

Records Management Oversight Committee Meeting
Library of Virginia, Board Room
December 9, 2015

Members Present: Greg Crawford, Chris Kolbe, John Metz, Paige Neal, Corey Smith, Glenn Smith, Renee Savits, and Barbara Teague

Members Absent: Sandy Treadway

Resources: Matt Ball and Steve White

Guests: Steve Effinger and Lawrence Davis with the 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:

- 147-001, Office of the State Inspector General
- 154-143, Department of Motor Vehicles, Law Enforcement Services
- 154-152, Department of Motor Vehicles, Motor Carrier Services
- 154-153, Department of Motor Vehicles, Motor Carrier Services
- 191-010, Virginia Workers' Compensation Commission, Legacy Claims
- 191-130, Virginia Workers' Compensation Commission, Insurance
- 191-132, Virginia Workers' Compensation Commission, Criminal Injuries Compensation Fund
- 191-XXX, Virginia Workers' Compensation Commission, Current Claims
- 191-XXX, Virginia Workers' Compensation Commission, Judicial
- 200-001, Office of Children Services
- 440-008, Department of Environmental Quality, Environmental Enhancement

Agenda

Barbara Teague called the meeting to order and asked everyone to introduce themselves. Each person introduced themselves as follows: Barbara Teague, new Director of Government Records Services, John Metz, Deputy of Collections and Programs, Library of Virginia; Lawrence Davis, VDOT Agency Records Manager; Steven Effinger, Senior Records Analyst, VDOT; Corey Smith, Records Analyst, Library of Virginia; Steve White, Manager State Records Center; Glenn Smith, Records Management Analyst, Library of Virginia; Chris Kolbe, Archives Reference Coordinator; Patrice Morgan, Records Management Administrative Assistant; Greg Crawford, Local Records Program Manager, Library of Virginia; Renee Savits, State Records Archivist; Paige Neal, State Records Archivist; Matt Ball, Lead Records Storage Tech.

Teague asked if there were any changes to the agenda and called for a motion to approve the agenda. The committee did not recommend any additions or changes. Glenn Smith made the motion. Greg Crawford seconded the motion.

Minutes

Barbara Teague asked if there were any additions or corrections to the business reflected in the minutes of October 15, 2015; there were no recommendations. Teague called for a motion to approve the minutes. Corey Smith made the motion; Paige Neal seconded the motion. The committee approved the minutes.

Old Business

501-025 and 501-102, Virginia Department of Transportation, Executive Office

Teague explained that Corey Smith has been working with VDOT on their Intellectual Property Records and that the pre-ROC committee had discussed the series in detail. She asked Corey to explain additional details. Smith explained the decision made at the October meeting was to make a general schedule series for Intellectual Property Records. However, further discussion led to a conclusion that those records were submitted and approved at the federal level, so the version held by the state would be a copy. Steve Effinger explained that agency's preference is to have a specific series for the executive office and material division for copyright and patent reasons. The committee agreed with the agency need for a specific series. Additionally the committee decided to reword the description to include the receipt of the approved or signed copyright or patent information. The committee decided to assign a new number to the records series.

[Motion: Barbara Teague called for a motion to approve schedule 501-025, with the amended record series. John Metz made the motion to approve schedule; Renee Savits seconded the motion. All voting members present approved the schedule.]

147-001, Office of the State Inspector General (New Schedule)

Glenn Smith presented this schedule. He explained the schedule, created at the last meeting, is being re-visited because the records survey contained an erroneous 4-year retention period for the Internal Audit and Training Services: Training Records (200467). The retention needs to be 7 years.

[Motion: Barbara Teague called for a motion to approve the amendment to schedule 147-001. Greg Crawford made the motion; Chris Kolbe seconded the motion. All voting members present approved.]

154-143, Department of Motor Vehicles, Law Enforcement Services

Corey Smith presented this schedule. Smith explained the agency is retiring many series and making them defunct or superseded by general schedule records series. The only remaining series on the schedule is for the Virginia Uniform Summons Database.

[Motion: Barbara Teague called for a motion to approve schedule 154-143. Glenn Smith made the motion to approve schedule; Paige Neal seconded the motion. All voting members present approved the schedule.]

154-152, Department of Motor Vehicles, Motor Carrier Services and 154-153, Department of Motor Vehicles, Motor Carrier Services

Corey Smith presented these schedules. He explained the agency submitted a records survey to add a new series, International Fuels Tax Agreement (IFTA) to schedule 154-153. He discovered the division had two separate schedules, 154-152 and 153, so he recommended combining the schedules into one schedule for the entire division. The records series on 154-152, Hauling Permit Applications and Supporting Documentation, will be moving to 154-153. Schedule 154-152 will become defunct when this change is approved. He additionally explained that, where necessary, the series were updated to be Infolinx compliant.

[Motion: Barbara Teague called for a motion to approve schedule 154-153. John Metz made the motion; Renee Savits seconded the motion. All voting members present approved.]

191-010, Virginia Workers' Compensation Commission, Legacy Claims

Glenn Smith presented this schedule and explained this is an existing schedule for Claim and Opinions files that was updated one year ago and approved by the committee. At that time Workers Compensation moved into a major overhauling of their electronic records processes and did not sign the prior version. This version updates the paper Claim series and will cover the paper records stored at the State Records Center. Approximately 30,000 boxes are currently stored at the SRC at the current 75 years retention. The agency proposes to break the one Claim series into several series with retention periods of less than 75 years. The agency has an agreement with the SRC to return the currently stored records in stages so they can sort the records into the new categories and rebox or destroy the records accordingly.

[Motion: Barbara Teague called for a motion to approve schedule 191-010. Greg Crawford made the motion; Corey Smith seconded the motion. All voting members present approved.]

191-020, Virginia Workers' Compensation Commission, Current Claims

Glenn Smith presented this new schedule and explained that it is to address the electronic records the agency maintains internally. The agency needs to create a department name for this schedule to distinguish the difference of paper and electronic series in Infolinx that have the same titles in some instances. This schedule version breaks down the Claims series into how they will be electronically managed. The titles are basically record types/data elements of the electronic system and not named as we typically title records series. Glenn Smith will add a

note to Infolinx to document the unusual allowance of two schedules for record formats. The process of having two separate schedules to manage one set of records will be reassessed in the future to see if one schedule can be used to manage all records regardless of format.

[Motion: Barbara Teague called for a motion to approve schedule 191-020. Corey Smith made the motion; Greg Crawford seconded the motion. All voting members present approved. Note: John Metz was not present for this vote.]

191-130, Virginia Workers' Compensation Commission, Insurance

Glenn Smith presented this existing schedule. He explained the language was updated to be Infolinx compliant and to add records series that had not been previously scheduled.

[Motion: Barbara Teague called for a motion to approve schedule 191-130. Renee Savits made the motion; Chris Kolbe seconded the motion. All voting members present approved. Note: John Metz was not present for this vote.

191-132, Virginia Workers' Compensation Commission, Criminal Injuries Compensation Fund

Glenn Smith presented this schedule that is for Criminal Injuries Compensation Fund (CICF) files. Smith explained the Criminal Injuries Compensation Fund is housed within the VWCC, but is not a part of that agency. Any CICF claims that require such are adjudicated by the Commission. The retention for the series was increased to 100 years from 25 based on agency need and reasoning.

[Motion: Barbara Teague called for a motion to approve schedule 191-132. Corey Smith made the motion; Paige Neal seconded the motion. All voting members present approved. Note: John Metz was not present for this vote.]

191-040, Virginia Workers' Compensation Commission, Judicial

Glenn Smith presented this schedule for the department that handles birth-related neurological-injury claims. These records are currently mixed in with the claim series covered by the first schedule presented, 191-010. This creates a series for claims handled by that department.

[Motion: Barbara Teague called for a motion to approve schedule 191-040. John Metz made the motion; Corey Smith seconded the motion. All voting members present approved.]

200-001, Office of Children Services

Corey Smith presented this schedule and explained that the office is an administrative arm of a larger council. The office oversees a state-funded program that provides programs for at risk youth. The Comprehensive Services Act name was changed to the Children Services Act this past July and the Code update prompted the agency to update the series. The one series,

Utilization Review Charts and Reports was updated with the Code change and Infolinx-compliant wording. The retention did not change.

[Motion: Barbara Teague called for a motion to approve schedule 200-001. Glenn Smith made the motion; Paige Neal seconded the motion. All voting members present approved.]

440-008, Department of Environmental Quality, Environmental Enhancement

Glenn Smith presented this proposed update to an existing schedule. Two new series were added for the Environmental Enhancement Program. The existing series were updated with Infolinx compliant language and series descriptions were improved.

[Motion: Barbara Teague called for a motion to approve schedule 440-008. John Metz made the motion; Chris Kolbe seconded the motion. All voting members present approved.]

New Business

The committee did not have any new business on the agenda. Barbara Teague announced the next meeting is February 11, 2016. Glenn Smith will send a calendar meeting invitation of next year's meeting schedule to the committee.

Adjournment

The meeting adjourned with a motion from Greg Crawford, seconded by John Metz. The next meeting will be held in the Library Board Room, 2M.