



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. 171-076 Corporation Commission, State Insurance, Bureau of

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

Joel H. Beck
[Signature]

STATE APPROVAL

STATE ARCHIVIST

COMPTROLLER OR DEPUTY

Sandra H. Tremlway
[Signature]

EFFECTIVE SCHEDULE DATE: 8/10/2017

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>License Applications - Routine</u> This series documents routine licensing applications. This series may include, but is not limited to: applications. COV 38.2-1814; COV 38.2-1815	005131	10 Years after end of state fiscal year	Confidential Destruction
<u>License Applications - With Criminal History</u> This series documents insurance agent licensing applications for persons with prior criminal history. Approval of licensee by Commissioner and General Counsel is required before licensure. This series may include, but is not limited to: applications. COV 38.2-1814; COV 38.2-1815	005494	20 Years after receipt	Confidential Destruction
<u>Navigator Registrations</u> This series documents the routine registration of navigators for the health exchange. This series may include, but is not limited to: registration forms.	200580	10 Years after receipt	Confidential Destruction
<u>Navigator Registrations: - With Criminal History</u> This series documents the registration of persons with a criminal history, but who have been approved by the Commissioner and General Counsel, as navigators for the health exchange. This series may include, but is not limited to: registration forms.	200579	20 Years after receipt	Confidential Destruction