

Records Management at William & Mary



WILLIAM & MARY

CHARTERED 1693

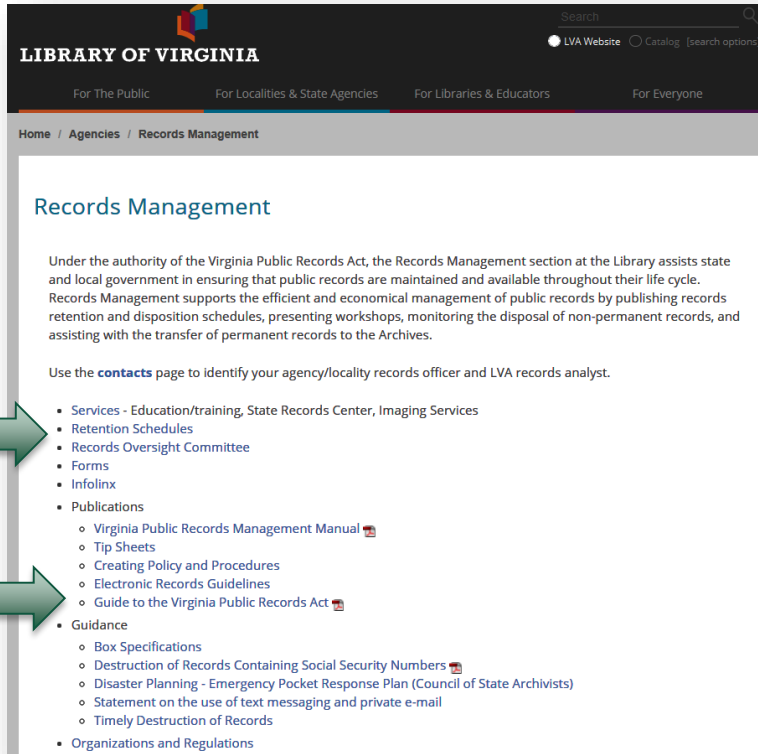
FAQ

- Retention policies/guidelines
- Retention process (who to call/what to do)
- How to handle confidential information (contracts, financial documents, PII)
- What happens when records are retained too long?

FAQ continued

- Where do the records go?
- Can offices still access records that go to the archives?
- Digitization options

Library of Virginia Retention Policies & Guidelines



LIBRARY OF VIRGINIA

Search

LVA Website Catalog [search options]

For The Public For Localities & State Agencies For Libraries & Educators For Everyone

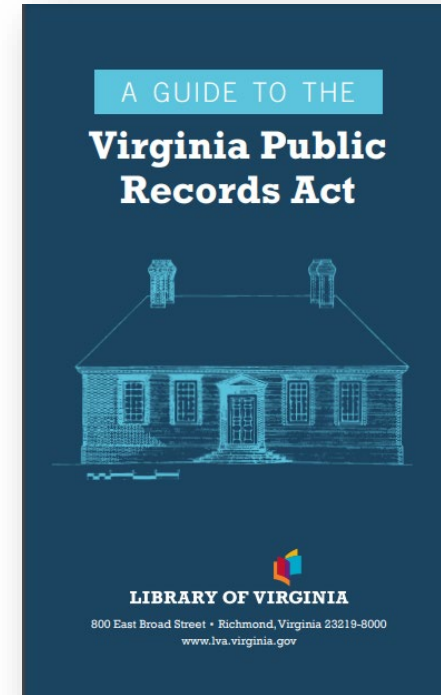
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Records Management

Under the authority of the Virginia Public Records Act, the Records Management section at the Library assists state and local government in ensuring that public records are maintained and available throughout their life cycle. Records Management supports the efficient and economical management of public records by publishing records retention and disposition schedules, presenting workshops, monitoring the disposal of non-permanent records, and assisting with the transfer of permanent records to the Archives.

Use the **contacts** page to identify your agency/locality records officer and LVA records analyst.

- Services - Education/training, State Records Center, Imaging Services
- Retention Schedules
- Records Oversight Committee
- Forms
- Infolinx
- Publications
 - Virginia Public Records Management Manual
 - Tip Sheets
 - Creating Policy and Procedures
 - Electronic Records Guidelines
 - Guide to the Virginia Public Records Act
- Guidance
 - Box Specifications
 - Destruction of Records Containing Social Security Numbers
 - Disaster Planning - Emergency Pocket Response Plan (Council of State Archivists)
 - Statement on the use of text messaging and private e-mail
 - Timely Destruction of Records
- Organizations and Regulations



<https://www.lva.virginia.gov/agencies/records/>

Retention Schedules

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Retention Schedules

Under *Code of Virginia* § 42.1-85, the Library of Virginia (LVA) has the authority to issue regulations governing the retention and disposition of state and local public records. In keeping with the Code's mandate, LVA has developed records retention and disposition schedules outlining the disposition of public records.

Under this policy, the LVA issues two types of schedules. **General schedules** apply to the records of common functions performed by or for all localities and state agencies. **Specific schedules** apply to records that are unique to an individual state agency.

Before a state agency or locality can destroy public records:

- A records officer for your organization must be designated in writing by completing and filing a Records Officer Designation and Responsibilities (RM-25 Form) with the Library of Virginia.
- Records to be destroyed must be covered by a Library of Virginia-approved general or specific records retention and disposition schedule and the retention period for the records must have expired.
- All investigations, litigation, required audits, and Virginia Freedom of Information Act requests must be completed or fulfilled.
- The organization's designated records officer and an approving official must authorize destruction by completing a Certificate of Records Destruction (RM-3 Form) prior to the records being destroyed.

When a new schedule is approved, it supersedes all previously issued versions of the schedule.

General Schedules for Localities

General Schedules for State Agencies

Specific Schedules for State Agencies

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LVA Website Catalog [search options]

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General Schedules for State Agencies

[Searchable database for state General Schedules](#)

General Administration

- GS-101, Administrative Records (December 2019) ***Changed disposition for Investigative Reports***
- GS-102, Fiscal Records (December 2017)
- GS-106, General Services (Sep 2000)
- GS-113, Information Technology (Mar 2009)
- GS-103, Personnel Records (Feb 2015)

Specific Departments

- GS-111, College and University (February 2017)
- GS-129, Criminal Justice Training Academy (April 2015)
- GS-108, Fire, Safety and Security (Dec 2013)
- GS-107, Food Service (May 2001)
- GS-100, Governor's Cabinet (Jan 2018) ***New Schedule***
- GS-120, Health Records (July 2020) ***New series for Sexual Assault Records per 32.1-162.15:4***
- GS-117, Law Enforcement (Aug 2015)
- GS-109, Library and Museum (Aug 2001)
- GS-104, Mailroom (Mar 2001)
- GS-105, Motor Vehicle (Apr 2001)

<https://www.lva.virginia.gov/agencies/records/retention.asp>

**LIBRARY OF VIRGINIA**

Archives, Records, and Collections Services
 800 E. Broad St., Richmond VA 23219
 (804) 692-3600

RECORDS RETENTION AND DISPOSITION SCHEDULE

GENERAL SCHEDULE NO. GS-111

ALL STATE AGENCIES

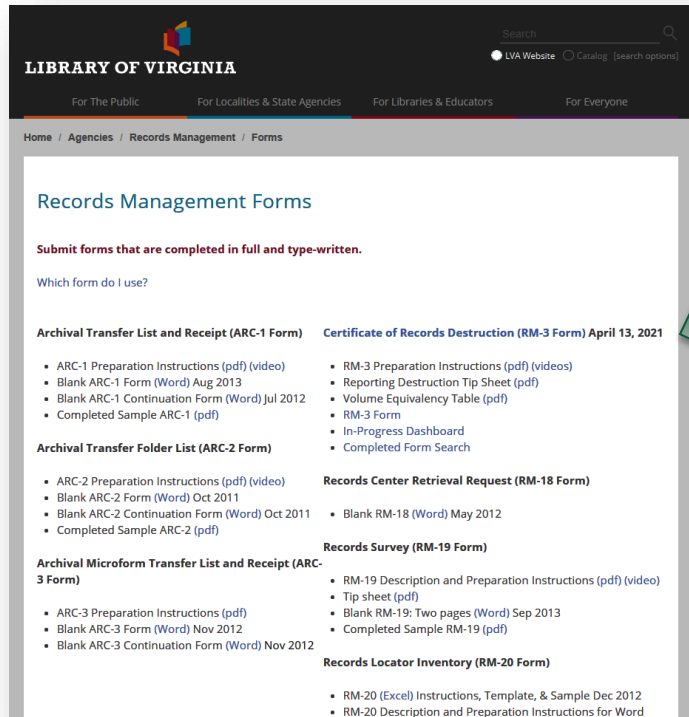
College and University

EFFECTIVE SCHEDULE DATE: 6/10/2021

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Academic Departments: Course Syllabi</u> This series documents courses offered by the department. This series may include, but is not limited to: syllabi.	101072	0 Years after superseded, obsolete, or rescinded	Non-confidential Destruction
<u>Academic Departments: Course/Curricula Approval</u> This series documents the proposed creation of new or revised courses, programs or degrees. This series may include, but is not limited to: requests, contents, and approval or refusal documentation.	101073		Permanent, In Agency
<u>Academic Departments: Department/School Files - Graduate Students</u> This series documents the monitoring of graduate student status, history and grades within the academic department or school. This series may include, but is not limited to: approval of summer course work, transfer credits, leave/withdrawal, veterans status info, international studies visa application, dean/department notes, readmission application, scholarships/awards, and committee/thesis paperwork.	101083	10 Years after graduation or withdrawal	Confidential Destruction
<u>Academic Departments: Department/School Files - Undergraduate Students</u> This series documents the monitoring of undergraduate student status, history and grades within the academic department or school. This series may include, but is not limited to: approval of summer course work, transfer credits, leave/withdrawal, veterans status info, international studies visa application, dean/department notes, readmission application, and scholarships/awards.	101082	5 Years after graduation or withdrawal	Confidential Destruction
<u>Academic Departments: Faculty Activity Reports</u> This series documents reporting of faculty activity within the department. This series may include, but is not limited to: faculty annual reports documenting accomplishments, research conducted, grants approved, and publications.	101074	5 Years after end of academic year	Non-confidential Destruction

Example:

Records Destruction



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Search

LVA Website Catalog [search options]

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Home / Agencies / Records Management / Forms

Records Management Forms

Submit forms that are completed in full and type-written.

Which form do I use?

Archival Transfer List and Receipt (ARC-1 Form)

- ARC-1 Preparation Instructions (pdf) (video)
- Blank ARC-1 Form (Word) Aug 2013
- Blank ARC-1 Continuation Form (Word) Jul 2012
- Completed Sample ARC-1 (pdf)

Archival Transfer Folder List (ARC-2 Form)

- ARC-2 Preparation Instructions (pdf) (video)
- Blank ARC-2 Form (Word) Oct 2011
- Blank ARC-2 Continuation Form (Word) Oct 2011
- Completed Sample ARC-2 (pdf)

Archival Microform Transfer List and Receipt (ARC-3 Form)

- ARC-3 Preparation Instructions (pdf)
- Blank ARC-3 Form (Word) Nov 2012
- Blank ARC-3 Continuation Form (Word) Nov 2012

Certificate of Records Destruction (RM-3 Form) April 13, 2021

- RM-3 Preparation Instructions (pdf) (videos)
- Reporting Destruction Tip Sheet (pdf)
- Volume Equivalency Table (pdf)
- RM-3 Form
- In-Progress Dashboard
- Completed Form Search

Records Center Retrieval Request (RM-18 Form)

- Blank RM-18 (Word) May 2012

Records Survey (RM-19 Form)

- RM-19 Description and Preparation Instructions (pdf) (video)
- Tip sheet (pdf)
- Blank RM-19: Two pages (Word) Sep 2013
- Completed Sample RM-19 (pdf)

Records Locator Inventory (RM-20 Form)

- RM-20 (Excel) Instructions, Template, & Sample Dec 2012
- RM-20 Description and Preparation Instructions for Word

- The Records Destruction approval process (RM-3) is now **online-only**
- **No** paper forms or wet-ink signatures accepted
- Easy video, written instructions on LVA website

<https://www.lva.virginia.gov/agencies/records/forms.asp>

Organization Information

STATE AGENCY OR LOCALITY

Approving Official ⓘ

APPROVING OFFICIAL'S NAME

APPROVING OFFICIAL'S TITLE

APPROVING OFFICIAL'S E-MAIL

CONFIRM APPROVING OFFICIAL'S E-MAIL

Organization Address

ADDRESS

CITY

STATE

ZIP

Records to be Destroyed

[Add New Record](#)

Form Creator

FORM CREATOR'S NAME

TELEPHONE NUMBER

FORM CREATOR'S TITLE

FORM CREATOR'S E-MAIL

CONFIRM FORM CREATOR'S E-MAIL

[Submit Completed Form](#)

Online RM-3 Process

1. Form Creator submits form
2. Approving Official receives and approves form
3. Records Officer receives and approves form
4. Form Creator destroys records and gives final affirmation

In-Progress Dashboard

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Search

LVA Website Catalog [search options]

For Researchers For the Public For Libraries & Educators For Libraries & State Agencies

Home / Agencies / Records Management / Forms

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- Reporting Destruction Tip Sheet (pdf)
- Volume Equivalency Table (pdf)
- RM-3 Form
- In-Progress Dashboard
- Completed Form Search

If the destruction will be taking place via the **State Records Center**:

- Please see [this page](#) under the heading "Prepare Boxes for Destruction by the State Records Center".

If you have questions about which version of the form to use, [please contact your records analyst](#).

Records Center Retrieval Request (RM-18 Form)

<https://www.lva.virginia.gov/agencies/records/forms.asp>

LIBRARY OF VIRGINIA

In-Progress RM-3 Forms

Search Parameters

STATE AGENCY OR LOCALITY: State Agency

AGENCY NAME: College of William and Mary in Virginia, The

DIVISION / DEPARTMENT:

SUB-DEPARTMENT:

Search Forms

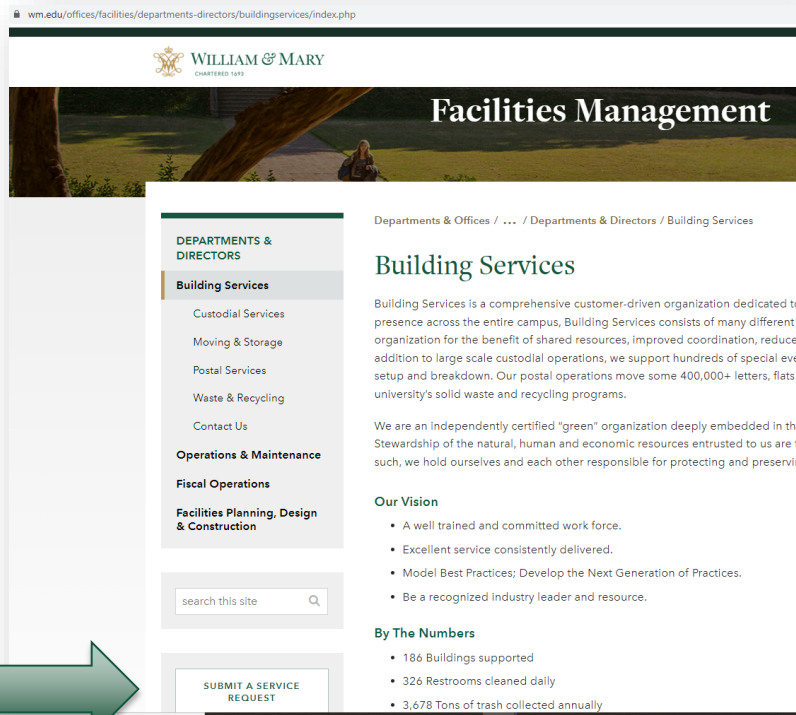
Form # **15554** College of William and Mary in Virginia, The
Classical Studies

Approved by Creator	Approved by Approving Official	Approved by Records Officer	Affirmation of Records Destruction
<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Joyce Holmes	Vassiliki Panoussi	Alissa Zawoyksi	

Form # **15474** College of William and Mary in Virginia, The
Modern Languages & Literatures

Approved by Creator	Approved by Approving Official	Approved by Records Officer	Affirmation of Records Destruction
<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>	<input checked="" type="radio"/>
Jinger Hickman July 8th 2022	Francie Cate-Amies July 8th 2022	Alissa Zawoyksi July 8th 2022	Sent to Jinger Hickman

Non-Confidential Destruction



wm.edu/offices/facilities/departments-directors/buildingservices/index.php

WILLIAM & MARY
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Facilities Management

Departments & Offices / ... / Departments & Directors / Building Services

Building Services

Building Services is a comprehensive customer-driven organization dedicated to presence across the entire campus. Building Services consists of many different organization for the benefit of shared resources, improved coordination, reduce addition to large scale custodial operations, we support hundreds of special even setup and breakdown. Our postal operations move some 400,000+ letters, flats university's solid waste and recycling programs.

We are an independently certified "green" organization deeply embedded in the Stewardship of the natural, human and economic resources entrusted to us are t such, we hold ourselves and each other responsible for protecting and preservin

Our Vision

- A well trained and committed work force.
- Excellent service consistently delivered.
- Model Best Practices; Develop the Next Generation of Practices.
- Be a recognized industry leader and resource.

By The Numbers

- 186 Buildings supported
- 326 Restrooms cleaned daily
- 3,678 Tons of trash collected annually

DEPARTMENTS & DIRECTORS

Building Services

- Custodial Services
- Moving & Storage
- Postal Services
- Waste & Recycling
- Contact Us

Operations & Maintenance

Fiscal Operations

Facilities Planning, Design & Construction

search this site

SUBMIT A SERVICE REQUEST

- Recycle, delete
- Multi-box pick-up can be scheduled via W&M Building Services

Non-shredding ONLY

Confidential Paper Destruction

- Confidential paper files require shredding
- Contact Stericycle directly to arrange Shred-It bin or pick-up:
 - Account Mgr Christine Franzik
Christine.Franzik@Stericycle.com
 - Sales Rep Chris Pickard
chris.pickard@stericycle.com

§ 42.1-78. *Confidentiality safeguarded.*

Any records made confidential by law shall be so treated. Records which by law are required to be closed to the public shall not be deemed to be made open to the public under the provisions of this chapter. Records in the custody of the Library of Virginia which are required to be closed to the public shall be open for public access 75 years after the date of creation of the record. No provision of this chapter shall be construed to authorize or require the opening of any records ordered to be sealed by a court. All records deposited in the archives that are not made confidential by law shall be open to public access.

(1976, c. 746; 1979, c. 110; 1990, c. 778; 1994, c. 64; 2006, c. 60.)

Requesting Shred-It

New Ship To (Service Location) Information

- Location Name:
- Address:
- Suite:
- City:
- State:
- Zip:
- Elevator Access (if not on ground floor): Yes / No
- Parking (e.g. dock, front of building, street):

Point of Contact for Driver

- Name:
- Phone:
- Email:

Scope of Work (see attached container options)

- # Consoles:
- # Mini:
- # Desk Side:
- # 64g Tote:
- # 96g Tote:
- Service Frequency: Weekly, Every 2 Weeks, Every 4 Weeks
- Service Hours (M-F):
- Restrictions / Notes:



Confidential Electronic Destruction

- Electronic files needs to be physically destroyed or overwritten, not just deleted
- If you need to securely destroy records in Banner or on a shared drive, contact support@wm.edu

Risks of Over-Retention

- Records which should have been destroyed (but weren't) are subject to legal discovery
- Additional cost of managing

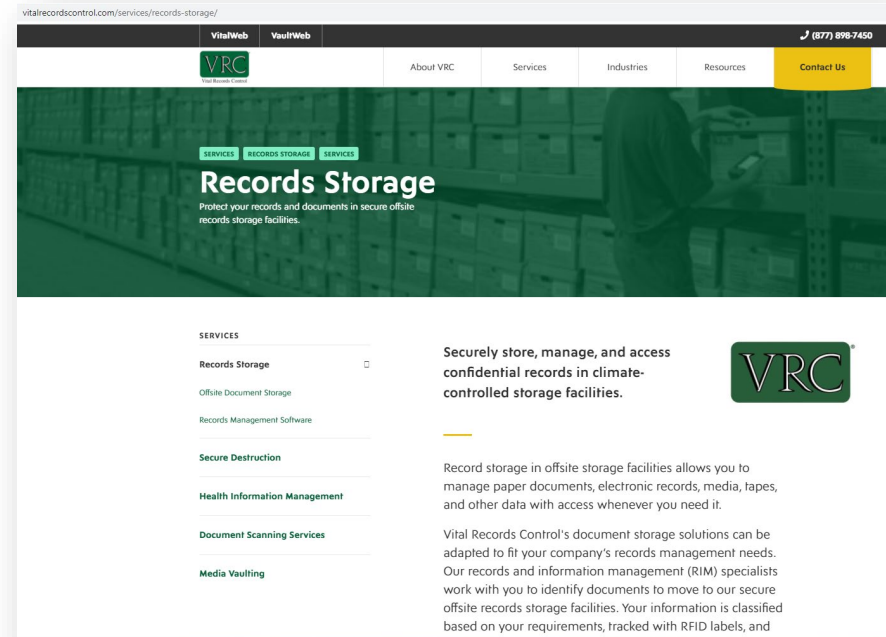
...Good stewardship preferable

Should My Files Go to the Archives?

- Permanent Retention: **Yes**
When no longer in current use
- Non-Permanent Retention: **No**
Send to Vital Records Control instead

Non-Permanent Records Storage

- W&M uses Vital Records Control of VA
- Retrieval, scanning, shredding
- Contact Dennis Haraway:
DHaraway@vrcofva.com
804-518-0580



Digitizing Non-Permanent Records

- Electronic files must be preserved for length of legal life if original paper is discarded
- Contact campus IT for advice on secure storage, digitization options:
support@wm.edu

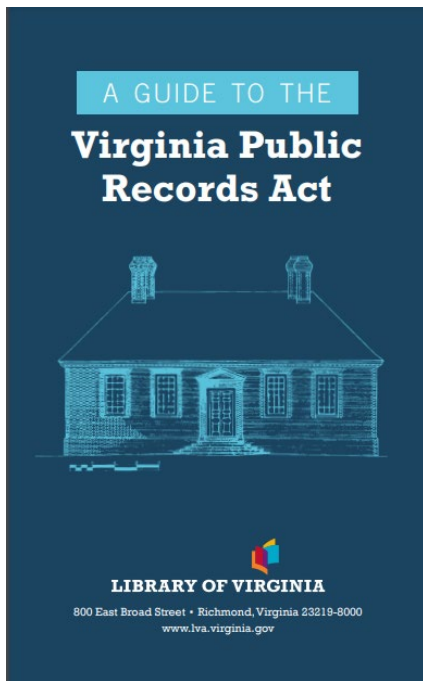
FAQ: Recap

- Retention policies/guidelines:
[LVA website](#)
- Retention process (who to call/what to do):
Compare materials to retention schedules; contact Ali w/ questions
- How to handle records with sensitive/confidential information?
Shred/securely destroy
- What happens when records are retained too long?
Legal liability, unnecessary expense

FAQ: Recap

- Where do the documents go?
Non-permanent records: Vital Records Control
Permanent: William & Mary Libraries
- Can offices still access documents that go to the archives?
Yes*
***Materials in active use should not be transferred yet**
- What is the process for having documents digitized?
Contact support@wm.edu for options

Thank You!



Questions?

Email: ajzawoyski@wm.edu

Phone: (757) 221-3094