

Appendix 2 - Records Retention Schedule **October 27, 2006**

Accounting/ Fiscal Status Reports

Description: Concerns recording, summarizing and analyzing financial transactions. It includes, but is not limited to, records on: appropriations, allocations, encumbrances and expenditures.

Retention Period: Destroy after report is superseded or becomes obsolete

RDA No.: 90273

Except: End of Year Fiscal Status Reports

Retention Period: Destroy 3 fiscal years after year covered by report.

RDA No.: 90122

Except: Daily Journal Reports

Retention Period: Destroy 6 months after year covered by report

RDA No.: 90123

Admission and Other Forms Used for Data Entry to a Computer

Description: Individual Statistical data at time of admission to or termination from a Mental Health Facility.

Retention Period: 3 years

RDA No. : 11469

Annual Reports

Description: Annual reports of Facilities, Regional Offices and Central Office.

Retention Period: 5 years

RDA No.: 11954

Except: One copy by the originator

Retention Period: Transfer to State Archives after 5 years

RDA No.: 11955

Asset Appraisal

Description: A complete inventory of the fixed assets of the Office of Mental Health. It includes, but is not limited to: a description of all the land, land improvements and buildings, furniture in buildings, etc.

Retention Period: Transfer to State Archives after 10 years

RDA No.: 10153

Audits & Inspections of Management, Programs and Operations

Description: Concerns audits and inspections of state and local facilities to see if standards are met. It includes, but is not limited to, such records as: inspection reports and schedules, audit reports, questionnaires, etc.

Retention Period: 6 years

RDA No.: 11653

Except: Operating Certificates

Retention Period: 6 years from expiration date of certificate

RDA No.: 11654

Budget Preparation

Description: Records created and used by program managers to develop budget requests.

Retention Period: Destroy 1 fiscal year after the fiscal year covered by the budget request

RDA No.: 90107

Except: Agency Budget Preparation Files (source documents for agency's final budget request submitted to DOB).

Retention Period: Destroy 3 years after fiscal year covered by budget

RDA No.: 90108

Except: Agency Copy of Agency Budget Request

Retention Period: Retain 1 copy of final budget request and supporting documentation in executive level files.

RDA No.: 90109

Citizen Participation

Description: Concerns developing policies for citizen participation at the central office, regional office and facility level. It includes, but is not limited to, such records as: correspondence with community groups, material on development of community residential and rehabilitative programs.

Retention Period: Transfer to State Archives after 3 years

RDA No.: 11656

Classification and Compensation

Description: Concerns classifying positions in accordance with Department of Civil Service standards. It includes, but is not limited to, such records as: salary changes, requests for new and temporary positions.

Retention Period: Destroy record copy of classification or allocation records 10 years after position/title is reclassified, reallocated or eliminated, whichever comes first. Destroy other copies when no longer needed for administrative reference.

RDA No.: 90007

Except: Job standards, job classifications, job specifications, duty description where no standard or specification is available and title and salary plans.

Retention Period: Keep until superseded

RDA No. 11721

Computer Input Documents

Description: Documents used only as input to a computer system.

Retention Period: 6 months

RDA No.: 11938

Except: Copy of Admission Forms used for Data Entry to a Computer. Refer to that record series.

Except: Patient Billing Documents. Refer to that record series.

Except: Federally Funded Programs. Refer to that record series.

Computer Operations

Description: Concerns preparation of data for input into the computer, and control and operation of the computer. It includes, but is not limited to, such records as: computer logs, console listings, maintenance records, etc.

Retention Period: 3 years

RDA No.: 11657

Except: Medicare/Medicaid Transaction Computer Tapes

Retention Period: 7 years

RDA No. 14383

Except: Survey of Patient Characteristics Cover Sheet

Retention Period: 1 year

RDA No.: 14229

Except: Survey of patient characteristics computer generated statistical reports

Retention Period: Destroy after verification of microfilm.

RDA No. 14230

Except: Patient Billing Documents. Refer to that record series.

Computer Programming

Description: Concerns planning and coding, system and numerical analysis, specifications of printing formats, and any other functions necessary to integrate a computer into a system. It includes, but is no limited to, such records as: program source decks program documentation, program coding, etc.

Retention Period: Keep records life of program

RDA No.: 11658

Except: Test Results

Retention Period: None

RDA No.: 11659

Contracts - Purchase/Accounts Payable Records related to Agency-Let Contracts

Description: Records related to the purchase of goods and service which require a contract.

Retention Period: 6 years after expiration or final payment, whichever is later.

RDA No.: 90126

Dentistry

Description: Concerns provision of dental services to patients. It includes, but is not limited to, records on: dental work, laboratory tests. Some records are: x-rays, dental charts, reports, family care material, consents.

Retention Period: 6 years from patient termination

RDA No.: 11745

Except: All material that belongs in the Patient Case File. Refer to that record series.

Direction and Supervision of the Office of Mental Health

Description: Concerns functions of Commissioner, Executive Deputy commissioner and others concerned with: setting broad policy; developing long range plans; activities such as supervision, direction and control of all Office of Mental Health activities; federal reimbursement policy, guidelines, and directives. It includes, but is not limited to, such records as: long range plans, budgets, ad hoc and standing committees, correspondence, memos, reports, minutes of the executive committee.

Retention Period: Transfer to State Archives after 10 years

RDA No.: 11956

Except: Records Containing Information Identifying Patients

Retention Period: 10 years. These records are not to be sent to the State Archives.

RDA No.: 11957

Direction and Supervision of Facilities

Description: Concerns functions of the Director and Deputy Director. It includes, but is not limited to, such records as: long range plans, correspondence, memoranda, minutes of mandated committees, reports, and Board of Visitors' materials..

Retention Period: Transfer to State Archives after 10 years

RDA No.: 11958

Except : Records containing information identifying patients.

Retention Period: 10 years. These records are not to be sent to the State Archives.

RDA No.: 11959

Direction and Supervision of Programs

Description: Concerns setting policy for Office of Mental Health programs, long range plans for programs, and other activities of supervision, direction, control and development of programs. It includes, but is not limited to, such records as: long range plans, budgets, reports, correspondence, memoranda, county plans, etc.

Retention Period: Transfer to State Archives after 10 years

RDA No.: 11960

Except: Records containing information identifying patients.

Retention Period: 10 years. These records are not to be sent to the State Archives.

RDA No.: 11961

Except: Direction and Supervision of Facilities. Refer to that Record Series.

Except: Direction and Supervision of OMH. Refer to that Record Series.

Except: Program Planning. Refer to that Record Series.

Directories of the Office of Mental Health

Retention Period: Keep until revised or obsoleted

Description: Telephone Directories for facilities and administrative offices.

RDA No: 11665

EEG/EKG

Description: Concerns provision of EEG/EKG service to patients. Some records are: tracings, logs, index files.

Retention Period: 6 years

RDA No.: 11746

Except: All material that belongs in the Patient Case File. Refer to that record series.

Employee Benefits and Health Insurance Administration

Description: Records of employees' health insurance transactions.

Retention Period: 6 years after separation from agency or when employee is no longer eligible for insurance, whichever is later.

RDA No: 90012

Except: All material that belongs in the Personal History File. Refer to that record series.

Except: Workers' Compensation Files. Refer to that record series.

Except: Employee Hazardous Substance Exposure Records - Refer to Personal History File

Except: Retirement Benefit Files

Retention Period: 1 year following completion of retirement processing or upon separation from agency before retirement eligibility. (Note: Retirement declination forms should be retained as part of employee's Personal History File)

RDA No.: 90014

Employee Education and Training

Description: Concerns job related training for employees. It includes, but is not limited to, records on: training activities, work programs, placement activities.

Retention Period: 6 years after separation from agency.

RDA No. 90022

Except: All material that belongs in the Personal History File. Refer to that record series.

Except: All materials that belong under Schools of Nursing. Refer to that record series.

Except: Tuition Reimbursement Program Records:

Retention Period: 1 year after reimbursement paid or application rejected

RDA No. 90023

Except: Course Information Records

Retention Period: Destroy when superseded or obsolete.

RDA No.: 90020

Except: Course Registration Processing Records

Retention Period: 3 years after application for course

RDA No.: 90021

Employee Relations Disciplinary Files

Description: Concerns charges filed against employees, related forms, correspondence, consent decrees, investigation reports and supporting documents.

Retention Period: Retain record copy for a minimum of 10 years after final resolution of the disciplinary action or for 6 years after an employee terminates employment with the agency, whichever is first, then destroy, unless otherwise stipulated through disciplinary settlement or negotiated agreement. Destroy other copies when no longer needed for administrative reference.

RDA No.: 90358

Employee Relations Grievance Files

Description: Concerns charges filed against management, all appeals and decisions, related correspondence and supporting documents.

Retention Period: 10 years

RDA No.: 14527

Employee Relations Labor Management Process Records

Description: Agency records of labor-management meetings on specific topics and of labor-management committee activities, including minutes, agenda, background materials, and written agreements.

Retention Period: Until labor-management agreement expires or is superseded by new agreement and when no longer needed for reference, then transfer to State Archives. Destroy other records when no longer needed for reference.

RDA No.: 90359

Employee Relations Subject Files

Description: Records supporting agency employee relations programs, arranged by subject, and consisting of correspondence, memoranda, extra copies of contracts, agency employee relations policies and procedures, reports and background materials pertaining to contract administration issues, and related employee relations matters.

Retention Period: Retain for minimum of 1 contract cycle, then as long as needed for reference, then destroy.

RDA No.: 90360

Engineering and Maintenance

Description: Inventories of equipment that describe each item, indicates its location and provides cumulative totals.

Retention Period: Destroy as inventories are superseded or become obsolete.

RDA No.: 90265 For Equipment and Furniture

RDA No.: 90266 For Supplies, Commodities and Parts Inventories

Except: Pharmacy Inventories - Refer to that series

Except: Asset Appraisal - Refer to that series

Except: Supplies, Commodities and Parts Disbursement Records

Retention Period: Destroy record copies 3 fiscal years after disbursement. Destroy other copies when no longer needed for administrative reference.

RDA No.: 90361

Except: Equipment Control Records

Retention Period: Destroy 3 years after equipment is returned.

RDA No.: 90267

Except: Equipment Maintenance Records

Retention Period: Destroy record copy 3 years after equipment is sold, transferred or disposed. Destroy other copies when no longer needed for reference.

RDA No.: 90268

Except: Motor Vehicle Maintenance Records

Retention Period: Destroy record copy 3 years after associated vehicle has been sold, transferred, or otherwise destroyed. Destroy other copies when no longer needed for reference.

RDA No.: 90269

Except: Agency copies of Centralized or Decentralized Motor Vehicle Assignment Records

Retention Period: Destroy 3 years after end of vehicle assignment

RDA No.: 90270 for Centralized
90271 for Decentralized Except:

Vehicle Incident Reports

Retention Period: Destroy 5 years after filing report

RDA No.: 90272

Except: Surplus Property Disposition Records

Retention Period: Destroy 3 years after property has been disposed.

RDA No.: 90273

Except: Agency Recycling Reports

Retention Period: Destroy 1 year after filing report.

RDA No.: 90265

Except: Maintenance of HVAC and Utilities. Refer to that record series.

Facility Construction, Planning and Administration

Description: Concerns all matters relating to capital construction needs, developing capital planning guidelines, and monitoring construction. It includes, but is not limited to, such records as: land files, plant evaluations, bids and awards, leases, reports, state and federal grant construction projects, mortgage projects.

Retention Period : 20 years or until after last mortgage payment, whichever comes later

RDA No.: 14275

Except: Mortgages of Housing Finance Agency

Retention Period: Destroy after 10 years or final mortgage payment which ever is later.

RDA No.: 14276

Except: Construction Drawings, Specifications and Maps

Retention Period Life of building or site, then transfer to the State Archives.

RDA No.: 11995

Facility Information Service

Description: Concerns providing general information to the public in response to telephone inquiries.

Retention Period: 1 year
RDA No.: 11789
Except: Client Information Cards or Lists
Retention Period: Keep until superseded or obsoleted.
RDA No.: 11790

Federally Funded Programs

Description: Concerns various federal programs of service to employees or patients such as: Comprehensive Employment and Training Act, Work Incentive/Public Service Employment, Educational Services, Foster Grandparent Program, Research Programs. It includes, but is not limited to, such records as: payrolls, contracts and other administrative records.

Retention Period: 8 years or until audited, which ever comes first.
RDA No.: 11669
Except: Title I, E.S.E.A. Material (Elementary and Secondary Education Act)
Retention Period : 3 years after date of submission of the final Expenditure report.
RDA No.: 11682

Federal Reimbursement Programs

Description: Medicare/Medicaid Records. Includes but is not limited to such records as claim transmittals, financial statements, DSS claims forms, transmittals with amounts and dates billed, P.S. cost reports, OTPS cost reports and cost surveys.

Retention Period: 15 years
RDA No.: 14382
Except: Medicaid/Medicare Transaction Computer Tapes.

Retention Period: 7 years
RDA No.: 14383
Except: Medicaid/Medicare eligibility documents for establishing patient accounts.

Retention Period: 10 years
RDA No.: 14384

Food Service

Description: Concerns feeding of patients at facilities. It includes, but is not limited to, records

on: menus, menu planning, procurement, preparation and serving of food.

Retention Period: 2 years

RDA No.: 11802

Except: All material that belongs in Patient Case file. Refer to that record series.

Except: Individual Patient Menus

Retention Period: One Month

RDA No.: 11803

Except: Nutrition Planning and Management (Statewide). Refer to that record series.

Formal Communications

Description: Concerns development, revision, and promulgation of policy and procedures by such methods as manuals and numbered memoranda.

Retention Period: Numbered Memoranda - transfer to State Archives after 10 years.
Manuals- Transfer to State Archives 10 years after manual has been superseded or obsoleted.
Note: Recipients of formal communications retain them until superseded or obsoleted.

RDA No.: 11696

Forms Management

Description: Concerns design, use and control of Department forms. It includes, but is not limited to, such records as: forms inventory, form masters and proofs, correspondence on use, design, approval and specifications on forms.

Retention Period: Transfer to State Archives 5 years after form us superceded.

RDA No.: 11697

Except: Print Shop Records. Refer to that record series.

General Office Administrative Files

Description: Concerns records which do not conform to any specific functions of a unit, such as general correspondence, administrative material, supervision of a unit, etc.

Retention Period: 3 years

RDA No.: 11698

Housekeeping

Description: Concerns activities relating to keeping the interior of buildings clean and includes records such as: lists of supplies and equipment, and dates of major cleanings.

Retention Period:: 6 years

RDA No.: 11804

Housekeeping Management

Description: Concerns staff support for evaluating institution housekeeping needs and monitoring housekeeping effectiveness and efficiency. It includes, but is not limited to, such records as: correspondence, reports, financial statements.

Retention Period: 6 years

RDA No. : 11805

Human Rights

Description: Concerns protection of employees against discrimination. It includes, but is not limited to, such records as: complaints, investigations and results, previous decisions, minutes, reports.

Retention Period: 10 years

RDA No.: 11730

Except: All material that belongs in Personal History file. Refer to that record series.

Except: Human Rights Case Files

Retention Period: 10 years from close of case

RDA No.: 11731

Except: Employee Relations Grievance Case files. Refer to that record series.

Except: Employee Relations Disciplinary Case files. Refer to that record series.

Incident Reporting

Description: Concerns the reporting of accidents, injuries or deaths of patients, or situations adversely affecting a patient such as neglect, escape, mistreatment of any kind.

Retention Period: 20 years from disposition of case

RDA No.: 11818

Interstate Compact

Description: Concerns transfer of patients between states. It includes but is not limited to, case files including correspondence, transfer papers, copy of admission papers.

Retention Period: 5 years

RDA No.: 09134

Except: All material that belongs in patient case file. Refer to that record series.

Journals and Newspapers

Description: Concerns publication of Office of Mental Health journals and newspapers.

Retention Period: Transfer to State Library

RDA No.: 21162

Laboratory

Description: Concerns provision of chemical or physical analysis of body specimens. It includes, but is not limited to such records as: test requisitions and results.

Retention Period: 6 years

RDA No.: 11747

Except: All material that belongs in the Patient Case file. Refer to that record series.

Except: Autopsy Reports, Tissue Blocks, Bone Marrow Biopsy Reports, Histopathology Slides.

Retention Period: 20 years

RDA No.: 11752

Laundry Management

Description: Concerns staff support for evaluating institution laundry effectiveness and efficiency. It includes, but is not limited to, such records as: correspondence reports, financial statements.

Retention Period: 6 years

RDA No.: 11806

Laundry Services

Description: Concerns operation of laundries at facilities. It includes, but is not limited to, records on the operation of facility laundries.

Retention Period: 6 years

RDA No.: 11807

Legal - Litigation Files

Description: Correspondence, briefs, exhibits, decisions, orders, depositions, transcripts, developed and received in the course of providing legal advice to the agency.

Retention Period: 10 years after case closure

RDA No. 19908

Legal - Regulation Files

Description: Records documenting the development of agency regulations

Retention Period: Transfer to State Archives 10 years after regulation is repealed or substantially revised

RDA No.: 19909

Legal - Policies and Procedures

Description: Records documenting the background of major agency policies and procedures

Retention Period: Transfer to State Archives 10 years after policy or procedure is repealed or substantially revised

RDA No.: 19910

Legal - Legislation

Description: Bills, Memos, correspondence, reports and related records documenting office participation in the development of agency proposed legislation and review of other legislation relevant to agency concerns.

Retention Period: Transfer records related to agency proposed legislation to State Archives after 5 years. Destroy records relating to non-agency legislation after 2 years.

RDA No.: 19911

Legal - General Subject and Correspondence

Description: Correspondence, memos, reports, notes and other records documenting issues of legal significance affecting the agency.

Retention Period: 7 years

RDA No.: 19912

Legal - Contracts

Description: Copies of contracts and agreements negotiated by the office with related records.

Retention Period: 6 years after final payment or expiration, whichever is later.

RDA No.: 19913

Legal - Real Property

Description: Records documenting legal issues concerning agency's holdings of real property.

Retention Period: Records are retained for duration of ownership plus 10 years

RDA No.: 19914

Legal - Mortgages

Description: Records documenting legal issues concerning mortgages to which OMH is a party.

Retention Period: 6 years after mortgage termination'

RDA No.: 19915

Library

Description: Concerns operation of a library. It includes, but is not limited to, such records as: book transfers and loans, purchase requests, etc.

Retention Period: 6 years

RDA No.: 11711

Except: Card Catalogues

Retention Period: Keep life of book

RDA No.: 11718

Except: Library books and periodicals. These are not state records, have no RDA and thus, do not require authorized retention periods.

Maintenance of HVAC and Utilities

Description: Concerns records documenting the operation and inspection of facility heating, ventilation, air conditioning, water, electrical, and mechanical systems, including but not limited to meter readings, steam pressure logs, fixed equipment (e.g., elevators and mechanical doors) inspection reports, and heating fuel consumption recordings.

Retention Period: 3 Years

RDA No.: 90286

Management Analysis

Description: Assists management in developing policy, procedures, and programs by investigating and solving administrative, managerial and operational problems. It includes, but is not limited to, such records as: surveys, correspondence, charts, reports, etc.

Retention Period: Transfer to State Archives after 10 years from close of project.

RDA No.: 11996

Medical Surgical

Description: Concerns provision of medical and surgical care to patients. It includes, but is not limited to records on: surgery, transfusions, cultures, consultations, post-operation follow-ups.

Retention Period: 6 years

RDA No.: 11753

Except: All material that belongs in the Patient Case File. Refer to that record series.

Except: All material that belong in Laboratory. Refer to that record series.

Except: Mortality Reports. Refer to that record series.

Mortality Reports

Description: A comprehensive duplicate file of documents forwarded to Central Office Quality Management after the death of a person receiving services at any inpatient or outpatient facility certified by OMH.

Retention Period: 13 years

RDA No.: 14581

Nursing Services

Description: Concerns care and treatment of patients on wards. The includes, but is not limited to records on patient care. Some records are: drug requisitions, schedules, statistics, and surveys.

Retention Period: 6 years

RDA No.: 11754

Except: All material that belongs in Patient Case File. Refer to that record series.

Except: Ward Journals and Census Records

Retention Period: 8 years

RDA No.: 11683

Nutrition Planning and Management

Description: Concerns statewide issues involved in developing menus; construction and replacement of food service units and related equipment. It includes, but is not limited to, such records as: menus, financial and budget statements, correspondence.

Retention Period: 6 years

RDA No.: 11814
Except: Food Service. Refer to that record series.
Except: Food Service Menus. Refer to that record series.

Patient Billing Documents

Description: It includes, but is not limited to such records as; authorization to bill, patient financial information, claims and billing notices, eligibility documents, etc.
Retention Period: 8 years from close of case

RDA No.: 11655

Patient Case Files

Description: These records contain all pertinent facts about the patient's condition, diagnosis, treatment, changes in condition, legal papers, admission/termination papers, etc.; commonly referred to as medical records.

Retention Period: Pending - do not destroy any material until a retention period is established.

RDA No.: None

Except: Records that have been microfilmed.

Retention Period: Dispose after microfilming.

RDA No.: 19069

Except: Patient Case Studies Support Material

Retention Period: 10 years from date study completed.

RDA No.: 13902

Except: Psychiatric Test Booklets and Answer Sheets

Retention Period: 6 years or 3 years after the age of majority of any minor

RDA No.: 13570

Except: Mortality Reports

Retention Period: 10 years

RDA No.: 14581

Except: Autopsy Reports. Refer to Laboratory Autopsies.

Payroll

Description: Concerns all activities associated with preparation, issuance, and accounting for State employee compensation.

Retention Period: Destroy record copy 3 years after accurate payroll update. Destroy other copies when no longer needed.

RDA No.: 90018

Except: Employee's Federal Withholding Allowance Certificate (W-4)

Retention Period: Destroy 4 years after due date of last tax return to which certificate applied.

RDA No.: 90016

Except: Payroll Pre-processing Reports

Retention Period: Destroy after biweekly payroll is generated.

RDA No.: 90017

Except: Biweekly Payroll Listings (Salary Registers)

Retention Period: Destroy 1 fiscal year after end of payroll period.

RDA No.: 90019

Except: Paycheck Log

Retention Period: Destroy 6 months following last entry date.

RDA No. 90027

Except: Payroll Deduction and Direct Deposit Records

Retention Period: Destroy 3 years after deduction is no longer in effect or last deposit made.

RDA No.: 90032

Except: All material that belongs in the Personal History File. Refer to that series.

Except: Time/Accrual Record. Refer to that series.

Personal History File

Description: History of employment kept in the Personnel Office. It includes but is not limited to, such records as: applications, notices of employment, status changes, etc.

Retention Period: Destroy 6 years from date of employee separation from agency. (Note: Information can be obtained from Department of Civil Service NYSTEP after record is destroyed.)

RDA No.: 90001

Except: All personal history files where the employee is involved with an open Human

Rights Case and/or other Litigation shall be considered Human Rights/Litigation Files and shall be retained 1 until 6 years after employee separation from the agency or 10 years from close of case, whichever is longer.

RDA No.: 11731

Except: Hazardous Substance Exposure

Retention Period: 30 years after exposure, except environmental monitoring background data may be destroyed after 1 year provided that sampling results, methodology, a description of analytical method used, and a summary of other relevant background data is retained for 30 years.

RDA No.: 90013

Except: Summary of Service Record

Retention Period: 10 years after separation

RDA No.: 90002

Except: Employee Inquiry Files

Retention Period: 3 years from date of personnel action.

RDA No.: 90006

Except: Employee Eligibility Verification

Retention Period: 3 years from date of hiring action or 1 year after individual employment termination, whichever is later.

RDA NO.: 90031

Except: Employee Benefit & Health. Refer to that record series.

Except: Employee Education and Training. Refer to that record series.

Except: Employee Relations Grievance Files. Refer to that record series.

Except: Employee Relations Disciplinary Files. Refer to that record series.

Except: Workers Compensation. Refer to that record series.

Pharmacy

Description: Concerns operation of a pharmacy. It includes, but is not limited to, such records as: prescriptions, drug requisitions.

Retention Period: 6 years

RDA No.: 12039

Except: Pharmacy Inventories of controlled substances which come under State and Federal regulations.

Retention Period: Transfer to State Archives after 6 years

RDA No.: 12040

Photography Services

Description: Concerns operation of a photography studio. It includes but is not limited to, such records as: prints, reports.

Retention Period: RDA suspended - do not destroy any material

RDA No.: 11742

Except: Negatives

Retention Period: RDA suspended - do not destroy any material

RDA No.: 11743

Print Shop

Description: Concerns printing or reproduction for facility or Central Office. It includes, but is not limited to, records on; printing, reproduction, purchases, sales.

Retention Period: 6 years

RDA No.: 11744

Program Planning and Evaluations

Description: Concerns study and analysis of all facility programs. It includes, but is not limited to, records on: program planning, surveys, audits of effectiveness, and recommendations for correction.

Retention Period: Transfer to State Archives after 10 years

RDA No.: 11998

Public Relations

Description: Concerns educating the public about Office of Mental Health programs and policies. It includes, but is not limited to, such records as: press releases, newsletters, correspondence, listings for information purposes. Etc.

Retention Period: 3 years

RDA No.: 11767

Except: Formal Communications. Refer to that record series.

Except: Journals and Newspapers. Refer to that record series.

Purchasing, Claims and Payments

Description: All records related to purchase of goods and services or payment of claims,

except records of contracts related to capital construction or land purchase.

Retention Period: 6 years after expiration of contractor final payment

RDA No.: 90126

Except: Purchase/Accounts payable records not related to agency let contract.

Retention Period: 3 fiscal years after completion of purchase.

RDA No.: 90127

Except: Employee Travel Payment Files.

Retention Period: 3 fiscal years after payment or return of overpayment by employee.

RDA No.: 90119

Radiology

Description: Concerns provision of x-ray service to patients and employees. It includes, but is not limited to, such records as: reports index files, flourographic films.

Retention Period: 6 years

RDA No.: 11756

Except: All material that belongs in the patient case file. Refer to that record series.

Except: X-rays

Retention Period: 10 years from date of x-ray

RDA No.: 11757

Recruitment - Centralized Eligible List Certification Files

Description: Concerns certified eligible lists, canvas letters, responses to canvas, and other records related to availability canvasses.

Retention Period: 3 years

RDA No.: 90008

Except: Decentralized lists

Retention Period: 3 Years

RDA No.: 90009

Except: Examination Administration Files

Retention Period: Destroy 3 years after expiration of eligible list

RDA No.: 90011

Except: All material that belongs in the Personal History file. Refer to that record series.

Research Studies

Description: Concerns research projects in all areas of the Office of Mental Health. It includes, but is not limited to, such records as: data sheets, coding sheets, abstracts of patient records, reports, etc.

Retention Period: 10 years from close of project

RDA No.: 11962

Except: One copy of each Research Report

Retention Period: Transfer to State Archives after 10 years

RDA No.: 11963

Except: Records containing information identifying patients. These records are not to be sent to the State Archives.

Safety and Security Management

Description: Concerns staff support for inspection at facilities, reviewing monthly incident and accident trends, preparing and administering safety officer training programs. It includes, but is not limited to, such records as: inspection reports, safety reports, statistical analysis, training records.

Retention Period: 6 years

RDA No.: 11815

Except: All material that belongs in the Personal History File. Refer to that record series.

Safety and Security Services

Description: Concerns providing security and safety services for the entire facility. It includes but is not limited to, records on: arrests, fire, safety incidents, safety training, motor vehicle control.

Retention Period: 6 years

RDA No.: 11816

Except: Blotter Entry Book

Description: A bound book with numbered pages or a computer record containing a chronological log of daily assignments and all official activities of safety personnel.

Retention Period: 20 years from last entry

RDA No.: 11817

School of Nursing

Description: Concerns student transcripts and related material from facility based schools of nursing.

Retention Period: These records must be permanently maintained.

RDA No. 21163

School Records of Patients

Description: Concerns academic records of patients

Retention Period: Transfer to State Archives after 6 years

RDA No.: 12036

Except: Student Evaluation and Transcript

Retention Period: Transfer to State Archives 25 years after graduation or termination from the program.

RDA No.: 11937

Social Services

Description: Concerns assisting a mentally disabled person adjust to the community. It includes, but is not limited to, records on: problem assessment, social diagnosis, social plans, social histories, summaries, and legal documents relating to wills, appointment of a committee, social security, etc.

Retention Period: Transfer to State Archives after 6 years.

RDA No.: 12037

Except: All material which belongs in the Patient Case File. Refer to that record series.

Statistics

Description: Concerns statistical analyses and reporting for the Office of Mental Health. It includes, but is not limited to, such records as: patient activity reports, monthly reports from facilities, and fiscal reports, etc.

Retention Period: Record to microfilm and retain.

RDA No.: 13521

Storehouse

Description: Concerns warehousing. It includes records such as requisitions, receiving sheets, distribution lists, shipping notices.

Retention Period: 6 years

RDA No.: 11774

Supply Support Forms at Facilities

Description: Bureau of Supply Support forms and documents kept at facilities. Included are: order pick documents, commodity requisitions, trucking manifests, return commodity forms, period order schedules, reimbursement vouchers.

Retention Period: 2 years from date of document

RDA No.: 11075

Systems Analysis

Description: Concerns study of operations and data requirements resulting in design of new or more efficient automated or manual systems. It includes, but is not limited to, such records as: surveys of methods and operations, flow charts, block diagrams, system specifications, etc.

Retention Period: 10 years from close of project

RDA No.: 11820

Time and Accrual

Description: Concerns record of employee attendance. It includes, but is not limited to, such records as: time cards, sign-in sheets, time and accrual records.

Retention Period: 3 years from last entry

RDA No.: 90003

Except: Retain final time sheet in personal history file for 6 years.

Treatment Services and Therapies (see list below)

Description: Concerns provision of services, as listed below, to patients. It includes such records as: evaluations, reports, plans, schedules, logs, grants.

Retention Period: Transfer to State Archives after 6 years

RDA No.: 12038

Except: All material that belongs in Patient Case File. Refer to that record series.

List of Services and Therapies
(This list is not exclusive)

Adolescent Services
Adult Services
Alcoholism
Behavior Modification
Chaplains
Children's Services
Clinics
Community Service
Diagnostic Service
Education of Patients or Residents
Emergency Service
Geriatric Service

Nursing Services
Occupational Therapy
Outpatient Service
Physical Therapy
Psychology
Recreational Therapy
Rehabilitation Programs
Speech and Hearing

Unified Services and Local Service Management

Description: Concerns recommending plans for allocations of resources to local providers of services, reviewing county plans for providing services, supervising county planning, monitoring State funds spent by counties. It includes, but is not limited to, such reports as: county plans, correspondence with State Departments and county agencies, reports, budgets, etc.

Retention Period: Transfer to State Archives after 15 years

RDA No.: 14284

Utilization Review

Description: Reviews patient admissions and length of stays, evaluates medical care, takes appropriate action to ensure correction of deficiencies found within the review process, and recommends more effective facility procedures when indicated.

Retention Period: 4 years, unless there is an unresolved audit at the end of 4 years. Then, keep records until audit is resolved.

RDA No.: 12353

Volunteer Services

Description: Concerns activities of volunteers at facilities or with patients. It includes, but is not limited to, such records as: volunteer lists, activity sheets, sign-in sheets, etc.

Retention Period: 2 years

RDA No.: 11824

Except: Records on Volunteers

Description: History of volunteer work. It includes but is not limited to such records as: applications, notice of approval to begin volunteer work, status changes, etc.

Retention Period: 10 years after separation of volunteers from volunteer work.

RDA No.: 11825

Workers Compensation Files

Description: Records of on-the-job accidents or illnesses as forwarded to the Workers Compensation Board and State Insurance Fund for claims.

Retention Period:

- a.) Records of allowed claims: Destroy case files, including basic record of injuries and illnesses, 18 years after the injury or illness or 8 years after final payment on the award, whichever occurs later.
- b.) Records of claims disallowed or otherwise disposed of without an award: Destroy case file, excluding basic record of injuries and illnesses, 7 years after the injury or illness. Destroy basic record of injuries or illnesses 18 years after the injury or illness.
- c.) Records of injuries or illnesses not resulting in claims: Destroy records of injuries and illnesses 18 years after the injury or illness.

RDA No.: 90015