

RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 184-001
OFFICE OF THE SECRETARY OF TECHNOLOGY

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

AGENCY APPROVALSTATE APPROVAL

AGENCY HEAD OR DEPUTY

Wayne [Signature]
[Signature]

STATE RECORDS ADMINISTRATOR

Colley K. Edwards

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE FEB 27 2009

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POLICIES 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, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. Microfilming must be done in accordance 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 insure 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.
10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.


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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Administration Electronic Records</u> Electronic records document all aspects of the operation and decision-making processes of the Administration. Administration electronic records consist of electronic mail, calendars, word processing files, spreadsheets, and databases, in addition to digital photographs and other electronic documents created and received by the Offices of the Governor and Cabinet Secretaries.</p>		<p>Retain in accordance with the appropriate records series. Transfer of electronic records will be coordinated by the Library of Virginia and the Virginia Information Technologies Agency at the end of the Administration. Personal and private materials are non-records per the Virginia Public Records Act and should be deleted prior to transfer. See "Personal or Private Papers."</p>
<p><u>Appointments Calendar – Office of the Secretary</u> This series documents the scheduled appointments and activities of the Secretary of Technology.</p>	101273	<p>Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention. See series "Administration Electronic Records" for transfer details.</p>
<p><u>Cabinet Meeting Records</u> This series contains materials collected at the Governor's Cabinet meetings by the Secretary and any annotations to the material made by the Secretary.</p>	005448	<p>Retain annotated materials until the end of the Governor's term, then transfer records to the Archives, Library of Virginia, for permanent retention. Record copy retained by the Chief of Staff, Governor's Office.</p>
<p><u>Commonwealth of Virginia Information Technology Symposium (COVITS)</u> This series documents the planning for and participation in the annual Commonwealth of Virginia Information Technology Symposium. The symposium is designed to facilitate communication on the state of information technology in the Commonwealth and to increase awareness of new developments and trends in information technology. Series includes planning documentation, correspondence, handouts, agendas and other supporting documentation.</p>	005449	<p>Retain until the end of Governor's term, then transfer records to the Archives, Library of Virginia, for permanent retention.</p>


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<p><u>Correspondence and Supporting Documentation – Assigned State Agencies</u> This series documents the correspondence sent and received by the office to and from state agencies assigned to the Secretariat. Files are arranged and separated by agency. Legislative files may be filed within this series or in series 101560, "Legislative Files."</p>	101276	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention.
<p><u>Correspondence and Supporting Documentation – Constituents</u> This series documents the receipt, forwarding or response to constituent correspondence.</p>	101277	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention.
<p><u>Correspondence and Supporting Documentation – Office of the Secretary</u> This series documents the incoming and outgoing correspondence of the Secretary and Deputy Secretaries. Legislative files may be filed within this series or in series 101560, "Legislative Files."</p>	101278	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention.
<p><u>Decision Memoranda and Briefs</u> This series documents the history of decision briefs sent by staff to the Secretary or the Governor for approval. This series includes decision memoranda and supporting documentation from assigned agency heads asking the Secretary's permission to perform a major function or policy initiative within their agency. This series also includes decision briefs and supporting documentation. This series may also be filed under 101276, "Correspondence and Supporting Documentation – Assigned State Agencies" or 101278, "Correspondence and Supporting Documentation – Office of the Secretary."</p>	101279	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention.


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<p><u>Electronic Mail, Official Records</u> This series consists of any electronic mail which documents the actions of the Secretary or the Secretary's staff. Series consists of both incoming and outgoing electronic mail.</p>		<p>Retain in accordance with the appropriate records series. Transfer of electronic records will be coordinated by the Library of Virginia and the Virginia Information Technologies Agency at the end of the Administration. Personal and private materials are non-records per the Virginia Public Records Act and should be deleted prior to transfer. See "Personal or Private Papers."</p>
<p><u>Legislative Files</u> This series consists of legislation and supporting documentation affecting the Office of the Secretary, as well as state agencies assigned to the Secretariat. This series may also be filed under 101276, "Correspondence and Supporting Documentation – Assigned State Agencies" or 101278, "Correspondence and Supporting Documentation – Office of the Secretary."</p>	101560	<p>Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia for permanent retention.</p>
<p><u>Personal or Private Papers</u> This series includes papers of the Secretary and Secretary's staff that are not related to the conduct of the Commonwealth's official business. This series may include correspondence and notes with family or friends, personal business papers, and political organization/party papers.</p>		<p>Non-records per Virginia Public Records Act; disposal reporting on Certificate of Records Disposal (RM-3 form) not required. Refer to Code of Virginia, §§ 2.2-126 and 42.1-76.</p>
<p><u>Planning and Budget Files – Assigned State Agencies</u> This series documents the interactions between the Office of the Secretary and the Governor's staff, assigned state agencies, and the Department of Planning and Budget regarding the development and modification of the Commonwealth's budget. This series may also be filed under 101276, "Correspondence and Supporting Documentation – Assigned State Agencies" or 101278, "Correspondence and Supporting Documentation – Office of the Secretary."</p>	101561	<p>Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention.</p>


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<p><u>Public Relations, Activities and Visits</u> This series documents planning for and preparation of public relations activities or visits sponsored or supported by the Office. This series includes flyers, publications, announcements, speeches, photographs and other related material.</p>	000146	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention.
<p><u>Secretary's Web Site</u> This series documents the history of the Secretary's web site. Series include files, images and related scripts of the official site of the Office of the Secretary. Web site is maintained by the Virginia Information Technologies Agency.</p>	005451	Capture of this website is undertaken by the Library of Virginia and/or its contracted service provider. Select web site captures are retained permanently by the Archives, Library of Virginia.
<p><u>Special Projects and Studies</u> This series documents the office's interaction with and oversight of various projects and studies. This series may include, but is not limited to, projects and studies associated with Governor's initiatives and specific organizations, issues and topics. This series may be used for permanent records that are not identified elsewhere on the Secretary's schedule.</p>	005495	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention.
<p><u>Strategic Plan for Technology</u> This series documents the development and publishing of the Strategic Plan for Technology as outlined in <i>Code of Virginia</i>, § 2.2-226. This is a four year plan with annual updates. Series includes working papers, correspondence, supporting documentation and finalized plans.</p>	005452	Retain until the end of Governor's term, then transfer inactive records, including one copy of the final report with executive summary to the Archives, Library of Virginia, for permanent retention.
		At time of publication send 20 copies of each title to Government Documents Program, Library of Virginia, per <i>Code of Virginia</i> , § 2.2-609.


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<u>Virginia Information Technologies Agency (VITA) Files</u> This series documents interaction with the Virginia Information Technologies Agency in relation to projects, studies and other miscellaneous matters. Includes Executive Order 50, detailing the reporting requirements for VITA.	005475	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention.
<u>Virginia Technology Alliance (VTA) Files</u> This series documents the interactions between the Secretary, the Governor and other public officials in regards to Regional Virginia Technology Councils.	101288	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia, for permanent retention.
<u>Weekly Report Files</u> This series consists of documentation pertaining to the weekly report that is provided to the Governor's Office. This series includes weekly reports provided by assigned state agencies and Cabinet reports prepared for the Governor. This series may also be filed under 101276, "Correspondence and Supporting Documentation – Assigned State Agencies" or 101278, "Correspondence and Supporting Documentation – Office of the Secretary."	101562	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia for permanent retention.