Records Management 101

The Basics

Archival and Records Management Services Division

The Library of Virginia
"Public record" or "record" means recorded information that documents a transaction or activity by or with any public officer, agency or employee of an agency. Regardless of physical form or characteristic, the recorded information is a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business. The medium upon which such information is recorded has no bearing on the determination of whether the recording is a public record.

**Code of Virginia, Title 42.1 Chapter 7**

*Virginia Public Records Act*
What is a record REALLY?

A RECORD:

- Documents a transaction or activity
- Includes all mediums regardless of physical form or characteristic
- And is considered a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business
Vital Records . . .

**Vital Records** are those records essential to the operation of the organization and/or resumption of operations following a disaster. These are records that you must have to stay in business, such as accounts receivable, patents, current patient files, or payroll records.
What is not a record?

- **Reference materials:**
  - reference texts, magazine and newspaper articles, textbooks, presentation handouts, extra copies of official records, etc.

- **Administrative and personal correspondence/e-mail:**
  - meeting times, lunch dates, staff association memos, FYI memos, spam, etc.

- **Personal materials:**
  - errand lists, bills, checkbooks, personal letters and/or photos, etc.

- **Stationary, blank forms, and publications for distribution**

- **Copies of policy and procedure manuals**
The Commonwealth

- Minimize litigation risks
- Ensure federal, state, and regulatory compliance
- Safeguard vital information
The Agency

- Ensure business continuity
- Support decision making
- Preserve the corporate memory
The Employees

- Control the growth of records
- Improve efficiency and productivity
- Integrate new Records Management technologies
Records management is...

Providing the right information
At the right time
To the right people
Effectively & efficiently

At the
lowest possible cost.
## Local Authority General Schedules

**Locality General Schedules**

- Introduction
- Glossary
- Searchable Database for Locality General Schedules

<table>
<thead>
<tr>
<th>Schedule</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>GS-01</td>
<td>Election Records (Aug 02)</td>
</tr>
<tr>
<td>GS-02</td>
<td>Fiscal Records (Sep 01)</td>
</tr>
<tr>
<td>GS-03</td>
<td>Personnel Records (Mar 06)</td>
</tr>
<tr>
<td>GS-04</td>
<td>County, City and Town Administration Records (May 04)</td>
</tr>
<tr>
<td>GS-05</td>
<td>Assessment Records (Dec 02)</td>
</tr>
<tr>
<td>GS-06</td>
<td>Land Use and Public Works Records (Feb 96)</td>
</tr>
<tr>
<td>GS-07</td>
<td>Public Utilities (Feb 04)</td>
</tr>
<tr>
<td>GS-08</td>
<td>Sheriff's Records (Jul 05)</td>
</tr>
<tr>
<td>GS-09</td>
<td>Superseded: See GS-04</td>
</tr>
<tr>
<td>GS-10</td>
<td>Fire and Rescue Records (Feb 04)</td>
</tr>
<tr>
<td>GS-11</td>
<td>Parks and Recreation Records (Dec 02)</td>
</tr>
<tr>
<td>GS-12</td>
<td>Circuit Court Records (Jul 06)</td>
</tr>
<tr>
<td>GS-13</td>
<td>Commonwealth's Attorney Records (Feb 96)</td>
</tr>
<tr>
<td>GS-14</td>
<td>County and Municipal Attorney's Records (Feb 96)</td>
</tr>
<tr>
<td>GS-15</td>
<td>Social Services Records (Mar 02)</td>
</tr>
<tr>
<td>GS-16</td>
<td>General Services Records (Sep 05)</td>
</tr>
<tr>
<td>GS-17</td>
<td>Law Enforcement Records (Sep 03)</td>
</tr>
<tr>
<td>GS-18</td>
<td>Community Services Records (Mar 04)</td>
</tr>
<tr>
<td>GS-19</td>
<td>Administrative Records (Jan 06)</td>
</tr>
<tr>
<td>GS-20</td>
<td>Health Records (Mar 03)</td>
</tr>
<tr>
<td>GS-21</td>
<td>Public School Records (Jun 06)</td>
</tr>
<tr>
<td>GS-22</td>
<td>Library Records (Jun 04)</td>
</tr>
<tr>
<td>GS-23</td>
<td>Electronic Records (Oct 99)</td>
</tr>
<tr>
<td>GS-24</td>
<td>Juvenile Residential Programs (Nov 03)</td>
</tr>
<tr>
<td>GS-25</td>
<td>Community Corrections Act Program Records (Sep 06)</td>
</tr>
<tr>
<td>GS-26</td>
<td>Pretrial Service Records (Sep 05)</td>
</tr>
<tr>
<td>GS-27</td>
<td>Court Appointed Special Advocate (CASA) Records (Feb 96)</td>
</tr>
<tr>
<td>GS-28</td>
<td>Treasurer's Records (Jun 01)</td>
</tr>
<tr>
<td>GS-29</td>
<td>Criminal Justice Training Academy Records (Mar 99)</td>
</tr>
<tr>
<td>GS-30</td>
<td>Virginia Alcohol Safety Action Program (VASAP) Records (Jun 99)</td>
</tr>
<tr>
<td>GS-31</td>
<td>Airport Records (Sep 03)</td>
</tr>
<tr>
<td>GS-32</td>
<td>Redevelopment and Housing Authority Records (Jul 07)</td>
</tr>
<tr>
<td>GS-2000</td>
<td>Y2K Records (Jul 99)</td>
</tr>
</tbody>
</table>

### Things to Know

All schedules are in PDF format unless otherwise noted. If you require the schedules in another format, please contact reisman@va.gov, and they will be sent to you.

You can download a free copy of Adobe Acrobat Reader by following the link.

The display of PDFs in a browser window (viewing size, etc.) is dependent upon settings in your computer's version of Adobe Acrobat. To increase the viewing size of PDFs, click on the Zoom in the Acrobat/reader window (it's the number followed by the % sign) and change it to 100. For more information about configuring Adobe Acrobat please visit [Adobe's web site](http://www.adobe.com).
**College Acceptance/Rejection Letters**  
This series consists of school copies of student college acceptance/rejection letters.

<table>
<thead>
<tr>
<th>RECORDS SERIES AND DESCRIPTION</th>
<th>SERIES NUMBER</th>
<th>SCHEDULED RETENTION AND DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>College Acceptance/Rejection Letters</td>
<td>008135</td>
<td>Retain until after the end of the current academic year then destroy in compliance with No. 8 on schedule cover page. Disposal reporting on Certificate of Records Destruction (RM-3 form) not required.</td>
</tr>
</tbody>
</table>

**College Fair/Exhibition Records**  
This series documents college fairs and exhibitions held by various schools.

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<thead>
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</tr>
</thead>
<tbody>
<tr>
<td>College Fair/Exhibition Records</td>
<td>008136</td>
<td>Retain until no longer administratively necessary then destroy. Disposal reporting on Certificate of Records Destruction (RM-3 form) not required.</td>
</tr>
</tbody>
</table>

**Committee Records**  
This series documents the activities of various school district-wide committees, boards, and foundations.

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<th>SCHEDULED RETENTION AND DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Committee Records</td>
<td></td>
<td>Refer to General Records Retention and Disposition Schedule No. 19, Administrative Records for retention periods.</td>
</tr>
</tbody>
</table>

**Computer Input Documents**  
This series consists of computer input documents such as scan sheets and data correction sheets, which are used to record and transmit a variety of information such as test scores, grades, survey data, teacher and course evaluations, etc.

<table>
<thead>
<tr>
<th>RECORDS SERIES AND DESCRIPTION</th>
<th>SERIES NUMBER</th>
<th>SCHEDULED RETENTION AND DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computer Input Documents</td>
<td>008137</td>
<td>Retain until information is recorded and verified then destroy.</td>
</tr>
</tbody>
</table>

**Confidential Medical File**  
This series consists of an individual student's medical records file. May include documentation on the administration of prescribed and over-the-counter medications and other medical treatment, including lab work, performed in the school health office. May also include nurses' notes and any medical information needed for eligibility and the writing of the Individualized Education Program (IEP).

<table>
<thead>
<tr>
<th>RECORDS SERIES AND DESCRIPTION</th>
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<th>SCHEDULED RETENTION AND DISPOSITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Confidential Medical File</td>
<td>008196</td>
<td>Retain 5 years after student graduates, completes Board of Education program, transfers, or withdraws from school, then destroy in compliance with No. 8 on schedule cover page. NOTE: School divisions must make a reasonable effort to notify parents prior to the destruction of any records of children with disabilities in accordance with 34 CFR300.573.</td>
</tr>
</tbody>
</table>
1. “Destroy in compliance with No. 8 on the schedule cover page.”

2. If your records do not fall into any series on any General Schedule it cannot be destroyed.

3. Format does not matter. Content does.

4. Retention periods are not suggestions.
IMPORTANT CHANGE TO THE VIRGINIA PUBLIC RECORDS ACT

“C. Each agency shall ensure that records created after July 1, 2006 and authorized to be destroyed or discarded in accordance with subsection A, are destroyed or discarded in a timely manner in accordance with the provisions of this chapter; provided, however, such records that contain identifying information as defined in clauses (iii) through (ix), or clause (xii) of subsection C of §18.2-186.3 shall be destroyed within six months of the expiration of the records retention period.”

What does destruction of records in a “timely manner” mean?
The Library of Virginia interprets “timely manner” to mean that records scheduled for destruction will be destroyed no later than the end of the year (calendar or fiscal) in which the retention period expires.
 Records Destruction Procedure

- Identify what is to be destroyed and how by using retention schedule
- Fill out RM-3 – Interactive form at [www.lva.lib.va.us/whatwedo/records/forms/rm3ia.pdf](http://www.lva.lib.va.us/whatwedo/records/forms/rm3ia.pdf)
- Obtain Designated Official and Records Officer signature
- When records HAVE BEEN DESTROYED obtain signature of the individual who destroyed the records or witnessed the destruction.
- Send form with ALL original signatures to the Library of Virginia
CERTIFICATE OF RECORDS DESTRUCTION

FORM RM-3 (MAY 2007)

This form documents the destruction of public records in accordance with the Virginia Public Records Act, § 42.1-76 through 42.1-91 of the Code of Virginia.

INSTRUCTIONS ON BACK

1. Agency / Locality
   Library of Virginia

2. Division / Department / Section
   Archives and Records Management Services

3. Person Completing Form

4. Address

5. Telephone Number & Extension

6. Records to Be Destroyed

<table>
<thead>
<tr>
<th>a) Schedule and Records Series Number</th>
<th>b) Records Series Title</th>
<th>c) Date Range (mo/yr)</th>
<th>d) Location</th>
<th>e) Volume</th>
<th>f) Destruction Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>GS101; 100355</td>
<td>VPRA booklet design documentation files</td>
<td>1-2007 to 6-2007</td>
<td>.1 cu. ft.</td>
<td>Trashcan</td>
<td></td>
</tr>
<tr>
<td>206-027; 005433</td>
<td>Workshop attendance records</td>
<td>1998-2001</td>
<td>.5 cu. ft.</td>
<td>Trashcan</td>
<td></td>
</tr>
<tr>
<td>GS101; 012018</td>
<td>Non-routine correspondence</td>
<td>2003-2004</td>
<td>.5 cu. ft.</td>
<td>Trashcan</td>
<td></td>
</tr>
<tr>
<td>GS101; 012018</td>
<td>Non-routine correspondence</td>
<td>2003-2004</td>
<td>2MB</td>
<td>Deleted</td>
<td></td>
</tr>
<tr>
<td>GS101; 100325</td>
<td>Disaster Recovery grant documentation</td>
<td>2003</td>
<td>4 cu. ft.</td>
<td>Shredded</td>
<td></td>
</tr>
</tbody>
</table>

DESTRUCTION APPROVALS

NOTE: Public records may not be destroyed without receiving prior approval from your agency or locality's Records Officer.

We certify that the records listed above have been retained for the scheduled retention period, required audits have been completed, and no pending or ongoing litigation or investigation involving these records is known to exist.

7. Approving Official (Print) Signature Date

8. Designated Records Officer (Print) Signature Date

9. Records Destroyed By (Print) Signature Date
Email is a format, not a record series. Asking how to file an email is the same as asking how to file a piece of paper.

The content determines the disposition.
Basic information

- Public school employees are responsible for managing e-mails, including messages sent and received.
- You are responsible for all e-mails you send. Your function within the school system defines whether you keep e-mails you receive.
- Requests from the public for e-mail records, including FOIA requests, must be honored in the same manner as other public records.
- E-mail records must remain accessible during their entire retention period and should be maintained in such a manner as to permit easy access and timely retrieval.
Organizing E-mails

- Organize e-mail in folders by records series or subject area and fiscal or calendar year.
- Establish agency- or division-wide filing structures.
- “AutoArchiving” within Outlook is not recommended.
- Archive manually and frequently.
Folders to Archive
Specify Retention within Folder Properties

Secretary of Technology 2006 Properties

General

Folder: Secretary of Technology 2006
Type: Folder containing Mail and Post Items
Location: \Mailbox - Ariel Billmeier\Saved Items
Description:
Retain two years, then destroy.

- Show number of unread items
- Show total number of items

When posting to this folder, use: IPM.Post

- Automatically generate Microsoft Exchange views

Folder Size...  Clear Offline Items

OK  Cancel

Apply
Printing E-mail

- Names and e-mail addresses of recipients
  - If an e-mail is sent to a distribution list, include names and addresses of all members of distribution list)
- Name and e-mail address of sender
- Time and date sent
- Subject line that describes the content of the e-mail
- Text
- Attachments, if applicable
Top Five Tips for E-mail Use

5) Official “signature”
4) Proofread
3) Retain final e-mail
2) Useful subject line
Top Five Tips for E-mail Use

1) Do not put anything in an e-mail message that you would not want to see printed in tomorrow’s newspaper or displayed on a bulletin board. When sensitive issues need to be discussed, a face-to-face conversation or telephone call may be a better communication choice than e-mail.
The Library of Virginia can help

The Records Analysis Section provides you, our client, the following support:

- consult in developing and implementing a records management program
- consult in developing, updating, and modifying records series and schedules
- provide training on policies and procedures
- assist with disaster planning and recovery
State Records Center

- Storage for inactive non-permanent records (paper, microfilm, and digital media) in a climate controlled facility with secure, controlled access

- Pick-up services for storage and shredding within 150 miles of the SRC

- Confidential shredding of records – paper, microfilm, and electronic

- Degaussing of hard drives

- Assist with disaster recovery
State Laws and Regulations

- *Virginia Public Records Act (VPRA)* [Code of Virginia § 42.1-76 et. seq.]

- *Freedom of Information Act (FOIA)* [Code of Virginia § 2.2-3700 et. seq.]

- *Government Data Collection and Dissemination Practices Act* [Code of Virginia § 2.2-3800 et. Seq]

- *Copies of Originals as Evidence* [Code of Virginia § 8.01-391]