



# THE LIBRARY OF VIRGINIA

RECORDS MANAGEMENT AND IMAGING SERVICES DIVISION  
(Form RM-2 Nov 01)

## RECORDS RETENTION AND DISPOSITION SCHEDULE SPECIFIC SCHEDULE NO. 173-001 CHARITABLE GAMING COMMISSION

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

AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY Stanley L. [Signature]

STATE LIBRARIAN [Signature]

AGENCY RECORDS OFFICER Michael J. [Signature]

COMPTROLLER OR DEPUTY \_\_\_\_\_

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### CONDITIONS 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 Disposal* (Form RM-3). A signed RM-3 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 must be sent to Library of Virginia (LVA).
4. Any records created before the Constitution of 1902 came into effect (January 1, 1904) must be offered, in writing, to the 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. A copy of the offer must be attached to the RM-3 form when it is submitted to the 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."
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. Normally, destruction of confidential or privacy-protected records will be done by shredding or pulping. "Deletion" of confidential or privacy-protected information in computer files or other electronic storage media is not acceptable. Electronic records must be "wiped" clean or the storage media physically destroyed.
9. 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 Archives, Library of Virginia. The Library may purge select records in accordance with professional archival practices in order to ensure efficient access.


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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Administrative Hearing Records</u></p> <p>This series consists of administrative hearings in accordance with procedures set up in <i>Code of Virginia</i>, §§ 2.2-4018 through 4033. This series includes the proceedings of informal fact finding conferences and formal hearings with complaints, correspondence, supporting documentation, findings, penalties, orders and consent decrees.</p>	005390	<p>Retain 5 years after last action, then transfer to Records Center, Library of Virginia. Retain in Records Center 5 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 10 years.</p>
<p><u>Audit Reports</u></p> <p>This series consists of the agency's audits of licensees as authorized by <i>Code of Virginia</i>, § 18.2-340.31. Licensees to be audited are selected at random or for cause. Up to 10 % of licensees are audited in any particular year. Series includes audit reports, findings, exhibits, attachments and other supporting documentation.</p>	005391	<p>Retain 5 years after last action, then transfer to Records Center, Library of Virginia. Retain in Records Center 3 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 8 years.</p>
<p><u>Index to Licensees</u></p> <p>This series is a database that acts as a quick reference guide to licensees in a database of Charitable Gaming Commission (CGC) file numbers. Database cross references licensee names, file numbers and file locations.</p>	005392	<p>Purge licensee data 10 years after license expiration, Delete data in compliance with No. 8 on schedule cover page.</p>
<p><u>Financial Reports - Record Copy</u></p> <p>This series consists of an electronic copy of the financial reports that licensees are required to submit by <i>Code of Virginia</i>, § 18.2-340.30. Series is extracted from "Supporting Documents File", record series 005394. The reports, less most attachments and supporting documentation are initially scanned into an electronic database for ease of use and multiple access, then retained after hard copy records are destroyed as the copy of record.</p>	005393	<p>Retain 10 years after the end of the CGC file year, then destroy in compliance with No. 8 on schedule cover page.</p>


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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Financial Reports – Supporting Documents File</u></p> <p>This series consists of financial reports that licensees are required to submit by <i>Code of Virginia</i>, § 18.2-340.30. Series includes reports, attachments, correspondence and supporting documentation. The reports and selected documents are scanned into records series 005393, "Financial Reports – Record Copy."</p>	005394	Retain 3 years after the end of the CGC file year, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Incident Reports – Record Copy</u></p> <p>This series consists of an electronic copy of complaint or incident reports. Reports are received from the general public, special agents and/or information extracted from inspection or audit reports. Series is extracted from "Supporting Documents File", record series 005396. The reports, less most attachments and supporting documentation are initially scanned into an electronic database for ease of use and multiple access, then retained after hard copy records are destroyed as the copy of record.</p>	005395	Retain 20 years after the end of the CGC file year, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Incident Report – Supporting Documents File</u></p> <p>This series consists of complaints and incident reports. Reports are received from the general public, special agents and/or information extracted from inspection or audit reports. Upon receipt the special agent in charge at the central office makes an initial evaluation of the incident and then closes it or forwards in to the appropriate individual or department for further action. Series includes complaints and incident report forms, correspondence, attachments and supporting documentation. The complaint or incident reports and selected documents are scanned into records series 005395, "Incident Reports – Record Copy."</p>	005396	Retain 5 years after last action, then transfer to Records Center, Library of Virginia. Retain in Records Center 5 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 10 years.



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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Inspection Reports</u></p> <p>This series consists of the routine or for cause inspection of licensees as authorized by <i>Code of Virginia</i>, § 18.2-340.18. This series includes inspection reports, attachments and any related correspondence.</p>	005397	Retain 3 years after the end of the CGC file year, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Investigation Reports</u></p> <p>This series consists of investigation of licensees as authorized by <i>Code of Virginia</i>, § 18.2-340.18. This series includes complaints, investigation reports, attachments, findings, recommendations and any related correspondence.</p>	005398	Retain 3 years after last action, then transfer to Records Center, Library of Virginia. Retain in Records Center 7 years, then destroy in compliance with No. 8 on schedule cover page. Total retention 10 years.
<p><u>Licensing Files , Charitable Organizations – Record Copy</u></p> <p>This series consists of an electronic copy of charitable gaming license applications. Series is extracted from "Supporting Documents File", record series 005400. The reports, less most attachments and supporting documentation are initially scanned into an electronic database for ease of use and multiple access, then retained after hard copy records are destroyed as the copy of record.</p>	005399	Retain 10 years after the end of the CGC file year, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Licensing Files , Charitable Organizations – Supporting Documents File</u></p> <p>This series consists of gaming license applications received from charitable organizations and the agency's actions in response. Series includes applications, correspondence, attachments and supporting documentation. Licenses must be renewed annually. Refer to <i>Code of Virginia</i>, § 18.2-340-25. The application form and selected documents are scanned into records series 005399, "Incident Reports – Record Copy."</p>	005400	Retain 3 years after the end of the CGC file year, then destroy in compliance with No. 8 on schedule cover page.

