DEPARTMENT OF GENERAL SERVICES-STATE RECORDS CENTER

RECORDS RETENTION AND DISPOSAL SCHEDULE

SCHEDULE NUMBER 2609

DEPARTMENT OF HEALTH & MENTAL HYGIENE

Deputy Secretariat for Operation
Office of Regulation and Policy Coordination

Item No.	Description of Records Series (from Inventory Form)	Authorized Retention Period & Instructions
	This schedule supersedes Schedules 1837, 1838, 2111 Items 2 and 3, 2307 Item 1	
1	**CLOSED REGULATIONS FILE**	
	Correspondence, draft and final regulations, comments received and responses, the Maryland Register clipping of proposals and finals, approvals from Assistant Attorney General and the Secretary, etc	**Retain permanently**, transfer to State Archives every 2 years.
2	**POLICY MANAGEMENT RECORDS SERIES**	
	A. Current DHMH Policy File – a set of folders in policy number sequence, containing the original policy documents with the Secretary's signature, plus review and approval sheets with comments by the Attorney General's office and Programs affected by the policy.	**A. Retain permanently**, transferring to Inactive/Superseded Policy File (see item 2B) when replaced or vacated.
	B. Inactive/Superseded Policy File- A set of folders in policy number sequence containing original, signed policies, when available, which are no longer in effect. In addition to information described in current policy folders, additional information regarding the deactivation of the policy may be included.	**B. Retain permanently**, transfer to State Archives every 5 years.
	C. Policy Administration Files – Information and documentation generated during the process of developing DHMH policies, including correspondence, a database of policy data, tracking/monitoring information for policies-in-progress, an index, e-mail discussing content of policies (either electronic or paper), draft policies, and other working papers.	**C. Retain in office for one year** following the signing of the policy. Screen file and computer information and transfer information which shows the development of the policy to the Current DHMH Policy file, (item 2A). All other material, destroy.
3	**DHMH HISTORY FILE**	**3. Retain permanently,** transfer to State Archives every 5 years
	Information which illustrates the development of the Department, its programs and policies, including historic records transferred from component units.	

APPROVED BY: (DHMH Official)	**AUTHORIZED BY: (MD STATE ARCHIVES)**
DATE: 8-27-12	**DATE:** 9-18-12
SIGNATURE: Michele A. Phinney	**SIGNATURE:** Edward C Papenfuse
NAME/TITLE: Michele A. Phinney, Director, Office of Regulation and Policy Coordination	**NAME/TITLE: EDWARD C PAPENFUSE, JR., STATE ARCHIVIST**

DGS 550-1 (DHMH 2002)

DHMH Instructions -Make a list of all files. Determine whether each is non-record, record material or both. Group into Record Series. Prepare a separate inventory form for each Record Series identified. All Record Series are to be listed on a Schedule Form. Forward all Records Inventory forms with the proposed Schedule form (DGS 550-1) to the DHMH Records Officer thru your Records Coordinator.

DEPARTMENT OF GENERAL SERVICES
STATE RECORDS CENTER
7275 WATERLOO ROAD
P.O. BOX 275
JESSUP, MARYLAND 20794
(410) 799-1379

DHMH RECORDS INVENTORY

PAGE _1_ OF _5__

1. Department/Agency
MD DEPT OFHEALTH & MENTAL HYGIENE

2. Office/Administration/Board
OFFICE OF REGULATION AND POLICY COORDINATION

3. Division/Unit or Section

DEFINITION - RECORD SERIES - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.

4. Record Series Title
1. **CLOSED REGULATIONS FILE**

5. Earliest Year/Latest Year
_____ to _____

6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.)
Correspondence, draft and final regulations, comments received and responses, the Maryland Register clipping of proposals and finals, approvals from Assistant Attorney General and the Secretary, etc

7. Record Series Format(s) List all

Paper:	Film / tape:	Electronic:
X Letter Size	Film/Slides (35mm, etc)	Kept on Hard Drive
Legal Size	Microfilm/ Microfiche	Computer Tape
Rolls ___	Audio Tape	Floppy Disk
Bound Book	Video Tape	CD,DVD,etc
Card _____	Other (specify)_____	

8. Record Series Sequence
Alphabetical
Numerical
x Chronological
Geographical
Other (specify) _____

9. Volume
_____ File Drawer(s)
Microfilm Reel(s)
Computer Tape(s)
Number Other (specify)

10. Annual Accumulation
_____ File Drawer(s)
Microfilm Reel(s)
Computer Tape(s)
Number Other (specify)

11. File is Used Daily Weekly x Monthly Annually

12. File Becomes Inactive After _____ Month(s)
Number Year(s)

13. Current Location(s) (Bldg., Floor, Room)
201 Preston St, 5th Fl, BALTIMORE AND OTHER LOCATIONS

14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.)
Yes x No Agency/ Format_____

15. Privacy / Access Restrictions Yes x No
Personal Medical Proprietary Classified Other _____
(If Yes, cite Law(s) & Regulation(s) HIPAA, PERSONNEL REGS

16. Audit Requirements x None Internal OIG
Legislative Federal Independent

17. Is an Index System used? If yes, explain briefly and describe requirements
Yes No _____

18. Recommended Retention: In Office And In Storage (Each Format)
Retain Permanently, transfer to State Archives every two years

19. Name and Title of Preparer
WALTER ZERRLAUT
DHMH RECORDS OFFICER
E-mail address: walter.zerrlaut@maryland.gov

20. Location:
201 WEST PRESTON STREET, BALTIMORE MD 21201
Telephone Number# 410 767-3598 Room # ROOM LL-5

21. Date
SEPTEMBER 10, 2012

DGS 550-4 (DHMH Rev. 2002)

DHMH Instructions -Make a list of all files. Determine whether each is non-record, record material or both. Group into Record Series. Prepare a separate inventory form for each Record Series identified. All Record Series are to be listed on a Schedule Form. Forward all Records Inventory forms with the proposed Schedule form (DGS 550-1) to the DHMH Records Officer thru your Records Coordinator.

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3. Division/Unit or Section

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4. Record Series Title
1. **CLOSED REGULATIONS FILE**

5. Earliest Year/Latest Year
____ to ____

6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.)
A set of folders in policy number sequence, containing the original policy documents with the Secretary's signature, plus review and approval sheets with comments by the Attorney General's office and Programs affected by the policy.

7. Record Series Format(s) List all

Paper:	Film / tape:	Electronic:
X Letter Size	Film/Slides (35mm, etc)	Kept on Hard Drive
Legal Size	Microfilm/ Microfiche	Computer Tape
Rolls ___	Audio Tape	Floppy Disk
Bound Book	Video Tape	CD,DVD,etc
Card _____	Other (specify)_____	

8. Record Series Sequence
Alphabetical
Numerical
x Chronological
Geographical
Other (specify) _____

9. Volume
File Drawer(s)
Microfilm Reel(s)
_____ Computer Tape(s)
Number Other (specify)

10. Annual Accumulation
File Drawer(s)
Microfilm Reel(s)
_____ Computer Tape(s)
Number Other (specify)

11. File is Used Daily Weekly x Monthly Annually

12. File Becomes Inactive After _____ Month(s)
Number Year(s)

13. Current Location(s) (Bldg., Floor, Room)
201 Preston St, 5th Fl, BALTIMORE AND OTHER LOCATIONS

14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.)
Yes x No Agency/ Format_____

15. Privacy / Access Restrictions Yes x No
Personal Medical Proprietary Classified Other _____
(If Yes, cite Law(s) & Regulation(s) HIPAA, PERSONNEL REGS

16. Audit Requirements x None Internal OIG
Legislative Federal Independent

17. Is an Index System used? If yes, explain briefly and describe requirements
Yes No _____

18. Recommended Retention: In Office And In Storage (Each Format)
Retain permanently, transferring to Inactive/Superseded Policy File (see item 2B) when replaced or vacated.

19. Name and Title of Preparer
WALTER ZERRLAUT
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E-mail address: walter.zerrlaut@maryland.gov

20. Location:
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Telephone Number# 410 767-3598 Room # ROOM LL-5

21. Date
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OFFICE OF REGULATION AND POLICY COORDINATION

3. Division/Unit or Section

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4. Record Series Title
2B. **Inactive/Superseded Policy File**

5. Earliest Year/Latest Year
____ to ____

6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.)
A set of folders in policy number sequence containing original, signed policies, when available, which are no longer in effect. In addition to information described in current policy folders, additional information regarding the deactivation of the policy may be included.

7. Record Series Format(s) List all

Paper:	Film / tape:	Electronic:
X Letter Size	Film/Slides (35mm, etc)	Kept on Hard Drive
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Rolls ___	Audio Tape	Floppy Disk
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Card ____	Other (specify)_____	

8. Record Series Sequence
Alphabetical
Numerical
x Chronological
Geographical
Other (specify) _____

9. Volume
File Drawer(s)
Microfilm Reel(s)
_____ Computer Tape(s)
Number Other (specify)

10. Annual Accumulation
File Drawer(s)
Microfilm Reel(s)
_____ Computer Tape(s)
Number Other (specify)

11. File is Used Daily Weekly x Monthly Annually

12. File Becomes Inactive After _____ Month(s)
Number Year(s)

13. Current Location(s) (Bldg., Floor, Room)
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14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.)
Yes x No Agency/ Format_____

15. Privacy / Access Restrictions Yes x No
Personal Medical Proprietary Classified Other _____
(If Yes, cite Law(s) & Regulation(s) HIPAA, PERSONNEL REGS

16. Audit Requirements x None Internal OIG
Legislative Federal Independent

17. Is an Index System used? If yes, explain briefly and describe requirements
Yes No _____

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4. Record Series Title
2C. **Policy Administration Files**

5. Earliest Year/Latest Year
____ to ____

6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.)
Information and documentation generated during the process of developing DHMH policies, including correspondence, a database of policy data, tracking/monitoring information for policies-in-progress, an index, e-mail discussing content of policies (either electronic or paper), draft policies, and other working papers.

7. Record Series Format(s) List all

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Personal Medical Proprietary Classified Other _____
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17. Is an Index System used? If yes, explain briefly and describe requirements
Yes No _____

18. Recommended Retention: In Office And In Storage (Each Format)
Retain in office for one year following the signing of the policy. Screen file, destroy information which is no longer needed, and transfer information which shows the development of the policy to the Current DHMH Policy file, (item 2A).

19. Name and Title of Preparer
WALTER ZERRLAUT
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E-mail address: walter.zerrlaut@maryland.gov

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