



**RECORDS RETENTION AND DISPOSITION SCHEDULE
 SPECIFIC SCHEDULE NO. 192-001
 SECRETARY OF COMMERCE AND TRADE**

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

AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY Maurice A. Jones

STATE ARCHIVIST Sandra G. Trethewey

AGENCY RECORDS OFFICER [Signature]

COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: July 9, 2014

SUPERSEDES SCHEDULE DATED: February 27, 2009

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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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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Administration Electronic Records</u> Electronic records document all aspects of the operation and decision-making processes of the Administration. Administration electronic records consist of electronic mail, calendars, word processing files, spreadsheets, and databases, in addition to digital photographs and other electronic documents created and received by the Offices of the Governor and Cabinet Secretaries.</p>		<p>Retain in accordance with the appropriate records series. Transfer of electronic records will be coordinated by the Library of Virginia and the Virginia Information Technologies Agency at the end of the Administration. Personal and private materials are non-records per the Virginia Public Records Act and should be deleted prior to transfer. See "Personal or Private Papers."</p>
<p><u>Appointment Calendars: Office of the Secretary</u> This series documents the scheduled appointments and activities of the Secretary of Commerce and Trade. This series may include, but is not limited to: electronic and paper appointment-keeping instruments.</p>	101362	<p>Retain until end of Governor's term, then transfer to the Archives, Library of Virginia for permanent retention. See "Administration Electronic Records" for electronic calendar transfer details.</p>
<p><u>Board Appointments</u> This series documents the role of the Secretary in the board appointment process. This series may contain, but is not limited to: correspondence and memorandums from the Secretary of Commerce and Trade to the Secretary of the Commonwealth regarding board appointments. This series may also be filed under 101366, "Correspondence and Supporting Documentation: Office of the Secretary."</p>	200259	<p>Retain until the end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.</p>
<p><u>Cabinet Meeting Records</u> This series documents the Secretary of Commerce and Trade's participation in Cabinet meetings. This series may include, but is not limited to: materials collected at the Governor's Cabinet meetings by the Secretary with annotations to the material made by the Secretary.</p>	009051	<p>Record copy of Cabinet meeting materials retained by the Chief of Staff, Governor's Office (series 006219, Governor's Office schedule). Retain <u>only</u> annotated materials until the end of the Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.</p>



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RECORDS SERIES AND DESCRIPTION

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Correspondence and Supporting Documentation: Assigned State Agencies

101365

Retain until end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.

This series documents communication between the Office of the Secretary and its assigned state agencies. This series may include, but is not limited to: correspondence sent and received by the office to and from state agencies assigned to the Secretariat. Files are arranged and separated by agency. Legislative files may be filed within this series or in series 101359, "Legislative Files."

Correspondence and Supporting Documentation: Constituents

009052

Retain until end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.

This series documents communication between the Office of the Secretary and constituents. This series may include, but is not limited to: incoming and outgoing correspondence, and supporting material that documents the receipt or forwarding of, or response to, constituent correspondence.

Correspondence and Supporting Documentation: Office of the Secretary

101366

Retain until end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.

This series documents all other communication of the Secretary, Deputy Secretaries, and other office personnel that is not specified elsewhere. This series may include, but is not limited to: incoming and outgoing correspondence. Legislative files may be filed within this series or in series 101359, "Legislative Files."



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RECORDS SERIES AND DESCRIPTION SERIES NUMBER SCHEDULED RETENTION AND DISPOSITION

<p><u>Decision Memoranda and Briefs</u> This series documents the history of decision briefs sent by staff to the Secretary or the Governor for approval. This series may include, but is not limited to: decision briefs and decision memoranda and supporting documentation from assigned agency heads asking the Secretary's permission to perform a major function or policy initiative within their agency. This series may also be filed under 101365, "Correspondence and Supporting Documentation: Assigned State Agencies" or 101366, "Correspondence and Supporting Documentation: Office of the Secretary."</p>	101360	Retain until the end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.
<p><u>Economic Development and Tourism Files</u> This series documents the Secretary's involvement with economic development and tourism projects, initiatives, and events. This series also documents interaction with businesses and outside economic development and tourism organizations, boards, and commissions. This series may include, but is not limited to: incoming and outgoing correspondence, project files, and supporting documentation. This series may also be filed under 101366, "Correspondence and Supporting Documentation: Office of the Secretary" or 101377, "Special Projects and Studies."</p>	101367	Retain until end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.
<p><u>Electronic Mail: Official Records</u> This series consists of any electronic mail that documents the actions of the Secretary or the Secretary's staff. This series may include, but is not limited to: both incoming and outgoing electronic mail sent or received by state-issued and private email accounts.</p>		Retain in accordance with the appropriate records series. Transfer of electronic records will be coordinated by the Library of Virginia and the Virginia Information Technologies Agency at the end of the Administration. Personal and private materials are non-records per the Virginia Public Records Act and should be deleted prior to transfer. See "Personal or Private Papers."



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<p><u>Federal Grant Funding</u> This series documents communication between the Secretary and assigned state agencies in regard to requests for and the receipt of federal grants. This series may include, but is not limited to: incoming and outgoing correspondence and supporting documentation.</p>	200260	Retain until the end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.
<p><u>Governor's Opportunity Fund Files</u> This series documents the Secretary's involvement with Governor's Opportunity Fund projects and activities. This series may include, but is not limited to: incoming and outgoing correspondence and approved Governor's Opportunity Fund listings and files.</p>	101370	Retain until end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.
<p><u>Legislative Files</u> This series documents the legislative process for bills that affect the Office of the Secretary and its assigned state agencies. This series may include, but is not limited to: legislation, notes, and supporting documentation. This series may also be filed under 101365, "Correspondence and Supporting Documentation: Assigned State Agencies" or 101366, "Correspondence and Supporting Documentation: Office of the Secretary."</p>	101359	Retain until the end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.



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Personal or Private Papers

This series includes papers of the Secretary and Secretary's staff that are not related to the conduct of the Commonwealth's official business. The series may include correspondence and notes with family or friends, personal business papers, and political organization/party papers. Records containing both public and private information are considered public records and should be retained according to the appropriate series.

Non-records per Virginia Public Records Act; disposal reporting on Certificate of Records Disposal (RM-3 form) not required. Refer to Code of Virginia, §§ 2.2-126 and 42.1-76.

Planning and Budget Files: Assigned State Agencies

This series documents the interactions between the Office of the Secretary and the Governor's staff, assigned state agencies, and the Department of Planning and Budget regarding the development and modification of the Commonwealth's budget. This series may include, but is not limited to: incoming and outgoing correspondence, budget reports, notes, and supporting documentation. This series may also be filed under 101365, "Correspondence and Supporting Documentation: Assigned State Agencies" or 101366, "Correspondence and Supporting Documentation: Office of the Secretary."

101358

Retain until the end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.

Public Relations: Activities and Visits

This series documents the preparation and planning process for public relations activities or visits sponsored or supported by the Office of the Secretary. This series may include, but is not limited to: fliers, publications, announcements, and other related material.

101357

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<p><u>Public Relations: Photographs and Speeches</u> This series documents the history of the Secretary's involvement at official functions. This series may include, but is not limited to: speeches, photographs, digital images, audio files, and video files.</p>	200261	Retain until the end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.
<p><u>Secretary's Web Site</u> This series documents the history of the Secretary's official web site. This series may include, but is not limited to: files, images and related scripts of the official site of the Office of the Secretary and other official social media platforms. Web site is maintained by the Virginia Information Technologies Agency.</p>	009054	Capture of this web site is undertaken by the Library of Virginia and/or its contracted service provider. Select web site captures are retained permanently by the Archives, Library of Virginia.
<p><u>Special Projects and Studies</u> This series documents the Office of the Secretary's interaction with and oversight of various projects and studies, including those related to Governor's initiatives, organizations, issues and topics. This series may include, but is not limited to: project files and studies. This series may be used for permanent records that are not identified elsewhere on the Secretary's schedule.</p>	101377	Retain until end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.



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Weekly Report Files 101356 Retain until the end of Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.

This series documents the weekly reporting process required of the Office of the Secretary and of its assigned state agencies. This series may include, but is not limited to: the weekly report provided to the Governor's Office, the weekly reports provided by assigned state agencies, and Cabinet reports prepared for the Governor. This series may also be filed under 101365, "Correspondence and Supporting Documentation: Assigned State Agencies" or 101366, "Correspondence and Supporting Documentation: Office of the Secretary."

Workforce Development Files 200262 Retain until the end of the Governor's term, then transfer to the Archives, Library of Virginia, for permanent retention.

This series documents the Secretary's involvement with workforce development initiatives and the Virginia Board of Workforce Development. This series may include, but is not limited to: incoming and outgoing correspondence, annotated meeting documentation, and project files.