

RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 454-001
OFFICE OF COMMONWEALTH PREPAREDNESS

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

AGENCY APPROVALSTATE APPROVAL

AGENCY HEAD OR DEPUTY

STATE RECORDS ADMINISTRATOR

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE April 2, 2007

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CONDITIONS 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, audio-visual, electronic storage, digital imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality discretion. All reformatting must be done in accordance with The Library of Virginia Guidelines for Electronic Records and 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 the 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 ensure 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. E-mail is not a separate records series. Utilize the appropriate correspondence records series to determine retention. Both incoming and outgoing e-mails are considered part of the record and should be retained appropriately. Care should be taken to preserve attachments to e-mails. Due to their historical value e-mails with a permanent retention period should be printed out and filed in the appropriate file.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Administrative Records</u> This series documents the common functions and administration of various types of offices as well as records not otherwise listed on this schedule.		Refer to <i>General Records Retention and Disposition Schedule GS No. 101, Administrative Records</i> , for retention guidelines.
<u>Appointment Calendars</u> This series consists of the appointment calendar of the agency head.	009025	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia for permanent retention.
<u>Cabinet Meeting Records</u> This series contains materials collected at cabinet meetings by the Secretary and any annotations to the material made by the Secretary.	009026	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.
<u>Commonwealth Interoperability Coordinator's Office – Grant Files</u> This series consists of files concerning the re-grant of Federal funds for improvements to interoperability between local and state agencies in Virginia. Programs include Community Oriented Policing Services (COPS), State Homeland Security Grant Program, and other State and Federal Interoperability funding streams. Information gathered is used to adjudicate grant applications. Documentation includes completed applications, correspondence, emails, supporting materials and evaluation criteria in paper and electronic formats.	006267	Retain in agency for 1 year following completion of grant project, then destroy in compliance with No. 8 on schedule cover sheet.

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<p><u>Commonwealth Interoperability Coordinator's Office – Initiatives Files</u></p> <p>This series consists of information documenting the activities of the Office of Interoperability. Materials include correspondence, memoranda, emails and reports in both paper and electronic formats. Files concern interoperability communications, information technology, telecommunications and other areas where common language and best practices are sought. Select information from this series is used to develop the Annual State Interoperability Communications Plan, submitted to the General Assembly.</p>	006268	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia for permanent retention.
<p><u>Commonwealth Interoperability Coordinator's Office – Subject Files</u></p> <p>This series consists information used for operational purposes by the Commonwealth Interoperability Coordinator. Documentation includes correspondence, memoranda, reports, emails, MS Access databases and other paper and electronic supporting materials. Subjects covered in this series include Administration, Annual Conferences, Awards, Budget, Interns, Invoices, Publications and Strategic Plans.</p>	006269	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>Constituent Correspondence</u></p> <p>This series consists of constituent correspondence forwarded from the Governor's Constituent Services office to the Office of Commonwealth Preparedness for response. Includes the routing slip from Constituent Services, copy of constituent letter, and file copy of response from the agency head.</p>	009027	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</u></p> <p>This series consists of the chronological file of incoming and outgoing correspondence and other supporting documentation from the Office of Commonwealth Preparedness. Includes any constituent correspondence that is not part of series 009027, "Constituent Correspondence".</p>	009028	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia for permanent retention.
<p><u>Electronic Mail: Official Records</u></p> <p>This series documents the electronic sending or receipt of messages, mail, files, or other transmissions through a computer system, computer network and/or modem that are equivalent to hard copy correspondence or other official records. Any electronic mail that documents the actions of the Secretary or the Secretary's staff.</p>		Refer to No. 10 on schedule cover page.
<p><u>Emergency Plan Assessments</u></p> <p>This series consists of assessment reports on agency disaster recovery and contingency plans, detailing their strengths and weaknesses and providing recommendations for improvement.</p>	009030	Retain in agency until no longer administratively useful and then dispose of in accordance with Dept. of Homeland Security regulations, Executive Order 12958 with amendments, and DoD Regulation 5200.1-R. <i>Code of Virginia</i> § 2.2-3705(A57) excludes this category of information from the <i>Freedom of Information Act</i> .



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<p><u>Homeland Security Files: For Official Use Only Reports</u></p> <p>This series consists of confidential terrorism threat alerts, briefings, bulletins, or reports from the federal Office of Homeland Security, other federal Counterterrorism offices, or law enforcement. NOTE: This series may contain law sensitive and classified information.</p>	009029	Retain in agency until no longer administratively useful and then dispose of in accordance with Dept. of Homeland Security regulations, Executive Order 12958 with amendments, and DoD Regulation 5200.1-R. <i>Code of Virginia</i> § 2.2-3705(A57) excludes this category of information from the <i>Freedom of Information Act</i> .
<p><u>Homeland Security Files: Grants</u></p> <p>This series consists of materials concerning grants received from the federal government that are disbursed to state agencies and localities. Documentation includes correspondence (paper and email), summaries of meetings with stakeholders, reports, spreadsheets and background information on disbursement (re-granting) of funds.</p>	006270	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia for permanent retention.
<p><u>Meeting Files: Preparedness Committees</u></p> <p>This series documents meetings of Committees and Panels under the cognizance of the Office of Commonwealth Preparedness. Includes agendas and meeting summaries of panel and sub-panel meetings.</p>	009032	Retain until the end of Governor's term, then transfer inactive records to the Archives, Library of Virginia for permanent retention.
<p><u>Personal or Private Papers</u></p> <p>This group includes records that are not related to the official business of the Commonwealth. May include correspondence with family or friends, personal business records and records off/from political organizations, not related to the role of the Secretary.</p>		Nonrecords per <i>Virginia Public Records Act</i> ; disposal reporting on Certificate of Records Disposal (RM-3 form) not required. Refer to <i>Code of Virginia</i> , §§ 2.2-126 and 42.1-76.
<p><u>Vendor Reference Files</u></p> <p>This series consists of reference files on vendors and vendor products related to homeland security in the Commonwealth of Virginia.</p>	009033	Retain in agency until no longer administratively useful, then destroy.

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<u>Web Site: Office of Commonwealth Preparedness</u> This series documents the history of the Office's web site. Series include files, images and related scripts of the official site of the Office of Commonwealth Preparedness.	009034	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.