



RECORDS RETENTION AND DISPOSITION SCHEDULE
SPECIFIC SCHEDULE NO. 701-301
DEPARTMENT OF CORRECTIONS
OFFICE OF HEALTH SERVICES

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

AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY

STATE RECORDS ADMINISTRATOR

AGENCY RECORDS OFFICER

COMPTROLLER OR DEPUTY

EFFECTIVE SCHEDULE DATE: SEP 07 2001

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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.



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RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Agreements, Memoranda of Understanding (MOU), and Contracts</u> This series documents the signing of agreements by the office with other DOC offices, other state agencies or other entities.	101384	Retain 3 years after expiration, then destroy.
<u>Biennial Controlled Drug Inventory</u> This series documents the inventory of controlled drugs at the DOC central pharmacy.	101385	Retain 2 years after next inventory completed, then destroy. Refer to 21CFR1304.04.
<u>Central Pharmacy Drug Returns</u> This series documents the receipt of drugs returned to the DOC central pharmacy by DOC institutions.	101386	Retain 2 years after the end of the calendar year, then destroy in compliance with No. 8 on schedule cover page. Refer to 21CFR1304.04.
<u>Central Pharmacy Inventory Report</u> This series documents the regular inventory of materials and supplies in the DOC central pharmacy.	101387	Retain 2 years after the end of the calendar year, then destroy.
<u>Consultant Reports and Supporting Documentation</u> This series documents the work and recommendation of outside consultants hired by the agency.	101388	Retain 3 years after acceptance of final report or as long as administratively useful, whichever is greater; then destroy.
<u>Contract Administration Records</u> This series documents the non-fiscal administration of contracts by the office.	101389	Retain 3 years after end of the contract, then destroy.
<u>Controlled Substance Invoices</u> This series documents orders to vendors from the DOC central pharmacy for controlled substances.	101390	Retain 3 years after end of fiscal year, then destroy. Refer to 21CFR1304.04.



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RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Death Records</u> This series documents the reporting of inmate deaths to DOC central office and the chief physician's analysis and summary of death circumstances. Includes all deaths (accident, injury, natural) of inmates while in DOC control. May include related serious incident reports.</p>	101391	Retain 10 years after completion of summary, then transfer to the Archives, Library of Virginia for permanent retention.
<p><u>Directives/Memos - Guidance</u> This series documents the issuance of directives or memos in regards to inmate care and treatment.</p>	101392	Retain 2 years after superseded or expired, then destroy.
<p><u>Divisional Operating Procedures</u> This series documents the operating procedures disseminated to DOC institutional medical facilities by the central office.</p>	101393	Retain 10 years after superseded or expired, then destroy.
<p><u>FAACS Records</u> This series documents office copies of Fixed Asset Accounting System (FAACS) reports and records for major items of equipment on hand in the office.</p>	101394	Retain as long as administratively necessary, then destroy.
<p><u>Freedom of Information Act (FOIA) Requests</u> This series documents receipt of and response to FOIA requests for information.</p>	101395	Retain 3 years after final response, then destroy.
<p><u>Health Services Correspondence</u> This series documents the routine correspondence of office staff, normally with inmates, inmate families, DOC institutions and other parties.</p>	101396	Retain 3 years after the end of the calendar year, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Historical Files</u> This series retains documents listed elsewhere on this schedule deemed to be of a historically significant nature including those that document the function of the office. May include photographs of institutions or inmates.</p>	101397	Retain permanently in office, or may be transferred to the Archives, Library of Virginia.



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RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<u>Inspection and Audit Reports</u> This series documents the routine inspection and audit of institution medical and food service facilities by office staff. Includes reports, correspondence and other related documents.	101398	Retain 3 years after completion of inspection or audit, then destroy.
<u>Insurance Carrier Invoice Audit Reports/Credit Reports (Trigon)</u> This series documents central pharmacy interaction with Trigon Insurance or other carriers for covered services.	101399	Retain 3 years after the end of the fiscal year, then destroy in compliance with No. 8 on schedule cover page.
<u>Invoices and Supporting Documentation - Office Copies</u> This series documents the ordering and/or receipt of supplies and equipment by office staff. Includes orders, logs, receipts and other fiscal documents.	101400	Retain 3 years after the end of the fiscal year, then destroy.
<u>Medical Activity Reports</u> This series documents the collection of routine medical activity reports prepared by institutions and sent to DOC central office.	101401	Retain 3 years after the end of the calendar year, then destroy.
<u>Medical Grievances (OHS Documentation)</u> This series documents the receipt of and response to inmate grievances related to medical matters.	101402	Retain 3 years after last action, then destroy in compliance with No. 8 on schedule cover page.
<u>Medical Transfer Records</u> This series documents central office control over the transfer of inmates between institutions and/or outside facilities for approved medical reasons.	101403	Retain 3 years after transfer approval, then destroy in compliance with No. 8 on schedule cover page.
<u>Menus</u> This series documents central office approval and issuance of standard menus to DOC institutions. Includes master menus, medical menus and road menus.	101404	Retain 3 years after end of the calendar year, then destroy.



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RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Minutes</u> This series documents the proceedings of the committees or councils established by the office or supported by the office. Includes minutes of various focus groups.</p>	101405	Retain 3 years after end of calendar year, then destroy.
<p><u>Nutrient Analysis</u> This series documents the analysis of menus and recipes for nutritional content by the staff dietician.</p>	101406	Retain 3 years after last use of related recipe or a new analysis, then destroy.
<p><u>Personnel Files - Manager's Copies</u> This series documents the collection of personnel information on employees for the convenience of managers.</p>	101407	Retain until employee departure, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Pharmacy Order Forms</u> This series documents receipt of prescription orders by the central pharmacy from institutions and actions taken on the orders.</p>	101408	Retain 2 years after the end of the calendar year, then destroy in compliance with No. 8 on schedule cover page. Refer to 21CFR1304.04.
<p><u>Procedural Guidance Memoranda</u> This series documents sending of memoranda to institutions clarifying operating procedures or providing interim guidance pending revision of procedures.</p>	101409	Retain 3 years after the end of the calendar year, then destroy.
<p><u>Routine Administrative Records</u> This series documents the routine administration of the office. For administrative records not listed on this schedule.</p>		Refer to <i>General Records Retention and Disposition Schedule No. GS-101, Administrative Records</i> for retention guidelines.
<p><u>Schedule of Daily Activities - Convenience or Administrative Control</u> This series documents the activities of employees other than payroll/hourly wage records. Includes diaries, logs, registers and other similar records.</p>	101410	Retain as long as administratively necessary, then destroy.



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RECORDS SERIES TITLE AND DESCRIPTION	SERIES NUMBER	SCHEDULED RETENTION AND DISPOSITION
<p><u>Schedule of Daily Activities - Required by Law or Regulation</u> This series documents compliance with code, law, statute or regulation requiring the control or recording of the activities of employees other than payroll/hourly wage records. Includes diaries, logs, registers and other similar records not listed on an agency specific schedule.</p>	101411	Retain 2 years, then destroy.
<p><u>Standard Recipes</u> This series documents the development and issuance to DOC institutions of standard recipes for food service facilities within DOC.</p>	101412	Retain 3 years after end of calendar year, then destroy.
<p><u>Training Plans and Schedules</u> This series documents the development and issuance of training plans and training schedules for new nursing employee training and for in-service medical training. Training is performed at the Academy for Staff Development.</p>	101413	Retain 3 years after superseded, then destroy.
<p><u>Training Records - Internal</u> This series documents training not conducted at or recorded by the Academy for Staff Development.</p>	101414	Retain 3 years after last entry or action, then destroy.
<p><u>Tuberculosis Testing</u> This series documents the receipt of test results by the central office and any follow up actions taken by office staff.</p>	101415	Retain 10 years after end of calendar year, then destroy in compliance with No. 8 on schedule cover page.
<p><u>Tuberculosis Testing Log</u> This series documents the receipt of notifications of positive tests for tuberculosis.</p>	101416	Retain 10 years after last entry, then destroy in compliance with No. 8 on schedule cover page.