

State of New York OFFICE OF MENTAL HEALTH OFFICIAL POLICY MANUAL	Date Revised 01/2022	T. L. 06-09	Section # OM-740
	Section Operational Management-Records Management		
	Directive Record Retention Periods		

A. Policy Statement

1) Purpose:

It is the policy of the Office of Mental Health (OMH) that all records made, acquired or received by OMH facilities and administrative offices shall be retained pursuant to the NYS General Retention Schedule and the OMH retention schedule delineated by this policy directive. The retention of agency records is essential for a number of reasons. Accurate and available records are necessary for patient treatment and support; business activities; personnel issues; activities related to legal actions or litigation; and many other administrative functions.

The retention schedules contained in Appendix 2 of this directive have been approved by the Commissioner of the State Education Department, NYS Attorney Generals Office and OMH Counsels Office and have been assigned Records Disposition Authorization (RDA) numbers specific to OMH. No record shall be destroyed until the expiration of its assigned retention period. When disposing of obsolete records, patient confidentiality must be preserved at all times.

2) Applicability:

This policy is applicable to all OMH-operated psychiatric centers, research facilities, secure treatment facilities, and administrative offices.

B. Relevant Statutes and Regulations

Section 57.05 of the NYS Arts and Cultural Affairs Law
Title 8 NYCRR Part 188 State Government Archives and Records Management
Section 33.31 of the NYS Mental Health Law

C. Definitions

- 1) **Retention Period** means the minimum time that records must be saved.
- 2) **State Records** means all papers, books, maps, photographs, or other documentary materials, regardless of physical form, media, or characteristics, made or received by the Office of Mental Health in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities, or because of the information they contain.

- 3) **Record Series** means a series of all the individual records used in a function or activity unless an exception is specified. Records series are listed alphabetically in Appendix I and described in Appendix II.

D. Body of the Policy

This policy directive consists of the following components:

- 1) OMH Records Management Officer
- 2) Facility Responsibility
- 3) Establishing a Retention Period
- 4) Use of Retention Periods
- 5) Disposition of Records
- 6) Patient Confidentiality
- 7) Employee Confidentiality
- 8) Transfer to State Archives

Records Disposition Quick Reference

Appendix 1 - Listing of Record Series

Appendix 2 - Record Retention Schedule

- 1) **Office of Mental Health (OMH) Records Management Officer.**
 - (a) The Records Management Officer of the Office of Mental Health is a designated staff member from Central Office in Albany:
Records Management Officer
Central Files
44 Holland Ave Albany, 12229
(518) 474-4888
recordsofficer@omh.ny.gov
(For all inquires and correspondence)
 - (b) The OMH Records Management Officer is responsible for:
 - (i) Managing the OMH records management program;
 - (ii) Developing and revising retention periods for all OMH records and
 - (iii) Supervising the destruction of obsolete OMH records and the transfer of inactive records to the State Records Center or the State Archives when appropriate.

- (iv) Supervising the operations and maintenance of regional, OMH Medical Records Warehouses.

2) Facility Responsibility.

Each facility shall establish a records management program which is in compliance with this directive. The Executive Directors shall appoint a staff member to act as a liaison to the OMH Records Management Officer.

3) Establishing a Retention Period.

Record Retention Schedules for most OMH specific records series are listed in **Appendix 2** of this directive. Certain limited use or facility specific retention schedules are not listed. Please contact the OMH Records Management Officer at 518-474-4888 for additional information. **Note: The Appendices are distributed with this policy and are available on the OMH intranet website. The Appendices will be updated to reflect changes as they occur.** **Appendix 2** contains information from Records Disposition Authorizations (RDA) that have been approved and issued an R.D.A. number. If a record series is not listed in OM-740, **Appendix 1**, or not found in the General Retention Schedule, a retention period may need to be established for the specific series pursuant to the following process by the Records Management Officer:

- (a) Facility Records Officer/Unit Head.
 - (i) Identify and define the record series, giving examples of all of the records which may be found in the record series;
 - (ii) Recommend retention period, giving reasons;
 - (iii) Complete Record Disposition Request (Form REC-5); and
 - (iv) Send Form REC-5 to OMH Records Management Officer.
- (b) OMH Records Management Officer.
 - (i) Review and approve Form REC-5, complete REC-3 and REC-4 forms, and
 - (ii) Send the complete set of 3 forms to Counsels office for review and forward approved forms to Archives at the State Education Department.

- (c) State Education Department.
 - (i) Review and approve submitted forms;
 - (ii) Assign authorization number, which shows approval; and
 - (iii) Return forms to OMH Records Management Officer.

- (d) OMH Records Management Officer.
 - (i) Notify agency of approved retention period and update Appendix 2; and
 - (ii) Notify Bureau of Policy and Regulation that the new retention period must be included in Appendix 2.

- (e) General Retention and Disposition Schedule for New York State Government Records.

As an alternative to establishing an agency specific OMH RDA for a record series, an RDA from the General Retention and Disposition Schedule for New York State Government Records, published by the NYS Archives, may be used after approval by the OMH Records Management Officer. Copies of the General Schedule are available from the Records Officer. Once approved, the General Schedule RDA will be added to Appendix 2, in place of an OMH RDA.

<http://www.archives.nysed.gov/records/retention-scheduling-and-appraisal>

4) **Use of Retention Periods.**

Records must be kept for the retention period shown in **Appendix 2**. At the end of the established retention period, records should be disposed of, destroyed, or transferred to the State Archives as appropriate and indicated in **Appendix 2**.

5) **Disposition of Records.**

Effective management requires a regular purging of files to save space and to avoid the unnecessary purchase of new filing equipment. At the end of a retention period, records may be destroyed, provided there are no restrictions (e.g. transfer to Archives) shown in **Appendix 2**. Records may be kept beyond the time for as long as they are determined to be necessary. Care must be taken to ensure that records which may be useful in litigation against the facility or agency are not destroyed. No further approvals are required to destroy records after the expiration of an authorized retention period. Resale of materials should always

considered at this time (e.g., selling x-rays for their silver content or paper for recycling). The Archives, through the State Records Center, administers a contract under which agencies can recycle records or obtain confidential destruction services.

6) Patient Confidentiality.

When records which identify patients are destroyed, steps must be taken to ensure that patient confidentiality is protected. Such records shall be shredded or incinerated to protect the patient's confidentiality.

7) Employee Confidentiality.

When records which contain personal information on employees or former employees are destroyed, steps must be taken to ensure that the employee confidentiality is protected. Such records shall be shredded or incinerated. Further, steps must be taken to ensure that if such records contain information which may be useful in litigation against the facility or the agency that the records are not destroyed.

8) Transfer to State Archives.

The State Archives has reviewed those OMH record series which have approvals for disposition and determined that some are of historical value. These records series are identified in **Appendix 2**. Records transferred to the State Archives are subject to an agreement which protects the confidentiality of patient records.

To transfer records to State Archives contact the OMH Records Management Officer to inform her/him that records are ready to be transferred and request instructions.

Note: The transfer of records to State Archives should not be confused with the process of storage of records at the State Records Center. For information regarding storage of records at the State Records Center, contact the OMH Records Management Officer.

Records Disposition Quick Reference
Appendix 1 - Listing of Record Series
Appendix 2 - Record Retention Schedule

NOTICE

In order to provide the most current information, "Appendices 1 & 2", a "Quick Reference" and a "Glossary" are distributed as part of this Policy Directive OM-740.

The most recent update of Policy Directive OM-740, Appendices 1 & 2, Quick Reference guide and Disposition Number Glossary are also available on the OMH Intranet Home Page.

The information in the Schedule and Appendices is subject to change as new Records Disposition Authorizations are approved, amended or superseded or as decisions are made, to select authorizations from the General Schedule.

Always check the date of the OM-740 you are referring to prior to disposing of any records.

For additional information, please contact the OMH Records Management Officer at 518-474-4888 or by email at RecordsOfficer@omh.ny.gov

Records Disposition Quick Reference

Facility Document	RDA#	Retention without exception	Has exception- Yes/No	Page(s)
Accounting/Fiscal Status Reports	90273	Destroy after report is superseded or becomes obsolete.	Yes	1
Admission and Other Forms Used for Data Entry to a Computer	11469	3 years.	No	1
Annual Reports	11954	5 years.	Yes	1
Asset Appraisal	10153	Transfer to State Archives after 10 years.	No	1 - 2
Audits & Inspections of Management, Programs and Operations	11653	6 years.	Yes	2
Budget Preparation	90107	Destroy 1 fiscal year after the fiscal year covered by the budget request.	Yes	2
Citizen Participation	11656	Transfer to State Archives after 3 years.	No	2 – 3
Classification and Compensation	90007	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.	Yes	3
Computer Input Documents	11938	6 months.	Yes	3
Computer Operations	11657	3 years.	Yes	3 – 4
Computer Programming	11658	Keep records life of program.	Yes	4
Contracts – Purchase/Accounts Payable Records related to Agency-Let Contracts	90126	6 years after expiration or final payment, whichever is later.	No	4
Dentistry	11745	6 years from patient termination.	Yes	4
Direction and Supervision of the Office of Mental Health	11956	Transfer to State Archives after 10 years.	Yes	5
Direction and Supervision of Facilities	11958	Transfer to State Archives after 10 years.	Yes	5
Direction and Supervision of Programs	11960	Transfer to State Archives after 10 years.	Yes	5 – 6
Directories of the Office of Mental Health	11665	Keep until revised or obsoleted.	No	6
EEG/EKG	11746	6 years.	Yes	6
Employee Benefits and Health Insurance Administration	90012	6 years after separation from agency or when employee is no longer eligible for insurance, whichever is later.	Yes	6
Employee Education and Training	90022	6 years after separation from agency.	Yes	6 – 7

Employee Relations Disciplinary Files	90358	Retain record copy for a minimum of 10 years after final resolution of the disciplinary action or for 6 years after an employee terminated employment with the agency, whichever is first, then destroy, unless otherwise stipulated	No	7
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Employee Relations Disciplinary Files (cont.)		through disciplinary settlement or negotiated agreement. Destroy other copies when no longer needed for administrative reference.	No	7
Employee Relations Grievance Files	14527	10 years.	No	7
Employee Relations Labor Management Process Records	90359	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.	No	7
Employee Relations Subject Files	90360	Retain for minimum of 1 contract cycle, then as long as needed for reference, then destroy.	No	7 - 8
Engineering and Maintenance – For Equipment and Furniture	90265	Destroy as inventories are superseded or become obsolete.	No	8 - 9
Engineering and Maintenance – For Supplies, Commodities and Parts Inventories	90266	Destroy record copies 3 fiscal years after disbursement. Destroy other copies when no longer needed for administrative reference.	Yes	8 - 9
Facility Construction, Planning and Administration	14275	20 years or until after last mortgage payment, whichever comes later.	Yes	9
Facility Information Service	11789	1 year.	Yes	9 – 10
Federally Funded Programs	11669	8 years or until audited, whichever comes first.	Yes	10
Federal Reimbursement Programs	14382	15 years.	Yes	10
Food Service	11802	2 years.	Yes	10 – 11
Formal Communications	11696	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.	Yes	11
General Office Administrative Files	11698	3 years.	No	11 – 12
Housekeeping Management	11805	6 years.	No	12
Human Rights	11730	10 years.	Yes	12
Incident Reporting	11818	20 years from disposition of case.	No	12
Interstate Compact	09134	5 years.	Yes	12 - 13
Journals and Newspapers	21162	Transfer to State Library.	No	13
Laboratory	11747	6 years.	Yes	13
Laundry Management	11806	6 years.	No	13
Laundry Services	11807	6 years.	No	13
Legal – Litigation Files	19908	10 years after case closure.	No	13 - 14

Legal – Regulation Files	19909	Transfer to State Archives 10 years after regulation is repealed or substantially revised.	No	14
Legal – Policies and Procedures	19910	Transfer to State Archives 10 years after policy or procedure is repealed or substantially revised.	No	14
Legal – Legislation	19911	Transfer records related to agency proposed legislation to State Archives after 5 years. Destroy records relating to non-agency legislation after 2 years.	No	14
Legal – General Subject and Correspondence	19912	7 years.	No	14
Legal – Contracts	19913	6 years after final payment or expiration, whichever is later.	No	14
Legal – Real Property	19914	Records are retained for duration of ownership plus 10 years.	No	14 – 15
Legal – Mortgage	19915	6 years after mortgage termination.	No	15
Library	11711	6 years.	Yes	15
Maintenance of HVAC and Utilities	90286	3 years.	No	15
Management Analysis	11996	Transfer to State Archives after 10 years from close of project.	No	15
Medical Surgical	11753	6 years.	Yes	16
Mortality Reports	14581	13 years.	No	16
Nursing Services	11754	6 years.	Yes	16
Nutrition Planning and Management	11814	6 years.	Yes	16 - 17
Patient Billing Documents	11655	8 years from close of case.	Yes	17
Patient Case Files	23059	See Disposition Number for specific details and exceptions.	Yes	17 – 18
Personal History File	90001	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.)	Yes	18 - 20
Photography Services	11742	RDA suspended – do not destroy any material.	Yes	20
Print Shop	11744	6 years.	No	20
Program Planning and Evaluations	11998	Transfer to State Archives after 10 years.	No	20
Public Relations	11767	3 years.	Yes	20
Purchasing, Claims and Payments	90126	6 years after expiration of contractor final payment.	Yes	20 – 21
Radiology	11756	6 years.	Yes	21
Recruitment – Centralized Eligible List Certification Files	90008	3 years.	Yes	21 – 22

Research Studies	11962	10 years from close of project.	Yes	22
Safety and Security Management	11815	6 years.	Yes	22
Safety and Security Services	11816	6 years.	Yes	22 – 23
School of Nursing	21163	These records must be permanently maintained.	No	23
School Records of Patients	12036	Transfer to State Archives after 6 years.	Yes	23
Social Services	12037	Transfer to State Archives after 6 years.	Yes	23
Statistics	13521	Record to microfilm and retain.	No	23
Storehouse	11774	6 years.	No	23 – 24
Supply Support Forms at Facilities	11075	2 years from date of document.	No	24
Systems Analysis	11820	10 years from close of project.	No	24
Time and Accrual	90003	3 years from last entry.	Yes	24
Treatment Services and Therapies	12038	Transfer to State Archives after 6 years.	Yes	24 – 25
Unified Services and Local Service Management	14284	Transfer to State Archives after 15 years.	No	25
Utilization Review	12353	4 years, unless there is an unresolved audit at the end of 4 years. Then, keep records until audit is resolved.	No	25
Volunteer Services	11824	2 years.	No	25 – 26
Workers Compensation Files	90015	<p>(a) Records of allowed claims: Destroy case files, including basic record of injuries and illnesses, 18 years after injury or illness or 8 years after final payment on the award, whichever occurs later.</p> <p>(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 of illness. Destroy basic record of injuries or illnesses 18 years after the injury or illness.</p> <p>(c) Records of injuries or illnesses not resulting in claims: Destroy records of injuries and illnesses 18 years after the injury or illness.</p>	No	26

Appendix 1 Listing of Record Series Revised 01/2022

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Appendix 2 Listing of Record Series Revised 01/2022

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 digitizing and verification

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 not 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, whichever 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 obsolete.
Note: Recipients of formal communications retain them until superseded or obsolete.

RDA No.: 11696

FormsManagement

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 is super-ceded.

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

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, which ever 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, and treatment:

Retention Period: At time of patient discharge, scan abstract records. Retain all patient case records, including abstract, in facility for six years after discharge or, if subsequent contact is made, six years after final patient contact with any OMH facility, then verify scanned abstract records for quality and completeness (revising and rescanning as necessary to reflect post-discharge patient contacts), transfer scanned and verified abstracts in OMH off site storage, and destroy remaining case files. Retain abstracts in OMH off site storage for 40 years after final patient contact or 80 years after patient's date of birth, whichever occurs later, then destroy. Transfer copies of abstracts subject to sampling plan to State Archives six years after final patient contact with any OMH facility. Where space permits, retain case records of patients who died while in OMH care within facility for six years after patient death, then transfer to OMH off site storage for retention in perpetuity. Where space is limited, transfer to OMH off site storage may occur within six years of patient death. Transfer copies of patient case files subject to sampling plan to the State Archives six years after patient death. Notwithstanding any of the above, all abstracts shall be stored in perpetuity in electronic form in the Statewide Repository for electronic archiving. College of Nanoscale, Science and Engineering (CNSE)

***See Footnotes page 28 for Patient Abstract Rules**

RDA No.: 23059

Except: Records that have been converted to electronic media. Transfer copies of patient case files on micro film and microfiche to State Archives after film and fiche are scanned and the quality and completeness of the digitized copy has been verified.

Retention Period: Dispose after conversion.

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. Time/ Accrual Record.

Except: 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 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.: 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 all 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, fl-orographic 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. (Contact your Records Management Officer)

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: Convert to electronic 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	Emergency Service
Adult Services	Geriatric Service
Alcoholism	Nursing Services
Behavior Modification	Occupational Therapy
Chaplains	Outpatient Service
Children's Services	Physical Therapy
Clinics	Psychology
Community Service	Recreational Therapy
Diagnostic Service	Rehabilitation Programs
Education of Patients or Residents	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.

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.

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Footnotes

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Included in Abstract?	RDA 23059- Patient Case Files - Included Documents
Admission and Discharge Documents only	(1) Administrative records related to patient care, identified in facility guidelines, including but not limited to Admission and Discharge Documents; Acknowledgment of Receipt of Notice of Privacy Practices, Use/Disclosure of PHI Logs, and Patient Movement History;
No	(2) Advance directives;
No	(3) Allergy records;
No	(4) Alerts and reminders;
Psychiatric assessments, screenings, and evaluations only	(5) Assessments, screenings, and evaluations, including: <ul style="list-style-type: none"> · Psychiatric, nursing, psychological, social work, vocational, rehabilitation, nutrition, choking, falls · Substance Use and Abuse Assessments · Suicide and Risk Screenings/Assessments
No	(6) Care/treatment plans
No	(7) Consent forms for care, treatment, and research;
See below	(8) Consultation reports;
No	(9) Diagnostic images;
Yes	(10) Discharge plans and summaries;
No	(11) Graphic records;
Yes	(12) History and physical examination records; (abstract restricted to records of the last physical examination)
Yes	(13) Immunization records; (documents both OMH administered immunizations and those administered externally)
Yes	(14) Intake and output records;
Yes	(15) Legal papers related to a patient's care and treatment or legal status, including Legal papers including applications and orders for court retentions, involuntary admission papers, and Criminal Procedure Law 330.20 or 730 examinations;
No	(16) Medication administration records;
No	(17) Orders for care and treatment, including medication, laboratory tests, and PRN or STAT orders;
No	(18) Orders for restraint or seclusion;
No	(19) Orders restricting patient rights, as required pursuant to Mental Hygiene Law Section 33.02;
No	(20) Medication profiles;
No	(21) Monitoring forms required by a specific condition (e.g., diabetes, menses, etc.);
No	(22) Patient-submitted documentation (including artwork if referenced in the medical record);
VistA BCMA barcode and picture only	(23) Photographs (digital and analog); (Veterans Health and Information Systems and Technology Architecture [VistA] Barcode Medication Administration [BCMA] barcode and picture)
Yes	(24) Progress notes and documentation; (abstract content restricted to first thirty days and last thirty days in care)
No	(25) Records received from another provider directly operated by the Office of Mental Health, if they were relied on to provide care to the patient;
No	(26) Speech/occupational therapy records;
No	(27) Vital statistics, including temperature, height, weight, and blood pressure monitoring;
No	(28) Any other information required by the Medicare Conditions of Participation, New York State statutes or rules, OMH policy, or by any third-party payer as a condition of reimbursement.

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