

DEPARTMENT OF TOURISM



RECORD RETENTION AND DESTRUCTION POLICY

Effective May 1, 2020

A handwritten signature in black ink, appearing to read "J. BR", is positioned above the date.

03/10/2022

1.0 VERSION HISTORY

FEDERAL GRANT MANAGEMENT POLICIES AND PROCEDURES GUIDE VERSION CONTROL – REVISION TRACKER

VERSION NUMBER	DATE REVISED	DESCRIPTION
1.0	3/7/2022	INSERTED REVISION TRACKER AND COMMISSIONER'S SIGNATURE AND DATE
2.0	3/10/2022	CHANGED FOOTER

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PURPOSE

The purpose of this policy is to ensure that necessary records and documents are adequately protected and maintained, as well as to ensure that records that are no longer needed by the Department of Tourism (“DOT”) or are of no value are discarded at the proper time.

This policy is also for the purpose of aiding employees of the DOT in understanding their obligations in retaining documents.

I. POLICIES & PROCEDURES

A. RETENTION POLICY

This policy represents the DOT policy regarding the retention and disposal of records. It is the responsibility of each division to ensure effective record retention management so that public records are not arbitrarily destroyed and that legal record keeping requirements are met. Each division shall routinely evaluate its record retention schedules to ensure compliance with federal, state and departmental requirements.

This policy covers all records and documents, regardless of physical form or characteristics, which have been made or received by the DOT in connection with transactions of Government of the Virgin Islands business.

The records of the DOT shall be classified for purposes of retention and destruction as follows:

Category 1: Permanent records: Records that are permanent or essential shall be retained and preserved indefinitely.

- Permanent records are records required by law to be permanently retained and which are ineligible for destruction unless they are microfilmed or placed on an optical imaging system, and special measures are followed. Once these measures are followed, the original paper records may be destroyed. Duplicate copies of permanent records include project files, Board files, internal and external audits and personnel hiring and disciplinary records. Not every department will have permanent records.
- **Essential records:** Essential records are records necessary for the continuity of government and the protection of the rights and interests of individuals. An example is Grant Awards and Modifications.

Category 2: Current Records: Current records are records that for convenience, ready reference or other reasons are retained in the office space and equipment of the department. Current records shall be retained as follows:

- ***Where retention period specified by law.*** When federal, state, or local law prescribes a definite period for retaining certain records, the DOT will retain the

records for the period specified by law. Examples of records required to be maintained for a specific period are Worker's Compensation Records, grievances and payroll records.

- ***Where no retention period is specified by law.*** Where no specific retention period is specified by law, the retention period for records that the department is required to retain, shall be for a minimum of two years, although such records may be treated as "storage records" and placed in storage at any time during the applicable retention period. Examples of current records include correspondence, schedules and administrative records.

Category 3: Storage Records: Storage records are records that are retained offsite. Storage records are subject to the same retention requirements as current records. Examples of storage records include invoices and payroll correction reports.

Category 4: No Retention Required: Documents and other materials that are not records need not be retained unless retention is otherwise required by law or by the attached Record Retention and Destruction Schedule. Documents and other materials (including originals and duplicates) that are not otherwise required to be retained, are not necessary to the functioning or continuity of the DOT and which have no legal significance may be destroyed when no longer needed. Specific examples include telephone message slips, miscellaneous correspondence not requiring follow-up or departmental action, notepads, e-mails that do not contain information required to be retained under this policy, and chronological files.

With limited exceptions, no specific retention requirements are assigned to documents in this category. Instead, it is up to the originator or recipient to determine when the document's business utility has ended.

B. RECORDS NOT ADDRESSED IN THE RECORD RETENTION SCHEDULE

Records and other documents or materials that are not expressly addressed by the attached schedule may be destroyed at any time provided that they have been retained for the periods prescribed for substantially similar records.

C. STORAGE OF RECORDS

Records may be stored in the DOT office space or equipment if the records are in active use or are maintained in the office for convenience or ready reference. Examples of active files are research and reference files, legislative drafting files, administrative files, and personnel files. Inactive records, for which use, or reference have diminished sufficiently to permit removal from the DOT office space or equipment may be sent to one of the off- site storage facilities provided by the DOT.

II. RECORD RETENTION SCHEDULE

The Record Retention Schedule for the DOT is organized as follows:

OFFICE ADMINISTRATION- Category 1- Keep for 1- 6 Years

- Bank Statements
- Deposit records
- Audit Reports
- Correspondence documents, letters
- Bank Reconciliation
- Fund transfer document
- Cancelled checks
- Check Register
- Procurement Documents/Purchase Orders
- Proposed Legislation/Bill Drafts (not passed)
- Account Payable documents/paid invoices

Category 2- Keep for 7 - 10 years

- Financial Reports
- Fiscal Year Budgets
- Fund Balance Analysis/Reports
- Account Payable Documents
- Service Contracts
- Vendor Records/Files
- Legal documents/ Correspondences
- Prepared Legislative Testimonies

Category 4- Keep Permanently

- Contracts and Leases still in effect
- Depreciation schedules
- Fixed Asset records
- Insurance Records, Claims

PERSONNEL-

Category 1- Keep 1 – 6 years

- Collective Bargaining Agreements
- Grievances and Disciplinary Documentation
- General Correspondences
- Copies of W2, W4 tax forms
- Time and Attendance documents
- Applicant documents, after no-hire decision made
- Job related injuries/illness records
- Health Insurance benefits records/documents
- Workmen Compensation Claims/Reports

Category 2 Keep for 7-10 years

- Sick and Annual Leave Records
- Pay Period Information (deductions, garnishments)
- Records of Separated Employees

Category 3 Keep for 10 to 20 years

- Notice of Personnel Action forms (NOPA)
- Records of Retired Employee



Joseph B. Boschulte
Commissioner of Tourism