



**LIBRARY OF VIRGINIA**

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

LIBRARY OF VIRGINIA  
2012 DEC 20 PM 12 22

**RECORDS RETENTION AND DISPOSITION SCHEDULE**  
**SPECIFIC SCHEDULE NO. 129-042**  
Human Resource Management, Dept. of  
Dispute Resolution, Office of

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

AGENCY APPROVAL

AGENCY HEAD OR DEPUTY  
AGENCY RECORDS OFFICER

*Sarah H. Geller*  
*June F. Waring*

STATE APPROVAL

STATE ARCHIVIST  
COMPTROLLER OR DEPUTY

*Sandra Y. Treadway*

EFFECTIVE SCHEDULE DATE:

**JAN 16 2013**

**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.



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Human Resource Management, Dept. of  
Dispute Resolution, Office of

EFFECTIVE SCHEDULE DATE: 1/16/2013

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<p><u>AdviceLine Notes</u></p> <p>This series documents the notes taken by the Office of Employee Dispute Resolution (EDR) Consultant during an AdviceLineCall, detailing employment-related concerns of state employee, managers, and human resource representatives of the Commonwealth.</p>	015134	6 Months after event	Confidential Destruction
<p><u>Grievance Ruling Files</u></p> <p>This series documents the preparation and publication of an administrative ruling. This series may include, but is not limited to: parties' submissions, investigation documents, exhibits, consultant notes, ruling drafts, and final rulings.</p>	015137	5 Years after end of state fiscal year	Confidential Destruction
<p><u>Hearing Case Appointment Files</u></p> <p>This series documents EDR's appointment of hearing officers and administration of the appointment process for each case.</p>	015138	5 Years after end of state fiscal year	Confidential Destruction
<p><u>Hearing Case Files</u></p> <p>This series documents the grievances received by the Division of Hearings which are qualified to advance to hearing. This series may include, but is not limited to: the appointment packet, exhibits, administrative and judicial reviews, and all related correspondence</p>	015139	5 Years after end of state fiscal year	Confidential Destruction
<p><u>Hearing Officer Coordination Files</u></p> <p>This series documents a system of appointment and training of hearing officers, including correspondence, selection, evaluations, and tracking of any related training.</p>	015140	10 Years after superseded, obsolete, or rescinded	Confidential Destruction



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<p><u>Mediation Case Files - Mediated</u></p> <p>This series documents the services provided to assist state employees in resolving workplace disputes through mediation. This series may include, but is not limited to: request for services, working papers, consent and agreement forms, mediator evaluations, and correspondence.</p>	015143	5 Years after last action	Confidential Destruction
<p><u>Mediation Case Files - No Mediation</u></p> <p>This series documents the services provided to assist state employees in resolving workplace disputes through mediation. This series may include, but is not limited to: request for services, working papers, consent and agreement forms, mediator evaluations, and correspondence.</p>	015144	1 Year after end of state fiscal year	Confidential Destruction
<p><u>Retaliation Investigation Files</u></p> <p>This series documents the investigation into an allegation of retaliation for use or participation in the grievance procedure, or reporting an allegation of fraud, waste, or abuse to the State Employee Fraud, Waste and Abuse Hotline. This series may include, but is not limited to: request for an investigation, interview notes, investigation notes, correspondence, and a final report of the Office of Employee Dispute Resolution's findings. 2.2-1202.1(iii)</p>	200122	5 Years after closed	Confidential Destruction
<p><u>Rulings</u></p> <p>This series documents the final ruling of the EDR Agency Head regarding such issues as access to the grievance procedure, administrative reviews, appeal reviews, compliance, consolidation, and qualification of grievances for hearing as published/distributed by the agency regarding a grievance.</p>	015147		Permanent, In Agency