



LIBRARY OF VIRGINIA

Government Records Services
800 E. Broad St., Richmond VA 23219
(804) 692-3600

RECORDS RETENTION AND DISPOSITION SCHEDULE

SPECIFIC SCHEDULE NO. 172-001

Virginia Lottery

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 *Jony Blumel*
AGENCY RECORDS OFFICER *Amy P. Lopez*

STATE ARCHIVIST *Greg E. ...*
COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE: 3/28/2024

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 completed RM-3 Form must be approved by an agency-designated records officer before records can be destroyed.
4. Any records created prior to 1912 must be offered, in writing, to the Library of Virginia (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.
5. All known audits, requests for records pursuant to the Virginia Freedom of Information Act, § 2.2-3700, et seq., and retention schedule renegotiations regarding 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 and/or operational reformatting processes until all issues are resolved.
6. The retentions and dispositions listed on the attached page(s) apply regardless of format, e.g., paper, microfilm, electronic image, etc. Unless prohibited by law, records may be reformatted at the agency's 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. Whether the required preservation is through prolongation of appropriate hardware and/or software, reformatting, or migration, it is the obligation of the agency to do so.
7. Records custodians must ensure that confidential or privacy-protected information contained in records and non-records is ultimately destroyed to prevent unauthorized disclosure. Confidential destruction of paper is accomplished only through shredding, pulping, or burning. For electronic information, it is accomplished by overwriting the data or physically destroying the media. Merely deleting confidential or privacy-protected information is not sufficient. Documents containing Social Security numbers must be destroyed in compliance with 17VAC15-120-30.
 8. 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 State Archives, which may purge select records in accordance with professional archival practices in order to ensure efficient preservation and access.
 9. Unless otherwise directed, files are closed out at the end of each calendar or fiscal year, as appropriate. Retention periods start at that time. Other event-based filing cutoffs (e.g., "after last action") must be defined and consistently applied by the agency.



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| RECORD SERIES AND DESCRIPTION | SERIES NUMBER | SCHEDULED RETENTION PERIOD | DISPOSITION METHOD |
|--|---------------|--|------------------------------|
| <p><u>Bulk Ticket Sales</u></p> <p>This series documents over-the-counter ticket pack sales to retailers and players by regional customer service and Prize Zone offices, as well as large quantity ticket pack activations at a retail location, including amount of sale, check number, and seller. This series may include, but is not limited to: purchase request forms, approvals, receipts, invoices settlement reports, and daily logs of sales.</p> | 100209 | 18 Months after last action | Non-confidential Destruction |
| <p><u>Lottery Drawings</u></p> <p>This series documents the performance of lottery game drawings, including numbers drawn, machines used, ball sets used, and names of officials and witnesses in attendance. It also documents electronic entry promotion drawings. This series may include, but is not limited to: second chance and promotional drawings.</p> | 100204 | 1 Year after end of calendar year | Confidential Destruction |
| <p><u>Paid Claims: \$600 or Less</u></p> <p>This series documents the payment of claims \$600 or less presented to retailer or Lottery offices and the payment of promotional prize claims. This series may include, but is not limited to: original winner claim form, winning ticket, winning entries, promotion prizewinner validation forms, and system-generated check stubs.</p> | 200724 | 1 Year after end of state fiscal year | Confidential Destruction |
| <p><u>Paid Claims: More than \$600</u></p> <p>This series documents the payment of claims greater than \$600 presented to retailer or Lottery offices and the payment of promotional prize claims. This series may include, but is not limited to: Original winner claim form, winning ticket, winning entries, promotion prizewinner validation forms, and system-generated check stubs.</p> | 100206 | 7 Years after end of state fiscal year | Confidential Destruction |



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|---|---------------|-----------------------------|--------------------------|
| <p><u>Prize Payment Assignments</u></p> <p>This series documents the voluntary assignment of lottery prize payments. This series may include, but is not limited to: petitions and court orders to assign payments, assignment company and prizewinner documentation required under § 58.1-4020.1, correspondence, and records pertaining to annuity prize payments, bonds, initial prize claim, and tax withholding.</p> | 200725 | 7 Years after final payment | Confidential Destruction |
| <p><u>Retailers Application Files</u></p> <p>This series documents the expired or withdrawn application by a retailer to order and sell lottery tickets. This series may include, but is not limited to: applications, tax documents, credit reports, criminal background certification, surety bond, device agreements, and correspondence.</p> | 200726 | 1 Year after expiration | Confidential Destruction |
| <p><u>Retailers Master Files</u></p> <p>This series documents the denial/granting of an application to order and sell lottery products and the retailer-initiated cancellation, or the Lottery-termination of, an existing license to order and sell lottery products. This series may include, but is not limited to: applications, tax documents, credit reports, criminal background certification, hearing notes/minutes, surety bond, device agreements, and correspondence.</p> | 100210 | 2 Years after last action | Confidential Destruction |
| <p><u>Tax Withholding Records</u></p> <p>This series documents the withholding of taxes from prizewinner payments. This series may include, but is not limited to: federal and state tax withholding deposits.</p> | 200727 | 7 Years after final payment | Confidential Destruction |



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|---|---------------|--|------------------------------|
| <u>Ticket Return Transaction Reports</u> This series documents the issuance of tickets to retailers (via sales representative) from a Lottery customer service location; the return of tickets from retailers to a Lottery customer service location (via sales representative); and the movement (whether physically or virtually) of full, sellable packs of tickets between warehouses, sales reps, and retailers. This series may include, but is not limited to: returned tickets, transaction reports, missing/stolen pack reports, and vending machine reports. | 100203 | 1 Year after end of state fiscal year | Non-confidential Destruction |
| <u>Trunk Stock Audits and Reports</u> This series documents the verification of the specific lottery games and the packs of tickets of each game that Lottery sales representatives have in their possession. This series may include, but is not limited to: audits and reports. | 009504 | 2 Years after end of state fiscal year | Non-confidential Destruction |
| <u>Vending Machine Reconciliations</u> This series documents all ticket vending machine transactions operated at a Virginia Lottery office reported to accounting. This series may include, but is not limited to: ticket inventory and deposits. | 009501 | 3 Years after end of state fiscal year | Confidential Destruction |
| <u>Virginia Lottery Subscription Games</u> This series documents individual subscriptions to the Virginia Lottery Subscription Games. This series may include, but is not limited to: subscribers original applications, renewal forms, check copies, deposits, correspondence and reports. | 009503 | 3 Years after end of state fiscal year | Confidential Destruction |