



RECORDS RETENTION AND DISPOSITION SCHEDULE
 SPECIFIC SCHEDULE NO. 602-013
 DEPARTMENT OF MEDICAL ASSISTANCE SERVICES
 INFORMATION MANAGEMENT DIVISION

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

AGENCY APPROVALSTATE APPROVAL

AGENCY HEAD OR DEPUTY _____

STATE RECORDS ADMINISTRATOR _____

AGENCY RECORDS OFFICER _____

COMPTROLLER OR DEPUTY _____

EFFECTIVE SCHEDULE DATE SEP 27 2007

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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 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." 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 insure 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.
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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RECORDS SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
This schedule replaces 602-013 dated February 1, 2003.		
<u>Administrative Management Records</u> This series documents reference and management reports. Contains State policies, Federal interpretation of policies, reference materials, management assessments and reports.	006100	Retain for 5 years or until records lose their administrative value, whichever is longer, then destroy in compliance with No. 8 on the schedule cover page.
<u>Computer Resource Inventory (Physical)</u> This series documents the annual physical inventory of all DMAS computers and systems.	006101	Retain for one year or until next inventory, whichever is longer then destroy in compliance with No. 8 on the schedule cover page.
<u>Computer Resource (Hardware)</u> This series documents the packaging inventory for the computer hardware.	006102	Retain for 5 years or until hardware is replaced, whichever is longer, then destroy in compliance with No. 8 on the schedule cover page.
<u>Computer Resource (Software)</u> This series documents the software inventory currently supported by DMAS IT support personnel. Includes licensing agreements and requirements.	006103	Retain until no longer used or supported by DMAS IT staff, then destroy in compliance with No. 8 on the schedule cover page.
<u>Computer Security Documentation</u> This series documents all system participants for access to Medicaid Management Information System (MMIS) and DMAS local area network. Includes individual and supervisory access and authorization documents.	006104	Retain for 3 years after separation then destroy in compliance with No. 8 on schedule cover page.



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<p><u>Information Services Requests and Project Records</u> This series documents all IT service requests, including data processing system development for DMAS employees and contractors. Also documents on-going and single use IT projects including <i>ad hoc</i> programs designed to meet individual user needs.</p>	006106	Retain 2 years after system is approved/rejected and audited then transfer to the State Records Center. Retain in State Records Center 8 years then destroy in compliance with No. 8 on the schedule cover page. Total retention 10 years.
<p><u>Medicaid Management Information System (MMIS) –Project Testing and Development Records</u> This series documents the design needs, functionality requirements, and testing activities between the MMIS vendor and the DMAS development committee to develop the new Medicaid Management Information System. Includes system, diagnostic and testing criteria to standardize MMIS actions.</p>	006107	Retain until all electronic records created using the programs have been destroyed or converted to another program or format, then delete or destroy in compliance with No. 8 on the schedule cover page.
<p><u>Medicaid Management Information System (MMIS) – Administrative Project Documentation Records</u> This series consists of administrative records, arranged by category and deliverables, pertaining to the development and implementation of the new Medicaid Management Information System. This series includes, but is not limited to: correspondence, production timetables, and receipt of deliverables.</p>	006108	Retain 2 years after system is approved/rejected and audited then transfer to the State Records Center. Retain in State Records Center 8 years then destroy in compliance with No. 8 on the schedule cover page. Total retention 10 years.