



**RECORDS RETENTION AND DISPOSITION SCHEDULE**  
**SPECIFIC SCHEDULE NO. 701-501**  
**CORRECTIONS**  
**COMMUNITY CORRECTIONS**  
**ALL UNITS**

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

AGENCY APPROVALSTATE APPROVAL

AGENCY HEAD OR DEPUTY

STATE RECORDS ADMINISTRATOR

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE OCT 18 2005

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**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 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, audio-visual, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. All reformatting must be done in accordance with The Library of Virginia Guidelines for Electronic Records and Microfilm and 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. 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>Administrative Records</u>            This series consists of records that document the common, routine functions and administration of various types of offices; records not otherwise listed on this schedule. Includes correspondence and subject files.</p>		<p>Refer to <i>General Records Retention and Disposition Schedule No. GS-101, Administrative Records</i> for retention periods.</p>
<p><u>Case Files – Non-Residential – Discharged – Original Supervising District</u>            This series documents the supervision of parolees, probationers or other offenders who do not reside in a Community Corrections facility. Records include personal data, criminal records, correspondence, staff actions, reports, correspondence and other supporting documentation. May include parolee records, probationer records, intensive supervision records, monitoring through technology records, day reporting records or drug court supervision records. Refer to <i>Virginia Administrative Code, § 6VAC15-61-90</i>.</p>	008698	<p>Retain 5 years after calendar year of case closure, then destroy in compliance with No. 8 on schedule cover page.</p>
<p><u>Case Files – Non-Residential – Transferred Into District for Supervision</u>            This series documents the supervision of parolees, probationers or other offenders who do not reside in a Community Corrections facility. Includes offenders transferred from another (sentencing) district or state for supervision. Records include personal data, criminal records, correspondence, staff actions, reports, correspondence and other supporting documentation. May include parolee records, probationer records, intensive supervision records, monitoring through technology records, day reporting records or drug court supervision records. Refer to <i>Virginia Administrative Code, § 6VAC15-61-90</i>.</p>	008699	<p>Retain 1 year after calendar year of case closure or transfer of supervision of to original district, another district or state, then destroy in compliance with No. 8 on schedule cover page.</p>



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<p><u>Case Files – Non-Residential – Transferred Out of District for Supervision</u></p> <p>This series documents the supervision of parolees, probationers or other offenders who do not reside in a Community Corrections facility. These are the records of the original supervising (sentencing) district for offenders transferred to another district or another state for supervision. Records include personal data, criminal records, correspondence, staff actions, reports, correspondence and other supporting documentation. May include parolee records, probationer records, intensive supervision records, monitoring through technology records, day reporting records or drug court supervision records. Refer to <i>Virginia Administrative Code, § 6VAC15-61-90</i>.</p>	008700	Retain 5 years after calendar year of case closure, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Case Files – Residential – Released from Facility</u></p> <p>This series documents the supervision of offenders who resided in a Community Corrections facility. Records include personal data, criminal records, correspondence, staff actions, reports, correspondence and other supporting documentation. May include boot camp records, diversion center records or detention center records. Refer to <i>Virginia Administrative Code, § 6VAC15-61-90</i>.</p>	008701	Retain until completion of the next certification audit or 1 year after release from custody, then destroy in compliance with No. 8 on schedule cover page.



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<p><u>Case Files – Residential – Transfers Out of Facility</u>            This series documents the supervision of persons who resided in a Community Corrections facility and transfer to another Community Corrections facility. Records include personal data, criminal records, correspondence, staff actions, reports, correspondence and other supporting documentation. May include boot camp records, diversion center records or detention center records. Refer to <i>Virginia Administrative Code, § 6VAC15-61-90</i>.</p>		Transfer records to next Community Corrections facility.
<p><u>Case Record Reviews</u>            This series documents the preparation for reviews of case records for the Virginia Parole Board or other DOC offices. Series includes reports, correspondence and other supporting documentation. Refer to <i>Code of Virginia, § 53.1-154</i>.</p>	008702	Retain 1 year after case closure, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Central Out-Of-State Files</u>            This series documents centralized monitoring by the Interstate Compact Office of offenders transferred to or from other states for supervision. Contains duplicate information maintained in case files. Series includes reports, correspondence and other supporting documentation. Refer to <i>Code of Virginia, § 53.1-166</i>.</p>	008703	Retain 3 months after case closure, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Certification Audit Records</u>            This series documents the completion of required certification audits. Series contains audit records, reports, correspondence and other supporting documentation. Refer to <i>Virginia Administrative Code, § 6VAC20</i>.</p>	008704	Retain 3 years or until completion of next audit, whichever is greater; then destroy in compliance with No. 8 on schedule cover page.



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<p><u>Fiscal Records</u>            This series consists of records that document the expenditure of funds, accounting for funds, routine purchases and other activities of an accounting or financial nature; records not otherwise listed on this schedule. Series include budget records and fixed asset accounting records.</p>		<p>Refer to <i>General Records Retention and Disposition Schedule No. GS-102, Fiscal Records</i> for retention periods.</p>
<p><u>Investigation Logs</u>            This series tracks the assignment of staff to investigations and tracks status of the investigations. Refer to <i>Virginia Administrative Code, § 6VAC15-61-110</i>.</p>	008705	<p>Retain 1 year from last entry in log or completion of next certification; whichever is greater, then destroy.</p>
<p><u>Investigative Files – Court/Parole Board Ordered</u>            This series documents court ordered pre-sentencing investigations or pre-hearing investigations of possible parolees that are not included in a specific case file. Series may include court orders, investigative records and reports, correspondence and other supporting documentation. Refer to <i>Virginia Administrative Code, § 6VAC15-61-110</i>.</p>	008706	<p>Retain 1 year after submission of final report, then destroy in compliance with No. 8 on schedule cover page.</p>
<p><u>Investigative Files – Complaints Against Staff</u>            This series documents the investigation of incidents or complaints involving DOC staff or contractors. Series may include incident reports, complaints, investigative records and reports, correspondence and other supporting documentation. Refer to <i>Virginia Administrative Code, § 6VAC15-61-110</i>.</p>	008707	<p>Retain 1 year after employee departure, then destroy in compliance with No. 8 on schedule cover page.</p>



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<p><u>Medical Records</u>            This series consists of any records created to medically track or treat offenders while in residential programs.</p>		<p>Refer to <i>DOC Records Retention and Disposition Schedule No. 701-202, Institutional Medical Records</i> for retention periods.</p>
<p><u>Offender Drug Testing</u>            This series documents the monitoring of offenders for drug use. Series consists of testing records, logs, results and other supporting documentation.</p>	008708	<p>Retain 1 year after data entered in related case file or until completion of next certification, whichever is greater; then destroy in compliance with No. 8 on schedule cover page.</p>
<p><u>Offender Training and Education Records</u>            This series documents offender training or education, provided on-site to offenders. Series includes class rosters, attendance data and related supporting documentation.</p>	008709	<p>Retain 1 year after data entered in related case file or until completion of next certification audit, whichever is greater; then destroy in compliance with No. 8 on schedule cover page.</p>
<p><u>Personnel Records</u>            This series consists of records that document the management of staff and administration of benefits to staff; records not otherwise listed on this schedule. Includes training records of employees.</p>		<p>Refer to <i>General Records Retention and Disposition Schedule No. GS-103, Personnel Records</i> for retention periods.</p>
<p><u>Preliminary Hearing Records</u>            This series documents the conduct of preliminary hearings.</p>		<p>Maintain in relevant case or central file.</p>
<p><u>Statistical Reports</u>            This series documents the collection of required or convenience statistics.</p>	008710	<p>Retain 3 years or until completion of next certification audit, whichever is greater; then destroy.</p>



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<p><u>Supervision Fee Records (Defunct series)</u>            This series documents the collection and deposit of fees from supervised clients. Series includes logs, receipts, deposits, correspondence and related supporting documentation. Refer to <i>Code of Virginia</i>, § 53.1-150.</p>	008711	Destroy accumulation.
<p><u>Virginia Automated Comprehensive Correctional Information System Records</u>            This series is an electronic database that tracks the history of offender contacts with the Community Corrections System. This database is separate from that maintained to track inmates incarcerated in Correctional Institutions. Series includes information extracted from case files and other records and acts as an abbreviated record of contacts with Community Corrections.</p>	008712	Retain 50 years after last contact with offender, then delete or destroy in compliance with No. 8 on schedule cover page.