

**RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 232-001
DEPARTMENT OF MINORITY BUSINESS ENTERPRISE**

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

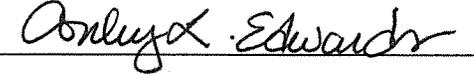
AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY



STATE RECORDS ADMINISTRATOR



AGENCY RECORDS OFFICER



COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE 06/17/2009

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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

This schedule replaces 232-001 dated 8/23/06.

Defunct Series

Business Certification Application Tracking System

This web-based application (SQL) is a reference tool for new minority business certifications and client information. Used to create vendor lists of state certified minority businesses for agencies

009306

Delete company business record when no longer needed.

Disadvantaged Business Application for Certification : Active

This series consists of the application for certification as a Disadvantaged Business Enterprise for firms seeking to bid on federally-funded state contracts. This series may include, but is not limited to: Disadvantaged Business Enterprise (DBE) applications, business documents required by Department of Minority Business Enterprise (DMBE), correspondence, and certification notices. 49CFR23 and 49CFR26.

009307

Retain until certification has been revoked, lapsed, or business has outgrown the program, then transfer to series 009308.

Disadvantaged Business Application for Certification :Inactive

This series consists of former DBE company files that have been decertified (revoked, lapsed, or outgrown the program) as a disadvantage business. This series may include, but is not limited to: DBE applications, business documents required by DMBE, correspondence, certification notice, and decertification notices. 49CFR23 and 49CFR26.

009308

Retain 1 year after decertification then destroy in compliance with No. 8 on schedule cover page.

Defunct Series

Minority Business Advocacy Files

This series consists of analyst's notes of problems and the investigation of the problem that disadvantage businesses and small, women, and minority businesses had encountered during the procurement process.

009309

Retain until investigation is complete, then destroy in compliance with No. 8 on schedule cover page.

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RECORDS SERIES AND DESCRIPTION

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SCHEDULED RETENTION AND DISPOSITION

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Defunct Series

PACE Program Activities

This series, Providing Access to Capital for Entrepreneurs (PACE), consists of applications, business documents, ownership statements, etc. PACE is a loan guarantee program for economically disadvantaged entrepreneurs. *Code of Virginia §2.2-1402.*

009310

Retain for 3 years after repayment or until audit, whichever is longer, then destroy in compliance with No. 8 on schedule cover page.

Defunct Series

Procurement Documentation – Reference

This series consists of architectural plans and building specifications that are open to bid for state and locality government buildings for minority businesses to review. Includes the RFP and other bidding documents with all updates, changes, and amendments. [Originals in Agencies]

009311

Retain as long as administratively necessary, then destroy.

SWAM Business Application for Certification : Active

This series consists of the application for state certification as a small, woman-owned, or minority-owned business for firms seeking to bid on state contracts. This series may include, but is not limited to: applications, business documents required by DMBE, correspondence, and certification notices. *Code of Virginia §2.2-1400 et seq.*

009312

Retain 6 years after initial certification then destroy in compliance with No. 8 on schedule cover page.



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SWAM Business Application for Certification :Inactive

009313

Retain 1 year after decertification then destroy in compliance with No. 8 on schedule cover page.

This series consists of SWAM files for firms that have been decertified by revocation of expiration of SWAM business status. This series may include, but is not limited to: applications, business documents required by DMBE, correspondence, certification notices, and decertification notices. *Code of Virginia §2.2-1400 et seq.*

Defunct Series

009314

Retain 1 copy permanently in agency. Transfer 1 copy to Archives, Library of Virginia. Transfer 20 copies to Government Documents Section, Library of Virginia.

SWAM Compliance Report – Annual Report

This series consists of a DMBE produced report on the Commonwealth's compliance with the award of state government contracts with SWAM businesses.

Defunct Series

009315

Retain until DMBE's Annual Report has been completed, then destroy.

SWAM Compliance Report – Quarterly Report

This series consists of a DMBE produced report on the Commonwealth's compliance with the award of state government contracts with SWAM businesses.

Defunct Series

009316

Retain until DMBE's Quarterly Report has been completed, then destroy.

SWAM Compliance Report – State Agency Input

This series consists of a required quarterly report by state agencies to show compliance with SWAM contracting requirements.



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SWAM Plans

This series consists of SWAM plans submitted by agency's and institution's as well as estimations of contract money for SWAM businesses.

009317

Retain 5 years after received by DMBE then destroy in compliance with No. 8 on schedule cover page.