

RECORDS RETENTION AND DISPOSAL SCHEDULE

**DEPARTMENT OF HEALTH & MENTAL HYGIENE
GENERAL SERVICES ADMINISTRATION**

Item No.	Series Title and Description of Records	Authorized Retention Period
	<p>This schedule supersedes the following schedules that are now obsolete: 1302, 1425, 1438 and 1650.</p>	
	<p><u>Section I- Director's Office</u></p>	
1	<p>GENERAL SUBJECT FILES Arranged alphabetically by subject, these files consist of a collection of subject folders on topics of concern or interest to the Director and staff. May include mail received by this office, reference materials, e-mails and printed web site information, professional association materials such as engineering or architectural society newsletters, CEU courses, materials handling, communications, and others, located throughout the Administration offices.</p>	<p>1. Screen periodically, removing obsolete materials and replacing updated items. Large volume files may be divided into annual folders. Retain in office until no longer needed, then destroy.</p>
2	<p>PROGRAM MANAGEMENT RECORD SERIES Copies of weekly, monthly, quarterly and annual reports, status reports on ongoing projects, copies of reports prepared for executive management, or to comply with requirements of regulations, policies or other guidelines, and other management documents.</p>	<p>2. Maintain an annual folder for each type of document. Retain current year and four previous years folders, then destroy. May be moved to inactive storage or the Records Center when no longer needed in office.</p>
3	<p>PROGRAM DEVELOPMENT & HISTORY FILE Consists of information screened from other files which illustrate the development of DHMH or the Administration, including one copy of all of the Administration's publications, brochures, news articles, awards, photos, developments-including renovations and new building openings, etc.</p>	<p>3. Retain permanently. Periodically transfer to State Archives.</p>
	<p><u>Section II-Division of Engineering & Maintenance</u></p>	
4.	<p>PLANS REVIEW - DRAWINGS AND SPECS Consists of plans of nursing homes and medical care facilities, both public and private, which are submitted for review and approval by architects, engineers, fire marshals, etc.</p>	<p>4. Retain mark-up drawings and specifications in office until updated or no longer needed, then destroy. Retain as-built drawings and specs until superseded or until the project is no longer under DHMH review authority, then dispose of accordingly (e.g., transfer to new owner, destroy).</p>

APPROVED BY: (DHMH Official) DATE: APR 13 2005

AUTHORIZED BY: (Archives) DATE: JUN 02 2005

SIGNATURE: Howard B JonesSIGNATURE: Edward C. Papenfuse Jr

NAME/TITLE: Howard Jones, Director

NAME/TITLE: Edward C Papenfuse, Jr, STATE ARCHIVIST

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5	<p><u>Section II-Division of Engineering & Maintenance</u></p> <p>PROGRAM MANAGEMENT SERIES- DHMH Facilities Consists of program files (not individual projects) for various initiatives such as asbestos management, energy conservation, environmental compliance, OSHA compliance, security, etc. May include monthly reports, setting priorities, coordination and implementation directives, etc</p> <p>A. TYPE I -Routine Programs -Operating Budget Projects</p> <p>B. TYPE II- Capital Budget / Infrastructure Type Projects Life Safety Program, HVAC upgrade, etc.</p>	<p>5. Screen files periodically, removing duplicates and early versions of documents when no longer needed. Large files may be subdivided into annual folders. Move files more than three (3) years old to an inactive file, if no longer in use.</p> <p>A. Transfer inactive records to the Records Center for three (3) additional years retention then destroy.</p> <p>B. Transfer inactive records to the Records Center for ten (10) additional years then destroy if no longer needed.</p>
6	<p>PROJECT FOLDERS Filed by Project Number or Facility/Building Name, these folders may contain some of the following information: ...Bid Documents, contracts, change orders, amendments ...Project Justification Form ...Specifications, drawings, maps, sketches ...Blueprints, photos/digital graphics files ...Progress charts, tracking forms, interim and final reports ...Copies of estimates, budget information, etc.</p> <p>A. TYPE I- Routine Projects- Operating Budget Projects</p> <p>B. TYPE II- Capital/Infrastructure Project</p>	<p>6. Upon completion of project, screen file for duplicates or superseded copies, working papers including notes, estimates / projections that are no longer needed, then destroy items removed. HOLD all records on projects that are terminated or whenever potential legal action may be anticipated.</p> <p>A. Retain in office for three (3) years after completion, then transfer to Records Center for three (3) more years, then destroy.</p> <p>B. Retain in office for three (3) years after completion. Transfer to the Records Center for twenty-two (22) more years, and then destroy files that are no longer needed.</p>
7	<p>DEM REPORT FILE SERIES Weekly, Monthly and Annual Reports on project justifications, operating budget projects, capital budget projects, life safety projects, asbestos projects, energy program, etc.</p>	<p>7. Maintain annual folders for each report. Retain files in house for five (5) years, and then destroy.</p>

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8	<p><u>Section III - Central Services Division</u> Warehouse Management A. Receiving documents B. Self-service store receipts, charge backs C. FMIS pick ticket receipts for ordered items D. Warehouse Inventory records, value reports</p>	8. File in monthly or annual folders. Retain for six (6) years, then destroy.
9	<p>Inventory Management A. Inventory Transaction Reports-adds, deletes, transfers B. Excess Property Disposal Orders C. Reports of Stolen or Missing Property D. Annual Report of Fixed Assets E. Inventory Audit reports</p>	<p>9 A -B. Retain in office for two (2) years; transfer to records center for four (4) years, then destroy.</p> <p>9 C-E. Retain for ten (10) years then destroy.</p>
10	<p>Building Services A. Space Management File Series- • Requests for Leased Space • Lease Files and support documentation. B. Parking Permit Files include applications, car pool requests, medical parking permit requests with doctors' certifications, waiting lists, database of extracted information, etc. C. Miscellaneous Services (Copy center, shredding, UPS, records transfers, etc.) Equipment service records, meter readings, charge backs, package receipt logs, shipping papers, temporary help / SUI paperwork, transmittals etc. D. Emergency Evacuation Plans-Emergency Contacts, Business Continuity Plan, Police Incident Reports, etc. E. Miscellaneous Project Files- Unit relocations, modular furniture installations, carpet installation, security upgrades, CAD Files, F. Employee Separation Clearance Forms- copy of sign off sheet for employee separation.</p>	<p>10 A. Retain unapproved requests for three years, and then destroy. Approved requests become part of the Lease Files, which are retained in office for two (2) years after becoming inactive, then transferred to the records center for four (4) more years. Then destroy.</p> <p>10 B. Retain in active file as long as applicants are employed with DHMH, then move to inactive file and retain for one (1) year then destroy.</p> <p>10 C. Destroy working papers when no longer needed. Retain documentation four (4) years and until audit requirements are met, then destroy.</p> <p>10 D. Retain active files until superseded or complete then move to inactive. Retain inactive three (3) years and then destroy.</p> <p>10 E. Retain in office for three (3) years; transfer to records center for four (4) more years and then destroy.</p> <p>10 F. Retain a copy of all sign off sheets in office for (3) three years and then destroy.</p>

DEPARTMENT OF GENERAL SERVICES-STATE RECORDS CENTER
RECORDS RETENTION AND DISPOSAL SCHEDULE

SCHEDULE #
 2335

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Item	Series Title and Description of Records	Authorized Retention Period
11	<p>Telecommunications Series</p> <p>A. Telephone service plans, requisitions, 800-# accounts, monthly call logs and bills, conference calls logs, PBX billing, TSR's, unit coordinator list, etc.</p> <p>B. Cellular phone service plans, logs of DHMH cell phone numbers, Unit Coordinator list, justification forms, acceptance forms, requisitions, call logs/bills, vouchers, etc.</p> <p>C. Pagers and wireless PDAs, service plans, bills, requisitions, etc.</p> <p>D. Calling cards- request forms, account files, reconciliations, etc.</p> <p>E. Directory listing forms, etc</p>	<p>11. Screen periodically, discarding unnecessary papers and setting up new files annually or monthly, as needed. Inactive files are retained in office or records center for five (5) years, until all audit requirements are met, and are then destroyed.</p>
12	<p>Fleet Management Series</p> <p>A. Vehicle Titles and Registration Forms, registration renewals and other MVA forms, Vehicle Inventory Report, vehicles pending auction, vehicle requisitions, purchase orders, RSTARS transfers for vehicles, disposal records, etc.</p> <p>B. Vehicle service records, emission test forms, gas and PHH card records, CFS reports, wash invoices, Underutilized Vehicle List, 10000 mile reports, Vehicle Assignment Committee records, charge backs, etc.</p> <p>C. Accident Committee Reports, Accident Insurance records, ACORD Forms, Accident report forms.</p> <p>D. Driver cards and reports, Acknowledgement Forms, Driver Application forms, IRS Fringe Benefit Reports, Drivers Training records,</p>	<p>12.</p> <p>A. Retain vehicle records throughout DHMH ownership of vehicle plus three (3) years then destroy.</p> <p>B. Retain for five (5) years, then destroy.</p> <p>C. Retain for ten (10) years after case is closed, then destroy.</p> <p>D. Update active forms as needed. Retain closed files for three (3) years, and then destroy.</p>
13	<p>Forms Management Series</p> <p>A. Master Forms File includes printed copies of all approved forms. Forms may additionally be retained in electronic format. File sequence is by form number.</p> <p>B. Annual Forms Management Reports</p>	<p>13 A. Update Master Form File when forms are updated and as indicated by the annual forms report. Remove files when obsolete, superseded, or no longer needed, and then destroy.</p> <p>13 B. Retain in office for three (3) years; transfer to records center for two (2) more years, then destroy.</p>