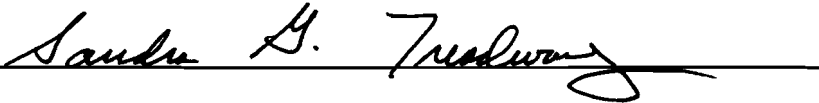


**RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 103
ALL STATE AGENCIES
PERSONNEL RECORDS**

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. 103
ALL STATE AGENCIES
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
<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.	100473	Retain 5 years after the accident or illness then destroy in compliance with No. 8 on the schedule cover page. 29CFR1904.33
<u>Affirmative Action Plans</u> This series documents an agency's affirmative action plan. 29CFR1608 et seq.	100474	Retain the current and most recently expired plan then destroy all others.
<u>Affirmative Action Progress Reports</u> This series documents any affirmative action reports.	100475	Retain 3 years after submitted then destroy.
<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.	100476	Retain as long as administratively necessary then destroy.
<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.	100477	Retain 5 years after employee departure then destroy.
<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.	002349	Retain until position has been filled then destroy in compliance with No. 8 on the schedule cover page.



RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 103
ALL STATE AGENCIES
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>Discrimination Complaint Case Files: Charges Filed</u> This series documents report or case file 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).	100478	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 report or case file alleging discrimination but no charges were filed. This series may include, but is not limited to: complaints filed under the Americans with Disabilities Act (ADA).	100479	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.	100480	Retain 3 years after administration of test then destroy in compliance with No. 8 on the schedule cover page.
<u>Education Assistance Program Records</u> This series documents requests for tuition assistance and approval or denial of requests and repayment.	100481	Retain 5 years after completion, denial, 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.	100482	Retain 3 years after hire then destroy in compliance with No. 8 on the schedule cover page. 8CFR274a.2
<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.	200034	Retain 1 year after termination then destroy in compliance with No. 8 on the schedule cover page. 8CFR274a.2



**RECORDS RETENTION AND DISPOSITION SCHEDULE
 GENERAL SCHEDULE NO. 103
 ALL STATE AGENCIES
 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>Employee Directories, Rosters, or Indexes</u> This series documents employees, and may include work assignments, phone numbers, or work addresses.</p>	100483	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>	100484	Retain 30 years after departure of employee then destroy in compliance with No. 8 on the schedule cover page.
<p><u>Employee Personnel Records: Classified/In PMIS Database</u> This series documents the employment history of classified employees listed in the Personnel Management Information System (PMIS) database maintained by the Department of Human Resources Management. This series may include, but is not limited to: hiring, benefits, test results, professional certification, promotions, performance evaluations, and disciplinary actions.</p>	012172	Retain 5 years after termination or until resolution of personnel issues, whichever is longer, then destroy in compliance with No. 8 on the schedule cover page.
<p><u>Employee Personnel Records: Classified/Not in PMIS Database</u> This series documents the employment history of classified employees not listed in PMIS database. This series may include, but is not limited to: hiring, benefits, test results, professional certification, promotions, evaluations, and disciplinary actions.</p>	100485	Retain 50 years after termination or until closure of unresolved personnel issues, whichever is longer, then destroy in compliance with No. 8 on the schedule cover page.
<p>Defunct Series <u>Employee Personnel Records – Duplicate Copies</u> This series consists of copies of employee personnel records.</p>	100487	Retain 6 months after separation then destroy in compliance with No. 8 on the schedule cover page.



RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 103
ALL STATE AGENCIES
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>Employee Personnel Records: Wage Employees</u> This series documents records of wage employees, both full-time and part-time. This series may include, but is not limited to: hiring, benefits, test results, professional certification, promotions, evaluations, and disciplinary actions.</p>	100486	Retain 5 years after separation or until closure of unresolved personnel issues then destroy in compliance with No. 8 on the schedule cover page.
<p><u>Equal Employment Opportunity Records and Reports (EEO)</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>	100488	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>	100489	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>	100490	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>	100491	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>	100492	Retain 5 years after year of incident report then destroy.



**RECORDS RETENTION AND DISPOSITION SCHEDULE
 GENERAL SCHEDULE NO. 103
 ALL STATE AGENCIES
 PERSONNEL RECORDS**

EFFECTIVE SCHEDULE DATE: August 15, 2011

SUPERSEDES SCHEDULE DATED: March 29, 2011

PAGE 6 OF 8 PAGES

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Occupational Safety and Health Administration (OSHA) Records</u> This series documents agency compliance with federal Occupational Safety and Health Administration and/or Virginia Occupational Safety and Health regulations of the Virginia Department of Labor and Industry. This series may include, but is not limited to: policy and program documentation.</p>	002350	Retain 5 years from end of calendar year then destroy in compliance with No. 8 on the schedule cover page. 29CFR1904.33
<p><u>Pay Classification Records</u> This series documents the determination of compensation for an individual, a job, or a group of jobs within the agency.</p>	100493	Retain 2 years from date of determination then destroy in compliance with No. 8 on the schedule cover page. 29CFR1602.31
<p><i>Defunct Series</i> <u>Performance Planning and Evaluation</u> This series documents the evaluation of an employee's performance.</p>	100495	Retain plan and performance evaluations in employee personnel file.
<p><u>Personnel Action Notices</u> This series documents personnel actions which effect an individual's pay, grade/band, job title, or classification. Includes changes of pay or status.</p>	100496	Retain 2 years after action then destroy in compliance with No. 8 on the schedule cover page. 29CFR1602.31
<p><i>Defunct Series</i> <u>Personnel Management Information System (PMIS) Reports</u> This series consists of information entered by an agency into the PMIS computer system maintained by the Department of Human Resource Management.</p>	100497	Retain as long as administratively useful then destroy.
<p><u>Position Classification and Description Files</u> This series documents job descriptions, task requirements for performing a job, and/or agency approval of descriptions.</p>	100498	Retain until elimination of position or as long as administratively useful then destroy.



RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 103
ALL STATE AGENCIES
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.	100499	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, copies of announcements and advertisements, applications, selection criteria, evaluations, and rankings.	012185	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.	100500	Retain 5 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 courses, seminars, meetings, and workshops attended by employees in which training is not required for licensing or certification.	100501	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.	100502	Retain 5 years after case closure then destroy in compliance with No. 8 on the schedule cover page.
<u>Unsolicited Applications and Resumes</u> This series documents unsolicited applications or resumes received for which no position has been announced.	100503	Retain as long as administratively necessary then destroy in compliance with No. 8 on the schedule cover page.
<u>Verification of Employment</u> This series documents receipt of and responses to requests for verification of an individual's employment.	100504	Retain 3 years after request answered then destroy in compliance with No. 8 on the schedule cover page.



RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 103
ALL STATE AGENCIES
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
<p><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.</p>	002351	Retain 3 years after application received or volunteer departs, whichever is longer, then destroy in compliance with No. 8 on the schedule cover page.
<p>Defunct Series <u>Volunteer Records – Recruitment and Selection</u> This series documents the recruitment and selection of volunteer workers.</p>	100505	Retain 2 years after application or selection then destroy in compliance with No. 8 on the schedule cover page.
<p>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.</p>	100506	Retain 2 years after separation then destroy in compliance with No. 8 on the schedule cover page.
<p><u>Workers' Compensation Reports and Related 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.</p>	100507	Retain 5 years after closure then destroy in compliance with No. 8 on the schedule cover page.