
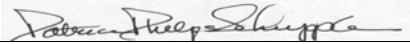
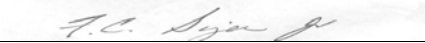


STATE OF MARYLAND
DEPARTMENT OF PUBLIC SAFETY AND CORRECTIONAL SERVICES
DIVISION OF CORRECTION

 DIVISION OF CORRECTION DIRECTIVE	PROGRAM:	GENERAL ADMINISTRATION	
	DCD #:	20-13	
	TITLE:	Records Management Organization	
	ISSUED:	June 1, 2004	
	AUTHORITY:		DEPUTY COMMISSIONER
APPROVED:		COMMISSIONER	

I. References:

- A. State Government Article, §§10-631 – 10-634, ACM
- B. Records Management Handbook (RMH), issued by the records management division of the Department of General Services (DGS), July 1993 (revision)
- C. COMAR 14.18
- D. DCD 20-14

II. Applicable to: Headquarters, All Institutions and State Use Industries

III. Purpose: To establish an organized approach toward the management of records within the Division.

IV. Definitions:

- A. Non-records – Materials created or acquired for reference, exhibition, or “back-up” such as: manuals, pamphlets, and informational letters; copies of “records” and documents used as working, reading, tickler and suspense files; shorthand notes and notebooks which have been transcribed; other temporary papers used to control internal work in progress including telephone messages, routine slips, preliminary drafts, and messages of a non-policy nature, and stocks of publications, office reference materials (dictionaries, thesauruses, telephone directories, etc.) and other reproduced documents. (RMH)

- B. Record – (Public Record) – Any paper, correspondence, form, book, photograph, microform, magnetic tape, compact disk, computer storage media, map, drawing, or other document, regardless of physical form or characteristics, that has been made or received by a state, county or municipal agency in connection with the transaction of official business and needs to be preserved for informational value or as evidence of a transaction. All other records or documents required by law to be filed with or kept by an activity of the state, county or municipality. NOTE: There is only one official record of anything in the Maryland Records Management System, and official record disposition must comply with procedures in the RMH. All copies of a record may be treated as non-record material—their destruction does not require documentation. (RMH)

- C. Records Retention and Disposal Schedule – A document which lists and describes all records within an activity (office, branch, unit, etc.). When signed by the state archivist, it officially authorizes either the destruction of records no longer essential to operations (normally after a specific time period) or provides for permanent retention of those records which have historical/archival value. (RMH). The schedules are listed in DCD 20-14.
- D. Records Series – A group of related records, normally used and filed under a single filing system and kept together as a unit for reference as well as retention and disposition purposes. (RMH)
- V. Policy: The Division of Correction shall implement a uniform, effective and efficient records management system.
- VI. Procedures:
 - A. Overview
 - 1. The Division's records management system shall be developed and revised by the Division's records management committee in consultation with the various schedule subcommittees and with the approval of the Deputy Commissioner.
 - 2. The Division's records management system shall be implemented by schedule and managed in each institution under the technical guidance of the Division's records management coordinator.
 - B. Records Management Coordinator
 - 1. The Deputy Commissioner/designee is designated the records management coordinator for the Division.
 - 2. The coordinator shall be the primary liaison between Headquarters and:
 - a. The DPSCS records management coordinator
 - b. The DGS records management division
 - c. The Division's institutions and facilities
 - 3. The coordinator shall chair the Division's records management committee.
 - 4. The coordinator shall resolve conflicts between DGS instructions and this DCD.
 - 5. The coordinator shall provide technical guidance to the schedule managers in the institutions.
 - 6. The coordinator may authorize temporary deviations from the procedures in this DCD in order to comply with instructions from the DGS records management division. Such deviations shall be documented and shall only

exist for one year. During that year period, the records management committee shall revise this DCD to bring it into compliance with DCD procedures.

C. Schedule Manager

1. Each chief executive officer, in consultation with the appropriate records management committee member, shall appoint a schedule manager for each schedule. The chief executive officer may designate as schedule managers either particular individuals or particular positions.
2. Each schedule shall be represented by only one schedule manager, however, a schedule manager may be responsible for more than one schedule. The chief executive officer shall designate enough schedule managers to ensure that the Division's records management system is implemented effectively and efficiently in the institution.
3. The schedule manager may not delegate his or her responsibilities; however, he or she may designate an assistant to help accomplish the duties of the assignment on a daily basis.
4. Each schedule manager shall implement the DGS records management division instructions and the relevant DCDs in his or her respective institution for the records series applicable to the appropriate schedule. In the event of a conflict between DGS instructions and this DCD, the coordinator shall inform the schedule manager how to proceed.
5. Each schedule manager shall obtain blank copies of all required forms.
6. Each schedule manager shall assist the coordinator in responding to records surveys and reviews required by DGS.

D. Records Management Committee

1. The records management committee for the Division shall consist of such individuals, usually Headquarters program directors, as the Deputy Commissioner shall appoint, in order to ensure that all schedules are represented on the committee. A committee member may not appoint a designee, unless the member cannot attend a meeting due to a scheduling conflict.
2. Each schedule is to be represented by only one committee member, however, a committee member may be responsible for more than one schedule.
3. The committee is responsible for:
 - a. Developing the Division's records management policies and procedures;
 - b. Developing and revising all DCDs needed to implement the records

management policies and procedures;

- c. Coordinating the development of revised records retention and disposal schedules as needed;
- d. Ensuring that each committee member periodically audits institutional compliance with the Division's records management system for the various schedules under his or her management.

E. Schedule Subcommittee

- 1. Each committee member shall chair a schedule subcommittee for each schedule under that member's management.
- 2. Each subcommittee shall consist of the schedule manager from each major institution which has records covered under this schedule. The manager may not appoint a designee, unless the manager cannot attend a subcommittee meeting due to a scheduling conflict.
- 3. At subcommittee meetings, the manager may fully act on the institution's behalf without further consultation with the chief executive officer.
- 4. The subcommittee shall meet as determined by the chairperson.
- 5. The subcommittee shall be responsible for revising its records retention and disposal schedule and for the annual review of this DCD.

F. No institutional directive is required.

VII. Attachments: None

VIII. Rescission: DCD 20-13 dated September 10, 1992

Distribution

A
L