



LIBRARY OF VIRGINIA

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

RECORDS RETENTION AND DISPOSITION SCHEDULE

SPECIFIC SCHEDULE NO. 701-100

Corrections, Dept. of

Institutions: Operations/Programs

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

AGENCY APPROVAL

AGENCY HEAD OR DEPUTY

AGENCY RECORDS OFFICER

Mr. Clarke
Riley O'Brien

STATE APPROVAL

STATE ARCHIVIST

COMPTROLLER OR DEPUTY

John C. Smith

EFFECTIVE SCHEDULE DATE: **OCT 01 2021**

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 Destruction (RM-3 Form). A completed RM-3 Form must be approved by an agency-designated records officer before records can be destroyed.
4. Any records created prior to 1912 must be offered, in writing, to the Library of Virginia (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.
5. All known audits, requests for records pursuant to the Virginia Freedom of Information Act, § 2.2-3700, et seq., and retention schedule renegotiations regarding 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 and/or operational reformatting processes until all issues are resolved.
6. The retentions and dispositions listed on the attached page(s) apply regardless of format, e.g., paper, microfilm, electronic image, etc. Unless prohibited by law, records may be reformatted at the agency's 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. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting, or migration, it is the obligation of the agency to do so.
7. Records custodians must ensure that confidential or privacy-protected information contained in records and non-records is ultimately destroyed to prevent unauthorized disclosure. Confidential destruction of paper is accomplished only through shredding, pulping, or burning. For electronic information, it is accomplished by overwriting the data or physically destroying the media. Merely deleting confidential or privacy-protected information is not sufficient. Documents containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
 8. 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 State Archives, which may purge select records in accordance with professional archival practices in order to ensure efficient preservation and access.
 9. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year, as appropriate. Retention periods start at that time. Other event-based filing cutoffs (e.g., "after last action") must be defined and consistently applied by the agency.



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Accreditation</u> This series documents DOC's compliance with requirements to maintain its accreditation through a corrections-industry accrediting body. This series may include but is not limited to reports and checklists that have been made defunct and superseded by this series (water quality and quantity, VDOT work crews, generator inspections, and institutional records transfers), as well as other forms, spreadsheets, logs, and receipts.	200697	4 Years after end of calendar year	Confidential Destruction
<u>Agribusiness Chemical Application</u> This series documents the application of chemicals to agricultural products, dates of application, size of the area, what was applied, how much was applied, registration and applicator number, and how long before the product area can be reentered and/or harvested. This series may include, but is not limited to: reports, forms, and logs. 7 CFR 110.3	200699	2 Years after end of calendar year	Confidential Destruction
<u>Agribusiness Production</u> This series documents the types, quantities, and values of products produced by DOC's Agribusiness ventures. This series may include, but is not limited to: inventories and spreadsheets.	101475	3 Years after end of calendar year	Non-confidential Destruction
<u>Authorizations/Consents: Inmate</u> This series documents an inmate's authorization/consent to be contacted and/or interviewed by the media (includes the media's request), for the institution to release information about the inmate that would otherwise be exempt from records requests, and for transfers of money to/from the inmate's account. This series may include, but is not limited to: forms and correspondence.	200702	3 Years after last action	Confidential Destruction



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<u>Bereavement: Inmate</u> This series documents a bereaved inmate's request to attend a funeral or visit a dying relative, information about the pending event, any objections to or recommendations concerning the event, approval or rejection of the request, notification to local authorities, and documentation of the transpired event. This series may include, but is not limited to correspondence, forms, and logs.	101467	4 Years after last action	Confidential Destruction
<u>Career and Technical Education</u> This series documents an inmate's request to join; participation, accomplishments, work performed, assignments, competencies, and portfolios in; and completion of DOC's Career and Technical Education programs, as well as an inmate's removal from a program. This series may include, but is not limited to: correspondence, forms, worksheets, drawings, and certificates.	200703	3 Years after event	Confidential Destruction
<u>Career Readiness Certificate (CRC)</u> This series documents an inmate's career readiness via a Career Readiness Certificate (CRC) and the level achieved. This series may include, but is not limited to: certificates.	200704	2 Years after separation	Confidential Destruction
<u>Commissary</u> This series documents all functions of the commissary, including inventory, orders, and inmate purchases. This series may include, but is not limited to: forms, bubble sheets, and receipts.	200705	4 Years after end of calendar year	Confidential Destruction
<u>Count Data</u> This series documents the counts conducted by corrections officers, which return the number, physical location, and work station of inmates in each institution. This series includes, but is not limited to reports.	101538	4 Years after end of calendar year	Confidential Destruction



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<u>Count Sheets</u> This series documents the physical count by corrections officers of each inmate inside and outside of the institution (but not the result of the count), as well as the provision of a signature confirming that the count was performed. This series may include, but is not limited to: forms.	101470	1 Year after end of calendar year	Confidential Destruction
<u>Food Services</u> This series documents food service operations, which include, but are not limited to requisitions, USDA donations, utensil/lethal item controls, census/modified diets, inventory, production, and management controls. This series may include, but is not limited to: worksheets, logs, reports, and requisitions.	200700	3 Years after end of calendar year	Confidential Destruction
<u>Grievances: Inmate - Medical, Mental Health, and Protected Classes</u> This series documents inmate grievances pertaining to medical history, mental health, and/or discrimination of protected classes (age, color, disability, familial status, gender identity, national origin, race, religion, sex, sexual orientation, and veteran), including any actions taken. This series may include, but is not limited to: forms, correspondence, and reports.	200706	6 Years after closed	Confidential Destruction
<u>Grievances: Inmate - Other</u> This series documents all other inmate grievances not pertaining to medical history, mental health, or discrimination of protected classes, including any actions taken. This series may include, but is not limited to: forms, correspondence, and reports.	101486	3 Years after closed	Confidential Destruction
<u>Incident</u> This series documents incidents at any institution involving inmates, visitors, and/or institution personnel, including information about the incident, those involved, and the results of the investigation. This series may include, but is not limited to: correspondence, forms, and reports.	101487		Permanent, In Agency



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<u>Inmate Adjustment/Disciplinary Hearings: Informal Resolution, Dismissal, or Not Guilty</u> This series documents inmate adjustment and/or disciplinary actions that resulted in an informal resolution, a dismissal, or a finding of not guilty. This series may include, but is not limited to forms and correspondence.	101463	1 Year after last action	Confidential Destruction
<u>Inmate Movement</u> This series documents all inmate movement inside and outside the institution, including Masterpass, trip passes, chain of custody, and out to court. This series may include, but is not limited to: logs, forms, receipts, and reports.	200701	4 Years after end of calendar year	Confidential Destruction
<u>Institutional Investigations</u> This series documents the assessment of and any investigation into violations or suspected violations by inmates of a law, regulation, rule, or policy; the protection of evidence; and the findings for institutional or work crew investigations, but does not include investigations covered by a General Schedule Investigative Case File or a Prison Rape Elimination Act (PREA) series. This series may include, but is not limited to: reports, forms, correspondence, video recordings, and lists.	200027	5 Years after last action	Confidential Destruction
<u>Prison Rape Elimination Act (PREA) Audits</u> This series documents the audits required by the Prison Rape Elimination Act (PREA). This series may include, but is not limited to: reports, logs, and correspondence. 28 CFR 115.403 (f)	200708		Permanent, In Agency
<u>Prison Rape Elimination Act (PREA) Investigations</u> This series documents investigations into sexual abuse allegations, per the Prison Rape Elimination Act (PREA), including anonymous third-party reports and allegations made in which the accused and/or accuser are no longer employed or housed by the DOC. This series may include, but is not limited to: reports, forms, and correspondence. 28 CFR 115.71(i)	200709	5 Years after separation	Confidential Destruction



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<u>Program Attendance</u> This series documents inmate attendance at and the dates/times of institution programs. This series may include, but is not limited to: summaries, rosters, and logs.	101516	4 Years after end of calendar year	Confidential Destruction
<u>Property: Inmate</u> This series documents the property that inmates have in their possession, disposition of any unauthorized property, and any addition and/or removal of items. This series may include, but is not limited to: forms and reports.	101508	3 Years after separation	Confidential Destruction
<u>Requests: Inmate</u> This series documents inmate requests for items, bed/cell changes, religious services/accommodations, and access to law library resources. This series may include, but is not limited to: forms and correspondence.	101509	3 Years after last action	Confidential Destruction
<u>Safety Training: Inmate</u> This series documents the safety training and results of tests given to inmates prior to engaging in work or programs that include the use of chemicals, machinery, and injury-causing tools. This series may include, but is not limited to: forms and certifications.	200710	3 Years after event	Confidential Destruction
<u>Security Watch</u> This series documents all routine operations, management, and monitoring of security protocols, including but not limited to: administrative visitors, duty assignments, call-in availability, 24-hour watch and logging, equipment, keys, legal mail, tools, and weapons. This series may include, but is not limited to: logs, schedules, inventories, reports, and rosters.	200698	4 Years after end of calendar year	Confidential Destruction



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<u>Segregation: Inmate</u> This series documents the segregation of inmates, including inmate lists, counts, dates in and out, meals, prescriptions administered, and cell maintenance. The series includes, but is not limited to: logs, checklists, and reports.	101499	5 Years after end of calendar year	Confidential Destruction
<u>Shakedowns: No Incident</u> This series documents the shakedowns of an individual(s) and/or unit(s) in which nothing was found that required the completion of an incident report. This series may include, but is not limited to: reports and forms.	101523	1 Year after end of calendar year	Confidential Destruction
<u>Special Education (SPED) Program</u> This series documents inmate participation in the Special Education (SPED) Program, including screenings, eligibility, Individualized Educational Plans (IEPs), previous education, and IQ and educational scores. This series may include, but is not limited to: forms, transcripts, and correspondence.	200711	5 Years after event	Confidential Destruction
<u>Student Academics</u> This series documents inmate educational program progress while housed within the DOC, including the dates enrolled, whether or not a GED was obtained, and what score was received on grade-level testing. This series may include, but is not limited to: reports.	200712	5 Years after separation	Confidential Destruction
<u>Virginia Correctional Enterprises (VCE) Incident Reports</u> This series documents disruptive incidents at Virginia Correctional Enterprises (VCE) involving inmates, personnel, volunteers, or visitors, including information about the incident, those involved, and the results of the investigation. This series may include, but is not limited to: correspondence, forms, reports.	200713	5 Years after last action	Confidential Destruction



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<u>Virginia Correctional Enterprises (VCE) Inmate Work Profile</u> This series documents an inmate's work at Virginia Correctional Enterprises (VCE), including pay rate, unofficial discipline, and any certifications the inmate received. This series may include, but is not limited to: reports, forms, and certificates.	200714	5 Years after last action	Confidential Destruction
<u>Virginia Correctional Enterprises (VCE) Work Orders</u> This series documents orders submitted to Virginia Correctional Enterprises and material transactions. This series may include, but is not limited to: forms, receipts, inventories, purchase orders, warranty information, and correspondence.	200715	6 Years after last action	Confidential Destruction
<u>Visitation: Inmate</u> This series documents the inmate visitation process, authorized visitors, any restrictions placed on visitors, and requests and approvals for/denials of visits, but not visit recordings or daily logs. This series may include, but is not limited to: lists, forms, and correspondence.	101541	3 Years after superseded, obsolete, or rescinded	Confidential Destruction