

Schedule 53

EASTERN NEBRASKA COMMUNITY OFFICE OF MENTAL HEALTH

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

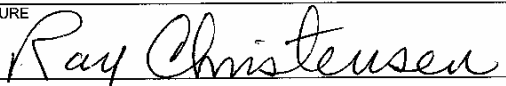
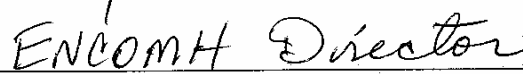
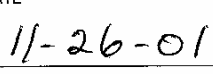
**REQUEST FOR APPROVAL OF RECORDS
RETENTION AND DISPOSITION SCHEDULE**

SCHEDULE NUMBER	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**

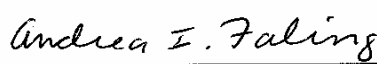
PART I – AGENCY STATEMENT

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 *		DATE
		
TITLE		
		

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 *		DATE
		
		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 *		DATE
		
		ADMINISTRATOR

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. 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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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.

RECORDS DISPOSITION REPORT

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

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):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

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
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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.)

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal size	12 cubic feet
Records center carton	1 cubic foot
About a pickup load	50 cubic feet