



**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. 602-012**  
Medical Assistance Services, Dept. of  
Health Care Services

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 \_\_\_\_\_

AGENCY RECORDS OFFICER \_\_\_\_\_

*Cynthia Jones*  
*Nancy Malczuk*

STATE APPROVAL

STATE ARCHIVIST \_\_\_\_\_

COMPTROLLER OR DEPUTY \_\_\_\_\_

*Sandra S. Fundway*

EFFECTIVE SCHEDULE DATE: **JUL 12 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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EFFECTIVE SCHEDULE DATE: 7/12/2016

RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Automatic Call Distributer Report</u>  This series documents detailed information on the calls received through the Managed Care Helpline such as the number of incoming calls received, answered, number of agents working, average talk time, average hold time, and abandon rate. This series may include but is no limited to: forms and reports.	006148	5 Years after audit	Confidential Destruction
<u>BabyCare Records</u>  This series documents pre-authorization and closure requests for BabyCare This series may include, but is not limited to: forms and correspondence.	009321	6 Years after approval	Confidential Destruction
<u>Early Periodic Screening Diagnosis and Treatment (EPSDT) Records</u>  This series documents provider requests for specialized services to correct or ameliorate an identified health need for eligible individuals under the age of 21. This series may include, but is not limited to: notifications.	009320	6 Years after decision	Confidential Destruction
<u>Exemption Requests</u>  This series documents requests for exemption from managed care. This series may include, but is not limited to: forms and letters. COV 32.1-325.3	006149	7 Years after end of calendar year	Confidential Destruction
<u>Managed Care Reporting Records: Non Proprietary</u>  This series documents compliance of Options and Medallion II contracts and does not include vendor proprietary information. This series may include, but is not limited to: Request for Proposal (RFPs) and supporting documentation.	006037	5 Years after expiration	Non-confidential Destruction
<u>Managed Care Reporting Records: Proprietary</u>  This series documents compliance of Options and Medallion II contracts and does include vendor proprietary information. This series may include, but is not limited to: Request for Proposal (RFPs) and supporting documentation	006036	5 Years after end of calendar year	Confidential Destruction



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RECORD SERIES AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION PERIOD	DISPOSITION METHOD
<u>Provider Panel Requests</u>  This series documents requests submitted by Medicaid providers to add or remove members from their panels. This series may include, but is not limited to: forms and correspondence.	006150	5 Years after end of calendar year	Confidential Destruction
<u>School Health Services Records</u>  This series documents the review of Medicaid claimings for school-based services in order to determine reimbursement . This series may include, but is not limited to: Plans of Care and Progress notes and copies of Individualized Education Program (IEP) documentation.	200521	5 Years after closed	Confidential Destruction

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