



RECORDS RETENTION AND DISPOSITION SCHEDULE  
 SPECIFIC SCHEDULE NO. 701-202  
 DEPARTMENT OF CORRECTIONS  
 CORRECTIONAL INSTITUTIONS  
 MEDICAL RECORDS

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

AGENCY APPROVALSTATE APPROVAL

AGENCY HEAD OR DEPUTY

STATE RECORDS ADMINISTRATOR

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE:

SEP 07 2001

PAGE 1 OF 7 PAGES

### 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.



**RECORDS RETENTION AND DISPOSITION SCHEDULE  
SPECIFIC SCHEDULE NO. 701-202  
DEPARTMENT OF CORRECTIONS  
CORRECTIONAL INSTITUTIONS  
MEDICAL RECORDS**

EFFECTIVE SCHEDULE DATE: SEP 07 2001

PAGE 2 OF 7 PAGES

RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
--------------------------------------	---------------	-------------------------------------

This schedule applies to medical records in all correctional institutions, excluding offender patient's medical charts, not listed on previously existing records retention and disposition schedules for medical records. This schedule does not require the listed records be created. Records are to be created in accordance with Department and Institution policies and operation needs. However, if the records exist, the following retentions and dispositions apply. At the request of the Department and with Library of Virginia approval, this schedule can be revised and reissued. If an institution requests a revision, the request should be sent to the Office of Health Services, DOC.

Appointment/Sick Call Lists or Logs

This series documents requests for appointments or sick call. Includes inmate identification, requests, appointments, and reasons for visit.

101417

Retain 3 years after last entry, then destroy in compliance with No. 8 on schedule cover page.

Bedpasses/Work Restrictions

This series documents medical approval for inmate to stay in bed, and miss work or other assignments or tasks.

101418

Retain 3 years after expiration, then destroy in compliance with No. 8 on schedule cover page.

Checklists/Worksheets - Others

This series documents the completion of internally required checklist or worklists, not otherwise listed on this schedule.

101419

Retain 3 years, then destroy.

Clinical Appointments

This series documents requests for, approval of and scheduling of outside clinical appointments.

101420

Retain 3 years after appointment, then destroy in compliance with No. 8 on schedule cover page.

Controlled Substance Logs

This series documents the internal management of controlled drugs within the institution. Includes drug names, dates dispensed, amounts dispensed, person dispensing, person receiving drugs and shift change counts.

101421

Retain 3 years after last entry, then destroy in compliance with No. 8 on schedule cover page. Refer to 21CFR1304.04.

Chronic Care Logs

This series documents schedules for inmate appointments in chronic care clinics.

101422

Retain 3 years after last entry, then destroy in compliance with No. 8 on schedule cover page.



**RECORDS RETENTION AND DISPOSITION SCHEDULE  
SPECIFIC SCHEDULE NO. 701-202  
DEPARTMENT OF CORRECTIONS  
CORRECTIONAL INSTITUTIONS  
MEDICAL RECORDS**

EFFECTIVE SCHEDULE DATE: SEP 07 2001

PAGE 3 OF 7 PAGES

RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Daily Medical Information Form</u> This series documents the current status of all inmates currently receiving treatment, having appointments, bedpasses and otherwise excused from work or duties for medical reasons.</p>	101423	Retain 3 years after date completed, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Daily Needle and Syringe Inventories</u> This series documents the inventory and control of hypodermic needles, syringes, blades and other surgical instruments at the institution. Series is used for both accounting and security purposes.</p>	101424	Retain 3 years after date of inventory, then destroy.
<p><u>Dental Records</u> This series documents dental treatment inmate received while at the institution either within the facility or at outside facilities.</p>	101425	Incorporate in series 101433, "Inmate Medical Records."
<p><u>Doctor's Appointments</u> This series documents the scheduling of inmate appointments with visiting or staff doctors.</p>	101426	Retain 3 years, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Drug Return/Destruction Records</u> This series documents return for credit or destruction by the institution of recalled, surplus or unused drugs to central pharmacy or other suppliers. Includes names and quantities of drugs.</p>	101427	Retain 3 years after return, then destroy.
<p><u>Equipment Calibration Records</u> This series documents the calibration of medical and testing devices for accuracy.</p>	101428	Retain 3 years after last calibration, then destroy.
<p><u>Health Certificates</u> This series documents the examination and testing of staff and inmates for certification of food service workers at the facility.</p>	101429	Retain until individual no longer works in food service, then destroy in compliance with No. 8 on schedule cover page.



**RECORDS RETENTION AND DISPOSITION SCHEDULE  
SPECIFIC SCHEDULE NO. 701-202  
DEPARTMENT OF CORRECTIONS  
CORRECTIONAL INSTITUTIONS  
MEDICAL RECORDS**

EFFECTIVE SCHEDULE DATE: SEP 07 2001 PAGE 4 OF 7 PAGES

RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Incoming Medication/Equipment Records</u> This series documents the receipt of incoming medications to the institution either in bulk or for specified inmates.	101430	Retain 2 years after last entry, then destroy in compliance with No. 8 on schedule cover page. Refer to 21CFR1304.04.
<u>Index Cards/Pertinent Data Notebooks</u> This series documents a short summary of inmate medical history. Series is retained for quick medical reference.	101431	Retain until transfer or discharge of the inmate, then destroy in compliance with No. 8 on schedule cover page.
<u>Inmate Accident/Injury Reports (AIRS) and Serious Incident Reports (SIRS)</u> This series documents reporting of accidents, injuries and serious incidents.	101432	Retain 3 years after discharge or transfer of inmate, then destroy in compliance with No. 8 on schedule cover page.
<u>Inmate Medical Record</u> This series documents the history of all medical complaints and treatment while in the control of the Department of Corrections. Includes inmate's medical history, physical examinations, lab slips, complaints, records of testing, records of treatment, doctor's/nurses notes and medication administration records.	101433	Retain until release or death of inmate, then transfer to Central Records, DOC.
<u>Inmate Medication/Equipment Receipts</u> This series documents the inmate's acceptance of and signing for prescribed medications, glasses, special shoes, and/or other medical appliances.	101434	Transfer to records series 101433, "Inmate Medical Records."
<u>Laboratory Logs</u> This series documents the cumulative receipt/shipment of laboratory samples for testing.	101435	Retain 3 years after last entry, then destroy in compliance with No. 8 on schedule cover page.
<u>Logs - Other</u> This series documents the compiling of medical information in logs to support operations. Includes logs not otherwise listed on this schedule.	101436	Retain 3 years after last entry, then destroy in compliance with No. 8 on schedule cover page.



**RECORDS RETENTION AND DISPOSITION SCHEDULE  
SPECIFIC SCHEDULE NO. 701-202  
DEPARTMENT OF CORRECTIONS  
CORRECTIONAL INSTITUTIONS  
MEDICAL RECORDS**

EFFECTIVE SCHEDULE DATE: SEP 07 2001

PAGE 5 OF 7 PAGES

RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Medical Records Release Consents</u> This series documents inmate's consent to release medical records or information contained in medical records to a third party.	101437	Transfer to records series 101433, "Inmate Medical Records."
<u>Medical Records Transfers</u> This series documents the transfer of custody of inmate medical record to central records, another institution or a third party.	101438	Retain 5 years after transfer or discharge of inmate, then destroy in compliance with No. 8 on schedule cover page.
<u>Medical Services Activity Reports</u> This series documents the compilation of statistical reports on medical services provided, prescriptions dispensed, and other related medical data as required by DOC.	101439	Retain 3 years, then destroy.
<u>Medical Supply Inventories</u> This series documents the comprehensive and ongoing inventory of medical supplies and equipment for accounting and reordering purposes.	101440	Retain 3 years after inventory date, then destroy.
<u>Medication Administration Records</u> This series documents the cumulative history of a particular medication given to a specific inmate. History includes the medicines prescribed, dates and times offered, inmate response and acceptance, and effects.	101 441	Transfer to records series 101433, "Inmate Medical Records."
<u>Monthly Appointment Report</u> This series documents outside medical appointments.	101442	Retain 3 years, then destroy in compliance with No. 8 on schedule cover page.
<u>Nursing Ledgers and Sick Call Logs</u> This series documents the daily activities of health care staff. Includes inmates seen, complaints and treatment. Used to update inmate medical records.	101443	Retain 3 years after last entry, then destroy in compliance with No. 8 on schedule cover page.



**RECORDS RETENTION AND DISPOSITION SCHEDULE  
SPECIFIC SCHEDULE NO. 701-202  
DEPARTMENT OF CORRECTIONS  
CORRECTIONAL INSTITUTIONS  
MEDICAL RECORDS**

EFFECTIVE SCHEDULE DATE:	PAGE 6 OF 7 PAGES	
RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Nurses and Physicians Daily Activity Schedule</u> This series documents the daily activity of staff for statistical purposes. Used to compile required monthly reports.</p>	101444	Retain 30 days after monthly reports completed, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Over the Counter (OTC) Drug Records</u> This series documents the issue of over the counter drugs to inmates.</p>	101445	Retain 2 years after last entry, then destroy in compliance with No. 8 on schedule cover page. Refer to 21CFR1304.04.
<p><u>Pharmacy Order Forms</u> This series documents the bulk requisition of OTC, inmate specific and physician/nurse ordered medications from vendors.</p>	101446	Retain 3 years, then destroy. Refer to 21CFR1304.04.
<p><u>Psychological/Psychiatric Referrals and Consultations</u> This series documents inmate referral for a psychological or psychiatric consultation and the findings or results of the consultation.</p>	101447	Transfer to records series 101433, "Inmate Medical Records."
<p><u>Radiology/Other Testing Reports - Original</u> This series documents the request for and completion of radiological testing services including, but not limited to X-rays, CT scans, MRIs, EKGs and EEGs.</p>	101448	Transfer to records series 101433, "Inmate Medical Records."
<p><u>Radiology/Other Testing - Films, Tracings, or Recordings</u> This series documents the output from various radiological/other testing devices.</p>	101449	Retain 5 years after transfer or discharge of inmate, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Removals from Kitchen Duty</u> This series documents that an inmate, previously issued a health certificate is now temporarily or permanently removed from kitchen duty.</p>	101450	Retain until inmate reassigned to other duties, then destroy in compliance with No. 8 on schedule cover page.



**RECORDS RETENTION AND DISPOSITION SCHEDULE  
SPECIFIC SCHEDULE NO. 701-202  
DEPARTMENT OF CORRECTIONS  
CORRECTIONAL INSTITUTIONS  
MEDICAL RECORDS**

EFFECTIVE SCHEDULE DATE: SEP 07 2001 PAGE 7 OF 7 PAGES

RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Sanitation Inspections</u> This series documents medical staff inspection of food service or other facilities.	101451	Retain 3 years after date of inspection, then destroy.
<u>Security Medical Orientations</u> This series documents that institutional security staff have been briefed on procedures for dispensing medications to inmates by non-medical staff.	101452	Retain for length of employment, then destroy in compliance with No. 8 on schedule cover page.
<u>Self-Medication Rosters</u> This series documents that selected inmates have been approved for issue/prescription of 30 days worth of medication at one time and able to voluntarily self-medicate.	101453	Retain 5 years, then destroy in compliance with No. 8 on schedule cover page.
<u>Special Diet Needs</u> This series documents that food service personnel were notified of a doctor's order for specific diet needs on specific inmates.	101454	Retain 3 years after transfer or discharge of inmate, then destroy in compliance with No. 8 on schedule cover page.
<u>Transportation Lists</u> This series documents that the transportation office was notified of which inmates need to be taken for medical appointments outside of the institution.	101455	Retain 3 years, then destroy in compliance with No. 8 on schedule cover page.