

RECORDS INVENTORY AND RETENTION SCHEDULE COVER SHEET

Schedule Number <small>(To be completed by DGS/Records Management Division)</small>	2931
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Agency Information

Department / Agency	Maryland Department of Health
Division / Unit	Office of Health Care Quality
Mission Statement/Link to division/unit website	https://health.maryland.gov/ohcq/Pages/home.aspx

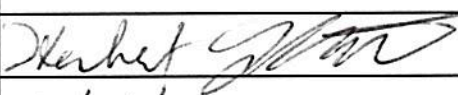
Schedule Information

Supersedes Schedule(s)	2637
Amends Schedule(s)	


Preparer Information

Name of Preparer	Walter Zerrlaut
Title of Preparer	Records Officer Designee
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Date	6/5/19

Agency Approval

Name of Agency Director	Herb Jordan
Agency Director Signature	
Date	6/5/19

State Archivist Approval

State Archivist Signature	
Date	8-21-19



DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE		Schedule No. 2931 (To be completed by DGS/Records Management Division)
Records Series Title: LICENSE, COMPLAINT/INCIDENT SERIES		Page 1 of 9
Record Series Content	Records pertaining to the licensure, certification or approval of following programs: with the exception of records pertaining to the application process and those records where the identified programs serve minors. A. Abortion Facilities B. Adult Medical Day Care C. Assisted Living D. Clinical Laboratories E. Community Mental Health F. Comprehensive Outpatient Rehabilitation Facilities G. Correctional Health Care Facilities H. Developmental Disability agencies/sites I. End Stage Renal Disease J. Forensic Laboratories K. Freestanding Ambulatory Surgical Centers L. Freestanding Medical Facilities M. Health Maintenance Organizations (HMO) N. Home Health Agencies O. Hospice P. Hospitals Q. Intermediate Care Facilities Intellectual Disabilities R. Major Medical Equipment S. Nurse Referral Services Agencies T. Nurse Staff Agencies U. Nursing Homes V. Outpatient Physical Therapy W. Portable X-Ray X. Residential Service Agencies Y. Residential Treatment Centers Z. Substance Abuse AA. Transplant Centers	
Record Series Function	Records pertaining to the licensure, certification or approval	
Organization/Arrangement	Alphabetical and Chronological	
Indexing System	No	
Restrictions (Law or Regulation Citation)	None	
Formats (bound book, microfilm, pdf, tif, etc.)	Loose Paper, 8 ½ X 11 and 8 ½ X 14, Electronic	
Volume (file drawers, gigabytes, etc.)	200 File Drawers	
Annual Accumulation (file drawers, gigabytes, etc.)	50 File Drawers	
Current Location	Office of Health Care Quality, Spring Grove Center, Bland Bryant Building	
Audit Requirements	None	
Date Span	2008-Present	
Completeness /Gaps	None	
Schedule Item Number	1	
Retention	Retain for ten (10) years from the date of the licensure survey and then destroy, with the following exception if records are scanned, scan to Maryland State Archives standards and destroy paper original. Retain scans for ten (10) years from the date of the licensure survey and then destroy.	
Justification for Permanent Retention		

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
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Schedule No. **2931**
 (To be completed by DGS/Records Management Division)

Records Series Title: Unprocessed Applications

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Record Series Content	APPLICATIONS SERIES – Records pertaining to the application process for the licensure, certification or approval of programs, with the exception of those where the identified programs are minors A. Unprocessed applications as a result of applicant failing to provide additional information.
Record Series Function	pertaining to the application process for the licensure, certification or approval of programs
Organization/ Arrangement	Alphabetical and Chronological
Indexing System	No
Restrictions (Law or Regulation Citation)	None
Formats (bound book, microfilm, pdf, tif, etc.)	Loose Paper, 8 ½ X 11 and 8 ½ X 14, Electronic
Volume (file drawers, gigabytes, etc.)	25 File Drawers
Annual Accumulation (file drawers, gigabytes, etc.)	5 File Drawers
Current Location	Office of Health Care Quality, Spring Grove Center, Bland Bryant Building
Audit Requirements	None
Date Span	2013-Present
Completeness /Gaps	None
Schedule Item Number	2A
Retention	Retain for five (5) years and then destroy, with the following exception if records are scanned, scan to Maryland State Archives standards and destroy paper original. Retain scans for five (5) years and then destroy.
Justification for Permanent Retention	

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Schedule No. **2931**
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Records Series Title: Approved Applications

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Record Series Content	APPLICATIONS SERIES – Records pertaining to the application process for the licensure, certification or approval of programs, with the exception of those where the identified programs are minors B. Approved applications for licensure
Record Series Function	pertaining to the application process for the licensure, certification or approval of programs
Organization/ Arrangement	Alphabetical and Chronological
Indexing System	No
Restrictions (Law or Regulation Citation)	None
Formats (bound book, microfilm, pdf, tif, etc.)	Loose Paper, 8 ½ X 11 and 8 ½ X 14, Electronic
Volume (file drawers, gigabytes, etc.)	50 File Drawers
Annual Accumulation (file drawers, gigabytes, etc.)	5 File Drawers
Current Location	Office of Health Care Quality, Spring Grove Center, Bland Bryant Building
Audit Requirements	None
Date Span	2008-Present
Completeness /Gaps	None
Schedule Item Number	2B
Retention	Retain for ten (10) years and then destroy, with the following exception if records are scanned, scan to Maryland State Archives standards and destroy paper original. Retain scans for ten (10) years and then destroy.
Justification for Permanent Retention	

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Schedule No. **20131**
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Records Series Title: Denied Applications

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Record Series Content	APPLICATIONS SERIES – Records pertaining to the application process for the licensure, certification or approval of programs, with the exception of those where the identified programs are minors C. Denied application for licensure
Record Series Function	pertaining to the application process for the licensure, certification or approval of programs
Organization/Arrangement	Alphabetical and Chronological
Indexing System	No
Restrictions (Law or Regulation Citation)	None
Formats (bound book, microfilm, pdf, tif, etc.)	Loose Paper, 8 ½ X 11 and 8 ½ X 14, Electronic
Volume (file drawers, gigabytes, etc.)	50 File Drawers
Annual Accumulation (file drawers, gigabytes, etc.)	5 File Drawers
Current Location	Office of Health Care Quality, Spring Grove Center, Bland Bryant Building
Audit Requirements	None
Date Span	2008-Present
Completeness /Gaps	None
Schedule Item Number	2C
Retention	Retain for ten (10) years and then destroy, with the following exception if records are scanned, scan to Maryland State Archives standards and destroy paper original. Retain scans for ten (10) years and then destroy.
Justification for Permanent Retention	

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE		Schedule No. 2931 (To be completed by DGS/Records Management Division)
Records Series Title: MINORS SERIES		Page 5 of 9
Record Series Content	Records pertaining to the License, Complaint/Incident Series, and the Applications Series, in which the identified programs serve minors.	
Record Series Function	Records pertaining to the License, Complaint/Incident Series, and the Applications Series, in which the identified programs serve minors.	
Organization/Arrangement	Alphabetical and Chronological	
Indexing System	No	
Restrictions (Law or Regulation Citation)	None	
Formats (bound book, microfilm, pdf, tif, etc.)	Loose Paper, 8 ½ X 11 and 8 ½ X 14, Electronic	
Volume (file drawers, gigabytes, etc.)	60 File Drawers	
Annual Accumulation (file drawers, gigabytes, etc.)	3 File Drawers	
Current Location	Office of Health Care Quality, Spring Grove Center, Bland Bryant Building	
Audit Requirements	None	
Date Span	1990-Present	
Completeness /Gaps	None	
Schedule Item Number	3	
Retention	Retain for ten (10) years after the minor reaches the age of 18 and then destroy, with the following exception if records are scanned, scan to Maryland State Archives standards and destroy paper original. Retain scans for ten (10) years after the minor reaches the age of 18 and then destroy.	
Justification for Permanent Retention		

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE		Schedule No. 2931 (To be completed by DGS/Records Management Division)
Records Series Title: SANCTION SERIES		Page 6 of 9
Record Series Content	Records pertaining to the processing of Sanctions, which may include: Suspension, revocation or Disciplinary Action Letters/Orders	
Record Series Function	Records pertaining to the suspension, revocation or Disciplinary Action Letters/Orders	
Organization/Arrangement	Alphabetical and Chronological	
Indexing System	No	
Restrictions (Law or Regulation Citation)	None	
Formats (bound book, microfilm, pdf, tif, etc.)	Loose Paper, 8 ½ X 11 and 8 ½ X 14, Electronic	
Volume (file drawers, gigabytes, etc.)	60 File Drawers	
Annual Accumulation (file drawers, gigabytes, etc.)	3 File Drawers	
Current Location	Office of Health Care Quality, Spring Grove Center, Bland Bryant Building	
Audit Requirements	None	
Date Span	1998-Present	
Completeness /Gaps	None	
Schedule Item Number	4A	
Retention	Retain for twenty (20) years and then destroy, with the following exception if records are scanned, scan to Maryland State Archives standards and destroy paper original. Retain scans for twenty (20) years and then destroy.	
Justification for Permanent Retention		

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Records Series Title: SANCTION SERIES
 Supporting Documents

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Record Series Content	Records pertaining to the processing of Sanctions, which may include: Supporting Documents
Record Series Function	Records pertaining to Supporting Documents
Organization/ Arrangement	Alphabetical and Chronological
Indexing System	No
Restrictions (Law or Regulation Citation)	None
Formats (bound book, microfilm, pdf, tif, etc.)	Loose Paper, 8 ½ X 11 and 8 ½ X 14, Electronic
Volume (file drawers, gigabytes, etc.)	40 File Drawers
Annual Accumulation (file drawers, gigabytes, etc.)	2 File Drawers
Current Location	Office of Health Care Quality, Spring Grove Center, Bland Bryant Building
Audit Requirements	None
Date Span	1998-Present
Completeness /Gaps	None
Schedule Item Number	4B
Retention	Retain for twenty (20) years and then destroy, with the following exception if records are scanned, scan to Maryland State Archives standards and destroy paper original. Retain scans for twenty (20) years and then destroy.
Justification for Permanent Retention	

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE		Schedule No. 2931 (To be completed by DGS/Records Management Division)
Records Series Title: SANCTION SERIES Minutes		Page 8 of 9
Record Series Content	Records pertaining to the processing of Sanctions, which may include: Meeting Minutes	
Record Series Function	Records pertaining to Meeting Minutes	
Organization/Arrangement	Alphabetical and Chronological	
Indexing System	No	
Restrictions (Law or Regulation Citation)	None	
Formats (bound book, microfilm, pdf, tif, etc.)	Loose Paper, 8 ½ X 11 and 8 ½ X 14, Electronic	
Volume (file drawers, gigabytes, etc.)	5 File Drawers	
Annual Accumulation (file drawers, gigabytes, etc.)	1 File Drawers	
Current Location	Office of Health Care Quality, Spring Grove Center, Bland Bryant Building	
Audit Requirements	None	
Date Span	2005-Present	
Completeness /Gaps	None	
Schedule Item Number	4C	
Retention	Retain Permanently; transfer to the State Archives every five years	
Justification for Permanent Retention	Minutes document the history of the unit.	

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE		Schedule No. 2931 (To be completed by DGS/Records Management Division)
Records Series Title: Recruitment Files		Page 9 of 9
Record Series Content	Recruitment activities such as eligibility criteria, testing information, employment applications, selection information, panel notes and evaluation criteria, inactive applications, etc.	
Record Series Function	Records pertaining to recruitment and selection (Official file is at Office of Human Resources).	
Organization/Arrangement	Alphabetical and Chronological	
Indexing System	No	
Restrictions (Law or Regulation Citation)	None	
Formats (bound book, microfilm, pdf, tif, etc.)	Loose Paper, 8 ½ X 11 and 8 ½ X 14, Electronic	
Volume (file drawers, gigabytes, etc.)	20 File Drawers	
Annual Accumulation (file drawers, gigabytes, etc.)	5 File Drawers	
Current Location	Office of Health Care Quality, Spring Grove Center, Bland Bryant Building	
Audit Requirements	None	
Date Span	2008-Present	
Completeness /Gaps	None	
Schedule Item Number	5	
Retention	Retain for One (1) year after recruitment closes and then destroy, with the following exception if records are scanned, scan to Maryland State Archives standards and destroy paper original. Retain scans for one (1) year after recruitment closes and then destroy.	
Justification for Permanent Retention		