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# Records Management 101

**Archival and Records  
Management Services Division**



THE LIBRARY OF VIRGINIA

# What is a Record?

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"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?

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## 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

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**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.



Pulaski County Courthouse 1989



Franklin after Hurricane Floyd 1999

# What is not a record?

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- **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.

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

- **Copies of policy and procedure manuals**

# The Commonwealth

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



# The Locality

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

# The Employees

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- 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.



[http://www.lva.lib.va.us/whatwedo/records/sched\\_local/index.htm](http://www.lva.lib.va.us/whatwedo/records/sched_local/index.htm)



## 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 [rceman@lva.virginia.gov](mailto:rceman@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. 5  
 ASSESSMENT RECORDS**

EFFECTIVE SCHEDULE DATE December 6, 2007		PAGE 4 OF 7 PAGES
RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Real Estate Assessment Records: Board of Equalization Minutes</u> This series documents the decisions of the Board as it deals with tax assessment issues presented for official action.	007002	Retain 4 years, then transfer to the Archives, Library of Virginia for permanent retention.
<u>Real Estate Assessment Records: Income and Expense Statements</u> This series is used to help determine tax rates for commercial buildings that are leased for use. This includes shopping centers, office buildings, warehouses, and apartment buildings. The series consists of income and expense statements that are submitted by the owners/realtors that detail their business expenses and income relating to the properties. This series is required by <i>Code of Virginia</i> §58.1-3294.	007001	Retain for 5 years after filing then destroy in compliance with No. 8 on schedule cover page. <i>Code of Virginia</i> §58.1-3 restricts public access to these records.
<u>Real Estate Assessment Records: Land Use Files</u> This series documents the real property that is taxed for land use purposes by the locality. Land use property is primarily used for agricultural purposes and is taxed differently from residential and business real property.	010272	Retain 6 years then destroy.
<u>Real Estate Assessment Records: Map Files</u> This series is used to reference the real estate properties.	010273	Retain until superseded then destroy.
<u>Real Estate Assessment Records: Tax Exemption Files</u> This series documents exemption of properties from taxation by the locality.	010274	Retain 3 years after application for exemption then destroy.

# Important Things to Know

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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

## 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 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

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- Identify what is to be destroyed and how by using retention schedule
- Fill out Certificate of Destruction (RM-3 Form)  
[www.lva.lib.va.us/whatwedo/records/forms/index.htm](http://www.lva.lib.va.us/whatwedo/records/forms/index.htm)
- Obtain Approving Official and Records Officer signatures
- 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)



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

<b>1. Agency / Locality</b> Nelson County Public Schools		<b>2. Division / Department / Section</b> Rockfish River Elementary School - Finance			
<b>3. Person Completing Form</b> Taylor Smith		<b>4. Address</b> 200 Chapel Hollow Rd., Afton VA 22920		<b>5. Telephone Number &amp; Extension</b> 434-555-5555	
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
GS-02; 10217	Vouchers/Invoices	Jan 2001 – Dec 2002		4 cu. ft.	Trashcan
GS-02; 10214	Unemployment Insurance Claims	May 2002		.1 cu. ft.	Trashcan
GS-02; 10179	Payroll: Retirement System Contributions	Jan 2004 – Dec 2004		2MB	Electronically shredded
GS-02; 10163	Fixed Asset inventory	July 2006		200KB	Deleted

**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.

<b>7. Approving Official (Print)</b>	<b>Signature</b>	<b>Date</b>
<b>8. Designated Records Officer (Print)</b>	<b>Signature</b>	<b>Date</b>
<b>9. Records Destroyed By (Print)</b>	<b>Signature</b>	<b>Date</b>

# **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

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- Locality employees are responsible for managing e-mails, including messages sent and received.
- 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.

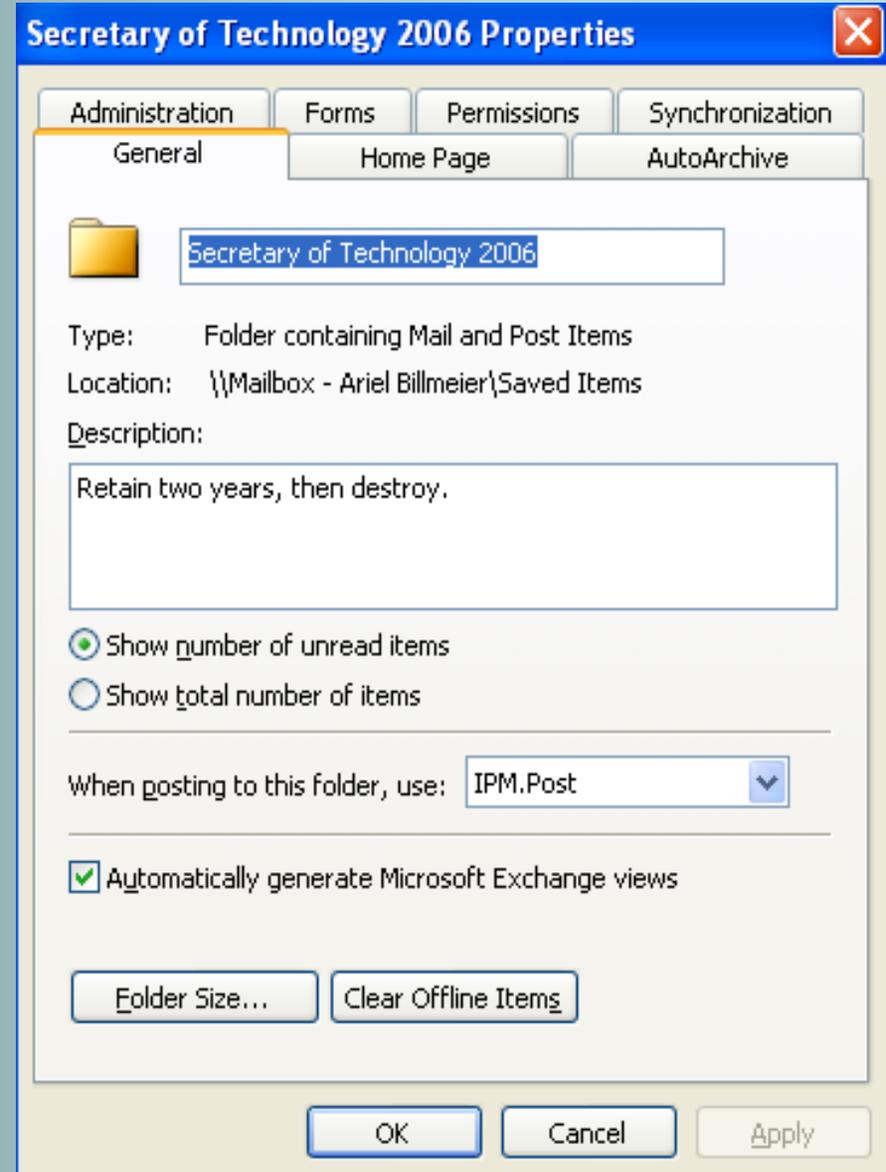
# Organizing Your Email

- 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.



# Specify Series and Retention

- Right click on the appropriate mail folder
- Select Properties
- Use the Description section on the General tab to identify the Schedule, Series, and Retention Period



# Printing E-mail

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- 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

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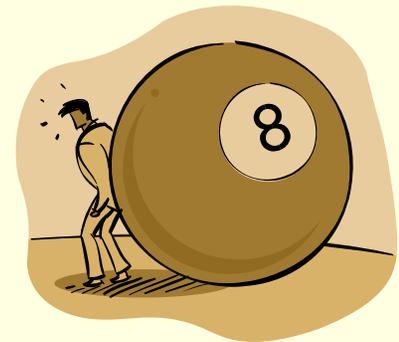
- 5) Official “signature”
- 4) Proofread
- 3) Retain final e-mail
- 2) Useful subject line



# Top Five Tips for E-mail Use

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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

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- ***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

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**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>

Contacts, General Schedules, Blank RM Forms