



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

 DIVISION OF CORRECTION DIRECTIVE	PROGRAM:	GENERAL ADMINISTRATION
	DCD #:	20-14
	TITLE:	Records Retention and Disposal
	ISSUED:	September 10, 1992
	APPROVED:	 COMMISSIONER

- I. References: Article 54, Sections 1 & 2, ACM; COMAR 14.18; Records Management, Records Disposition Manual, 1984; DCD 20-13
- II. Applicable to: Headquarters, All Institutions and State Use Industries
- III. Purpose: To establish a policy and procedures for records retention and disposal within the Division of Correction.
- IV. Definitions:
- A. Department - Department of Public Safety and Correctional Services
 - B. DGS - Department of General Services
 - C. Nonrecord 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, stocks 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: The Division of Correction 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. Schedules

The following are the schedules under which all Division records are categorized:

1. Addiction Services
2. Disciplinary Hearings
3. Administrative Offices
4. Apprenticeship and Training (inmate)
5. Chaplain Services
6. Classification/Case Management
7. Data Processing
8. Education (inmate)
9. Facilities Maintenance
10. Finance
11. Food Services
12. Health and Mental Health
13. Investigation Unit
14. Personnel
15. Policy Review and Publication
16. Procurement
17. Security
18. Social Work
19. State Use Industries Sales
20. Training (employee)
21. Volunteer Services

B. Retention and Disposal

1. General

The Division's 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 DCD. (See Appendix 1).

2. Transfer of Records to the State Records Center

When records are to be transferred to the State Records Center, the schedule manager 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 an Institution

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

- a. Arrange for the record to be destroyed in a manner consistent with any pertinent laws, regulations or DCDs;
- 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 the institution a Disposal Clearance letter. Upon receipt of the Disposal Clearance letter, the schedule manager 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 schedule manager shall prepare such written justification to support the delay as the State Records Center shall require.

- (2) The schedule manager shall send the Records Management Coordinator a copy of the Disposal Clearance letter, the pertinent Records Transmittal and Receipt forms, and the delay request.
- (3) The schedule manager shall retain a copy of all delay transactions with the pertinent Records Transmittal and Receipt forms.

C. Reference

1. When it is necessary to reference a record stored at the State Records Center, the schedule manager 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 schedule manager's custody;
 - e. Attach a copy of the receipt to the pertinent Records Transmittal and Receipt form; and,
 - f. Arrange for the record to be returned to the State Records Center.

D. No institutional directive is required.

VII. Attachments: Appendix 1 - Records Retention and Disposal Schedules

VIII. Rescission: DCD 100-10, June 1, 1977

Distribution:

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