

## **WHITING FORENSIC HOSPITAL OPERATIONAL PROCEDURE MANUAL**

<b>SECTION II:</b>	<b>ORGANIZATION FOCUSED FUNCTIONS</b>
<b>CHAPTER 9:</b>	Management of Information
<b>PROCEDURE 9.8:</b>	<b>Records Retention Schedules for State Agencies</b>
<b>Governing Body Approval:</b>	April 27, 2018
<b>REVISED:</b>	

**PURPOSE:** To provide WFH staff with instruction regarding retention/disposition schedules for specific documents/records.

**SCOPE:** All Department Heads, Managerial and Administrative Staff.

**POLICY:**

Whiting Forensic Hospital (WFH) follows the retention schedule for state agencies as directed by the State of Connecticut, Office of the Public Records Administrator and State Archives.  
<http://ctstatelibrary.org/publicrecords/state>

**PROCEDURE:**

1. Records Retention Schedules for State Agencies:

The retention schedules for the below listed types of records are maintained on the Connecticut State Library Web Site as follows:

A. Administrative Records:

<http://ctstatelibrary.org/wp-content/uploads/2015/10/S1-Administrative.pdf>

B. Personnel Records (Human Resources):

<http://ctstatelibrary.org/wp-content/uploads/2015/05/S2-Personnel.pdf>

C. Fiscal Records:

<http://ctstatelibrary.org/wp-content/uploads/2015/05/S4-Health.pdf>

D. Health Information Management Records and Case Files:

<http://ctstatelibrary.org/wp-content/uploads/2015/05/S4-Health.pdf>

E. Information Systems Records:

<http://ctstatelibrary.org/wp-content/uploads/2015/05/S6-Information-Systems.pdf>

F. Records Retention Policy for Hospital Closures, Mergers, and Consolidations:

<http://ctstatelibrary.org/wp-content/uploads/2015/05/PRP06-agency-closures-mergers-consolidations.pdf>

The retention periods specified in the above listed record series are the minimum periods requirements.

2. Record Disposal Authorization:

A. All records series that specify a required retention period may be destroyed only after WFH has received approval in the form of a “Records Disposal Authorization”

<http://ctstatelibrary.org/wp-content/uploads/2015/04/Form-RC-108-.docx>

B. The appropriate Administrator/Manager/Department Head initiates the Records Disposal Authorization form.

C. Required information for completion of the Records Disposal Authorization form for a request to destroy preadmission screening forms:

1. The item number as specified on the corresponding retention schedule.
2. The record series title.
3. Schedule number and effective date.
4. Inclusive dates of the records (from/through).
5. Estimated volume of records being disposed of in cubic or linear feet: A filled letter-size drawer contains 1.54 cubic feet, and a legal-size drawer contains 2.0 cubic feet  
<http://ctstatelibrary.org/wp-content/uploads/2015/05/RecordsMeasurementGuide.pdf>
6. Proposed date of records disposal: Allow 30 days for processing of request.

D. The approved Record Management Liaison Officer (RMLO) completes the Records Disposal Authorization form. The Director of Health Information Management and the Chief of Financial Services are the two appointed RMLOs for WFH.

1. The RMLO signs and dates the authorization form and sends it to the Public Record Administration.
2. By statute, the Public Records Administrator and State Archivist must approve the disposition of all public records.

E. Upon receipt of approval from the Public Records Administration, the records may be destroyed.

F. The department requesting the record disposal and the RMLO retains the Records Disposal Authorization form.

3. State Agencies’ Retention Schedule S4 Health Records and Case Files: <http://ctstatelibrary.org/wp-content/uploads/2015/05/S4-Health.pdf>

- A. All record series listed in the Retention/Disposition Schedule IV, Health Information Management Records and Case Files, are retained by the appropriate authorities (i.e., Pharmacy, Nursing, HIM) for the specified minimum retention required by the State of Connecticut.
  - 1. Disposition of these records is coordinated through the WFH Record Management Liaison Officers.
- 4. Medical Records are retained for 10 years following discharge of the patient to assure future access by patients, new health care providers and other legitimate users.
  - A. Discharged patient records are retained for 3 years at WFH, in HIM
  - B. Annually HIM boxes, indexes and sends discharged medical records for any and all previous (discharge) years to the Rocky Hill Storage area until they are eligible for destruction.
  - C. The destruction of medical records is performed under the direction of the Office of Public Records Administrator and State Archives.
- 5. Records Management Liaison Officer Designation:

The Chief Executive Officer (CEO) completes the Records Management Liaison Officer Designation form to inform the Office of the Public Records Administrator of an addition, deletion, or change of designation of the WFH RMLO or Assistant RMLO.

6. Electronic Mail (E-mail):

A. Email Records:

<http://ctstatelibrary.org/wp-content/uploads/2015/05/GL2009-2-EmailManagement.pdf>

<http://ctstatelibrary.org/wp-content/uploads/2015/04/Email-Management-State.pdf>

A message sent or received by E-mail in the conduct of public business is a public record. E-mail messages sent and received by public officials fall within three broad categories:

- 1. Transitory messages, including copies posted to several persons and casual and routine communications similar to telephone conversations.
  - a. No retention requirement.
  - b. Employees receiving such communication delete them immediately. Deletion does not require approval of the Office of the Public Records Administrator and State Archives.
- 2. Public records with a less than Permanent retention period.
  - a. The record must be in hard copy or electronic format, which can be retrieved and interpreted for the legal retention period. When there is doubt about the retrievability of an electronic record over the life span of that record, the record should be printed out.
  - b. Deletion or Destruction of the records required approval from the Office of the Public Records Administrator.
  - c. Permanent or Permanent/Archival Retention.
    - i. Retention may be in the form of a hard-copy printout or microfilm.

- B. WFH Administration/Managers/Department Heads and the WFH State Agency Records Management Liaison Officers are responsible for instructing employees in determining which E-mail messages fall in each of the three categories, in using retention schedules and in securing approval for destruction.

7. Voice Mail:

Voice mail (including answering machines) can be considered a type of electronic mail communication. In this case, the message is recorded in an audible rather than a visible format.

- A. Voice mail is transitory in nature, and may be deleted at will.
- B. Some voice mail or answering machine messages may require a longer retention period. For example, a message may be potentially used as evidence in a trial, such as a bomb threat or in some other illegal activity.