

Records

Disposition

Feb 19, 2020

Records Disposition Authorizations (RDAs) for Department of Health programs and when applicable for several units/bureaus. The number before every record series is the RDA number.

RDA #

1,725 All DOH

Record Series: Budget Request in Memo Form (Federal & NYS) – Work Papers & Correspondence

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

1,726 All DOH

Record Series: Expense Accounts Including Honorariums, Summaries, Work Papers, and Correspondence

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

1,727 All DOH

Record Series: Property Inventories-Annual-Carbons, Summaries, Work Papers, Correspondence

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

1,728 All DOH

Record Series: Purchase Requests-Carbons, Summaries, Work Papers & Correspondence

Retention: Destroy on a scheduled basis with a minimum retention period of 1 year.

1,730 All DOH Excluding Counsel

Record Series: Laws & Legal Opinions (Excluding Counsel)

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

1,732 All DOH Excluding Fiscal Management Group

Record Series: Contracts & Leases for Special Studies, Renting Space or Equipment, Etc.

Retention: Destroy obsolete materials 1 year following termination of contract period.

1,793 All DOH Excluding Counsel

Record Series: Legislation-Proposed & Pending & Related Documents

Retention: Destroy on a scheduled basis with a minimum retention period of 1 year.

3,392 All DOH

Record Series: Leases Statewide

Retention: Review annually and destroy all obsolete material.

7,616 All DOH

Record Series: General Correspondence Not Having Administration, Fiscal, Legal or Research Value to Warrant its Continued Retention. Examples of the type of correspondence involved include: letters of transmittal, individual requests for forms and literature, hotel reservations, meeting announcements and inquiries.

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

7,758 All DOH

Record Series: Narrative & Statistical Monthly Report of Employees, Units, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

90,001 All DOH (Excl. Personnel/Payroll)

Record Series: Program Unit Copies of Personal History Records

Retention: Destroy duplicate copies held by program units when no longer needed for administrative reference.

90,018 All DOH (Excl. Personnel/Payroll)

Record Series: Program Unit Personnel/Payroll Change Requests

Retention: Destroy copies when no longer needed for administrative reference.

90,004 All DOH (Excl. Personnel/Payroll)

Record Series: Program Unit Copies of Personnel/Payroll Office Summary Reports

Retention: Destroy other copies when no longer needed for administrative reference.

90,027 All DOH (Excl. Personnel/Payroll)

Record Series: Program Unit Paycheck Log

Retention: Destroy 6 months following last entry date.

90,007 All DOH (Excl. Personnel/Payroll)

Record Series: Program Unit Copies of Classification/Position Files

Retention: Destroy copies when no longer needed for administrative reference.

90,010 All DOH (Excl. Personnel/Payroll)

Record Series: Program Unit Examination Development Files

Retention: Destroy files when no longer needed for administrative reference.

90,006 All DOH (Excl. Personnel/Payroll)

Record Series: Program Unit Employment Inquiry Files

Retention: Destroy files when no longer needed for reference.

90,392 All DOH

Record Series: Purchase and Contract Records -- Records related to the purchase of goods and services (approved and denied transactions) including purchase requisitions and justifications, vendor solicitations, requests for proposal, price quotations, contracts, leases, bonds, bid proposals, specifications, procurement and procurement contact records, procurement record checklists, purchase orders, and justification of vendor selection and price reasonableness

Retention: Destroy 6 years plus balance of the calendar year after contract expiration or denial, completion of procurement, or final payment, whichever occurs later.

(Supersedes 90,126)

90,393 All DOH

Records Series: Accounts Payable Records -- Records used by an agency accounts payable/claims office to track and monitor the claims and payment process on a daily basis, including manual and automated logs, registers, price listings, receipts and other payment history records, invoice requests, merchandise receipts, vendor invoices, vouchers, vendor records submitted to the agency in support of invoices and/or vouchers, service reports, purchase order logs, requisition logs, and reports showing encumbrance of funds.

a. Approved and closed transactions:

Retention: Destroy 6 years plus the balance of the calendar year after (i) the payment or (ii)

the delivery of the goods and services related to the purchase, whichever occurs later.

b. Denied transactions:

Retention: Destroy after 6 fiscal years.

c. Rejected transactions:

Retention: Destroy after 6 fiscal years.

(Supersedes 90,127)

13,307 Commissioner's Office

Record Series: Commissioner's Correspondence

Retention: Transfer to State Archives after 5 years in active office space.

14,440 Office of Governmental Affairs

Record Series: Legislative Bill Folders

Retention: Destroy on a scheduled basis with a minimum retention period of 15 years.

10,740 Office of Exec & Advisory Council Operations

Record Series: Public Health Council Minutes

Retention: Retain last 5 years of minutes – transfer the rest to the State Archives.

19,836 Division of Planning, Policy, & Res. Development (Bureau of Workforce Development & Capital Investment)

Record Series: Grant Application in Response to Quality Initiate Program

Retention: Destroy 7 years after grant period is over.

1,516 Human Resource Management Group (Including Institutions)

Record Series: Form Notices of Classification Action on New Position, Reclassification/Reallocation

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

17,625 Human Resources Management Group-Employee Relations

Record Series: Notice of Discipline

Retention: Retain 6 years after appeal period passed or arbitration decision is issued and no legal action taken.

17,626 Human Resources Management Group-Employee Relations

Record Series: Employee Grievance Files

Retention: Retain 6 years after expiration of contractual appeal and no legal action taken.

90,001 Human Resources Management Group (Including Institutions)

Record Series: Personal History Files

Retention: Destroy record copy 6 years after employee separation from agency, unless earlier disposition is permitted under terms of labor-management contractual agreement. Destroy duplicate copies held by program units when no longer needed for administrative reference.

90,002 Human Resources Management Group (Including Institutions)

Record Series: Employee Summary Service Records

Retention: Destroy 10 years after separation from agency.

90,003 Human Resources Management Group (Including Institutions)

Record Series: Employee Time Records

Retention: Destroy record copy 3 fiscal years after date of last entry. Destroy other copies when no longer needed for administrative reference.

90,004 Human Resources Management Group (Including Institutions)

Record Series: Summary Reports Regarding Personnel/Payroll Functions

Retention: Destroy record copy after report is updated or superseded. Destroy other copies when no longer needed for administrative reference.

90,005 Human Resources Management Group (Including Institutions)

Record Series: Subject and Correspondence Files

Retention: Destroy when obsolete or superseded.

90,006 Human Resources Management Group (Including Institutions)

Record Series: Employment Inquiry Files

Retention: Destroy record copy 3 years from the date of the personnel action on a vacancy to which any records relate or 3 years after receipt for records unrelated to a specific personnel action or vacancy. Destroy all other copies when no longer needed for reference.

90,007 Human Resources Management Group (Including Institutions)

Record Series: Classification Files

Retention: Destroy record copy of classification or allocation records 10 years after the position/title is reclassified, reallocated, or eliminated, whichever comes first. Destroy other copies when no longer needed for administrative reference.

90,008 Human Resources Management Group (Including Institutions)

Record Series: Centralized Eligible List Certification Files

Retention: Destroy 3 years after the personnel action to which the records relate.

90,009 Human Resources Management Group (Including Institutions)

Record Series: Decentralized Eligible List Certification Files

Retention: Destroy 3 years after expiration of decentralized eligible list (Lists may be active up to 4 years).

90,010 Human Resources Management Group (Including Institutions)

Record Series: Examination Development Files

Retention: Destroy record copy 1 year after a subsequent examination is developed for the title or 1 year after elimination of the title from the agency, whichever comes first. Destroy other copies when no longer needed for administrative reference.

90,011 Human Resources Management Group (Including Institutions)

Record Series: Examination Administration Files

Retention: Destroy 3 years after expiration of eligible list.

90,012 Human Resources Management Group (Including Institutions)

Record Series: Health Insurance Files

Retention: Destroy 6 years after separation from agency or when employee is no longer eligible for insurance, whichever is later.

90,014 Human Resources Management Group (Including Institutions)

Record Series: Retirement Benefits Files

Retention: Destroy 1 year following completion of retirement processing or separation from agency before retirement eligibility.

90,015 Human Resources Management Group (Including Institutions)

Record Series: Workers' Compensation File

Retention: 1. Allowed claims: destroy 18 years after injury or illness 8 years after final payment, whichever is later.

2. Disallowed claims: destroy files (excluding basic record of injury) 7 years after injury. Destroy basic record 18 years after illness.

3. Injury record without claim: destroy after 18 years.

90,020 Human Resources Management Group (Including Institutions)

Record Series: Course Information Records

Retention: Destroy when superseded or obsolete.

90,021 Human Resources Management Group (Including Institutions)

Record Series: Course Registration Processing Records

Retention: Destroy 3 years after application for course.

90,022 Human Resources Management Group (Including Institutions)

Record Series: Employee Training History

Retention: Destroy 6 years after separation from agency.

90,023 Human Resources Management Group (Including Institutions)

Record Series: Tuition Reimbursement Program Records

Retention: Destroy 1 year after reimbursement is paid to employee or application is rejected.

90,013 Occupational Health and Safety

Record Series: Employee Hazardous Substance Exposure Records – record of exposure to toxic or hazardous substances including information on substance, exposure records, summary information from environmental monitoring, and MSDS forms. This will be a rare occurrence for NSYDOH employees.

Retention: Destroy 30 years after exposure.

90,292 Occupational Health and Safety

Record Series: Toxic Substances in the Workplace Notifications and Information Files – MSDS sheets, RTK inventory records, related files.

Retention: Destroy agency record copy 40 years after superseded or obsolete.

90,293 Occupational Health and Safety

Record Series: Listings of Employees Who Handle Toxic Substances – employees' listings

Retention: Destroy agency record copy 40 years after superseded or obsolete.

90,294 Occupational Health and Safety

Record Series: Toxic Substances Training and Education Files – course materials, attendance records, related communications

Retention: Destroy individual employee records 3 years after employee separation from agency. Destroy summary records, including course materials 3 years after separation of all concerned employees from agency.

90,295 Occupational Health and Safety

Record Series: Employee Occupational Injury and Illness Logs, Summaries and Supplemental Records – occupational injury and illness logs, summary reports, correspondence and other related information.

Retention: Destroy agency copy 5 years after the end of the calendar year in which it was created. Destroy other copies when no longer needed for administrative reference.

90,296 Occupational Health and Safety

Record Series: Annual Occupational Injuries and Illness Surveys – DOSH/SH reports as submitted to NYSDOL under 12 NYCRR 801.9 and 810.10.

Retention: Destroy 5 years after end of the calendar year in which it was created.

90,298 Occupational Health and Safety

Record Series: Facility Health and Safety Inspection Records – notices of inspections, violations, remedial actions and related correspondence documenting agency cooperation with the NYS Department of Labor facility inspections mandated by 12 NYCRR 802 and agency efforts to comply.

Retention: Destroy 3 years after completion of the inspection or after any violations are remedied, whichever is longer. Prior to disposal, ensure no legal action has been initiated which might require access to the record.

90,305 Occupational Health and Safety

Record Series: Incident and Investigation Records – documentation of complaints or unusual incidents and their related investigations and follow-up, accident report investigations, emergency response-related records, and related correspondence.

Retention: Destroy 5 years after the investigation is closed or dropped. Exception – if accident or personal injury involves a minor, record will be kept for at least 3 years after the 18th birthday. Prior to disposal, ensure no legal action has been initiated which might require access to the record.

90,359 Occupational Health and Safety

Record Series: Labor-Management Process Records – records of labor-management health and safety meetings including minutes, agenda, background materials, etc.

Retention: Retain record copy of agency level labor-management meetings and activities until labor-management agreement expires or is superseded by new labor-management agreement, and when no longer needed for reference transfer to State Archives. Local and other health and safety meeting minutes can be destroyed when no longer needed for administrative reference.

90,366 Occupational Health and Safety

Record Series: General Administrative Records – office organization information, calendars, daybooks/file copies, ergonomic activities, special projects, reference materials, general information files, meeting minutes, etc. – exclusive of those covered elsewhere in this schedule.

Retention: Destroy when superseded or obsolete.

18,926 Bureau of Health Resources Development

Record Series: State Health Service Corps Recipients Obligation Complete File

Retention: Destroy 7 years after completion of service.

11,385 Fiscal Management Group

Record Series: Accounting Records Including Ledgers, Worksheets, Journals, Lists, etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

18,334 Fiscal Management Group

Record Series: Love Canal Fiscal Records

Retention: After; processed and paid/resolved claim retain in program office for 6 years 0 months. Final disposition: destroy.

3,395 Bureau of Accounts Management

Record Series: Marriage License Reports

Retention: Destroy on a scheduled basis with a minimum retention period of 4 years.

3,399 Bureau of Accounts Management

Record Series: Transportation Request Books

Retention: Destroy on a scheduled basis with a minimum retention period of 4 years.

3,523 Bureau of Accounts Management

Record Series: Bank Statements – General Account

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

11,386 Bureau of Accounts Management

Record Series: Petty Cash & Travel Advance Accounts

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

11,389 Bureau of Accounts Management

Record Series: Cash Records Including Bank Statements, Cash Record Books, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

13,963 Bureau of Accounts Management

Record Series: Purchase Order/Voucher – Office Copy

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

14,540 Bureau of Accounts Management

Record Series: Purchase Records Including Purchase Orders, Quotations, Justifications, Bids, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

90,016 Bureau of Accounts Management (Including Institutions)

Record Series: Employee's Federal Withholding Allowance Certificate (W-4)

Retention: Destroy 4 years after due date of last tax return to which the certificate applied.

90,017 Bureau of Accounts Management (Including Institutions)

Record Series: Payroll Processing Reports

Retention: Destroy after bi-weekly payroll is generated.

90,018 Bureau of Accounts Management (Including Institutions)

Record Series: Bi-Weekly payroll processing records.

Retention: Destroy record copy 3 fiscal years after accurate payroll update. Destroy other copies when no longer needed for administrative reference.

90,019 Bureau of Accounts Management (Including Institutions)

Record Series: Bi-Weekly Payroll Listings (Salary Registers)

Retention: Destroy 1 fiscal year after end of payroll period.

90,032 Bureau of Accounts Management (Including Institutions)

Record Series: Payroll Deduction and Direct Deposit Records

Retention: Destroy deduction and direct deposit authorization forms 3 years after deduction is no longer in effect or last deposit is made under the authorization.

14,506 Bureau of Management Analysis

Record Series: Employee Suggestion Program

Retention: Destroy 2 years after Department of Civil Service has sent final evaluation to suggester.

14,518 Bureau of Management Analysis

Record Series: NYSDOH Forms Management Inventory

Retention: 5 years after form revised, destroy paper records for prior revisions. 5 years after form/folder is obsolete, destroy file. MIS disk information updated with paper file. When form is obsolete 5 years, erase disk information.

14,511 Operations Management Group

Record Series: Telephone Equipment Lease/Purchase/Maintenance

Retention: Destroy 3 years after expiration of contract.

90,269 Operations Management Group

Record Series: Motor Vehicle Maintenance Records

Retention: Destroy record copy 3 years after associated vehicle has been sold, transferred, or otherwise disposed. Destroy other copies when no longer needed for administrative purposes.

90,270 Operations Management Group

Record Series: Agency Copies of Centralized Motor Vehicle Assignment Records

Retention: Destroy 3 years after end of vehicle assignment.

90,272 Operations Management Group

Record Series: Vehicle Incident Records

Retention: Destroy 5 years after filing of report.

90,271 Operations Management Group

Record Series: Agency Copies of Decentralized Motor Vehicle Assignment Records

Retention: Destroy 3 years after end of vehicle assignment.

90,275 Operations Management Group

Record Series: Agency Copies of Fixed Assets Update Reports

Retention: Destroy after receipt of updated Fixed Asset Report from OGS.

10,133 Operations Management Group

Record Series: Information Bulletin Series

Retention: Review on a scheduled basis and destroy obsolete bulletins including background material after 5 years.

10,453 Operations Management Group

Record Series: "K" Plan OGS Comm 11.1 Detailed Phone Plans Regarding Centrex System

Retention: Destroy on a scheduled basis with a minimum retention period of 1 year after replaced or relinquished "K" plans.

90,273 Operations Management Group

Record Series: Surplus Property Disposition Records

Retention: Destroy 3 years after property has been disposed of.

90,274 Operations Management Group

Record Series: Agency Copies Fixed Assets Inventory Files

Retention: Destroy agency copy 3 fiscal years after disposal of associated property. Destroy other copies when no longer needed for administrative reference.

90,275 Operations Management Group

Record Series: Agency Copies of Fixed Assets Update Reports

Retention: Destroy after receipt of updated fixed asset report from OGS.

90,283 Operations Management Group

Record Series: Space Assignment Files

Retention: Destroy copies when space assignment is terminated. Destroy other copies when no longer needed for administrative references.

90,281 Operations Management Group

Record Series: Lease Files

Retention: Destroy agency record copy 6 years after expiration of lease or final payment, whichever is later. Destroy other copies when no longer needed for administrative reference.

90,282 Operations Management Group

Record Series: Space Allocation Planning Files

Retention: Destroy when space plan is implemented, revised or canceled.

90,350 Operations Management Group

Record Series: Telecommunications Use Logs and Reports

Retention: Destroy after logs are reviewed & verified.

90,351 Operations Management Group

Record Series: Lincs Access Number Request and Assignment Records

Retention: Destroy after request is approved or denied.

90,353 Operations Management Group

Record Series: Telecommunications Planning Records

Retention: Destroy copies 1 year after completion of planned activities or projects. Destroy other copies when no longer needed for administrative reference.

90,354 Operations Management Group

Record Series: Telephone Wiring Schematics and Diagrams

Retention: Destroy when superseded by new network documentation or when network installation is dismantled.

90,356 Operations Management Group

Record Series: Telephone Services Subject Files

Retention: Destroy when obsolete or superseded.

14,058 Information Systems & Health Statistics Group

Record Series: Freedom of Information Law (FOIL) Requests

Retention: Destroy on a scheduled basis with a minimum retention period of 7 years.

13,847 Information Systems & Health Statistics Group

Record Series: Computer Printouts from Processed UBF & DDA Data

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years.

19,660 Bureau of Production Systems Management – Vital Records

Record Series: Birth Records (Paper)

Retention: After: Verification of microfilm and/or image. Final Disposition: Retain permanently.

19,661 Bureau of Production Systems Management – Vital Records

Record Series: Birth Records (microfilm and/or image)

Retention: After: microfilm and/or image verified. Final Disposition: Retain Permanently.

2,836 Bureau of Production Systems Management – Vital Records

Record Series: Supplemental Report of Given Name of Child

Retention: Microfilm: Destroy records after a minimum retention period of 1 year.

3,172 Bureau of Production Systems Management – Vital Records

Record Series: Delayed Registrations Legal Files Regarding Birth
Retention: Microfilm-destroy records.

3,173 Bureau of Production Systems Management – Vital Records
Record Series: Birth Corrections-Legal & Statistical
Retention: Microfilm-destroy records.

3,267 Bureau of Production Systems Management – Vital Records
Record Series: Death – Legal Corrections, Supplemental Information
Retention: Microfilm-destroy records.

19,653 Bureau of Production Systems Management – Vital Records
Record Series: Death Certificates (Paper Records)
Retention: After: Verification of microfilm and/or image. Retain in program office for 3 years.
Final Disposition: Destroy.

19,654 Bureau of Production Systems Management – Vital Records
Record Series: Death Certificates (microfilm and/or image)
Retention: After: microfilm and/or image verified. Final Disposition: Retain permanently.

19,655 Bureau of Production Systems Management – Vital Records
Record Series: Marriage Records (Paper Records)
Retention: After: Verification of microfilm and/or image retain in program office for 3 years and then destroy.

19,656 Bureau of Production Systems Management – Vital Records
Record Series: Marriage Records (Microfilm and/or image)
Retention: After: Microfilm/image verified. Final Disposition: Retain Permanently.

10,293 Bureau of Production Systems Management – Vital Records
Record Series: Stillbirth Certifications (1880-1967), Fetal Death (1968-Current) Excluding New York City
Retention: Microfilm - destroy records after 3 years.

19,658 Bureau of Production Systems Management – Vital Records
Record Series: Marriage Dissolution (Paper Records)
Retention: After: Verification of microfilm and/or image. Retain in program office for 3 years.
Final Disposition: Destroy.

19,659 Bureau of Production Systems Management – Vital Records
Record Series: Marriage Dissolution (microfilm and/or image)
Retention: After: microfilm and/or image verified. Final Disposition: Retain permanently.

12,910 Bureau of Production Systems Management – Vital Records
Record Series: Adoption Court Orders, Paternity Affidavits, Wedding Affidavits, Name Changes
Retention: Microfilm – destroy records after final verification.

19,239 Bureau of Production Systems Management – Vital Records
Record Series: Burial-Transit Permits (Non-Microfilmed Paper)

Retention: After: Disposition of Human Remains. Final Disposition: Permanent retention by local registrars.

19,240 Bureau of Production Systems Management – Vital Records

Record Series: Burial-Transit Permits (Microfilmed Paper)

Retention: After: Completion and verification of microfilm. Retain in program office for 1 year. Final Disposition: Destroy.

19,241 Bureau of Production Systems Management – Vital Records

Record Series: Burial-Transit Permits (microfilm)

Retention: After: Completion and verification of microfilm. Final Disposition: Permanent retention by local registrars.

19,657 Bureau of Production Systems Management – Vital Records

Record Series: General Subject and Correspondence File

Retention: After: End of the year, retain in program office for 5 years. Final Disposition: Destroy.

14,480 Division of Legal Affairs

Record Series: 10 NYCRR Certified Copies Filed with Department of State & Supporting Documents

Retention: Destroy on a scheduled basis with a minimum retention period of 15 years.

14,481 Division of Legal Affairs

Record Series: Health Facility Establishment/Construction Application Correspondence

Retention: Destroy on a scheduled basis with a minimum retention period of 15 years.

20,501 Division of Legal Affairs

Record Series: General Correspondence Files

Retention: After end of calendar year of creation or receipt of correspondence, retain in program office for 5 years. Destroy records with no value and retain valuable records another 25 years at State Records Center.

21,160 Bureau of Medicaid Law

Record Series: General Subject Files, Hearing Files, Litigation Files

Retention: Retain in office space until file is closed or for 3 years in case of general subject files. Retain in Records Center 10 years then destroy.

16,237 Bureau of Litigation-Division of Legal Affairs

Record Series: Litigation Case Files

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years after case is closed or cases become inactive when case is closed and sent to storage.

21,161 Bureau of Administrative Hearings – Division of Legal Affairs

Record Series: Enforcement Hearing Case Files/Denials of Application Hearing Case Folders

Retention: Destroy on a scheduled basis with a minimum retention period of 25 years after hearing.

22,534 Bureau of Adjudication – Division of Legal Affairs

Record Series: Adjudication Case Files

Retention: Transfer to Archives all professional medical conduct, patient abuse, and MEDICAID case files; sample 10% of the other types of cases and transfer the sample to the Archives; and destroy remaining records 10 years after a final decision is rendered in case. (**Supersedes RDA 17,373**).

14,439 Bureau of Professional Conduct – Division of Legal Affairs

Record Series: Professional Medical Conduct Case Files

Retention: Destroy on a scheduled basis with a minimum retention period of 15 years after decision is rendered.

6,080 All DOH Institutions

Record Series: Budget Requests

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

6,081 All DOH Institutions

Record Series: Capital Rehabilitation Project (finished projects) Excluding Plans

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years after completion of the project.

6,082 All DOH Institutions

Record Series: Purchase Orders – Business Office Copy

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

15,244 Institutional Management Group

Record Series: Subject Correspondence Files: re: DOH Institutions

Retention: Destroy 7 calendar years after end of calendar year in which received.

90,000 All DOH Institutions

Record Series: Personnel/Payroll/Training Records (Series)

Retention: See 90,000 series.

16,041 Human Resources & Operations

Record Series: HR&O Director's Files

Retention: Records become inactive when project completed or directive implemented. Retain 10 years after records become inactive.

20,512 Managed Care Certification & Surveillance

Record Series: HMO/PHSP Applications

Retention: Records become inactive after application is approved, denied, or withdrawn. Retain as inactive for 15 years and destroy.

20,513 Managed Care Certification & Surveillance

Record Series: Closed Complaints

Retention: After resolution, or other disposition of complaint, retain 3 years and destroy.

20,514 Managed Care Certification & Surveillance

Record Series: Statement of Deficiencies and Plans of Correction

Retention: After acceptance of plan of correction, retain records as inactive for 10 years, then destroy.

20,515 Managed Care Certification & Surveillance

Record Series: Program Correspondence (including PAG & ECU)

Retention: After end of year, retain as inactive for 3 years, then destroy.

20,516 Managed Care Certification & Surveillance

Record Series: Access & Availability Surveys

Retention: After survey is complete, retain inactive records for 10 years, then destroy.

20,517 Managed Care Certification & Surveillance

Record Series: Management Service, Provider & IPA Contracts

Retention: After expiration of contract, retain inactive records for 6 years, then destroy.

20,518 Managed Care Certification & Surveillance

Record Series: State Insurance Department Contracts & Riders

Retention: Destroy after expiration of contract or rider.

20,519 Managed Care Certification & Surveillance

Record Series: QA Reporting Requirements (QARR) Profile

Retention: After receipt of updated reports, destroy.

20,520 Managed Care Certification & Surveillance

Record Series: Omnibus Compliance Records

Retention: After verification of compliance with law, retain records for 5 years, then destroy.

20,521 Managed Care Certification & Surveillance

Record Series: Utilization Review Agency & Plan Applications

Retention: After approval, renewal, denial or withdrawal of application, retain for 2 years, then destroy.

20,522 Managed Care Certification & Surveillance

Record Series: Member Handbooks

Retention: Destroy after handbooks become superseded or obsolete.

20,523 Managed Care Certification & Surveillance

Record Series: Description of Provider Networks

Retention: Destroy after updated network description report submitted or MCO no longer provides service in NYS.

20,551 Managed Care Certification & Surveillance

Record Series: Managed Care Organization Certificate of Authority

Retention: When no longer needed, transfer to State Archives.

20,912 Managed Care Program Planning

Record Series: Partnership Plan General Technical Proposals

Retention: Destroy 10 years after proposal is approved or disapproved.

20,913 Managed Care Program Planning

Record Series: Medicaid Managed Care Advisory Review Panel Records

Retention: Transfer to State Archives

20,914 Managed Care Program Planning

Record Series: Partnership Plan General Technical Proposals FOIL Copy

Retention: Destroy 10 years after proposal is approved or disapproved.

21,081 Bureau of Quality Management & Outcomes Research

Record Series: Data Submission Files

Retention: Destroy 10 years after Annual Publication is printed and distributed.

20,194 Bureau of Managed Care Financing

Record Series: Partnership Program Business Proposals

Retention: Records become inactive after Medicaid premium rate request submission. Destroy 10 years after records are inactive.

20,393 Bureau of Intergovernmental Affairs

Record Series: Western NY Coalition Counties Plans Files

Retention: Destroy 6 years after the contract expires.

20,625 Bureau of Intergovernmental Affairs

Record Series: Medicaid Managed Care Contracts

Retention: Destroy 6 years after the contract expires.

13,289 Office of Medicaid Management

Record Series: What-If Reports

Retention: Destroy after 8 years.

14,605 Office of Medicaid Management

Record Series: Medicaid Provider Remittance Statements

Retention: Destroy after 12 years.

15,917 Office of Medicaid Management

Record Series: MA Policy and Practice File

Retention: Retain in program office for 7 years. Transfer to State Archives.

15,918 Office of Medicaid Management

Record Series: Disability Determination Case Records

Retention: Destroy after 7 years.

15,919 Office of Medicaid Management

Record Series: Medical Assistance Policy & Operations Files

Retention: Destroy after 7 years.

15,920 Office of Medicaid Management

Record Series: County Files

Retention: Destroy after 7 years.

15,921 Office of Medicaid Management

Record Series: Personal Care Services Files

Retention: Destroy after 7 years.

15,922 Office of Medicaid Management

Record Series: Long Term Care Files

Retention: Destroy after 7 years.

15,923 Office of Medicaid Management

Record Series: Special Projects Information Files

Retention: Destroy after 7 years.

15,924 Office of Medicaid Management

Record Series: Demonstrations and Other Special Features

Retention: Destroy after 7 years.

15,925 Office of Medicaid Management

Record Series: Primary Care Medicated Files

Retention: Destroy after 7 years.

15,926 Office of Medicaid Management

Record Series: Recipient Medical Review Files

Retention: Destroy after 7 years.

15,927 Office of Medicaid Management

Record Series: Provider Review Case Files

Retention: Destroy after 7 years.

15,928 Office of Medicaid Management

Record Series: Program Policy Procedures File

Retention: Destroy after 7 years.

15,929 Office of Medicaid Management

Record Series: Research Information Files

Retention: Destroy after 7 years.

15,930 Office of Medicaid Management

Record Series: SURS System Documentation Files

Retention: Destroy after 7 years.

15,931 Office of Medicaid Management

Record Series: Computer Science Corporation SURS Evolution Files

Retention: Destroy after 7 years.

15,932 Office of Medicaid Management

Record Series: Management & Administrative Reporting Sub-System (MARS) Report (Microfiche Copy)

Retention: Destroy after 7 years.

15,933 Office of Medicaid Management

Record Series: MMIS/Interface and Operations Files

Retention: Destroy after 7 years.

15,934 Office of Medicaid Management

Record Series: Management Reports (MR) Log

Retention: Destroy after 7 years.

15,935 Office of Medicaid Management

Record Series: Data Research Files

Retention: Destroy after 7 years.

15,936 Office of Medicaid Management

Record Series: CDSR/Online SURS Intermediary MA Claims Files

Retention: Destroy after 7 years.

15,937 Office of Medicaid Management

Record Series: Strategic Analysis & Planning Files

Retention: Destroy after 7 years.

15,938 Office of Medicaid Management

Record Series: Bureau Projects and Activities Files

Retention: Destroy after 7 years.

15,939 Office of Medicaid Management

Record Series: Administration Files

Retention: Destroy after 7 years.

15,940 Office of Medicaid Management

Record Series: Background Files

Retention: Destroy after 4 years.

16,266 Office of Medicaid Management

Record Series: MA Records Management & Verification Files

Retention: Destroy after 8 years.

16,267 Office of Medicaid Management

Record Series: MMIS Transmittal to Mcauto/CSC Correspondence

Retention: Destroy after 3 years.

16,268 Office of Medicaid Management

Record Series: MMIS Re-Procurement Diary (1991 & 1984)

Retention: Destroy after 6 years.

16,269 Office of Medicaid Management
Record Series: MMIS Data Dictionary Record
Retention: Destroy.

16,270 Office of Medicaid Management
Record Series: MMIS Provider Manual Files
Retention: Destroy.

16,271 Office of Medicaid Management
Record Series: MMIS Personal Care Conv File
Retention: Destroy after 5 years.

16,272 Office of Medicaid Management
Record Series: Provider, Prior Approval & Update Records
Retention: Destroy after 3 years.

16,273 Office of Medicaid Management
Record Series: Medicaid Remittance Statement
Retention: Destroy after 12 years.

16,274 Office of Medicaid Management
Record Series: Provider Relations Files
Retention: Destroy after 6 years.

16,275 Office of Medicaid Management
Record Series: Priority Edits & Batch Control Sheets
Retention: Destroy after 1 year.

16,276 Office of Medicaid Management
Record Series: Nursing Home Surplus Files
Retention: Destroy after 1 year.

16,277 Office of Medicaid Management
Record Series: Prior Authorization Files
Retention: Destroy after 10 years.

16,278 Office of Medicaid Management
Record Series: Medicare/Medicaid Claim, Manual Review & Inpatient
Retention: Destroy after 7 years.

16,279 Office of Medicaid Management
Record Series: Temporary Medicaid Eligibility Authorization File CS19
Retention: Destroy after 6 years.

16,280 Office of Medicaid Management
Record Series: Input Transaction Batch Headers
Retention: Destroy.

16,281 Office of Medicaid Management
Record Series: Nursing Home Rosters
Retention: Destroy after 6 years.

16,282 Office of Medicaid Management
Record Series: MMIS Data Dictionary, Edit Status Table
Retention: Destroy after 25 years.

16,283 Office of Medicaid Management
Record Series: Provider & License File Output File
Retention: Destroy after 6 years.

16,284 Office of Medicaid Management
Record Series: Transaction Telephone Inquiry System
Retention: Destroy after 1 year.

16,285 Office of Medicaid Management
Record Series: Formulary File Transaction Sheets
Retention: Destroy after 6 years.

16,286 Office of Medicaid Management
Record Series: Adjudicated Claims File
Retention: Destroy after 12 years.

16,287 Office of Medicaid Management
Record Series: Provider Correspondence File
Retention: Destroy after 6 years.

16,288 Office of Medicaid Management
Record Series: Medicaid Provider Invoices
Retention: Destroy after 12 years.

16,289 Office of Medicaid Management
Record Series: MMIS Provider Invoices (Paper)
Retention: Destroy after 6 years.

18,659 Office of Medicaid Management
Record Series: Retro Billing Reports
Retention: Destroy after 7 years.

18,660 Office of Medicaid Management
Record Series: Database Updates Printouts
Retention: Destroy after 3 years.

18,661 Office of Medicaid Management
Record Series: Recoveries Files
Retention: Destroy after 7 years.

18,662 Office of Medicaid Management
Record Series: Manuals, Insurance Files & Out of State Files
Retention: Once new material has been received, inactive material should be destroyed.

18,663 Office of Medicaid Management
Record Series: Cost Avoidance Files

Retention: Destroy after 3 years.

18,664 Office of Medicaid Management
Record Series: Cost Avoidance Manuals
Retention: Destroy after 3 years.

18,665 Office of Medicaid Management
Record Series: Medicaid and Medicare Files
Retention: Destroy after 1 year.

18,666 Office of Medicaid Management
Record Series: County Files
Retention: Destroy after 3 years.

18,667 Office of Medicaid Management
Record Series: Retro Recovery & Match Tapes
Retention: Destroy after 1 year.

18,775 Office of Medicaid Management
Record Series: Ambulatory Care Files
Retention: Destroy after 6 years.

18,983 Office of Medicaid Management
Record Series: Administrative Files
Retention: Destroy after 3 years.

18,984 Office of Medicaid Management
Record Series: Audit Reports and Responses
Retention: Destroy after 6 years.

18,985 Office of Medicaid Management
Record Series: Contract Administration Records
Retention: Destroy after 6 years.

18,986 Office of Medicaid Management
Record Series: General Correspondence & Subject Files
Retention: Destroy after 6 years.

19,477 Office of Medicaid Management
Record Series: Day Books – Mail Logs
Retention: Destroy after 3 years.

19,478 Office of Medicaid Management
Record Series: Provider Audits
Retention: Destroy after 10 years.

19,479 Office of Medicaid Management
Record Series: Operational Assessments
Retention: Destroy after 5 years.

19,480 Office of Medicaid Management
Record Series: Claims Review Monitoring & Oversight Files

Retention: Destroy after 3 years.

19,481 Office of Medicaid Management
Record Series: Office Administrative Files
Retention: Destroy after 5 years.

19,482 Office of Medicaid Management
Record Series: Administrative & Management Files
Retention: Destroy after 3 years.

19,483 Office of Medicaid Management
Record Series: Quality Control Records
Retention: Destroy after 3 years.

19,484 Office of Medicaid Management
Record Series: Medicaid in Education Programs
Retention: Destroy after 6 years.

19,485 Office of Medicaid Management
Record Series: Audit Work Papers & Reports
Retention: Destroy after 6 years.

19,512 Office of Medicaid Management
Record Series: Provider Audits
Retention: Destroy after 10 years.

19,513 Office of Medicaid Management
Record Series: Unit Administrative Files
Retention: Destroy after 3 years.

19,514 Office of Medicaid Management
Record Series: Provider Records
Retention: Destroy after 6 years.

19,515 Office of Medicaid Management
Record Series: Computer Project & Investigation Files of Recipient
Retention: Destroy after 6 years.

19,516 Office of Medicaid Management
Record Series: Provider Audit Control System
Retention: Destroy.

20,383 Office of Medicaid Management
Record Series: MMIS Fiscal Agent/Departmental Transmittal System and Emevs. Contractor
Retention: Destroy after 10 years.

20,384 Office of Medicaid Management
Record Series: Performance Assessment of Medicaid Providers
Retention: Destroy 10 years after project completion.

20,385 Office of Medicaid Management
Record Series: Performance Assessment of Other Bureaus Within OMM-DPR

Retention: Destroy 10 years after project completion.

21,816 Office of Medicaid Management

Record Series: Medicaid Buy in for Working People with Disabilities: Medical Eligibility

Retention: Destroy paper records 7 years after file closure dates. Closure of cases is 1 year after final eligibility determination has been made, to allow for any appeals (July 1, 2005 for Upstate Records & April 1, 2007 for NYC records).

16,204 Helen Hayes Hospital

Record Series: Closed Patients' Accounts (Accounting Records)

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

16,570 Director-Office of Public Health

Record Series: Subject & Correspondence Files – Director's Office

Retention: Records become inactive 3 calendar years after end of calendar year in which received, inactive records are retained at Records Center for additional 7 years then transferred to the State Archives.

19,293 Center for Environmental Health

Record Series: Interpower

Retention: Retain for 7 years. Final Disposition: Destroy 7/2000.

20,894 Center for Environmental Health (supersedes 17,408)

Record Series: Environmental Health Program Files (District Offices)

Retention: Destroy 21 years after end of fiscal/calendar year.

20,895 Center for Environmental Health (supersedes 17,408)

Record Series: Service Food Establishment Inspection and Investigation Reports

Retention: A-destroy inspection report for preparation of serving area – 3 years after end of fiscal/calendar year. B-destroy food sanitation complaint investigation or food embargo records 6 years after last entry. C-destroy food sanitation complaint investigation or food embargo records when a food or water-borne investigation is conducted 21 years after end of fiscal/calendar year.

20,896 Center for Environmental Health

Record Series: Environmental Health Program Files (Regional/Field Offices)

Retention: Destroy 21 years after end of fiscal/calendar year.

20,897 Center for Environmental Health

Record Series: Service Food Establishment Inspection and Investigation Reports
(Regional/Field Offices)

Retention: A-destroy inspection report for preparation of serving area – 3 years after end of fiscal/calendar year. B-destroy food sanitation complaint investigation or food embargo records 6 years after last entry. C-destroy food sanitation complaint investigation or food embargo records when a food or water-borne investigation is conducted 21 years after end of fiscal/calendar year.

22,447 WCL&R – Division of Environmental Science

Record Series: Water Sample Records – Chemical Analysis of Water Supplies – Non Private.

Retention: Destroy on a scheduled basis with a minimum retention period of 25 years.

Supersedes RDA # 2,281.

2,282 WCL&R – Division of Environmental Science

Record Series: Water Sample Records of Chemical Analysis of Private Water Supplies

Retention: Destroy on a scheduled basis with a minimum retention period of 8 years.

4,453 WCL&R – Division of Environmental Science

Record Series: Correspondence Regarding Serologic, Cultural Microscopic Exams for Communicable Disease

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

4,455 WCL&R – Division of Environmental Science

Record Series: Exam Correspondence Regarding Radioactive Determinations of Water, Milk, etc.

Retention: Review on a scheduled basis & destroy obsolete material after 2 years.

7,865 WCL&R – NSA

Record Series: Rabies Files Regarding Dog Biters When Dogs Have Rabies

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

9,951 WCL&R – Division of Environmental Science

Record Series: Water Pollution Control Files

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

10,595 WCL&R – Division of Environmental Science

Record Series: Agreement for Approval of Use of Living Animals in Scientific Tests, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years after individual in charge of lab leaves.

10,596 WCL&R – Griffin Labs

Record Series: Application for Approval for Use of Living Animals in Scientific Tests, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years after Laboratory Director or individual in charge of leaves.

10,597 WCL&R – Griffin Labs

Record Series: Report of Inspection of Lab or Institution Using Living Animals, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years of continuous satisfactory reports.

10,598 WCL&R – Griffin Labs

Record Series: Certificate of Approval File for Use of Living Animals by Labs

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years providing there are LR 40e's on file for the preceding 5 years.

13,577 WCL&R – Division of Environmental Science

Record Series: Asbestos Analysis Records

Retention: Destroy on a scheduled basis with a minimum retention period of 50 years.

14,552 WCL&R – Division of Clinical Science

Record Series: Newborn Screening Program File

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years after individual has reached majority (Age 27).

15,708 WCL&R

Record Series: Contracts for Environmental Lab Services

Retention: Retain for 15 years after receipt of final payment.

20,032 WCL&R

Record Series: Laboratory Approval Files

Retention: Retain for 5 years after receipt of inspection report.

15,710 WCL&R

Record Series: Lab Reports, Patient Histories & Correspondence (Excluding Tissue Pathology & Cytogenetic Testing).

Retention: Retain in program space for 2 years after report completion & for 5 years at Records Center.

20,033 WCL&R

Record Series: Proficiency Testing Files

Retention: Retain for 5 years after completion of test.

15,712 WCL&R

Record Series: Bacteriological Tests of Water Supply Sources

Retention: Retain in program space for 5 years.

15,713 WCL&R

Record Series: Cytology Proficiency Testing Files

Retention: Retain for 5 years & transfer to State Records Center for additional 15 years.

15,714 WCL&R

Record Series: Lab Reports, Patient Histories & Correspondence – Tissue Pathology

Retention: Retain for 5 years after completion of project & transfer to State Records Center for additional 15 years.

15,715 WCL&R

Record Series: Certificate of Qualifications for Clinical Lab Directors

Retention: Retain for 6 years after death or non-renewal of certificate.

15,716 WCL&R

Record Series: Laboratory Accession Records (Excluding Newborn Screening)

Retention: Retain records for 7 years.

15,717 WCL&R

Record Series: Cytogenetic Testing Report

Retention: Retain for 25 years after completion of report.

19,242 WCL&R

Record Series: Love Canal Laboratory Activities

Retention: After obsolete. Final Disposition: Destroy.

20,014 WCL&R

Record Series: Volunteer Registration, Visiting, Scientists & Independent Funded Post-Doctoral Students Records

Retention: Destroy 9 years after assignment completed.

20,689 WCL&R Publication Office

Record Series: Journal Publication Files

Retention: Retain in program office for 5 years. Final Disposition: Transfer to Archives.

17,073 Field Operations Management

Record Series: Administrative Tribunal Files

Retention: Retain 7 years after respondent comes into compliance and pays fine, if any, or case is otherwise settled and closed.

17,074 Field Operations Management

Record Series: State Aid Files

Retention: Retain 6 years after end of fiscal/calendar year.

17,075 Field Operations Management

Record Series: Administrative Office Files

Retention: Retain 2 years after end of fiscal/calendar year.

17,407 District Offices (Field Operations Management)

Record Series: Administrative Office Files

Retention: Retain 6 years after end of fiscal/calendar year.

17,408 District Offices (Field Operations Management) (Superseded by 20,894)

Record Series: Environmental Health Program Files

Retention: Retain 21 years after end of fiscal/calendar year.

17,409 Regional/Field Offices (Field Operations Management)

Record Series: Environmental Health Program Files

Retention: Retain 21 years after end of fiscal/calendar year.

17,410 Regional/Field Offices (Field Operations Management)

Record Series: Administrative Office Files

Retention: Retain 6 years after end of fiscal/calendar year.

17,411 Regional/Field Offices (Field Operations Management)

Record Series: Community Health Program Files

Retention: Retain 21 years after expiration of the contract, the completion of a project or end of calendar/fiscal year.

14,247 Division of Public Health Protection

Record Series: Files Regarding Improper Practice by Hospitals in Refusing MD Privileges

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years after determination by PHC.

19,371 Division of Public Health Protection

Record Series: Subject/Correspondence Files

Retention: Destroy immediately.

2,222 Division of Epidemiology

Record Series: Reports of cases of the following communicable diseases: Meningitis, Serum Jaundice, Jaundice, Rocky Mountain Spotted Fever, Tetanus, Undulant Fever, Anthrax, Paratyphoid, Encephalitis, Malaria, Diphtheria, and Salmonella. Submitted by private physician via part time health officers and full time health officers to Central Office.

Retention: Period of 10 years.

14,278 Division of Epidemiology

Record Series: Interview Data from Mothers of SIDS Control Infants (10/77-12/82)

Retention: Destroy in 1992.

20,587 Division of Epidemiology

Record Series: Tuberculosis Materials Including: (TB Patient Report), (DC 103) Confidential Case Report, Case Management Worksheets

Retention: Transfer to State Archives.

19,835 Bureau of Environmental Exposure

Record Series: S-Area & Hyde Park Files

Retention: Destroy 10 years after completion of remediation (1990).

16,217 Office of Professional Medical Conduct

Record Series: PMC Closed Case Files of Investigations of Misconduct of Doctors/Physician's Assistants

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years after case is closed.

16,218 Office of Professional Medical Conduct

Record Series: Medical Malpractice Insurance Database Reports

Retention: Destroy 7 years after input of info into database.

21,901 Office of Health Systems Management (Patient Safety Center)

Record Series: Office-Based Surgery Adverse Event Report

Retention: Destroy paper records after 17 years from date report submitted. Destroy database files after 17 years from date report submitted.

14,246 Emergency Medical Services

Record Series: EMS Course Files Including Applications, Exam Tickets, Etc.

Retention: Microfilm – Destroy paper records at end of certification cycle.

14,649 Emergency Medical Services

Record Series: EMS Microfile Course Information Files Including Applications, Exam Tickets, Etc.

Retention: Destroy microfilm on a scheduled basis with a minimum retention period of 50 years. Store microfilm at State Records Center.

16,552 Emergency Medical Services

Record Series: NYS EMS Council Minutes & Correspondence

Retention: After records are microfilmed, hardcopy of material can be destroyed.

16,553 Emergency Medical Services

Record Series: NYS EMS Council Minutes & Correspondence (Microfilm)

Retention: Transfer original microfilm to Archives for archival storage after making diazo duplicates. Diazo duplicates may be destroyed after they are no longer needed by the program.

16,554 Emergency Medical Services

Record Series: Course Sponsor Files

Retention: Destroy 7 years after records become inactive. Records become inactive when course sponsor does not revive agreement.

16,555 Emergency Medical Services

Record Series: Ambulance Service Files

Retention: Destroy 7 years after records become inactive. Records become inactive when ambulance service goes out of business.

16,556 Emergency Medical Services

Record Series: Preventive Health Block Grant Files

Retention: Destroy 7 years after records become inactive. Records become inactive when contract is discontinued.

10,755 Bureau of Child & Adolescent Health

Record Series: Medicaid/State Aid Recipient Case Folders

Retention: Retain 6 years after last activity or 6 years after minor reaches majority.

13,348 Bureau of Child & Adolescent Health

Record Series: Folders Containing Correspondence Regarding Newborn Infants Tested For Inborn Metabolic Diseases – Miscellaneous and Negative Cases

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years patient reaches majority (age 27).

19,178 Bureau of Child & Adolescent Health

Record Series: Form DOH-772 (MCH-8A) Authorization for Services for a Child with Special Needs

Retention: Destroy after data entry.

10,577 Bureau of Dental Hygiene

Record Series: Authorization Order, Forms, Correspondence and Reports of Examinations, Treatment, Etc. for Orthodontic Cases, Prosthetic Work, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years or 6 years after minor reaches majority, whichever is later.

19,942 Bureau of Dental Hygiene

Record Series: Newburgh-Kingston Fluoride Study X-Rays (1945-1955)

Retention: Destroy 1/2002

14,190 Division of Chronic Disease Prevention & Adult Health

Record Series: Vouchers & Billing Forms for Insurance for Home Dialysis Patients

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

20,609 Division of Chronic Disease Prevention & Adult Health

Record Series: Traumatic Brain Injury Hospital Medical Records

Retention: Destroy records after 7 years.

10,541 Bureau of Women's Health

Record Series: MCH-96 – Report of Premature Infant Care

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years following death of a patient or 6 years after individual reach majority (age 27).

2,716 Bureau of Public Water Supply Protection

Record Series: Approved Plans for Water Treatment Plants

Retention: Once records are microfilmed, destroy original paper file after one year.

11,429 Bureau of Public Water Supply Protection

Record Series: Correspondence Regarding Training Plans for Water Plan Operators

Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

11,430 Bureau of Public Water Supply Protection

Record Series: Summary of Annual Inspections of Public Water Supply

Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

11,433 Bureau of Public Water Supply Protection

Record Series: Application for Certificate of Approval for Distribution of Bottled or Bulk Water

Retention: Retain as long as distributor is operating

11,434 Bureau of Public Water Supply Protection

Record Series: Emergency Report – Public Water Supply

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years.

12,533 Bureau of Public Water Supply Protection

Record Series: Consultant Engineers Specifications on Water Works Installations

Retention: Destroy materials 5 years after approval issued by Bureau of Public Water Supply Protection.

9,953 Bureau of Environmental Radiation Protection

Record Series: Folders for Licensed X-Ray Technicians

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years all material except license application, exam answer sheet, & qualifying documents. Destroy all documents 5 years after death of licensee.

9,954 Bureau of Environmental Radiation Protection

Record Series: Application Folders for X-Ray Technician Applicants Not Licensed

Retention: Destroy on a scheduled basis with a minimum retention period of 7 years; folders retained permanently for applicants not meeting good moral character requirements.

9,955 Bureau of Environmental Radiation Protection

Record Series: Folders for Schools of X-Ray Technicians

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years except retain permanently where school registration is withdrawn.

10,209 Bureau of Environmental Radiation Protection

Record Series: Copies of Licenses for Use of Radioactive Material

Retention: Destroy following the death of a licensee.

11,367 Bureau of Environmental Radiation Protection

Record Series: X-Ray Registration Applications for Individuals, Hospitals & Labs

Retention: Destroy when installation ceases to exist or a re-registration is made.

11,525 Bureau of Environmental Radiation Protection

Record Series: Status of Certification of Licensed Radioactive Materials

Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

11,529 Bureau of Environmental Radiation Protection

Record Series: Action Card (Gen 327)

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

11,541 Bureau of Environmental Radiation Protection

Record Series: Notification of Sale of X-Ray Equipment

Retention: Destroy on a scheduled basis with a minimum retention period of 1 year.

11,543 Bureau of Environmental Radiation Protection

Record Series: Application for Certification as a Certified Radiation Equipment Safety Officer

Retention: Retain until death of applicant.

11,546 Bureau of Environmental Radiation Protection

Record Series: Radioactive Material License – General License Lab

Retention: Destroy on a scheduled basis with a minimum retention period of 7 years.

11,547 Bureau of Environmental Radiation Protection

Record Series: Notice of Receipt of Radiation Device

Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

11,548 Bureau of Environmental Radiation Protection

Record Series: Inspection of Radioisotope Installations

Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

11,549 Bureau of Environmental Radiation Protection

Record Series: License Inspection Card

Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

11,551 Bureau of Environmental Radiation Protection

Record Series: Medical Advisory Committee Appraisal

Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

11,552 Bureau of Environmental Radiation Protection

Record Series: File Regarding Radioactive Materials License Evaluation of New Drugs
Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

21,505 Bureau of Environmental Radiation Protection

Record Series: Radon Kit Applications and Test Results

Retention: Destroy paper applications 3 years after data entry and database records 10 years after creation.

20,690 Bureau of Environmental Radiation Protection

Record Series: Radon Diagnostic Assistance Program Records

Retention: Retain in program office for 7 years. Destroy after 10 years.

20,691 Bureau of Environmental Radiation Protection

Record Series: Radioactive Waste Site Records

Retention: Retain in program office for 3 years then transfer to the State Archives.

20,140 Bureau of Toxic Substance Assessment

Record Series: Health Assessments & Investigations

Retention: After completion of investigation and/or health assessment, retain for 10 years, retain final/summary letters/reports for additional 15 years.

17,682 Bureau of Environmental & Occupational Epidemiology

Record Series: Environmental Exposure Registries

Retention: Retain research files 7 years after termination of registry and then destroy. Transfer reports to Archives.

17,683 Bureau of Environmental & Occupational Epidemiology

Record Series: Epidemiological Studies

Retention: Retain research files 7 years after publication of study results and then destroy. Transfer reports to Archives.

17,684 Bureau of Environmental & Occupational Epidemiology

Record Series: Toxic Waste Site Health Assessment & Investigation

Retention: Retain research files 20 years after all legal action regarding a site are closed & then destroy research background files & transfer final reports to Archives.

17,685 Bureau of Environmental & Occupational Epidemiology

Record Series: Medical Inquiries

Retention: Retain 5 years after inquiry is completed & then destroy.

17,686 Bureau of Environmental & Occupational Epidemiology

Record Series: Occupational Cancer Cluster Investigation

Retention: Destroy 5 years after investigation is completed.

17,688 Bureau of Environmental & Occupational Epidemiology

Record Series: Chromosome Registry

Retention: Destroy 10 years after publication of report. Correspondence, print-outs & reports destroyed when no longer needed.

21,776 Bureau of Environmental & Occupational Epidemiology

Record Series: Congenital Malformations Registry

Retention: Retain reports and electronic registry data in agency storage space for 80 years after birth of child. Records will then be transferred to State Archives after completion of a confidentiality and access agreement between NYS DOH and the State Archives. Destroy correspondence, printouts and routine records when no longer needed.

1,661 Bureau of Communicable Disease Control

Record Series: General Correspondence Regarding VD Program

Retention: Review on a scheduled basis and destroy obsolete material with a minimum retention period of 2 years.

2,222 Bureau of Communicable Disease Control

Record Series: Reports of Communicable Diseases; E.G., Jaundice, Anthrax, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

2,223 Bureau of Communicable Disease Control

Record Series: Reports of Communicable Diseases; E.G., Tetanus, Diphtheria, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

2,224 Bureau of Communicable Disease Control

Record Series: Follow-Up Correspondence for Missing Information on Communicable Disease Cases

Retention: Destroy immediately upon receipt of missing data.

2,225 Bureau of Communicable Disease Control

Record Series: General Correspondence Pertaining to Program Activities

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

2,226 Bureau of Communicable Disease Control

Record Series: Cards of Individual Record of Deaths from Communicable Diseases

Retention: Maintain for current & previous year only; destroy after tabulation by rural & urban population groups.

2,229 Bureau of Communicable Disease Control

Record Series: Copies of Lab Reports of Communicable Diseases

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

2,279 Bureau of Communicable Disease Control

Record Series: Index Cards to Polio Cases

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

2,280 Bureau of Communicable Disease Control

Record Series: Index Cards to Cases of Communicable Disease Excluding Polio

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

2,514 Bureau of Communicable Disease Control

Record Series: Kardex Cards for Typhoid, Paratyphoid & Salmonella Cases

Retention: Destroy on a scheduled basis with a minimum retention period of 2 years.

2,951 Bureau of Communicable Disease Control

Record Series: Communicable Disease – Detail – IBM Cards Punched from Case Report Cards

Retention: Destroy on a scheduled basis with a minimum retention period of 1 year 6 months.

2,956 Bureau of Communicable Disease Control

Record Series: Communicable Diseases – Summary Cards of Detailed IBM Punch Cards.

Retention: Destroy on a scheduled basis with a minimum retention period of 1 year 6 months.

3,903 Bureau of Communicable Disease Control

Record Series: Reports of Cases of Communicable Disease; E.G., Measles, Mumps, Etc. (Submitted via Health Officers).

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years (some reports may be kept up to 10 years at bureau director discretion).

3,904 Bureau of Communicable Disease Control

Record Series: Reports of Communicable Disease; Measles, Mumps, Etc. (Submitted via City Health Departments).

Retention: Destroy on a scheduled basis with a minimum retention period of 5 years. Bureau director may keep certain reports longer, but not more than 10 years.

11,141 Bureau of Communicable Disease Control

Record Series: Disease Outbreak Records (Morbidity & Mortality)

Retention: Microfilm - destroy records over 5 years old.

13,855 Bureau of Communicable Disease Control

Record Series: Disease Outbreak Records, E.G., Smallpox, Polio, Etc.

Retention: Transfer to State Archives after 15 years.

19,315 AIDS Institute

Record Series: AIDS Program Data Entry Forms

Retention: After data entry and verification destroy.

17,415 AIDS Institute (GRASP)

Record Series: Grasp Administrative and Planning Files

Retention: Retain for 2 years after expiration of contract or MOU.

17,416 AIDS Institute (Admin & Contract Management)

Record Series: AIDS Institute Fiscal Record Files

Retention: Retain for 6 years after end of contract or end of fiscal year for non-contract files.

17,417 AIDS Institute (Admin & Contract Management)

Record Series: Director's Admin & Contract Management Files

Retention: Retain for 6 years after expiration of contract or end of fiscal year.

17,418 AIDS Institute (Admin & Contract Management)

Record Series: AIDS Admin. & Operational Files

Retention: Retain for 2 years after end of calendar year or end of year in which project completed.

17,721 AIDS Institute (HIV Prevention)

Record Series: HIV Prevention Director's Office Files

Retention: Retain for 2 years after end of calendar year in received.

17,722 AIDS Institute (HIV Prevention)

Record Series: HIV Prevention Publications Files

Retention: Retain for 6 years after publication.

21,874 AIDS Institute (HIV Prevention-Direct Program Operations)

Record Series: HIV Testing Results

Retention: Retain records in agency for 7 years, except destroy negative results obtained from anonymous individuals after 2 years. After 2 years, reformat records for positive results and named negative results to electronic media with the paper documentation destroyed, and the electronic versions retained for the remaining 5 years of the retention period.

17,725 AIDS Institute (HIV Prevention)

Record Series: Special Study Surveys

Retention: Retain for 5 years after study is completed.

17,726 AIDS Institute (HIV Prevention)

Record Series: HIV Counseling & Testing Data Collection Forms

Retention: Destroy after records are data entered and verified.

17,727 AIDS Institute (HIV Prevention)

Record Series: Substance Abuse Initiative

Retention: Destroy after records are entered into EDP system and verified.

17,728 AIDS Institute (HIV Prevention)

Record Series: Prevention Surveys and Evaluation Files

Retention: Destroy after records are entered and verified.

17,729 AIDS Institute (HIV Prevention)

Record Series: AIDS Counselor Training Files

Retention: Retain for 7 years after completion of training.

17,730 AIDS Institute (HIV Prevention)

Record Series: Educational Materials Files

Retention: Retain for 7 years after expiration of project.

16,089 Bureau of Occupational Health

Record Series: Department of Labor Industrial Hygiene Files

Retention: Transfer to State Archives.

16,966 Bureau of Occupational Health

Record Series: Asbestos Safety Training-Student Certificates & Equiv

Retention: Retain 30 years from date of issue & destroy.

16,967 Bureau of Occupational Health

Record Series: Asbestos Safety Training Program Certificates

Retention: Retain 30 years from course approval date and destroy.

16,968 Bureau of Occupational Health

Record Series: Epidemiology Studies & Health Investigations

Retention: Retain for 20 years after publication of results & then transfer to State Archives.

16,969 Bureau of Occupational Health

Record Series: Heavy Metal Reporting Form

Retention: Retain for 20 years after data is entered into computerized registry and verified – then destroy.

16,970 Bureau of Occupational Health

Record Series: Industrial Hygiene Interventions

Retention: Retain for 20 years after completion of report and publication of results – then transfer to State Archives.

21,350 Bureau of Occupational Health

Record Series: Occupational Lung Disease Registry Reports

Retention: Retain for 20 years after data is entered into a computerized registry - verified – then destroy.

21,351 Bureau of Occupational Health

Record Series: Pesticide Poisoning Registry Reports

Retention: Retain for 20 years after data is entered into a computerized registry - verified – then destroy.

19,983 Bureau of HIV/AIDS Epidemiology

Record Series: Blinded HIV Seroprevalence Studies (Paper)

Retention: Destroy after data entry or electronic scanning and verification. If the information is data entered, a data dictionary must be established prior to destruction of paper records.

19,984 Bureau of HIV/AIDS Epidemiology

Record Series: Blinded HIV Seroprevalence Studies (Electronic)

Retention: Destroy after minimum retention of 2 years after publication of the study methodology and study results and as long as deemed by the bureau director to have continuing research value.

19,985 Bureau of HIV/AIDS Epidemiology

Record Series: HIV/AIDS Epidemiologic Research Studies (Paper)

Retention: Destroy after information is electronically scanned, filed and the information/conversation is verified.

19,986 Bureau of HIV/AIDS Epidemiology

Record Series: HIV/AIDS Epidemiologic Research Studies (Electronic)

Retention: Destroy after minimum of 7 years after publication of study methodology and study results and as long as deemed by bureau director to have continuing research value.

19,788 Bureau of Chronic Disease and Epidemiology Survey

Record Series: Alzheimer's Disease & Other Dementias Registry Confidential Case Reports
Retention: Retain 40 years after end of year of receipt, then destroy.

20,683 Bureau of Chronic Disease and Epidemiology Survey
Record Series: Cancer Screening Program Client Records
Retention: Retain for 15 years and then destroy.

548 Bureau of Funeral Directing
Record Series: Funeral Directing Subject Matter/General Administrative Files
Retention: Destroy on a scheduled basis retaining current and previous years only.

550 Bureau of Funeral Directing
Record Series: Correspondence with Other States Regarding Their License Requirements/Registrations
Retention: Review at end of 2 year period, delete obsolete material & insert new material.

551 Bureau of Funeral Directing
Record Series: Cash Receipts Records-Funeral Directing
Retention: Destroy after completion & clearance of OSC audit.

612 Bureau of Funeral Directing
Record Series: Rejected or Cancelled Application Folders for Entrance to Exam (FD)
Retention: Retain in active office space for 6 years from date of exam; microfilm appropriate papers & application and retain 50 years.

9,841 Bureau of Funeral Directing
Record Series: Record of Licensure
Retention: Destroy 2 years after death of licensee.

14,333 Bureau of Funeral Directing
Record Series: Registers of Funeral Directors' Licenses
Retention: Transfer to State Archives when no longer used by bureau

13,186 Division of Nutrition
Record Series: WIC Cancelled Checks
Retention: Destroy on a scheduled basis with a minimum retention period of 6 years or until audit, whichever is shorter.

15,482 Division of Nutrition
Record Series: WIC Program Files
Retention: Destroy 8 years after files become inactive (files are inactive 2 years after receipt or creation by program).

15,483 Division of Nutrition
Record Series: SNAP Homeless/Destitute Files
Retention: Transfer to State Archives 1 year after records become inactive (records become inactive after contract period ends and budget is not renewed).

15,484 Division of Nutrition
Record Series: Nutrition Outreach and Education Program Files

Retention: Destroy 10 years after records become inactive (records become inactive 5 years after receipt).

15,485 Division of Nutrition

Record Series: (SNAP) Elderly Files

Retention: Destroy 3 years after records become inactive (records become inactive 1 year after receipt).

15,486 Division of Nutrition

Record Series: WIC Checks Returned Unpaid

Retention: Destroy 4 years after receipt of cancelled checks (records become inactive after checks approved for payment are cancelled).

15,487 Division of Nutrition

Record Series: Microfilm of Paid WIC Checks

Retention: Destroy 6 years after review of microfilm (records become inactive after receipt of microfilm of cancelled checks).

15,488 Division of Nutrition

Record Series: WIC Vendors Under Investigation

Retention: Destroy 8 years after records become inactive (records become inactive when case is concluded).

15,489 Division of Nutrition

Record Series: Bureau of Nutrition General Files

Retention: Destroy 5 years after they become inactive (records become inactive 2 years after receipt or preparation by bureau).

15,490 Division of Nutrition

Record Series: WIC Certification Forms

Retention: Destroy 6 months after inactive (records are inactive after forms have been processed by computer group).

19,332 Division of Nutrition

Record Series: WIC Project Contract Records

Retention: Seven years after contract expiration destroy.

19,932 Division of Nutrition

Record Series: Commodities Records

Retention: Destroy 3 years after end of federal fiscal year & submission of annual expenditure report.

19,933 Division of Nutrition

Record Series: Correspondence and Reports

Retention: Retain for 3 years after end of federal fiscal year, then destroy.

19,934 Division of Nutrition

Record Series: Contract Operation Records

Retention: Destroy 6 years after settlement of claim.

20,130 Division of Nutrition

Record Series: Sponsor Applications and Documents Related to Reimbursement

Retention: Records become inactive at expiration of agreement or final payment, whichever is later. Destroy 6 years after inactive.

2,944 Bureau of Cancer Epidemiology

Record Series: International Visible Index Cards on All Cancer Cases

Retention: Destroy on a scheduled basis with a minimum retention period of 25 years.

2,946 Bureau of Cancer Epidemiology

Record Series: Lab Reports of Malignancies

Retention: Destroy on a scheduled basis with a minimum retention period of 25 years.

3,660 Bureau of Cancer Epidemiology

Record Series: Site & Diagnostic Codes, Death Codes & Misc. Codes

Retention: Destroy on a scheduled basis with a minimum retention period of 25 years.

10,722 Bureau of Cancer Epidemiology

Record Series: CC1-Malignant Neoplasm Confidential Case Report

Retention: Destroy on a scheduled basis with a minimum retention period of 40 years.

19,429 Bureau of Cancer Epidemiology

Record Series: Cancer Research Files

Retention: Retain 7 years after publication of study results transfer copies of final studies to State Archives.

19,430 Bureau of Cancer Epidemiology

Record Series: DES Exposure Research Study (Hormone-Diethylstilbestrol)

Retention: Retain 27 years, transfer copies of final studies to State Archives.

14,235 Executive Office - OHSM

Record Series: OHSM Program Files Relating to Administration of OHSM

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

9,664 Division of Health Care Financing

Record Series: Plans, Prints, Specification File for Hospital & Nursing Home Construction

Retention: Destroy on a scheduled basis with a minimum retention period of 40 years.

14,205 Division of Health Care Financing

Record Series: General Files – Deputy Director – Division of Health Facility Planning

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

13,230 Bureau of Long Term Care Reimbursement

Record Series: Financial/Mortgage Records on Nursing Homes & Hospitals

Retention: Destroy on a scheduled basis with a minimum retention period of 40 years.

14,045 Bureau of Long Term Care Reimbursement

Record Series: Nursing Home Data Records Regarding Data for Medicaid Reimbursement Rates

Retention: Destroy on a scheduled basis with a minimum retention period of 20 years after the Medicaid rate year is established.

14,062 Bureau of Long Term Care Reimbursement

Record Series: Records Relating to Residential Health Care Facility Mortgaged (Article 28)
Retention: Destroy on a scheduled basis with a minimum retention period of 40 years after closing.

14,029 Bureau of Special Audits

Record Series: Hospital & RHCFC Records RE: Processing Audited Rates & Appeals
Retention: Destroy on a scheduled basis with a minimum retention period of 15 years.

14,026 Bureau of Hospital Reimbursement

Record Series: Hospital Data Records Regarding Hospital Reports for Medicaid Rates
Retention: Destroy on a scheduled basis with a minimum retention period of 15 years after final audit.

14,044 Bureau of Hospital Reimbursement

Record Series: Hospital Data Files (Special Projects)
Retention: Destroy on a scheduled basis with a minimum retention period of 15 years.

9,901 Bureau of Ambulatory Care Reimbursement

Record Series: HHA & Clinic Reports File for Medicaid Reimbursement Rates
Retention: Destroy on a scheduled basis with a minimum retention period of 3 years following final audit.

14,289 Bureau of Ambulatory Care Reimbursement

Record Series: Ambulatory Care Reimbursement Data Records
Retention: Destroy on a scheduled basis with a minimum retention period of 15 years.

18,994 Bureau of Community Health Insurance & Finance Systems

Record Series: Child Health Plus-DSS/Medicaid Enrollment Study Data
Retention: Destroy 6 years after records become inactive. Records become inactive at conclusion of study.

14,336 Bureau of Ambulatory Care Reimbursement

Record Series: Contracts, Correspondence & Statistical Data for Ghetto Medical & Ambulatory Care Grants
Retention: Destroy on a scheduled basis with a minimum retention period of 7 years after grant terminates.

10,506 Bureau of Health Economics & Systems Development

Record Series: Blue Cross Files Documenting that Rates are Reasonable for Hospital Service
Retention: Destroy on a scheduled basis with a minimum retention period of 7 years.

13,055 Project Management Unit

Record Series: State Hospital Review & Planning Council Agendas & Transcripts
Retention: Send to State Archives after 5 years in active office space.

13,894 Project Management Unit

Record Series: Health Facility Establishment & Construction Project Files
Retention: Destroy on a scheduled basis with a minimum retention period of 3 years after mortgage is paid off.

19,527 Project Management Unit

Record Series: Home Health Care Licensure Applications

Retention: Destroy 3 years after license is issued or upon withdrawal of/by applicant or license denial.

14,030 Bureau of MMIS

Record Series: NYS DSS patient Care in Nursing Homes/HRFS Printouts

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

14,517 Bureau of MMIS

Record Series: Medicaid Provider Specialties File – Physicians & Dentists

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years after application is processed.

14,530 Bureau of MMIS

Record Series: Pended Claims Records (Medicaid)

Retention: Destroy on a scheduled basis with a minimum retention period of 6 years after case is closed.

15,383 Bureau of MMIS

Record Series: Medicaid Provider Claims Forms – Microfilm

Retention: Destroy microfilm after claims have been resolved and files become inactive.

17,799 Bureau of MMIS

Record Series: Medicaid Procedure and Formulary Master File Update Transactions

Retention: Destroy 10 years after establishment of new rates.

17,800 Bureau of MMIS

Record Series: Medicaid Prior Approval Files

Retention: Destroy 7 years after payment except 11 years for recipients with mental illness or until age 22 for minors, whichever is later.

16,456 Bureau of Hospital Services (Division Quality & Patient Safety)

Record Series: Cardiac Advisory Committee

Retention: After records become inactive, retain for 4 years and destroy, except for agenda books and annual reports which are sent to the State Archives. Records become inactive at the end of the calendar year.

16,457 Bureau of Hospital Services (Division Quality & Patient Safety)

Record Series: Cardiac Annual Report Data & Statistics

Retention: Destroy 3 years after records become inactive. Records become inactive after issuance of associated annual report.

16,458 Bureau of Hospital Services (Division Quality & Patient Safety)

Record Series: Cardiac Program Facility Files

Retention: Destroy 6 years after records become inactive. Records become inactive after completion of last 6 Year Site Survey.

17,885 Bureau of Hospital Services

Record Series: Medicaid Utilization Review

Retention: After contracts become inactive, retain in program office for 4 years and 2 years in storage. Contract becomes inactive at end of expiration date.

17,886 Bureau of Hospital Services

Record Series: Enforcement Files

Retention: After records become inactive, retain in program office for 10 years and destroy. Records become inactive upon closure of complaint action and signing of stipulation agreement.

17,887 Bureau of Hospital Services

Record Series: Article 28 Hospital Comprehensive Survey File

Retention: These files will remain in the Program Office from 3 to 8 years, depending on Repeat Survey Cycle and then sent to the State Archives.

17,888 Bureau of Hospital Services

Record Series: Article 28 Surveillance-Other

Retention: After records become inactive, retain in program office for 3 years and 7 years in storage. Records become inactive after survey and end of calendar year.

18,806 Bureau of Hospital Services

Record Series: Hospital Complaints & Re-Review Files

Retention: Destroy 3 years after records become inactive. Records become inactive after Resolution of Complaint or end of calendar year.

18,807 Bureau of Hospital Services

Record Series: Incident Files

Retention: Destroy 3 years after records become inactive. Records become inactive after Resolution of Complaint or end of calendar year.

19,787 Bureau of Hospital Services

Record Series: General Files

Retention: After end of the calendar year, retain in program office for 3 years and destroy.

21,147 Bureau of Hospital Services (Internal Review Board)

Record Series: Files of the Advisory Work Group on Human Subject Research Involving the Protected Classes (Article 24-A)

Retention: Retain in Agency for 10 years after publication of Work Group Report then send to State Archives 12/08.

21,148 Bureau of Hospital Services (Internal Review Board)

Record Series: Human Subject Research of the Protected Classes – General Files (Article 24-A)

Retention: Retain for 8 years then destroy.

14,126 Bureau of LTC Services

Record Series: Bureau of LTC Program Files Regarding Administration of LTC Services Program

Retention: Destroy on a scheduled basis with a minimum retention period of 20 years.

16,636 Bureau of LTC Services

Record Series: BLTCS Administration Files

Retention: Destroy after records become inactive. Records become inactive 2 years after end of calendar year in which received.

16,637 Bureau of LTC Services

Record Series: Article 2B RHCF Files

Retention: Destroy 2 years after records become inactive. Records become inactive 3 years after current calendar year or facility closure.

16,638 Bureau of LTC Services

Record Series: Facility Added Staff & Ceiling Waiver Appeals

Retention: Retain 10 years after records become inactive. Records become inactive after issuance of BLTCS recommendation on appeal.

16,639 Bureau of LTC Services

Record Series: RHCF Certificate of Need Files

Retention: Retain 2 years after records become inactive. Records become inactive 3 years after completion of project & issuance of operating certificate. If hearing is requested records are inactive after completion of due process & outcome.

16,640 Bureau of LTC Services

Record Series: RHCF Adult Day Health Care Program Files

Retention: Destroy 8 years after Records become inactive. Records become inactive 2 years after program implementation, program review or modification, or facility closure/program discontinuance.

16,641 Bureau of LTC Services

Record Series: RHCF Receivership Files

Retention: Destroy 5 years after Records become inactive. Records become inactive after final action on receivership application or receiver candidates are dropped from eligible pool.

16,642 Bureau of LTC Services

Record Series: Management Assessments

Retention: Destroy 10 years after Records become inactive. Records become inactive after issuance of BLTCS recommendation.

16,643 Bureau of LTC Services

Record Series: RHCF Nurse Aide Training Program Facility Files

Retention: Destroy 10 years after Records become inactive. Records become inactive after approval of training program, program is reviewed, or program ceases to function or is cancelled.

16,644 Bureau of LTC Services

Record Series: Patient Care Investigations-Chapter 340 & 900

Retention: Destroy sustained cases 10 years after records become inactive. Destroy unsustained cases 120 days after determination of unsustained finding for use in potential article 78 Suits. Records become inactive after final commissioner's order is issued to sustain against an accused or to expunge finding against accused. Also, records are inactive after commissioner's designee's determination to expunge a finding against an accused, or to sustain patient to patient abuse or sustain with no accused identified.

19,238 Bureau of LTC Services

Record Series: Article 28 Enforcement Files

Retention: Destroy 11 years from the date the enforcement action is finalized.

18,292 Bureau of Home Health Care Services
Record Series: General Files
Retention: Destroy 5 years after end of calendar year.

18,293 Bureau of Home Health Care Services
Record Series: Home Care Agency History Files
Retention: Destroy 3 years after agency is no longer regulated by program unit or application is denied or withdrawn.

18,294 Bureau of Home Health Care Services
Record Series: Home Care Statistical Report Files
Retention: Destroy 10 years after production of reports.

18,295 Bureau of Home Health Care Services
Record Series: Annual Report of Hospice Utilization and Cost Data
Retention: Destroy 10 years after end of calendar year.

18,296 Bureau of Home Health Care Services
Record Series: Home Care Statistics Data Entry Form
Retention: Destroy 3 years after entry into database.

18,655 Bureau of Home Health Care Services
Record Series: Home Health Care Statistical Report Databases
Retention: Update file as necessary. Obtain SED archival review prior to destroying electronic file.

18,656 Bureau of Home Health Care Services
Record Series: Annual Summary Reports/Hospice Utilization and Cost Data
Retention: Obtain SED archival review prior to disposition of obsolete/superseded records.

10,003 Bureau of Health Care Facility Coordination
Record Series: Home Health Agency Social Security Certification Records
Retention: For permanent retention until such time as federal government establishes retention requirements.

13,362 Bureau of Health Care Facility Coordination
Record Series: Nursing Home (SNF & HRF) Article 28 Medicare/Medicaid Survey Reports (Active)
Retention: Destroy on a scheduled basis with a minimum retention period of 10 years except records of closed facilities & records for years ending in 0 & 5 (beginning in 1975) which go to State Archives.

13,363 Bureau of Health Care Facility Coordination
Record Series: Nursing Home (SNF & HRF) Article 28 Medicare/Medicaid Survey Reports (Closed)
Retention: Transfer to State Archives after 10 years all reports of closed facilities & all other reports for the years ending in 0 & 5, beginning in 1975.

13,528 Bureau of Health Care Facility Coordination
Record Series: Periodic Medical Review/Independent Professional Review Reports
Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

13,566 Bureau of Health Care Facility Coordination
Record Series: Clinical Lab Medicare/Medicaid Survey Reports
Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

13,770 Bureau of Health Care Facility Coordination
Record Series: Medicare Surveys of Home Health Agencies
Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

13,809 Bureau of Health Care Facility Coordination
Record Series: Hospital Title XVIII & XIX (Medicare/Medicaid) Surveys
Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

14,121 Bureau of Health Care Facility Coordination
Record Series: ICF/DDD Title XVIII & XIX Survey Reports Et al.
Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

14,122 Bureau of Health Care Facility Coordination
Record Series: End Stage Renal Disease Title XVIII & XIX Survey Reports & Et al.
Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

14,535 Bureau of Health Care Facility Coordination
Record Series: Consumer Information File
Retention: Destroy on a scheduled basis with a minimum retention period of 10 years after issuance of formal rating.

13,983 Buffalo AO-Hospital Program
Record Series: Determination of Benefits for in-Patients
Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

14,050 LTC-Buffalo AO
Record Series: Local Medicaid Director Determination of LTC Facility Coverage
Retention: Destroy on a scheduled basis with a minimum retention period of 3 years.

14,654 Bureau of Standards Development
Record Series: Certificate of Request for Anatomical Gift
Retention: Destroy on a scheduled basis with a minimum retention period of 3 years after certificate of request is received.

13,840 Bureau of Alternative Delivery Systems
Record Series: Article 28 Ambulatory Care Services General Subject Files
Retention: Destroy on a scheduled basis with a minimum retention period of 6 years.

13,841 Bureau of Alternative Delivery Systems
Record Series: Article 28 Miscellaneous Facility Folders (Closed)
Retention: Destroy on a scheduled basis with a minimum retention period of 5 years from date facility closes.

13,842 Bureau of Alternative Delivery Systems
Record Series: Abortion - Miscellaneous Files
Retention: Destroy on a scheduled basis with a minimum retention period of 8 years.

13,843 Bureau of Alternative Delivery Systems

Record Series: BACS/FSG Control Log Books

Retention: Destroy on a scheduled basis with a minimum retention period of 4 years.

13,844 Bureau of Alternative Delivery Systems

Record Series: Methadone Maintenance Treatment Program General Facility Files - Closed

Retention: Destroy on a scheduled basis with a minimum retention period of 9 years.

16,455 Bureau of Facility & Service Review

Record Series: Appropriateness Review

Retention: Destroy 10 years after records become inactive. Records become inactive upon issuance of report.

16,459 Bureau of Facility & Service Review

Record Series: Inpatient Need Satisfaction Reports

Retention: Destroy 25 years after records become inactive. Records become inactive after receipt of new monthly printout.

16,460 Bureau of Facility & Service Review

Record Series: Medicaid Access Files

Retention: Destroy 12 years after records become inactive. Records become inactive after report is received and filed.

16,461 Bureau of Facility & Service Review

Record Series: Staff Reports

Retention: Destroy 25 years after records become inactive. Records become inactive after review is completed.

16,462 Bureau of Facility & Service Review

Record Series: SHRPC Agendas and Planning Committee

Retention: Destroy 6 years after records become inactive. Records become inactive after meeting is held and recommendations are made.

16,463 Bureau of Facility & Service Review

Record Series: Topic Files

Retention: Destroy after information becomes obsolete.

16,464 Bureau of Facility & Service Review

Record Series: Waiver Files

Retention: Destroy 1 year after records become inactive. Records become inactive after request for waiver is approved or denied and appeals settled.

14,277 Bureau of Financial Analysis & Review

Record Series: Article 28 Applications – Facility Files – Estimate & Construction Reviews

Retention: Destroy on a scheduled basis with a minimum retention period of 3 years after mortgage is paid off.

10,039 Bureau of Narcotic Enforcement

Record Series: Application for permit and fee for manufacturers, wholesalers & retailers of narcotics

Retention: Destroy on a scheduled basis with a minimum retention period of 10 years.

12,530 Bureau of Narcotic Enforcement

Record Series: Triplicate Prescription Records

Retention: Retain in program office for one year. Retain in agency storage for 4 years than destroy.

14,204 Bureau of Narcotic Enforcement

Record Series: Triplicate Prescription Computer Records

Retention: Retain in program office for 5 years than destroy.

19,672 Bureau of Narcotic Enforcement

Record Series: Reports of Habitual Users Report (All Offices)

Retention: After end of the year, retain in program office space for 5 years. Final Disposition: Destroy.

19,673 Bureau of Narcotic Enforcement

Record Series: License Files

Retention: After license becomes inactive, retain in program office for 3 years than destroy.

19,675 Bureau of Narcotic Enforcement

Record Series: Drug/Narcotic Destruction Records

Retention: After end of the year of Drug/Narcotic destruction, retain in program office for 5 years and then destroy.

19,676 Bureau of Narcotic Enforcement

Record Series: Triplicates (HOLDS), Hold Withdrawn

Retention: Retain in program office for 5 years than destroy.

19,678 Bureau of Narcotic Enforcement

Record Series: Notice of non-compliance files

Retention: Retain in program office for 5 years than destroy.

19,679 Bureau of Narcotic Enforcement

Record Series: Incident reports (Investigation not resulting)

Retention: Retain in program office for 5 years than destroy.

19,680 Bureau of Narcotic Enforcement

Record Series: Subject & General Administrative Files-All Offices

Retention: Retain in program office for 3 years than destroy.

19,681 Bureau of Narcotic Enforcement

Record Series: Physical Evidence Files

Retention: After case closed, Retain in program office for one year than destroy.

21,205 Bureau of Narcotic Enforcement

Record Series: Investigation Case Files

Retention: 15 years (10 in program space and 5 in Records Center) (Superseded 19,674).

21,206 Bureau of Narcotic Enforcement

Record Series: Certificate of Needs

Retention: 10 years (5 in program space and 5 in Records Center).

16,447 Office of Continuing Care

Record Series: Adult Home Public Need Analysis Records

Retention: After completion of study retain in program office for 10 years, then destroy.

15,516 Office of Continuing Care

Record Series: Adult Home Operating Certificates

Retention: Retain in program office for 20 years, then destroy.

15,517 Office of Continuing Care

Record Series: Adult Care Facility Case Records

Retention: After facility is closed or certificate is revoked or ownership is transferred retain in program office for 5 years, retain in Records Center for 5 years.

15,518 Office of Continuing Care

Record Series: SSI Personal Allowances Waivers to Bookkeeping

Retention: After facilities close retain in program office for 5 years.

12,961 Oxford Veterans' Home

Record Series: Admission Dockets

Retention: Transfer to State Archives 7 years after death of resident.

14,596 Oxford Veterans' Home

Record Series: Fiscal Records Including Vouchers, Purchase Orders, Invoices, Etc.

Retention: Destroy on a scheduled basis with a minimum retention period of 6 fiscal years.

22,349 Partnership for Long-Term Care

Record Series: Consumer Participation Agreement Signature Page

Retention: Records can be scanned at any time. Destroy paper copies immediately after scanning and verification. Retain scanned version of record for remainder of retention period. Destroy 6 years after death of policyholder or 10 years after voluntary termination of agreement.

22,496 Division of Nutrition, Bureau of Special Investigation

Record Series: Vendors Under Investigation

Retention: Destroy paper files after scanning and verification. Retain scanned copy for 8 years after close of case.

22,487 Office of Professional Medical Conduct (supersedes RDA# 16,217)

Record Series: Closed Cases and No Jurisdiction Complaints

Retention: Destroy 10 years after case is closed. Destroy paper copies immediately after scanning and verification, and retain scanned copies for duration of the proposed retention period. Destroy copies of patient medical records immediately.

22,528 NYS Organ and Tissue Donor Registry

Record Series: Organ and Tissue Donor Registry Records

Retention: Destroy paper files after scanning and verification. Retain scanned copy or paper copy where no scanned copy exists for 80 years after receipt of enrollment form.

22,535 Bureau of Adjudication

Record Series: Summary of Proceedings, Findings of Facts, Conclusions, and Recommendations, Copies of Final Orders Issued by the Commissioner, and Occasional Transcripts, Exhibits and Correspondence for Every Case Heard by Administrative Law Judges.

Retention: Transfer to Archives 10 years after a final decision is rendered in case.

22,580 Refugee Health Program

Record Series: Refugee Health Assessment Form

Retention: Retain in agency for 5 years for programmatic reference. Destroy records after 5 years, as form no longer serves a programmatic need.

22,581 Refugee Health Program

Record Series: Class B Tuberculosis Worksheet

Retention: Retain in agency for 5 years for programmatic reference. Destroy records after 5 years, as form no longer serves a programmatic need.

22,664 EPIC

Record Series: Provider Records Contain Enrollments and Claims Documents Including Pharmacy Provider Agreements to Enroll into NY EPIC Program and Prescription Saver Program and Copies of Advice Remittances.

Retention: Retain in agency for 7 years, destroy paper records upon scanning and verification. Retain scanned copies for remainder of retention period.

22,663 EPIC

Record Series: Correspondence Submitted Supporting Eligibility Requirements for Income & Age Including 1099 Social Security Benefit Statements, 1040 Income Tax Return, Bank Statements, Written Correspondence, Copy of Birth Certificate, Passport and Drivers License for Membership in NY EPIC Program. Similar documentation is submitted supporting eligibility requirements for participation in NY Prescription Saver program.

Retention: Retain in agency for 7 years. Destroy paper records upon scanning and verification. Retain scanned copies for remainder of retention period.

22,665 EPIC

Record Series: Report of Various Internal Audits on EPIC Program Including Pre-Payment Audits, Unclaimed Funds Audit, Rebill Audit (bank reconciliations & accounts payable reports) & Fee Audit (lockbox coupons). Copies that are Maintained by Agency's Finance Department.

Retention: Retain in agency for 7 years.

22,741 Bureau of Narcotic Enforcement

Record Series: Controlled Substance Disposal/Destruction/Collection Approvals and Reports

Retention: Destroy paper copies after scanning and verification. Retain scanned copies 5 years after date of disposal/destruction/collection.

22,769

Record Series: Love Canal Records

Retention: Transfer to States Archives published and publicly-accessible records when no longer needed: all other records should be retained in agency storage space until the later of January 1, 2026 or 30 years after creation. Subsequently, these other records shall be transferred to State Archives subject to the completion of a confidentiality and access agreement between NYS DOH and State Archives. Supersedes RDAs 19244, 19245, 19246 and 21777 by consolidating them and updating the final disposition for all to transfer to Archives.

22,793 Bureau of Immunization

Record Series: NYS Immunization System (NYSIIS) Patient Records

Retention: Retain in agency for 125 years then destroy.

22,794 Bureau of Immunization

Record Series: NYS Immunization System (NYSIIS) Administrative Records

Retention: Retain in agency for 6 years then destroy.

22,823 Bureau of Program Integrity

Record Series: Child Health Plus and Medicaid Audit/Review Files

Retention: Destroy Ten years after completion of audit/review. Supersedes RDA 22,742

22,906 OHIP Medicaid Data Warehouse

Record Series: Claim Detail Report Requests

Retention: Destroy claim detail report request 6 years after a report has been generated and sent to the requester.

22,907 Bureau of Occupational Health and Injury Prevention

Record Series: New York Violent Death Registry Reports

Retention: Destroy 7 year after end of reporting cycle.

16,407 Division of Legal Affairs – Investigations Unit

Record Series: Employee misconduct and program misconduct investigation files

Retention: Retain in office space one year after investigation is closed; retain in State Records Center for 30 years before transfer to State Archives.

22,993 Office of Quality and Patient Safety (Bureau of All Payer Systems and Informatics)

Record Series: Original Source Data Submitter (OSDS) Data Submitter Agreement

Retention: Retain in agency for 7 years then destroy.