RECORDS RETENTION AND DISPOSITION SCHEDULE

Family And Social Services Administration. Mental Health And Addiction, Division of.

Agency: Mental Health And Addiction, Division of Division:

ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION *(This Retention Schedule is approved on a space-available basis)*	RETENTION PERIOD
1	2000-14	**CERTIFICATION AND LICENSURE OF MENTAL HEALTH AND ADDICTION SERVICE PROVIDERS** Certifications include private mental health institutions, community mental health centers, addiction services providers, residential care providers, sub-acute stabilization program, and/or supervised group living facilities. Typical file includes State Form 48160: Facility Facts Record, and State Form 48161: Application for Certification or Licensure. File may include extensive financial information required of the provider plus correspondence. Retention consistent with IC 34-13-1-1.	TRANSFER to the RECORDS CENTER after expiration of the certification or licensure. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING, or WEEDING pursuant to archival principles after an additional ten (10) years.
2	83-801	**PATIENT REGISTER BOOKS** These are admission and discharge books on each patient from the institution. Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164.	TRANSFER to the INDIANA ARCHIVES for permanent archival retention when outdated or replaced.
3	86-858	**DAILY SECURITY REPORT** This is a record of telephone calls and locations observed by security officers. Anything of interest or requiring security measures is documented in the narrative section. Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164.	DESTROY after two (2) years.
4	88-315	**CLIENTS' ACCOUNT FILES** These are arranged by closure year, hospital and alphabetically by the client's last name within the hospital file. An account is closed when the Division of Mental Health and Addiction has ceased to seek collection on account for defined reasons. For example: The account is uncollectible, the account is paid in full or per settlement or the responsible party (ies) has received a discharge of debtor (bankruptcy). Disclosure of these records may be subject to IC 5-14-3-4(a)(1)(3) and (9), IC 16-39-2-3 and -6, and 45 CFR 160 and 164. Retention based on IC 34-13-1-1.	TRANSFER to the RECORDS CENTER after closure of the account and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional ten (10) years.
5	91-95	**SPH REPORTABLE INCIDENTS** These are the reported incidents submitted to the Division of Mental Health and Addiction, and may include SF Number 41565 and other supporting documents. Records created prior to February 6, 2017 are in hard copy format and are filed by State Operated Facility and then by the date of the reported incident; records created after that date are in electronic format. Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164. Retention partially based on IC 16-39-7-1(b).	TRANSFER paper records to the RECORDS CENTER after close of incident. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional seven (7) years. TRANSFER one (1) copy of electronic records to the INDIANA ARCHIVES in a format approved by Indiana Archives staff, for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, seven (7) years after the year of the incident report.
6	82-335	**MEDICAL RECORDS - ADULT** Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164. Retention partially based on IC 16-39-7-1(b).	TRANSFER a five (5) percent sample and any records that represent a special study or concern to the INDIANA ARCHIVES, ten (10) years after discharge or death while in the institution, for EVALUATION, SAMPLING, and WEEDING pursuant to archival principles. DESTROY remaining records. A hospital not having available space for the storage of medical records for the ten (10) year time period should contact the INDIANA ARCHIVES to request permission for early transfer.

7	82-336	**MEDICAL RECORDS - MINOR** Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164.	TRANSFER a five (5) percent sample and any records that represent a special study or concern to the INDIANA ARCHIVES for EVALUATION, SAMPLING, and WEEDING pursuant to archival principles, on the twenty-third (23rd) birthday of the discharged patient, or ten (10) years after discharge or death while in the institution, whichever is the longer period. DESTROY remaining records. A hospital not having available space for the storage of medical records for the ten (10) year time period should contact the INDIANA ARCHIVES to request permission for early transfer.
8	2009-27	**STATE PSYCHIATRIC HOSPITAL (SPH) REFERRAL FILE** Each file contains the SPH Referral form and accompanying documentation. Accompanying documentation includes, but is not limited to, a list of current medications, a Diagnostic & Evaluation, a description of the person's independent living skills, behaviors that reflect current symptomology, medical history, and current physical condition. Disclosure of these records may be subject to IC 16-39 and 42 CFR Part 2.	Destroy 3 years after case is closed, through denial or appeal.
9	85-221	**PATIENT EDUCATION FILE** This record is no longer created, but state hospitals retain the inactive files where they still exist for agency convenience due to occasional information requests on the subject.	DESTROY seventy-five (75) years after the last entry.
10	85-264	**THE JOINT COMMISSION SURVEY** These records reflect the hospital's ability to meet quality assurance standards as a normal part of hospital policy. The Joint Commission conducts an on-site survey at least every three years. This file consists of the accreditation status letter, survey findings and recommendations for compliance. It may also consist of transcripts of survey findings and any workshops provided. It also includes the hospital administrator's working file of notes taken in a routine check of the hospital.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant pursuant to archival principles six (6) years after completion of the latest survey.
11	86-855	**FIRE SAFETY RECORDS** Includes records of drills, simulated drills (performed by staff but not patients), and reports of actual fires. Retention based on the Joint Commission standards. Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164.	DESTROY after three (3) years.
12	86-857	**SECURITY INCIDENT REPORT** This is used for the initial report to the security office on crimes, patient abuse or any incident requiring documentation, including vehicle accidents. Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164. Retention partially based on IC 16-39-7-1(b).	DESTROY after seven (7) years.
13	86-878	**PENDING COMMITMENTS FILE** A pending commitment is an individual waiting for court papers to be completed before admission. Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164.	TRANSFER to Medical Records (RS 82-335 or RS 82-336 depending on age of patient) upon admittance. DESTROY after five (5) years if the person is not admitted to the hospital.
14	87-97	**PHARMACY AND DRUG ENFORCEMENT REGULATION FILES** File may contain copies of annual inspection reports, the pharmacy permit application renewals and any relevant correspondence and any hospital pharmacy business to come before the State Pharmacy Board, or a biennial controlled substances inventory, copies of each hospital physician-s DEA control number and signature, and copies of requests for order books for Schedule II controlled substances. Retention based on 21 CFR 1304.04. Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164.	DESTROY after two (2) years.

15	87-99	**PATIENT MEDICATION** Records include patient identification and profiles of medication each patient receives, with quantities and directions, and pharmacy files on controlled and non-controlled drugs. Retention partially based on IC 16-39-7-1(b).Disclosure may be affected by: IC 5-14-3-4(a), 45 CFR 160 & 164.	DESTROY after seven (7) years.
16	91-90	**COURT-ORDERED TREATMENT FILES** Pursuant to IC 12-23-6, -7 and -8, a court may order the Division of Mental Health and Addiction to examine and possibly treat offenders who may have substance use disorders. The file may include a criminal history, presentence investigation, or correspondence but will have no treatment records. Copies of these records are also available at the court of record, and the treatment facility. Disclosure of these records may be affected by: IC 16-39-2 and 42 CFR Part 2. Retention based on IC 16-39-7-1.	TRANSFER to the RECORDS CENTER after file closure. DESTROY after an additional seven (7) years.
17	91-91	**OUTPATIENT REVOCATION HEARING FILES** These hearings are conducted in accordance with the Administrative Adjudication Act. The files contain hearing notices, written evidence, findings of fact, recommendations, and the commissioner-s final order. File also includes tapes of the verbal testimony given at the hearing. Retention based on IC 12-26-14-10.	TRANSFER to the RECORDS CENTER after file closure. DESTROY after an additional seven (7) years. ERASE and RE-USE tapes after seven (7) years.
18	2019-30	**INCIDENT REPORTS, COMPLAINTS, AND INQUIRIES** DMHA non-SPH-provider incident reporting and complaint files, which may include the Consumer Service Line and other sources. Disclosure may be affected by IC 5-14-3-4, 45 CFR 160 & 164, 42 CFR Part 2.	TRANSFER to the RECORDS CENTER after close of the incident. DESTROY after 3 years.