

Records Management Oversight Committee Meeting  
Library of Virginia, Conference Room 5.041  
October 11, 2012

Members Present: Carl Childs, Jessie Graham , Lyn Hart, , Chris Kolbe, John Metz, Craig Moore, Paige Neal , Corey Smith, Glenn Smith, Sandy Treadway , and Anita Vannucci

Members Absent: Greg Crawford

Resources: Susan Gray Page, LVA Information Technology Department; Steve White, State Records Center; and Matt Ball, State Records Center

Guests: Steve Effinger, 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.

- 501-027, Virginia Department of Transportation, Programming Division
- 129-042, Department of Human Resource Management, Office of Employee Dispute Resolution
- 154-155, Department of Motor Vehicles, Highway Safety Office
- 171-212, State Corporation Commission, Bureau of Financial Institutions
- 199-001, Department of Conservation and Recreation
- 222-001, Department of Professional and Occupational Regulation, Licensing
- 440-003, Department of Environmental Quality

### Agenda

John Metz called the Records Management Oversight Committee (ROC) meeting to order and asked if there were any amendments to the agenda. Corey Smith added one item to new business, the Virginia Board for Towing and Recovery Operators. Glenn Smith moved to approve the agenda. Sandy Treadway seconded the motion. The committee approved the agenda.

### Minutes

John Metz asked if there were any questions, changes, or recommendations for the minutes of August 9, 2012. Lyn Hart provided grammatical changes prior to the meeting. Lyn Hart moved for approval, seconded by Carl Childs. The committee approved the minutes as amended.

### Old Business

*None*

### 501-027, Virginia Department of Transportation

Corey Smith presented this schedule to clarify a question from the previous meeting—would the agency be destroying Six-year Improvement Program (003098) records before the plans ended since the agency proposed to retain the records for 5 years. Steve Effinger with VDOT attended the meeting to provide information on this series. Mr. Effinger explained the retention is based on business, fiscal, and legal needs, as well as usage, of the records. Mr. Effinger explained the record is a spending plan spanning a six-year period, compiled annually and superseded when

a new plan is compiled each year. He added that the Transportation Board approves a plan annually, that the previous year's plan is used for reference, and that the division is comfortable destroying files after five years because that is appropriate for their needs.

Corey summarized the proposed changes to the schedule. The retention for series 003098 changed from "Permanent, in agency" to 5 years and series 003101 changed from 5 years to 1 year; series 003097 will be moved to schedule 501-000; and series 003099 will be made defunct because it is actually a draft, which is covered by the draft series on GS-101.

**[Motion:** John Metz called for a motion to approve 501-027. Lyn Hart made the motion. Glenn Smith seconded the motion. All voting members approved.]

#### 129-042, Department of Human Resources Management, Office of Dispute Resolution

Corey Smith presented this schedule to cover agency organizational changes. The Office of Dispute Resolution is now a division of the Department of Human Resource Management. The Office had an existing schedule. Some series from that schedule have been determined to be defunct, and the agency created one new series for Retaliation Investigation Files. Corey explained that the files document investigations of retaliatory grievances, that a report is sent to the head of DHRM, and DHRM has to determine if a subsequent report needs to be forwarded to the office of the Attorney General or Governor. The investigation files are retained five years after the year the report is created. Anita asked if the cutoff event should be "after decision." Corey will revise the cutoff to five years "after closed." Anita Vannucci asked if the full schedule needed to be reviewed since records proposed to become defunct were not included for review in the draft. The committee agreed that that this entire schedule should be reviewed.

**[Motion:** John Metz called for a motion to defer 129-042 until all changes are presented for review. Lyn Hart made the motion, Carl Childs seconded the motion. All voting members approved.]

#### 154-155, Department of Motor Vehicles, Highway Safety Office

Corey Smith presented this new schedule. He explained the Highway Safety Office had no other existing schedule. He explained that Commercial Licensing Files (200124) document driving schools and instructors certified to provide driving instruction. The records are scanned into the Onbase System and retained for three years after a school is closed. The committee questioned whether the records in Onbase are managed with a file management cut off or if each record is a continuing file. The committee discussed the potential storage costs for the agency if files continue to accumulate in the system. Carl Childs recommended informing the agency about potential storage issues. Corey will discuss this with the agency.

**[Motion:** John Metz called for a motion to approve schedule 154-155. Lyn Hart made the motion; Jessie Graham seconded the motion. All voting members agreed. ]

#### 171-212, State Corporation Commission, Bureau of Financial Institutions

Corey Smith presented this schedule to update older records series numbers to six-digit series numbers. Corey explained the schedule needed updating to give a series number to Corporate Files and Examination Files (200120) so Imaging Services could process microfilm that has been transferred for that series.

Corey explained that Applications and Supporting Documentation (200121) are the working papers for series 200120 and retained in paper format 5 years for agency reference. Anita informed Corey that series 200120 did not have the retention statement included. Corey will include the retention statement "Permanent, in Agency" for that series.

**[Motion:** John Metz called for a motion to approve schedule 171-212 by adding "Permanent, in Agency" to the disposition for 200120 and correcting of a typo. Lyn Hart made the motion; Carl Childs seconded, and the motion. All voting members agreed.]

#### 199-001, Department of Conservation and Recreation

Anita Vannucci presented this schedule to add a new series, Nutrient Management Plans, for the Storm Water Management Division. Instead of creating a schedule for one record series, DCR schedules 199-001 (Urban Programs) and 199-003 (Storm Water Management) will be combined to create one division schedule without individual program names. Anita explained she revised odd information and retention language to refine the schedule. Paige Neal recommended changing the retention for Local Program Records – Primary Documentation (006159) from “Permanent, Archives” to “Permanent, in Agency.” Anita will change the series retention as recommended.

**[Motion:** John Metz called for a motion to approve schedule 199-001 with corrections of typo and the retention change of series 006159 to “Permanent, in Agency.” Lyn Hart made the motion; Glenn Smith seconded the motion. All voting members agreed.]

#### 222-001, Department of Professional and Occupational Regulation, Licensing

Corey Smith presented this schedule to revise the retention period for Pre-Licensure, Post-Licensure, and Continuing Education: Training Sponsor and Course Materials (100007) from 2 to 5 years because the Virginia Administrative Code changed, and to add a new series, Complaint/Claim Files: Incomplete Withdrawn, No Jurisdiction/Board Regulation (200119). Corey explained the records document closed complaints from patrons that were complete, withdrawn, or where the board had no jurisdiction over the matter. He noted that complaints that go forward are on another schedule.

**[Motion:** John Metz called for a motion to approve 222-001. Paige Neal made the motion; Jessie Graham seconded the motion. All voting members approved.]

#### 440-003, Department of Environmental Quality

Anita Vannucci presented this schedule to change many retention periods to 5 or 10 years that DEQ had designated for permanent retention when they implemented their ECM system. The agency reassessed many retention periods and the designated years required to meet their needs. The retention for Case Closures (000129) will change from “Permanent, Archives” to “Permanent, in Agency.” When asked how the retention change might affect records in this series already transferred to the Archives, Anita explained that the Archives has not received many Case Closure series, but the change could affect those records.

**[Motion:** John Metz called for a motion to approve 440-003. Carl Childs made the motion; Lyn Hart seconded the motion. All voting members approved.]

#### New Business

##### Virginia Department of Correctional Educational

Glenn Smith informed the committee that Department of Correctional Education was made obsolete under the Governor’s reform effort. Their records and schedule are now under the Department of Juvenile Justice, Division of Education. The schedule number and title changed to reflect the new structure. The new schedule number is 777-006.

##### Virginia Board for Towing and Recovery Operators

Corey Smith informed the committee this Board is closing under the Governor’s reform effort, effective January 1, 2013. Corey provided a printout indicating that the Board’s records and/or responsibilities will be divided between

the Department of Criminal Justice Services and the Office of the Attorney General. Corey informed the committee that the agency did not have a records officer or a specific retention schedule. He has contacted the Board and offered assistance with inventorying and identifying the agency's records.

Given the limited time before the agency expected to close, Corey asked the committee if there could be an electronic vote held before December, if needed to expedite approving a retention schedule. Committee members indicated that they agreed.

#### Lancaster County Commonwealth Attorney Records

John Metz informed the committee that Robert Cunningham, Lancaster's Commonwealth's Attorney elected in 2011, advise him that there is an active investigation into the records-destruction issues he had discussed with Library staff members. John expressed the thought that this could be a case study on how the Virginia Public Records Act is enforced.

#### Records Management Procedural Question

Anita asked the committee if an entire schedule should be presented when only one or two changes are proposed, in order to help answer questions that come up about related series. Jessie Graham explained the committee had previously discussed having the ability to reviewing documents projected on the screen to make the process easier. The committee decided to review projected schedules at the next meeting.

#### Adjournment

The meeting adjourned with a motion from Lyn Hart, seconded by Chris Kolbe. The next meeting will be December 13 2012 at 9:00 a.m. in Conference Room 5.041.