



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. 720-001

Behavioral Health and Developmental Services, Dept. of

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

STATE ARCHIVIST

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

Michelle Bailey

Sandra J. Woodway

EFFECTIVE SCHEDULE DATE: *October 28, 2013*

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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<p><u>Accreditation, Licensure, Survey and Response Records</u></p> <p>This series documents formal accreditation of a facility or department by a relevant accreditation body. This series may include, but is not limited to: surveys for licensure or accreditation, audit reports, official report of findings, and corrective action plans.</p>	000407	5 Years after last action	Confidential Destruction
<p><u>Admission Discharge Transfer (ADT): Records and Reports</u></p> <p>This series documents individual's movement in to, out of, or within a facility. This series may include, but is not limited to: movement reports and registers; and census reports.</p>	000409	5 Years after creation	Confidential Destruction
<p><u>Admission Register</u></p> <p>This series documents admission and discharges to and from the facility. This series may include, but is not limited to: legal status, contact information, admitting Community Service Board (CSB), diagnosis, and discharge information.</p>	000408		Permanent, In Agency
<p><u>Autoclave Sterilization Records</u></p> <p>This series documents the cleaning of equipment and instruments used in laboratories, as well as dental or surgical operations. This series may include, but is not limited to: logs.</p>	000410	3 Years after event	Non-confidential Destruction
<p><u>Benefits Case Records</u></p> <p>This series documents requests for financial assistance from Social Services. This series may include, but is not limited to: adult disability and work history reports, physician statements of patient's capability to manage benefits, and applications for disability insurance benefits.</p>	000411	5 Years after closed	Confidential Destruction



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<p><u>Compliance Records</u></p> <p>This series documents agency compliance with rules, regulations, guidance, and advisories pertaining to federal healthcare programs and funding. This series may include, but is not limited to: annual compliance reports, annual exclusion list checks, audits, investigations, instructions, and compliance committee reports. 42 USC 1320a-7; 42 USC 1320c-5</p>	000412	10 Years after creation	Confidential Destruction
<p><u>Diet Records</u></p> <p>This series documents an individual's diet while at the facility. This series may include, but is not limited to: diet cards and diet communication sheets.</p>	000413	3 Years after creation	Confidential Destruction
<p><u>Electroencephalogram (EEG) Tracings</u></p> <p>This series consists of tracings and images produced by Electroencephalogram (EEG).</p>	000414	5 Years after creation	Confidential Destruction
<p><u>Endowment, Bequest and Trust Fund Records</u></p> <p>This series documents agreement and stipulations of trusts or endowments made to the facility. This series may include, but is not limited to: histories of trustees and investments, notice of fund, and distribution documentation.</p>	000415		Permanent, In Agency
<p><u>HIPAA Records</u></p> <p>This series documents the facility's compliance with HIPAA regulations. This series may include, but is not limited to: accounting of disclosures; complaints; requests for amendments; volunteer and visitor confidentiality statements; training records; breach log, and resident data sheet for pharmacy medication regimen reviews.</p>	000416	6 Years after creation	Confidential Destruction
<p><u>Index: Master Patient</u></p> <p>This series documents records used for internal control of a process or action. This series may include, but is not limited to: operative registers, physician, and disease indexes.</p>	000417		Permanent, In Agency

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<u>Index: Other</u> This series documents records used for internal control of a process or action. This series may include, but is not limited to: operative registers, physician, and disease indexes.	000418	0 Years after last action	Confidential Destruction
<u>Individual/Resident Applications</u> This series documents applications handled by the facility on behalf of patients applying for services. This series may include, but is not limited to: Medical Assistance Program (MAP) and nursing home applications.	000419	3 Years after last action	Confidential Destruction
<u>Laboratory: Quality Control Records</u> This series documents maintenance of lab equipment. This series may include, but is not limited to: reagents, controls, instrument records, and temperature logs.	000420	2 Years after equipment, facility, or property sold or no longer in use	Non-confidential Destruction
<u>Laboratory: Reports</u> This series documents results of laboratory testing. This series may include, but is not limited to: bacteriological tests and culture reports.	000421	5 Years after event	Confidential Destruction
<u>Laboratory: Specimen Logs - Pathology</u> This series documents collection of specimens to send for testing. This series may include, but is not limited to: wax blocks and logs.	000422	5 Years after last action	Confidential Destruction
<u>Logs</u> This series documents facility operations. This series may include, but is not limited to: health service; laboratory; operation room appointment; patient care monitoring; patients referred to other hospitals; subpoenas; waiting lists; warrants issued; refrigerator and freezer medication temperature; and controlled access cabinet logs.	000423	3 Years after last action	Confidential Destruction



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<p><u>Nursing and Direct Support Associates (DSA) Records</u></p> <p>This series documents communication between nurses and Direct Support Associates (DSA). This series may include, but is not limited to: 24-hour reports.</p>	000424	3 Years after creation	Confidential Destruction
<p><u>Operating Room</u></p> <p>This series documents use of a facility's operating room. This series may include, but is not limited to: operating room reports and schedules for surgery.</p>	000425	3 Years after audit	Confidential Destruction
<p><u>Patient/Resident Medical Records: Deceased</u></p> <p>This series documents the records of patients who have passed away while in the care of a mental health facility. This series may include, but is not limited to: autopsy report and death certificate.</p>	000426	6 Years after last action	Confidential Destruction
<p><u>Patient/Resident Medical Records: Discharged Adults</u></p> <p>This series documents the treatment history of discharged adult patients. This series may include, but is not limited to: anesthesia records; bone marrow test reports; clinical pathology reports; consultation records; cytology reports; dental records; dialysis records; Electrocardiogram (EKG) and Electroencephalogram (EEG) reports; informed consent forms; inhalation therapy records; laboratory test reports; medication administration record (MAR); nutritional assessment plan (NAP); occupational therapy records; patient personal effects and clothing lists; patient visitor log; physical therapy records; psychiatric and psychological reports; radiology reports; Social Services case files; speech therapy records; surgical tissue pathology reports; temperature, pulse, and respiration log; transfusion records; and X-ray interpretation reports.</p>	000427	6 Years after last action	Confidential Destruction

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<p><u>Patient/Resident Medical Records: Discharged Minors</u></p> <p>This series documents the treatment history of discharged minor patients. This series may include, but is not limited to: anesthesia records; bone marrow test reports; clinical pathology reports; consultation records; cytology reports; dental records; dialysis records; Electrocardiogram (EKG) and Electroencephalogram (EEG) reports; informed consent forms; inhalation therapy records; laboratory test reports; medication administration record (MAR); nutritional assessment plan (NAP); occupational therapy records; patient personal effects and clothing lists; patient visitor log; physical therapy records; psychiatric and psychological reports; radiology reports; Social Services case files; speech therapy records; surgical tissue pathology reports; temperature, pulse, and respiration log; transfusion records; and X-ray interpretation reports.</p>	015050	24 Years after birth	Confidential Destruction
<p><u>Pharmacy: Floor Stock Requests</u></p> <p>This series documents the date of medication dispensing and the identity of the pharmacist dispensing. 18VAC110-20-255</p>	000428	2 Years after event	Confidential Destruction
<p><u>Pharmacy: Medication Inventory Records</u></p> <p>This series documents the facility's supply of medication. This series may include, but is not limited to: perpetual controlled drug inventory, destruction logs, drug recall records, and Medicare Part D remittance vouchers.</p>	000429	5 Years after creation	Non-confidential Destruction
<p><u>Pharmacy: Medication Requisitioning and Dispensing Records</u></p> <p>This series documents the request for and allotment of medication. This series may include, but is not limited to: patient profiles, control audit cabinet and logs, daily audit logs, cassette fill sheets, and refill requests.</p>	000430	5 Years after creation	Confidential Destruction
<p><u>Pharmacy: Medication Site Inspections</u></p> <p>This series documents building and medication room site inspections.</p>	000431	3 Years after event	Non-confidential Destruction



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<u>Pharmacy: Prescriptions</u> This series documents prescriptions and refills written by doctors. This series may include, but is not limited to: pharmacy orders, physician orders, and refill forms.	000432	12 Years after creation	Confidential Destruction
<u>Pharmacy: Repackaging Records</u> This series documents the rationing of medication into smaller dosages	000433	1 Year after event	Non-confidential Destruction
<u>Psychological Protocol</u> This series documents psychological testing of patients. This series may include, but is not limited to: raw data and reports for psychological tests of cognitive ability, neuropsychological functioning, functional ability, achievement, adaptive behavior, and sexual offender evaluations.	000434	50 Years after creation	Confidential Destruction
<u>Quality Management Records</u> This series documents a facility's activities to standardize, improve, and monitor the quality of care. This series may include, but is not limited to: plans of action, peer review, and clinical pertinence reviews.	000435	10 Years after creation	Confidential Destruction
<u>Radiology: X-Ray Film</u> This series documents x-ray testing. 42CFR482.26(d)	000436	5 Years after creation	Confidential Destruction
<u>Research Records</u> This series documents independent or grant-funded research conducted at the facility. This series may include, but is not limited to: identified and de-identified databases, surveys, and findings.	000437	5 Years after project completion	Confidential Destruction
<u>Signature Log</u> This series documents access rights to medical records. This series may include, but is not limited to: name and signature cards.	000438	75 Years after creation	Confidential Destruction