

# RECORDS INVENTORY AND RETENTION SCHEDULE COVER SHEET

<b>Schedule Number</b> <small>(To be completed by DGS/Records Management Division)</small>	<b>2333A3</b>
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**Agency Information**

Department / Agency	Maryland Department of Health
Division / Unit	Office of the Inspector General
Mission Statement/Link to division/unit website	<a href="https://health.maryland.gov/oig/Pages/DHMH%20OIG.aspx">https://health.maryland.gov/oig/Pages/DHMH%20OIG.aspx</a>

**Schedule Information**

Supersedes Schedule(s)	
Amends Schedule(s)	2333, 2333A1, 2333A2

**Preparer Information**

Name of Preparer	Greer Dorsey
Title of Preparer	MDH Records Officer
Preparer Email Address	greer.dorsey@maryland.gov
Preparer Telephone Number	410-767-1586
Date	2/27/2023

**Agency Approval**

Name of Agency Director	Greer Dorsey
Agency Director Signature	<i>Greer A. Dorsey</i>
Date	2/27/2023

**State Archivist Approval**

State Archivist Signature	<i>[Signature]</i>
Date	3/28/23

**This schedule combines schedules 2333, 2333A1 and 2333A2.**

If scanning, scan to Maryland State Archives standards and destroy originals. Scanned images must be kept in accordance with the same retention periods assigned to the paper version of the record. A certificate of records disposal request must be submitted to the MDH Records Management Office for review and approval prior to the disposal of any record materials identified in this records schedule. This includes paper records that are scanned immediately upon receipt, paper records that have reached maturity and electronic records that have reached maturity. After disposal, a disposal certificate will be filed with the Maryland State Archives by the MDH Records Office.

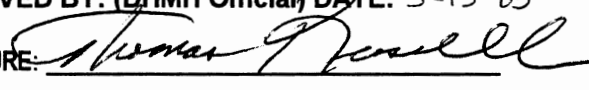
DEPARTMENT OF GENERAL SERVICES-STATE RECORDS CENTER  
**RECORDS RETENTION AND DISPOSAL SCHEDULE**

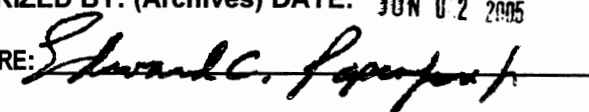
SCHEDULE #  
 2333

PAGE 1 OF 2

**DEPARTMENT OF HEALTH & MENTAL HYGIENE**  
 OFFICE OF THE INSPECTOR GENERAL

Item	Series Title and Description of Records	Authorized Retention Period
1	OIG General Subject Files Includes information and materials on subjects of interest to the various units of the Office including mailings, brochures, news articles, print outs of web pages, correspondence, etc.	1. Screen information in files annually, discarding obsolete/superseded reference information that is no longer needed. Retain correspondence dealing with OIG program issues for four (4) years then, destroy if no longer needed.
2	Corporate Compliance Case Files Investigational documentation including an action log, case notes, correspondence, evidence, research, and miscellaneous documents that pertain to a specific case.	2. Retain cases in office for four (4) years after closing and until all audit requirements are met. Transfer closed files to the State Records Center for ten (10) years then destroy. Landmark cases are to be moved to the History File for permanent retention, with eventual transfer to the State Archives.
3	Audit Division Files a. Legislative Audits  b. Federal Audits c. Single Audits d. Internal Audits  e. Provider Audits  f. Special Audits  g. Quarterly Status Reports	3. a. Retain hard copy of audit report in office for four (4) years from the date of the report; transfer to records center for two (2) years, then destroy. Retain electronic copy of audit report in office for six (6) years, then erase. Retain audit correspondence in office for four (4) years then destroy. b. Retain in office for five (5) years then destroy. c. Retain in office for five (5) years then destroy. d. Retain hard copy of audit report in office for four (4) years from the date of the report; transfer to records center for two (2) years, then destroy. Retain electronic copy of audit report in office for six (6) years, then erase. Retain audit work papers in office for four (4) years then destroy. e. Retain electronic copy in office for five (5) years then destroy. f. Retain hard copy of audit report in office for four (4) years from the date of the report; transfer to records center for two (2) years, then destroy. Retain electronic copy of audit report in office for six (6) years, then erase. Retain audit correspondence in office for four (4) years then destroy g. Retain in office for three (3) years then destroy.

APPROVED BY: (DHMH Official) DATE: 3-15-05  
 SIGNATURE:   
 NAME/TITLE: THOMAS RUSSELL, DHMH INSPECTOR GENERAL

AUTHORIZED BY: (Archives) DATE: JUN 02 2005  
 SIGNATURE:   
 NAME/TITLE: EDWARD C PAPENFUSE, JR., STATE ARCHIVIST

DEPARTMENT OF GENERAL SERVICES-STATE RECORDS CENTER  
**RECORDS RETENTION AND DISPOSAL SCHEDULE**

SCHEDULE #  
 2333

PAGE 2 OF 2

**DEPARTMENT OF HEALTH & MENTAL HYGIENE**  
 OFFICE OF THE INSPECTOR GENERAL

Item	Series Title and Description of Records	Authorized Retention Period
4	Secondary Employment File Annual report required for DHMH employees, grade 18 and above.	4. Retain in office for five (5) years, then destroy.
5	Ethics Case Files-DHMH Employees	5. Retain closed files in office for five (5) years then destroy.
6	IRB Applications for Research File unapproved applications in annual folders. (Approved applications are included in the IRB Research Files).	6. Retain unapproved applications in office for four (4) years then destroy.
7	IRB Research Files Approved applications, research protocols containing information on the procedures, instruments, and details of individual research studies, Annual Review Notices, interim reports, final reports, etc.	7. Screen files upon completion of project; remove unneeded working papers, duplicate copies and interim materials. Retain research files for completed or terminated projects in office for three years after the close of the study then destroy.  Retain one copy of the final report permanently, transfer periodically to the State Archives.

## RECORDS RETENTION AND DISPOSAL SCHEDULE

## DEPARTMENT OF HEALTH &amp; MENTAL HYGIENE

## OFFICE OF THE INSPECTOR GENERAL


Items 8 and 9 below supersede and replace Items 2 A and 2C from Schedule 2327.

Item No.	Series Title and Description of Records	Authorized Retention Period
8	SURS (Surveillance Utilization Review Subsystem) <ul style="list-style-type: none"> <li>• SURS Control</li> <li>• SURS Case Review</li> </ul>	8. Retain in office for two (2) years; transfer to State Records Center for four (4) years and until all audit requirements are met, then destroy.
9	Medicaid Audit Files	9. Retain in office for three (3) years; transfer to the State Records Center for four (4) years and then destroy.
10	Recipient Fraud Files	10. Retain in office for three (3) years; transfer to the State Records Center for four (4) years, then destroy.
11	Special Project Files	11 Retain in office for three (3) years; transfer to the State Records Center for four (4) years, and then destroy.

APPROVED BY: (DHMH Official) DATE:

JAN 1 2 2009

SIGNATURE:



NAME/TITLE: THOMAS RUSSELL, INSPECTOR GENERAL

AUTHORIZED BY: (Archives) DATE:

13 May 09

SIGNATURE:



NAME/TITLE: EDWARD C PAPENFUSE, JR., STATE ARCHIVIST