

Updated Disposition Report and address 11/2022  
No changes were made to records retention

# **Schedule 53**

## **EASTERN NEBRASKA COMMUNITY OFFICE OF MENTAL HEALTH**

Nebraska Records Management Division  
3242 Salt Creek Circle  
Lincoln, NE 68504  
(402) 471-2559

**REQUEST FOR APPROVAL OF RECORDS  
RETENTION AND DISPOSITION SCHEDULE**

SCHEDULE NUMBER	53
AGENCY, BOARD OR COMMISSION	Eastern Nebraska Community Office of Mental Health
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Edition of July 23, 1991	

**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 *	<i>Ray Christensen</i>	
TITLE	<i>ENCOMH Director</i>	DATE <i>11-26-01</i>

**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 *	<i>Andrea I. Faling</i>	DATE <i>Dec. 4, 2001</i>
	STATE ARCHIVIST	

**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 *	<i>Jan A. Gale</i>	DATE <i>Dec 5, 2001</i>
	ADMINISTRATOR	

## **INSTRUCTIONS FOR USING THIS SCHEDULE**

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the Local Agencies General Records Schedule #24 contains those records common to most local government agencies. This retention schedule, which is approved by the State Records Administrator, provides your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying this 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. Unless there is pending or on going, legal action, records request, or audit.
3. For records requiring a review of, or transfer to the **NE State Historical Society (State Archives)**, your agency is required to contact the State Archives to negotiate the transfer. Additionally, **once the records are accessioned into their collection, they become the property of the State Archives**. The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Nebr. Rev. Stat. §82-107). Please contact their office by calling (402) 471-4783.
4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is located on the Secretary of State Records Management website. [https://appengine.egov.com/apps/ne/sos\\_records\\_disposition\\_report](https://appengine.egov.com/apps/ne/sos_records_disposition_report). This report establishes that the destruction was performed in your normal course of business.

### **NON-SCHEDULED RECORDS**

Contact a Records Management Specialist 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 Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure 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 the Records Management Specialist in Records Management. They will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

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## **SCHEDULE 53 – EASTERN NEBRASKA COMMUNITY OFFICE OF MENTAL HEALTH**

### **53-1 CLIENT FILES**

Client Files used to record confidential information pertaining to Eastern Nebraska Community Office of Mental Health (ENCOMH) program clients' treatment, rehabilitation or residential placement.

Client file content disposition 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 director of ENCOMH at her or his discretion.

#### **Final Termination Definitions:**

**10 years after a client's final termination** occurs when a file has remained inactive 10 years following a termination. Thus, the client has not been readmitted to ENCOMH.

#### **53-1-1 ADMISSION FORMS**

Admission forms relating to change of status, initial intake information and demographic information about client.

**Dispose of 10 years after a client's final termination; OR, 3 years after a minor client's age of majority, whichever is later.**

#### **53-1-3 CLIENT CORRESPONDENCE**

Correspondence directed to, from, or regarding, a client and/or her or his treatment, rehabilitation, or residential placement.

**Dispose of 10 years after a client's final termination; OR, 3 years after a minor client's age of majority, whichever is later.**

#### **53-1-2 CLINICAL RECORDS**

Clinical records include the following areas of information: Case Review/Review for Court; Comprehensive Treatment Plan; \*Intake Evaluation/Social History; Interim Treatment Plan;

Progress Notes/Narrative Entries; \*Termination Summary; Treatment Plan Update.

**Dispose of 10 years after a client's last termination; OR, 3 years after a minor client's age of majority, whichever is later.**

#### **53-1-4 EDUCATION REPORTS**

Education reports include all scholastic assessments, school grade reports, cumulative education information for clients and any other reports dealing with a client's educational services and experiences.

**Dispose of 10 years after a client's final termination; OR, 3 years after a minor client's age of majority, whichever is later.**

**53-1-6 LEGAL FORMS**

Legal forms pertaining to releases of information and other consent forms or waivers and any court orders or other legal or court related information (e.g., power of attorney).

**Dispose of 10 years after a client's final termination; OR, 3 years after a minor client's age of majority, whichever is later.**

**53-1-7 MASTER CLIENT INDEX**

Index cards and computerized database listing client's name, record number, date of birth, sex, address, admission and termination dates, and treatment facility.

**INDEX CARDS: Retain permanently.**

**ELECTRONIC DATA: Backup daily; retain permanently.**

**SECURITY COPY: Retain permanently.**

**53-1-8 MEDICAL INFORMATION**

Medical information includes all medical reports, drug use profiles, immunization records and medication logs including prescriptions.

**Dispose of 10 years after a client's final termination; OR, 3 years after a minor client's age of majority, whichever is later.**

**53-1-9 MISCELLANEOUS CLIENT FILE CONTENTS**

Miscellaneous client file contents include incident reports, quality assurance reviews and any other information contained in the client file that is not covered by any other schedule item in this Client File section, Records Retention Schedule Items # 53-1.

**Dispose of 10 years after a client's final termination; OR, 3 years after a minor client's age of majority, whichever is later.**

**53-1-5 PSYCHOLOGICAL AND/OR PSYCHIATRIC EVALUATIONS**

Psychological and psychiatric evaluations include diagnostic assessments and other evaluations dealing with psychological or psychiatric issues.

**Dispose of 10 years after a client's final termination; OR, 3 years after a minor client's age of majority, whichever is later.**

**53-1-10 VOCATIONAL HABILITATION AND SPECIAL EDUCATION INFORMATION**

Vocational habilitation information relates to any materials used or obtained for the purpose of vocational habilitation activities. Special education information relates to any materials used or obtained for the purpose of special education activities.

**Dispose of 10 years after a client's final termination; OR, 3 years after a minor client's age of majority, whichever is later.**