

Records Management Oversight Committee Meeting  
Library of Virginia, Virtual via Zoom  
September 09, 2021

### Purpose

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

- 171-040, State Corporation Commission, Bureau of Insurance - Life and Health - Forms and Rates
- 191-010, Workers' Compensation Commission, Legacy Claims
- 191-020, Workers' Compensation Commission, Current Claims
- 701-100, Department of Corrections, All Correctional Institutions

### Introduction of Members and Guests

Committee members met virtually via Zoom. Kathy Jordan called the meeting to order at 9:09 a.m.

#### Members Present:

Kathy Jordan, Director of Digital Initiatives and Web Presence, Interim Director of Government Records Services, and Interim State Archivist  
Emeline Alexander, Records Management Analyst  
Deloris Bailey, Records Management Analyst  
Greg Crawford, Local Records Program Manager  
Tracy Harter, Senior Local Records Archivist  
Chad Owen, Records Management Coordinator  
Katie Ray, Records Management Analyst  
Renee Savits, State Records Archivist  
Glenn Smith, Records Management Analyst  
Dawn Tinnell, Senior Records Archivist

Members Absent: None

Resources: Patrice Morgan, Government Records Administrative Assistant

Guests: Riley O'Brien, Department of Corrections, Records Administrator

### Agenda

Kathy Jordan asked if there were any changes or amendments to the draft agenda. There being none, the agenda was approved as presented.

### Minutes of Prior Meeting

Kathy Jordan asked for a motion to approve the minutes of the June 10, 2021 meeting. Chad Owen so moved and Emeline Alexander seconded. There was no discussion and the motion carried.

### Old Business

None

### 171-040, State Corporation Commission, Bureau of Insurance- Life and Health - Forms and Rates

Katie Ray presented this schedule. Insurance companies have to submit their policies, rules, rates, and forms to the Bureau of Insurance (within the State Corporation Commission) for review and approval. The updates to the series title and description will expand the scope to cover both domestic and foreign filings, and in addition to insurance companies, the series will cover rate service organizations and residual market facilities.

There were no comments or questions about this change.

**[Motion:** Kathy Jordan called for a motion to approve schedule 171-040. Chad Owen so moved, Tracy Harter seconded, and the motion carried.]

### 191-010, Workers' Compensation Commission, Legacy Claims, and 191-020, Workers' Compensation Commission, Current Claims

Katie also presented these schedules, explaining that the WCC requested a retention change for the "Claims: No Action" series in both of them. These are records of injuries that occurred, but for which no claim was filed. They would like to extend the retention from 10 to 25 years, because they have found that these cases frequently have to be reopened after the 10-year mark.

The schedules for Claims are a bit unorthodox because they are separate schedules for legacy (paper) and current (electronic) records. This is because the commission has been working on a long-term project to sort through thousands of boxes of paper claims records stored at the State Records Center. They advocated for temporarily having two separate schedules in 2015 to make managing the records during this project less confusing.

There were no comments or questions about the changes.

**[Motion:** Kathy Jordan called for a motion to approve schedule 191-010 and 191-020. Chad Owen so moved, Glenn Smith seconded, and the motion carried.]

### 701-100, Department of Corrections, All Correctional Institutions

Glenn Smith presented the overhaul of this schedule, which currently contains eighty-three series. Eighteen series are proposed for addition. Sixty-six series will be made defunct and superseded by series on this schedule (40), the *Incarceration History* series on DOC's 701-502, Central Criminal

Records schedule (15), as well as General Schedule series (11). Three series will be made defunct and not superseded. This Department-level schedule will be renamed to *Institutions: Operations/Programs*.

**[Motion:** Kathy Jordan called for a motion to approve schedule 701-100. Chad Owen so moved, Tracy Harter seconded, and the motion carried.]

### New Business

#### Retention Schedule Cover Page

Katie Ray led this discussion, presenting a revised version of the cover page, under which all future records retention and disposition schedules will be placed. The Department of Behavioral Health and Developmental Services requested clarification on what certain retention cutoff events mean. Records Management staff decided to add a clarification to paragraph 9, and at the same time, update the other paragraphs, as needed. Katie explained that the updates better align the text with current records management practices and remove the process references to the previous paper version of the RM-3. Glenn Smith explained the pre-1913 date in paragraph 4 was revised to 1912 to accurately reflect the *Code of Virginia* [§ 42.1-86.1](#).

**[Motion:** Kathy Jordan called for a motion to approve revisions to the cover page. Glenn Smith so moved, Chad Owen seconded. There was no discussion, and the motion carried.]

#### Removing Repealed Code Citation from GS-120

Emeline Alexander explained that Ben Smith with the University of Virginia Medical Center informed her about the repeal of the Code citation included in Patient Medical/Dental Records: Adult (012504) and Patient Medical/Dental Records: Minors (012503). She advised the Committee that the citations have been removed from those series.

#### Records Management Survey

Chad Owen informed the Committee that a survey was being sent out to Record Officers via VA-ROL this afternoon. The survey was created to ascertain the response to the new electronic RM-3 process and solicit feedback for improving the form, as well as gauge interest in training for the upcoming year.

### Adjournment

Kathy called for a motion to adjourn the meeting. Glenn Smith so moved, Chad Owen seconded, and the motion carried. The meeting adjourned at 9:25 a.m. The next meeting is December 9, 2021.