until facility taken off line or project completed because of the it difficulty tracking series with language. The agency agreed to reevaluate the open-ended retention because Anita had reservations about many series having retained until administratively necessary. Anita explained the agency does have the ability to track within their system and they needed more variability on how they track within a series. Paige Neal asked if *Code* citations would be included on the retention schedule. Anita explained they would not be on the retention schedule due to difficulty with exporting that tab from Infolinx. Matt asked if there were and series in the records center and offered to check.

[**Motion:** John Metz called for a motion to approve 440-005. Lyn Hart made the motion. Paige Neal seconded]

#### 777-005, Department of Juvenile Justice Services, Court Services Unit

Glenn Smith presented this schedule. The schedule was updated to make it Infolinx complaint. Many series were determined to be non-records and made defunct series.

[**Motion:** John Metz called for a motion to approve 777-005. Lyn Hart made the motion. Ginny Dunn seconded the motion.]

#### GS-17, County and Municipal Records, Law Enforcement Records

Glenn Smith presented this schedule. Glenn explained there were a few housekeeping details that needed to be approved by the committee. The language "are related" will be changed to "may be related" on relevant series to give agencies flexibility on where they include records. Secondly, the destruction method for Animal Control Files will be changed to confidential because some of the records now included in the series require confidential destruction. Additionally a citation was moved back to the appropriate series. Glenn asked if the committee approved the housekeeping changes and the committee agreed.

Glenn explained the schedule was completely overhauled. Glenn provided written documentation that summarized the change as follows. To rectify the issue of only two Investigative Case Files series with 75- and 10-year retention periods, three "resolved" series and three "unresolved" series are proposed. Each set classifies Serious, Less Serious, and Non-Serious offenses, and together will provide a wide range of retention periods. Each series provides the same description of the record, up to the point that it recommends the type of offense subject to the investigation, and identifies the same record types that may be found in each case file. This will allow for more effective searching in the on-line records schedule database. Fourteen (14) series are proposed to be made defunct, with the titles of each to be included in the record types found in all six proposed/amended series. This tab summarizes these proposed Investigative Case Files series.

Two new Court Process series are proposed that would consolidate ten series, all of which deal with executing some type of court order or other process. These records are about documenting the work of serving the process, and not the orders or instructions behind the process.

There are The 78 Proposed active series that would be the new active series, if approved as proposed. Sandy Treadway asked if a focus group worked on the schedule and if any push back is expected. Glenn explained there was a focus group in the beginning but the group dissolved quickly. The schedule was sent through drop box for statewide review to 305 Sheriffs and Police Chiefs. Approximately 30 representatives reviewed the document and he received comments from eight representatives. Glenn explained he can defend the opportunity to review the document. He will release the schedule with a guidance document that explains the changes along with a message to address any series that need to be changed.

[**Motion:** John Metz called for a motion to approve GS-17. Lyn Hart made the motion and Jessie Graham seconded the motion.]

#### GS-18, County and Municipal Governments, Community Services Board

Anita Vannucci presented this schedule to update and consolidate records series. The two big changes were to Medical Files, Adult and Juveniles. The retention for Juvenile Files was impossible to track based on the varying age requirement. The retention for the records will be 6 years after 18<sup>th</sup> birthdate reflect how records are tracked. The other changes were merging series to reflect how records are kept. Anita explained the departments of Medical Assistance Services and Behavioral Health and Developmental Services reviewed the schedules and that those agencies audit Community Services Boards.

**[Motion:** John Metz called for a motion to approve GS-18. Lyn Hart made the motion and Glenn Smith seconded the motion.]

#### GS-22, County and Municipal Government, Public Libraries

Anita Vannucci presented this schedule and explained it was last updated in 2004. Anita explained there was a focus group and that Cindy Church sent the schedule to her contacts. Cindy also posted this information on the Directors list serve so libraries would be aware of the revision and have an opportunity to comment. The past schedule was outlined as a file plan and had many series that followed book-processing activities. Anita explained some series on the schedule are retained until administratively necessary because library business processes are very diverse. Paige Neal informed the committee that Patron Records supersedes Patron Histories but the borrowing history is not included in those records. Anita will add applications and patron borrowing history to the description of Patron Identification and/or Registration Records (005653).

**[Motion:** John Metz called for a motion to approve GS-22 with the change suggested for patron records. Lyn Hart made the motion. Paige Neal seconded the motion.]

John Metz explained that Greg Crawford had pointed out that the committee members had not voted on each schedule.

**[Motion:** John Metz called for a motion to vote on the presented schedules as a group. Lyn Hart motioned, seconded by Glenn Smith. This motion was approved. John Metz called for the vote to pass all eight schedules as changed or presented. All voting members present approved the schedules. ]

#### New Business

Sandy Treadway thanked staff for the work done with the Governor's Task Force on local mandates and the good work done to make it easier for localities. She also explained the Governor's task force is using the Library as a model. She commended Anita on the presentation at the forum.

#### Adjournment

The meeting adjourned with a motion from Lyn Hart. The next meeting will be June 13, 2013 at 9:00 a.m. in the Library Board Room, 2M.