

NEW YORK STATE OFFICE FOR THE AGING

2 Empire State Plaza, Albany, NY 12223-1251

David A. Paterson, Governor

Michael Burgess, Director

An Equal Opportunity Employer

PROGRAM INSTRUCTION

Number 10-PI-03

Supersedes

Expiration Date

DATE: April 6, 2010

TO: LTCOP COORDINATORS

SUBJECT: RECORDS RETENTION

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BACKGROUND: It is the policy of the New York State Long Term Care Ombudsman Program (LTCOP) to maintain and retain certain records relating to the work of the Program's local ombudsmen.

PROCEDURE: The Local Ombudsman Programs shall maintain all non-electronic documentation pertaining to complaints in a locked filing cabinet that is accessible only to the local ombudsman coordinator. Complaint reporting forms and documentation relating to each complaint shall be filed under the name of the facility where the complaint was received, in chronological date order. In addition, any documentation containing identifying information of a resident or complainant must also be retained in locked files. Electronic files related to complaints should be maintained only in the state-authorized data collection and reporting system, which is currently Ombudsmanger.

Program Activity Forms shall be retained for at least two (2) years from the month of receipt. Complaint reporting forms and documentation relating to each complaint shall be retained for at least three (3) years from the date the complaint is closed.

PROGRAMS AFFECTED:

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|--------------------------------------|--------------------------------------|--------------------------------------|--|---|
| <input type="checkbox"/> Title III-D | <input type="checkbox"/> Title III-E | <input type="checkbox"/> Title III-B | <input type="checkbox"/> Title III-C-1 | <input type="checkbox"/> Title III-C-2 |
| <input type="checkbox"/> EISEP | <input type="checkbox"/> NSIP | <input type="checkbox"/> CSE | <input type="checkbox"/> SNAP | <input type="checkbox"/> Energy |
| <input type="checkbox"/> Other: | | <input type="checkbox"/> Title V | <input type="checkbox"/> HIICAP | <input checked="" type="checkbox"/> LTCOP |

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