

Records Management Oversight Committee Meeting
Library of Virginia, Board Room
June 13, 2024

Purpose

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

- 171-042, State Corporation Commission (Insurance – Financial Regulation)
- 171-097, State Corporation Commission (Insurance – Financial Examination)
- 181-001, Labor and Industry, Department of
- 182-160, Employment Commission, Virginia (Economic Information and Analytics)
- 182-161, Employment Commission, Virginia (Workforce Services)
- 327-001, Workforce Development and Advancement, Department of (Economic Information and Analytics)
- 327-002, Workforce Development and Advancement, Department of (Workforce Services)
- 501-011, Transportation, Virginia Department of (Materials)
- GS-21, All Localities, Public School Records
- GS-106, All State Agencies, General Services Records
- GS-120, All State Agencies, Health Records

Introduction of Members and Guests

Greg Crawford called the meeting to order.

Members Present:

Vince Brooks, Local Records Program Manger
Greg Crawford, State Archivist and Government Records Services Director
Emily Johnson, Records Management Analyst
Chad Owen, Records Management Section Manager
Renee Savits, State Records Archivist
Glenn Smith, Records Management Analyst
Teshawna Threat, Records Management Analyst
Dawn Tinnell, Reference Services Senior Archivist

Members Absent: Eddie Woodward, Local Records Archivist

Resources: Patrice Morgan, Administrative Assistant

Guests: Maria Shellman, State Records Archivist

Agenda

Greg Crawford called for a motion to approve the agenda. Chad Owen so moved, seconded by Glenn Smith, and the motion carried.

Minutes of Prior Meeting

Greg asked if there were any questions or changes for the minutes. Hearing none, he called for a motion to approve the March 28,, 2023, minutes as presented. Teshawna Threat so moved, seconded by Dawn Tinnell. The minutes were approved.

Old Business

None.

171-042, State Corporation Commission, Insurance – Financial Regulation; 171-097 State Corporation Insurance – Financial Examination

Emily Johnson presented this schedule. This is an existing agency specific schedule containing twenty records series. The changes were requested by the agency to update language and titles, consolidate schedules, and revise retention periods. The changes proposed are as follows:

Two (2) new Series: 009249 Examination Work Papers will be transferred from agency specific schedule 171-097 to 171-042. Company Files: Foreign will be added to 171-042.

Twenty (20) requests for updates to Titles and/or Descriptions: 005023 Annual Audited Financial Statements – Domestic will be Annual Audited Financial Statements: Domestic. 005024 Annual Audited Financial Statements - Foreign and Alien will be Annual Audited Financial Statements: Foreign and Alien. 005025 Annual Financial Statements – Domestic will be Annual Financial Statements: Domestic. 005026 Annual Financial Statements - Foreign and Alien will be Annual Financial Statements: Foreign and Alien. 005028 Case Inquiries – Open will be Case Inquiries. 005030 Continuing Care Retirement Communities - Disclosure Statements will be Continuing Care Retirement Communities: Disclosure Statements. 005035 Permanent Files for Active Companies will be Company Files: Domestic. 005037 Reports of Examinations – Domestic will be Reports of Examinations: Domestic. 005038 Reports of Examinations - Foreign and Alien will be Reports of Examinations: Foreign and Alien. 005588 Group Self Insurance Associations (GSIA) - Indemnity Agreements will be Group Self Insurance Associations (GSIA): Indemnity Agreements. Every series has received a description update to comply with language standards.

Nine (9) requests for retention/cutoff updates: 005023 Annual Audited Financial Statements – Domestic/Annual Audited Financial Statements: Domestic retention – 20 years to 10; cutoff - after end of calendar year to after receipt. 005024 Annual Audited Financial Statements - Foreign and Alien/Annual Audited Financial Statements: Foreign and Alien cutoff - after end of calendar year to after receipt. 005025 Annual Financial Statements – Domestic/Annual Financial Statements: Domestic retention – 20 years to 10; cutoff - after end of calendar year to after receipt. 005028

Case Inquiries – Open/Case Inquiries retention – permanent to 10 years. 005588 Group Self Insurance Associations (GSIA) - Indemnity Agreements/Group Self Insurance Associations (GSIA): Indemnity Agreements retention – 20 years to 10. 005031 Holding Company Filings retention – 20 years to 10. 005039 Risked Based Capital (RBC) Reports retention – 20 years to 5. 005040 Schedule of Securities on Deposit with State Treasurer retention - 3 years to 2. 005122 Valuations of Legal Reserves retention – 1 years to 2.

One (1) request for Defunct, Superseded status: 005032 Inactive Company Files and Closed Case Inquiries superseded by 005028, 005035, and Company Files: Foreign.

One (1) request for Defunct, Not Superseded status: 005033 License Files.

Other Notes: Agency specific schedule 171-097 will be made defunct upon the transfer of its only series, 009249 Examination Work Papers.

[**Motion:** Greg Crawford called for a motion to approve changes to schedules 171-042 and 171-097. Chad Owen so moved, Teshawna Threat seconded, and the motion carried.]

181-001, Department of Labor and Industry; 182-160, Virginia Employment Commission-Economic Information and Analytics; 182-161, Virginia Employment Commission – Workforce Services; 327-001; 327-001, Department of Workforce Development and Advancement -(Economic Information and Analytics; 327-002. Department of Workforce Development and Advancement – Workforce Services

Glenn Smith presented this schedule. The Department of Workforce Development and Advancement (DWDA), created by legislation in the 2023 General Assembly, has been working under the fiscal umbrella of the Virginia Employment Commission (VEC) since last year, and will be transitioning to independent fiscal status July 1, 2024. Two VEC work units will be moving under DWDA, therefore the associated records and retention schedules will likewise transition. The changes proposed are as follows:

Proposed New Schedules: Department of Workforce Development and Advancement: 327-001, Economic Information and Analytics and 327-002, Workforce Services.

Existing schedules subject to this proposed update: Virginia Employment Commission: 182-160, Economic Information and Analytics and 182-161, Workforce Services. Department of Labor and Industry: 181-001, Agency-wide

Agency Transitions: The DOLI 181-001 schedule will move to DWDA's 327-002, Workforce Services. The Registered Apprenticeship Program that is currently under the Department of Labor and Industry (DOLI) will transition to DWDA. Two series Apprenticeship Program: Apprenticeship Program Files, 100433 and Apprenticeship Program: Apprenticeship Status, 100435 are transferring to the new agency with no proposed changes at this time. VEC 182-160 Economic Information and Analytics will be become DWDA 327-001, Economic Information and Analytics. VEC 182-161 Workforce Services will become DWDA 327-002, Workforce Services.

[**Motion:** Greg Crawford called for a motion to approve updates and changes to schedules 181-001, 182-160, 182-161, 327-001 and 327-002. Glenn Smith additionally motioned to add the transition of two Apprenticeship program series from DOLI to 327-002 workforce services. Dawn Tinnell so moved, Emily Johnson seconded, and the motion carried.]

501-011, Department of Transportation

Teshawna Threat presented this schedule. This is an existing agency specific schedule containing sixty-six records series. The changes were requested by the agency to allow for such records to be used for research purposes for future studies in addition to minimizing physical records by facilitating a digitization of their public records. The changes proposed are as follows:

Three (3) requests for updates to Titles and/or Descriptions: 002402 Independent Assurance Sampling (IAS) Comparison – Description updated. 002394 Laboratory Notebook: Final – Change to Materials Notebook: Final. 002914 New Products Committee: Special Products Evaluation List (SPEL) – Change to New Products Committee: New Products Evaluation List (NPEL).

Fourteen (14) requests for updates to Retention: 002875 Accreditation for Materials Laboratories – 5 years After Creation to 0 Years after superseded, obsolete, or rescinded. 002348 Aggregate and Cement Hopper Scale Calibration – 1 Year after calendar year to 0 Years after superseded, obsolete, or rescinded. 002464 Borrow Pit File – 5 Years after project completion to 0 Years after no longer administratively useful. 002876 Certifications: Cement and Flyash – 5 Years after issuance to 0 Years after superseded, obsolete, or rescinded. 002376 Concrete Plants Inspections – 5 Years after project completion to 0 Years after no longer administratively useful. 002402 Independent Assurance Sampling (IAS) Comparison – 5 Years after project completion to 0 Years after no longer administratively useful. 002416 Laboratory Test worksheets – 3 Years after project completion to 0 Years after no longer administratively useful. 002418 Latex Calibration – 1 Year after project completion to 0 Years after superseded, obsolete, or rescinded. 002419 Latex Cylinder Breaks – 5 Years after project completion to 0 Years after no longer administratively useful. 002866 Material Sample Shipment Notices – 5 Years after creation to 0 Years after no longer administratively useful. 002857 Material Testing Reports – 5 Years after last action to 0 Years after no longer administratively useful. 002853 Preliminary Engineering File – 3 Years after approval to 0 Years after no longer administratively useful. 002457 Project File: Materials – 5 Years after project completion to 0 Years after no longer administratively useful. 002377 Concrete Cylinders Investigations – 2 Years after end of calendar year to 0 Years after no longer administratively useful.

No requests for Defunct, Superseded status:

One (1) request for Defunct, Not Superseded status: 02850 Project Final Estimates.

[**Motion:** Greg Crawford called for a motion to approve schedule 501-011. Chad Owen so moved, Emily Johnson seconded, and the motion carried.]

GS-21, All Localities, Public School Records

Teshawna Threat presented this schedule. This is an existing general schedule containing eighty-nine records series. The changes mandated by the General Assembly, Legislative Bill 1089 will require special education records of students with a disability who graduates from, ages out of, or otherwise leaves any public elementary or secondary school in the Commonwealth post-June 30, 2024 to be retained for 7 years after their separation. Special education records of a student with a disability who has separated prior to July 1, 2024, are not impacted by the House Bill and are to adhere to a 5-year retention after their separation.

This change results in adding 3 new records series to account for special education records for disabled students who will separate post-June 30, 2024 in addition to updating 3 series to account for special education records for disabled students who have separated prior-July 1, 2024. The changes proposed are as follows:

Three (3) new Series: Special Education Complaints, Mediation, and Due Process Hearing Records: Separated Post-June 30, 2024. Special Education Records: Separated Post-June 30, 2024. Student Cumulative File: Short-Term Documentation - Separated Post-June 30, 2024.

Three (3) updates to Titles and/or Descriptions: 008215 Special Education Complaints, Mediation, and Due Process Hearing Records change to Special Education Complaints, Mediation, and Due Process Hearing Records Separated Pre-July 1, 2024. The Series Description has been modified to incorporate the jargon specified in the Series Title change. 200683 Special Education Records change to Special Education Records: Separated Pre-July 1, 2024. The Series Description has been modified to incorporate the jargon specified in the Series Title change. 008224 Student Cumulative File: Shorter-Term Documentation change to Student Cumulative File: Short-Term Documentation: Separated Pre-July 1, 2024, The Series Description has been modified to incorporate the jargon specified in the Series Title change.

No requests for updates to Retention.

No requests for Defunct, Superseded status.

No requests for Defunct, Not Superseded status.

[**Motion:** Greg Crawford called for the motion to approve the update of General Schedule 21. Glenn Smith so moved, Chad Owen seconded, and the motion carried.]

GS-106, All State Agencies, General Services Records

Chad Owen presented this schedule. This is an existing state general schedule containing 39 records series. The changes proposed are as follows:

One (1) request for a new records series: 200816 Property Usage and Lease Agreements.

This series documents the temporary transfer of the use of agency property to another agency or the lease of agency property to private individuals or entities, including agency recommendations and Governor approvals. This series may include, but is not limited to, agreements, leases, and correspondence. Retention: 15 years after closed, Disposition Method: Confidential Destruction.

[Motion: Greg Crawford called for a motion to approve General Schedule 106. Renee Savits so moved, Teshawna Threat seconded, and the motion carried.]

GS-120, All State Agencies, Health Records

Chad Owen presented this schedule. This is an existing state general schedule containing 150 records series. The changes proposed are as follows:

One (1) request for update to cutoff event: 200343 Diagnostic Imaging and Testing Records: change cutoff event from “after end of calendar year” to “after closed.”

[Motion: Greg Crawford called for a motion to approve General Schedules 120. Glenn Smith so moved, Vince Brooks seconded, and the motion carried.]

New Business

None.

Adjournment

Greg Crawford called for a motion to adjourn. Dawn Tinnell so moved; Vince Brooks seconded. The meeting adjourned. The next meeting is tentatively scheduled for September 12, 2024.