

**DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
RECORDS RETENTION AND DISPOSAL SCHEDULE**

Schedule No. 2424 - 06

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Agency
Department of Public Safety and Correctional Services

Division/Unit
Division of Correction

Item No.	Description	Retention
I.	<p>This schedule supersedes Schedule No. 1406-6.</p> <p><u>CASE MANAGEMENT AREA:</u></p> <p><u>INMATE BASE FILE SERIES:</u> All or some of the following:</p> <p>A. SECTION I – (file in order as listed)</p> <ol style="list-style-type: none"> 1. Intake Summary <ol style="list-style-type: none"> a. Emergency Card b. Photograph (attach to Admission Summary) 2. Birth Certificates/Social Security Cards and Requests 3. Alerts <ol style="list-style-type: none"> a. Enemy Alert/Retraction Forms b. Name Changes: Aliases/Court Order c. Correctional Transfer Alert d. Court Order/Child Support e. Temporary Ex Parte/Protective Orders 	<p>Retain two (2) years after the inmate's release, then to the State Records Center thirteen (13) years, then destroy.</p>

Schedule Approved by Department, Agency, or Division Representative.

Date 6/5/08

Signature J. Michael Stouffer

Typed Name J. Michael Stouffer

Title Commissioner

Schedule Authorized by State Archivist

Date 5/18/09

Signature Edward C. J. [Signature]

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I. (cont'd)	<p>4. Commitment</p> <ul style="list-style-type: none"> a. Sentence Status Report with supporting documentation b. Copies of Commitment(s) and the OBSCIS 09 Legal Screen (Copy of OBSCIS Screens 03, 04, 07 and 17) c. Fast and Speedy Trial Requests d. Court trip paperwork e. Commitment correspondence f. Current commitment status notification g. Open/Close DOC # <p>5. Visitors Cards – Current and previous</p> <p>6. Warrant of transfer</p> <p>B. SECTION II – (file in order as listed.)</p> <ul style="list-style-type: none"> 1. Progress Sheets (blue)/Patuxent Progress Sheets (white) 2. Criminal History Verification Form/Correspondence 3. FBI Report and CJIS Printouts – (Maryland Rap Sheets 4. Case Management Intake Summary (original) 5. Statement of Charges (pretrial), Official State's Version, and Request for State's Version. 6. Pre-Sentence Investigation Reports, Maryland Sentencing Guidelines Worksheet (green), Parole and Probation Supervision Summary. 7. Parole Revocation Decision 	<p>Retain two (2) years after inmate's release, then to the State Records Center thirteen (13) years, then destroy.</p>
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I. (cont'd)	<p>8. Parole Decision on top of Pre-Parole Summaries (in reverse chronological order.)</p> <p>9. Parole Correspondence</p> <p>C. SECTION III – (file in reverse chronological order.)</p> <p>1. Case Management Process Programs (CMP)</p> <ul style="list-style-type: none"> a. OBSCIS I Maintain Reservation Screen 14 Entry Form b. Copy of Official MAP Plan/CMP c. Chronology of Institutional Progress d. CMP Orientation Certification e. Sensitive CMP Case f. CMPP Noncompliance/Amendment Report g. CMP Memos for Minor Changes/Disapproval h. CMP Completion Certificate i. Notice of DOC Decision to Cancel MAP Agreement j. Copies of Authority Moves for MAP/CMP Inmates <p>NOTE: If MAP/CMP contract is cancelled or one party refuses to negotiate, staple and place in back of Section III.</p>	<p>Retain two (2) years after inmate's release, then to the State Records Center thirteen (13) years, then destroy.</p>

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I. (cont'd)	2. Case Management Action Records/Forms <ul style="list-style-type: none"> a. Security and Custody Reclassification Instrument b. Initial Security Classification Instrument c. Emergency MCAC Transfer Request Form/Assignment to MCAC d. Case Management Assignment Sheet e. Authority Move Forms f. Boot Camp Eligibility Form g. Commander's Board Form h. Mental Health Unit Admission and Discharge Form i. Referral for transfer to Patuxent for evaluation j. Interstate Corrections Compact Application/Denial by Signatory State k. Notice of Assignment to Administrative Segregation (attach to Case Management Assignment Sheet) l. Notice of Assignment to Protective Custody (attach to Case Management Assignment Sheet) m. Home Detention Program Screening/Acceptance Form Patuxent Board of Review Summary (final) n. Program Eligibility Screening Sheet o. Correctional Options Program Screening Form p. Application for CARC Placement 	Retain two (2) years after inmate's release, then to the State Records Center thirteen (13) years, then destroy.

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I. (cont'd)	<ul style="list-style-type: none"> q. CARC Application Review r. Waiver of Appearance before Case Management Team s. RSAT Forms t. Volunteer/Unpaid Status Form u. Notification/Waiver Form v. Military Structure Barracks w. PREP and REP Forms x. ITP (Intensive Treatment Program) y. Waiver of Pay (Labor Pool) 3. Work Release Forms <ul style="list-style-type: none"> a. Notification of Removal from Work Release b. Work Release Employment Investigation Plan c. Work Release Employer Guidelines d. Work Release Program Application e. Collection of Restitution Payments for Work Release Earnings f. Notice of Restitution Withholdings g. Work Release Field Sheet 4. Community Leave Forms 5. Waiver of Extradition Form 6. Notification of Escape Law 	Retain two (2) years after inmate's release, then to the State Records Center thirteen (13) years, then destroy.	

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D. SECTION IV – (file in reverse chronological order.)

1. Disciplinary Actions
 - a. Incident Reports/Information Report Form
 - b. Matter of Record
 - c. Disciplinary Report/Receipt of Warden's Decision Form
 - d. Loss of Good Conduct Time Forms
 - e. Patuxent Disciplinary Hearings which occurred after 3/1/92
 - f. Disciplinary Appeal Hearings
2. Informal Inmate Complaint Forms
3. Inmate Grievance Forms
4. Segregation Forms
5. Escape Report Forms/Retake Warrants

E. SECTION V – (file in reverse chronological order.)

1. Required Medical Reports (to include Medical Clearance: Program and Work Assignment Forms)
2. Psychological Evaluation Summary
3. AIDS Orientation Receipt
4. Psychological Assessment

Retain two (2) years after inmate's release, then to the State Records Center thirteen (13) years, then destroy.

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<p>I. (cont'd)</p>	<p>5. Social Work Assessments/Reports 6. Educational Reports/Materials 7. Occupational Reports/Evaluation Screenings 8. Certificates/Awards 9. Addiction Assessment Report/Forms (MASI, TCU, ASI-CV, Mental Health Screening Forms/Reports) 10. Drug Detection System Results 11. Employment</p> <p> a. Maryland Correctional Enterprises Application b. Boot Camp Evaluation c. ECI Application</p> <p>12. Substance Abuse Education/Pre-Release Planning or Addictions Services Program Correspondence 13. Request for DNA Sample 14. Notification of Next of Kin 15. Domestic Violence Group Screening 16. Urinalysis Test 17. Quality of Life Forms 18. Inmate POD/Corridor Worker Intake Questionnaire</p> <p>F. SECTION VI – (file in reverse chronological order.)</p> <p> 1. Pertinent Letters - general correspondence 2. Base File Review - Application and Consent Form for Release of Inmate Case Record Information</p>	<p>Retain two (2) years after inmate's release, then to the State Records Center thirteen (13) years, then destroy.</p>

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3. Waiver of Medical Interview
4. Case Manager Interview Notes
5. Miscellaneous Material Receipts
6. Rules and Regulations
7. Orientation Receipts
8. Inmate movement - Medical Trips,
Compassionate Leave
9. MRDCC Forms
10. On the Spot Reports
11. Receipts for Inmate Handbook, Institutional
Handbook
12. Extra Black and White Inmate Photographs
13. Copy of Receipt for Patuxent Material
14. Religious Preference Registration Form
15. Clinic Vote Sheet
16. Old Case Records (small files)
17. Division of Pretrial Detention and Services
Material
NOTE: Pull all Statement of Charges (file in
Section II) and Disciplinary Reports (file in
Section IV)
18. Release Paperwork (if inmate is returned)
19. Property Forms
20. Visitation Suspension Notices
21. Ex-Offender Visitors Memos
22. Institutional Progress Report Form
23. Consent to Frisk Search
24. Inmate Cell Inspection Policy Form
25. Computer Inmate Picture

Retain two (2) years after inmate's release, then to the State Records Center thirteen (13) years, then destroy.

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II.	<p>MUTUAL AGREEMENT PLAN (MAP) FILE – HEADQUARTERS:</p> <p>A. SECTION I – Copy of MAP Plan B. SECTION II – MAP Forms and Correspondence</p> <ol style="list-style-type: none"> 1. MAP Agreement Form 2. MAP Amendment Form 3. MAP Automatic Cancellation Form 4. MAP Memos for Minor Changes 5. General Correspondence 	<p>Retain three (3) years after close of MAP Plan, then destroy.</p>
III.	<p>CASE MANAGEMENT UNIT – DOC HQ:</p> <p>A. Case Management Action and Correspondence</p> <ol style="list-style-type: none"> 1. Inmate Correspondence 2. Staff Correspondence to Inmate 3. Drafts for Governor’s Signature 4. Special Leave Approval Forms (copy) 5. Family Leave Approval Forms (copy) 6. Work Release Approval Forms (copy) 7. Correspondence to and from Other Agencies 8. Correspondence to State, Local, and Federal Elected Officials 9. Deportation Hearings Information from the U.S. Citizenship and Immigration Services Agency (U.S. Department of Homeland Security) 	<p>Retain four (4) years, then destroy.</p>

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<p>III. (cont'd)</p>	<p>B. Interstate Corrections Compact Files</p> <ol style="list-style-type: none"> 1. Correspondence 2. Criminal History Information from the Sending State 3. Interstate Corrections Compact Application 4. Photo of Inmate 5. Commitment Papers 6. Parole Materials 7. Disciplinary Records 8. Narrative Summary of the Inmate's Psychiatric and/or Psychological Condition 9. Inmate's Consent for Transfer and Waiver Form 10. Letter of Transmittal and Check List 11. Reports on Inmate's Progress and Adjustment 	<p>Destroy on inmate's release from custody.</p>
<p>IV.</p>	<p>ADMINISTRATIVE REMEDY FILES – DOC HQ:</p> <p>A. Files by Institution and Year</p> <ol style="list-style-type: none"> 1. Initial Request for Administrative Remedy <ol style="list-style-type: none"> a. Form b. Supporting documents 2. DOC Headquarters Administrative Remedy Appeal Forms 3. Correspondence 4. Action Memo from Commissioner to Wardens and Program Directors 	<p>Retain four (4) years, then destroy.</p>

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- 5. Adverse Effect Direction Form
- 6. Administrative Remedy Process
- 7. Late Notice Action Memo

Retain four (4) years, then destroy.

- B. Administrative Remedy Log
- C. Administrative Remedy Index
- D. Administrative Remedy Annual Reports

V. INSTITUTIONAL ADMINISTRATIVE REMEDY FILES:

A. Individual Files Maintained by ARP Case Number

Retain four (4) years, then destroy.

- 1. Request for Administrative Remedy
- 2. Assignment of Investigation
- 3. Documented Results of Investigation

- a. Interview notes
- b. Copies of reports
- c. Case summary
- d. Other supporting information

- 4. Warden's Response
- 5. Inmate's Agreement with 10-Day Extension (if applicable)
- 6. Headquarters Appeal of Administrative Remedy Response (if applicable)

- B. Request for Administrative Remedy Not Accepted for Processing
- C. Administrative Remedy Index (quarterly aggregate data)

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VI.

CASE MANAGEMENT REPORTS/LOGS, SERIES I:

A. Daily Change Sheet Logs

1. Work Changes
2. Inmates Received
3. Inmates Transferred to Other Institutions
4. Inmates Released
 - a. Court release
 - b. Mandatory release
 - c. Parole release

B. Mental Health Unit (MHU) Log

1. Inmates Admitted to MHU
2. Inmates Discharged from MHU
3. Inmates Released while in MHU

C. Orientation Memos – list of inmates who attended orientation

D. Authority Moves – transfer of inmates to:

1. Sanitary/Food Service from Labor Pool
2. Drug Programs
3. Academic School
4. Occupational Shops
5. Job assignments not requiring case management team action

Retain two (2) years, then destroy.

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VI. (cont'd)	<p>E. Parole Hearings</p> <ol style="list-style-type: none"> 1. Number of Parole Commission cases 2. Parole Hearings <ol style="list-style-type: none"> a. Deleted b. In custody c. Mandatory releases d. Court releases e. Transferred f. In Court g. Ineligible h. Approvals i. Refusals j. Administrative refusals k. Rehearings l. Hold for Psychological m. Revocation Hearings <p>F. Mutual Agreement Program (MAP) Hearings</p> <ol style="list-style-type: none"> 1. MAP Orientation 2. MAP Negotiation Hearings <ol style="list-style-type: none"> a. Approved b. Refused c. Holds 3. MAP Re-Negotiations <ol style="list-style-type: none"> a. Cancelled b. Amended 	Retain two (2) years, then destroy.

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VI. (cont'd)	<p>G. Institutional Case Management Program/MAP Plans and Forms</p> <ol style="list-style-type: none"> 1. Agreement Form (MAP only) 2. Memos for Minor Changes (MAP only) 3. Assignment Sheet 4. Automatic Cancellation Form 5. Amendment/Violation Form 6. General Correspondence <p>H. Budget Log for Supplies</p> <ol style="list-style-type: none"> 1. Balance Sheet for Supplies 2. Purchasing Request 	<p>Retain two (2) years, then destroy.</p>
VII.	<p>CASE MANAGEMENT REPORTS/LOGS, SERIES II:</p> <p>A. Case Management Meeting Results Docket</p> <ol style="list-style-type: none"> 1. Number of meetings 2. Cases reviewed 3. Actual Number of Inmates Reviewed 4. Actual Meeting Types <ol style="list-style-type: none"> a. Initial Classification b. Reclassifications c. Segregation Reviews d. Stabilization Reviews e. Administrative Segregation Reviews f. CMP Developed g. CMP Redeveloped h. Re-Assignments 	<p>Retain three (3) years and until all audit requirements have been fulfilled, then destroy.</p>

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VII. (cont'd)	<p>B. Disciplinary Hearings</p> <ol style="list-style-type: none"> 1. Segregation 2. Cell restrictions 3. Probation 4. Counsel and Reprimand 5. Loss of Good Conduct Time 6. Incident Report 7. Matter of Record 8. Not Guilty 9. Dismissed 10. Others <p>C. Court Trip Log</p> <ol style="list-style-type: none"> 1. Escape Risks 2. Disciplinary Violations 3. Enemies <p>D. Base File Receipt File</p> <ol style="list-style-type: none"> 1. Transfers to Other Institutions or Agencies <ol style="list-style-type: none"> a. Name b. Number c. Reason for Transfer 	Retain three (3) years and until all audit requirements have been fulfilled, then destroy.

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<p>VII. (cont'd)</p>	<p>2. Received from Other Institutions</p> <p> a. Name</p> <p> b. Number</p> <p> c. Type of Release/New Commitment Number</p> <p>E. Notary Public Log</p> <p> 1. Date/number</p> <p> 2. Identification</p> <p> 3. Affirm/acknowledge</p> <p> 4. Description</p>	<p>Retain three (3) years and until all audit requirements have been fulfilled, then destroy.</p>