

Records Management Oversight Committee Meeting
Library of Virginia, Board Room
June 18, 2015

Members Present: Chris Kolbe, Paige Neal, John Metz, Renee Savits, Corey Smith, Glenn Smith, and Sandy Treadway

Members Absent: Greg Crawford

Resources: Matt Ball and Roger Christman [Absent: Steve White and Sue Woo]

Guests: Gladys Butler, Lawrence Davis, Steven Effinger, Deborah Gardner and Maya Khouri, Virginia Department of Transportation (VDOT) staff members

Purpose

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

- 166-001, Office of the Secretary of the Commonwealth
- 301-211, Department of Agriculture and Consumer Services, Animal and Food Industry Services
- 501-033, Virginia Department of Transportation, Financial Planning and Debt Management Division
- 501-034 and 501-003 (District), Virginia Department of Transportation, Transportation and Mobility Planning
- 501-078, Virginia Department of Transportation, External Audit
- GS-19 and GS-101, County and Municipal Governments, Administrative Records, All State Agencies, Administrative Records

Agenda

John Metz called the meeting to order. Metz welcomed the team from VDOT, thanked them for taking the opportunity to come and see how the process works and invited them to ask questions when needed at any point.

Metz asked committee members if there were any questions, comments, or additions to the agenda. Glenn Smith added a new business item for discussion—managing electronic records that are automatically destroyed. John Metz called for a motion to approve the revised agenda. Glenn Smith moved to approve the agenda; Paige Neal seconded the motion. The agenda was approved.

Minutes

John Metz asked if there were any additions or corrections to the business reflected in the minutes of April 13, 2015; there were no recommendations. Metz called for a motion to

approve the minutes. Paige Neal made the motion; Renee Savits seconded the motion. The committee approved the minutes.

166-001, Office of the Secretary of the Commonwealth

Glenn Smith presented this schedule and Roger Christman provided information as a resources member. Smith explained changes to the schedule were adding a series for Judicial Appointments and adding new series to make the schedule consistent with the other Secretariat schedules. Smith explained there had been two series for "Pardon Files" and "Pardon Files-Denied." The agency rolled those series into one new series "Pardon Files." The series will be assigned a new record series number. Christman explained there was a restriction change on restoration of rights and clemency files based on legal advice. The records are no longer restricted for 75 years. They are open, but the records need to be reviewed and redacted per this change.

[**Motion:** John Metz called for a motion to approve the schedule 166-001 as amended. Renee Savits made the motion to approve schedule; Paige Neal seconded the motion. All voting members present approved the schedule.]

301-211, Virginia Department of Agriculture and Consumer Services, Animal and Food Industry Services

Corey Smith presented this schedule. He explained this schedule is the last in the series of updated schedules presented on behalf of the agency. The update reflects current retention language and agency business processes.

[**Motion:** John Metz called for a motion to approve schedule 301-211. Glenn Smith made the motion; Sandy Treadway seconded the motion. All voting members present approved.]

Old Business

Virginia Department of Transportation, Schedule 501-010

John Metz explained that at the last meeting the committee had questions or concerns about this schedule and that Corey would provide documentation to the committee that answered those questions. Metz asked Corey to explain the circumstances involved. Corey explained that the schedule revision involved combining a district schedule with the central office schedule for Traffic Engineering, 501-010, which means the district schedule will become defunct. He explained the committee questioned using supporting documentation as a standalone document type. Therefore, the committee provisionally approved the schedule pending the answers needed. He explained that Steve Effinger provided explanations in an e-mail message provided to committee members today.

Metz asked if there were any questions or comment on the information provided in response to what the committee requested. There were no comments or questions.

[Motion: John Metz called for a motion to formally approve the schedule 501-010. Glenn Smith made the motion to approve schedule; Paige Neal seconded the motion. All voting members present approved the schedule.]

501-033, Virginia Department of Transportation, Financial Planning and Debt Management Division

Corey Smith presented this schedule. Smith explained VDOT staff is reviewing and revising schedules. Staff has located replacement series on General Schedules that they can use to replace the record series on this schedule. All series on 501-033 will be made defunct.

[Motion: John Metz called for a motion to approve the schedule 501-033. Sandy Treadway made the motion to approve schedule; Renee Savits seconded the motion. All voting members present approved the schedule.]

501-034 Virginia Department of Transportation, Transportation and Mobility Planning and 501-003, Virginia Department of Transportation, District

Corey Smith presented this schedule. Smith explained this is another instance where district level records series on 501-003 are being combined into a Central Office Schedule, 501-034. Changes were made to make series Infolinx compliant and any duplicate series are being eliminated or replaced by general schedule series. The district level schedule will become defunct with approval of moved series.

The guests and committee discussed Infolinx formatting, Infolinx compliant wording, retention-trigger wording limitations and concerns with fitting series into the limited selections and the need to discuss using more specific triggers. Additionally, the group discussed that all available triggers are not currently included on the RM-19 due to system limitations, addressing the need to include additional triggers on the list, and evaluating replacing less used triggers with needed ones.

[Motion: John Metz called for a motion to approve the schedule 501-034. Glenn Smith made the motion to approve schedule; Paige Neal seconded the motion. All voting members present approved the schedule.]

501-078, Virginia Department of Transportation, External Audit

Corey Smith presented this schedule and explained that the entire schedule will be made defunct. The agency has found equivalent series on general schedules to replace the current series.

[Motion: John Metz called for a motion to approve the schedule 501-078 as presented. Renee Savits made the motion to approve the schedule; Chris Kolbe seconded the motion. All voting members present approved the schedule.]

GS-19, County and Municipal Governments Administrative Records, GS-101, All State Agencies, Administrative Records

Glenn Smith presented these schedules. Smith explained three series are being added to each schedule; the series mirror each other on the state and local general schedule; one schedule will be used for discussion, but each schedule needed to be approved. Glenn explained there are two new series for the E-Rate program. The series document communication technology discounts offered through the program to schools and libraries. These series were created to cover records created in compliance with the Federal Communication Commission ruling that requires a 5-year retention for records created prior to July 1, 2015 and a 10-year retention for records created after that time. The pre-July 2015 series will eventually become defunct when retention of records series has expired. Glenn explained the additional series, Service Recognition Program records, was created because of Steve Effinger's diligent, but unfruitful, search of the general schedules for a replacement series for a VDOT human resources record, and a call from a locality with a need to cover the same type of series that did not exist on a local general schedule.

[**Motion:** John Metz called for a motion to approve General Schedule 19 and GS-101. Renee Savits made the motion to approve schedule; Paige Neal seconded the motion. All voting members present approved the schedule.]

New Business

Destruction Reporting Overhaul

Glenn Smith gave an update to the committee on the project to change destruction reporting.

Managing E-Records that are Automatically Destroyed

Glenn explained many records exist in a digital format with the destruction programmed into system operation. Many records are dropped or destroyed daily once they have reached the system time limit. Additionally, Smith explained the problem for us is this type of digital records destruction falls outside of the required records destruction approval procedures in the Virginia Public Records Act. Glenn explained a method is needed to document this type of destruction. The committee also discussed digital record litigation holds.

Adjournment

The meeting adjourned with a motion from Glenn Smith, seconded by Chris Kolbe. The next meeting will be August 13, 2015 at 9:00 a.m. in the Library Board Room, 2M.