DEPARTMENT OF GENERAL SERVICES-STATE RECORDS CENTER

# RECORDS RETENTION AND DISPOSAL SCHEDULE

SCHEDULE 2470



## DEPARTMENT OF HEALTH & MENTAL HYGIENE

# MENTAL HYGIENE ADMINISTRATION

This schedule supersedes and replaces schedules 928, 928A, 1063, 1432 and is limited for use by MHA staff to manage the records of component units (except Residential Facilities) along with the DHMH General Administrative Records Schedules 2112. The following schedules of the former State Department of Mental Hygiene are also rescinded and made obsolete: (Schedules 275, 276, 277, 375, 376, 377, 378, 379, 380, 381, 382, 383, 384, 385, 386, 387, 388, 396).

| ITEM | NAME AND DESCRIPTION OF RECORDS SERIES | AUTHORIZED RETENTION PERIOD & INSTRUCTIONS |
|---|---|---|
| 1 | **EXECUTIVE OPERATIONS**<br>**Office of the Executive Director**<br>**A. EXECUTIVE COMMUNICATIONS SERIES**<br>1) General Correspondence<br>2) Original incoming letters<br>3) Copies of outgoing letters<br>4) Faxes<br>5) E-mails<br>6) Memoranda, reports, studies, plans, notices, etc. | 1A Screen annually. Retain **permanently** those materials which serve to document the origin, development, functions, programs, and accomplishments of MHA. When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives.<br><br>Retain files that are not permanent in office for **three (3) years** or until no longer needed, and then destroy. |
| | **B. CONTROLLED CORRESPONDENCE**<br>1) Copies of constituent letters written to the Governor, Legislators, Secretary, etc., designated for MHA response. (originals at DHMH-HQ)<br>2) Copies of response letters or emails | 1B Screen annually. Retain **permanently** those materials which serve to document the origin, development, functions, programs and accomplishments of MHA. When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives.<br><br>Retain other files in office for five **(5) years** or until no longer needed, and then destroy. |
| | **C. MANAGEMENT INFORMATION SERIES**<br>1) MHA Legislative Audit /Status Reports<br>2) Joint Chairmen Reports<br>3) Facility Site Visit Reports<br>4) Facility Incident Reports<br>5) Plans, Studies, Surveys, Presentations | 1C 1) to 5) Retain in office for **ten (10) years** or until no longer needed, and then destroy. |
| | 6) Management Committee Minutes<br>7) MHA/CSA/ASO Meeting Minutes<br>8) Annual Reports<br>9) Budget Hearing Presentations | 1C 6) to 9) Retain **permanently.** When no longer needed in office move to the MHA History File for periodic transfer to the Maryland State Archives. |

APPROVED BY: (DHMH Official) DATE:

SIIGNATURE: Brian Hepburn

BRIAN HEPBURN, Executive Director, MHA

AUTHORIZED BY: (STATE ARCHIVES) DATE: 4 Jun 09

SIGNATURE: Edward C Papenfuse

EDWARD C PAPENFUSE, JR., State Archivist

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|---|---|---|
| 1 | EXECUTIVE OPERATIONS<br>**MHA Counsel Office(AAG)**<br>**D. MHA LEGAL SERIES**<br>1) Lawsuits<br>2) Legal Opinions<br>3) Advice of Counsel<br>4) PIA Request File, Subpoenas | 1D Retain **permanently.** When no longer needed in office move to the MHA History File for periodic transfer to the Maryland State Archives. |
| | **MHA Public Relations Office**<br>**E. PUBLIC RELATIONS SERIES**<br>1) MHA-related news clips, photos, and articles<br>2) MHA Newsletter File<br>3) One copy of each MHA publication<br>4) PIA Request File | 1E. Retain **permanently.** When no longer needed in office move to the MHA History File for periodic transfer to the Maryland State Archives. |
| | **Office of Government Affairs**<br>**F. GOVERNMENT AFFAIRS FILES**<br>1) LEGISLATION FILE SERIES – tracked bills, position papers, fiscal notes, etc.<br>2) REGULATION FILE SERIES - MHA regs, regs applicable to MHA, COMAR etc.<br>3) MHA POLICY FILE SERIES – MHA policies, MHA facility policies, etc | 1F - Screen annually. Permanently retain materials which serve to document the origin, development, functions, programs and accomplishments of MHA. When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives. |
| | 4) VARIANCE /WAIVER APPLICATIONS | Retain all other files for **four (4) years,** then destroy. |
| | **G. MHA HISTORY FILE -** Materials screened and transferred from files throughout MHA including one copy of each MHA publication; photos, film, video or newspaper clippings; awards, certificates and other recognition; documentation of noted or significant issues. | 1.G. Retain **permanently** and periodically transfer to the Maryland State Archives. |
| 2 | ADMINISTRATIVE OPERATIONS<br>**Office of Administrative Management and Personnel Services**<br>**A. MHA ADMINISTRATIVE OPERATIONS**<br>1) MHA Personnel Operations- Staffing, reports, etc<br>2) MHA Administrative Operations | 2.A. Retain in office or storage for **four (4) years** and until no longer needed, then destroy. |

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|---|---|---|
| 2 | **ADMINISTRATIVE OPERATIONS**<br>**Office of Fiscal Services**<br>**B. FISCAL RECORD SERIES**<br>**1) Fiscal Documentation**<br>- FMIS reports<br>- Expense reports<br>- Corporate Credit Card Reconciliations<br>- Travel Requests<br>- Payments to vendors | 2.B 1) Maintain annual folders for each subject. Retain the current year and previous year's folders in office. Transfer older files to inactive storage and retain for **four (4) more years** and until all audit requirements are met, then destroy. |
| | **2) Procurement and Contracts**<br>- ASO contracts<br>- Private vendor contracts<br>- MBE data | 2.B 2) Retain for **five (5) years** after completion/closure, and until all audit requirements are met, then destroy. |
| | **3) Core Service Agency (CSA) MOU'S**<br>- CSA MOU budgets<br>- CSA financial records<br>- Conditions of award | 2.B 3) Retain for **five (5) years** after completion / closure, and until all audit requirements are met, then destroy. |
| | **Office of Data & Management Information**<br>**C. INFORMATION SERVICES**<br>1) Reports and Documentation - Access control, security, website maintenance | 2.C 1) Retain reports and documentation in office for **one (1) year;** transfer to storage for **four (4) more years**, and then destroy. |
| | 2) MHA data collections, spreadsheets, and document backup files | 2.C 2) **Backup** files at least **monthly** and retain the backup copy in a remote location until replaced, then delete. |
| | PROGRAM SUPPORT SERVICES<br>**MANAGED CARE OPERATIONS, OFFICE OF** | |
| 3 | **A. MCO FILE SERIES**<br>1) Meeting Minutes | 3.A 1) Retain **permanently.** When no longer needed in office move to MHA History file for periodic transfer to Maryland State Archives. |
| | 2) Contact information for the different Managed Care Organizations. | 3.A. 2) Retain in office for **five (5) years**, then destroy. |
| | **B. CORE SERVICE AGENCY FILES**<br>1) Meeting minutes<br>2) External Audits<br>3) Annual reports | 3.B 1) to 3) Retain **permanently.** When no longer needed in office move to the MHA History File for periodical transfer to the Maryland State Archives |
| | 4) Budget info<br>5) Monitoring | 3.B 4) to 5) Retain in office for **four (4) years** and until all audit requirements are met, then destroy. |
| | **Office of Compliance & Risk Management**<br>**C. COMPLIANCE AND AUDIT SERIES**<br>1) MAPS audits of providers<br>2) OHCQ audits of providers<br>3) Office of Compliance audits | 3.C 1) to 3) Retain in office **ten (10) years** then destroy. |
| | 4) Appeals, denials, and approval letters<br>5) Correspondence | 3.C 4) to 5) Retain in office **five (5) years**, then destroy. |

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|---|---|---|
| | **Planning,Evaluation & Training, Office of** | |
| 4. | **A. MHA PLANNING FILES**<br>1) Annual Reports–implementation, accomplishments<br>2) Planning efforts of each local jurisdiction, budget requests;<br>3) Membership Rosters<br>4) Duties, Responsibilities, Advocacy efforts | 4.A Screen files annually. Permanently retain Annual Reports and those materials which serve to document the origin, development, functions, programs and accomplishments of MHA. When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives.<br>Retain other files for **four (4) years**, and then destroy. |
| | **B. ANNUAL STATE MENTAL HEALTH PLAN**<br>1) Document is developed annually to identify State goals, objectives, and strategies.<br>2) Implementation Reports - document progress of previous year's strategies. | 4.B Retain **permanently.** When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives |
| | **C. MHA ANNUAL REPORT**<br>Describes the accomplishments of MHA. | 4.C Retain **permanently.** When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives. |
| | **D. ANNUAL MHA CONSUMER SURVEY**<br>1) Executive Summary report<br>2) Detailed Survey Report<br>3) Tri-fold pamphlets for survey.<br>4) Correspondence | 4.D 1) to 3) Retain **permanently.** When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives.<br>4.D 4) Retain in office for **three (3) years**, then destroy. |
| | **MARYLAND ADVISORY COUNCIL** | |
| | **E. MAC MEETINGS -** Minutes of monthly meetings, agenda, attendees | 4.E Retain **permanently.** When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives. |
| | **F. FEDERAL BLOCK GRANT PROGRAM**<br>1) APPLICATIONS- CMH Plan, spending plan.<br>2) IMPLEMENTATION – reports | 4.F Retain for **five (5) years**, then destroy. |
| | **Office of Consumer Affairs** | |
| 5 | **A. CONSUMER AFFAIRS**<br>1) Complaints<br>2) Constituent Services communication. | 5.A Retain for **five (5) years**, then destroy. |
| 6 | **A. COMMUNITY MENTAL HEALTH PROGRAM**<br>1) State & Federal program monitoring<br>2) State & Federal program approval process<br>3) Case management<br>4) Site Visit Files,<br>5) Community program deemed-status files. | 6.A. Maintain annual folders for each function and retain current and two previous year's folders in office. Move **3-year old files** to inactive storage for **three (3) more years**, and then destroy if no longer needed. |

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| 6 | **CLINICAL DIRECTOR, OFFICE OF THE**<br>**B. MEETING MINUTES**<br>1) Managed Care Organizations (MCO / MHA) Meeting Minutes<br>2) Clinical Director's Meeting Minutes | 6.B. Retain **permanently.** When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives. |
| | **SPECIAL NEEDS POPULATIONS, OFFICE OF**<br>**C. SPECIAL NEEDS POPULATION SERIES**<br>1) Resource information<br>– PATH Annual progress report & training manual;<br>-- Shelter Plus Care Housing Program Annual Reports & Training manual<br>-- TAMAR Manual<br>-- Disaster Plans.<br>2) Shelter Plus Care Consumer Master Files | 6.C 1) & 2) Retain **permanently.** Retain in office for **five (5) years**, then move to the MHA History File for periodic transfer to the Maryland State Archives. |
| | 3) General Correspondence Files | 6.C 3) Retain in office for **three (3) years,** then destroy if no longer needed. |
| | **ADULT SERVICES, OFFICE OF**<br>**D. ADULT CASE SERIES**<br>1) Adult Services Case Management<br>- Applications<br>- Patient information<br>- Adult Services policies and procedures<br>- Adult Services administrative files<br><br>2) Traumatic Brain Injury (TBI) Program<br>- TBI Waiver participant files<br>- TBI Waiver admin files<br>- TBI grant files<br>- TBI Waiver QA binders<br><br>3) Evidenced Based Practice (EPB) Files<br>- General Files<br>- Program Evaluations<br><br>4) Housing Services<br>- Case management files<br>- Lease to housing | 6.D 1) to 4) – Retain in office for **tree (3) years**, or until completion of grant; transfer to storage for **three (3) more years** or until all audit requirements have been met (whichever is longer), then destroy if no longer needed. |
| | 5) PASRR / Interstate Compact Records | 6.D 5) Retain in office for **two (2) years**. Transfer to Records Center for **five (5) years**, then destroy |

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| 6 | **CHILDREN & ADOLESCENT SERVICES, OFFICE OF**<br>**E. CHILDREN & ADOLESCENT SERIES**<br>1) DJJ CASE MANAGEMENT<br>- Dept of Juvenile Justice – Case Files<br>- Reports from Detention Centers<br>- Assessments of youth from DJJ | 6.E 1) & 2) Retain for **five (5) years** and until client is **at least 21 years old**, then destroy. |
| | 2) Court Referrals<br>- Court records for juveniles, including court orders | |
| | 3) Youth Suicide Prevention Program<br>- Intervention and post-vention files<br>- Md. Youth Crisis Hotline – Program management<br><br>4) "LISA L" Lawsuit Files<br>- Case referrals to Shepperd Pratt<br><br>5) C&A Program Planning & Policies<br>- MHA C&A policies and procedures<br>- Statewide C&A Program development. | 6.E 3) to 5) **Permanent**. Retain files in office until no longer needed, then move to the MHA History File for periodic transfer to the Maryland State Archives. |
| 7 | **FORENSIC SERVICES, OFFICE OF**<br>**A. FORENSIC CASE SERIES**<br>1) Court-ordered Pre-trial Evaluations<br>2) Court-ordered Pre-sentence Evaluations | 7.A. Retain in office for **five (5) years**, then destroy. |
| 8 | **FACILITIES MANAGEMENT OFFICE**<br>**A MHA FACILITY FILES**<br>1) OHCQ Reports<br>2) JCAHO Reports<br>3) Audit Reports<br>4) News articles and clips, studies, and other facility reports. | 8.A Maintain folders for each MHA facility and screen annually. Retain **permanently** those materials which serve to document the origin, development, functions, programs, accomplishments and history of the MHA facility for periodic transfer to the Maryland State Archives.<br><br>Retain all other information for **five (5) years** or until no longer needed, then destroy. |
| | **B . RTC** (RESIDENTIAL TREATMENT CENTER) **FILES**<br>1) Internal Audits | 8.B.1) Retain audits for **ten (10) years**, then destroy. |
| | 2) Payment Files<br>3) Requests for extension of payments | 8.B 2) & 3) Retain for **five (5) years**, then destroy. |

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| 9. | **MENTAL HEALTH TRANSFORMATION, OFFICE OF**<br>**A. MHTransformation SIG SERIES**<br>1) MHT SIG Original Applications, reapplications<br>2) SIG Contract Awards<br>3) Financial Status Reports<br>4) Budgets, justification<br>5) TWG Meeting Binders<br>- TWG Meeting minutes and agenda<br>- TWG meeting Audio tapes<br>- Meeting Attendee Lists<br>6) MHT Program documentation | 9A **Permanent.** Retain MHT program files in office for **five (5) years** and until all audit requirements are met. Screen, remove and destroy working papers, draft reports, and non-record materials, then move permanent files to the MHA History File for periodic transfer to Maryland State Archives. |