



RECORDS RETENTION AND DISPOSITION SCHEDULE

SPECIFIC SCHEDULE NO. 222-002

DEPARTMENT OF PROFESSIONAL AND OCCUPATIONAL REGULATION
BOARD FOR BRANCH PILOTS

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

STATE RECORDS ADMINISTRATOR

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE: MAY 05 2000

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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 Destruction* (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. Microfilming must be done in accordance with *Virginia Administrative Code*, §§ 17VAC15-20-10, et. seq. "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.



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RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Application Files - Approved Licenses</u> Documents the receipt of applications for and licensing of Branch Pilots by the Department. Branch pilots are licensed under the provisions of <i>Code of Virginia</i> , §§ 54.1-900 through 54.1-927, to pilot oceangoing vessels in the navigable waters of Virginia.	100560	Retain 5 years after pilot retirement or 40 years after license issue, whichever is greater, then transfer to the Archives, Library of Virginia for permanent retention.
<u>Application Files - Incomplete, Terminated or Rejected</u> Documents the receipt of incomplete, terminated or rejected applications for licensing of Branch Pilots by the Department. Branch pilots are licensed, under the provisions of <i>Code of Virginia</i> , §§ 54.1-900 through 54.1-927, to pilot oceangoing vessels within the navigable waters of Virginia.	100561	Retain 5 years after the end of the calendar year of submission, then destroy in compliance with No. 8 on schedule cover page.
<u>Investigation Files</u> Documents Department investigation of reported violations of law or standards of conduct by Branch Pilots.	100562	Retain 5 years after pilot retirement or 40 years after license issue, whichever is greater, then transfer to the Archives, Library of Virginia for permanent retention.