

Records Management Oversight Committee Meeting
Library of Virginia, Board Room, 2M
December 12, 2013

Members Present: Ben Bromley, Greg Crawford, Jessie Graham, Lyn Hart, Paige Neal, Corey Smith, Glenn Smith, Sandy Treadway and Anita Vannucci

Members Absent: Ginny Dunn and John Metz

Resources: Steve White and Matt Ball, State Records Center and Sue Woo, Imaging Services

Resources Absent: Roger Christman

Guests: None

Purpose

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

- 129-043, Department of Human Resources Management, Office of Health Benefits
- 131-001, Department of Veterans Services
- 201-007, Virginia Department of Education
- 233-001, Virginia Board of Bar Examiners
- 701-400, Virginia Department of Corrections
- GS-11, County and Municipal Governments, Parks and Recreation
- GS-117, Law Enforcement for State Agencies
- GS-08, County and Municipal Governments, Sheriffs and Jail Records
- GS-108, All State Agencies, Fire, Safety and Security Records
- GS-111, All State Supported Colleges and Universities College and Universities Records

Agenda

Sandy Treadway called the meeting to order at 9:04 a.m. She asked if there were any adjustments to the agenda, there were none. Treadway moved that the committee follow the agenda as presented. The committee agreed.

Minutes

Sandy Treadway asked if there were any additions or corrections to the business reflected in the minutes of October 10, 2013. The committee did not recommend any changes. Treadway made the motion to approve the minutes as distributed. The committee approved the minutes.

Old Business

Records Management Policy Guidance Document

Jessie Graham provided this update to the committee. She explained the document was developed because there was the need to get agencies and localities to develop a policy and not use the retention schedules as the program policy. Jessie explained there will be two document tools to assist agencies and localities, a document for policy development and a document for procedural development. Ann

Henderson is editing the documents. The policy templates will be readily available for agencies and localities to download from the Library website. The analysts decided they will provide guidance to agencies requesting assistance but they will not review or approve policies.

Agency Specific Records Retention Schedules Available Online

Anita Vannucci provided this update to the committee. Three hundred agency specific schedules were scanned and made available to agencies on the Library website. Agency records officers were asked to review the schedules and notify the Library if schedules needed to be revised. Records Officers notified LVA records analysts that twenty schedules are defunct. Anita provided the following list of schedules that are defunct for the committee record:

| Schedule No. | Agency/Department |
|--------------|------------------------------------------------------------------------------------------------------------------|
| 111-001, | Virginia Supreme Court, Clerk's Office |
| 129-038 | Department of Human Resources Management, IHRIS Project |
| 181-114 | Department of Labor and Industry, Apprentice Training, |
| 181-121 | Department of Labor and Industry, Voluntary Health Compliance |
| 191-30 | Virginia Workers' Compensation, Administrative Division, Insurance Department |
| 191-31 | Virginia Workers compensation, Crime Victim's Compensation |
| 194-04 | Department of General Services, Division of Risk Management |
| 202-002 | Library of Virginia, Librarian of Virginia |
| 202-052 | Library of Virginia, Library Development and Networking, Computer Center |
| 208-103 | Virginia Polytechnic Institute and State University, Registrar |
| 208-105 | Virginia Polytechnic Institute and State University |
| 211-63 | Virginia Military institute, VMI Museum |
| 409-005 | Department of Mines, Minerals and Energy, Division of Mined Land Reclamation, Small Operators Assistance Program |
| 425-18 | Jamestown Foundation |
| 501-003 | Virginia Department of Transportation, Districts, Equal Opportunity |
| 501-003 | Virginia Department of Transportation, Districts, Fiscal Division |
| 501-015 | Virginia Department of Transportation, Central Office, Equipment |
| 501-030 | Virginia Department of Transportation, Central office Equal Opportunity |
| 501-031 | Virginia Department of Transportation, Fleet Management |
| 505-101 | Virginia Department of Transportation, Asset Management Division, Permits Section |

129-043, Department of Human Resources Management, Office of Health Benefits

Paige Neal presented this schedule. The two series on this schedule were created in 2006 but inadvertently assigned to the wrong schedule number in GAIN. A new schedule number was generated for the two series. The series language and Code citations were updated. The retention periods did not change.

[Motion: Sandy Treadway made the motion to approve 129-043. All voting members present approved the schedule.]

131-001, Department of Veterans Services

Jessie Graham presented this schedule. The schedule was mainly revised to change the retention period of Certificates of Release or Discharge from Active Duty (DD-214) and Corrections to Certificates of Release or Discharge (DD-215) (000106) to two years. Retention language and cut off events of two other series, Field Office Claims (000194) and (Virginia Military Survivors and Dependents Education Program (VMSDEP) Files (000105), were updated to be Infolinx compliant.

[Motion: Sandy Treadway made the motion to approve 131-001. All voting members present approved the schedule.]

201-007, Virginia Department of Education

Anita Vannucci presented this schedule. Department of Education updated this schedule after reviewing the copy posted online.

[Motion: Sandy Treadway made the motion to approve 201-007. All voting members present approved the schedule.]

233-001, Virginia Board of Bar Examiners

Glenn Smith presented this schedule. The agency reviewed the schedule online and decided to update series. Most of the changes were to retention language and cut off events; two series were declared defunct.

[Motion: Sandy Treadway made the motion to approve schedule 233-001 as presented. All voting members present approved the schedule.]

701-400, Virginia Department of Corrections

Jessie Graham presented this schedule. The department updated this schedule to add a new report series, Serious Incident Reports: Jails and Lockups. The one existing series (Jail Inspection Reports: Life, Health and Safety, 20006) was revised so the language would be Infolinx compliant.

[Motion: Sandy Treadway made the motion to approve schedule 701-400 as presented. All voting members present approved the schedule.]

GS-08, County and Municipal Governments, Sheriffs and Jail Records

Jessie Graham presented this schedule. Jessie explained in the last meeting General Schedule 17 was revised to add law enforcement series that were on GS-08. This is the new revised GS-08 for Jail Records only. The title of this schedule has changed to Local and Regional Jails. Sheriff was removed from the title because sheriffs' related records are on GS-17. There was a major retention change of 20 years for Jail Records: Jail Register (100651) to cover cumulative time inmates serve. Jessie explained offices had used the State Compensation Board LIDS system for cumulative time accounting purposes but that series was not intended for that purpose.

The focus group members that reviewed this schedule were:

| Name | Agency |
|-----------------|---------------------------------------|
| Debbie Hamlet | Western Virginia Regional Jail |
| Paul Larson | Arlington Sheriff's Office |
| Roger Sodorsky | Virginia Peninsula Regional Jail |
| Vida Parker | Amherst County Adult Detention Center |
| Martin Shirilla | Lancaster Sheriff's Office |

[Motion: Sandy Treadway made the motion to approve schedule GS-08 as presented. All voting members present approved the schedule.]

GS-11, County and Municipal Governments, Parks and Recreation

Glenn Smith presented this schedule. Glenn explained that this was an overhaul of the schedule, and that only one parks and recreation office offered substantive recommendations to update the series. Glenn explained that GS-11 could probably become defunct and superseded by series on GS-16, but a larger focus group is needed to make this decision. Five cemetery records series were made defunct and rolled in to one new series, Cemetery Records. The titles of the five defunct series are included in the description of the new series. The language on other series was revised to make them Infolinx compliant.

The focus group members that reviewed this schedule were:

| Name | Agency |
|-------------------|---------------------------------------------------------|
| Wendy K. Stone | City of Fredericksburg, Parks and Recreation Department |
| Erik F. Nelson | City of Fredericksburg, Planning Department |
| Tamara Parker | City of Lynchburg |
| Maile Hildenbrand | City of Virginia Beach, Parks and Recreation Department |

[Motion: Sandy Treadway made the motion to approve schedule GS-11 as presented. All voting members present approved the schedule.]

GS-117, Law Enforcement for State Agencies

Jessie Graham presented this schedule. Jessie explained this is a new schedule for state agencies with law enforcement branches. This schedule covers all state agency law enforcement entities such as college and university police, State Police, Capitol Police, DGIF, DCR, ABC and Marine Resources etc. A small percentage of the series on this schedule were carried over from GS-108 Fire Safety and Security Records. Therefore, this schedule replaces law enforcement records series that were listed on GS-108. Many series are new and mirror GS-17 for local law enforcement. A guidance document was created to explain who should use the schedule, what happened to GS-108, Section II Dedicated Agency Police or Security Force, how to use Investigative Case Files and what "after decision" means as a cut-off event. Jessie explained the differences between GS-117 and GS-17 investigative case file series when Ben Bromley asked if there were major differences between the state and local schedule.

The focus group members that reviewed this schedule were:

| Name | Agency |
|--------------------|-------------------------------------------|
| Roger Rector | Virginia State Police |
| Walter Gerheart | Department of Alcoholic Beverage Control |
| James DeLoatch | University of Mary Washington |
| Denise Linkenhoker | Virginia Tech |
| Carol Lee Bowman | Department of Game and Inland Fisheries |
| Wayne Weller | Department of Game and Inland Fisheries |
| Joe Pajic | Department of Game and Inland Fisheries |
| Margaret Pugh | Capitol Police |
| David Summers | Department of Conservation and Recreation |
| Brandy Battle | Marine Resources Commission |

[Motion: Sandy Treadway made the motion to approve GS-117 as presented. All voting members present approved the schedule.]

GS-108, All State Agencies, Fire, Safety and Security Records

Jessie Graham presented this schedule. Jessie explained the schedule was revised to remove the police related records and that the schedule is now entirely for building fire safety and security records. Schedule language was revised to make it Infolinx compliant. A focus group was not formed to review this schedule because she and Paige Neal will be working on reviewing GS-108 series to determine if they could be moved to GS-106 because the remaining series are mostly building related.

[Motion: Sandy Treadway made the motion to approve GS-108 as presented. All voting members present approved the schedule.]

GS-111, All State Supported Colleges and Universities College and Universities Records

Anita Vannucci presented this schedule. She explained this is the college and university schedule used by two and four year institutions statewide. The schedule was streamlined because record series were combined to simplify the selection process; language was changed to reflect current university terminology; permanent retention, archives was changed to “permanent, in agency on many series because colleges and universities generally have their own archives.

The focus group members reviewed this schedule.

| Name | Agency |
|------------------|----------------------------------|
| Scott Davis | Virginia Commonwealth University |
| Veronica Fisher | George Mason University |
| Caroline Walters | University of Virginia |
| Bruce White | Old Dominion University |
| Lydia Williams | Longwood University |

[Motion: Sandy Treadway made the motion to approve GS-111 as presented. All voting members present approved the schedule.]

New Business

Records Oversight Committee Meetings Posted to Commonwealth Calendar

Anita Vannucci led this discussion. Anita explained questions have increased about the committee, such as who serves on the committee, how it works and how we develop schedules. The 2014 Committee meeting schedule has been posted on the Commonwealth Calendar to increase transparency and understanding of the process. Vannucci reminded the group that the past two years of committee minutes are posted on the website and inquirers have been encouraged to read those to gain understanding of the process. Agency records officers will be encouraged to attend meetings as well when the agency has schedules to be presented so they can see and understand the process better. Additionally, a list of general schedule focus group membership will be included and presented with each general schedule during this and future meetings. The focus group membership will be included in the minutes to have a record of the members name and agencies.

Library of Virginia Bulletin Sheet of the New Administration

Sandy Treadway thanked Anita Vannucci, Roger Christman and Susan Gray Page for creating a bulletin sheet for new administration that outlines how the Library can assist with setting up a records management program. Treadway explained she communicated with the transition team administrator regarding a logistics staff visit to the Library, but they do not currently have the time due to the workload and lack of staff hired at this juncture. The transition team asked if the Library could provide something in writing. A packet was provided that includes the bulletin, Virginia Public Records Act Booklet and information provided by the Freedom of Information Advisory Council (FOIA) showing the importance and connection between FOIA and records management and why public officials need to comply. This information will be included in the cabinet briefing books. Treadway will follow up with the administration to get on the cabinet meeting agenda to discuss these topics.

McDonnell Transfer Status

Greg Crawford asked for a status update on the McDonnell transfer. The committee discussed the logistics of the electronic records transfer from the administration. The committee decided Treadway should contact Sam Nixon at VITA to coordinate the electronic record transfer. Anita will work with Susan Page to draft the correspondence.

Records Retention Reduction Periods

Steve White asked if there is a process in place for notifying agencies about records stored in the SRC that are eligible for destruction following a reduction in their retention period after a schedule update. The committee discussed how Infolinx updates box information, methods for communicating changes, and enforcing destroying those records in a timely manner. The committee discussed sending overdue notifications annually, raising rates on overdue records stored, the liability of holding records past retention, and cost savings of destroying stored records.

Adjournment

The meeting adjourned at 10:09 a.m. with a motion from Glenn Smith, seconded by Lyn Hart. The next meeting will be February 13, 2014 at 9:00 a.m. in the Library Board Room, 2M.