



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. 171-015

Corporation Commission, State

Clerk, Office of the

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

Carol H. Beck
Carolyn D. Riccardino

STATE APPROVAL

STATE ARCHIVIST

COMPTROLLER OR DEPUTY

Sandra J. Trulaway

EFFECTIVE SCHEDULE DATE: DEC 03 2015

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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EFFECTIVE SCHEDULE DATE: 12/3/2015

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Applications for Reserved and Registered Names</u> This series documents the process for reserving and registering a corporate name, and the Commission's response. This series may include, but is not limited to: applications, receipts and correspondence. COV 13.1-631; COV 13.1-605	005444	3 Years after end of calendar year	Non-confidential Destruction
<u>Business Entity Records</u> This series documents the formation and registration of Virginia and foreign corporations, limited liability companies, limited liability partnerships, limited partnerships, general partnerships and business trusts. This series may include, but is not limited to: articles of incorporation, amendments, mergers, cancellations, certificates, cover letters, registered agent and registered office statements of change, principal office statements of change, and its index. COV 13.1-619, 759, 819, 921, 1011, 1052, 1212, 1242; COV 50-73.11, 54	005403		Permanent, In Agency
<u>Corporation Annual Reports</u> This series documents the submission of corporations' annual reports and the agency's review of the reports. This series may include, but is not limited to: reports and supporting documentation. COV 13.1-775, 936	005404		Permanent, In Agency
<u>Federal Tax Lien Records</u> This series documents the filing of tax liens with the Commission. This series may include, but is not limited to: lien notices, certificates of release, and certificates of discharge. COV 55-142.1	005492		Permanent, In Agency
<u>Financing Statements, Continuation Statements, and Releases</u> This series documents the filing of security interests in personal property with the Commission. This series may include, but is not limited to: financing statements, continuation statements, and releases. COV 55-142.1	005493		Permanent, In Agency



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Index to Charters</u> This series documents the Commission's files, numbers, and locations of charters from 1870 through 1981. This series may include, but is not limited to: lists, cards, and indexes, and are housed in the State Archives.	005405		Permanent, Archives
<u>Judicial and Administrative Case Records</u> This series documents cases brought before the Commission involving violations of law, requests for rate changes, and/or construction requests for regulated entities (insurance, securities, franchising, financial institutions, and public utilities), as well as the Commission's findings and any imposed penalties. This series may include, but is not limited to: briefs, correspondence, exhibits, transcripts, notices, writs, processes, orders, examiners' reports, and other supporting documentation. COV 12.1-19.1; COV 12.1-31	009252		Permanent, In Agency
<u>Service of Process Records</u> This series documents the Commission's receipt of a request for service of process and the Commission's actions taken in response. This series may include, but is not limited to: correspondence, receipts for services of process, affidavits, and certified or registered mail receipts. COV 12.1-19.1	005419	3 Years after end of calendar year	Non-confidential Destruction