

RECORDS INVENTORY AND RETENTION SCHEDULE COVER SHEET

Schedule Number <small>(To be completed by DGS/Records Management Division)</small>	2470A
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Agency Information

Department / Agency	Maryland Department of Health
Division / Unit	Behavioral Health Administration
Mission Statement/Link to division/unit website	https://health.maryland.gov/bha/Pages/Index.aspx

Schedule Information

Supersedes Schedule(s)	
Amends Schedule(s)	2470

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>[Handwritten Signature]</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
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 The following schedules of the former State Department of Mental Hygiene are also rescinded and made obsolete: (Schedules 275, 276, 277, 375, 376, 377, 378, 379, 380, 381, 382, 383, 384, 385, 386, 387, 388, 396).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	<p>EXECUTIVE OPERATIONS Office of the Executive Director</p> <p>A. EXECUTIVE COMMUNICATIONS SERIES</p> <ol style="list-style-type: none"> 1) General Correspondence 2) Original incoming letters 3) Copies of outgoing letters 4) Faxes 5) E-mails 6) Memoranda, reports, studies, plans, notices, etc. <p>B. CONTROLLED CORRESPONDENCE</p> <ol style="list-style-type: none"> 1) Copies of constituent letters written to the Governor, Legislators, Secretary, etc., designated for MHA response. (originals at DHMH-HQ) 2) Copies of response letters or emails <p>C. MANAGEMENT INFORMATION SERIES</p> <ol style="list-style-type: none"> 1) MHA Legislative Audit /Status Reports 2) Joint Chairmen Reports 3) Facility Site Visit Reports 4) Facility Incident Reports 5) Plans, Studies, Surveys, Presentations 6) Management Committee Minutes 7) MHA/CSA/ASO Meeting Minutes 8) Annual Reports 9) Budget Hearing Presentations 	<p>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.</p> <p>Retain files that are not permanent in office for three (3) years or until no longer needed, and then destroy.</p> <p>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.</p> <p>Retain other files in office for five (5) years or until no longer needed, and then destroy.</p> <p>1C 1) to 5) Retain in office for ten (10) years or until no longer needed, and then destroy.</p> <p>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.</p>

APPROVED BY: (DHMH Official) DATE:

SIGNATURE:

BRIAN HEPBURN, Executive Director, MHA

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

SIGNATURE:

EDWARD C PAPENFUSE, JR., State Archivist

RECORDS RETENTION AND DISPOSAL SCHEDULE

DEPARTMENT OF HEALTH & MENTAL HYGIENE
MENTAL HYGIENE ADMINISTRATION

ITEM	NAME AND DESCRIPTION OF RECORDS SERIES	AUTHORIZED RETENTION PERIOD & INSTRUCTIONS
1	<p>EXECUTIVE OPERATIONS MHA Counsel Office(AAG)</p> <p>D. MHA LEGAL SERIES</p> <ol style="list-style-type: none"> 1) Lawsuits 2) Legal Opinions 3) Advice of Counsel 4) PIA Request File, Subpoenas <p>MHA Public Relations Office</p> <p>E. PUBLIC RELATIONS SERIES</p> <ol style="list-style-type: none"> 1) MHA-related news clips, photos, and articles 2) MHA Newsletter File 3) One copy of each MHA publication 4) PIA Request File <p>Office of Government Affairs</p> <p>F. GOVERNMENT AFFAIRS FILES</p> <ol style="list-style-type: none"> 1) LEGISLATION FILE SERIES – tracked bills, position papers, fiscal notes, etc. 2) REGULATION FILE SERIES - MHA regs, regs applicable to MHA, COMAR etc. 3) MHA POLICY FILE SERIES – MHA policies, MHA facility policies, etc 4) VARIANCE /WAIVER APPLICATIONS <p>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.</p>	<p>1D Retain permanently. When no longer needed in office move to the MHA History File for periodic transfer to the Maryland State Archives.</p> <p>1E. Retain permanently. When no longer needed in office move to the MHA History File for periodic transfer to the Maryland State Archives.</p> <p>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.</p> <p>Retain all other files for four (4) years, then destroy.</p> <p>1.G. Retain permanently and periodically transfer to the Maryland State Archives.</p>
2	<p>ADMINISTRATIVE OPERATIONS Office of Administrative Management and Personnel Services</p> <p>A. MHA ADMINISTRATIVE OPERATIONS</p> <ol style="list-style-type: none"> 1) MHA Personnel Operations- Staffing, reports, etc 2) MHA Administrative Operations 	<p>2.A. Retain in office or storage for four (4) years and until no longer needed, then destroy.</p>

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2	<p>ADMINISTRATIVE OPERATIONS Office of Fiscal Services</p> <p>B. FISCAL RECORD SERIES</p> <p>1) Fiscal Documentation</p> <ul style="list-style-type: none"> - FMIS reports - Expense reports - Corporate Credit Card Reconciliations - Travel Requests - Payments to vendors <p>2) Procurement and Contracts</p> <ul style="list-style-type: none"> - ASO contracts - Private vendor contracts - MBE data <p>3) Core Service Agency (CSA) MOU'S</p> <ul style="list-style-type: none"> - CSA MOU budgets - CSA financial records - Conditions of award <p>Office of Data & Management Information</p> <p>C. INFORMATION SERVICES</p> <p>1) Reports and Documentation - Access control, security, website maintenance</p> <p>2) MHA data collections, spreadsheets, and document backup files</p> <p>PROGRAM SUPPORT SERVICES MANAGED CARE OPERATIONS, OFFICE OF</p>	<p>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.</p> <p>2.B 2) Retain for five (5) years after completion/closure, and until all audit requirements are met, then destroy.</p> <p>2.B 3) Retain for five (5) years after completion / closure, and until all audit requirements are met, then destroy.</p> <p>2.C 1) Retain reports and documentation in office for one (1) year; transfer to storage for four (4) more years, and then destroy.</p> <p>2.C 2) Backup files at least monthly and retain the backup copy in a remote location until replaced, then delete.</p>
3	<p>A. MCO FILE SERIES</p> <p>1) Meeting Minutes</p> <p>2) Contact information for the different Managed Care Organizations.</p> <p>B. CORE SERVICE AGENCY FILES</p> <p>1) Meeting minutes</p> <p>2) External Audits</p> <p>3) Annual reports</p> <p>4) Budget info</p> <p>5) Monitoring</p> <p>Office of Compliance & Risk Management</p> <p>C. COMPLIANCE AND AUDIT SERIES</p> <p>1) MAPS audits of providers</p> <p>2) OHCQ audits of providers</p> <p>3) Office of Compliance audits</p> <p>4) Appeals, denials, and approval letters</p> <p>5) Correspondence</p>	<p>3.A 1) Retain permanently. When no longer needed in office move to MHA History file for periodic transfer to Maryland State Archives.</p> <p>3.A. 2) Retain in office for five (5) years, then destroy.</p> <p>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</p> <p>3.B 4) to 5) Retain in office for four (4) years and until all audit requirements are met, then destroy.</p> <p>3.C 1) to 3) Retain in office ten (10) years then destroy.</p> <p>3.C 4) to 5) Retain in office five (5) years, then destroy.</p>

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<p>4.</p>	<p>Planning, Evaluation & Training, Office of</p> <p>A. MHA PLANNING FILES</p> <ol style="list-style-type: none"> 1) Annual Reports—implementation, accomplishments 2) Planning efforts of each local jurisdiction, budget requests; 3) Membership Rosters 4) Duties, Responsibilities, Advocacy efforts <p>B. ANNUAL STATE MENTAL HEALTH PLAN</p> <ol style="list-style-type: none"> 1) Document is developed annually to identify State goals, objectives, and strategies. 2) Implementation Reports - document progress of previous year's strategies. <p>C. MHA ANNUAL REPORT</p> <p>Describes the accomplishments of MHA.</p> <p>D. ANNUAL MHA CONSUMER SURVEY</p> <ol style="list-style-type: none"> 1) Executive Summary report 2) Detailed Survey Report 3) Tri-fold pamphlets for survey. 4) Correspondence <p>MARYLAND ADVISORY COUNCIL</p> <p>E. MAC MEETINGS - Minutes of monthly meetings, agenda, attendees</p> <p>F. FEDERAL BLOCK GRANT PROGRAM</p> <ol style="list-style-type: none"> 1) APPLICATIONS- CMH Plan, spending plan. 2) IMPLEMENTATION – reports <p>Office of Consumer Affairs</p> <p>5</p> <p>A. CONSUMER AFFAIRS</p> <ol style="list-style-type: none"> 1) Complaints 2) Constituent Services communication. <p>6</p> <p>A. COMMUNITY MENTAL HEALTH PROGRAM</p> <ol style="list-style-type: none"> 1) State & Federal program monitoring 2) State & Federal program approval process 3) Case management 4) Site Visit Files, 5) Community program deemed-status files. 	<p>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. Retain other files for four (4) years, and then destroy.</p> <p>4.B Retain permanently. When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives</p> <p>4.C Retain permanently. When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives.</p> <p>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. 4.D 4) Retain in office for three (3) years, then destroy.</p> <p>4.E Retain permanently. When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives.</p> <p>4.F Retain for five (5) years, then destroy.</p> <p>5.A Retain for five (5) years, then destroy.</p> <p>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.</p>

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6	<p>CLINICAL DIRECTOR, OFFICE OF THE</p> <p>B. MEETING MINUTES</p> <p>1) Managed Care Organizations (MCO / MHA) Meeting Minutes</p> <p>2) Clinical Director's Meeting Minutes</p> <p>SPECIAL NEEDS POPULATIONS, OFFICE OF</p> <p>C. SPECIAL NEEDS POPULATION SERIES</p> <p>1) Resource information</p> <ul style="list-style-type: none"> - PATH Annual progress report & training manual; -- Shelter Plus Care Housing Program Annual Reports & Training manual -- TAMAR Manual -- Disaster Plans. <p>2) Shelter Plus Care Consumer Master Files</p> <p>3) General Correspondence Files</p> <p>ADULT SERVICES, OFFICE OF</p> <p>D. ADULT CASE SERIES</p> <p>1) Adult Services Case Management</p> <ul style="list-style-type: none"> - Applications - Patient information - Adult Services policies and procedures - Adult Services administrative files <p>2) Traumatic Brain Injury (TBI) Program</p> <ul style="list-style-type: none"> - TBI Waiver participant files - TBI Waiver admin files - TBI grant files - TBI Waiver QA binders <p>3) Evidenced Based Practice (EPB) Files</p> <ul style="list-style-type: none"> - General Files - Program Evaluations <p>4) Housing Services</p> <ul style="list-style-type: none"> - Case management files - Lease to housing <p>5) PASRR / Interstate Compact Records</p>	<p>6.B. Retain permanently. When no longer needed in office, move to the MHA History File for periodic transfer to the Maryland State Archives.</p> <p>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.</p> <p>6.C 3) Retain in office for three (3) years, then destroy if no longer needed.</p> <p>6.D 1) to 4) – Retain in office for three (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.</p> <p>6.D 5) Retain in office for two (2) years. Transfer to Records Center for five (5) years, then destroy</p>

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6	<p>CHILDREN & ADOLESCENT SERVICES, OFFICE OF</p> <p>E. CHILDREN & ADOLESCENT SERIES</p> <p>1) DJJ CASE MANAGEMENT</p> <ul style="list-style-type: none"> - Dept of Juvenile Justice – Case Files - Reports from Detention Centers - Assessments of youth from DJJ <p>2) Court Referrals</p> <ul style="list-style-type: none"> - Court records for juveniles, including court orders <p>3) Youth Suicide Prevention Program</p> <ul style="list-style-type: none"> - Intervention and post-vention files - Md. Youth Crisis Hotline – Program management <p>4) "LISA L" Lawsuit Files</p> <ul style="list-style-type: none"> - Case referrals to Shepperd Pratt <p>5) C&A Program Planning & Policies</p> <ul style="list-style-type: none"> - MHA C&A policies and procedures - Statewide C&A Program development 	<p>6.E 1) & 2) Retain for five (5) years and until client is at least 21 years old, then destroy.</p> <p>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.</p>
7	<p>FORENSIC SERVICES, OFFICE OF</p> <p>A. FORENSIC CASE SERIES</p> <p>1) Court-ordered Pre-trial Evaluations</p> <p>2) Court-ordered Pre-sentence Evaluations</p>	<p>7.A. Retain in office for five (5) years, then destroy.</p>
8	<p>FACILITIES MANAGEMENT OFFICE</p> <p>A MHA FACILITY FILES</p> <p>1) OHCQ Reports</p> <p>2) JCAHO Reports</p> <p>3) Audit Reports</p> <p>4) News articles and clips, studies, and other facility reports.</p> <p>B . RTC (RESIDENTIAL TREATMENT CENTER) FILES</p> <p>1) Internal Audits</p> <p>2) Payment Files</p> <p>3) Requests for extension of payments</p>	<p>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.</p> <p>Retain all other information for five (5) years or until no longer needed, then destroy.</p> <p>8.B.1) Retain audits for ten (10) years, then destroy.</p> <p>8.B 2) & 3) Retain for five (5) years, then destroy.</p>

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9.	<p>MENTAL HEALTH TRANSFORMATION, OFFICE OF</p> <p>A. MHTransformation SIG SERIES</p> <ol style="list-style-type: none"> 1) MHT SIG Original Applications, reapplications 2) SIG Contract Awards 3) Financial Status Reports 4) Budgets, justification 5) TWG Meeting Binders <ul style="list-style-type: none"> - TWG Meeting minutes and agenda - TWG meeting Audio tapes - Meeting Attendee Lists 6) MHT Program documentation 	<p>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.</p>