

RECORD RETENTION SCHEDULE

Lorain County Board of Mental Health

Rev 12 October 2007 10:46 AM

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(FY BASIS UNLESS NOTED CY)

No.	DEPT	RECORD TITLE	ACTIVE FILES	ARCHIVE FILES
1.	Operations	Accounts Payable – Paid	Current & 1 Yr – CY	Gateway: 6 Yrs after audit
2.	Operations	Accounts Payable – Pending	1 wk (until paid) – CY	Given to Oper Supv when paid
3.	Operations	Accounts Receivable & Reports	Current & 1 Yr – CY	Gateway: 6 Yrs after audit
4.	Operations	Agency Requests	Current & 1 Yr – CY	In-House: 4 Yrs
5.	Executive Director	Agenda – Board Mtgs	3 yrs	None
6.	Executive Director	Agenda – Committee Mtgs	3 yrs	None
7.	Operations	Annual Board Budget (Electronic)	Current & 1 Yr – CY	Gateway: 6 yrs
8.	Executive Director	Application, Employment (Not Hired)	Current & 1 Yr	HR File Cabinet: 1 Yr after Receipt
9.	Executive Director	Attendance Records	All	In-House: 2 Yrs after audit
10.	Operations	Bids, Goods & Services, Copies (Unsuccessful)	Current & 1 Yr	In-House: 2 Yrs after Letting of Contract
11.	Operations	Bids, Goods & Services, Originals (Successful)	Current & 1 Yr	In-House: 15 Yrs after Contract Expiration
12.	Operations	Blue Prints, Maps & Plats	Current	In-House: Permanent
13.	Executive Director	Board Member Applicants	Current & 1 Yr	None
14.	Executive Director	Board Members Present & Previous	Current & 1 Yr	In-House: Permanent
15.	Operations	Budget, Preparation Docs (Electronic)	Current & 1 Yr	Gateway: 4 Yrs Post Audited
16.	All	Calendars, Non-Electronic	Current & 1 Yr	None

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17.	Operations	Cell Phone Records	Current & 1 Yr – CY	Gateway: 6 Yrs if audited
18.	All	Claims & Litigation	Current & 1 Yr	In-House: 5 Yrs after Case is closed & Appeals exhausted
19.	Clinical Team	Client Records, Administrative Copies	Current	In-House: 10 Yrs after last contact
20.	ISP	Client Records, ISP Administrative Copies	Current	In-House: 7 Yrs After Last Contact – or Age 25
21.	Executive Assistant	Continuing Education Attendance – External	Current & 1 Yr	Gateway: 13 Yrs
22.	Executive Assistant	Continuing Education Attendance – Staff	Current & 1 Yr	Gateway: 13 Yrs
23.	Executive Director	Contracts – Affiliated Assns	Current & 1 Yr	Gateway: 14 yrs
24.	Executive Director	Contracts – Agencies	Current & 1 Yr	Gateway: 14 yrs
25.	ISP	Contracts – Agencies, ISP Child	Current & 1 Yr	In-House: 7 Yrs After Last Contact – or Age 25
26.	ISP	Contracts – Agencies, ISP Placement Providers	Current & 1 Yr	In-House: 14 yrs
27.	Executive Director	Contracts – Consultants	Current & 1 Yr	Gateway: 14 yrs
28.	ISP	Contracts – Consultants ISP	Current & 1 Yr	In-House: 14 yrs
29.	ISP	Contracts – ISP, Other	Current & 1 Yr	In-House: 14 Yrs
30.	Executive Director	Contracts – Medicaid	Current & 1 Yr	Gateway: 14 yrs
31.	Executive Director	Contracts – Other	Current & 1 Yr	Gateway: 14 yrs

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No.	DEPT	RECORD TITLE	ACTIVE FILES	ARCHIVE FILES
32.	Operations	Contracts – Vendor – Leases, Real Estate	Current Yr – CY	Gateway: 2 Yrs after Expiration
33.	Operations	Correspondence – Agency	Current & 1 Yr – CY	Gateway: 6 Yrs if audited
34.	<i>Operations</i>	<i>Correspondence – Auditor’s Office</i>	<i>Current & 1 Yr – CY</i>	<i>Gateway: 6 Yrs after audited</i>
35.	Executive Director	Correspondence, Executive – Outgoing	Current & 1 Yr	In-House: 4 Yrs
36.	All	Correspondence, Incoming – Agency	Current & 1 Yr	In-House: 4 Yrs
37.	All	Correspondence, Incoming – General	Current & 1 Yr	In-House: 4 Yrs
38.	All	Correspondence, Incoming – ODMH	Current & 1 Yr	In-House: 4 Yrs
39.	All	Correspondence, Outgoing – Agency	Current & 1 Yr	In-House: 4 Yrs
40.	All	Correspondence, Outgoing – General	Current & 1 Yr	In-House: 4 Yrs
41.	All	Correspondence, Outgoing – ODMH	Current & 1 Yr	In-House: 4 Yrs
42.	All	Directives/Orders/Policies/Rules/Regs/Procedures – General	Current & Previous Version	In-House: 1 Copy Retained Until Audited
43.	All	Drafts of Letters, Memos, Worksheets, Reports, and Prep of Recorded Info	Current Yr	Destroy when no longer of administrative value
44.	Operations	Equipment, Service Record	Current	N/A
45.	Operations	Forms, Financial – BLANK FORMS (if not available electronically)	Current	Purge when superseded or obsolete
46.	Executive Director	Forms, Personnel	Current	Purge when superseded or obsolete

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No.	DEPT	RECORD TITLE	ACTIVE FILES	ARCHIVE FILES
47.	All	Grants – Active	Current & 1 Yr	In-House: 6 Yrs after expiration
48.	All	Grants – Rejected	Current & 1yr	None
49.	ISP	Grants, ISP – Active	Current & 1 Yr	In-House: 6 Yrs after expiration
50.	ISP	Grants, ISP – Rejected	Current & 1 Yr	None
51.	Clinical Team	Grievances	Current & 1 Yr	In-House: 5 Yrs after Last Contact
52.	Clinical Team	Hearing Notice, Probate Court	Current & 1 Yr	In-House: 5 Yrs after Case is closed & Appeals exhausted
53.	All	Hearings, Proceedings	Current Yr	In-House: Permanent
54.	All	Hearings, Transcripts	Current Yr	In-House: 5 Yrs
55.	Clinical Team	Housing Inspections	Current Yr	In-House: 10 Yrs after Last Contact
56.	Operations	Insurance Policies – All Claims	Current & 1 Yr – CY	Gateway: 9 Yrs after expiration
57.	<i>Operations</i>	<i>Inventories – Property (Electronic)</i>	<i>Current & 1 Yr</i>	<i>None</i>
58.	Executive Director	Job Descriptions, Personnel	Current Yr	In-House: Until superseded or classification abolished
59.	Operations	Leases, Equipment	Current Yr – CY	Gateway: 5 Yrs after Expiration Provided Audited
60.	Executive Director	Leave Requests (Sick & Vacation)	Current & 1 Yr	In-House: 2 Yrs after Audited
61.	<i>Operations</i>	<i>Levy Account Info</i>	<i>Current & 1 Yr – CY</i>	<i>Gateway: 6 Yrs if audited</i>
62.	Executive	Licenses, Permits,	Current & 1 Yr	None

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No.	DEPT	RECORD TITLE	ACTIVE FILES	ARCHIVE FILES
	Director	Certifications – Agency		
63.	ISP	Licenses, Permits, Certifications – Agency, ISP Placement	Current & 1 Yr	None
64.	Operations	Licenses, Permits, Certifications – Facilities	Current & 1 Yr	In-House: 1 Yr After Expiration
65.	Executive Director	Licenses, Permits, Certifications – Others	Current & 1 Yr	None
66.	Operations	MACSIS Enrollments	1 mo – CY	Purge when no longer administratively necessary
67.	<i>Operations</i>	<i>MACSIS Transfers</i>	<i>1 mo – CY</i>	<i>Purge when no longer administratively necessary</i>
68.	All	Mail, Unsolicited	Current Yr	Until No Longer Administratively Necessary
69.	Public Relations	Mailing Lists	Current Yr	None
70.	Executive Director	Meeting Minutes – Board of Directors, Official Copy	Current & 1 Yr	In-House: Permanent
71.	All	Meeting Minutes – Management & Operation, Official Copy	Current & 1 Yr	In-House: 3 Yrs
72.	All	Meeting Minutes, Drafts & Notes, Electronic Version	Current Yr	Until Official Minutes are Approved
73.	ISP	Minutes, ISP Exec Meetings	Current & 1 Yr	Permanent
74.	All	MSPA, Annual	Current & 1 Yr	In-House: 2 Yrs Gateway: Permanent

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No.	DEPT	RECORD TITLE	ACTIVE FILES	ARCHIVE FILES
75.	Executive Director	Oaths of Office of Board Members	Current & 1 Yr	In-House: Permanent
76.	Executive Director	Organizational Charts	Current Yr	Until superseded
77.	Executive Director	Personnel Files	Current & 2 Yr	HR File Cabinet: 2 Yrs after employee terminates, purge extraneous records. Permanent: Retain Retirement Waivers, Service Record and Leave Balances.
78.	Operations	Petty Cash Records	Current & 1 Yr – CY	Gateway: 6 Yrs After Audited
79.	Public Relations	Photo File	Current Yr	PR Office: Until info is no longer current. Evaluate for historical value.
80.	Executive Director	Policy, Personnel	Current & 1 Previous Version	In-House: 1 Copy Retained Until Audited
81.	Public Relations	Press & News Releases	Current & 2 Yr	PR Files: 3 Yrs
82.	Public Relations	Printing Orders	Current & 1 Yr	PR Files: 3 Yrs
83.	All	Professional Assns	Current & 1 Yr	Destroy when no longer of administrative value
84.	Operations	Project Plans & Drawings	Current Yr	In-House: Permanent
85.	Operations	Property Tax Info	Current – CY	Gateway: 6 Yrs after audited

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No.	DEPT	RECORD TITLE	ACTIVE FILES	ARCHIVE FILES
86.	Executive Director	Public Record Requests	Current & 2 Yr	In-House: Permanent
87.	Public Relations	Public Relations Promotional Materials	Current	N/A
88.	Public Relations	Publication Stock, Written	Current	In-House: Permanent – 1 Copy
89.	Public Relations	Publications, Created by Local Government/Board	Current & 1 Yr	In-House: Permanent – 1 Copy
90.	Operations	<i>Purchase Orders, Blanket</i>	<i>Current & 1 Yr – CY</i>	<i>Gateway: 6 Yrs after audited</i>
91.	Operations	<i>Purchase Orders, Closed</i>	<i>Current & 1 Yr – CY</i>	<i>Gateway: 6 Yrs after audited</i>
92.	Operations	<i>Receipt Book</i>	<i>Current & 1 Yr – CY</i>	<i>Gateway: 6 Yr after audited</i>
93.	Operations	Receiving Documents (Packing Slips)	Current & 1 Yr – CY	Gateway: 4 Yrs after audited
94.	Executive Director	Records Documents, Gateway (RC-1, RC-2, RC-3)	Current & 1 Yr	In-House: Permanent
95.	All	Reference/Library Materials	Current	Discard when superseded, obsolete, or replaced
96.	All	Report – Accident – Non-Employee Injury	Current & 6 Yrs	HR File Cabinet: Purge if no action pending
97.	All	Report – Accident – Damage to County Vehicle	Current & 6 Yrs	HR File Cabinet: Purge if no action pending
98.	All	Report – Accident – Employee Injury	Current	HR File Cabinet: Permanent Personnel File

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99.	All	Report – Agency – Compliance Audits	Current & 1 Yr	Gateway: 4 Yrs
100.	Clinical Team	Report – Agency – Compliance Audits, Medical Necessity	Current & 1 Yr	In-House: 4 Yrs
101.	All	Report – Agency – Provider Contract Essential Periodic Reports	Current & 1 Yr	Gateway: 6 yrs
102.	All	Report – Annual – LCBMH	Current & 1 Yr 2 copies	In-House: Permanent –1 copy
103.	All	Report – Annual – Others	Current & 1 Yr	None
104.	All	Report – Audit (Federal / State / Internal)	Current & 1 Yr – CY	Gateway: 6 yrs
105.	All	Report – Consultant	Current & 1 Yr	In-House: 4 Yrs
106.	<i>Operations</i>	<i>Report – Expense – Travel, Pending</i>	<i>1 wk (until paid) – CY</i>	<i>Given to Oper Supv when paid</i>
107.	All	Report – Management & Operations	Current & 1 Yr	In-House: 4 Yrs
108.	All	Report – Services And Fund Appropriations, Annual	Current & 1 Yr – CY	Gateway: 6 yrs
109.	Clinical Team	Reportable Incidents – Admin Copies	Current & 1 Yr	In-House: 5 Yrs after last contact
110.	All	Research Files (not Grants); e.g. Fallon Research	Current	In-House: 5 Yrs
111.	All	Rosters & Directories (not Board Members)	Current	Discard when superseded, obsolete, or replaced
112.	Executive Director	Sign-in Log – Staff	Current & 1 Yr	None

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113.	Executive Director	Sign-in Log – Visitors	Current & 1 Yr	None
114.	All	Speeches & Presentations	Current & 1 Yr	In-House: 2 Yrs
115.	Executive Director	Tape Recordings, Video Recordings & Short-hand Notes (Board Mtgs)	Current & 1 Yr	In-House: 1 Yr for Statutory Boards & Commissions
116.	All	Telephone, Messages	Current	Until no longer administratively necessary
117.	Operations	Telephone, System Documentation	Current	Life of System
118.	Executive Director	Time Sheets, Payroll	Current & 1 Yr	Gateway: 4 Yrs if audited
119.	Operations	Title XX Records	Current & 1 Yr	Gateway: 6 Yrs
120.	All	Training Materials, Provided by LCBMH	Current & 1 Yr	In-House: 13 Yrs
121.	All	Training Materials, Received by Staff	Current & 1 yr	Until superseded
122.	Operations	Vehicle Maintenance Records (Electronic)	Current – CY	Until Vehicle Sold or Lease Expires
123.	Operations	Vehicle Mileage Records	Current & 1 Yr – CY	6 Yrs if audited
124.	ISP	Vouchers – Client Admin	Current & 1 Yr	In-House: 7 Yrs After Last Contact – or Age 18
125.	Operations	<i>Vouchers, Pending</i>	<i>1 wk (until paid) – CY</i>	<i>Given to Oper Supv when paid</i>
126.	Operations	Warranties, Equipment (Electronic)	Current & 1 Yr	In-House: Until Equipment Expires/Replaced
127.	Operations	Work Orders (Electronic)	Current & 1 Yr – CY	None

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128.	Public Relations	Yearbooks/Scrapbooks	Current	In-House: Permanent if historical value

Cross Reference

408	See MSPA (if related)
Agency Correspondence, Incoming	See Correspondence, Incoming – Agency
Agency Correspondence, Outgoing	See Correspondence, Outgoing – Agency
Agreements	See Contracts
Bed Days	See MSPA
Bonds, Official's	See Insurance Policies – All Claims
Community Plan Hearings	See Meeting Minutes, Committees
Invoices	See Vouchers
Memorandum of Understanding	See Contracts
MUIs	See Reportable Incidents
ODMH Correspondence, Incoming	See Correspondence, Incoming – ODMH
ODMH Correspondence, Outgoing	See Correspondence, Incoming – ODMH
News Releases	See Press & News Releases
Presentations	See Speeches & Presentations
Probate Court Hearing Notice	See Hearing Notices, Probate Court

<i>FY SCHEDULE</i>	
<i>FY 07</i>	<i>7/1/06 – 6/30/07</i>
<i>FY 06</i>	<i>7/1/05 – 6/30/06</i>
<i>FY 05</i>	<i>7/1/04 – 6/30/05</i>
<i>FY 04</i>	<i>7/1/03 – 6/30/04</i>
<i>FY 03</i>	<i>7/1/02 – 6/30/03</i>
<i>FY 02</i>	<i>7/1/01 – 6/30/02</i>
<i>FY 01</i>	<i>7/1/00 – 6/30/01</i>