


**RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 03
COUNTY AND MUNICIPAL GOVERNMENTS
PERSONNEL RECORDS**

The schedule on the attached page(s) is approved with agreement to follow the records retention and disposition conditions listed below:

APPROVED: 

EFFECTIVE SCHEDULE DATE: August 15, 2011

SUPERSEDES SCHEDULE DATED: March 29, 2011

PAGE 1 OF 2 PAGES

POLICIES FOR RECORDS RETENTION AND DISPOSITION

1. This schedule is continuing authority under the provisions of the Virginia Public Records Act, § 42.1-76, et seq. of the *Code of Virginia* for the retention and disposition of the records as stated on the attached page(s).
2. This schedule supersedes previously approved applicable schedules.
3. This schedule is used in conjunction with the Certificate of Records Destruction (RM-3 Form). A signed RM-3 Form must be approved by the designated records officer and on file in the agency or locality before records can be destroyed. After the records are destroyed, the original signed RM-3 Form must be sent to Library of Virginia (LVA).
4. Any records created prior to 1913 must be offered, in writing, to LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from LVA. A copy of the offer must be attached to the RM-3 Form when it is submitted to LVA.
5. All known audits and audit discrepancies regarding the listed records must be settled before the records can be destroyed.
6. All known investigations or court cases involving the listed records must be resolved before the records can be destroyed. Knowledge of subpoenas, investigations, or litigation that reasonably may involve the listed records suspends any disposal or reformatting processes until all issues are resolved.
7. The retentions and dispositions listed on the attached page(s) apply regardless of physical format, i.e., paper, microfilm, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. Microfilming must be done in accordance with 17VAC15-20-10, et seq. of the *Virginia Administrative Code*, "Standards for the Microfilming of Public Records for Archival Retention." All records must be accessible throughout their retention period in analog or digital format. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting, or migration, it is the obligation of the agency or locality to do so.
8. Custodians of records must ensure that information in confidential or privacy-protected records is protected from unauthorized disclosure through the ultimate destruction of the information. Ultimate destruction is accomplished through shredding, pulping, burning, and overwriting or physically destroying media. Deletion of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Records containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
9. Under the *Virginia Public Records Act*, § 42.1-79, LVA is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. LVA may purge select records in accordance with professional archival practices in order to ensure efficient access.
10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.



**RECORDS RETENTION AND DISPOSITION SCHEDULE
 GENERAL SCHEDULE NO. 03
 COUNTY AND MUNICIPAL GOVERNMENTS
 PERSONNEL RECORDS**

EFFECTIVE SCHEDULE DATE: August 15, 2011

SUPERSEDES SCHEDULE DATED: March 29, 2011

PAGE 2 OF 8 PAGES

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Accident/Illness Reports</u> This series documents occupational injuries and illnesses. This series may include, but is not limited to: log or summary. This series excludes sick leave reports maintained for payroll purposes.</p>	010220	Retain 5 years after accident or illness then destroy in compliance with No. 8 on the schedule cover page. 29CFR1904.33
<p><u>Affirmative Action Plans</u> This series documents an agency's affirmative action plan. 29CFR1608 et seq.</p>	010221	Retain the current and most recently expired plan then destroy all others.
<p><u>Affirmative Action Progress Reports</u> This series documents any affirmative action reports.</p>	010222	Retain 3 years after submitted then destroy.
<p><i>Defunct Series</i> <u>Americans with Disabilities Act (ADA) Records and Reports</u> This series documents compliance with or responses to complaints filed under the federal Americans with Disabilities Act.</p>	010223	Refer to records series 010226 and 010227, "Discrimination Complaints."
<p><u>Attendance Records</u> This series documents attendance at classes, meetings, and seminars for training or continuing education purposes. This series excludes attendance records maintained for payroll purposes.</p>	010224	Retain as long as administratively necessary then destroy.
<p><u>Certification/Qualification Records</u> This series documents any certification, qualification, or professional license required by employer or law for employment, continued employment, promotion, or to establish competency for a position.</p>	010225	Retain 3 years after employee departure then destroy.



**RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 03
COUNTY AND MUNICIPAL GOVERNMENTS
PERSONNEL RECORDS**

EFFECTIVE SCHEDULE DATE: August 15, 2011

SUPERSEDES SCHEDULE DATED: March 29, 2011

PAGE 3 OF 8 PAGES

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Criminal History Records</u> This series documents criminal history reports obtained for use during the hiring process. This series may include, but is not limited to: criminal background investigations, fingerprint cards, and other security records.	001762	Retain until position has been filled then destroy in compliance with No. 8 on the schedule cover page.
<u>Discrimination Complaint Case Files: Charges Filed</u> This series documents reports or case files where a charge of discrimination was filed. This series may include, but is not limited to: complaints filed under the Americans with Disabilities Act (ADA).	010226	Retain 1 year after final disposition of the charge or action then destroy in compliance with No. 8 on the schedule cover page. 29CFR1602.14
<u>Discrimination Complaint Case Files: Charges Not Filed</u> This series documents reports or case files alleging discrimination where no charges were filed. This series may include, but is not limited to: complaints filed under the Americans with Disabilities Act (ADA).	010227	Retain 1 year after case closure then destroy in compliance with No. 8 on the schedule cover page. 29CFR1602.14
<u>Drug and Alcohol Screening or Testing Records</u> This series documents the administration and results of the screening or testing of job applicants or employees for illegal drug use.	010228	Retain 3 years after administration of test then destroy in compliance with No. 8 on the schedule cover page.
<u>Educational Assistance Program</u> This series documents requests for tuition assistance and approval or denial of requests and repayment.	010229	Retain 3 years after completion, denial, repayment, removal from program or until audited, whichever is longer; then destroy.
<u>Eligibility Verification Form and Records (I-9): At Time of Separation, Employee Employed Two Years or Less</u> This series documents employer verification of any prospective employee/recruit is a U.S. citizen, resident alien, or legal immigrant eligible to work in U.S. as required by the U.S. Citizenship and Immigration Services.	010230	Retain 3 years after hire then destroy in compliance with No. 8 on the schedule cover page. 8CFR274a.2



**RECORDS RETENTION AND DISPOSITION SCHEDULE
 GENERAL SCHEDULE NO. 03
 COUNTY AND MUNICIPAL GOVERNMENTS
 PERSONNEL RECORDS**

EFFECTIVE SCHEDULE DATE: August 15, 2011

SUPERSEDES SCHEDULE DATED: March 29, 2011

PAGE 4 OF 8 PAGES

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Eligibility Verification Form and Records (I-9): At Time of Separation, Employee Employed More Than Two Years</u> This series documents employer verification of any prospective employee/recruit is a U.S. citizen, resident alien, or legal immigrant eligible to work in U.S. as required by the U.S. Citizenship and Immigration Services.</p>	200033	Retain 1 year after termination then destroy in compliance with No. 8 on the schedule cover page. 8CFR274a.2
<p><u>Employee Directories, Rosters, or Indexes</u> This series documents employees, and may include work assignments, phone numbers, or work addresses.</p>	010231	Retain until superseded, obsolete, or rescinded then destroy.
<p><u>Employee Health Records</u> This series documents any health treatment or examination given to an employee by the agency or an agent of the agency. Records may include testing for exposure to hazardous substances, treatment of on-the-job injuries by a medical professional, or documentation of long-term health risk.</p>	010232	Retain 30 years after departure of employee then destroy in compliance with No. 8 on the schedule cover page.
<p><u>Employee Personnel Files</u> This series documents an individual's employment history. This series may include, but is not limited to: name, Social Security Number, last known address, starting and ending dates of positions, beginning and ending salary, job titles, hiring, benefits, test results, professional certification, promotions, evaluations, disciplinary actions.</p>	010233	Retain 50 years after termination then destroy in compliance with No. 8 on the schedule cover page.
<p>Defunct Series <u>Employee Personnel Files: Supervisor's Copy</u> Copies of personnel records maintained by employee's supervisor.</p>	010234	Retain until departure of employee then destroy in compliance with No. 8 on the schedule cover page.



**RECORDS RETENTION AND DISPOSITION SCHEDULE
 GENERAL SCHEDULE NO. 03
 COUNTY AND MUNICIPAL GOVERNMENTS
 PERSONNEL RECORDS**

EFFECTIVE SCHEDULE DATE: August 15, 2011

SUPERSEDES SCHEDULE DATED: March 29, 2011

PAGE 5 OF 8 PAGES

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Equal Employment Opportunity Commission Records and Reports (EEOC)</u> This series documents compliance with the Equal Employment Opportunity Commission (EEOC). This series may include, but is not limited to: records or reports.</p>	010236	Retain 3 years after resolution of any associated personnel issues then destroy in compliance with No. 8 on the schedule cover page. 29CFR1602.30
<p><u>Exit Interview Files</u> This series documents the interview of employees prior to their departure from an agency.</p>	010237	Retain 3 years after termination then destroy in compliance with No. 8 on the schedule cover page.
<p><u>Grievance Records and Reports</u> This series documents the proceedings of an employee grievance. This series may include, but is not limited to: initial complaint, actions, investigation, summary, and disposition.</p>	010238	Retain 3 years after closure then destroy in compliance with No. 8 on the schedule cover page.
<p><u>Health Certificates: Employees</u> This series documents an employee's ability to perform a specific task, function, or job, or verifying that employee's health meets requirements set by employer.</p>	010239	Retain 3 years after employee departs position requiring certificate then destroy in compliance with No. 8 on the schedule cover page.
<p><u>Incident Reports</u> This series documents the occurrence of an incident and any subsequent investigation involving employees or facilities of an agency as well as the public at large which has reasonable possibility of legal consequences in the future.</p>	010240	Retain 5 years after incident report filed then destroy.
<p><i>Defunct Series</i> <u>Leave Records</u> This series documents the accrual of different types of absences from work or official leave and its subsequent use by an employee.</p>	010241	Refer to <i>General Records Retention and Disposition Schedule No. 02, Fiscal Records</i> for retention guidelines.



**RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 03
COUNTY AND MUNICIPAL GOVERNMENTS
PERSONNEL RECORDS**

EFFECTIVE SCHEDULE DATE: August 15, 2011

SUPERSEDES SCHEDULE DATED: March 29, 2011

PAGE 7 OF 8 PAGES

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Promotion/Demotion, Layoff, Termination, or Tenure Records</u> This series documents the selection or non-selection of an employee for promotion, demotion, layoff, termination, or tenure.	010248	Retain 2 years after action then destroy in compliance with No. 8 on the schedule cover page. 29CFR1602.31
<u>Recruitment, Hiring, Interview, and Selection Records</u> This series documents the process of recruiting, selecting, hiring, and promoting employees. This series may include, but is not limited to: selected and rejected applicants, position descriptions, announcements and advertisements, applications, selection criteria, evaluations, and rankings.	010249	Retain 3 years after position is filled then destroy in compliance with No. 8 on the schedule cover page.
<u>Testing Records</u> This series documents tests administered for employee selection, evaluation, or promotion.	010250	Retain 3 years after test is administered then destroy in compliance with No. 8 on the schedule cover page.
<u>Training Records Not Required for Certification or Qualification</u> This series documents attendance at courses, seminars, meetings, and workshops that do not result in or lead to licensing or certification.	010251	Retain 3 years after completion of training then destroy.
<u>Unemployment Insurance Records and Reports</u> This series documents payment or denial of unemployment claims.	010252	Retain 5 years after case closure then destroy in compliance with No. 8 on the schedule cover page.
<u>Unsolicited Applications and/or Resumes</u> This series documents unsolicited applications or resumes received for which no position has been announced.	010253	Retain as long as administratively necessary then destroy in compliance with No. 8 on the schedule cover page.



**RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 03
COUNTY AND MUNICIPAL GOVERNMENTS
PERSONNEL RECORDS**

EFFECTIVE SCHEDULE DATE: August 15, 2011

SUPERSEDES SCHEDULE DATED: March 29, 2011

PAGE 8 OF 8 PAGES

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Verification of Employment Records</u> This series documents receipt of and responses to requests for verification of an individual's employment.	011152	Retain 3 years after request answered then destroy in compliance with No. 8 on the schedule cover page.
<u>Volunteer Records</u> This series documents the recruitment, selection, and work history of volunteers. This series may include, but is not limited to: application, assignments, performance, and attendance.	001763	Retain 3 years after application received or volunteer departs, whichever is longer, then destroy in compliance with No. 8 on the schedule cover page.
Defunct Series <u>Volunteer Records: Recruitment and Selection</u> This series documents the recruitment and selection of volunteer workers.	010254	Retain 3 years then destroy in compliance with No. 8 on the schedule cover page.
Defunct Series <u>Volunteer Records: Work History</u> This series documents the history of volunteers, including, but not limited to, application, assignments, performance, and attendance.	011150	Retain 3 years then destroy in compliance with No. 8 on the schedule cover page.
<u>Workers' Compensation Reports and Documentation</u> This series documents the administration of a workers' compensation program. This series may include, but is not limited to: taxes, policies, payments, or claims.	011151	Retain 5 years after closure then destroy in compliance with No. 8 on the schedule cover page.