



LIBRARY OF VIRGINIA

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

RECORDS RETENTION AND DISPOSITION SCHEDULE

SPECIFIC SCHEDULE NO. 147-001

Inspector General, Office of the State

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

AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY *Juan W. Seawick*
AGENCY RECORDS OFFICER *Robin Garrison*

STATE ARCHIVIST *Sandra S. Trudway*
COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: JAN 04 2016

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 signed RM-3 Form 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 Form must be sent to Library of Virginia (LVA).
- 4. Any records created prior to 1913 must be offered, in writing, to LVA before applying these disposition instructions. Offered records can be destroyed 60 days after date of the offer if no response is received from LVA. A copy of the offer must be attached to the RM-3 Form when it is submitted to 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, electronic storage, optical imaging, etc. Unless prohibited by law, records may be reformatted at agency or locality 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 in analog or digital format. Whether the required preservation is through 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. Ultimate destruction is accomplished through shredding, pulping, burning, and overwriting or physically destroying media. Deletion of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Records containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
- 9. Under the Virginia Public Records Act, § 42.1-79, LVA is the official custodian and trustee of all state agency records transferred to the Archives, Library of Virginia. LVA may purge select records in accordance with professional archival practices in order to ensure efficient access.
- 10. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year as appropriate. Retention periods start at that time.



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Internal Audit and Training Services: Audit Records</u> This series documents the processes of assessing and safeguarding the Commonwealth's assets. This series may include, but is not limited to: audit charters, external quality-assessment reviews, corrective action plans, annual audit plans, risk assessments, audit reports, and peer reviews.	200466	7 Years after closed	Non-confidential Destruction
<u>Internal Audit and Training Services: Training Records</u> This series documents training offered by the Office for Continuing Professional Education (CPE) credits. This series may include, but is not limited to: rosters, attendance records, course design and development, and CPE records.	200467	7 Years after last action	Confidential Destruction
<u>Investigations: Case Files</u> This series documents investigations of administrative and criminal activities, and the resulting recommendations. This series may include, but is not limited to: notes, personnel information, case write-ups, correspondence, working papers, and reports. COV 2.2-309(A)(5)	200468	75 Years after closed	Confidential Destruction
<u>Performance Review Services: Special Project Reports</u> This series documents the condition of the accounting, financial, and administrative controls of state and non-state agencies. This series may include, but is not limited to: reports.	200471	10 Years after end of state fiscal year	Non-confidential Destruction
<u>Performance Review Services: Special Project Work Papers</u> This series documents the performance review proceedings as well as the analysis and substantiation of the special project reports. This series may include, but is not limited to: spreadsheets and reports.	200472	8 Years after end of state fiscal year	Confidential Destruction



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<u>Review and Inspection Reports</u> This series documents the performance reviews and inspections of executive branch and non-state agencies and their efficiency, effectiveness, and/or economy of programs. This series may include, but is not limited to: reports. COV 2.2-309(A)(9)	200469		Permanent, Archives
<u>Review and Inspection Work Papers</u> This series documents the performance review proceedings and the analysis of and substantiation for performance review reports. This series may include, but is not limited to: spreadsheets, correspondence, case write-ups, personnel information, and other supporting documentation. COV 2.2-309(A)(9)	200470	8 Years after end of state fiscal year	Confidential Destruction