

Records Management 101

The Basics

**Archival and Records
Management Services Division**



What is a Record?

"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

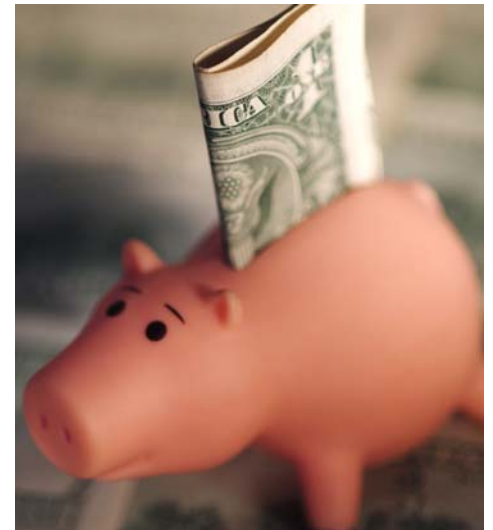
At the right time

To the right people

Effectively & efficiently



At the
lowest possible cost.





What We Do

[What We Have](#)

[Who We Are](#)

Locality General Schedules

[Introduction](#)

[Glossary](#)

[Searchable Database for Locality General Schedules](#)

[GS-01](#), Election Records (Aug 02)

[GS-02](#), Fiscal Records (Sep 01)

[GS-03](#), Personnel Records (Mar 06) * **Changes to Series 010233 & 010235; New Series 006223***

[GS-04](#), County, City and Town Administration Records (May 04)

[GS-05](#), Assessment Records (Dec 02)

[GS-06](#), Land Use and Public Works Records (Feb 96)

[GS-07](#), Public Utilities (Feb 04)

[GS-08](#), Sheriff's Records (Jul 05)

GS 9, Superseded: See [GS-04](#)

[GS-10](#), Fire and Rescue Records (Feb 04)

[GS-11](#), Parks and Recreation Records (Dec 02)

[GS-12](#), Circuit Court Records (Jul 06) * **Changes to Series 006224 & 010478 ***

[GS-13](#), Commonwealth's Attorney Records (Feb 96)

[GS-14](#), County and Municipal Attorney's Records (Feb 96)

[GS-15](#), Social Services Records (Mar 02)

[GS-16](#), General Services Records (Sep 05)

[GS-17](#), Law Enforcement Records (Sep 05)

[GS-18](#), Community Services Records (Mar 04)

[GS-19](#), Administrative Records (Jan 06) * **Series 010104 Deleted ***

[GS-20](#), Health Records (Mar 03)

[GS-21](#), Public School Records (Jun 06) * **Changes to Series 007109, 008225, 008226, 008227 ***

[GS-22](#), Library Records (Jun 04)

[GS-23](#), Electronic Records (Oct 98) (See GS 2000 for Y2K Records)

[GS-24](#), Juvenile Residential Programs (Nov 03)

[GS-25](#), Community Corrections Act Program Records (Sep 06) * **Complete Revision ***

[GS-26](#), Pretrial Service Records (Sep 05)

[GS-27](#), Court Appointed Special Advocate (CASA) Records (Feb 96)

[GS-28](#), Treasurer's Records (Jun 01)

[GS-29](#), Criminal Justice Training Academy Records (Mar 99)

[GS-30](#), Virginia Alcohol Safety Action Program (VASAP) Records (Jun 99)

[GS-31](#), Airport Records (Sep 03)

[GS-32](#), Redevelopment and Housing Authority Records (Jul 07)

[GS-2000](#), Y2K Records (Jul 99)

Things to Know

All schedules are in PDF format unless otherwise noted. If you require the schedules in another format, please contact recman@lva.virginia.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/browser 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](#).


RECORDS RETENTION AND DISPOSITION SCHEDULE
GENERAL SCHEDULE NO. 21
ALL PUBLIC SCHOOL SYSTEMS
PUBLIC SCHOOL RECORDS
EFFECTIVE SCHEDULE DATE September 24, 2007

PAGE 5 OF 33 PAGES

RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>College Acceptance/Rejection Letters</u> This series consists of school copies of student college acceptance/rejection letters.	008135	Retain until after the end of the current academic year then destroy in compliance with No. 8 on schedule cover page. Disposal reporting on <i>Certificate of Records Destruction</i> (RM-3 form) not required.
<u>College Fair/Exhibition Records</u> This series documents college fairs and exhibitions held by various schools.	008136	Retain until no longer administratively necessary then destroy. Disposal reporting on <i>Certificate of Records Destruction</i> (RM-3 form) not required.
<u>Committee Records</u> This series documents the activities of various school district-wide committees, boards, and foundations.		Refer to <i>General Records Retention and Disposition Schedule No. 19, Administrative Records</i> for retention periods.
<u>Computer Input Documents</u> 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.	008137	Retain until information is recorded and verified then destroy.
<u>Confidential Medical File</u> 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).	008196	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.

Important Things to Know

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 can not be destroyed.
3. Format does not matter. Content does.
4. Retention periods are not suggestions.

Code of Virginia §42.1-86.1

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
- 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



Archival and Records Management Services Division
 800 East Broad Street, Richmond, VA 23219-8000
 (804) 692-3600

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					
a) Schedule and Records Series Number	b) Records Series Title	c) Date Range (mo/yr)	d) Location	e) Volume	f) Destruction Method
GS101; 100355	VPRA booklet design documentation files	1-2007 to 6-2007		.1 cu. ft.	Trashcan
202-027; 005433	Workshop attendance records	1998-2001		.5 cu. ft.	Trashcan
GS101; 012018	Non-routine correspondence	2003-2004		.5 cu. ft.	Trashcan
GS101; 012018	Non-routine correspondence	2003-2004		2MB	Deleted
GS101; 100323	Disaster Recovery grant documentation	2003		4 cu. ft.	Shredded

DESTRUCTION APPROVALS

NOTE: Public records may not be destroyed without receiving prior approval from your agency or locality 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 not a record series

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.

All Mail Folders

- [-] Mailbox - Ariel Billmeier
 - Deleted Items
 - Drafts [1]
 - Inbox
 - Junk E-mail
 - Outbox
 - [-] Saved Items
 - Data Wiping 2006
 - E-Mail Guidelines 2006
 - Governor's E-mail 2006
 - Imaging Standards 2006
 - Instant Messaging & Teleworking 2006
 - IT Schedule 2006
 - LVA 2006
 - Paperless Government 2006
 - Permanent E-Records 2006
 - Records Analysis 2006
 - Redaction Issues 2006
 - Secretary of Technology 2006
 - To Read 2006
 - Travel & Training 2006
 - VITA 2006
 - Sent Items
 - [+] Search Folders

**Folders to
Archive**



Secretary of Technology 2006 Properties



Administration

Forms

Permissions

Synchronization

General

Home Page

AutoArchive



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

**Specify Retention
within Folder
Properties**



Printing E-mail

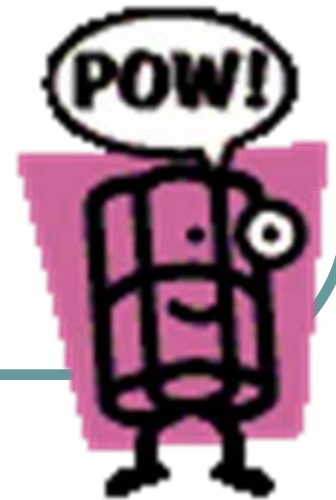
- Names and e-mail addresses of recipients
 - If an e-mail is sent to a distribution list, include names and addresses of all members of distribution list)
- Name and e-mail address of sender
- Time and date sent
- Subject line that describes the content of the e-mail
- Text
- Attachments, if applicable

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**]



THE LIBRARY OF VIRGINIA

Archives and Records Management

Services Division

800 E. Broad Street

Richmond, Virginia 23219

Phone: 804-692-3600

Fax: 804-692-3603

Or search our website at:

<http://www.lva.lib.va.us/whatwedo/records/index.htm>