


**RECORDS RETENTION AND DISPOSITION SCHEDULE  
 SPECIFIC SCHEDULE NO. 194-002  
 DEPARTMENT OF GENERAL SERVICES  
 DIVISION OF CONSOLIDATED LABORATORY SERVICES**

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 \_\_\_\_\_

STATE RECORDS ADMINISTRATOR \_\_\_\_\_

AGENCY RECORDS OFFICER \_\_\_\_\_

COMPTROLLER OR DEPUTY \_\_\_\_\_

EFFECTIVE SCHEDULE DATE JUN 3 2002

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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 Disposal* (Form RM-3). A signed RM-3 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 must be sent to Library of Virginia (LVA).
4. Any records created before the Constitution of 1902 came into effect (January 1, 1904) must be offered, in writing, to the LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from the LVA. A copy of the offer must be attached to the RM-3 form when it is submitted to the 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."
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. Normally, destruction of confidential or privacy-protected records will be done by shredding or pulping. "Deletion" of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Electronic records must be "wiped" clean or the storage media physically destroyed.
9. Under the *Virginia Public Records Act*, (§ 42.1-79) the Library of Virginia is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. The Library may purge select records in accordance with professional archival practices in order to ensure efficient access.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Certification: Chemistry and Reciprocal Lab Certification Records</u> This series documents the inspection and certification of laboratories that test drinking water per requirements in the Federal Safe Drinking Water Act and Virginia Health Department. Laboratories meeting requirements are issued a three-year certificate. This series includes a letter of certification, certification request, field notes, checklists, performance evaluation reports, and correspondence.</p>	100901	Retain 2 years in agency after the close of the year, then transfer to the Records Center, Library of Virginia. Retain in Records Center 5 years, then destroy. Total retention 7 years.
<p><u>Certification: Microbiology Certification</u> This series documents the inspection and certification of laboratories that test drinking water per requirements in the Federal Safe Drinking Water Act and Virginia Health Department. Laboratories meeting requirements for microbiology certification are issued a five-year certificate. This series includes a letter of certification, certification request, field notes, checklists, performance evaluation reports, and correspondence.</p>	100902	Retain 2 years in agency after the close of the year, then transfer to the Records Center, Library of Virginia. Retain in Records Center 5 years, then destroy. Total retention 7 years.
<p><u>Certification: Milk Certification</u> This series documents the inspection and certification of laboratories that perform Milk Testing per FDA guidelines. Laboratories meeting requirements for milk certification are certified for two years. This series includes a letter of certification, certification request, field notes, checklists, performance evaluation reports, and correspondence.</p>	100903	Retain 2 years in agency after the close of the year, then transfer to the Records Center, Library of Virginia. Retain in Records Center 3 years, then destroy. Total retention 5 years.



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<p><u>Commodity Testing Files</u> This series documents analyses performed on various commodities. Includes the technical data requested, tests performed, signature of person performing the evaluation, and the date.</p>	100904	Retain 2 years after year created, then destroy.
<p><u>Contract and Agreement Records</u> This series documents contractual obligations of the agency or owed to the agency.</p>		Refer to <i>General Records Retention and Disposition Schedule No. GS-101, Administrative Records, Series 100312</i> , for retention guidelines.
<p><u>Correspondence - Routine Administrative</u> This series documents the routine operation of an office. Includes routine correspondence, memoranda, notes, faxes, e-mail, and handwritten messages.</p>		Refer to <i>General Records Retention and Disposition Schedule No. GS-101, Administrative Records, Series 012019</i> , for retention guidelines.
<p><u>Electronic Records</u> This series documents information created or stored in any electronic format; records not otherwise listed on this schedule.</p>		Refer to <i>General Records Retention and Disposition Schedule No. GS-110, Electronic Records</i> for retention guidelines.
<p><u>Fiscal Records</u> This series documents the expenditure of funds, accounting for funds, routine purchases and other activities of an accounting or financial nature.</p>		Refer to <i>General Records Retention and Disposition Schedule No. GS-102, Fiscal Records</i> , for retention guidelines.
<p><u>Laboratory Container Requests: Routine Cases</u> This series documents the preparation and shipment of various kits or laboratory containers used to return samples for testing in the laboratories. The request documents the type of container, number, and to whom it is shipped.</p>	100905	Retain 2 calendar years after shipped, then destroy.



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<p><u>Laboratory Container Requests: Newborn Screening (NBS)</u> This series consists of container request forms (DGS-22-033 and DGS-22-037) documenting orders for NBS testing.</p>	100906	<p>Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 8 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 10 years.</p>
<p><u>Laboratory Records: Requiring Notarization</u> This series documents the receipt of all samples for analysis and the issuing of a report of findings. Includes laboratory procedures, analyses, QC, and worksheets associated with an analysis. Reports include a notarized Certificate of Analysis or Use/Misuse Form. (Legal Samples)</p>	100907	<p>Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 8 years, then destroy. Total retention 10 years.</p>
<p><u>Laboratory Records: Newborn Screening Reports and Test Files</u> This series documents the receipt of all samples for analysis and the issuing of a report of findings. Includes laboratory procedures, analyses, QC, worksheets, and reports associated with NBS laboratory testing and reporting. Refer to <i>Code of Virginia</i>, §42.1-79.1.</p>	100908	<p>Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 8 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 10 years.</p>
<p><u>Laboratory Records: AIHA Reports and Test Files</u> This series documents the receipt of all samples for analysis and the issuing of a report of findings. Includes laboratory procedures, analyses, QC, worksheets, and reports associated with laboratory testing and reporting regulated by the American Industrial Hygiene Association (AIHA).</p>	100909	<p>Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 8 years, then destroy. Total retention 10 years.</p>
<p><u>Laboratory Records: ABO-Rh Reports and Test Files</u> This series documents the receipt of all samples for analysis and the issuing of a report of findings. Includes laboratory procedures, analyses, QC, worksheets, and reports associated with ABO-Rh laboratory testing and reporting.</p>	100910	<p>Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 3 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 5 years.</p>



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<p><u>Laboratory Records: OSHA Reports and Test Files</u>            This series documents the receipt of all samples for analysis and the issuing of a report of findings. Includes laboratory procedures, analyses, QC, worksheets, and reports associated with laboratory testing and reporting for OSHA (Occupational Safety &amp; Health Administration)</p>	100911	Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 3 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 5 years.
<p><u>Laboratory Records: SDWA Chemistry Records</u>            This series documents the receipt of all samples for analysis and the issuing of a report of findings. Includes laboratory procedures, analyses, QC, worksheets, and reports associated with Safe Drinking Water Act (SDWA) laboratory testing and reporting. Refer to 40 CFR 141.33.</p>	100912	Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 3 years, then destroy. Total retention 5 years.
<p><u>Laboratory Records: SDWA Microbiology Records</u>            This series documents the receipt of all samples for analysis and the issuing of a report of findings. Includes laboratory procedures, analyses, QC, worksheets, and reports associated with SDWA laboratory testing and reporting.</p>	100913	Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 3 years, then destroy. Total retention 5 years, 40 CFR 141.33.
<p><u>Laboratory Records: Routine Work Audited by the EPA</u>            This series documents the receipt of all samples for analysis and the issuing of a report of findings. Includes routine laboratory procedures, analyses, QC, worksheets, and reports associated with laboratory testing. These analyses did not detect violations, will not require regulatory or legal action, and are not mandated by an MOA to be retained for a specified period of time. Records are needed for EPA certification and are audited every 3 years.</p>	100914	Retain 3 years after year created, then destroy in compliance with No. 8 on schedule cover page.



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<p><u>Laboratory Records: Routine Work Audited by the CLIA</u>            This series documents the receipt of all samples for analysis and the issuing of a report of findings. Includes routine laboratory procedures, analyses, QC, worksheets, and reports associated with laboratory testing and reporting. There is no pending legal action and no MOA requiring records to be retained for a specified period of time. Records are needed for CLIA certification and are audited every two years.</p>	100915	Retain 2 years after year created, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Laboratory Records: Routine Work Performed for State Agencies</u>            This series documents the receipt of all samples for analysis and the issuing of a report of findings for work performed for state agencies in accordance with a Memorandum of Understanding (MOU) or Memorandum of Agreement (MOA). Includes laboratory procedures, analyses, QC, worksheets, and reports.</p>	008069	Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 3 years, then destroy. Total retention 5 years.
<p><u>Logbooks: Newborn Screening (NBS)</u>            This series documents the arrival of samples for analysis and the distribution of those samples to the various laboratories. Records date when NBS samples are received by the laboratory and the numbers assigned to those samples.</p>	100916	Retain 2 years in agency, then transfer to the Records Center, Library of Virginia. Retain in Records Center 8 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 10 years.
<p><u>Logbooks: Routine Cases</u>            This series documents the arrival of samples for analysis and the distribution of those samples to the various laboratories. Records date when samples are received by the laboratory and the numbers assigned to those samples.</p>	100917	Retain as long as the associated laboratory reports and test records or as long as administratively useful, whichever is longer, then destroy.



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<p><u>Lottery Testing Files</u> This series documents the performance of various laboratory procedures and the results of product evaluations submitted by the Division of Purchases and Supply in connection to the Lottery Department's games and techniques. Includes product analysis report, technical data requested, tests performed, signature of person performing the evaluation, and the date.</p>	100918	Retain 3 years or until audited, whichever is longer, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Medical Records</u> This series documents health care services, whether physical or mental, rendered by direct or indirect patient-provider interaction which is used as a mechanism for tracking the patient's health care status. Includes those employee medical records not subject to the longer retention period stated in series 100925, "Safety Program: Employee Exposure Records. Refer to 29 CFR 1910.20 and <i>Code of Virginia</i> §42.1-79.1.</p>	100919	Retain in agency 2 years after last treatment, then transfer to the Records Center, Library of Virginia. Retain in Records Center 8 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 10 years.
<p><u>Performance Evaluation Studies</u> This series documents performance evaluation of laboratory procedures for tests involving drinking water, mandated by the SDWA. These studies are conducted four times each year. Includes copies of reports, statistical data, and correspondence.</p>	100920	Retain 6 years after certification cycle, then destroy.
<p><u>Proficiency Certificates and Licenses</u> This series consists of certificates awarded because of successful completion of proficiency evaluation studies. Licenses issued because of compliance with federal and state requirements.</p>	100921	Retain until superseded or obsolete, then destroy.



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<p><u>Quality Assurance Audit Records</u> This series documents audits of work procedures in each laboratory as part of the Division's Quality Assurance Plan. The report of findings is made to the DGS Director of Laboratories in writing and orally. Includes field notes, drafts, copies of audit reports, correspondence and memoranda.</p>	100922	Retain 2 years after year created, then destroy.
<p><u>Regulated Medical and Hazardous Waste Manifest</u> This series documents the collection, transport, and disposal of medical and hazardous waste. Refer to 40 CFR 265.74, 40 CFR 262, and <i>Virginia Administrative Code</i> 9 VAC20-120-10.</p>	100923	Retain 3 years in agency, then transfer to Records Center, Library of Virginia. Retain in Records Center 2 years, then destroy. Total retention 5 years.
<p><u>Safety Program: Hazard Communication Standard for Chemical Hygiene Plan</u> This series documents communications to employees about hazards in the workplace and how to protect oneself from those hazards.</p>	100924	Retain on-site until superseded, then destroy.
<p><u>Safety Program: Employee Exposure Records</u> This series documents the measurement and monitoring of employee exposure to hazardous substances. This includes any employee medical records that document hazardous exposures. Refer to 29 CFR 1910.20</p>	100925	Retain 30 years after separation, then destroy in compliance with No. 8 on schedule cover page.



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<p><u>Safety Program: Incident Exposure Files</u>            This series documents investigations of hazardous incidents or accidents that occur, investigations, recommendations and corrective actions taken as a result of the incident. Includes report of accident, injury, or condition, investigator's notes, hospital or physician's reports, and other documents that pertain to the investigation. Refer to 29 CFR 1910.20, 29 CFR 1910.1030, and 29CFR 1910.1450.</p>	100926	Retain 30 years after separation, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Safety Program: Internal Investigations</u>            This series documents follow-up investigations, recommendations, and corrective actions taken as a result of accidents or hazardous incidents.</p>	100927	Retain 2 years in agency after close of investigation, then transfer to the Records Center, Library of Virginia. Retain in Records Center 3 years, then destroy. Total retention 5 years.
<p><u>Safety Training Records</u>            This series documents that employee safety training is being conducted and that employees are aware of the hazards in their work place. Includes documentation of hazard training involving Bloodborne Pathogens, handling regulated medical and hazardous waste, and the Chemical Hygiene Plan.</p>	100928	Retain 2 years after year of creation, then destroy.



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<p><u>Statistical Records and Reports</u>            This series consists of statistical data related to special projects and of general concern to the Division and is used to measure laboratory performance, costs, workload, productivity, etc. Includes statistical worksheets, reference materials, correspondence, and reports.</p>	100929	Retain 2 years after creation or until no longer administratively useful, whichever is longer, then destroy.
<p><u>Technical Procedures Documentation</u>            This series documents current procedures and methods used to perform various laboratory analyses. The records are retained for reference and as evidence of maintaining current technical procedures as part of the registration process of laboratories.</p>	100930	Retain 10 years after superseded, or until laboratory tests performed by that method have been destroyed, whichever is longer, then destroy.