

Public Record Retention Guidance for Soil & Water Districts (Updated July 2015)

*The Virginia Association of Conservation District Employees has created a quick reference guide for District Record Retention and Destruction. For details on record retention or to confirm and clarify schedule information, please visit The Library of VA website at www.lva.virginia.gov for more information. In no way is this reference guide to be deemed as official guidance. *The DCR Desk Top Guide conflicts with the Library of Virginia guidelines for several records and those records have been marked below.**

The information listed below is condensed from the Library of Virginia General Schedules. Districts follow Locality Record Management. Detailed information can be found on www.lva.virginia.gov. Records are destroyed in compliance with Item No. 8 on the Schedules Cover Pages. This document does not supersede any information from the Library of Virginia, but is offered as a document that will assist in district's record management program. Every effort will be made to keep this document updated and posted on the VASWCD website, but it is ultimately the responsibility of the district to confirm that the retention schedule and disposition instructions are current.

General Schedule 02 – Fiscal Records

General Schedule 03 – Human Resources

General Schedule 06 – Land use, land development (Cost share, ESC, Awards)

General Schedule 07 – Public Utilities – Section B (Watershed Dams)

General Schedule 16 – General Services (Vehicle maintenance & Risk Management)

General Schedule 19 – Administrative Records (Correspondence, Minutes, Director, Historical)

General Schedule 33 – Electronic Information (IT)

***year end = end of state fiscal year**

Non Conf = Non confidential disposition

<u>RECORD DESCRIPTION</u>	<u>Series</u>	<u>SCHEDULED RETENTION & DISPOSITION</u>
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FINANCIAL

Accounts Payable (Invoices, credit card receipts) (Interns paid as 'contractual')	GS-02; 010143	3 years or until audit, whichever is greater, then destroy; Non Conf. (Desktop guide recommends 7 years)
Accounts Receivable (Invoices, deposits, receipts)	GS-02; 010144	3 years or until audit, whichever is greater, then destroy; Non Conf. (Desktop guide recommends 7 years)
Audit Report-External	GS-02; 010146	PERMANENT

Bank statements & reconciliations* (Canceled checks are part of bank statements, so bank statements will be kept for 5 Years) (Desktop guide recommends 7 years)	GS-02; 200104	3 years or until audit, whichever is greater, then destroy; CONF
Budget (working files)	GS-02; 010151	5 years after budget adoption, then destroy; Non Conf.
Budget Files (adopted)	GS-02; 010150	PERMANENT
Contracts & support documentation	GS-02; 010159	5 years after expiration, then destroy; CONF
General Ledger	GS-02; 010169	10 years then destroy; Non Conf.
Grant Files (State & Federal) (Operation/Cost Share/ Attachment E Files)	GS-02; 010164	3 years after project completion <u>or in accordance with terms of grant</u> , whichever is greater, then destroy; Non Conf.
319 Federal grants usually have 5 year retention		
Other Grants: Unfunded (letters of intent,application,budget)	GS-19; 000182	Retain 1 year after notified of denial, then destroy ; Non Conf.
Other Grants: Funded (grant acceptance, approval, narratives, completion, conformance, non-fiscal records)	GS-19-010051	Retain 5 years after project completion; Conf.
Insurance Records (Policies, claims, invoices)	GS-02; 010165	3 years after policy expiration or until claims resolved, whichever is greater, then destroy; CONF
Payroll Records (Fiscal):	GS-02; 200105	5 years after end of state fiscal year. Payroll records CONFIDENTIAL destruction.
Time & attendance records; leave; payroll	See above	
VEC (employment commission rpts)		
Wage & Income Tax reports (941)		
W2 Wage & Tax statements Form 1099 & reports		

Workers Compensation (claims, app. for benefits, payment)	GS-02; 010218	5 years or until audit, whichever is greater, then destroy
Purchasing Records(Bids, purchase orders, contracts	GS-02;200106	5 years or until audit, whichever is greater, then destroy; CONF
Sales Tax Reports (collection and payment sales tax)	GS-02;010162	3 years or until audit, whichever is greater, then destroy; Non Conf.
Treasurer’s Report (Financial Accting reports)	GS-02; 010162	3 years or until audit, whichever is greater, then destroy; Non Conf.
VRS (VA Retirement System)		
GS-03; 010233 Employee participation forms		50 years (see Personnel Files above); CONF
GS-19; 010025 District enrollment/election forms		Retain 3 years after termination or expiration (other than contracts involving procurement or payment of monies);
GS-02; 010143 Payments made to VRS		See Accounts Payable (3 years or until audit, whichever is greater)
GS-02; 010194 Other VRS records		3 years after end of state fiscal year; CONF

HUMAN RESOURCES FILES:

Certification records	GS-03; 010225	Retain 3 years after employee separation; Non Conf.
Exit Interview Files	GS-03; 010237	Retain 3 years after separation; CONF
Grievance Records	GS-03; 010238	Retain 5 years after closure; CONF
I-9 Forms (Eligibility) Employed Less than 2 years	GS-03;010230	Retain 3 years event; CONF
I-9 Forms (Eligibility) Employed More than 2 years	GS-03; 200033	Retain 1 year after separation; CONF
Personnel Records : LONG TERM	GS-03; 010233	Retain 50 years after separation then destroy. (ss#, last known address, starting & ending dates of positions, beginning and ending salary, job titles, hiring benefits, test results, professional certification, promotions, evaluations, disciplinary actions, and security check results) ; CONF
Personnel Records: SHORT TERM	GS-03; 200386	Retain 5 years after separation; CONF These records documents employee's work activity and history and may include (test results; professional certifications; evaluations; disciplinary actions; Promotion/demotion; layoff; termination or tenure records and any other Non-long term record)
Service Recognition	GS-19; 200428	Retain 3 years after event; Non Conf.
Recruitment (hiring, resumes, interview, announcement)	GS-03; 010249	Retain 3 years after position filled; CONF
Resumes (Received without solicitation)	GS-03; 010253	Retain as long as administratively useful; CONF

ADMINISTRATIVE:

Agendas (meeting agendas & announcements)	GS-19; 010024	Retain 3 years (Public notice of meetings, proposed schedules, materials reviewed or used by Board); Non Conf.
Agreements, MOU's Non-Fiscal Contracts	GS-19; 010025	Retain 3 years after termination or expiration (other than contracts involving procurement or payment of monies) ; Non Conf.

Annual Reports, Strategic Plan, APOW	GS-19; 010063	PERMANENT
Appointment Calendars	GS-19; 010027	limited or general distribution-retain 1 year after end of calendar yea; Non Conf.
AREA V – Agendas, Minutes	GS-19; 010030	Retain 3 years after end of calendar year; Non Conf.
Board/Committee Minutes	GS-19; 010029	PERMANENT
Certificate of Organization	GS-06; 002844	PERMANENT
Cooperative Agreements (MOU’s, Non Fiscal Contracts)	GS-19; 010025	Retain 3 years after termination; Non Conf.

CORRESPONDENCE – Incoming/Outgoing letters, memos, faxes, notes, attachments both paper and electronic

Correspondence - Board	GS19-0100893	Board members Correspondence; Retain 3 years after end of calendar yr; Non Conf.
Correspondence - Chairpersons	GS19-0100891	Permanent
Correspondence - Routine, Administrative	GS-19; 010039	Retain as long as administratively necessary
Director Files	GS-19; 010064	Log of Directors and terms – PERMANENT
Director Oaths of Offices (copies) (original filed on file clerk’s office)	Non record	Retain as long as administratively necessary ; Non Conf.
FOIA	GS-19; 010049	Responses to requests – 3 years after final action.; Non Conf.
Photographs	GS-19; 010073	Historically Significant; PERMANENT
Policies (Personnel, Office, Purchasing) Office Instructions or Procedures (without board approval)	GS-19; 010018 GS-19; 010069	If approved by the Board, then becomes Permanent. Retain until superseded, obsolete or rescinded.
Presentation Materials (prepared by staff)	GS-19; 010079	Retain as long as administratively necessary.

Public Relations Files (scrapbooks,articles,events,narrative)	GS-19; 010083	Permanent
Publications: SWCD produced or sponsored	GS-19; 010085	Retain one copy Permanently; Non Conf.
RM-3 (Record Destruction Form)	GS-19;010090	3 years after end of calendar year, then destroy; Non Conf.
Vehicle Maintenance Records	GS-16; 005168	Retain until disposal of vehicle; Non Conf.
Volunteer Records	GS-03; 001763	Retain 3 years after volunteer departs; CONF.

DISTRICT SPECIFIC

AWARDS: (Given & Received) GS-06; 002845 (Conservation Awards, Volunteer awards, Scholarship Awards)
Recipients PERMANENT
Supporting Documentation Retain 3 years after award; Non Conf.

COST SHARE/TAX CREDIT APPLICATIONS:

(applications, maps, engineering calculations, drawings/designs, Spot checks) GS-06; 002845 Retain 3 years after the life of the practice or application canceled, whichever is longer, then destroy. (includes applications, approval letter, design, maps, receipts) **CONF**

WATERSHED DAM PROJECTS: (Taken from Library of VA Schedules – DCR Dam Safety has not provided any guidance)

Construction Files (includes Easements, permits, design and construction documents, modification files)

GS-07; 005538 Retain for life of structure

Annual Inspection Report

GS-07; 005540 Retain 6 years after last certification or inventory report filed then destroy

Certified Inspection Report (Professional Engineer)

GS-07; 005541 Retain 6 years after last certification or inventory report filed then destroy

Operation & Maintenance Certificate files (include supporting documentation such as approved emergency action plan & inspection certificate)

GS-07; 005539 Retain for life of structure

Inventory Report

(Provided by DCR) Retain for life of structure

Public relations files (Such as photos of construction, news releases, pamphlets, correspondence)

GS-19; 010083 Permanent

EROSION & SEDIMENT CONTROL: APPROVED PROJECTS GS-06; 002846 Retain 10 years after project completion or bond release; Non Conf

EROSION & SEDIMENT CONTROL: DISAPPROVED GS-06; 002847 Retain 1 year after decision, Non Conf.

OTHER DISTRICT RECORDS

EDUCATION FILES – Schedule GS-19; 010082 Project Documentation Files – Retain until superseded, obsolete or rescinded.

PARTS OF EDUCATION FILES SUCH AS THE INFORMATION BELOW COULD BE CONSIDERED PUBLIC RELATIONS FILES:

Envirothon – Competition agenda, participant/team lists, rotation schedule, score sheets, blank test & answer sheet for each topic, news releases, oral presentation problem, special topic learning objectives, thank you letters. Background topic info could be filed w/ natural resource info.

Youth Conservation Camp – applications, letters to selected applicant, refunds, checks. (Check payable is retained under Accounts Payable Record)

Scholarship – announcements, applications, letters to applicants, letters to college/university, check (Check payable is retained under Accounts Payable Record)

Environmental Field School – camper list, application/history form, agenda, thank you letters, financial info

Poster Contest – announcement, participant list, winner list, theme

Education Resources – Reference Materials; Keep as long as administratively necessary.

HISTORICALLY SIGNIFICANT –(GS-19; 010083) and would be considered permanent. Districts can utilize a Permanent Log (GS-06/002842) to record Envirothon winners, Youth Conservation Campers, Scholarship Winners and Overall Poster Contest Winners.

ADMINISTRATIVE FILES – Reference Materials; Suggest to keep 3-5 years or as long as administratively necessary.

VASWCD Annual Meeting – Program, legislative agenda, auction items donated.

VACDE – Programs for Graves Training, Brochure w/ officer listing, Bylaws and Strategic Plan keep current.

Staff Reports – File copy with minutes; Working document copy keep as long as administratively necessary.

NRCS Attachment C – Resigned staff, directors and partners ; Reference copy – Keep as long as administratively necessary.

ELECTRONIC RECORDS & FILES

Formats include word processing files, spreadsheets, emails, websites, databases and scanned images. The information content of a record should be an accurate reflection of a particular business transaction. Employees should use the same records series for the contents of an e-mail that they would use if the same information was distributed on paper. Context refers to creator, time of creation, relationship to other records.

Email messages (both sent & received) that provide evidence of a government transaction are considered public records. Some examples include: policies and directives, correspondence or memos pertaining to the organization's business, work schedules & assignments, documents circulated for approval or comment, and any message that initiates, authorizes, or completes a business transaction, final report, or recommendation. Retention periods for email vary according to the information contained within the message as well as the function the message performs. Often email is considered correspondence and should be handled according to the appropriate disposition schedule.

It is suggested to create sub-folders of each record type (and include fiscal or calendar year date) and "drag & drop" emails that are considered public records into these folders on a daily basis. Emails may be printed and maintained in paper instead of electronic format; however all of the following information must be included in the paper copy: names & addresses of recipients including distribution lists; name & address of sender, time & date sent, subject line, text and any attachments. If the email is internally generated and you are not the primary recipient of the email (just a CC line) you do not need to retain the email. If the email is externally generated and you are the only recipient for the agency, then you need to retain the email.

Disposition of email – Destruction. Email that does not contain confidential or privacy protected information may be disposed of by deleting it from the email system. Emails containing confidential or privacy protected information, should be electronically shredded or wiped clean from the media on which it resides. Email destruction should be reported on a RM-3 "Certificate of Records Destruction" form.

RECORD DESTRUCTION PROCESS

- The District will schedule & conduct record review and destruction during the first quarter of each program year.
- If a record is not on the retention schedule, the district should consult with the Library of Virginia. Use common sense before destroying any non-public or reference records.
- Ensure that the retention period stated on the schedule has passed. The year of creation cannot be used in the calculation of years to be retained. For example, a file created in 2000 with a retention period of 3 years can be destroyed on December 31, 2003, but not before.
- Ensure that all known audits, investigations, or litigations are resolved.
- Complete a RM-3 “Certificate of Records Destruction” form. Obtain necessary signatures. If records are destroyed off-site by a commercial vendor keep the vendor form with your copy of the RM-3 (retained for 3 years). Either vendor representative or agency staff must sign line 9 on the form affirming destruction.
- Once the records have been destroyed, send the original RM-3 form with signatures to the Archival and Records Management Services Division of the Library of Virginia. Keep a copy of the form.
- Records with identifying information such as social security numbers or proprietary information must be destroyed in compliance with No. 8 on the Disposition Schedule cover page. (shredding)