

# RECORDS INVENTORY AND RETENTION SCHEDULE COVER SHEET

<b>Schedule Number</b> <small>(To be completed by DGS/Records Management Division)</small>	2376A
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### Agency Information

Department / Agency	Maryland Department of Health
Division / Unit	<b>Developmental Disabilities Administration</b>
Mission Statement/Link to division/unit website	<a href="https://health.maryland.gov/dda/Pages/home.aspx">https://health.maryland.gov/dda/Pages/home.aspx</a>

### Schedule Information

Supersedes Schedule(s)	
Amends Schedule(s)	2376

### Preparer Information

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Date	6/22/22

### Agency Approval

Name of Agency Director	Greer Dorsey
Agency Director Signature	<i>Greer A. Dorsey</i>
Date	6/27/2022

### State Archivist Approval

State Archivist Signature	<i>Carl Zolman</i>
Date	9/21/22

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.

## RECORDS RETENTION AND DISPOSAL SCHEDULE

**DEPARTMENT OF HEALTH & MENTAL HYGIENE  
DEVELOPMENTAL DISABILITIES ADMINISTRATION  
(Regional and Headquarters Offices)**

This schedule supersedes Schedules 893, 619, and 619A. This schedule does not apply to DDA Residential Facilities, which are covered by a General Schedule.  
(REFER TO DHMH GENERAL ADMINISTRATIVE SCHEDULE 2112 FOR ADMINISTRATIVE RECORDS).

	Records Series /Description	Authorized Retention Period & Instructions
	<b>DDA REGIONAL OFFICES</b>	
1	General Consumer Files - Eligibility documentation, service applications, psychological analysis, medical information, approval of funding, reportable incident reports, etc.	1 Maintain active consumer files in office, screening information and updating as necessary. When consumer becomes inactive (dies, or is no longer considered a resident of MD), move folder to inactive files.  Retain inactive files in office until audited, then transfer to storage until five (5) years old, then destroy.
2.	PASRR Database / Support Documentation Consumer demographics, location of nursing home and pertinent information, name of Resource Coordinator.  (Data is added, changed or deleted on a continual basis, with periodic back ups and selective printouts of compilations and reports.)	2 Retain all source documentation that is entered into database until data accuracy is verified and the database is backed up, then destroy if no longer needed. Database is subject to continual change, so it cannot be considered permanent. Destroy old back ups when new ones are made, and store off site.
3	Provider/Agency Files Licenses, correspondence, evaluations, support documents of various DDA funded agencies,	3. Maintain active provider files, screening and updating as necessary. When providers become inactive, move folders to inactive file in office and retain there for five (5) years, and then destroy.
4	Regional Fiscal/Budget Files Budgets, procurement, bid records, purchase receipts, credit card logs, RFP's, consumer's services funding plan, approved allocated DDA funding per consumer, fiscal reports, spreadsheets, correspondence, etc. (HIPAA applies)	4. Maintain active program fiscal / budget files in annual folders, updating as necessary. Retain inactive folders in office three (3) years or until all audit requirements are met. Transfer to storage until five (5) years old, then destroy.
5.	Regional Training Service Files Staff training, class schedules, event coordination, etc.	5. Maintain files, updating as needed, until inactive. Retain inactive files in office for three (3) years. Transfer to storage until five (5) years, old, then destroy.

APPROVED BY: (DHMH Official) DATE: **JAN 20 2006**AUTHORIZED BY: (ARCHIVES Official) DATE: *22 Feb 06*SIGNATURE: *Diane K. Coughlin*  
NAME/TITLE: DIANE COUGHLIN, Director, DDASIGNATURE: *Edward C. Papenfuse Jr*  
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**DEPARTMENT OF HEALTH & MENTAL HYGIENE  
DEVELOPMENTAL DISABILITIES ADMINISTRATION  
(Regional and Headquarters Offices)**

	Records Series /Description	Authorized Retention Period & Instructions
	<b>DDA HEADQUARTERS OFFICES</b>	
6	<p><b><u>DDA FISCAL SERVICES</u></b> DDA PROVIDER CONTRACTS- Three-year contracts with renewal options for group homes, activity centers, and associations for developmentally disabled citizens, alternative living units, large and small residential centers, etc. Files include evaluations, contracts (grants), licenses, correspondence, and related materials for each provider. Copy also maintained on hard drive.</p>	6. Upon completion of contract move to inactive file for five (5) years or until all audit requirements have been met, Destroy following verification that all requirements have been met.
7	<p><b>FINANCIAL AND ACCOUNTING RECORDS</b> Non-administrative, program-related files including journal entries, cash receipt logs, requisitions, purchasing receipts, equipment invoices, credit card logs, advances and expedited payments, audit services, special programs finance records, etc. Copies of region accounting reports.</p>	7. Set up annual folders by fiscal year. Maintain folders in office for three (3) years or until all audit requirements are met. Transfer to storage until five (5) years old, then destroy after verification that all requirements have been met.
8	<p><b><u>OPERATIONS</u></b> <b>MANAGEMENT SUBJECT FILES</b> Including regulation and policy coordination, emergency planning, Information technology, human resources, etc.</p>	8. Retain current information in active file, then move to inactive file when no longer used. Retain inactive file in office for three (3) years; transfer to storage until five (5) years old, then destroy.
9	<p>PCIS2 Database – interactive web-based database providing consumer information requirements, client and provider information, used to generate invoices and as a management tool.</p>	9. Database is continually updated. Maintain input source documentation until next backup. Store back up off site.
10	<p><b><u>INFORMAL HEARINGS</u></b> Case files including correspondence, documentation, etc..</p>	10. Retain in office for three (3) years or until all audit requirements are met, then transfer to storage until files are six (6) years old, then destroy.
11	<p><b><u>DDA PROGRAM SERVICES</u></b> <b>QUALITY ASSURANCE FILES</b> Includes agency quality assurance plans, mortality reports, mortality review committee files, agency sanctions and settlement agreements, other QA elated projects. Agency deficiency report, Resource coordination Files.</p>	11. Maintain active QA files in office, updating as needed. Retain inactive files in office until all audit requirements are met, then transfer to storage until files are six (6) years old, then destroy.

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	Records Series /Description	Authorized Retention Period & Instructions
12	<p><b><u>DDA PROGRAMS SERVICES</u></b>  <b>SPECIAL POPULATIONS</b>            a. Forensic Services Files            Including court-orders, charging documentation, screening reports, psychiatric or psychological evaluations, Conditional release and pretrial release documents , Interagency Forensic Services</p> <p>b. Aging Services Program            Screening reports, psychiatric / psychological evaluations,</p> <p>c. Childrens Services Program Files            including resource coordination contract, contract monitor files, etc</p> <p>d. Affiliated Committees, Boards, Task Forces, etc            Reports, copies of minutes, communications, and other information for affiliated groups related to programs. (Md. Traumatic Brain Injury Board, Interagency Forensic Services, Multi-Agency Review Team, Md Caregivers Support &amp; Coordinating Council, Md Respite Care Coalition, Md Out-of-home Placement Legislative Workgroup,</p>	<p>12            a. Maintain files, updating as needed, until inactive (client dies or is no longer considered a resident of MD). Retain inactive files in office for five (5) years and until audited, then destroy</p> <p>b. Maintain files, updating as needed, until inactive (dies or is no longer considered a resident of MD). Retain inactive files for six (6) years, then destroy.</p> <p>c. Maintain files, updating as needed, until inactive. Retain inactive files in office for five (5) years and until audited, then destroy.</p> <p>d. Screen files periodically, removing and destroying non-record information that is obsolete or no longer needed. Maintain correspondence and record material three (3) years or until no longer needed, then destroy.</p>
13	<p><b>DDA TRAINING SERVICES</b>            Includes service coordination training, DDA HQ and regional staff training, event s coordination, Training Advisory Committee records, etc</p>	<p>13. Maintain files, updating as needed, until inactive. Retain inactive files in office for three (3) years. Transfer to storage until five (5) years,old, then destroy.</p>
14	<p><b>DDA HOUSING SERVICES-</b> includes Housing Policy Committee files, Governor's Housing Commission records, CSLA 248 Forms, Group Home Loan requesrs, HUD 811's, DHMH Community Bonds, etc.</p>	<p>14. Maintain files, updating as needed, until inactive. Retain inactive files in office for four (4) years or until audited then transfer to storage until inactive for six (6) years, then destroy.</p>
15	<p><b>STATEWIDE COORDINATOR FOR TRANSITION AND EMPLOYMENT SERVICES</b>            Committee/task force files, case files for transitioning youth, supported employment, assistive technology, transportation, out-of-state placements, etc.</p>	<p>15. Screen files periodically, removing and destroying non-record information that is obsolete or no longer needed. Maintain correspondence and record material three (3) years or until no longer needed, then destroy.</p>
16	<p><b><u>DDA STATE &amp; FEDERAL RELATIONS</u></b>  <b>STATE/FEDERAL LIAISON SERVICES</b> -Legislation Files, Regulation Development Files, etc</p>	<p>16. Retain active files until legislation/ regulations are adopted. Screen files, removing drafts, duplicates, and non-essential working papers, Retain in office until legislation / regulation is no longer in effect, then destroy.</p>
17.	<p><b>MEDICAID Waiver Files</b></p>	<p>17. Maintain files, updating as needed, until inactive (client dies or is no longer considered a resident of MD). Retain inactive files in office for five (5) years and until audited, then destroy.</p>