



**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. 602-008**

Medical Assistance Services, Dept. of  
Long Term Care

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

AGENCY APPROVAL

AGENCY HEAD OR DEPUTY

*Cynthia Jones*  
*Nancy Malenst.*

AGENCY RECORDS OFFICER

STATE APPROVAL

STATE ARCHIVIST

*Sandra G. Trudewey*

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE: **SEP 02 2016**

**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.



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<p><u>Center for Medicare and Medicaid Services (CMS) Audit and Evidential Packages: Correspondence</u></p> <p>This series documents routine and unscheduled correspondence with the Center for Medicare and Medicaid Services (CMS). This series may include, but is not limited to: correspondence, waivers, fiscal reports, and audit and evidential-package supporting documentation.</p>	009575	5 Years after approval	Confidential Destruction
<p><u>Long Term Care: Adult Technology Assisted Waiver Recipient Records</u></p> <p>This series documents recipient enrollment in specialized care, long-stay hospital, and adult technology -assisted waiver programs. This series may include, but is not limited to: social assessments, psychological evaluations, plans of care, monthly assessments, nurse or case manager notes, and correspondence.</p>	015008	6 Years after event	Confidential Destruction
<p><u>Long Term Care: Children's Technology Waiver Recipient Records</u></p> <p>This series documents medical information for Medicaid technology waiver recipients younger than 21 years of age. This series may include, but is not limited to: social assessments, psychological evaluations, plans of care, monthly assessments, nurse or case manager notes, and correspondence.</p>	009577	27 Years after birth	Confidential Destruction
<p><u>Long Term Care: Provider Quality Management Review Records</u></p> <p>This series documents the quality management review of a provider. This series may include, but is not limited to: notifications, nurse or case manager notes, pre-admission/annual screening assessments, psychological evaluations, invoices, statements, requests for appeals or reconsideration, DMAS forms, and correspondence.</p>	015011	6 Years after last action	Confidential Destruction



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Quality Management Review (QMR) Audits and Waiver Evidential Packages</u> This series documents Quality Management Reviews(QMR) audits, both routine and unscheduled. This series may include, but is not limited to: applications, renewals, appeals, minutes, interagency agreements, fiscal reports, evidentiary packages, and other QMR documentation	009574	5 Years after last action	Confidential Destruction

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