



LIBRARY OF VIRGINIA

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

RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 423-001
Historic Resources, Dept. of

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 ARCHIVIST

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE:

11/10/2014

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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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Archaeological Field Notes</u> This series documents the work at various archaeological sites around the Commonwealth. This series may include, but is not limited to, excavators' notes, daily reports, feature and unit forms, maps and drawings, and photographic documentation including slides, prints, and digital images.	015275		Permanent, In Agency
<u>Archives Search Request Forms</u> This series documents requests and invoicing for Dept. of Historic Resources (DHR) Archives Searches conducted on behalf of eligible clients. This series may include, but is not limited to, Archives Search Request Forms, signed Conditions for Use of Digital and other DHR Locational Data Agreement forms, and U.S. Geological Survey (USGS) topographical quad maps.	015276	5 Years after end of calendar year	Confidential Destruction
<u>Archives Sign-In Sheets</u> This series documents DHR Archives visitation and requires that visitors to the Archives agree in writing not to misuse the locational data on historic resources. This series may include, but is not limited to, signed Conditions for Use of Digital and other DHR Locational Data forms.	015277	5 Years after end of calendar year	Non-confidential Destruction
<u>Certified Local Government (CLG) Program Files</u> This series documents the Certified Local Government grant program administered by DHR. This series may include, but is not limited to: Architectural Review Board (ARB) files, bylaws and procedures, minutes, ordinances, design guidelines, annual reports, and evaluations.	015278		Permanent, In Agency
<u>Collections Management Program: Activities Files</u> This series documents the activities of the Collections Section. This series may include, but is not limited to: State Collections Management Standards and Collections Policies, Collection Management Memoranda of Agreement (MOA), and Memoranda of Understanding (MOU).	015280		Permanent, In Agency



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<u>Collections: Inventory</u> This series documents the visual and photographic inventory of the archaeological artifact collections. This series may include, but is not limited to: archaeological, collections, and transactions databases, artifact catalog, photographs (film and digital), and deeds of gift.	015279		Permanent, In Agency
<u>Conservation Records and Reports</u> This series documents the laboratory procedures performed on objects from archaeological collections. This series may include, but is not limited to: pre-, during-, and post-treatment condition reports and images, treatment-procedures descriptions, and object-transfer documentation.	015282		Permanent, In Agency
<u>Cost Share Program Products</u> This series documents the products of the Survey and Planning Cost Share Program grants. This series may include, but is not limited to: survey reports, planning studies, design guideline documents, historic structure reports, and educational and interpretive materials such as interpretive plans, brochures, and slide presentations.	015283		Permanent, In Agency
<u>Easement Files</u> This series documents the administration of the Virginia Historic Preservation Easement Program. This series may include, but is not limited to: deeds of easement, baseline and supporting documentation (including photographs, maps, and deeds), requests for approval from property owners, inspection reports, correspondence, and any other documents related to the stewardship of properties under easement to the DHR in perpetuity.	015284		Permanent, In Agency



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<u>Highway Marker Administration Documents</u> This series documents the administration of Virginia's historical highway marker program, and the erection of each highway marker. This series may include, but is not limited to: applications, correspondence, and program process documents.	015287	3 Years after event	Non-confidential Destruction
<u>Highway Marker Program Files</u> This series documents Virginia's historical highway marker program, specifically all research on text justification. This series may include, but is not limited to: databases.	015286		Permanent, In Agency
<u>Historic Resource Survey Records</u> This series documents the survey and evaluation of archaeological sites, historic buildings, districts, objects, and structures, including resources considered or listed in the Virginia Landmarks Register and the National Register of Historic Places. This series may include but is not limited to: survey notes, photographs, drawings, maps, electronic files, published and unpublished articles, correspondence, and reports.	015288		Permanent, In Agency
<u>Section 106: Project Files Resulting in a Finding of Adverse Effect</u> This series documents federal agencies' compliance with Section 106 of the National Historic Preservation Act. This series may include, but is not limited to: project documentation, departmental responses, comments from consulting parties and members of the interested public, and formal agreements.	015291	50 Years after project completion	Confidential Destruction



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<u>Section 106: Project Files Resulting in a Finding of No Effect or No Adverse Effect</u> This series documents federal agencies' compliance with Section 106 of the National Historic Preservation Act. This series may include, but is not limited to: project documentation, Departmental responses, comments from consulting parties and members of the interested public, and formal agreements.	015292	10 Years after end of calendar year	Non-confidential Destruction
<u>Section 106: Technical Assistance</u> This series documents requests from local, state, or federal government agencies, for the Department's review of cultural resource issues not associated with an identified undertaking subject to applicable state or federal environmental laws and regulations. This series may include, but is not limited to: Departmental responses, comments from other parties or members of the interested public, and other program documentation.	015293	5 Years after end of calendar year	Non-confidential Destruction
<u>State Tax Credit Records</u> This series documents the application for state and federal historic rehabilitation tax credit. The series may include, but is not limited to: applications, photographs, architectural drawings, correspondence, and tracking databases. COV 58.1-339.2; 36CFR67.1	015296	50 Years after approval	Confidential Destruction
<u>Threatened Sites: Project Products</u> This series documents the funding of archaeological investigations into sites that are threatened with destruction and have, at a minimum, statewide significance. This series may include, but is not limited to: research material, field notes, and reports.	015298		Permanent, In Agency



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<u>Virginia Board of Historic Resources and Virginia State Review Board: Member Files</u> This series documents the membership of the Virginia Board of Historic Resources and the Virginia State Review Board, as well as each member's service information. This series may include, but is not limited to: registers and resumes.	015301	3 Years after project completion	Non-confidential Destruction
<u>Virginia Landmarks Register (VLR) and National Register of Historic Places (NRHP) Files</u> This series documents the owner of record for resources listed in the Virginia Landmark Register (VLR) and/or the National Register of Historic Places (NRHP), the legal notification process for VLR and NRHP listings; and the letters of submission that accompany the NRHP nominations to the National Park Service (NPS) for consideration by the Keeper of the National Register. This series may include, but is not limited to registers, logs, correspondence, and notarized memorandums.	015300		Permanent, In Agency