

Records Management Oversight Committee Meeting
Library of Virginia, Conference Room 5.041
December 13, 2012

Members Present: Carl Childs, Greg Crawford, Chris Kolbe, Paige Neal, Corey Smith, Glenn Smith, and Anita Vannucci

Members Absent: Jessie Graham, Lyn Hart, John Metz, Craig Moore, and Sandy Treadway

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

Resources absent: Susan Gray Page, LVA Information Technology Department

Purpose

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

- 111-002, Supreme Court, Clerk
- 129-042, Department of Human Resource Management, Office of Employee Dispute Resolution
- 141-048, Office of the Attorney General
- 440-004, Department of Environmental Quality, Division of Land Protection and Revitalization
- 501-008, Virginia Department of Transportation, Construction Division (cross reference)
- 501-023, Virginia Department of Transportation, Local Assistance Division (cross reference)
- 501-027, Virginia Department of Transportation, Programming Division
- 507-001, Board of Towing and Recovery Operators (Electronic vote ratification)
- 999-001, Virginia Department of Alcoholic Beverage Control, Enforcement, Field Ops
- 999-006, Virginia Department of Alcoholic Beverage Control, Purchasing and Support
- GS-8, County and Municipal Governments, Sheriffs and Jails
- GS-19, County and Municipal Governments, Administrative Records
- GS-21, County and Municipal Governments, Public School Records

Agenda

Carl Childs chaired the meeting in John Metz's absence and called the meeting to order. The committee discussed whether the fifth floor conference room is adequate size to accommodate the group since using projection equipment to review the schedules decreases the amount of space available. The committee decided to talk with John Thielbar about reserving the LVA Board room. Childs asked if there were any changes to the agenda. Committee members did not recommend any changes. Childs called for the motion to approve the agenda as presented. Glenn Smith made the motion; Paige Neal seconded that motion. The agenda was approved.

Minutes

Carl Childs asked if there were any questions, changes, or recommendations for the minutes of October 11, 2012. Lyn Hart provided grammatical changes prior to the meeting. Anita Vannucci moved for approval, seconded by Paige Neal. The committee approved the minutes as amended.

Old Business

The committee did not have any old business.

111-002, Supreme Court of Virginia

Glenn Smith presented this schedule and explained that Ended Cases is a new series created for two series being made defunct and combined as the new series. Glenn explained that the language of some previously defunct series was changed to clarify what those series contained because the information was not accurate. Carl Childs asked about the significance of the dates 1933-1949 for the Appellant Petitions (100408). Glenn explained that neither he nor staff currently at the agency could determine the relevance of the dates. Therefore, they decided to leave the dates because some of those records are in the Archives. The committee discussed if “permanent, agency” or “permanent, archives” is the appropriate retention for the Appellant Petitions records and if any of those records had been transferred. Paige Neal will check for transferred records.

The proposed Pre-ROC changes were to Ended Cases, Original Jurisdiction Files – Without Trial Court Records (100410), Refused Cases (100412), Bound Supreme Court Briefs and Appendices (100409), Original Jurisdiction and SCC Cases - With Trial Court (100411).

[Motion: Carl Childs made the motion to approve schedule 111-002. The schedule was approved.]

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

Corey Smith presented this schedule again, because not all proposed changes were included on the draft reviewed previously. He explained that *Retaliation Investigation Files* is the new series. Corey explained the cutoff event “after investigation closed” was approved for this series at the last meeting but the old cutoff event “after end of calendar year” is still on the draft. He will make the approved change on the finalized version.

The proposed Pre-ROC changes were to Advice Log (015135), G-Form Database (015136), Hearing Log (015141), Mediation Log – No personal Identifying Information (015145), Medication Log – Personally Identifying Information (015146), Ruling Log (015148), Training Log (015149), Local Grievance Procedure Approval Files (015142), Workforce Transition Act Files (015150), AdviceLine Notes (015134), Grievance Ruling Files (151137), and Hearing Case Files (015139) records.

[Motion: Carl Childs called for the motion to approve schedule 129-042 with the discussed change. Paige Neal made the motion. Anita Vannucci seconded the motion, and the schedule was approved.]

141-048, Office of the Attorney General

Anita Vannucci presented this schedule. Anita explained there were two retention statement changes, one proposed by the agency for Antitrust and Consumer Records (005734), the other to update an older dual retention statement for Criminal Litigation Case Files – High Profile (005738) that is not Infolinx compliant. Anita explained the dual retention allowed 50 years retention in the SRC then transfer to Archives and that the agency will no longer be able to transfer 005738 to the SRC when the retention is changed. She explained this schedule was approved in 2006, before cutoff events were required. Infolinx arbitrarily assigned cutoff events, so those events were updated to cutoffs that are more meaningful. Additional language was updated to the current schedule style. The committee discussed *Official Opinions of the Attorney General (005745)* and decided to change the retention from “Permanent, In Agency” to “Permanent, Archives.”

The proposed Pre-ROC changes were to Agency advice (00533), Antitrust Consumer Records (005734), Capital Litigation Case Files (005735), Correctional Litigation Complex Advice (005736), Correctional Litigation – Routine

Advice (005737), Criminal Litigation Case Files (High Profile) (005738), Criminal Litigation Case Files Routine (005739), Historical Litigation and Claims (005740), Informal and Conflict of Interest Opinions) (005741), Litigation and Claims (005742), Medicaid Fraud Case Files (005743), Medicaid Fraud – Unfounded Case File (005744), Official Opinions of the Attorney General (005745): Private Foundation Returns (005746).

[Motion: Carl Childs called for the motion to approve schedule 141-048 with the change on series 005745 to permanent, in archives. Glenn Smith made the motion. Paige Neal seconded the motion, and the schedule was approved.]

440-004, Department of Environmental Quality, Division of Land Protection and Revitalization

Anita Vannucci presented this schedule to revise cutoff events and a retention statement.

The proposed Pre-ROC changes were to Landfill Gas Monitoring Data and Correspondence (200087) and Permitting Documents (200088).

[Motion: Carl Childs called for a motion to approve 440-004. Paige Neal made the motion; Corey Smith seconded, and the schedule was approved.]

501-027, Virginia Department of Transportation, 501-008, Virginia Department of Transportation Construction Division, 501-023, Virginia Department of Transportation, Local Assistance

Corey Smith presented these schedules as a group. He explained many of the records series on schedule 501-027 would be moving to schedules 501-008 and 501-023. He explained that only two records would remain on schedule 501-027, that the condition for approving schedule 501-027 would be that changes to 501-008 and 501-023 be made ready by VDOT to be presented to the committee in February 2013, and that he discussed this with the agency.

The proposed Pre-ROC changes were that Six-Year Improvement Program – Final (003098) and Six Year Improvement Program – District Work Folder (003101) records remain on schedule 501-027. PPMS Project File (003103), Program/Project Management System (PPMS (003104), PPMS Project Index Report (003105), PPMS Training: User Records (003107) and PPMS Training Course Development (003113) records will become defunct and not superseded. Federal Fiscal Project File (003097), Six Year Improvement Program Tentative (003099), Six Improvement Program Project File (003100), Six Year Improvement Plan: Allocation Hearings (003102), Transportation Enhancement Program Applications: Approved (003108), Transportation Enhancement Program Applications Not Approved (003109), Advertisement Schedule (003110), Advertisement Schedule Meeting Report (003111), Advertisement Schedule Monthly Progress Report (003112) and Transportation Enhancement Program: Project File (003114) records will be superseded or moved to other schedules .

The committee determined that the series moving to schedule 501-008 and 501-023 would remain pending until the committee reviews the schedules in February. Corey will inform the agency that records series moving to the other schedules are pending series that cannot be used.

[Motion: Carl Childs called for a motion to approve 501-027 on the condition outlined that all series moving to other schedules are pending until approved. Glenn Smith made the motion, Paige Neal seconded, and the motion was approved.]

507-001, Virginia Board of Towing and Recovery Operators

Carl Childs explained that the committee needed to ratify the affirmative electronic votes made on December 4, 2012 by nine of the twelve committee members to approve this schedule.

[Motion: Carl Childs called for the ratification of the electronic approval of 501-007, and the ratification was approved.]

999-001, Virginia Department of Alcoholic Beverage Control, Enforcement, Fields Ops

Glenn Smith presented this schedule to revise it to the current format. He explained that the scheduled was approved in 1992, that the information was not entered into the GAIN system, and the one series on this schedule is still active.

The proposed Pre-ROC change was updating the Violation Reports records series.

[Motion: Carl Childs called for a motion to approve 999-001. Anita Vannucci made the motion, Paige Neal seconded, and the schedule was approved.]

999-006, Virginia Department of Alcoholic Beverage Control, Purchasing and Support

Glenn Smith presented the schedule, and explained that it was approved December 17, 1991, but was never revised to conform to the GAIN Standard. He explained that ABC determined that GS-108 series 012273 and 012279 adequately cover the four records series on this schedule.

The proposed Pre-ROC change was to make defunct After Hours and Visitor Registers, Contract Carrier Records, Contract Carrier Records, Employee Identification Records and Security Logs and Security Logs, but there will be no record of this in Infolinx.

[Motion: Carl Childs called for a motion to approve 999-006 records series as defunct. Anita Vannucci made the motion, Paige Neal seconded, and the schedule was approved.]

GS-8, County and Municipal Governments, Sheriff and Jail Records

Glenn Smith presented the schedule to add a series, Compensation Board Certification Program. He explained he worked with staff of the Caroline County Sheriff's office to create the series and explained that office has those records dating back to 2001.

The proposed Pre-ROC change was to add Compensation Board Certification Program records to GS-08.

[Motion: Carl Childs called for a motion to approve the series for GS-8. Anita Vannucci made the motion, Paige Neal seconded, and the schedule was approved.]

GS-19, County and Municipal Governments, Administrative Records

Glenn Smith presented this schedule to add a new series to GS-19, Industrial and Economic Development Authority records. The committee discussed the series and decided to revise the records series description to "This series may include, but is not limited to:" instead of the phrase "This series consists of," as recommended by Anita Vannucci.

The proposed Pre-ROC change was to add Industrial/Economic and Development Authority to GS-19.

[**Motion:** Carl Childs called for a motion to approve GS-19. Corey Smith made the motion, Paige Neal seconded, and the schedule was approved.]

GS-21, County and Municipal Governments, Public School Records

Anita Vannucci presented this schedule to revise records series as proposed by Pre-ROC.

The proposed Pre-ROC changes were to revise Governor's School Nominee/Recipient Records (008146) and Reports for Virginia Department of Education (008105) records series. Pre-Roc also proposed that Computer Input Documents (008137), Debt Services Payment Records (008097), Homebound Instruction Annual Report (008102), Media Presentation Materials (008188), Media Presentation Materials (008189), Publications individual Schools(008159), School Tuition Records: Out of District Students(008114), Superintendent's Legal Opinion File (008118), Teacher Licensure Records (008120) and Video Duplication Requests (008190) become defunct as they are superseded by other series.

[**Motion:** Carl Childs called for a motion to approve GS-21. Glenn Smith made the motion, Paige Neal seconded, and the schedule was approved.]

New Business

General Schedule Update Plan

The committee received a GS Update Plan in the meeting information. Anita explained the analysts created a systematic plan to review and update the schedules. Each analyst will work on four schedules per year and, with the addition of two new analysts, all state and local schedules should be reviewed by 2015. Anita explained the factors considered for generating the update plan were what schedules received the most questions or concerns, the age of the schedules, and the amount of review time needed for focus groups. Carl Childs asked how many of the schedules would require a focus group and how that work would be accomplished. Anita explained this would vary by schedule, and would depend on how diverse the groups needed to be, and whether the groups would meet in person or electronically.

The update plan outlined that General Schedules 5, 17, 18, 22, 28, and 30 will be presented in April 2013; Generals Schedules 6, 8, 106, 111, 120 and GS-XXX (Law Enforcement, new) will be presented in October 2013; and, GS-3, GS-12 and GS-103 will be presented in April 2014.

State Records Center Box Contract

Glenn Smith asked for a status update on the box contract. Steve White explained the contract is up for grabs but he thinks they are close to sorting out the contract. Steve White and Matt Ball discussed details of the renewal process over the past two years.

Records Management Oversight Committee Membership

Carl explained Chris Kolbe will be rotating off the committee after this meeting and thanked him for his service this past year.

Adjournment

The meeting adjourned with a motion from Paige Neal seconded by Anita Vannucci. The next meeting will be February 14, 2013 at 9:00 a.m. in Conference Room 5.041, subject to change to the Board Room.