

STATE OF MARYLAND

**Department of Public Safety
and Correctional Services**

PATUXENT INSTITUTION

Directive



PID # 20-11

DATE: 2/1/1993

SUBJECT: General Administration

**TITLE: Records Retention and
Disposal**

- I. REFERENCE: Article 54, Sections 1 & 2, Annotated Code of Maryland; COMAR 14.18; Records Management, Records Disposition Manual (RDM), 1984; DCD 20-13.
- II. APPLICABLE TO: Patuxent Institution
- III. PURPOSE: To establish a policy and procedures for records retention and disposal for Patuxent Institution.
- IV. DEFINITIONS:
 - A. Department - Department of Public Safety and Correctional Services.
 - B. DGS - Department of General Services.
 - C. Non-record Material - Materials created or acquired solely for reference or exhibition purposes such as manuals, pamphlets, and circular letters; extra copies of documents preserved only for the convenience of reference, such as reading, tickler, or suspense file copies of correspondence; work papers, such as drafts of letters or memoranda; shorthand notes and notebooks that have been transcribed; other temporary papers used to control internal work in progress; and, stock of publications and reproduced documents. (RDM)
 - D. RDM - Records Disposition Manual, 1984, published by the DGS Records Management Division.
 - E. Record - Any material, regardless of its physical form, received or created in connection with the transaction of the public business of a State agency or office. It may include papers, books, punched cards, magnetic tapes, photographs, maps, film, sound recordings, or other documentary materials. (RDM)
 - F. Schedule - A Records Retention and Disposal Schedule containing one or more series of programmatically related records.
 - G. Series - A group of related records normally used and filed as a unit for reference as well as retention and disposition purposes. (RDM)

V. POLICY: Patuxent Institution shall comply with the regulations, policies, and procedures of the Department of General Services' Records Management Division regarding the retention and disposal of records.

VI. PROCEDURES:

A. Records Management Coordinator

The Institution's records management system shall be implemented by schedule and managed under the technical guidance of the Records Management Coordinator.

1. The Coordinator shall serve as the liaison with the DGS Records Management Division.
2. The Coordinator shall chair the Records Management Committee.
3. The Coordinator shall resolve conflicts between DGS instructions and this Directive.
4. The Coordinator shall provide technical guidance to those Institutional Departments having a Records Retention Schedule.
5. The Coordinator may authorize temporary deviations from the procedures in this Directive in order to comply with instructions from the DGS Records Management Division. Such deviations shall be made in writing and shall only exist for a period of one year. During that year period, the Records Management Committee shall revise this Directive to bring it in to compliance with the procedures.

B. Records Management Committee

1. The Records Management Committee shall consist of the following persons:
 - a. Records Management Coordinator, Chairperson
 - b. Director's Office
 - c. Personnel Department
 - d. Accounting Department
 - e. Research Department
2. The Committee shall meet at least annually. However, additional meetings may be scheduled if the Coordinator determines them necessary.
3. The Committee is responsible for:
 - a. Developing the records management policies and procedures.
 - b. Developing and revising all Directives needed to implement the records management policies and procedures.

- c. Coordinating the development of revised Records Retention and Disposal Schedules as needed.
 - d. Assists the Chairperson in periodic audits of the various schedules for compliance with the records management system.
- C. Schedules: The following are the schedules under which all records are: categorized
 1. Director's Office
 2. Associate Director for Behavioral Sciences
 3. Records Department
 4. Personnel Department
 5. Infirmary
 6. Education Department
 7. Accounting Department
 8. Research Department
 9. Training Department
 10. Custodial Department
 11. Identification Department
 12. Maintenance Department
 13. Clinical Services
- D. Retention and Disposal
 1. General

All records may be retained, transferred to the State Records Center, or destroyed only in compliance with the Records Retention and Disposal Schedules appended to this Directive (See Appendix 1).
 2. Transfer of Records to the State Records Center.

When records are to be transferred to the State Records Center, the Records Management Coordinator shall:

 - a. Ensure that the records are packed in approved Records Center cartons and appropriately labeled;
 - b. Prepare the Records Transmittal and Receipt form (DGS 550-5);
 - c. Arrange for the Institution to transport the records and the Records Transmittal and Receipt form to the State Records Center; and,
 - d. Permanently maintain the Records Transmittal and Receipt form after the State Records Center has entered the accession and location numbers and returned the form.

3. Destruction of Records within the Institution

When the Records Retention and Disposal Schedules call for a record to be destroyed within the institution rather than transferred to the State Records Center, the Records Management Coordinator shall:

- a. Arrange for the record to be destroyed in a manner consistent with any pertinent laws, regulations, or directives.
- b. Prepare a Certificate of Records Disposal (DGS 550-2);
- c. Send the original of the Certificate of Records Disposal to the DGS Records Management Division; and,
- d. Permanently maintain the copy of the Certificate of Records Disposal.

4. Destruction of Records at the State Records Center

When a record stored at the State Records Center is to be destroyed, the State Records Center shall send Patuxent Institution a Disposal Clearance letter. Upon receipt of the Disposal Clearance letter, the Records Management Coordinator shall review the pertinent Records Transmittal and Receipt forms to determine if there are any unusual circumstances, which warrant further retention of any of the records scheduled to be destroyed.

- a. Destruction Delay
 - 1) If a record is to be retained, the Records Management Coordinator shall prepare such written justification to support the delay, as the State Records Center shall require.
 - 2) The Records Management Coordinator shall retain a copy of all delay transactions with the pertinent Records Transmittal and Receipt forms.

E. Reference


1. When it is necessary to reference a record stored at the State Records Center, the Records Management Coordinator shall:

- a. Prepare the Reference Request (DGS 550-8);
- b. Attach a copy of the Reference Request to the pertinent Records Transmittal and Receipt form;
- c. Notify the requestor when the record arrives;

- d. Ensure that the requestor signs a receipt for the record, if the requestor takes the record from the Records Management Coordinator's custody;
- e. Attach a copy of the receipt to the pertinent Records Transmittal and Receipt form; and,
- e. Arrange for the record to be returned to the State Records Center.

VII. ATTACHMENTS: Appendix 1 - Records Retention and Disposal Schedule

VIII. REVOCATIONS: None



Randall S. Nero, Ph.D.
Director

Distribution: A
S: Infirmary
Identification Department