

RECORD SCHEDULE FOR: Mental Health, Dept. of

This is an agency-specific record schedule that satisfies the requirements of 1 V.S.A. § 317a and, where mandated, 3 V.S.A. § 218. It is subject to annual certification and may be amended by mutual consent at any time. If not otherwise listed, all other agency records are addressed by general record schedules.

Public agencies are responsible for developing their own internal policies and procedures to assure that the requirements outlined in this record schedule are being applied across the agency. Records listed on the record schedule that need to be retained until OBSOLETE must be supported by an internal policy that clearly states a specific retention requirement that best meets the agency or department's administrative needs.

Transferring records to the State Records Center or State Archives requires a transfer agreement from the Vermont State Archives and Records Administration and additional documentation. See the ARCHIVES AND RECORDS MANAGEMENT HANDBOOK for related forms, definitions and additional procedures.

Michael Hartman, Commissioner / Mental Health, Dept. of _____ *Date*

SIGNATURES ON FILE.
APPROVED AND SIGNED BY
THE VERMONT STATE
ARCHIVIST ON: 3/3/2010

Gregory Sanford, Vermont State Archivist _____ *Date*

1260.1022: Children and Adolescent Case Files

Classification: Children and adolescents with severe emotional disturbance, Services for (Coordinating)

Scope: Reserved for activities and transactions that relate to or affect, in a specific manner, the coordination of services and funding for children and adolescents with severe emotional disturbances.

Directive: Maintain entire case file until the individual turns 18 years of age and the case is closed. Retain closed case file for an additional 6 years and then destroy. Retain annual register for 6 years and then destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Agreements <i>ID: 1260.1022.5</i>	Use for all agreements. Includes child placement agreements and interagency funding agreements.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Applications <i>ID: 1260.1022.8</i>	Use for all applications, referral packets, and similar requests for services or funding. Includes records used to determine client eligibility, such as Initial Eligibility signature pages; Continuing Eligibility signature page; and Cost Agreement forms.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Budgets <i>ID: 1260.1022.17</i>	Use for individualized budgets.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1260.1022.28</i>	Use for general correspondence, including email messages, created or received by CAFU staff. Includes internal and interagency correspondence and correspondence with the public on routine matters related to services and programs for children and adolescents with severe emotional disturbance.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1260.1022.53</i>	Use for correspondence, including email messages, that has significant administrative value and/or supports decisions related to services for children and adolescents with severe emotional disturbance.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

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Databases <i>ID: 1260.1022.30</i>	Use for all database entries related to children with severe emotional disturbance. Includes the ADM, Kids Win, and VTIRC databases.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Decisions <i>ID: 1260.1022.133</i>	Use for all authorizations, eligibility decisions and other decisions related to services for children and adolescents with severe emotional disturbance. Includes authorizations on Initial and Continued Eligibility Signature Pages and Initial letters of authorization; and decisions to suspend or terminate funding.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Notes <i>ID: 1260.1022.60</i>	Use for case file notes and notes on programs and services.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Opinions <i>ID: 1260.1022.62</i>	Use for recommendations and technical advice provided by the State Interagency Team, Case Review Committee, or CAFU staff.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Plans (reports) <i>ID: 1260.1022.69</i>	Use for coordinated services plans and individualized treatment plans included in the referral packets.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Registers <i>ID: 1260.1022.81</i>	Use for registers that record requests for services, such as the CAFU Logbook.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1260.1022.36</i>	Use for all clinical information and similar documentation received and collected that supports decisions related to services and funding for children and adolescents with severe emotional disturbance.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

1262.1002: Accounting Records

- Classification:** Mental health care services (Accounting)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the department's economic activities and financial transactions.
- Directive:** Retain financial records for 3 years after the end of the fiscal year or for 3 years after the date of submission of final expenditure reports, whichever is later. Destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Accounts (Lists) <i>ID: 1262.1002.1</i>	Use for ledgers and similar records that list or enumerate financial transactions to reflect debits and credits of an account.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Audits <i>ID: 1262.1002.10</i>	Use for final reports following formal audits of agency accounts. Copies of audits to be provided to the Office of State Auditor pursuant to 32 V.S.A. § 163.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (General)
Authorizations <i>ID: 1262.1002.141</i>	Use for all written approvals related to financial transactions, including delegations of authority.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1262.1002.28</i>	Use for general correspondence related to the management of an agency's economic activities and financial transactions.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1262.1002.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the management of an agency's economic activities and financial transactions.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Deposit, Certificates of <i>ID: 1262.1002.34</i>	Use for deposit slips or tickets from a bank certifying that a specified sum of money has been received for deposit.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Inventories <i>ID: 1262.1002.48</i>	Use for annual physical inventories of agency assets.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)

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Invoices <i>ID: 1262.1002.49</i>	Use for documents created by a vendor to initiate payment.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Purchase orders <i>ID: 1262.1002.75</i>	Use for authorizations to vendors to deliver goods and services, which upon acceptance constitute purchase contracts.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Receipts <i>ID: 1262.1002.77</i>	Use for written acknowledgments of the receiving of goods or services, or records that provide evidence of money delivered, paid or transferred.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1262.1002.144</i>	Use for copies of reports and similar narrative statements about the agency's financial transactions and activities. Includes self-assessment questionnaires, expenditure reports, receipts confirmation forms, and similar documentation of the agency's financial activities.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Requisitions <i>ID: 1262.1002.84</i>	Use for requests for a purchase order that create pre-encumbrances of funds.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 1 Year(s) THEN: Destroy (Shred)
Vouchers <i>ID: 1262.1002.101</i>	Use for documents that serve as the basis for cutting checks or generating payments and recording financial transactions to pay a vendor.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Worksheets <i>ID: 1262.1002.104</i>	Use for worksheets, spreadsheets, and similar records used to make preliminary calculations related to the financial activities of the agency.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)

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1262.1012: Budget Records

- Classification:** Mental health care services (Budgeting)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the planning, coordination, and allocation of financial resources and expenditures.
- Directive:** Retain final budget, cost allocation plans, and substantive correspondence for 5 years after the end of the fiscal year, and then destroy. Retain drafts and other budget preparation records until they no longer have administrative value.
- Exemption:** **No** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Budgets <i>ID: 1262.1012.17</i>	Use for the official, annual reports of the agency's estimated financial resources and expenditures.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 5 Year(s) THEN: Destroy (General)
Correspondence (Routine) <i>ID: 1262.1012.28</i>	Use for correspondence of a routine nature related to agency budgets.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1262.1012.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to agency budgets.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 5 Year(s) THEN: Destroy (General)
Drafts <i>ID: 1262.1012.37</i>	Use for preliminary or tentative versions of agency budgets.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Plans (reports) <i>ID: 1262.1012.69</i>	Use for cost allocation plans.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 5 Year(s) THEN: Destroy (General)
Worksheets <i>ID: 1262.1012.104</i>	Use for documents such as preliminary plans, auxiliary computations, spreadsheets, notes, or comments used in preparing budgets.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)

1262.1022: Adult Mental Health Client Case Files

- Classification:** Mental health care services (Coordinating)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the coordination and provision of mental health services and funding.
- Directive:** Retain records for 6 years after the date of action, and then destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Applications <i>ID: 1262.1022.8</i>	Use for all applications and similar requests for mental health services and funding.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1262.1022.28</i>	Use for general correspondence created or received by the department concerning the coordination and provision of mental health care services.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1262.1022.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the provision and coordination of mental health services.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Databases <i>ID: 1262.1022.30</i>	Use for database entries related to individuals receiving mental health care services.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Decisions <i>ID: 1262.1022.133</i>	Use for all decisions and authorizations related to the provision and coordination of mental health services and funding. Includes eligibility determinations.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Notes <i>ID: 1262.1022.60</i>	Use for case notes.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Plans (reports) <i>ID: 1262.1022.69</i>	Use for treatment plans and aftercare plans.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Registers <i>ID: 1262.1022.81</i>	Use for official lists of all mental health patients maintained by the department.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 6 Year(s) THEN: Destroy (Shred)

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Reports <i>ID: 1262.1022.144</i>	Use for all reports related to mental health services provided to individuals. Includes reports of admission, discharge, and transfers of mental health patients.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
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Supporting material <i>ID: 1262.1022.36</i>	Use for supplemental records that support decisions related to the provision and coordination of mental health services.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
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1262.1093: Mental Health Training Records

Classification: Mental health care services (Training)

Scope: Reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, training related to mental health care services.

Directive: Retain records for 3 years after training has occurred, and then destroy.

Exemption: **No** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) <i>ID: 1262.1093.28</i>	Use for general correspondence related to training.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1262.1093.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to training or education.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Presentations <i>ID: 1262.1093.71</i>	Use for presentations, lecture notes, lesson plans, videos, slide shows, and similar demonstrations created for training purposes.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Reference sources <i>ID: 1262.1093.80</i>	Use for sources of information, such as subject files, publications, and copies of other records, that are used to develop training materials.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Registers <i>ID: 1262.1093.81</i>	Use for lists of training attendees.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Supporting material <i>ID: 1262.1093.36</i>	Use for instructional materials, such as handouts, worksheets, and summaries, distributed to supplement a presentation or lecture.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

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1262.1100: Grievance and Appeal Case Files

- Classification:** Mental health care services (Investigating)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the investigation of grievances and appeals concerning mental health services.
- Directive:** Retain case file 3 years from the date of resolution and then destroy. In cases concerning a minor, retain case file until the individual reaches age 24 and then destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Acknowledgments <i>ID: 1262.1100.109</i>	Use for written acknowledgments of appeals and grievances.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Complaints <i>ID: 1262.1100.24</i>	Use for all complaints, grievances, and appeals made to the department.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1262.1100.28</i>	Use for general correspondence concerning the investigation of grievances and appeals.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1262.1100.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to grievances and appeals.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Decisions <i>ID: 1262.1100.133</i>	Use for all decisions related to complaints, grievances, and/or appeals.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Logs <i>ID: 1262.1100.145</i>	Use for grievance logs.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Notes <i>ID: 1262.1100.60</i>	Use for notes, including those of telephone conversations.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Notices, Legal <i>ID: 1262.1100.50</i>	Use for written notifications related to complaints, grievances, and/or appeals.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

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Opinions Use for recommendations made Temporary (Legal) RETAIN UNTIL: Completed/Closed
by evaluators related to appeals. Exempt? Yes PLUS: 3 Year(s)
ID: 1262.1100.62 THEN: Destroy (Shred)

Supporting Use for additional records Temporary (Legal) RETAIN UNTIL: Completed/Closed
material gathered as part of an Exempt? Yes PLUS: 3 Year(s)
ID: 1262.1100.36 investigation that are not THEN: Destroy (Shred)
specified by this schedule.

1262.1102: Mental Health Administrative Policy and Planning Records

Classification: Mental health care services (Administering)

Scope: Reserved for activities and transactions that relate to or affect, in a specific manner, the development and implementation of policy related to mental health care services and programs. Does not include rulemaking pursuant to the Administrative Procedures Act.

Directive: Maintain for 3 years from their creation all plans, policies, reports, minutes, substantive correspondence, studies, and similar records that document the development and implementation of mental health policy in the state. Transfer to archives.

Retain calendars, legal notices, and agendas for 1 year, and destroy. Retain drafts, routine correspondence, and reference materials until they no longer have administrative value and destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Agendas <i>ID: 1262.1102.4</i>	Use for meeting agendas and similar lists or programs of things to be done or considered. Minutes must accurately reflect the agenda otherwise agenda should follow the retention for minutes.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
Agreements <i>ID: 1262.1102.5</i>	Use for formal agreements, such as memoranda of understanding and other inter-agency agreements, related to mental health services.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Archives
Calendars <i>ID: 1262.1102.19</i>	Use for schedules of meetings and related events.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
Correspondence (Routine) <i>ID: 1262.1102.28</i>	Use for general correspondence related to mental health services and policy. Includes general internal and interagency correspondence and correspondence with the public on routine matters.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1262.1102.53</i>	Use for correspondence that has significant administrative value and/or is essential in supporting policy decisions related to mental health care services and programs. Includes recommendations submitted by advisory boards and commissions.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives

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Drafts <i>ID: 1262.1102.37</i>	Use for preliminary or tentative versions of documents that were never put into practice or applied by the department.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Minutes <i>ID: 1262.1102.59</i>	Use for minutes of meetings related to mental health policy and programs. Includes significant supporting materials.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 3 Year(s) THEN: Archives
Notices, Legal <i>ID: 1262.1102.50</i>	Use for notices of meetings.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
Plans (reports) <i>ID: 1262.1102.69</i>	Use for plans and proposals for mental health services and programs. Includes system of care plans.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives
Policies <i>ID: 1262.1102.70</i>	Use for policies, standards and guidelines developed by the department for the provision of mental health services. For rules adopted under the Administrative Procedure Act, see "Rulemaking."	Permanent (Archival) Exempt? No	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Archives
Press releases <i>ID: 1262.1102.72</i>	Use for press releases related to mental health services.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 1 Year(s) THEN: Destroy (General)
Reference sources <i>ID: 1262.1102.80</i>	Use for supplemental records, such as subject files, publications, and copies of other records, that are received or collected by the department that are used to inform and support decisions related to mental health policies and programs.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Reports <i>ID: 1262.1102.144</i>	Use for annual reports and similar narratives that document mental health services and programs. Includes those reports submitted to the Governor and General Assembly.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives
Statistics <i>ID: 1262.1102.90</i>	Use for statistics, data reports, and similar compilations that are used to inform policies and programs related to mental health services.	Conditional Archival Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Confirm
Studies <i>ID: 1262.1102.116</i>	Use for studies conducted by or for the department related to mental health care services. Includes significant supporting materials.	Permanent (Archival) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Archives

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1262.1108: Mental Health Administrative Hearings

Classification: Mental health care services (Adjudicating)

Scope: Reserved for activities and transactions that relate to or affect, in a specific manner, administrative hearings related to mental health services, including those related to designated agencies.

Directive: Retain final decision and hearing records for 3 years after the case is closed and no further action is pending. Destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) ID: 1262.1108.28	Use for general correspondence related to administrative hearings.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) ID: 1262.1108.53	Use for correspondence that has significant administrative value and/or supports decisions related to hearings involving designated agencies.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Decisions ID: 1262.1108.133	Use for final decisions issued at the conclusion of an administrative hearing.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Evidence ID: 1262.1108.136	Use for evidence submitted during administrative hearings.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Notices, Legal ID: 1262.1108.50	Use for legal notices.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Orders ID: 1262.1108.63	Use for court orders issued relative to an administrative hearing.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Petitions ID: 1262.1108.67	Use for requests for hearings, conferences, and appeals.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Pleadings ID: 1262.1108.126	Use for all complaints, answers, motions, briefs and similar pleadings filed in an administrative hearing.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

Stipulations <i>ID: 1262.1108.92</i>	Use for stipulations.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Subpoenas <i>ID: 1262.1108.121</i>	Use for subpoenas.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1262.1108.36</i>	Use for supplementary records collected or received during an administrative hearing, but that are not otherwise specified in this schedule.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Transcripts <i>ID: 1262.1108.99</i>	Use for transcripts and audio recordings of administrative hearings.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

1262.1110: Mental Health Grant Files

- Classification:** Mental health care services (Granting)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, grants received or provided by the department for mental health care services.
- Directive:** Retain grant records for 3 years after closeout of the grant period and then destroy. For grants with particularly significant effects or impact, retain final reports according to Schedule No. 1262.1102 "Mental Health Policy and Planning Records"
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Agreements <i>ID: 1262.1110.5</i>	Use for grant agreements and related documents, including amendments, that outline the terms, conditions, and amounts of an award.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Applications <i>ID: 1262.1110.8</i>	Use for grant applications and related documentation submitted to or by the department.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Authorizations <i>ID: 1262.1110.141</i>	Use for authorizations relative to grants for mental health services.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Certificates <i>ID: 1262.1110.21</i>	Use for all certificates and other formal statements of qualifications required as part of a grant agreement or application.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Correspondence (Routine) <i>ID: 1262.1110.28</i>	Use for general correspondence related to grants made by or to the department. Includes internal and interagency correspondence of a routine nature.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1262.1110.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to grants.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Decisions <i>ID: 1262.1110.133</i>	Use for written decisions concerning the award, administration, or termination of a grant. Includes notices of award.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Invoices <i>ID: 1262.1110.49</i>	Use for original invoices related to grant expenditures.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

Proposals <i>ID: 1262.1110.154</i>	Use for agency indirect cost rate proposals submitted in relation to federal grants.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Reports <i>ID: 1262.1110.144</i>	Use for all reports required by a grant agreement, including financial, monitoring, and final reports. For final reports that document grant activities with particularly significant effects or impact, retain permanently according to Schedule No. 1262.1102, "Mental Health Planning and Policy Records."	Conditional Archival Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Confirm
Requests <i>ID: 1262.1110.139</i>	Use for written requests to the Secretary of Administration to waive provisions of Bulletin 5.5.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Supporting material <i>ID: 1262.1110.36</i>	Use for supplemental records that support decisions related to the awarding, administration, or procurement of grants.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)
Waivers <i>ID: 1262.1110.150</i>	Use for waivers issued by the Secretary of Administration relative to grant administration.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 3 Year(s) THEN: Destroy (General)

1262.1126: Mental Health Contract Files

Classification: Mental health care services (Contracting)

Scope: Reserved for activities and transactions that relate to or affect, in a specific manner, the entering into and maintenance of contracts related to mental health services. Includes contracts with specialized service agencies.

Directive: Retain contract documents for 3 years from the expiration of the contract, and then destroy. Retain registers of prequalified bidders 3 years after they have been superseded and then destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Authorizations <i>ID: 1262.1126.141</i>	Use for written approvals, including permissions from the Secretary of Administration, Director of Risk Management, Attorney General, Commissioner of the Department of Human Resources, Chief Marketing Officer, or in-house assistant attorney general.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Bids <i>ID: 1262.1126.149</i>	Use for bids and proposals submitted in response to a request for proposal.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Certificates <i>ID: 1262.1126.21</i>	Use for certificates and other statements of qualification associated with contracts, such as form AA-14: Contract Summary and Certification Form.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Contracts <i>ID: 1262.1126.26</i>	Use for the official, signed version of a contract, including all attachments, amendments, and supplemental agreements.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1262.1126.28</i>	Use for general correspondence related to the administration of contracts. Includes internal and interagency correspondence that is routine in nature.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1262.1126.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to specialized services contracts.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

Decisions <i>ID: 1262.1126.133</i>	Use for written decisions concerning the award, administration, and termination of a specialized services contract.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Declarations <i>ID: 1262.1126.32</i>	Use for written explanations and justifications required under Bulletin 3.5. Includes reasons why contract packages were not received within the timeline specified and explanations of extended contract duration.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Lists <i>ID: 1262.1126.55</i>	Use for lists of vendors who have requested bid documents.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Notices, Legal <i>ID: 1262.1126.50</i>	Use for public notices published in newspapers regarding contracts, including those for specialized services. Includes records publicizing the opportunity to bid as well as public notices of the department's decision.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Opinions <i>ID: 1262.1126.62</i>	Use for any recommendations forwarded by the Finance and Management Department following its review of contract packages.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Registers <i>ID: 1262.1126.81</i>	Use for formal lists of pre-qualified bidders.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Superseded PLUS: 3 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1262.1126.144</i>	Use for all reports related to contract performance.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Requests <i>ID: 1262.1126.139</i>	Use for written requests for the Secretary of Administration to waive provisions of Bulletin 3.5.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
Requests for proposals <i>ID: 1262.1126.83</i>	Use for all bid documents associated with Requests for Proposal, including, but not limited to, cover pages, statements of work, requirements, specifications, addenda, etc. Includes RFP's for specialized services.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)

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Waivers <i>ID: 1262.1126.150</i>	Use for written evidence that provisions of Bulletin 3.5 have been waived, includes any waivers issued by the Secretary of Administration, Director of Risk Management, or Attorney General.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
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Worksheets <i>ID: 1262.1126.104</i>	Use for recorded evidence supporting an agency's decision, such as worksheets used ranking each bidder's qualifications.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Expired PLUS: 3 Year(s) THEN: Destroy (Shred)
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1262.1128: Mental Health Rulemaking File

Classification: Mental health care services (Rulemaking)

Scope: Reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the establishment of rules related to mental health services.

Directive: Retain rule and any formal interpretations of the rule for 1 year after the rule has been superseded or is no longer in effect, and then destroy. Retain records related to the rulemaking process for 1 year after the related rule is adopted, and then destroy. Retain all other records until they no longer have administrative value, and then destroy.

Exemption: **No** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Certificates <i>ID: 1262.1128.21</i>	Use for certified objections to a rule.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
Correspondence (Routine) <i>ID: 1262.1128.28</i>	Use for general correspondence related to rulemaking.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1262.1128.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to rulemaking.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
Decisions <i>ID: 1262.1128.133</i>	Use for decisions related to adopting administrative rules or procedures.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
Declarations <i>ID: 1262.1128.32</i>	Use for formal explanations of proposed or adopted rules.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Superseded PLUS: 1 Year(s) THEN: Destroy (General)
Notices, Legal <i>ID: 1262.1128.50</i>	Use for all legal notices associated with rulemaking.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
Opinions <i>ID: 1262.1128.62</i>	Use for recommendations, including objections, received by the department regarding rules or rulemaking.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
Proposals <i>ID: 1262.1128.154</i>	Use for proposed rules, including the rule and all required accompanying documentation.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

Requests <i>ID: 1262.1128.139</i>	Use for all formal requests related to rules or rulemaking.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)
Rules <i>ID: 1262.1128.161</i>	Use for all rules adopted by the department.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Superseded PLUS: 1 Year(s) THEN: Destroy (General)
Supporting material <i>ID: 1262.1128.36</i>	Use for public input and other supporting material received by the department during the rulemaking process.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 1 Year(s) THEN: Destroy (General)

1263.1004: QMHP Files

- Classification:** Mental health care providers (Appointing)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the designation of mental health care providers.
- Directive:** Retain application, decision, and supporting material for 4 years after the date of action and then destroy. Retain register and routine correspondence until they no longer have administrative value and destroy.
- Exemption:** **No** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Applications <i>ID: 1263.1004.8</i>	Use for applications for Designated Qualified Mental Health Providers and Physicians Who Can Perform Emergency Examinations.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 4 Year(s) THEN: Destroy (General)
Correspondence (Routine) <i>ID: 1263.1004.28</i>	Use for general correspondence related to the designation of qualified mental health providers..	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Decisions <i>ID: 1263.1004.133</i>	Use for application decisions related to Qualified Mental Health Care Providers and for Physicians Who Can Perform Emergency Examinations.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 4 Year(s) THEN: Destroy (General)
Registers <i>ID: 1263.1004.81</i>	Use for lists of qualified mental health providers and physicians who can perform emergency examinations.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Supporting material <i>ID: 1263.1004.36</i>	Use for records submitted in support of an applications	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 4 Year(s) THEN: Destroy (General)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

1268.1004: DA Designation/Re-designation Files

- Classification:** Community mental health and developmental disability agencies (Appointing)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the process of designating community mental health and developmental disability agencies, including specialized service agencies
- Directive:** Retain designation/re-designation file for 10 years from the date of decision, and then destroy.
- Exemption:** **No** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Advertisements <i>ID: 1268.1004.112</i>	Use for copies of public notices published in newspapers related to agency designation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Applications <i>ID: 1268.1004.8</i>	Use for applications for designation, redesignation and/or deeming.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Certificates <i>ID: 1268.1004.21</i>	Use for copies of designation certificates.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Correspondence (Routine) <i>ID: 1268.1004.28</i>	Use for general correspondence related to agency designation. Includes internal and interagency correspondence and correspondence with the general public that is routine in nature.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1268.1004.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to agency designation. Includes letters of intent for redesignation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Decisions <i>ID: 1268.1004.133</i>	Use for decisions related to agency designation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Notices, Legal <i>ID: 1268.1004.50</i>	Use for legal notices related to agency designation and redesignation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Opinions <i>ID: 1268.1004.62</i>	Use for recommendations submitted by the State Program Standing Committees related to agency designation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

Registers <i>ID: 1268.1004.81</i>	Use for lists of designated agencies.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (General)
Reports <i>ID: 1268.1004.144</i>	Use for all reports related to agency designation, including designation reports.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Schedules <i>ID: 1268.1004.88</i>	Use for official schedules established for agency redesignation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Supporting material <i>ID: 1268.1004.36</i>	Use for supplementary records collected or received that are used to help evaluate applications for designation and redesignation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Transcripts <i>ID: 1268.1004.99</i>	Use for transcripts and audio recordings of public hearings.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)

1268.1075: Designated Agency Sanctions

- Classification:** Community mental health and developmental disability agencies (Disciplining)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the imposition of sanctions or penalties on community mental health and developmental disability designated agencies and specialized service agencies.
- Directive:** Retain records for 6 years after the date that the sanction or penalty is removed and then destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) ID: 1268.1075.28	Use for general correspondence concerning sanctions related to designated agencies and specialized service agencies.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) ID: 1268.1075.53	Use for correspondence that has significant administrative value and/or supports decisions related to the sanctioning of designated agencies and specialized service agencies.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (General)
Decisions ID: 1268.1075.133	Use for written decisions related to sanctions imposed on designated agencies and specialized service agencies, including de-designation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (General)
Notices, Legal ID: 1268.1075.50	Use for written notifications related to sanctions imposed on designated agencies and specialized service agencies, including de-designation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (General)
Supporting material ID: 1268.1075.36	Use for supplemental records used to support the imposition of sanctions.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (General)

1268.1088: Designated Agency General Oversight Records

- Classification:** Community mental health and developmental disability agencies (Supervising)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the oversight and general supervision of community mental health and developmental disability designated agencies and specialized service agencies. Includes records related to Certificates of Approval.
- Directive:** Retain records for 10 years from the date of creation, and then destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Applications <i>ID: 1268.1088.8</i>	Use for applications for Certificates of Approval. Includes documents submitted in support of the application.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (General)
Correspondence (Routine) <i>ID: 1268.1088.28</i>	Use for general correspondence related to the general oversight of designated agencies or specialized service agencies.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1268.1088.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the oversight of designated agencies or specialized services agencies.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (General)
Decisions <i>ID: 1268.1088.133</i>	Use for decisions related to the overseeing of designated agencies and specialized service agencies. Includes COA decisions	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (General)
Reports <i>ID: 1268.1088.144</i>	Use for all narrative reports submitted to the department by designated agencies and specialized service agencies. Includes critical incident reports.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (General)
Statistics <i>ID: 1268.1088.90</i>	Use for data reports and similar compilations of statistics submitted by designated agencies and specialized service agencies..	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Calendar Year Ends PLUS: 10 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

1268.1105: DA Quality Assurance Records

- Classification:** Community mental health and developmental disability agencies (Reviewing)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the periodic review and evaluation of community mental health and developmental disability agencies.
- Directive:** Retain review records for 10 years after completion of the review, and then destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) ID: 1268.1105.28	Use for general correspondence related to the review and evaluation of designated agencies. Includes internal and interagency correspondence of a routine nature.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) ID: 1268.1105.53	Use for correspondence that has significant administrative value and/or supports decisions related to reviews of designated agencies.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Notes ID: 1268.1105.60	Use for notes made or taken related to quality assurance reviews.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Questionnaires ID: 1268.1105.76	Use for questionnaires and surveys used for reviewing designated agencies.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Reports ID: 1268.1105.144	Use for all reports related to program reviews, quality of service reviews, minimum standard reviews, audits, and similar quality assurance activities. Includes drafts containing significant changes and revisions.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Supporting material ID: 1268.1105.36	Use for supplemental records received or collected during the review process.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Worksheets ID: 1268.1105.104	Use for all worksheets, checklists, and spreadsheets used to collect and compile information during reviews.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

1268.1110: Designated Agency Funding

- Classification:** Community mental health and developmental disability agencies (Granting)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the funding of community mental health and developmental disability agencies. Includes funding for specialized service agencies and private nonmedical institutions.
- Directive:** Retain records for 3 years after the close of the fiscal year for which the funding was provided, and then destroy.
- Exemption:** **No** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Applications <i>ID: 1268.1110.8</i>	Use for all applications and supporting documents submitted by designated agencies related to requests for funding.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Budgets <i>ID: 1268.1110.17</i>	Use for budgets submitted by designated agencies.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1268.1110.28</i>	Use for general correspondence related to the funding of designated agencies.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1268.1110.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the funding of designated agencies.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)
Decisions <i>ID: 1268.1110.133</i>	Use for all decisions related to the funding of designated agencies, SSA's, and PNMI's	Temporary (Legal) Exempt? No	RETAIN UNTIL: Fiscal Year Ends PLUS: 3 Year(s) THEN: Destroy (Shred)

1268.1130: DA Quality Improvement Files

- Classification:** Community mental health and developmental disability agencies (Remediating)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the correction of deficiencies in community mental health and developmental disability agencies.
- Directive:** Retain records for 10 years after corrective action activities have been completed, and then destroy.
- Exemption:** **No** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) <i>ID: 1268.1130.28</i>	Use for general correspondence related to corrective actions and similar quality improvement activities undertaken by designated agencies.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (General)
Correspondence (Substantive) <i>ID: 1268.1130.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to corrective actions taken by designated agencies.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Decisions <i>ID: 1268.1130.133</i>	Use for decisions related to corrective action plans and similar quality improvement activities.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Notices, Legal <i>ID: 1268.1130.50</i>	Use for notices of deficiency.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Plans (reports) <i>ID: 1268.1130.69</i>	Use for corrective action plans and/or improvement plans.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)
Reports <i>ID: 1268.1130.144</i>	Use for reports related to corrective action plans and similar quality improvement activities, including progress reports and final reports.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (General)

1279.1113: Involuntary Medication Legal Files

Classification: Involuntary medication (Litigating)

Scope: Reserved for activities and transactions that relate to or affect, in a specific manner, the conduct of legal actions related to the administration of involuntary medication.

Directive: Retain case file for 10 years after the individual case is closed, and then destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Acknowledgments <i>ID: 1279.1113.109</i>	Use for certificates and waivers of service.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Authorizations <i>ID: 1279.1113.141</i>	Use for all authorizations, including copies of durable powers of attorney and authorizations provided by guardians.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Certificates <i>ID: 1279.1113.21</i>	Use for copies of physicians' certifications.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1279.1113.28</i>	Use for general correspondence, including email messages, relative to involuntary medication cases.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1279.1113.53</i>	Use for correspondence, including email messages, that have significant administrative value and/or supports decisions related to involuntary medication cases.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Exhibits <i>ID: 1279.1113.40</i>	Use for exhibits related to involuntary medication cases.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Notes <i>ID: 1279.1113.60</i>	Use for attorney notes, including lists of witnesses.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Notices, Legal <i>ID: 1279.1113.50</i>	Use for notices, such as Notice of Petition for Involuntary Medication/ Appointment of Counsel/ Notice of Hearing.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

Orders <i>ID: 1279.1113.63</i>	Use for copies of all court orders.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Petitions <i>ID: 1279.1113.67</i>	Use for Petitions for Involuntary Medication.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Pleadings <i>ID: 1279.1113.126</i>	Use for all pleadings and motions.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Stipulations <i>ID: 1279.1113.92</i>	Use for stipulations.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Subpoenas <i>ID: 1279.1113.121</i>	Use for subpoenas	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1279.1113.36</i>	Use for supplemental records collected or received related to involuntary medication cases. Includes copies of medical records.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

1286.1098: Forensic Evaluations

- Classification:** Person in need of treatment (Evaluating)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the evaluation of defendants pleading insanity.
- Directive:** Retain records for 10 years after submission of the forensic evaluation report, and then destroy.
- Exemption:** **No** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) <i>ID: 1286.1098.28</i>	Use for general correspondence, including email messages, related to forensic examinations.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1286.1098.53</i>	Use for correspondence, including email messages, that has significant administrative value and/or supports decisions related to forensic evaluations.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Orders <i>ID: 1286.1098.63</i>	Use for all court orders concerning forensic examinations.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Petitions <i>ID: 1286.1098.67</i>	Use for requests made to the court to extend the period required to complete a forensic examination.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Referrals <i>ID: 1286.1098.153</i>	Use for referrals, including enclosures, sent to physicians by the department requesting examinations.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1286.1098.144</i>	Use for forensic evaluation reports.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 0 Year(s) THEN: Destroy (Shred)

1287.1088: Involuntary Treatment Oversight Records

Classification: Involuntary treatment (Supervising)

Scope: Reserved for activities and transactions that relate to or affect, in a specific manner, the oversight and general supervision of patients receiving involuntary treatment.

Directive: Retain records related to an individual for 10 years after his or her case is closed.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) ID: 1287.1088.28	Use for general correspondence created or received by the department related to the department's supervision of patients receiving involuntary treatment.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) ID: 1287.1088.53	Use for correspondence that has significant administrative value and/or supports decisions related to the department's supervision of patients receiving involuntary treatment.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Databases ID: 1287.1088.30	Use for database entries relative to patients receiving involuntary treatment.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Orders ID: 1287.1088.63	Use for Orders of Hospitalization; Orders of Non-hospitalization; and Orders of Continued Treatment	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Reports ID: 1287.1088.144	Use for all reports related to the overseeing of involuntary treatment, including AIT reviews and Annual Data Reports.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Supporting material ID: 1287.1088.36	Use for supplemental records collected or received related to the general oversight of patients receiving involuntary treatment.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Worksheets ID: 1287.1088.104	Use for all worksheets used to collect information related to involuntary treatment, such as the Emergency Procedures Audit Form and MCIS Spreadsheets.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

1287.1113: Forensic and Involuntary Treatment Legal Files

Classification: Involuntary treatment (Litigating)

Scope: Reserved for activities and transactions that relate to or affect, in a specific manner, the conduct of legal action related to involuntary treatment.

Directive: Retain case file for 10 years after case closure and then destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Acknowledgments <i>ID: 1287.1113.109</i>	Use for certificates and waivers of service.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Authorizations <i>ID: 1287.1113.141</i>	Use for authorizations provided by guardians, including copies of guardianship orders.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Certificates <i>ID: 1287.1113.21</i>	Use for copies of physician's certificates.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1287.1113.28</i>	Use for general correspondence, including email messages, related to cases involving involuntary treatment.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1287.1113.53</i>	Use for correspondence, including email messages, that has significant administrative value and/or supports decisions related to involuntary treatment cases.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Exhibits <i>ID: 1287.1113.40</i>	Use for exhibits.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Lists <i>ID: 1287.1113.55</i>	Use for witness lists	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Notes <i>ID: 1287.1113.60</i>	Use for attorney notes	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

Notices, Legal <i>ID: 1287.1113.50</i>	Use for legal notices including Notice of Application for Involuntary Treatment/ Appointment of Counsel/ Notice of Hearing; Notice of Commitment Hearing; and notices sent to State's Attorneys.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Orders <i>ID: 1287.1113.63</i>	Use for all court orders, including orders of hospitalization, non-hospitalization, and continued treatment	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Petitions <i>ID: 1287.1113.67</i>	Use for petitions, including Application for Involuntary Treatment [MH-10]; Application for Continued Treatment; Notices of Non-Compliance and Request for Hearing; and Warrants for Immediate Examination. Also Includes all formal declarations and statements submitted with the petition.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Pleadings <i>ID: 1287.1113.126</i>	Use for pleadings and motions other than initial petitions.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Stipulations <i>ID: 1287.1113.92</i>	Use for stipulations.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Subpoenas <i>ID: 1287.1113.121</i>	Use for subpoenas.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1287.1113.36</i>	Use for supplemental records related to involuntary treatment cases, including copies of medical records and copies of records related to criminal proceedings.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

1288.1004: Hospital Designation Records

Classification: Mental health hospitals (Appointing)

Scope: Reserved for activities and transactions that relate to or affect, in a specific manner, the designation of mental health hospitals.

Directive: Retain records for 7 years from the date designation is granted or denied, and then destroy.

Exemption: **No** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Applications <i>ID: 1288.1004.8</i>	Use for applications for hospital designation.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
Certificates <i>ID: 1288.1004.21</i>	Use for copies of designation certificates.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
Correspondence (Routine) <i>ID: 1288.1004.28</i>	Use for general correspondence related to hospital designation.	Temporary (Administrative) Exempt? No	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1288.1004.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the hospital designation.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
Decisions <i>ID: 1288.1004.133</i>	Use for application decisions related to hospital designation.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1288.1004.36</i>	Use for records submitted in support of an application.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
Worksheets <i>ID: 1288.1004.104</i>	Use for all worksheets and preliminary notes used in the process of hospital designation, including Hospital Designation Data Reports.	Temporary (Legal) Exempt? No	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)

This record schedule was approved on 3/3/2010 and is applicable to records created and received by the Mental Health, Dept. of.

1288.1088: Hospital Oversight Records

- Classification:** Mental health hospitals (Supervising)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the oversight and general supervision of the operation of mental health hospitals.
- Directive:** Retain records for 7 years from their creation, and then destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) <i>ID: 1288.1088.28</i>	Use for general correspondence related to the department's supervision of mental health hospitals.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1288.1088.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the oversight of mental health hospitals.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1288.1088.144</i>	Use for reports received from mental health hospitals.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)
Statistics <i>ID: 1288.1088.90</i>	Use for statistics and other data collected that are related to the supervision of mental health hospitals.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 7 Year(s) THEN: Destroy (Shred)

1289.1088: ECT Oversight Records

- Classification:** Electroconvulsive therapy (Supervising)
- Scope:** Reserved for activities and transactions that relate to or affect, in a specific manner, the oversight and general supervision of electroconvulsive therapy.
- Directive:** Retain records for 6 years from their creation and then destroy.
- Exemption:** **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Correspondence (Routine) <i>ID: 1289.1088.28</i>	Use for general correspondence related to the supervision of electroconvulsive therapy.	Temporary (Administrative) Exempt? Yes	RETAIN UNTIL: Obsolete PLUS: 0 Year(s) THEN: Destroy (Shred)
Correspondence (Substantive) <i>ID: 1289.1088.53</i>	Use for correspondence that has significant administrative value and/or supports decisions related to the supervision of electroconvulsive therapy.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Statistics <i>ID: 1289.1088.90</i>	Use for compilations of statistics and other data collected that are related to electroconvulsive therapy, such as Monthly ECT reports.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)
Worksheets <i>ID: 1289.1088.104</i>	Use for all worksheets used to collect data, such as the ECT Record Review Form.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 6 Year(s) THEN: Destroy (Shred)

1373.1098: Mental Health PASARR Files

Classification: Mental illness (Evaluating)

Scope: Reserved for recorded evidence of activities and transactions that relate to or affect, in a specific manner, the evaluation of mental illness in relation to PASARR.

Directive: For adults, retain individual's records for 10 years from the date of the annual review, and then destroy. For children, retain all records until the child reaches age 24, and then destroy.

Exemption: **Yes** *If yes, see below for specific records that may be exempt from public use and inspection.*

RECORDKEEPING REQUIREMENTS (see APPENDIX for any related legal references)

Record:	Applicability/Use:	Appraised Value:	Retention/Disposition:
Databases <i>ID: 1373.1098.30</i>	Use for database entries related to PASARR	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Decisions <i>ID: 1373.1098.133</i>	Use for all decisions related to PASARR evaluations.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Notices, Legal <i>ID: 1373.1098.50</i>	Use for notices related to PASARR.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Referrals <i>ID: 1373.1098.153</i>	Use for Level I referrals.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Reports <i>ID: 1373.1098.144</i>	Use for PASARR reports.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)
Supporting material <i>ID: 1373.1098.36</i>	Use for supplemental records that support determinations related to PASARR evaluations.	Temporary (Legal) Exempt? Yes	RETAIN UNTIL: Completed/Closed PLUS: 10 Year(s) THEN: Destroy (Shred)

See attached APPENDIX for legal references.

LEGAL RESOURCES

APPENDIX TO THE RECORD SCHEDULE FOR: Mental Health, Dept. of

1260.1022: Children and Adolescent Case Files

- > 18 V.S.A. § 7103 (Disclosure of [patient] information)
Review for Exemption:
Yes
- > 33 V.S.A. § 4302 (State interagency team [Children and Adolescents with Severe Emotional Disturbance])
Review for Exemption:
No
- > 33 V.S.A. § 4303 (Local interagency teams [for children and adolescents with severe emotional disturbances])
Review for Exemption:
No
- > 33 V.S.A. § 4305 (Coordinated system of care [for children and adolescents with a severe emotional disturbance])
Review for Exemption:
Yes
- > 45 CFR 164.530 (Administrative requirements [under the HIPAA Privacy Rule])
Review for Exemption:
Yes
- > Interagency Agreement between Dept. of Education and the Agency of Human Services (2005) (Agreement pursuant to part B of the Individuals with Disabilities Education Act)
Review for Exemption:
No

1262.1002: Accounting Records

- > 18 V.S.A. § 7103 (Disclosure of [patient] information)
Review for Exemption:
Yes
- > 3 V.S.A. § 207 (Assistance and expenditure)
Review for Exemption:
No
- > 32 V.S.A. § 163 (Duties of the auditor of accounts)
Review for Exemption:
No
- > 42 CFR 433.32 ([Medicaid] Fiscal policies and accountability)
Review for Exemption:
No
- > 42 CFR 433.34 ([Medicaid] Cost allocation)
Review for Exemption:
No

1262.1012: Budget Records

- > 32 V.S.A. § 301 (Department estimate and statement)
Review for Exemption:
No

1262.1022: Adult Mental Health Client Case Files

- > 18 V.S.A. § 7103 (Disclosure of [patient] information)
Review for Exemption:
Yes
- > 18 V.S.A. § 7106 (Notice of hospitalization and discharge)
Review for Exemption:
No
- > 18 V.S.A. § 7401 (Powers and duties [of the Commissioner of Mental Health])
Review for Exemption:
No

- > 18 V.S.A. § 7402 (Records and reports [Commissioner of Mental Health]) *Review for Exemption:* No
- > 18 V.S.A. § 7901 (Intrastate transfers [of mental health patients]) *Review for Exemption:* No
- > 18 V.S.A. § 7903 (Transfers [of mental health patients] to federal facilities) *Review for Exemption:* No
- > 32 V.S.A. § 1591 ([Fees and costs of] Sheriffs and other officers) *Review for Exemption:* No
- > 42 CFR 441.301 (Contents of request for a waiver) *Review for Exemption:* No
- > 45 CFR 164.530 (Administrative requirements [under the HIPAA Privacy Rule]) *Review for Exemption:* Yes

1262.1093: Mental Health Training Records

- > 18 V.S.A. § 7202 (Coordination [of state-wide mental health program]) *Review for Exemption:* No

1262.1100: Grievance and Appeal Case Files

- > 13 150 CVR 006 (Administrative rules on agency designation [for mental health and developmental disabilities services]) *Review for Exemption:* No
- > 18 V.S.A. § 7103 (Disclosure of [patient] information) *Review for Exemption:* Yes
- > 18 V.S.A. § 7401 (Powers and duties [of the Commissioner of Mental Health]) *Review for Exemption:* No
- > AHS-OVHA Agreement for the Global Commitment to Health, 2005 (AHS-OVHA MCO Agreement) *Review for Exemption:* Yes

1262.1102: Mental Health Administrative Policy and Planning Records

- > 1 V.S.A. § 312 (Right to attend meetings of public agencies) *Review for Exemption:* Yes
- > 1 V.S.A. § 313 (Executive sessions) *Review for Exemption:* Yes
- > 13 150 CVR 006 (Administrative rules on agency designation [for mental health and developmental disabilities services]) *Review for Exemption:* No
- > 18 V.S.A. § 7103 (Disclosure of [patient] information) *Review for Exemption:* Yes
- > 18 V.S.A. § 7201 (Mental health [establishment of the department]) *Review for Exemption:* No
- > 18 V.S.A. § 7206 (Recommendations and reports) *Review for Exemption:* No
- > 18 V.S.A. § 7402 (Records and reports [Commissioner of Mental Health]) *Review for Exemption:* No
- > 18 V.S.A. § 7703 ([Mental Health] Treatment) *Review for Exemption:* No
- > 3 V.S.A. § 835 (Compilation of [administrative] procedures) *Review for Exemption:* No

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1262.1108: Mental Health Administrative Hearings

- | | |
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| > 13 150 CVR 004 (Department of mental health medicaid regulations) | <i>Review for Exemption:</i> No |
| > 13 150 CVR 006 (Administrative rules on agency designation [for mental health and developmental disabilities services]) | <i>Review for Exemption:</i> No |
| > 18 V.S.A. § 7103 (Disclosure of [patient] information) | <i>Review for Exemption:</i> Yes |
| > 18 V.S.A. § 8911 (Powers of the commissioners [related to community mental health and developmental disability services agencies]) | <i>Review for Exemption:</i> No |

1262.1110: Mental Health Grant Files

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| > 18 V.S.A. § 7103 (Disclosure of [patient] information) | <i>Review for Exemption:</i> Yes |
| > 18 V.S.A. § 7204 (Planning; grants; clinics) | <i>Review for Exemption:</i> No |
| > 18 V.S.A. § 7405 (Property in trust [held by Commissioner of Mental Health]) | <i>Review for Exemption:</i> No |
| > 3 V.S.A. § 2253 (Permissive duties; approval of secretary [of administration]) | <i>Review for Exemption:</i> No |
| > 3 V.S.A. § 3053 (Permissive duties; approval of secretary [commissioners in Agency of Human Services]) | <i>Review for Exemption:</i> No |
| > 32 V.S.A. § 6 (Indirect costs [related to Federal funding]) | <i>Review for Exemption:</i> No |
| > Bulletin 5.5, Agency of Administration (State Grant Monitoring Policy) | <i>Review for Exemption:</i> No |

1262.1126: Mental Health Contract Files

- | | |
|---|----------------------------------|
| > 13 150 CVR 006 (Administrative rules on agency designation [for mental health and developmental disabilities services]) | <i>Review for Exemption:</i> No |
| > 18 V.S.A. § 7103 (Disclosure of [patient] information) | <i>Review for Exemption:</i> Yes |
| > 18 V.S.A. § 8912 (Contracts with nondesignated [community mental health and developmental disability service] agencies) | <i>Review for Exemption:</i> No |
| > 3 V.S.A. § 344 (Contract administration) | <i>Review for Exemption:</i> No |
| > Bulletin 3.5, Agency of Administration (Contracting Procedures -- 2008 Revision) | <i>Review for Exemption:</i> No |

1262.1128: Mental Health Rulemaking File

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| > 18 V.S.A. § 7401 (Powers and duties [of the Commissioner of Mental Health]) | <i>Review for Exemption:</i> No |
| > 3 V.S.A. § 808 (Procedure to request declaratory rulings by agencies) | <i>Review for Exemption:</i> No |

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1263.1004: QMHP Files

- > 18 V.S.A. § 7110 (Certification of mental illness) *Review for Exemption:* No
- > 18 V.S.A. § 7401 (Powers and duties [of the Commissioner of Mental Health]) *Review for Exemption:* No

1268.1004: DA Designation/Re-designation Files

- > 13 150 CVR 006 (Administrative rules on agency designation [for mental health and developmental disabilities services]) *Review for Exemption:* No
- > 18 V.S.A. § 8907 (Designation of agencies to provide mental health and developmental disability services) *Review for Exemption:* No

1268.1075: Designated Agency Sanctions

- > 13 150 CVR 004 (Department of mental health medicaid regulations) *Review for Exemption:* No
- > 13 150 CVR 006 (Administrative rules on agency designation [for mental health and developmental disabilities services]) *Review for Exemption:* No
- > 18 V.S.A. § 7103 (Disclosure of [patient] information) *Review for Exemption:* Yes
- > 18 V.S.A. § 8911 (Powers of the commissioners [related to community mental health and developmental disability services agencies]) *Review for Exemption:* No

1268.1088: Designated Agency General Oversight Records

- > 13 150 CVR 006 (Administrative rules on agency designation [for mental health and developmental disabilities services]) *Review for Exemption:* No
- > 18 V.S.A. § 7103 (Disclosure of [patient] information) *Review for Exemption:* Yes
- > 18 V.S.A. § 7401 (Powers and duties [of the Commissioner of Mental Health]) *Review for Exemption:* No
- > 18 V.S.A. § 8908 (Local community services plan [for mental health and developmental disability services]) *Review for Exemption:* No
- > 18 V.S.A. § 9435 (Exclusions [for health facility planning]) *Review for Exemption:* No

1268.1105: DA Quality Assurance Records

- > 13 150 CVR 004 (Department of mental health medicaid regulations) *Review for Exemption:* No
- > 13 150 CVR 006 (Administrative rules on agency designation [for mental health and developmental disabilities services]) *Review for Exemption:* No
- > 18 V.S.A. § 7103 (Disclosure of [patient] information) *Review for Exemption:* Yes
- > 18 V.S.A. § 7401 (Powers and duties [of the Commissioner of Mental Health]) *Review for Exemption:* No

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- > 18 V.S.A. § 8909 (Boards of directors of nonprofit corporations designated as community mental health and developmental disability agencies) *Review for Exemption:* No

1268.1110: Designated Agency Funding

- > 13 150 CVR 004 (Department of mental health medicaid regulations) *Review for Exemption:* No
- > 18 V.S.A. § 8910 (State aid; fees [associated with community mental health and developmental disability services agencies]) *Review for Exemption:* No
- > 33 V.S.A. § 4305 (Coordinated system of care [for children and adolescents with a severe emotional disturbance]) *Review for Exemption:* Yes
- > AHS-OVHA Agreement for the Global Commitment to Health, 2005 (AHS-OVHA MCO Agreement) *Review for Exemption:* Yes

1268.1130: DA Quality Improvement Files

- > 13 150 CVR 004 (Department of mental health medicaid regulations) *Review for Exemption:* No
- > 13 150 CVR 006 (Administrative rules on agency designation [for mental health and developmental disabilities services]) *Review for Exemption:* No
- > 18 V.S.A. § 8911 (Powers of the commissioners [related to community mental health and developmental disability services agencies]) *Review for Exemption:* No

1279.1113: Involuntary Medication Legal Files

- > 18 V.S.A. § 7103 (Disclosure of [patient] information) *Review for Exemption:* Yes
- > 18 V.S.A. § 7613 (Notice-Appointment of counsel [for proceedings related to the involuntary treatment of mental illness]) *Review for Exemption:* No
- > 18 V.S.A. § 7615 (Hearing [related to involuntary treatment]) *Review for Exemption:* No
- > 18 V.S.A. § 7624 (Petition [by the Commissioner of Mental Health] for involuntary medication) *Review for Exemption:* No
- > 18 V.S.A. § 7625 (Hearing on petition for involuntary medication; burden of proof) *Review for Exemption:* No
- > 18 V.S.A. § 7627 (Court findings; orders [involuntary medication for mental health treatment]) *Review for Exemption:* No

1286.1098: Forensic Evaluations

- > 13 V.S.A. § 4814 (Order for examination [in Insanity as a Defense]) *Review for Exemption:* No
- > 13 V.S.A. § 4815 (Place of examination; temporary commitment [related to insanity defense]) *Review for Exemption:* No
- > 13 V.S.A. § 4816 (Scope of examination; report; evidence [related to insanity defense]) *Review for Exemption:* No

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- > 18 V.S.A. § 7113 (Payment for court-ordered independent examinations) *Review for Exemption:* No
- > Supreme Court Rule (Rules for public access to court records) *Review for Exemption:* Yes

1287.1088: Involuntary Treatment Oversight Records

- > 18 V.S.A. § 7103 (Disclosure of [patient] information) *Review for Exemption:* Yes
- > 18 V.S.A. § 7205 (Supervision of institutions [VT State Hospital]) *Review for Exemption:* No
- > 18 V.S.A. § 7623 ([Mental health hospitalization or nonhospitalization] Orders; custody) *Review for Exemption:* No

1287.1113: Forensic and Involuntary Treatment Legal Files

- > 13 V.S.A. § 4821 (Notice of hearing; procedures [related to insanity defense]) *Review for Exemption:* No
- > 13 V.S.A. § 4822 (Findings and order; mentally ill persons [related to insanity defense]) *Review for Exemption:* No
- > 18 V.S.A. § 7103 (Disclosure of [patient] information) *Review for Exemption:* Yes
- > 18 V.S.A. § 7612 (Application for involuntary [mental health] treatment) *Review for Exemption:* No
- > 18 V.S.A. § 7613 (Notice-Appointment of counsel [for proceedings related to the involuntary treatment of mental illness]) *Review for Exemption:* No
- > 18 V.S.A. § 7614 (Psychiatric examination [in hearings related to involuntary treatment]) *Review for Exemption:* No
- > 18 V.S.A. § 7615 (Hearing [related to involuntary treatment]) *Review for Exemption:* No
- > 18 V.S.A. § 7616 (Appearance by state; burden of proof [in involuntary treatment hearings]) *Review for Exemption:* No
- > 18 V.S.A. § 7620 (Application for continued treatment [by the Commissioner of Mental Health]) *Review for Exemption:* No
- > 18 V.S.A. § 7621 (Hearing on application for continued [mental health] treatment; orders) *Review for Exemption:* No
- > 18 V.S.A. § 7623 ([Mental health hospitalization or nonhospitalization] Orders; custody) *Review for Exemption:* No

1288.1004: Hospital Designation Records

- > 13 150 CVR 002 (Designation as qualified mental health facilities) *Review for Exemption:* No
- > 8 V.S.A. § 4089b (Health insurance coverage, mental health and substance abuse) *Review for Exemption:* No

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1288.1088: Hospital Oversight Records

- > 18 V.S.A. § 7401 (Powers and duties [of the Commissioner of Mental Health]) *Review for Exemption:* No

1289.1088: ECT Oversight Records

- > 18 V.S.A. § 7103 (Disclosure of [patient] information) *Review for Exemption:* Yes
- > 18 V.S.A. § 7408 (Electroconvulsive therapy [Commissioner oversight of]) *Review for Exemption:* No

1373.1098: Mental Health PASARR Files

- > 42 CFR 483.106 (Basic rule [for PASARR program]) *Review for Exemption:* No
- > 42 CFR 483.112 (Preadmission screening of applicants for admission to NFs) *Review for Exemption:* No
- > 42 CFR 483.128 (PASARR evaluation criteria) *Review for Exemption:* No
- > 42 CFR 483.130 (PASARR determination criteria) *Review for Exemption:* No