

DEPARTMENT OF HEALTH AND HUMAN SERVICES
OFFICE OF THE SECRETARY
OFFICE OF MEDICAID MANAGEMENT INFORMATION SYSTEM SERVICES

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

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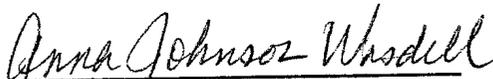
do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

The

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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

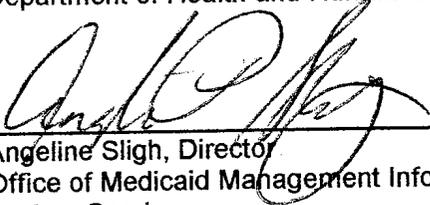
APPROVAL RECOMMENDED



Anna Wasdell, Chief Records Officer
Department of Health and Human Services



David Bourne, Records Officer
Office of Medicaid Management Information
System Services



Angeline Sligh, Director
Office of Medicaid Management Information
System Services

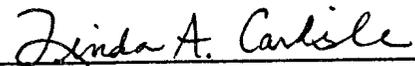


David Brook, Director
Division of Historical Resources

APPROVED



Lanier M. Cansler, Secretary
Department of Health and Human Services



Linda A. Carlisle, Secretary
Department of Cultural Resources

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ITEM 48285. DIRECTOR'S CORRESPONDENCE FILE.

Records in paper and electronic formats concerning all facets of the agency's creation and administration.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records to the State Records Center after 5 years for immediate transfer to the custody of the Archives.

ITEM 48286. OFF-MISSION FILE.

Records in paper and electronic formats concerning topics unrelated to the agency's core mission and program objectives. File includes community affairs notices, charity fund drive information, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when reference value ends.

ITEM 48287. POLICIES AND PROCEDURES FILE.

Records in paper and electronic formats concerning policies and procedures specific to the agency. File includes operational and quality assurance manuals, regulations for the implementation, operation, and monitoring of the program, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 5 years after policy has been superseded or rendered obsolete, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48288. SPECIAL EVENT FILE.

Records in paper and electronic formats concerning information sessions, short-courses, workshops, training programs, excursions, and celebratory events for office personnel. File includes planning and promotional material, photographs, presentation material, handouts, registration and attendance lists, participant evaluations, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 2 years.

ITEM 48289. SIGNATURE AUTHORIZATIONS FILE.

Records in paper and electronic formats concerning authorization of agency personnel to sign fiscal and contractual documents, timesheets, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations after 5 years, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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ITEM 48290. LEGAL CORRESPONDENCE AND MEMORANDA FILE.

Records in paper and electronic formats concerning agency correspondence and memoranda regarding legal matters. File includes correspondence sent to or received from the Department of Justice, Centers for Medicare and Medicaid Services (CMS), external legal counsel, fiscal agents, and other related records. (File does not include records within other records series in this schedule which may be subject to a legal case or used to support a legal discussion or argument.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations after 5 years, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48291. ANNUAL BUDGET DEVELOPMENT FILE.

Records in paper and electronic formats concerning worksheets and other supporting documentation used to formulate the budgets and any revisions or updates. File includes models, staffing data, notes, correspondence, analyses, final calculations, references to previous budgets, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 5 years after the end of the fiscal year, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48292. FINANCIAL REPORTS FILE.

Reference copies of records in paper and electronic formats concerning financial reports or other output from external systems or organizations. File includes output from the North Carolina Accounting System, project Portfolio Management tool, and other financial systems. File also includes Advance Planning Documents, invoices, remittance advices (non-fiscal agent), and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when reference value ends.

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ITEM 48293. INFORMATION TECHNOLOGY (IT) PROCUREMENT FILE.

Records in paper and electronic formats concerning contracts for the procurement of system hardware and/or software, and associated services. File includes research records, requests for information, statements of objectives, requests for proposals, proposals, quotations, bids, evaluations, contracts, amendments, termination documents, correspondence, vendor reference reports, meeting files, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 7 years after contract expiration or termination, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48294. FISCAL AGENT FINANCIAL TRANSACTIONS FILE.

Records in paper and electronic formats concerning financial transactions between the state and fiscal agents. File includes memoranda, schedules, calculations, payment milestone reports, awards, penalty and damage notices, reference copies of purchase orders and invoices, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 5 years after contract expiration or termination, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48295. TIME TRACKING FILE.

Records in paper and electronic formats concerning dates and times when personnel worked on specific projects or activities. File includes weekly and monthly timesheets, project resource schedules, and other related records. Data relating to weekly time allocations is entered into the OMMISS Time Tracking System (OTTS) Database (Electronic) File (Item 48310).

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations after 5 years, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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ITEM 48296. EMPLOYEE PERFORMANCE IMPROVEMENT FILE.

Records in paper and electronic formats concerning plans to correct personnel performance issues. File includes documented performance issues, corrective action plans, and other related records. (File does not include disciplinary actions.) (Comply with applicable provisions of G.S. 126-22 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: If the issue has been successfully resolved, destroy in office paper and electronic records at the end of the state fiscal year or 6 months after the Improvement Plan was implemented, whichever is later. If disciplinary action is necessary, transfer paper and electronic records to the Employee Disciplinary File (Item 48297) immediately.

ITEM 48297. EMPLOYEE DISCIPLINARY FILE.

Records in paper and electronic formats concerning disciplinary actions. File includes Improvement Plans created to manage disciplinary actions, and other related records. (Comply with applicable provisions of G.S. 126-22 regarding the confidentiality of personnel records.)

DISPOSITION INSTRUCTIONS: Transfer paper and electronic records to the Department of Health and Human Services, Human Resources after resolution of disciplinary action.

ITEM 48298. SPEECHES FILE.

Records in paper and electronic formats concerning speeches delivered by directors and other agency personnel, such as a key director's speech. File includes speech material, clippings, photographs, newsletters, publications, and other related records.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when reference value ends. Transfer paper records to the State Records Center after 5 years for immediate transfer to the custody of the Archives.

ITEM 48299. PROGRAM OVERSIGHT COMMITTEE FILE.

Records in paper and electronic formats concerning the program's Oversight Committee. File includes status reports, presentation material, meeting agendas and minutes, action items, and other related records. (Note: Records in this file receive Medicaid Program funding.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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ITEM 48300. APPLICATION DEVELOPMENT PROJECT FILE.

Records in paper and electronic formats concerning the development, redesign, or modification of an automated system or application. File includes project management records, status reports, draft system or sub-system specifications, draft user requirements and specifications, customer service requests, memoranda, correspondence, meeting material and notes, and other related records. File also includes records developed by the state or a vendor. (All system development related contract deliverables, whether draft versions or officially numbered and tracked, are included in this file.) Data relating to Division of Health Service Regulation project is entered into the Business Information Engineering Solutions (BIES) Database (Electronic) File (Item 48314).

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 5 years after project completion, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48301. DATA SYSTEMS SPECIFICATIONS FILE.

Records in paper and electronic formats concerning user and operational documentation describing how an application system operates from a functional user and data processing point of view. File includes records documenting data entry, manipulation, output and retrieval (often called "system documentation records"), records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or work flow records, system specifications, and input and output specifications.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 5 years after discontinuance of all systems and after all data created by every system instance has been destroyed or transferred to a new operating environment, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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ITEM 48302. FISCAL AGENT OPERATIONS FILE.

Records in paper and electronic formats concerning the business operations of a fiscal agent as required per contract terms. File includes plans and records regarding vendor management, issue management, resource management, system training, system security, procedures, and other related records. File also includes records developed by the state or fiscal agent. All operations related contract deliverables, whether draft versions or officially numbered and tracked, are also included. (Note: File excludes financial records, application development records, system documentation, system performance records, and vendor performance reports.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 5 years after contract expiration or termination, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48303. VENDOR PERFORMANCE MANAGEMENT FILE.

Records in paper and electronic formats concerning vendor performance, generated by either the state or a vendor. File includes status reports, performance report cards, survey results, meeting material and notes, actions corrective action plans, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 5 years after contract expiration or termination, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48304. SYSTEM PERFORMANCE FILE.

Records in paper and electronic formats concerning systems' performance, generated by the state or a vendor. File includes reports on data errors, transaction volumes, security issues, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 5 years after discontinuance of all systems and after all data created by every system instance has been destroyed or transferred to a new operating environment, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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ITEM 48305. QUALITY ASSURANCE FILE.

Records in paper and electronic formats concerning the adherence of applications and systems development procedures and products to established policies, processes, architectures, deliverables, performance metrics, budgetary allocations, deadlines, and other related records. File also includes reviews, assessments, supporting documentation, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records funded entirely by state appropriations 5 years after supersession or replacement of associated source code, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded paper and electronic records (Medicaid Program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48308. MEDICAID MANAGEMENT INFORMATION SYSTEM (MMIS) CERTIFICATION FILE.

Records in paper and electronic formats concerning certification of the Medicaid Management Information System by the Centers for Medicare and Medicaid Services (CMS). File includes Medicaid Management procedures as mandated by the certifications, and other related records. (Note: Records in this series receive federal Medicaid Program funding.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48309. HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT OF 1996 (HIPAA) FILE.

Reference copies of records in paper and electronic formats concerning Health Insurance Portability and Accountability Act (HIPAA) information. File includes privacy disclosures, authorization forms, patient medical records, and other related records. (Comply with applicable provisions of G.S. 75-66 and 130A-15 regarding the confidentiality of privileged medical information.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records when reference value ends.

ITEM 48310. OMMISS TIME TRACKING SYSTEM (OTTS) DATABASE (ELECTRONIC) FILE.

Electronic records concerning the "OTTS" internal time tracking system. Electronic file includes data tables, application code, and data code. (Note: Records in this series receive federal Medicaid Program funding.) (File maintenance and backup procedures conducted by agency IT personnel.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. (Note: The application code and data code can be destroyed when all data created by every system instance has been transferred to a new operating environment.)

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ITEM 48311. OFFICE INTRANET DATABASE (ELECTRONIC) FILE.

Reference copies of electronic records concerning the "mambodb" system. Electronic file includes data tables, application code, and data code. System is used to manage the office-wide intranet, which provides information on topics such as organizational roles, staff information, news policies and procedures, and templates. (Official copies of records contained in the data tables are maintained in individual office files.) (File maintenance and backup procedures conducted by agency IT personnel.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office specific data table records when reference value ends. Destroy in office remaining records upon discontinuance of system or application.

ITEM 48312. WELLNESS COMMITTEE DATABASE (ELECTRONIC) FILE.

Electronic records concerning the "Auction" system. Electronic file includes data tables, application code, and data code. System is used primarily to manage fund-raising auctions and other special events related to employee health. (File maintenance and backup procedures conducted by agency IT personnel.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office when reference value ends.

ITEM 48313. ARCHIVED DOCUMENTS DATABASE (ELECTRONIC) FILE.

Electronic records concerning the "docdb" system. Electronic file includes data tables, application code, and data code. System is used to store and retrieve documents associated with the former NCMMIS+ initiative. (Note: Records in this series receive federal Medicaid Program funding.) (File maintenance and backup procedures conducted by agency IT personnel.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. (Note: The application code and data code can be destroyed when all data created by every system instance has been transferred to a new operating environment.)

ITEM 48314. BUSINESS INFORMATION ENGINEERING SOLUTIONS (BIES) DATABASE (ELECTRONIC) FILE.

Electronic records concerning the "BIES" system. Electronic file includes data tables, application code, and data code. System is used to develop and manage the Division of Health Service Regulation project business models. (Note: Records in this series receive federal Medicaid Program funding.) (File maintenance and backup procedures conducted by agency IT personnel.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. (Note: The application code and data code can be destroyed when all data created by every system instance has been transferred to a new operating environment.)

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ITEM 48315. DIVISION OF HEALTH SERVICE REGULATION PROJECT ISSUE TRACKING DATABASE (ELECTRONIC) FILE.

Electronic records concerning the "Tracker" system. Electronic file includes data tables, application code, and data code. System is used to manage issues associated with the Division of Health Service Regulation project business models. (Note: Records in this series receive federal Medicaid Program funding.) (File maintenance and backup procedures conducted by agency IT personnel.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. (Note: The application code and data code can be destroyed when all data created by every system instance has been transferred to a new operating environment.)

ITEM 48373. DATA DOCUMENTATION FILE.

Records concerning the development and/or modification of and the access, retrieval, manipulation, and interpretation of data in an automated system. File includes data element dictionary, file layout, code book or table, and other records concerning the meaning, purpose, structure, logical relationships, and origin of the data elements.

DISPOSITION INSTRUCTIONS: Destroy in office records funded entirely by state appropriations 5 years after discontinuance of all systems and after all data created by every system instance has been destroyed or transferred to new operating environment, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office federally funded records (Medicaid Program) 10 years after submission date of the final expenditure report and after receiving approval from the Department of Health and Human Services, Office of the Controller, if no litigation, claim, audit, negotiation, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.