



Records Management: Covering the Basics

Public School Records
Consortium
March 28, 2017

Chad Owen

Records Management Coordinator



Records management is...



Managing
information. . .



So that it
may be
efficiently
accessed. . .



By the
people who
need it . . .



Without
undue
burden of
time or cost.



Why records management matters

- Protect rights of citizens
- Improve efficiency
- Reduce risk of litigation
- Ensure compliance





Office Systems Consultants, A Division of Webb Inc.

$$36'' \times 58'' =$$

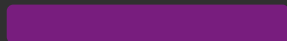
2088 sq. inches or

14.5 sq. feet

$$14.5 \text{ sq. ft} \times \\ \$20/\text{sf}/\text{month} =$$

**\$290.00
a month**

Why records management matters





Virginia Public Records Act

- Designate a records officer
- Establish and maintain a records management program
- Destroy records and report to LVA

COV § 42.1-76 et seq.





What is a public record?

... documents a
transaction or activity ...

Regardless of physical form or
characteristic ...

... is produced, collected,
received or retained in
pursuance of law or in
connection with the transaction
of public business.

COV § 42.1-77





What is not a record?

- Reference materials
- Administrative and personal correspondence
- Stationery, blank forms
- Copies





What about my e-mail?

- Manage sent and received
- Public can request
- Accessible for full retention period



Records Management

Under the authority of the Virginia Public Records Act, the Records Management section at the Library assists state and local government in ensuring that public records are maintained and available throughout their life cycle. Records Management supports the efficient and economical management of public records by publishing records retention and disposition schedules, presenting workshops, monitoring the disposal of non-permanent records, and assisting with the transfer of permanent records to the Archives.

➡ Use the [contacts](#) page to identify your agency/locality records officer and LVA records analyst.

- [Services](#) - Education/training, State Records Center, Imaging Services

➡ • [Retention Schedules](#)

- [Records Oversight Committee](#)

➡ • [Forms](#)

- [Infolinx](#)

- [Publications](#)

- [Virginia Public Records Management Manual](#) 

- [Tip Sheets](#)

- [Creating Policy and Procedures](#)

- [Electronic Records Guidelines](#)

➡ ◦ [Guide to the Virginia Public Records Act](#) 

- [Guidance](#)

- [Box Specifications](#)

- [Destruction of Records Containing Social Security Numbers](#) 

- [Disaster Planning - Emergency Pocket Response Plan \(Council of State Archivists\)](#)

- [Statement on the use of text messaging and private e-mail](#)

- [Timely Destruction of Records](#)

- [Organizations and Regulations](#)



Records Management Forms

Submit forms that are completed in full and type-written (except signatures).

[Which form do I use?](#)

Archival Transfer List and Receipt (ARC-1 Form)

- ARC-1 Preparation Instructions ([pdf](#)) ([video](#))
- Blank ARC-1 Form ([Word](#))
- Blank ARC-1 Continuation Form ([Word](#))
- Completed Sample ARC-1 ([pdf](#))

Archival Transfer Folder List (ARC-2 Form)

- ARC-2 Preparation Instructions ([pdf](#)) ([video](#))
- Blank ARC-2 Form ([Word](#))
- Blank ARC-2 Continuation Form ([Word](#))
- Completed Sample ARC-2 ([pdf](#))

Archival Microform Transfer List and Receipt (ARC-3 Form)

- ARC-3 Preparation Instructions ([pdf](#))
- Blank ARC-3 Form ([Word](#))
- Blank ARC-3 Continuation Form ([Word](#))

Certificate of Records Destruction (RM-3 Form)

- RM-3 Preparation Instructions ([pdf](#)) ([video](#))
- Volume Estimation Table ([pdf](#))
- Blank RM-3 Form ([Word](#))
- Completed Sample RM-3 ([pdf](#))

Records Center Retrieval Request (RM-18 Form)

- Blank RM-18 ([Word](#))

Records Survey (RM-19 Form)

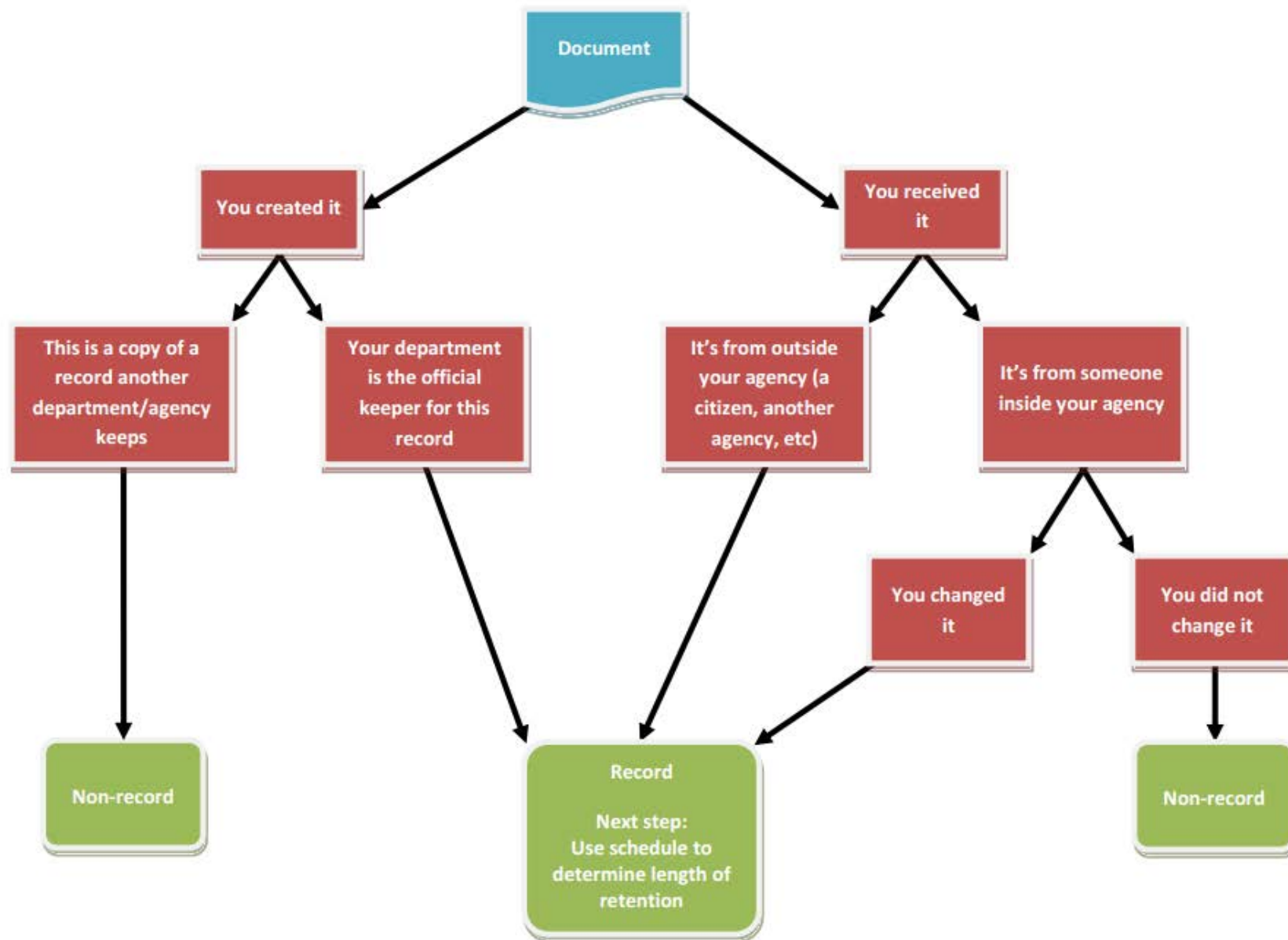
- RM-19 Description and Preparation Instructions ([pdf](#))
- Blank RM-19: Two pages ([Word](#))
- Completed Sample RM-19 ([pdf](#))

Records Locator Inventory (RM-20 Form)

- RM-20 Description and Preparation Instructions ([pdf](#))
- Blank RM-20 template ([Word](#))
- Blank RM-20 template ([Excel](#))

Records Officer Designation and Responsibilities (RM-25 Form)

- RM-25 Preparation Instructions ([pdf](#))
- Blank RM-25 Form ([Word](#))





Classifying records

General Schedule

Common records created and maintained by localities and state agencies


Specific Schedule

Records unique to an agency that reflects its responsibilities



Record Series

Related documents normally filed together



Retention Schedules

Under *Code of Virginia § 42.1-85*, the Library of Virginia (LVA) has the authority to issue regulations governing the retention and disposition of state and local public records. In keeping with the Code's mandate, LVA has developed records retention and disposition schedules outlining the disposition of public records.

Under this policy, the LVA issues two types of schedules. **General schedules** apply to the records of common functions performed by or for all localities and state agencies. **Specific schedules** apply to records that are unique to an individual state agency.

Before a state agency or locality can destroy public records:

- A [records officer](#) for your organization must be designated in writing by completing and filing a Records Officer Designation and Responsibilities (RM-25 Form) with the Library of Virginia.
- Records to be destroyed must be covered by a Library of Virginia-approved general or specific records retention and disposition schedule and the retention period for the records must have expired.
- All investigations, litigation, required audits, and Virginia Freedom of Information Act requests must be completed or fulfilled.
- The organization's designated records officer and an approving official must authorize records destruction by signing each [Certificate of Records Destruction \(RM-3 Form\)](#).

When a new schedule is approved, it supersedes all previously issued versions of the schedule.

[General Schedules for Localities](#)

[General Schedules for State Agencies](#)

[Specific Schedules for State Agencies](#)

General Schedules for State Agencies

[Searchable database for state General Schedules](#)

General Administration

GS-101, Administrative Records (June 2012)

GS-102, Fiscal Records (Aug 2012)

GS-106, General Services (Sep 2000)

GS-113, Information Technology (Mar 2009)

GS-103, Personnel Records (Aug 2012)

Specific Departments

GS-111, College and University (Dec 2013) **Complete revision**

GS-108, Fire, Safety and Security (Dec 2013) **Police series moved to GS-117**

GS-107, Food Service (May 2001)

GS-120, Health Records (May 2011)

GS-117, Law Enforcement (Dec 2013) **New schedule**

GS-109, Library and Museum (Aug 2001)

GS-104, Mailroom (Mar 2001)

GS-105, Motor Vehicle (Apr 2001)

** Recent updates are highlighted in red **



General Schedules for State Agencies

This search looks for specific terms within the current state General Schedules. From the search results you can link directly to a PDF version of the General Schedule where the series is listed. Use your browser's FIND feature or Adobe Acrobat's SEARCH feature to locate your search term specifically within the General Schedule.

[Tips for searching General Schedules](#) (video)

Important search tips:

- Any combination of characters you enter will be found exactly as you have typed them. For example, searching Series Description for **ELECT** will return any series containing the words **ELECT**, **ELECTION**, **ELECTIONS**, **ELECTRONIC**, and **SELECT**.
- The same rule applies for numbers. Searching Series Number for **123** will return any series with those three numbers in sequence, such as **101123** and **012303**.
- Be specific in your searches but try variations of the same terms to clarify your results.
- Avoid searching on terms such as record or file as these words are used in almost every series.
- You **can not** use wildcards in this search

Search by:

Schedule Number

Schedule Title

Series Title (e.g. Contract Administration Records, Legal Opinion, Minutes)

Series Number (e.g. 100621, 784, 1005)

Series Description (e.g. environment, timesheet, warehouse)

Submit

Clear

Search Results

GS-101: Administrative Records - [retention schedule pdf](#)

100305: Agendas, Schedules and Informational Documentation for Meetings

This series documents the publishing of public notices of meetings, proposed schedules, along with materials reviewed or used by the board/commission/conference. May also include other items presented to the board/commission/conference or introduced by board/commission/conference members. Does not include materials used by regulatory boards in decision making. Refer to records series 100338 and 100339 for Minutes.

Retention: Retain 3 year(s) after end of calendar year

Disposition: Non-confidential Destruction

Citation: COV 2.2-3707

012029: Freedom of Information Act (FOIA)

This series consists of responses to requests to view official records or retrieve information from official records.

Retention: Retain 3 year(s) after last action

Disposition: Non-confidential Destruction

Citation: COV 2.2-3700 to 3714

100329: Information and Public Education Records: Other Records

This series consists of public information or education campaigns and materials or items collected from various sources about the agency. Also refer to records series 100362, "Recordings, Audio and Visual."

Retention: Retain until after superseded, obsolete, or rescinded

Disposition: Non-confidential Destruction

100328: Information and Public Education Records: Pamphlets, Visual Aids, and/or News Clippings Regarding Historically Significant Events

This series consists of historically significant public information or education campaigns and materials or items about the agency, collected from public sources. Also refer to records series 100361, "Recordings, Audio and Visual," 100357, "Public Relations Files," and 100359, "Publications."

Disposition: Permanent, In Agency

100353: Privacy Act: Information Request and Response Records

This series documents receipt of requests for protected information and the response to the request.

Retention: Retain 3 year(s) after last action

Disposition: Non-confidential Destruction

Citation: COV 2.2-3800 to 3809

100354: Privacy Act: Requests to Amend Personal Information

This series documents receipt of requests to alter or amend personal information retain by agency and response to the request.

Retention: Retain 3 year(s) after last action

Disposition: Non-confidential Destruction

Citation: COV 2.2-3800 to 3809

GS-111: College and University - [retention schedule pdf](#)

101143: Registration: Disclosure of Information

This series documents receipt for requests for personal information on students, such as those made by the military, federal government, and potential employers. This series may include, but is not limited to: request and response.

Retention: Retain 3 year(s) after last action

Disposition: Confidential Destruction


GS-113: Information Technology - [retention schedule pdf](#)



- For The Public
- For Localities & State Agencies
- For Libraries & Educators

Specific Schedules for State Agencies

For information on updating Specific Schedules refer to the [Virginia Public Records Management Manual](#).

Accountancy, Board of 

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- ☐ LVA Website ☐ Catalog [\[search options\]](#)
-          



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☐ LVA Website ☐ Catalog [search options]



Home » Records Management » Sched_Specific

Specific Schedules for State Agencies

Direct questions about schedules found here to your agency [records officer](#).

For information on updating Specific Schedules refer to the [Virginia Public Records Management Manual](#).

Professional and Occupational Regulation, Dept. of ▼

Submit

Professional and Occupational Regulation, Dept. of

All Agency Schedule(s)

[222-001](#) (11/7/2012)

Department Specific Schedule(s)

[222-002](#), Branch Pilots, Board for (5/5/2000)



LIBRARY OF VIRGINIA

Archives, Records, and Collections Services
800 E. Broad St., Richmond VA 23219
(804) 692-3600

RECORDS RETENTION AND DISPOSITION SCHEDULE

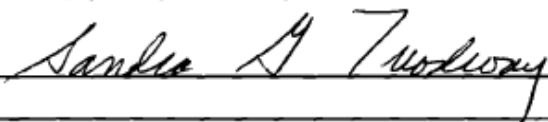
GENERAL SCHEDULE NO. GS-19

COUNTY AND MUNICIPAL GOVERNMENTS

Administrative Records

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

APPROVED:



EFFECTIVE SCHEDULE DATE: 6/19/2012

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. 16
GENERAL SERVICES RECORDS
COUNTY AND MUNICIPAL GOVERNMENTS**

← **Schedule
number & title**

EFFECTIVE SCHEDULE DATE: November 21, 2011

SUPERSEDES SCHEDULE DATED: September 18, 2005

PAGE 3 OF 20 PAGES

| RECORDS SERIES AND DESCRIPTION | SERIES NUMBER | SCHEDULED RETENTION AND DISPOSITION |
|--|---------------|---|
| <u>Automotive: Fuel Metering/Monitoring Records</u> This series documents the periodic measuring or monitoring of bulk fuels. | 005160 | Retain six months after last entry, then destroy. |
| <u>Automotive: Fuel Receipts/Tickets - Commercial Service Stations</u> This series documents the receipt of gasoline or other services at commercial gas stations, including credit card receipts. | 005161 | Retain 3 years after receipt date or until audited, whichever is greater; then destroy. |
| <u>Automotive: Fuel Receipts/Tickets - State Owned Facilities</u> This series documents the receipt of gasoline or other services from state owned facilities which are retained to verify reimbursement requests. | 005162 | Retain 3 years after receipt date, then destroy. |
| <u>Automotive: Mileage/Usage Reports</u> This series documents the completion and submission of any mileage or usage reports. | 005163 | Retain 1 year after report submission, then destroy. |
| <u>Automotive: Motor Vehicle Accident Files</u> This series documents the reporting of and/or investigation of motor vehicle accidents. | 005164 | Retain 5 years after case closure or last action, whichever is greater; then destroy. |
| <u>Automotive: Motor Vehicle Maintenance - Administrative Reports and Records</u> This series documents the administrative actions necessary to operate a maintenance facility, including maintenance related reports and other supporting records not otherwise listed on this schedule. | 005165 | Retain as long as administratively necessary, then destroy. |
| <u>Automotive: Motor Vehicle Maintenance - Consumption and Use Records</u> This series documents the daily mileage, fuel use and oil consumption of individual vehicles. | 005166 | Retain 3 years after last entry or until audited, whichever is greater; then destroy. |

Series title

Series description

Series number

Retention and disposition statement



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(804) 692-3600

RECORDS RETENTION AND DISPOSITION SCHEDULE

GENERAL SCHEDULE NO. GS-02

COUNTY AND MUNICIPAL GOVERNMENTS

Fiscal Records

← **Schedule
number &
title**

EFFECTIVE SCHEDULE DATE: 8/9/2012

| RECORD SERIES AND DESCRIPTION | SERIES NUMBER | SCHEDULED RETENTION PERIOD | DISPOSITION METHOD |
|--|---------------|---|------------------------------|
| <u>Insurance Records and Reports</u> This series documents insurance coverage carried by the locality, such as commercial policies, third-party coverage, and self-insurance programs. This series may include, but is not limited to: insurance policies, claims, invoices, and investment files. | 010165 | Retain 3 Years after end of state fiscal year | Confidential Destruction |
| <u>Payroll Records</u> This series documents the payroll activities of the locality. This series may include, but is not limited to: deduction authorizations and registers, leave records, ledgers and reports, compensation files, retirement contributions, time and attendance records, time sheets, Virginia Employment Commission (VEC) reports, wage and income tax reports, W-2 Wage and Tax Statements, and Form 1099. | 200105 | Retain 5 Years after end of state fiscal year | Confidential Destruction |
| <u>Purchasing Records</u> This series documents the purchasing of equipment, goods, services, and supplies by the locality. This series may include, but is not limited to: bids, bid proposals, contracts, agreements, purchase orders, and requisitions. | 200106 | Retain 5 Years after end of state fiscal year | Confidential Destruction |
| <u>Reimbursement Records</u> This series documents the reimbursement of money to or from the locality. This series may include, but is not limited to: travel expense reimbursement and overpayment documentation. | 010190 | Retain 3 Years after end of state fiscal year | Non-confidential Destruction |
| <u>Retirement Files: Locally Managed Retirement System</u> This series documents the locally managed retirement system. This series may include, but is not limited to: employee participating and financial documentation. | 200107 | Retain 3 Years after last action | Confidential Destruction |

← **Series title**

← **Series description**

↑ **Series number**

↑ **Retention and cutoff event**

↑ **Disposition**



Look out for...

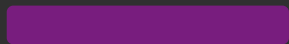
- Confidential records
- Series not identified on a schedule
- Format versus content





Benefits of using the schedules

- Identify useful lifespan of records
- Assist in off-site storage decisions
- Save space and money



LIBRARY OF VIRGINIA

Records Analysis Section
800 E. Broad St., Richmond VA 23219
(804) 692-3600

CERTIFICATE OF RECORDS DESTRUCTION

(Form RM-3 January 2013)

This form documents the destruction of public records in accordance with the *Virginia Public Records Act*, §§ 42.1-76 through 42.1-91 of the *Code of Virginia*.

SUBMIT FILLABLE FORM WITH ORIGINAL SIGNATURES

| | | |
|---|---|----------------------------------|
| 1. Agency / Locality / Regional Entity | 2. Division / Department / Section | 3. Person Completing Form |
| Library of Virginia | Human Resources | Erec D. Pfizer |
| 4. Address, City, St, & Zip | 5a. Telephone Number & Extension | 5b. E-mail Address |
| 800 E. Broad St. Richmond VA 23219-8000 | 804-555-1234 | errec.phizer@lva.virginia.gov |

6. Records to Be Destroyed

| a) Schedule and Records Series Number | b) Records Series Title | c) Date Range (mo/yr) | d) Location | e) Volume | f) Destruction Method |
|---------------------------------------|--|-----------------------|-------------|-----------|-----------------------|
| GS-103; 012185 | Hiring Records | 1/2009 - 12/2009 | locked file | 4.5 cf | Shred |
| GS-103; 100493 | Pay Classification Records | 1/2007 - 12/2007 | locked file | .5 cf | Shred |
| 220-027; 005433 | Workshop Attendance Records (Records Management) | 1/2009 - 12/2009 | | .2 cf | Recycle |
| GS-101; 012017 | Correspondence/Subject Files: Department or Division Heads; Other Correspondence | 04/2005-12/2009 | | 15 MB | Deleted |
| GS-101; 012018 | Correspondence/Subject Files: Other Officials; Other Correspondence | 04/2005 - 12/2010 | | 75.5 MB | Deleted |
| GS-102; 200113 | Payroll Records (Time Sheets) | 01/2007 - 12/2007 | Lobby Files | 2.5 cf | Shred |
| | | | | | |

DESTRUCTION APPROVALS

NOTE: Public records may not be destroyed without receiving prior authorization from the agency or locality Approving Official and Designated Records Officer.

We certify that the records listed above have been retained for the scheduled retention period, required audits have been completed, and no pending or ongoing litigation or investigation involving these records is known to exist.

| | | | | | |
|---|--------------------------------------|-----------|---|------|------------|
| 7. Approving Official (Type) | Name of Person Approving Destruction | Signature | <i>Original Signature of Approving Official</i> | Date | 01/15/2013 |
| 8. Designated Records Officer (Type) | Name of Records Officer | Signature | <i>Original Signature of Records Officer</i> | Date | 01/14/2013 |
| 9. Records Destruction Affirmed By: | Name of Person Affirming Destruction | Signature | <i>Original Signature of Person Affirming Destruction</i> | Date | 01/22/2013 |

(No attachments accepted with the original RM-3)



Documenting destruction



Complete

- Complete Certificate of Records Destruction (RM-3 Form)



Approve

- Approving official signs
- Records officer signs



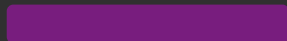
Destroy

- Destroy records
- Person affirming destruction signs



Submit

- Mail original form to LVA
- Retain agency copy for three years



HOUSING AUTHORITY | DIGGS TOWN

Friday Hampton Roads | 06.26.09 | THE VIRGINIAN-PILOT | PAGE 3

Private info found blowing in the wind

Security error leaves complex's residents vulnerable to ID theft

By Meghan Hoyer
The Virginian-Pilot

NORFOLK

Novella McRae called her neighbor Edith Jackson in a panic Wednesday, asking her to come over and look at what had been found.

"I wanted her to see it for herself," McRae said.

Jackson walked across the street and learned that confidential personal documents she filed with the Norfolk Redevelopment and Housing Au-

thority office had been blowing around the streets of the Diggs Town public housing complex where she lives.

The paperwork, which Jackson filled out to renew her apartment lease, listed her Social Security number, income, address and the amount of assistance she receives from the housing authority.

"It's unreal," Jackson said Thursday. "There's my name. There's everything about me."

She isn't the only Diggs Town resident upset this week at the security breach.

According to housing authority officials, an employee in the complex's management office threw away old

■ "It's unreal. There's my name. There's everything about me."

Edith Jackson, whose housing paperwork was found floating around in the street

financial and personal paperwork in a garbage bag. The employee was supposed to shred the data, which is the agency's policy, housing authority officials said.

Somehow, the bag was opened, Ware said. On Sunday morning, a resident handed a sheaf of the paperwork to one of the complex's mainte-

nance workers, spokesman Ed Ware said.

Papers were found as far as a block and a half past the edge of Diggs Town, at the McDonald's restaurant across Indian River Road, Ware said.

The employee who works inside the Diggs Town management office now faces disciplinary action, which will be determined today, Ware said.

"I think it was just an oversight," he said. "A serious oversight."

On Thursday, the housing authority mailed a letter to all 422 Diggs Town apartments apologizing to residents for the mistake, asking them to return documents and advising them to put fraud alerts

on their credit files.

The authority also notified the federal department of Housing and Urban Development about the security breach and reviewed proper security measures with its staff.

But for residents in Diggs Town, who say it will be a while before they know whether their identities have been stolen, that was little comfort.

"Apologies don't really go anywhere right now," Jackson said. "It's just like someone else can pick up on your life."

"They should be a little more careful."

Meghan Hoyer, (757) 446-2293,
meghan.hoyer@pilotonline.com

Former prime minister and Awami League President Sheikh Hasina was brought to the court at 10:00am. Former energy secretary Tawfique-e-Elahi Chowdhury was also produced before the court.

The defence started cross-examining third prosecution witness Abdul Halim around 11:00am after he submitted his deposition to the court.

Defence lawyer Advocate Syed Rezaur Rahman asked Halim how many tender files he had in his custody. Rezaur said, "I do not know."

Contact

All forms and schedules, as well as additional resources, available at:

www.lva.virginia.gov/agencies/records

For specific questions, contact your
designated Records Officer, and then
your assigned LVA

Records Management Analyst



Thanks for all you do!

Chad Owen
Records Management
Coordinator
Library of Virginia
chad.owen@lva.virginia.gov

