

Records Management Oversight Committee Meeting
Library of Virginia, Conference Room 5.041
June 14, 2012

Members Present: Greg Crawford, Carl Childs, Jessie Graham, Lyn Hart, Chris Kolbe, John Metz, Craig Moore, Paige Neal, Corey Smith, Anita Vannucci

Members Absent: Glenn Smith, Sandy Treadway

Resources and Guests: Matt Ball, Steve White, Sue Woo

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, Lyn Hart moved to approve the agenda. Steve White seconded the motion. The committee approved the agenda as submitted.

Minutes

John Metz asked if there were any questions, changes or recommendations for the minutes of April 12, 2012. There were no changes offered. Lyn Hart moved for approval, seconded by Steve White. The committee approved the minutes as presented.

Purpose

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

- GS-04, County and Municipal Governments, County, City and Town Administration Records
- GS-19, County and Municipal Governments, Administrative Records

GS-04, County and Municipal Governments, County, City and Town Administration Records

Anita presented this schedule and requested that GS-04 and GS-19 be reviewed together. She explained that many questions are received from people who do not understand the differences between GS-04 and GS-19, especially Board of Supervisors' and County Administrators' offices. Anita explained those offices should use both schedules, but there is duplication of series on the schedules. She explained that this revision eliminates duplicate series by making one of the duplicate series defunct, and that this revision eliminates any non-records.

She explained one duplicate series is Agendas and Supporting Documentation Files (GS-4, 010001 and GS-19, 010024). She explained the proposed disposition language complies with the Infolinx disposition formatting. Additionally, Anita explained the two disposition options in Infolinx for permanent records are "permanent, in agency" and "permanent, archives" but there is not an option for "may be offered to Archives." Therefore, Archives needs to use permanent, Archives for records they want offered. The committee discussed if there could be push back when Archives declined to accept records scheduled as permanent Archives. The committee discussed the need to use the phrase judiciously by including it on items definitely wanted, by reviewing items before using that designation, and by communicating that records designated "permanent, in agency" may be offered to Archives.

The committee discussed or revised the following series.

- Agenda and Supporting Documentation Files (010001): this series was proposed to become defunct because GS-19 (010024) is the same series.
- Annexation/Consolidation File (01002): the committee decided to move this series to GS-19 with no revisions.
- Annual Disclosure of Economic Interest (010008): the committee decided to move this series to GS-19 with no revisions.
- Case Files (010003): this series was proposed to become defunct because Legal Case File, GS-04 (010012) covers this series.
- Citizen Complaint Files (010004): the committee decided to move this series to GS-19 with no revisions.
- Citizen Petitions (010005): the committee decided to move this series to GS-19 with no revisions.
- Correspondence/Subject Files – City Manager/County Administrator (010006): the committee decided to move this series to GS-19 with no revisions.
- Deeds and Property Files (010007): the committee decided to move this series to GS-19 with no revisions.
- Electromagnetic Recordings of Meeting Held via Electronic Medium (010009) and Electromagnetic Records, Stenographic Notes or Working Drafts of Meetings – Meetings (non-electronic, 010000): These series were proposed to become defunct because they are covered by series Board, Conference, and Committee Recordings; GS-19 (010032 and 010031). Paige Neal explained there are questions constantly about the recordings. She asked how to handle this since the series are being eliminated. Anita explained the decision was made to eliminate them because Pre-ROC determined that the recordings are part of workflow and are non-records. Anita explained the recordings could be destroyed because the finalized minutes are the record. The committee discussed other records series that covered the series and the fact that it was not clear anywhere that those recordings could be destroyed. Anita explained the recordings amount to drafts, so the committee decided to include an additional sentence in the records series description for Drafts on GS-19.
- Index to Minutes (010011): the committee decided to make this series defunct and decided to add language to the description of minutes (010029) that describes that the indices are included.
- Legal Case Files (010012): the committee decided to consolidate this series with Litigation Case Files (010061) on GS-19. The committee discussed the difference between the terminologies legal and litigation and the differences in the retention statement for the series 010012 and 010061. The committee decided that the title and retention statement of series 010061 should reflect the language from the GS-4 series.
- Local History Files (010013): the series was proposed to become defunct because it is covered by GS-19 (010064).
- Minutes (010014): the committee decided this series should become defunct since there are minute series on GS-19, 010029 and 010030.
- Oaths of Office – Copies (010015): this series was proposed to become defunct because it is a non-record.
- Oaths of Office – Originals (010016): this series was proposed to become defunct because it is covered on GS-12, (010523).
- Ordinances and Resolutions (010017): the committee decided to move this series to GS-19 and to change the word “locality” to “agency” to comply with correct retention terminology.
- Policy and Procedures Records – Originators Record copy (010018): the committee decided to move this series to GS-19 with no revisions.
- Proclamations (101211): the committee decided to move this series to GS-19 with no revisions.
- Public Hearings Notices (010019): the committee decided to move this series to GS-19 with no revisions.
- Sewer Project Files (010020): the committee decided to move this series to GS-6, Public Works.

In light of all the above changes and the few series remaining on GS-4 Anita recommended making GS-4 defunct and moving the remaining series to GS19. Committee members expressed agreement. Carl Childs asked if the concern to combine the schedules is because there are series specific to the three governing boards. Jessie explained a county official could be confused if they are not able to distinguish series specific to that office and asked if localities are allowed to use other schedules. Anita explained localities are free to use all schedules, that schedule usage is not monitored, localities self-monitor usage by what is needed specifically. The committee decided to combine GS-4

with GS-19, and to add language to the series descriptions of the records series used specifically by board and councils.

[**Motion:** John Metz called for a motion to approve General Schedule 04 as amended, which means that after the relevant series are moved to General Schedule 19, GS 04, as a result, will be made defunct. Lyn Hart so moved; Carl Childs seconded. All voting members present approved. This approval is contingent on an e-mail caucus to confirm changes.]

GS-19, County and Municipal Governments, Administrative Records

Anita explained that specific changes to GS-19 are similar to the changes on GS-4, in that all series in gray are being made defunct. The committee decided to make the following changes.

- All Correspondence/Subject Files (100891, 100892, 100893, 010037, 010038, and 010039): pages 4-5: John Metz recommended removing “physical” from the records series descriptions to make the description more general and inclusive. Committee members agreed.
- Drafts, (XXXXXX): Language will be added to the records series description to include Electromagnetic Recordings of Meetings as noted in the above GS-4 changes, “This includes recordings used to transcribe minutes.”
- Freedom of Information Act (FOIA) (010049): the committee decided to add language to the records series description to show that Privacy Act: Information Request and Response (010080) records are included in this records series. Anita will check the FOIA Code to be sure it is accurate.
- Litigation Case Files (010061): The committee decided during the discussion of Legal Case Files (010012) on GS-4, that the title of this records series would be changed to Legal Cases Files to reflect the combined series from GS-4. The retention period was revised to 10 years; the method of destruction was revised to “confidential destruction.”
- Minutes: ~~Board, Commission, Conference and Committee Minutes- Other Boards~~ **Entity** Having Enforcement, Regulatory, or Decision Powers (010029): the committee revised the records series description to show that Indexes to Minutes (010011) are now included in this series as discussed on GS-4 above.
- Office Relocation Records Storage (010115): Anita explained this series is used by localities when they are moving. She proposed this series become defunct because offices should use the appropriate retention schedule to identify records series. Matt explained the same series is on GS-101 and Anita explained that this series would be eliminated as well, if the committee agrees to make the series defunct
- . Committee members recommended changing the series retention period to a maximum of one year and making this an internal process instead of including the series on a records schedule. Carl Childs explained using retention series for this could result in going against dispositions such as “keep in the agency.” Carl Childs explained that the series was used by a locality fifteen years ago to store original deed books until they had completed quality control and that project had not been completed. Additionally, Carl explained that two renewals were approved for that locality, and the issue might result from the Library not charging enough for the service. Greg Crawford expressed that this should be covered by a contract or agreement with the agency for storage and not covered by a records retention schedule. The committee discussed inability to items if items are not entered into the system, and the need to develop a tracking system for those items. John Metz informed the committee that he and Steve White had discussed beginning the process to identify records currently in the records center under this series number and then to contact the agencies regarding the status. Metz explained one way to deal with the records in the future is to increase the renewal price. The committee decided to make this series defunct. Anita will make the identical series on GS-101 defunct as well.
- Policy and Procedures Records: ~~Other~~, 010078: the committee decided to make this series defunct and replace it with Policy and Procedures Records- Originator’s Records Copy (010018) moved from GS-4.
- Privacy Act: Information Request and Response Records (010080): , Anita explained the series no longer reflects the meaning of the Code section, §2.2-3800, which had been Government Data Collection and

Dissemination Act that covers collecting social security numbers and protecting that information. The committee discussed what the Privacy series might be used to document. The committee decided to roll this series in with FOIA as discussed above; this series was made defunct.

- Privacy Act: Requests to Amend Personal Information (010081): the committee decided that these records are correspondence and fit into one of the correspondence series on GS-19; as a result, this series was made defunct.
- *ARC-1 Archival Transfer List and Receipt Form*: Anita explained that this series was previously approved but was not included on the schedule. She will add that records series.

[Motion: John Metz called for a motion to approve GS-19 as discussed or amended in ROC, specifically making two privacy act series defunct, incorporating the first series into the FOIA series (which will be verified by Anita) and rolling the second privacy act series into the correspondence series; eliminating the word physical from the correspondence series (specifically 100892, 100893, 10037, 10038, 10039); adding the series related to archival transfers on the appropriate page; incorporating the following series from GS-4: annexation files; annual disclosure of economic interest; citizen complaints; citizen petitions; correspondence/subject files: city manager, county administrator; deed and property files; ordinance and resolutions; policy/procedures – originator’s copy; and proclamations and public hearing notices series. Lyn Hart moved to approve the schedule; Steve White seconded the motion. All voting members present approved. The schedule was approved pending review of the updated schedule by e-mail.] [Note: The committee took a five-minute break.]

[Motion: John Metz called for a motion to approve GS-101 with the amendment to series 005. Lyn Hart made the motion; Steve White seconded the motion. All voting members approved.]

New Business

202-005, Library of Virginia, Center for the Book, 202-052, Library of Virginia, Library Development and Networking, Computer Center

Anita Vannucci informed the committee that Bethany Wolfe, LVA Records Officer, is working on updating the library’s schedules and has contacted division directors. Bethany has identified that schedules 202-005 and 202-052 are no longer used. The Center for the Book has been moved to the Virginia Foundation for Humanity and LDND is no longer using the series for Backup tapes, OCLC-MARC Subscription Tapes, Problem Documentation (bug reports) Vendor Statewide Library Database Tapes). Anita explained that the series are being made defunct.

[Motion: John Metz called for a motion to make schedules 202-005 and 202-052 defunct. Steve White made the motion; Carl Childs seconded the motion. All voting members approved.]

Adjournment

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