



RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 409-006
MINES, MINERALS AND ENERGY, DEPARTMENT OF
ADMINISTRATION DIVISION

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

AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY *Gene Weshner*

STATE RECORDS ADMINISTRATOR *Chad Preston Huff*

AGENCY RECORDS OFFICER *Michael D Abbott*

COMPROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: SFP 12 2002

CONDITIONS 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* (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. Microfilming must be done in accordance with *Virginia Administrative Code*, §§ 17VAC15-20-10, et. seq. "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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SEP 12 2002

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| RECORDS SERIES TITLE AND DESCRIPTION | SERIES NUMBER | SCHEDULED RETENTION AND DISPOSITION |
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| Office of Financial Services | | |
| <p><u>Coal Surface Mining Reclamation Fund Records</u> This series documents payments received from mine operators for the Coal Surface Mining Reclamation Fund in lieu of a performance bond as specified in <i>Code of Virginia</i>, § 45.1-241. When fund dissolved, remaining monies will be dispersed at the direction of the Fund Advisory Board.</p> | 005134 | Retain 5 years after receipt of payment, then microfilm or scan records according to Library of Virginia's standards/guidelines; retain records in new format permanently. Transfer original camera negative to Imaging Services Branch of the Library of Virginia. Destroy originals after quality control inspection verifies information was successfully transferred to new format. Document destruction of original records after reformatting on <i>Certificate of Records Disposal</i> (RM-3 form). |
| <p><u>Federal Grant Cooperative Agreements</u> This series documents division's receipt and management of federal grants used to administer and enforce federal regulations and statutes. Refer to 30CFR735.1 through 28.</p> | 005135 | Retain 3 years after end of fiscal year in which grant closed or 3 years after submission of final expenditure report or until audited, whichever is greater; then destroy. |
| <p><u>Federal Indirect Cost Rates and Manuals</u> This series documents the standard costs charged the federal government for indirect costs expended in support of federal grants. Refer to 30CFR735.1 through 28.</p> | 005136 | Retain 3 years after expiration of grant or until audited, whichever is greater; then destroy. |
| <p><u>Financial Statements</u> This series documents the divisions's reporting of financial status to the State Comptroller. Statements include financial status, assets, liabilities, expenditures, revenues and net worth. Refer to 30CFR735.1 through 28.</p> | 005137 | Retain 3 years after report submission or until audited, whichever is greater; then destroy. |
| <p><u>Grant Status Reports</u> This series documents the monthly reporting of financial transactions and status related to federal specific grants. Refer to <i>Federal Assistance Manual</i>, § 1-43.</p> | 005138 | Retain 3 years after report submission or until audited, whichever is greater; then destroy. |



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Office of General Services

Cash Position Reports - Forfeited Bond Funds

This series documents the accounting for funds forfeited by mine operators, then deposited in a special fund for reclamation as authorized by *Code of Virginia*, §§ 45.1-247 and 248.

005139

Retain 3 years after closeout of bond forfeiture, then destroy.

Grant Recompensation

This series documents requests to the federal government for reimbursement of agency expenditures in support of federal programs. Refer to *Federal Assistance Manual*, § 1-43.

005140

Retain 3 years after request submission or until audited, whichever is greater; then destroy.

Shop Cost Transfer Detail

Federal funds from the Federal Coal Administration are used to operate the department's garage. This series documents any repair work done on vehicles used in support of either coal or non-coal related activities and documents reimbursements made to the federal government. Refer to *Federal Assistance Manual*, § 1-43.

005141

Retain 3 years after reimbursement or until audited, whichever is greater; then destroy.