

Disposition of public records

Under the *Virginia Public Records Act*, Virginia Tech is subject to state regulations governing the retention and disposition of state and local public records. Official records covered by records series within this records retention schedule must be retained for the minimum retention period as specified in this schedule. The Records Management Services unit is available to help in maintaining and disposing of university records according to state guidelines. Forms and other information on records management can be found at our web site: <https://www.lib.vt.edu/help/rms.html> .

Scope of this records schedule

The following schedule is a subset of the complete general state agency records retention guidance available from the Library of Virginia. This abbreviated schedule contains disposition information for a subset of records commonly created by Virginia Tech departments and other like-sized administrative units. The complete body of all applicable records retention schedules can be accessed online at: http://www.lva.virginia.gov/agencies/records/sched_state/index.htm. A specific records retention schedule for 4-H records is available from Virginia Cooperative Extension at: <https://pubs.ext.vt.edu/388/388-050/388-050-PDF.pdf>.

Filing a Certificate of Records Destruction

Please complete a Certificate of Records Destruction before destroying official records. Official records are those records maintained in your unit to serve as original record copies. You do not need to complete a certificate when destroying convenience copies of records which are officially maintained by other offices, unless you are requesting our records shredding or degaussing services, in which case the certificate is used to track and verify the completion of your request. Records Management Services approves and maintains destruction certificates, and offers an online form here: <https://vt.libsurveys.com/loader.php?friendly=rms-destruct>.

Legal holds and investigations

Please verify that any records you are seeking to destroy are not currently on legal hold or otherwise subject to active investigation.

Contact

For other recordkeeping matters or for questions related to this schedule, please contact Ryan Speer, Director, Records Management Services, at 1-0255 or rps@vt.edu

Revision History

Version	Date of Approval	Extent of Revision
1.0	April 2017	Creation of new format and establishment of version numbering system for the pre-existing VT Abbreviated Records Retention Schedule, which had last been updated in April 2016. Adopted 102-012103 (Financial Accounting Reports) as the recommended records series number for describing non-purchasing and non-payroll monthly reconciliation records; reconciliation records were previously handled as 102-200109 (Cash and Bank Reports); retention remains the same: 3 years after end of FY.
1.1	July 2017	Added graduate and undergraduate student records to Academic Department Management Section.
1.2	September 2017	Updated links to point to new departmental web site. To increase coverage and utility of this document, added several additional records series.

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1 Financial Management

1.1 GENERAL

102-012103	<p>Financial Accounting Reports This series documents regulatory compliance and accuracy in transaction processing, such as tracking of income and expenditures.</p> <p>Should be applied to monthly departmental fiscal reconciliation records associated with University Policy 3100 compliance; <u>monthly P-card reconciliation files are purchasing records and should be kept for 5 years</u> (see 1.2, Purchasing below). If your P-card reconciliation files are interfiled with other fiscal reconciliation files, keep them all for 5 years, to meet the required retention for purchasing records.</p>	Retain 3 years after end of fiscal year; shred
102-012083	<p>Accounts Receivable This series documents moneys owed to the agency by its debtors. The series may include, but is not limited to: bills, invoices, receipts, deposit slips, and reimbursement documentation.</p>	Retain 3 years after end of fiscal year; recycle
102-012082	<p>Accounts Payable This series documents moneys to be paid by the agency to its creditors. The series may include, but is not limited to: invoices, receipts, bills, canceled checks, returned checks, check registers, and checking statements.</p>	Retain 3 years after end of fiscal year; recycle
102-200109	<p>Cash and Bank Reports This series may include, but is not limited to: cash reports, transmittal and settlement records, warrant records, bank statements, and reconciliation documentation.</p>	Retain 3 years after end of fiscal year; recycle
102-007028	<p>Surplus Property Disposal This series documents the disposition of property by the agency that has been declared as surplus and no longer needed for use. This series may include, but is not limited to: bill of sale and supporting documentation.</p>	Retain 3 years after end of fiscal year; recycle
102-012154	<p>Vendor Files This series documents the agency's dealing with various vendors who provide goods and services. This series may include, but is not limited to: correspondence, contracts, and agreements.</p>	Retain until after no longer administratively useful; recycle

1.2 PURCHASING

102-200114	<p>Purchasing Records: Created and/or stored in HokieMart Documents the purchasing of equipment, goods, services, and supplies by the agency. This series may include, but is not limited to: bids, bid proposals, agreements, purchase orders, and requisitions. Includes all records created in HokieMart, along with purchasing-related documents scanned by creating departments and attached to purchasing records in HokieMart.</p> <p>All electronic purchasing documents created in HokieMart along with images of scanned and attached receipts can be queried at a later date; please avoid unnecessary records duplication at the departmental level. Please see 102-012150 below on receiving records.</p>	Retain 5 years after end of fiscal year; shred
102-200114	<p>Purchasing Card Files and Other Records: Not stored in HokieMart Departmental purchasing files which have not been captured in HokieMart should be retained in the creating department as official records. This includes records such as: purchasing-card files or vendor quotes.</p>	Retain 5 years after end of fiscal year; shred
102-012150	<p>Receiving Records/Reports This series documents the receiving of goods, supplies, and equipment by the university. This includes records such as: packing slips or other receiving records.</p>	Retain 3 years after end of fiscal year; shred

1.3 PAYROLL

102-200113	<p>Payroll Records This series documents the payroll activities of the agency. This series may include, but is not limited to: deduction authorizations and registers, leave records, ledgers and reports, compensation files, retirement contributions, time and attendance records, and time sheets.</p> <p>Any leave reports with original signatures created prior to the establishment of the online Leave and Time Worked Reporting System must still be retained by the creating department for 5 years after end of FY in which they were signed.</p>	Retain 5 years after end of fiscal year; shred
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1.4 REIMBURSEMENT

102-012151	Reimbursement Records: Created and/or stored in TEM Documents the reimbursement of money to or from the agency. This series may include, but is not limited to: travel expense reimbursement and overpayment documentation.	Retain 3 years after end of fiscal year; shred
102-012151	Reimbursement Records: Original copies of receipts scanned into TEM <u>Per VT Controller's Office Procedure 20335v</u> : Original receipts must be kept by the department for one year after the end of the fiscal year in which the reimbursement requests were created. All electronic purchasing documents created in TEM along with images of scanned and attached receipts can be queried at a later date; please avoid unnecessary records duplication at the departmental level.	Retain 1 year after end of fiscal year; shred

1.5 CONTRACTS

102-200110	Contracts This series documents contracts and agreements entered into by the agency. This series may include, but is not limited to: contract and supporting documentation.	Retain 5 years after expiration; recycle
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2 Human Resources Management

2.1 RECRUITMENT AND HIRING

103-012185	Recruitment, Hiring, Interview, and Selection Records Documents the process and result of recruiting, selecting, and hiring. This series may include, but is not limited to: applications of selected and rejected applicants, position descriptions, copies of announcements and advertisements, selection criteria, evaluations, interview notes, tests, work samples, and rankings.	Retain 3 years after event; shred
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103-100503	<p>Applications and Resumes: Unsolicited This series documents the receipt of unsolicited applications or resumes for which no position has been announced. This series may include, but is not limited to: applications and resumes.</p>	Retain until after no longer administratively useful; shred
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2.2 INDIVIDUAL EMPLOYEE RECORDS

103-012172	<p>Employee Personnel Records – Short Term Documents any employee’s work activity and history that is not included in the Long Term series. This series may include, but is not limited to: test results; professional certification and qualification records; evaluations; disciplinary actions; promotion/demotion, layoff, termination or tenure records; return to work notifications (Issued by employer); and any other non-long term record.</p> <p>Personnel records held by departments, colleges, and other organizational units outside of central VT HR generally are classified as short-term records; for more detail please consult 1) VT Policy 4085, Retention of Employee Personnel Records, and 2) the complete personnel records schedule: http://www.lva.virginia.gov/agencies/records/sched_state/GS-103.pdf</p>	Retain 5 years after separation; shred
103-100492	<p>Incident Reports This series documents the occurrence of an incident, and any subsequent investigation, that involves the employees/facilities of an agency, or the public, and has reasonable possibility of legal consequences. This series may include, but is not limited to: investigative and interview notes, logs, and reports, as well as materials related to Series 100473, "Accident/Illness Reports."</p>	Retain 5 years after event; shred

2.3 PROMOTION AND TENURE

103-100499	Promotion, Demotion, Separation, or Tenure Records This series documents the decisions made regarding promotion, demotion, separation, layoff, termination, or tenure for a particular position or group of positions. This series may include, but is not limited to: staffing templates, budget reports, performance and composite data, and position evaluations.	Retain 2 years after decision; shred
111-200554	Promotion and Tenure Records: Supporting Documentation This series documents the promotion and tenure process for an individual faculty member. This series includes, but is not limited to: letters of recommendation, current curriculum vitae, research summaries, published papers, and documentation of awards/accolades, committee work, presentations, and grant participation.	Retain 5 years after decision; shred

3 Academic Department Management

3.1 DEPARTMENT RECORDS

111-101081	Student Examination Files Documents work completed by students for grades in a course. This series may include, but is not limited to: exams, quizzes, tests, and term papers.	Retain 1 year after end of semester; shred
111-101071	Course Evaluations: Non-Tenure Track Faculty, Instructors, and Graduate Instructor This series documents evaluations completed by students for non-tenure track faculty, instructors, or graduate instructors/teaching assistants. This series may include, but is not limited to: course, instructor, or material evaluations.	Retain 1 year after end of academic year; shred

111-200234	<p>Course Evaluations: Tenured or Tenure-Track Faculty This series documents evaluations completed by students for tenure track or tenured faculty. This series may include, but is not limited to: course, instructor, or material evaluations.</p>	Retain 5 years after end of academic year; shred
111-101082	<p>Academic Departments: Department/School Files - Undergraduate Students 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.</p>	Retain 5 year(s) after graduation or withdrawal; shred
111-101083	<p>Academic Departments: Department/School Files - Graduate Students 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.</p>	Retain 10 year(s) after graduation or withdrawal; shred

4 Virginia Cooperative Extension Offices

4.1 PROGRAM FILES		
101-100302	<p>4-H Administrative Files Retention periods for 4-H records vary according to record type and storage location (unit office or 4-H center). When submitting a Certificate of Records Destruction, please use 101-100302 as a records series number and consult the VCE Retention Schedule for 4-H Forms for specific retention guidance: https://www.pubs.ext.vt.edu/388/388-050/388-050.html.</p>	Retention varies; all records containing personally-identifiable information should be shredded

101-100302	<p>Family Nutrition Program Files</p> <p>When submitting a Certificate of Records Destruction, please use 101-100302 as a records series number and consult the Family Nutrition Program Policy and Procedures Manual for specific retention guidance (Records and Forms to Be Completed by FNP Program Assistants, p. 70):</p> <p>http://www.intra.ext.vt.edu/fcs/efnep/documents/FNPPolicyandProceduresManual082013withjmrevisionsmws.pdf.</p>	Retention varies; all records containing personally-identifiable information should be shredded
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5 Records of Minimal Retention Value

5.1 ROUTINE ADMINISTRATIVE RECORDS		
101-012019	<p>Correspondence & Subject Files: Routine, Administrative</p> <p>This series consists of incoming and outgoing letters, memorandum, faxes, notes and their attachments of a routing administrative nature, not listed on an agency specific schedule, in any physical format including, but not limited to, paper and e-mail.</p> <p>Please use this series when requesting our shredding services for routine, miscellaneous paper files (including shred bin contents) – <u>not</u> to include official university records specified elsewhere in the state retention schedules. The Certificate of Records Destruction form is used for this purpose and is available at:</p> <p>https://vt.libsurveys.com/loader.php?friendly=rms-destruct</p> <p><u>Correspondence and subject files of department heads are subject to longer retention</u> (or transfer to University Archives when appropriate); please see the complete administrative records schedule for further guidance:</p> <p>http://www.lva.virginia.gov/agencies/records/sched_state/GS-101.pdf</p>	<p>Retain until after no longer administratively useful</p> <p>Use confidential destruction (shredding) for records containing personally-identifiable or otherwise confidential information OR non-confidential destruction (recycling) as appropriate</p> <p>Please contact us if you have questions about the required destruction method</p> <p>To conserve resources and prevent the inappropriate or inadvertent destruction of official records: please do not request shredding services for large amounts of uninspected office files</p>

5.2 DUPLICATE ELECTRONIC RECORDS ON PHYSICAL MEDIA

101-100376

Security Backup Files

Documents the creation of duplicate copies of records, usually electronic records, created for information security purposes.

Please use this series when requesting our degaussing services for backup tapes or decommissioned hard drives - not to include official university records specified elsewhere in the state retention schedules. The CRD form is used for this purpose and is available at:

<https://vt.libsurveys.com/loader.php?friendly=rms-destruct>

Retain until after no longer administratively useful; degauss