Schedule 76

LANCASTER MENTAL HEALTH CENTER

NOVEMBER 19, 1992

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559
REQUEST FOR APPROVAL OF RECORDS RETENTION AND DISPOSITION SCHEDULE

SCHEDULE NUMBER
76

AGENCY, BOARD OR COMMISSION
COMMUNITY MENTAL HEALTH CENTER

DIVISION, BUREAU OR OTHER UNIT
OF LANCASTER COUNTY

TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA

PART I – AGENCY STATEMENT

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE
*

George Rasmussen

TITLE
Director

DATE
4/13-92

PART II – ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE
*

Andrea J. C. C. State Archivist

DATE
4/17/92

PART III – APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE
*

Administrator

DATE
November 19, 1992

RMA 0100050
INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of records, regardless of the media on which they reside, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. Local Agencies General Records Schedule #24 contains those records common to most local government agencies. This schedule, along with the unique schedule written specifically for records unique to your office, approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency's unique schedule will take precedence over General Records Schedule #24 for any items which have differences in retention requirements.

2. Dispose of records that have met their retention periods.

3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE  68508-2294
402-471-2559
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Lancaster Mental Health Center

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<table>
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<td>Appointment Books</td>
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<td>76-2-8</td>
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<td>Utilization Review Records</td>
<td>76-2-9</td>
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</tbody>
</table>
SCHEDULE 76 – LANCASTER MENTAL HEALTH CENTER

76-1  CLINICAL RECORDS
Client files used to record information pertaining to Community Mental Health Center of Lancaster County program client’s treatment.

Client file content shall follow the specified provisions below unless one of the following exceptions for a longer retention period applies.

Exception 1: In the event that a subpoenaed record’s disposal date occurs after the receipt of a subpoena, the records will not be destroyed until the trial and any subsequent appeals are concluded.

Exception 2: Records may be retained longer than their disposal dates if special need is demonstrated. Special need will be determined by the Clinical Director of Community Mental Health Center of Lancaster County.

76-1-1  PATIENT RECORDS
Patient records include the following areas of information:
- Admission Forms/CMI Questionnaire; Treatment Support Plan/Case management Needs; Assessment/Annual Treatment Review; Intake; Evaluation/Staffing;
- Evaluation/Psychiatric Admission; Preadmission, or Pretreatment; Evaluation (MC-76); Comprehensive Individualized Active Treatment Plan (MC-75);
- Application for Services/Financial Determinations Form; Self-Assessment Summary/Inpatient Admissions Forms/Emergency Contact Sheet-original;
- Psychological Evaluations/Testing Materials/GAF Scale;
- Partial Hospitalization/Clubhouse/AWARE, Program Materials, TLF, ILP, etc.;
- Client Correspondence/Requests of Information/Releases/Information/Reports/Legal Forms; Change Notices/Referral Forms;
- Psychiatric Progress Notes/Medication Records/Printouts;
- Therapy/Casemanagement/Group Progress Notes, etc.

Dispose of 10 years after a client’s last contact.

76-1-2  CONFIDENTIAL INFORMATION ON NON-CLIENTS
Includes all Emergency Contact Sheets relating to non-clients/inactive clients by on-duty Emergency Service personnel, Hospital and Lab Reports, Psychiatric and Psychological Evaluations, etc.

Dispose of 10 years after last contact.

76-2  ADMINISTRATIVE RECORDS

76-2-1  ACCOUNTING RECORDS
All original accounting documents are sent to Lancaster County Accounting offices. Photocopies are made of these documents for internal use.

Dispose of according to schedule #24.

76-2-2  APPOINTMENT BOOKS
Clinician daily appointment logs (record of which client saw which clinician) and administrative appointment calendars.

Dispose of after 3 years.
76-2-3 CLIENT SATISFACTION SURVEYS
Responses of clients regarding satisfaction with services. Includes outpatient client satisfaction questionnaire and partial hospitalization satisfaction survey.
Dispose of after 3 years.

76-2-4 MONTHLY REPORTS
Reports to funding sources regarding the activities of the previous month. Includes monthly report to county board, monthly report to region V, and monthly report to D.P.I.
Dispose of after 3 years provided audit has been completed.¹

76-2-5 PEER REVIEW RECORDS
Peer review records document staff interactions regarding clients. Includes peer review consultation sheets.
Dispose of after 3 years.

76-2-6 PROGRAM LOGS
Logs document who participated and for what length of time for billing. Includes daily attendance sheets for partial hospitalization, daily attendance sheets for drop-in, daily attendance sheets for Adams Street Center, daily attendance sheets for vocational program activity, partial hospitalization daily approach documents, daily attendance sheets for transitional living facility, daily attendance sheets for independent living project, outpatient group logs, medication group logs, and monthly staff time logs.
Dispose of after 3 years provided audit has been completed.¹

76-2-7 PROGRAM MEETING MINUTES
Meeting minutes of various programs. Examples include outpatient weekly meetings, CLS weekly meetings, executive committee meetings, emergency program meetings, and partial hospitalization weekly staff meetings.
Dispose of after 3 years provided audit has been completed.¹

76-2-8 QUALITY ASSURANCE RECORDS
Records that document quality of service. Examples include quality assurance annual reports, outpatient outcome studies, and partial hospitalization outcome studies.
Dispose of after 3 years.

76-2-9 UTILIZATION REVIEW RECORDS
Records that document the need for continued service to assure proper care. Examples include partial hospitalization reviews and crises center reviews.
Dispose of after 3 years.

NOTES
1. These records may be disposed of after the required retention period, provided the audit has been completed with the audit report released and all related audit comments resolved. Check with the organization that performed the audit, and, if applicable, the Federal cognizant agency if there is a question whether resolution is complete.
RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE
RECORDS MANAGEMENT DIVISION
440 S. 8TH STREET SUITE 210
LINCOLN, NE  68508-2294

REQUIRED INFORMATION:
In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

<table>
<thead>
<tr>
<th>SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)</th>
<th>TOTAL VOLUME DISPOSED (SEE REVERSE)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

OPTIONAL INFORMATION (FOR YOUR USE ONLY):
You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

DATE

SIGNATURE

SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D
VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Volume</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vertical File Cabinet, 4 drawer letter-size</td>
<td>6 cubic feet</td>
</tr>
<tr>
<td>Vertical File Cabinet, 4 drawer legal-size</td>
<td>8 cubic feet</td>
</tr>
<tr>
<td>Lateral File, 4 drawer/shelf letter-size</td>
<td>9 cubic feet</td>
</tr>
<tr>
<td>Lateral File, 4 drawer/shelf legal-size</td>
<td>12 cubic feet</td>
</tr>
<tr>
<td>Records center carton</td>
<td>1 cubic foot</td>
</tr>
<tr>
<td>About a pickup load</td>
<td>50 cubic feet</td>
</tr>
</tbody>
</table>