



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. 222-001
Professional and Occupational Regulation, Dept. of

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

STATE ARCHIVIST

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

John W. D. Brown
Alaina M Borby

Sandra Y Trulaway

EFFECTIVE SCHEDULE DATE: **JAN 08 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.

**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. 222-001

Professional and Occupational Regulation, Dept. of

EFFECTIVE SCHEDULE DATE: 1/8/2015

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Alternative Dispute and Resolution</u> This series documents memoranda, work products or other material used or produced during dispute resolution proceedings as defined by Code of Virginia § 2.2-4115.	009110	3 Years after closed	Confidential Destruction
<u>Annual Reports: Property Owners Associations</u> This series documents annual reports submitted by Property Owners Associations as required by the Code of Virginia 55-516.1. This series is limited to: annual reports. COV 55-516.1	100001	2 Years after receipt	Non-confidential Destruction
<u>Application Files: Approved for Licensing, Certification, and Registration</u> This series documents the eligibility of applicants for licensure, certification, or registration. This series may include but is not limited to: applications, references, education/experience verifications, transcripts of licensing IFFs, and licensing agreements. Title 54.1	005009	10 Years after issuance	Confidential Destruction
<u>Application Files: Incomplete, Terminated, or Rejected</u> This series documents applicants who are not eligible for licensure, certification, or registration. This series may include, but is not limited to: deficient applications.	100002	2 Years after receipt	Confidential Destruction
<u>Application Registers</u> This series documented receipt of applications for licensure, certification or registration.	100003		Permanent, Archives
<u>Approved School/Provider Course Materials: Pre-Licensure, Post Licensure and Continuing Education</u> This series documents qualifications of course providers and the contents of courses. This series may include, but is not limited to: applications, instructor's resume, syllabuses, and course materials.	100007	5 Years after approval	Confidential Destruction



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. 222-001
Professional and Occupational Regulation, Dept. of

EFFECTIVE SCHEDULE DATE: 1/8/2015

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Common Interest Community Ombudsman Determination Files</u> This series documents the review of complaints submitted through an association's complaint procedures and the Common Interest Community Ombudsman's written determinations. This series may include but is not limited to: complaint forms and notices of final adverse decisions.	200329	5 Years after decision	Non-confidential Destruction
<u>Complaint/Claim Files: Incomplete, Withdrawn, No Jurisdiction/Board Regulation</u> This series documents the closure of complaint/claim files due to an incomplete or withdrawn complaint, insufficient evidence, or non-applicable board regulation. This series may include, but is not limited to: complaint forms with attachments, response letters, letters requesting additional complaint information, and correspondence.	200119	1 Year after closed	Confidential Destruction
<u>Condominium Registration Files</u> This series documents the registration of withdrawable, convertible, or expandable condominiums. This series may include, but is not limited to: property information and correspondence. COV 55-79.39-103	009111	7 Years after termination	Non-confidential Destruction
<u>Condominium, Cooperative, and Time Share Registration Files</u> This series documents the registration of condominiums, cooperatives, and/or time shares. This series may include, but is not limited to: property information and correspondence. COV 55-79.39-103; COV 55-360 to 400	100005	5 Years after termination	Non-confidential Destruction
<u>Continuing Education Files</u> This series documents the completion of any continuing education required prior to license renewal. This series may include, but is not limited to: reporting forms and transcripts.	100006	3 Years after receipt	Confidential Destruction



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. 222-001

Professional and Occupational Regulation, Dept. of

EFFECTIVE SCHEDULE DATE: 1/8/2015

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Disciplinary Opinions and Orders</u> This series documents case decisions and sanctions imposed by regulatory boards under the Code of Virginia 54.1-100 et seq. This series may include, but is not limited to: final reports, consent orders, conciliation agreements, cease and desist orders, and accompanying investigative reports. 54.1-100, et seq	100008	50 Years after event	Confidential Destruction
<u>Examination Records</u> This series documents candidacy for and results of examinations of professions. This series may include, but is not limited to: examination candidate rosters Title 54.1	100009	2 Years after event	Confidential Destruction
<u>Investigation Files</u> This series documents investigations into possible violations of board regulations and/or the provisions of Code of Virginia Titles 36, 54.1 and 55. This series may include, but is not limited to: investigative reports of finding, exhibits, and investigator field notes. Title 36, 54.1,55	100010	3 Years after closed	Confidential Destruction
<u>Recovery Fund Claim Files: Payment Records</u> This series documents payments to persons awarded judgments against contractors or real estate licensees. This series may include, but is not limited to: payments and correspondence 54.1-1118; 54.1-2112	100013	3 Years after audit	Confidential Destruction
<u>Recovery Fund Claim Files: Potential Claims</u> This series documents potential recovery fund claims files against contractors or real estate licensees. Documents This series may include, but are is not limited to: complaint forms, claim forms, and case files COV 54.1-2112 54.1-2120; COV 54.1-1118 54.1-1127	015295	3 Years after closed	Confidential Destruction



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. 222-001

Professional and Occupational Regulation, Dept. of

EFFECTIVE SCHEDULE DATE: 1/8/2015

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Temporary Permit Files</u>	100015	2 Years after issuance	Confidential Destruction

This series documents the eligibility of applicants for temporary permits to practice or do business until the applicant is or is not issued the final license, certification, or registration. This series may include, but is not limited to: permits.
