

Records Management Oversight Committee Meeting
Library of Virginia, Conference Room 5.041
August 9, 2012

Members Present: Greg Crawford, Carl Childs, Jessie Graham, , Chris Kolbe, John Metz, Craig Moore, Corey Smith, Glenn Smith, Sandy Treadway , Anita Vannucci

Members Absent: Lyn Hart, Paige Neal

Resources and Guests: Matt Ball, Bethany Wolfe

Purpose

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

- 238-001, Virginia Museum of Fine Arts
- 440-012, Department of Environmental Quality, Renewable Energy Program
- 501-027, Virginia Department of Transportation, Programming Division
- GS-02, County and Municipal Governments, Fiscal Records
- GS-03/GS-103, County and municipal Governments/State Agencies, Personnel Records
- GS-102, State Agencies, Fiscal Records

Agenda

John Metz called the Records Management Oversight Committee (ROC) meeting to order and asked if there were any amendments to the agenda. There being none, Carl Childs moved to approve the agenda. Greg Crawford seconded the motion. The committee approved the agenda as submitted.

Overview of Schedule Formatting

Glenn Smith explained the schedules would now be presented to the committee in an Excel document instead of a Word document, but the formatting needs to be worked out. He explained the Excel format contains all the fields that would be in the printed schedule. The grayed fields in the sheet are items that will be defunct and red items are new series. He asked the committee for feedback to develop a format that works best for the group. Jessie Graham recommended including gridlines to make it easier to read, justifying or centering the text to line up the text, using the same language, and ordering the field names the same way. Anita Vannucci recommended using a projector to review the schedules for future meetings. The analysts agreed to use gridlines, to left justify text and use a template, to make sure the field names are uniform and to use the same schedule language.

Minutes

John Metz asked if there were any questions, changes or recommendations for the minutes of June 14, 2012. [Lyn Hart provided grammatical changes by e-mail prior to the meeting.] Carl Childs moved for approval, seconded by Greg Crawford. The committee approved the minutes as presented.

Old Business

GS-19 FOIA Code reference, (2.2-3700 to 3714), for Series 010049

Anita confirmed that the FOIA code referenced in this series is correct.

E-mail Caucus on GS-19 changes

[Motion: John Metz called for a motion that the changes reflected through the e-mail caucus on GS-19 were acceptable. Carl Childs moved, seconded by Glenn Smith.]

238-001, Virginia Museum of Fine Arts

Anita Vannucci presented this schedule to revise the records series for Loan Files (000533) into two series, Loan Files Approved (009130) and Loan Files – Denied (009131). Anita explained the agency had series for the approved and denied loans on a previous schedule version but had made them defunct. The agency decided to activate those series but changed the retention for the approved series to 10 years from permanent and changed the retention for the denied loans to permanent instead of 3 years. The denied records are being kept permanently to document why a loan was not approved.

[**Motion:** John Metz called for a motion to approve 238-001 with the amendment to series 005. Jessie Graham made the motion; Corey Smith seconded the motion. All voting members approved.]

440-012, Department of Environmental Quality, Renewable Energy Program

Anita Vannucci presented this schedule for a new DEQ program, Renewable Energy. The records are for Small Renewable Projects.

[**Motion:** John Metz called for a motion to approve 440-012. Carl made the motion; Greg Crawford seconded the motion. All voting members approved.]

501-027, Virginia Department of Transportation, Programming Division

Corey Smith presented this schedule. He explained the agency would be using a series on another schedule to cover Federal/Fiscal Project Files (003097) so this series is defunct. He explained the retention for Six-Year Improvement Plan – Final (003098) was changed from permanent to 5 years because programming staff determined the records do not need to be kept permanently. He explained that the Six-Year Improvement Plan – Tentative (003099) will be defunct and the agency will use the draft series on GS-101 for those files. Additionally, the Six-year Improvement Plans District Work Folder (003101) retention changed from 5 years to 1 year based on internal business practices.

Anita Vannucci asked if the agency would be destroying records before the plans end since the agency decided to retain the six-year plan records for 5 years. The committee discussed the retention could be based on annual update of the plan or based on a specific cut off such as completion or a final action. The committee discussed whether to defer the schedule. Corey will talk with the agency to determine how they manage the plans to determine if the retention meets the agency's needs.

[**Motion:** John Metz called for a motion to defer this schedule. Greg Crawford made the motion; Carl Childs seconded the motion. All voting members agreed. The committee deferred this schedule to the next meeting.]

GS-02, County and Municipal Governments, Fiscal Records

Anita Vannucci presented this schedule and explained GS-2 and GS-102 have similar changes. The changes simplify the Payroll records series to make them easier to understand. There were eleven series documenting very specific type of payroll records. Now one generic payroll series covers various types of payroll records and eliminates the tedious task of breaking out records. She explained she heard from state agencies as well that it is just not possible for agencies to track series so finitely for records maintained electronically. The updated series descriptions include more meaningful language and specific examples of the record types within the series. Additionally, the series in gray on the draft were made defunct and rolled into another series if needed and some dispositions changed from non-confidential to confidential.

Anita explained she sent the schedule out for comment and received feedback from localities that the revision was easier. There were some comments that retentions needed to be increased for audit purposes, and she did increase those. John Metz asked if the feedback is documented somewhere, especially for the upcoming work with the mandate reform commission. Additionally Metz asked if it would be advisable to record who commented so there is a record of agency and locality involvement in changes made. The committee decided the information needed to be kept and the analysts will determine where that information will reside.

[Motion: John Metz called for a motion to approve GS-2 with the consolidated payroll series. Greg Crawford made the motion; Carl Childs seconded the motion. All voting members approved.]

GS-102, State Agencies, Fiscal Records

Anita Vannucci presented this schedule and explained the changes are similar to proposed changes for GS-02 changes, but there are state records and requirements that localities do not have. She explained most series are matched on both schedules but there were a few items on the state schedule that were not on the local. She added new series or examples, where needed, in each schedule for items that seemed to be missing or needed. She explained redundant series were consolidated, eliminated state system names in case names change and incorporated report specific names as examples based on feedback.

[Motion: John Metz called for a motion to approve GS-102 where Anita consolidated series as she did with GS-02. Carl Childs made the motion; Craig Moore seconded the motion. All voting members approved.]

GS-03/GS-103, County and Municipal Governments/State Agencies, Personnel Records

Anita Vannucci presented these schedules to clean up the Workers Compensations series. The series was included on the personnel and the fiscal schedule; the series on the personnel schedule is being eliminated. The series will remain on the fiscal schedules for localities and state agencies.

[Motion: John Metz called for a motion to approve GS-03 and GS-103. Glenn Smith made the motion; Carl Childs seconded the motion. All voting members approved.]

New Business

John Metz informed the committee that he, Anita and Jan Hathcock attended the Governor's Reform Commission meeting. At that meeting, the Library agreed to lead a task force with VACO and VML to review retention periods and schedules. A select group of agency and locality representatives would be invited to serve on a committee and to address and determine problems or onerous requirements.

John explained Jan had a good perspective to post the minutes to show a record of why schedules are changed and that this would make the process more open and perhaps alleviate some concerns.

Adjournment

The meeting was adjourned. The next meeting will be held October 11, 2012 at 9:00 a.m. in Conference Room 5.041.

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