

**Department of Behavioral Health**  
**TRANSMITTAL LETTER**

<b>SUBJECT</b> <b>Retention Schedule and Destruction of Public Documents</b>		
<b>POLICY NUMBER</b> <b>DBH Policy 620.1</b>	<b>DATE</b> FEB 14 2023	<b>TL#330</b>

**Purpose.** To provide the policies, procedures, and guidelines for the Department of Behavioral Health's retention schedule and destruction of public records and other documents.

**Applicability.** Applies to the Department of Behavioral Health.

**Policy Clearance.** Reviewed by affected responsible staff and cleared through appropriate Behavioral Health Authority (BHA) offices.

**Effective Date.** This policy is effective immediately.

**Superseded Policy.** None.

**Distribution.** This policy will be posted on the DBH web site at [www.dbh.dc.gov](http://www.dbh.dc.gov) under Policies and Rules. Please contact Ana Veria at [ana.veria@dc.gov](mailto:ana.veria@dc.gov) or Keri Nash at [keri.nash@dc.gov](mailto:keri.nash@dc.gov) for a Microsoft Word version of this policy.

  
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Barbara J. Bazron, Ph.D.  
Director, DBH

GOVERNMENT OF THE DISTRICT OF COLUMBIA  DEPARTMENT OF BEHAVIORAL HEALTH	<b>Policy No.</b> 620.1	<b>Date</b> FEB 14 2020	<b>Page 1</b>
	<b>Supersedes: None</b>		
<b>Subject: Retention Schedule and Destruction of Public Documents</b>			

1. **Purpose.** To provide the policies, procedures, and guidelines for the Department of Behavioral Health's retention schedule and destruction of public records and other documents.
2. **Applicability.** Applies to the Department of Behavioral Health.
3. **Authority.** Department of Behavioral Health Establishment Act of 2013; 1 DCMR § 1500, Public Records of the District of Columbia.
4. **Definitions.**

**Public Records.** Any document, book, photographic image, electronic data recording, electronic mail, paper, video recording, sound recording, microfilm, computer disk, or other material, regardless of physical form or characteristic, that documents a transaction or activity made, received, or retained pursuant to law or in connection with the transaction of public business by or with any officer or employee of the District.

5. **Policy.**
  - 5a. Department of Behavioral Health (DBH or the Department) adopts the Records Retention Schedule (*see* Exhibit 1: DBH Records Retention Schedule) approved by the Office of Public Records and Archives (OPR) in the Office of the Secretary for the District of Columbia (Office of the Secretary).
  - 5b. DBH adopts the process for the destruction of public documents (*see* Exhibit 2: Required Process for the Destruction of Public Records, AO-2017-1) issued by the OPR.
  - 5c. DBH staff will not destroy public records without first conferring with DBH's Records Officer<sup>1</sup> and the Office of General Counsel. DBH staff may contact the Records Officer at (202) 671-4088, if they have any questions.
  - 5d. DBH shall only destroy records in accordance with the approved retention schedule outlined in Exhibit 1: DBH Records Retention Schedule.
  - 5e. The Records Officer shall coordinate with the OPR and the Office of General Counsel for the destruction of any public records produced by the Department.

<sup>1</sup> For purposes of this policy, the Records Officer is the Director of Health Information Management & Privacy Officer.

**6. Procedures.**

6a. DBH shall follow the policies and procedures outlined in Exhibit 1: DBH Records Retention Schedule for the retention of public records.

**6b. Legal Holds**

(1) Records that are the subject of or are related to a legal action are placed on legal hold until the case(s) is resolved and all appeals have been exhausted.

(2) Retention of these files shall be coordinated with the Office of General Counsel and physically separated from general files to ensure proper handling. (see Exhibit 1: DBH Records Retention Schedule)

6c. DBH shall follow the policies and procedures outlined in Exhibit 2: Required Process for the Destruction of Public Records, AO-2017-1.

**(1) Records with a Retention Period of Longer than Two (2) Years**

(a) DBH Division Directors shall contact the Records Officer before destroying any public documents for guidance on the OPR processes.

(b) DBH Division Directors shall transmit all requests to destroy documents to the Records Officer by filling out Exhibit 3: Notice of Intent to Destroy Records.

(c) The Records Officer shall review the requests of the Division Directors, and when approved, send the appropriate notification to OPR.

(d) The Records Officer shall notify OPR of the planned destruction of documents via an email to [archives@dc.gov](mailto:archives@dc.gov) that includes Exhibit 3: Notice of Intent to Destroy Records, at least three (3) weeks before destroying the documents.

(e) If OPR does not respond within two (2) weeks of receipt of the Notice of Intent to Destroy Records, the Records Officer may supervise the destruction of documents.

(f) After DBH destroys the documents, the Records Officer shall submit a copy of Exhibit 4: Records Destruction Confirmation Form to OPR.

**(2) Records with a Retention Period of Less than Two (2) Years**

(a) DBH may not destroy documents with a retention period of less than two (2) years without the approval of the OPR. The Records Officer shall maintain a record of the documents.

(b) The Records Officer shall submit Exhibit 5: Documentation of Records Destruction, to the OPR quarterly.

**6d. Destruction of Confidential Documents**

(1) When DBH destroys confidential documents, the Records Officer shall ensure that:

- (a) The documents are secure at all points from leaving the Department until they are destroyed;
- (b) After destruction, the documents cannot be reconstructed; and
- (c) An employee witnesses the destruction.

(2) After the destruction of confidential documents, the Records Officer shall submit Exhibit 4: Records Destruction Confirmation Form, to OPR via email at [archives@dc.gov](mailto:archives@dc.gov).

- (a) If witnessing the destruction of documents is required, Exhibit 4, Records Destruction Confirmation Form, shall be signed by the witness.

7. **Sanction for Non-Compliance.** Non-compliance with the requirements of this policy will result in serious and appropriate action in accordance with DBH policies and applicable rules.

8. **Inquiries.** Questions related to this policy should be addressed to the Director of Health Information Management & Privacy Officer who may be reached at (202) 671-4088.

9. **Exhibits.**

Exhibit 1 – DBH Records Retention Schedule

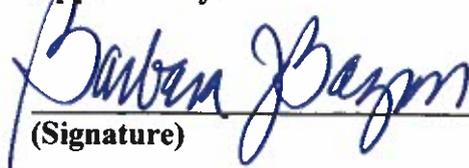
Exhibit 2 – Required Process for the Destruction of Public Records, AO-2017-1

Exhibit 3 – Attachment A Notice of Intent to Destroy Records

Exhibit 4 – Attachment B Records Destruction Confirmation Form

Exhibit 5 – Attachment C Documentation of Records Destruction (for records with a retention period no longer than two years)

Approved By:

 2/14/20  
(Signature) (Date)

**Barbara J. Bazron, Ph.D.**  
**Director, DBH**

FEB 14 2020

# EXHIBIT 1

**GOVERNMENT OF THE DISTRICT OF COLUMBIA**

**Office of Public Records**

**REQUEST FOR APPROVAL OF AGENCY RECORDS RETENTION SCHEDULE**

1. Agency	Department of Behavioral Health	
2. Schedule No.	DCRS-18-20	
3. Amendment/ Addendum No		
4. Contact Person		
5. Address		
6. Telephone No.		
7. Action Requested	X	a. Approval of agency records retention schedule
		b. Approval of amendment/addendum to agency retention schedule
c. Remarks		

Signature of Agency Representative

Title

Date

	Director	11/5/2018
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**Approvals**

	<input checked="" type="checkbox"/> Approve	<input type="checkbox"/> Disapprove	12/3/18
Signature of DC Archivist			Date
	<input checked="" type="checkbox"/> Approve	<input type="checkbox"/> Disapprove	2/3/18
Signature of Public Records Administrator			Date

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**GOVERNMENT OF THE DISTRICT OF COLUMBIA**

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**RECORDS RETENTION SCHEDULE**

**Department of Behavioral Health**



Update: **October 1, 2018**

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# GOVERNMENT OF THE DISTRICT OF COLUMBIA

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## Contents

<u>INTRODUCTION TO AGENCY RETENTION SCHEDULE</u>	<u>II</u>
<u>ORGANIZATION</u>	<u>VI</u>
<u>POLICY AND PROCEDURES</u>	<u>VI</u>
<u>LIST OF DIRECTORS</u>	<u>VI</u>
<u>CITATIONS IMPACTING RETENTION</u>	<u>VII</u>
FEDERAL	VII
DC LEGISLATION	VII
COURT ORDERS	VII
<u>AUDITS IMPACTING RETENTION</u>	<u>VII</u>
<u>RECORD SCHEDULE</u>	<u>1</u>
DEPARTMENT OF BEHAVIORAL HEALTH	1
SAINT ELIZABETHS HOSPITAL	7
CLINICAL SERVICES ADMINISTRATION	26
COMMUNITY SERVICES ADMINISTRATION	31
ADMINISTRATIVE OPERATIONS ADMINISTRATION	42
CONSUMER AND FAMILY AFFAIRS ADMINISTRATION	54
SYSTEMS TRANSFORMATION ADMINISTRATION	55
ACCOUNTABILITY ADMINISTRATION	58
ADMINISTRATIVE RECORDS	62
NON-RECORDS	67

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## GOVERNMENT OF THE DISTRICT OF COLUMBIA

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### Introduction to Agency Retention Schedule

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#### The Importance of Records

Records are the institutional memory of government. Every agency is responsible for creating and maintaining records that adequately document the organization, functions, policies, procedures, and major activities of the agency. An agency's records should reflect the evolution of agency policies and decisions, provide the information needed by successor officials to make intelligent decisions, and provide a lasting record of the unique contributions of the agency. Proper records must be kept to document the financial and legal commitments and interests of the government and of its citizens, and to permit oversight of an agency's activities.

#### Records Management

It is not only important that every agency create and maintain adequate documentation, but also that it provides for the proper disposition of its records by adopting a comprehensive records management program. Such a program establishes controls over records from the time of their creation to the time of their final disposition. It seeks to (a) provide for the timely and systematic removal of inactive records from an agency and the eventual destruction of those of a temporary nature after an appropriate length of time; and (b) identify those records of such historical or other importance that they should be preserved permanently in the District of Columbia Archives. A records management program is vital to the efficient and economical operation of government. Without it, offices would be drowning in records, at tremendous costs to the government in space, filing equipment, staff, and general efficiency of operations.

#### Records Schedule

The records schedule forms the heart of a good records management system. A schedule identifies those records of continuing value that are suitable for accessioning into the D.C. Archives and authorizes agencies to dispose of those records of temporary importance. A schedule is a detailed timetable that specifies the length of time records should be kept in active and inactive status prior to their final disposition. It prescribes how long a record should be maintained within an office before it may be destroyed, moved to low-cost storage in the D.C. Records Center, or transferred to the D.C. Archives to be preserved permanently.

There are two (2) types of records schedules: (1) an agency retention schedule; and (2) a general records schedule.

- (1) **Agency Retention Schedules** – The attached schedule is an agency retention schedule. It is based on a survey of the specific records created, received, utilized, and maintained in the various offices of your agency, and its disposition instructions are tailored to those records unique to your agency. It provides legal authority for the disposition of official records of your agency alone.
- (2) **General Records Schedule** - In addition to agency records schedules, there are also general records schedules. These schedules provide disposition authority for records common to most or all agencies of government. They cover records relating to personnel, fiscal functions, accounting, budget, procurement, transportation, and other common or housekeeping functions. An agency may implement or utilize the disposition

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## GOVERNMENT OF THE DISTRICT OF COLUMBIA

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instructions of a general records schedule where applicable or may apply a retention period that differs from that in the general schedule by submitting a retention schedule for that particular record series. However, General Schedules do not apply to documents dated before January 1, 1921. If you have records in your office dated earlier than 1921, please contact the D.C. Archives for an appraisal of those records.

The general records schedules that have been developed for the District of Columbia are embodied in D.C. General Records Schedules I-18 and 20-24. The Office of Public Records is currently in the process of updating the DC General Schedule to reflect changes in the government, the implementation of new procedures, policies, and practices, as well technology over the past 30 to 40 years. Changes will be posted and agency records management officers will be notified.

### **Amending an Agency Records Retention Schedule**

An agency records retention schedule is not a static document, it must be reviewed and revised on a regular basis. The organization of an agency, its functions, and programs are constantly changing, and the schedule must be continually updated to incorporate these changes. Amendments to agency schedules may be initiated either by the agency or by the Office of Public Records. Regulation 1 DCMR 1504.1(h) requires Agencies to review schedule annually to ensure that it is up-to-date and provides for the disposition of all series of records not covered by the general records schedules. In order to understand and apply the records retention schedule for your agency, it is important to define certain terms that are used in records management and archives.

### **What are Public Records?**

Public records are defined by the District of Columbia law as "any document, book, photographic image, electronic data recording, electronic mail, paper, video recording, sound recording, microfilm, computer disk, or other material, regardless of physical form or characteristic, that documents a transaction or activity made, received, or retained pursuant to law or in connection with the transaction of public business by or with any officer or employee of the District."<sup>1</sup>

Records are made or received and utilized by an office as it conducts its business. They relate directly to the mission of an agency and document the functioning of an agency. Although a paper document is the most common form of a record, a record can be of any physical characteristic. Computer tapes and disks, sound and video recordings, photographs and motion picture film, microfilm, maps, and charts, may each constitute an official record. Records as defined above belong to the District of Columbia. In no sense are they the personal property of an individual. They may not be destroyed except under legal procedures established by the government. One of the major purposes of an approved agency records retention schedule is to provide authority for the legal disposition of official records.

### **What is Non-Record Material?**

Not every document in a government office is an official record. The following types of material are usually considered non-record: duplicate copies of documents; pamphlets, periodicals, books,

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<sup>1</sup> D.C. Official Code § 2-1701(13).

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## GOVERNMENT OF THE DISTRICT OF COLUMBIA

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printed reports, and other materials maintained for reference purposes; reference copies of Mayor's Orders, Mayor's Memoranda, and the D.C. Register; reading files ("chron files"); copies of memoranda, correspondence, reports, and similar materials received from other agencies that require no action; drafts of reports and correspondence and related working papers that don't impact or are not considered essential to a final decision regarding policies, laws, and regulations, and that don't demonstrate the thought processes and reasoning behind making those decisions; blank forms, transmittals, and routing slips; and materials relating to fringe activities of an agency such as charitable fund drives.

Non-record materials are disposable on agency authority alone. If you are unsure as to the status of certain kinds of material, please call the Office of Public Records for assistance.

### **What are Personal Papers?**

Some officials and employees keep personal papers within their offices. These are documents of an unofficial, private nature that pertain to an individual's personal affairs and do not relate to official business. Such papers might include files accumulated by an official (or employee) before they assumed office, or documents relating to one's private concerns, such as outside business activities or memberships in professional organizations, or personal notes or diaries that are totally unrelated to public business.

It is important that such papers be kept apart from official records and that they are clearly labeled as private papers. Please take care to see that personal papers do not become intermingled and confused with official records.

### **Legal Hold**

Records that are the subject of or related to a legal action are placed on legal hold, until the case (s) is resolved and all appeals have been exhausted. Retention of these records should be coordinated with the agency General Counsel, and physically separated from general files to ensure proper handling. Upon confirmation from the agency General Counsel that all proceedings have concluded, the court orders should be reviewed to determine if retention of the record, or a portion of the record is impacted by the court order.

If record retention is impacted by the final court order, the record closes on the date of the order and cuts off at the end of the fiscal year. Retain the record for the period specified in the court order (counting from the cutoff date) and then destroy [OR, IF A PERMANENT RECORD, TRANSFER TO THE DC ARCHIVES]. If retention is not impacted by the court order, the record closes on the date of the order and cuts off at the end of the fiscal year. Retain the record in accordance with the retention schedule.

### **Digital Conversions of Records**

The Office of Public Records must review and approve all conversions of public records from paper into a digital format if the intent is to destroy the paper document. Please note, permanent records may not be destroyed after scanning, the Office of Public Records will work with agencies to transfer hardcopies to the Record Center or the DC Archives based on need.

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## GOVERNMENT OF THE DISTRICT OF COLUMBIA

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### Retention Schedule Basic Terms and Use:

Close Date	The date or timeframe from which no further information may be added to a record.
Cutoff Date	After records close, a date or timeframe is selected as the "cut off", designating when the record becomes inactive. This date starts the retention timeclock and occurs at regular intervals. Please note, close, and cut off may be the same date.
Destroy/Delete	Records may be destroyed or deleted in accordance with DC Code § 2-1701, and agency policy. Care should be taken to ensure proper destruction of government records.
PHI	Personal Health Information defines the information covered under the HIPAA privacy rule. Federal protections apply to personal health information held by covered entities and gives patients an array of rights with respect to that information. At the same time, the privacy rule is balanced so that it permits the disclosure of personal health information needed for patient care and other important purposes.
PII	Personally Identifiable Information (PII), or Sensitive Personal Information (SPI), as used in US privacy law, is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context.
Remaining Retention in Records Center	Total retention period minus length of time records are maintained on-site. For permanent records, this is the remainder of the period that the records remain in the legal custody of the agency before transferring to the Archives.
Transfer of Records (Physical)	Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the Record Center remain in the legal custody of the agency. FOIA requests for these records are sent to the agency, and the agency is responsible to respond and release information as appropriate.
Transfer of Records (Legal)	Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the DC Archives transfer legal custody to the Archives. FOIA requests for these records are the responsibility of the Archives.
Total Retention	The total time a record is to be retained in the legal custody of the District after cut off.
Years in Office	Length of time records are maintained on-site at the agency after cut off.

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## GOVERNMENT OF THE DISTRICT OF COLUMBIA

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### Organization

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Department of Behavioral Health

### Policy and Procedures

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Two hardcopies or a single electronic copy accompany this submission

### List of Directors

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Where possible, a complete listing is provided below:

Department of Behavioral Health	Dr. Tanya Royster	Aug-15	Current
	Dr. Barbara Bazron	Feb-15	Jul-15
	Stephen T. Baron	Oct-13	Jan-15
Department of Mental Health	Stephen T. Baron	Apr-06	Sep-13

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## GOVERNMENT OF THE DISTRICT OF COLUMBIA

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### Citations Impacting Retention

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#### Federal

2 CFR § 200.333 (Grants)  
42 CFR Part 2 (Confidentiality)

#### DC Legislation

DC Code § 2-1701  
DC Code § 2-1706  
DC Code § 21-562  
DCMR 1-1504.1(d)  
DCMR 22-B2030  
DCMR 5-A129.3  
DCMR 17-4612.1  
DC Mental Health Information Act of 1978

#### Court Orders

None

### Audits Impacting Retention

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None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

**Record Schedule**

**Department of Behavioral Health** provides prevention, intervention and treatment services and supports for children, youth and adults with mental and/or substance use disorders including emergency psychiatric care and community-based outpatient and residential services. DBH serves eligible adults, children and youth and their families through a network of community-based providers and unique government delivered services. It operates Saint Elizabeth's Hospital—the District's inpatient psychiatric facility. Their Mission is to develop, manage and oversee a public behavioral health system for adults, children and youth and their families. It is consumer driven, community based, culturally competent and supports prevention, resiliency, and recovery as well as the overall well-being of the District of Columbia.

The agency was originally established as the Department of Mental Health under D.C. Code § 7-1131.03. The Department of Mental Health, and the Department of Health Addiction Prevention and Recovery Administration, were reorganized into the Department of Behavioral Health by the Reorganization Plan No. 4 of 1996, effective July 17, 1996 (D.C. Official Code, Vol. 3) [Part A of subchapter XIV of Chapter 15 of Title 1].

	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
1.	Formal Communications (Executive Staff) Formal communications that impact the mission or execution of the mission and programs of the agency. Record includes, but is not limited to, correspondence with the Mayor, Deputy Mayors, City Administrator, City Council, intra-agency, and inter-agency directives. Records are organized chronologically. Restrictions: None Media: Paper/Electronic (Secure Agency Network) Permanent: Records close when the directive is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.	Permanent	None	4 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
<p><b>2.</b></p> <p><b>a</b> Public Relations Files</p> <p>Speeches: Text and audio or video recordings of formal speeches, announcements, and remarks to the press. Remarks made at formal ceremonies and during interviews by the agency executive staff and other high-ranking officials concerning agency programs. Records are organized chronologically.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Secure agency network)</p> <p>Permanent: Records close upon conclusion of the presentation or event and cut off at the end of the corresponding Inspector General's administration. Records are transferred to the DC Archives within 30 days of cut off.</p>	Permanent	None	None
<p><b>b</b></p>	Permanent	None	None

News releases: Prepared statements or announcements issued for distribution to the news media. News releases announce events such as the adoption of new agency programs, termination of old programs, major shifts in policy, and changes in senior agency personnel and may be textual records such as a formal press releases or non-textual records, such as film and video or sound recordings. Records are organized chronologically.

Restrictions: None.

Media: Paper and Electronic (Secure Agency Network)

Permanent: Records close upon conclusion of the presentation or event and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
<p>3. Agency Policy and Procedures (Human Resources) This record defines the operational guidelines for the agency. Policies are arranged numerically by an assigned control number. The number is derived from Transmission Letter (e.g. TL1000.1A.)            Restrictions: None            Media: Paper and Electronic (Electronic-District Personnel Manual)            Permanent: Records close when directive is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records on site 4 years after cut off, then transfer to the D.C. Archives.</p>	Permanent	4 Years	None
<p>4. Schedule of official activities of agency Executive Staff            Restrictions: None            Media: Paper and Electronic (Secure Agency Network)            Permanent: Records close at the end of the fiscal year and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years
<p>5. Strategic Plans: (Executive Staff) Plans and supporting documentation utilized to set the strategic direction for the agency including, but not limited to studies, benchmarking of other jurisdictions, and statistics and data supporting current and planned future state. Organized by subject and date.            Restrictions: None            Media: Electronic (Secure Agency Network)            Permanent: Records close when the plan is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
6.	Performance Reports (Executive Staff) The Director's office maintains statistical data regarding the population served and types of services rendered. Statistics are both quantitative and qualitative in nature. Records are arranged by topic and year. Restrictions: None Media: Paper/Electronic (Secure Agency Network)			
a	<b>Published Reports</b> Permanent: Records close upon publication of the report and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.	Permanent	None	4 Years
b	<b>Unpublished Reports</b> Appraisal: Records close upon completion of the final version of the report and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for Appraisal.	Appraisal required by DC Archivist	None	

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
<p>7. Project Subject Files (Executive Staff) Program-related projects and initiatives. Record consists of all documents and data relating to a specific project from inception to completion. Included are correspondence, memoranda, questionnaires, studies and reports, and related records. Excludes records that impact the mission or vision of the Director's Office which are to be retained permanently. Organized by subject and fiscal year.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Secure Agency Network)</p> <p>Appraisal: Records close upon completion or conclusion of the project and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for Appraisal.</p>	<p>Appraisal required by DC Archivist</p>	<p>None</p>	<p>4 Years</p>
<p>8. Organization Files (Executive Staff) Organizational charts and reorganization studies that define descriptions of the arrangement and administrative structure of the functional units within the Director's office. Organized by date.</p> <p>Media: Electronic (Secure Agency Network) and Paper</p> <p>Permanent: Records close when the version is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	<p>Permanent</p>	<p>None</p>	<p>4 Years</p>
<p>9. Publications (Communication) Publications on various topics of interest or concern that provide insight and awareness. Organized by topic and year.</p> <p>Restrictions: None</p> <p>Media: Paper / Electronic (Secure Agency network, dc.gov)</p>			

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
<b>a</b> <b>Printed Materials</b> Permanent: Records close when publication is replaced or discontinued and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.	Permanent	None	None
<b>b</b> <b>Agency Websites</b> Media: Electronic (dc.gov) Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.	Permanent	1 Quarter	None
<b>c</b> <b>Social Media Posts</b> Media: Electronic (Stored on Twitter, LinkedIn, and Facebook) Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.	Permanent	1 Quarter	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

**Saint Elizabeths Hospital** provides inpatient psychiatric, medical, and psycho-social treatment to adults to support their recovery and return to the community. The Hospital's goal is to maintain an active treatment program that fosters individual recovery and independence as much as possible. The Hospital is licensed by the District's Department of Health and meets all the conditions of participation promulgated by the Federal Centers for Medicare and Medicaid Services.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
10.	<p>Medical Records (Programs) This record documents the diagnosis and treatment of consumers admitted to St. Elizabeth's Hospital. This record may include but is not limited to intake information (name, verification of identity, residency, and insurance), diagnostic testing, evaluations, medication, and recommendations for continued care (inpatient). This record may also document participation in individual and group psychotherapy services and psycho-educational groups. This record is organized by last name/first name, Case Number (Assigned by AVATAR) Restrictions: PHI</p> <p>Media: Electronic (Avatar/W-drive) Database management systems include AVATAR, FileNet, Department of Behavioral Health for the electronic intake and Digital for the audiovisual intake</p>			
a	<p>Standard Disposition</p> <p>Temporary: Records close upon discharge and cut off at the end of the calendar year. Retain records for ten years after cut off or until the patient's 24th birthday, whichever is later, then destroy.</p>	Temporary 10 Years	5 Years	5 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	<p>Historically significant Medical Records</p> <p>Appraisal: Records close upon discharge and cut off at the end of the calendar year. Retain record ten additional years or until the patient's 24th birthday, whichever is later, then transfer to the archivist for appraisal.</p>	Appraisal	5 Years	5 Years
11.	<p>Psychiatry and Psychology Raw Data and Testing Records –</p> <p>This record documents the raw data results for the testing of patients during the history of the hospital. The record compiles data of evaluated patients and is maintained for research, peer reviews, performance improvement, diagnostic and /or operative indexes. The information is also used to evaluate and make determinations for individual patients, but are not included in the Medical Record. This record is organized by last name, first name, and hospital.</p> <p>Restrictions: PII /PHI</p> <p>Media: Paper, Electronic Shared Drive, and Restricted Access FileNet</p> <p>Permanent: Records close and cut off at the end of the fiscal year. Retain records for 5 years, and then transfer to the Record Center for 5 years before transfer to the DC Archives.</p>	Permanent	5 Years	5 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
12.	<p>Master Patient Intake (Program) This record documents mandated tracking under DCMR 22-B2030.10a requiring all hospitals to maintain a permanent list of consumers. Records include but are not limited to name, dates of admission and discharge, name of admitting physician, and disposition or place to which consumer was discharged/transferred. This record is organized by last name/first name, case number (if assigned). Programs include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Therapeutic Learning Center</li> <li>• Rehabilitation Services</li> <li>• Nutrition</li> </ul> <p>Restrictions: PII/PHI                      Media: Paper/ Electronic (Shared drive)                      Permanent: Records close daily and cut off at the end of the calendar year. Retain records permanently in house.</p>	Permanent	Permanent	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
13.	<p>Residency Program Student Records (Program Teams) This record documents student participation, progress, and matriculation through accredited full-time residency licensing and certification programs in psychiatry, psychology, dentistry, and chaplaincy. Part time training programs are also included (e.g. medical students, art and dance therapy, nursing students, and social work students). Records include but are not limited to applications, student evaluations, social security numbers and grades. This record is organized by school, fiscal year, student last name/first name, student identification number.</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic (Access Database)</p> <p>Permanent: Records close upon withdrawal from the program or completion of study and cut off at the end of the fiscal year. Retain records for 25 years after cut off and then transfer to the DC Archives.</p>	Permanent	25 Years	None
14.	<p>Security Video File (Security Team) This record captures movement of consumers and personnel through the facility in designated public spaces and access points to restricted spaces. This record is organized by date and time.</p> <p>Restrictions: None</p> <p>Media: Video</p> <p>Temporary: Records close and cut off daily. Retain for 30 days and then destroy (record over the aged activity).</p>	Temporary 1 Month	1 Month	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
15.	<p>Temperature Log (Nutrition Team) This record documents random sampling and monitoring to ensure unprepared food is maintained at the proper temperatures. This record is organized by date and time of sample.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close after each inspection and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
16.	<p>Food Service Menu File (Nutrition Team) This record documents daily meal options for the hospital cafeteria and food service to consumers. This record is organized by date and time</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close daily and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
17.	<p>Cleaning Assignment Log (Security Team) This record documents assignment to clean consumer rooms. The log is utilized to track the identity of the employee accountable to clean an area and determine who may have access to consumer spaces. This record is organized by date and time.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close daily and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
18.	<p>Transportation Schedule (Security Team) This record documents transportation provided to consumers to attend appointments, court ordered appearances, and/or to participate in rehabilitation services. Record includes but is not limited to requests for transportation, name of consumer, and confirmation of the date and time of pickup. This record is organized by Date and Time.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close daily and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
19.	<p>Employee Health Files (Medical Affairs Team) This record documents medical history of employees working at St. Elizabeth's relating to targeted screening that might pose a risk to consumers or other workers. Targeted screening includes but is not limited to tuberculosis, flu, and vaccinations. This record is organized by last name /first name.</p> <p>Restrictions: PHI</p> <p>Media: Paper</p> <p>Temporary: Records close and cut off upon separation or transfer of the employee. Transfer the record to DC Record Center within 30 days of cut off with instructions to destroy 75 years from the date of birth of the employee.</p>	<p>Temporary 75 Years from Date of Birth</p>	<p>None</p>	<p>Until the 75<sup>th</sup> birthday of employee</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
20.	<p>Appointments Database (Family Services Team) This record documents the appointments made by consumers for inpatient or outpatient services. This record may include but is not limited to the name of the consumer, contact information, physician, date and time of the appointment and purpose of the visit. This record is stored in a database management system, and are retrievable through various queries (e.g. name, date, and physician).</p> <p>Restrictions: PII/PHI</p> <p>Media: Paper, CD, Electronic (Medical Clinic Appointment database)</p> <p>Temporary: Records close daily and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None
21.	<p>Key Card Log (Operations Team) This record documents assignment of access key cards to employees, contractors, and sub-contractors. This record includes but is not limited to the name of the applicant, emergency contact, and justification for access, and agency sponsor. This record is organized by the name of applicant and expiration of access.</p> <p>Restrictions: PII</p> <p>Media: Electronic (Continuum Database)</p> <p>Temporary: Records close upon return of access fob and cut off at the end of the quarter. Retain records for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
22.	<p>Sprinkler Maintenance Log (Operations Team) This record documents the required quarterly checks of the Sprinkler System throughout the Facility. Records include sprinklers tested, test method and date. This record is organized by month, date, and year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Continuum Database)</p> <p>Temporary: Records close upon recording of the results for each inspection and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
23.	<p>Fire Drill Logs (Operations Team) This record documents the required fire drill training and evacuation for the facility. Records include date of training or drill, evaluation of success, and opportunities for improvement. This record is organized by date.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close upon report of the results of the training or drill and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
24.	<p>Work Orders (Facilities Maintenance Team) This record documents requests for routine maintenance to the facility. Record includes but is not limited report date, description of the problem, and resolution date. This record is organized by priority and date of request.</p> <p>Restrictions: None</p> <p>Media: Electronic (Salesforce)</p> <p>Temporary: Records close upon completion of the work and cut off at the end of the quarter. Retain record for 3 months after cut off and then destroy.</p>	<p>Temporary 3 Months</p>	<p>3 Months</p>	<p>None</p>
25.	<p>Major Equipment Inspections (Facilities Maintenance Team)</p> <p>This record documents preventative maintenance inspections of the electrical system, elevator, boiler, and generator. Record includes but is not limited to type of inspection, specific equipment inspected, inspection protocol results, and recommendations. This record is organized by inspection type and date.</p> <p>Restrictions: None</p> <p>Media: Electronic (S-Drive)</p> <p>Temporary: Records close upon documentation of the inspection results and cut off at the end of the fiscal year. Retain the record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
26.	<p>Fuel Log (Facilities Maintenance Team) This record documents fuel use for equipment and vehicles throughout the facility, and tracks usage for budget and efficiency purposes. This record is organized by date.</p> <p>Restrictions: None</p> <p>Media: Electronic (S-Drive)</p> <p>Temporary: Records close weekly and cut off at the end of the fiscal year. Retain record for 1 year and then destroy.</p>	<p>Temporary 1 Year</p>	<p>1 Year</p>	<p>None</p>
27.	<p>Boiler Engineers Log (Facilities Maintenance Team) This record documents preventative maintenance performed on a boiler to avoid emergency shut downs or accidents. Records include dates of maintenance, results of diagnostic protocols, log of actions to be taken, and date actions are completed. This record is organized by date of performance action or occurrence.</p> <p>Restrictions: None</p> <p>Media: Electronic (S-Drive)</p> <p>Temporary: Records close upon documentation of the inspection results and cut off at the end of the fiscal year. Retain the record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
28.	<p>Library Inventory Records (Medical Library Team) This record documents the inventory of items that are held by the library, the collections are cataloged in the Library of Congress classification scheme. Most are in MARC (Machine-Readable Cataloging) format.</p> <p>Restrictions: None</p> <p>Media: Electronic (S-Drive)</p> <p>Temporary: Records close when item is removed from the inventory and cut off at the end of the fiscal year. Notate removal of the item and the date on the record. Delete item from inventory list 2 years after cut off.</p>	<p>Temporary 2 Years</p>	<p>2 Years</p>	<p>None</p>
29.	<p>Clinical/Dental Equipment [Log] (Dental Team) This record documents the sterilization, maintenance, and upkeep of dental equipment and tools to promote safety and oral hygiene of consumers. This record is organized by the date of inspection.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close on the date of inspection and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
30.	<p>Clinical/Dental Records (Dental Team) This record documents diagnosis and dental treatment for consumers. This record includes but is not limited to name, contact information, x-rays, appointments, referrals, medications, and procedures. This record is organized by last name / first name.</p> <p>Restrictions: PHI</p> <p>Media: (Paper/Electronic) (Dentrix)</p> <p>Temporary: Records close after 2 years of inactivity against the record and cut off at the end of the fiscal year. Retain record on-site an additional 2 years, then transfer to the Records Center for the remaining 6 years, then destroy.</p>	<p>Temporary 10 Years</p>	<p>5 Years</p>	<p>5 Years</p>
31.	<p>Incident Reports [Investigation Case File] (Risk Management Team) This record documents an adverse event that can compromise the health, safety, or welfare of individuals receiving care. Sources of the event may include but are not limited to employees, contractors or consumers who violate law or policy and the record includes date of the incident, parties involved, witness statements and findings. This record is organized by date and unit.</p> <p>Restrictions: PHI, PII</p> <p>Media: Paper, Electronic SharePoint</p>			

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	No Loss of Life (alleged abuse, neglect, exploitation, unauthorized absences, fraud) Temporary: Records close upon final determination or determination that a conclusive finding will not result from the available information and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the DC Archives for 7 years.	Temporary 10 Years	3 Years	7 Years
b	Loss of Life Temporary: Records close upon final determination or determination that a conclusive finding will not result from the available information and cut off at the end of the fiscal year. Retain record for 10 years and then transfer to the DC Archives for 65 years.	Temporary 75 Years	10 Years	65 Years
32.	Infectious Control [Risk Mitigation Case File] (Risk Management Team) This record documents information, samples, and test results collected to assess the risk of infection or spread of infection. The record includes but is not limited to an assessment, action plan and final assessment of the effectiveness of the plan. This record is organized by date and unit. Restrictions: PHI Media: Paper/Electronic (S-Drive) Temporary: Records close upon determination that risk is controlled and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to Records Retention Center for 7 years.	Temporary 10 Years	3 Years	7 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
33.	<p>Americans with Disabilities Act Accommodation Request (Risk Management Team) This record documents the process to requests, review and approve accommodations for employees and consumers. These accommodations may include but are not limited to handicap accessibility, required breaks, and desk/seating accommodations. Records are organized by last name / first name.</p> <p>Restrictions: PII/PHI</p> <p>Media: Paper</p>			7 years
a	<p>Consumer</p> <p>Temporary: Records close on the last date of accommodation and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to Record Center for 7 years.</p>	Temporary 10 Years	3 Years	
b	<p>Employee</p> <p>Temporary: Records close on the last date of accommodation or employment whichever is later and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.</p>	Temporary 5 Years	5 Years	None
34.	<p>Donations [Log] (Specialty Voluntary Services) This record documents donations made by the public to support the services and programs offered by volunteers at the hospital. Records include but are not limited to donor, date, description, and estimated value. This record is organized by date.</p> <p>Restrictions: None</p> <p>Media: Paper</p>			

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	Highest value of any one donation is less than \$100,000 Temporary: Records close and cut off at the end of the fiscal year. Retain the record for 3 years after cut off then destroy.	Temporary 3 Years	3 Years	None
b	Highest value of any one donation is \$100,000 and over Temporary: Records close and cut off at the end of the fiscal year. Retain the record for 6 years after cut off then destroy.	Temporary 6 Years	6 Years	None
35.	Volunteers (Specialty Voluntary Services) This record documents review and approval process for community volunteers to support services and programs of the hospital. The record may include but is not limited to applications, background checks, validation that volunteer has participated in an orientation, and proof of age (volunteers must be 13 years of age or older). This record is organized by last name/first name. Restrictions: PII Media: Paper Temporary: Records close on volunteer's last activity and cut off at the end of the fiscal year. Retain record 3 year after cut off and then destroy.	Temporary 3 Years.	3 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
36.	<p>Licensing and Certifications [Staff Credential Record] This record documents the credentials of the clinical professional staff. Records include but are not limited to certification and license documents. This record is organized by last name/first name.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Permanent: Records close on the nurse's last date of service and cut off at the end of the fiscal year. Retain record for 3 years and then transfer to the DC Archives.</p>	Permanent	3 Years	None
37.	<p>Unit Reports [Shift Log] (Nursing team) This record documents assignments, shifts, safety checks, and nursing shift reports. The record is used to identify individuals providing care for consumers on their respective unit. This record is organized by unit and date.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (S-Drive)</p> <p>Temporary: Records close at the end of each shift and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then transfer to the Records Center for 2 years.</p>	Temporary 5 Years	3 Years	2 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
38.	<p>Emergency Crash Cart [Inventory] (Nursing team) This record documents the inventory for each crash cart maintained in the hospital by item and the quantity required. Inventory items include but are not limited to automated external defibrillators, oxygen suction, and emergency medications. This record is organized by cart location.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close after each inventory check and cut off at the end of the fiscal year. Retain records for 6 months after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
39.	<p>Daily Census (Nursing team) This record documents the location of consumers at 8 a.m. every morning. The records include but are not limited to name and contact information, room number, and details of any transfers. This record is organized by date.</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic (AVTAR)</p> <p>Temporary: Records close at the end of the month and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
40.	<p>Application and Agreement Student Masters of Social Work (Social Work Team) This record documents the clinical experiences of students pursuing a Masters of Social Work as part of St. Elizabeths role as a teaching hospital. This record is organized by school, year of program completion, and name.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (S-drive)</p> <p>Temporary: Records close up on withdrawal from the program or completion of study and cut off at the end of the fiscal year. Retain records for 10 years after cut off and then transfer to the DC Archives.</p>	<p>Temporary 10 Years</p>	<p>10 Years</p>	<p>None</p>
41.	<p>Student Case Surveys (Chaplain's Office) This record documents survey results from annual student self-evaluations and student evaluations of a program of study and the associated educators. Surveys are confidential and are used by the staff to assess the course and curriculum. This record is organized by program and school term.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close upon submission of survey and cut off at the end of the school term. Retain records for 3 years and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
42.	Clinical Pastoral Education Alumni Questionnaire (Chaplain's Office) This record documents feedback provided by alumni through a questionnaire and is used to drive process, program, and curriculum improvements. Records are organized by year. Restrictions: None Media: Paper Temporary: Records close upon submission of questionnaire and cut off at the end of the school term. Retain records for 3 years and then destroy.	Temporary 3 Years	3 Years	None

See also: Record 89 for P-Card Purchase Record Retention,  
 Record 6 for Reports

**CLINICAL SERVICES ADMINISTRATION** Led by the Chief Clinical Officer, the Clinical Services Administration supervises the operation of all clinical programs and sets standards for the provision of clinical care throughout the public behavioral health system. It includes all Department of Behavioral Health provided assessment, referral, and clinical services; forensic services, the comprehensive emergency psychiatric program, and the disaster behavioral health program. The Clinical Services Administration oversees involuntary commitment at community hospitals and coordinates services that assist individuals transitioning from psychiatric hospitals and nursing homes to community based behavioral health services.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
43.	Learning Curriculum (Therapeutic Learning and Stepping Stone) This record documents curriculum developed to ensure patients receive learning activities, experiences, skills development, and approaches to knowledge that contributes to their personal growth and transition back into the community. This record includes but is not limited to course work and therapeutic gaming and social interaction. Restrictions: None Media: Paper/ Electronic (Shared drive) Temporary: Records close at the end of the school term and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
44.	<p>Sign In/Out Sheet: This record documents tracking of individuals receiving inpatient and outpatient care and their participation in events essential to their treatment and recovery. Visitation Logs are also maintained for the facility. Records include but are not limited to date and time of appointment/visit, consumer name/name of visitor, and physician and patient visited. This record is organized chronologically and by program. Programs include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Therapeutic Learning Center</li> <li>• Rehabilitation Services</li> </ul> <p>Restrictions: None            Media: Paper/ Electronic (Shared drive)            Temporary: Records close daily and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	<p>Temporary            3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
45.	<p>Mobile Crisis Services and Homeless Outreach Program Case Files (Clinical Services) This record documents crisis intervention and stabilization services provided to residents and visitors of the District who are experiencing psychiatric crises in the community or at home. Services include referrals through the hotline, education, treatment compliance support, and grief and loss services to individuals after a traumatic event. Records may include, but are not limited to name, demographics, assessment of the need, and services extended. This record is organized by last name/first name and case number if assigned.</p> <p>Restrictions: PII/ PHI/HMIS</p> <p>Media: Electronic Homeless Management Information System</p> <p>Temporary: Records close upon determination of ineligibility or upon last action (service or supplement) against the record and cut of at the end of the fiscal year. Retain record for 3 years after cut off and transfer to Record Center for 7 years.</p>	Temporary 10 Years	3 Years	7 Years
46.	<p>Prescription Scripts (Pharmacy) This record documents a record of a prescription from any authorized prescriber. This includes but is not limited to prescription from a physician, pharmacist, or nurse practitioner. This record is organized by drug and patient name.</p> <p>Restrictions: PII/PHI</p> <p>Media: Paper/Electronic</p> <p>Temporary: Records close at completion of therapy and cut off at the end of the year. Retain record on site for 2 years then transfer to Records Center for remaining 3 years.</p>	Temporary 5 Years	2 Years	3 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
47.	<p>Drug Error (Pharmacy) This record documents a record of drug incidents where drugs were released to patient that caused an adverse event. This includes but is not limited to unexpected or undesired incidents that result in patient injury, death, or an adverse outcome for a patient; preventable event that may cause or lead to inappropriate drug use. This record is organized by drug and patient.</p> <p>Restrictions: PII/PHI</p> <p>Media: Paper/Electronic</p> <p>Temporary: Record is closed when the investigation is complete and cuts off at the end of the fiscal year. Retain on site for 3 years and transfer to Records Center for remaining 7 years.</p>	Temporary 10 Years	3 Years	7 Years
48.	<p>Narcotic Receipts (Pharmacy) This record documents narcotics received at a pharmacy. These include but are not limited from licensed dealer and wholesaler. This record is organized by drug.</p> <p>Restrictions:</p> <p>Media: Paper/Electronic</p> <p>Temporary: Record closes upon receipt cuts off at the end of the fiscal year. Retain in office for 2 years and destroy.</p>	Temporary 2 Years	2 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
49.	<p>Care Coordination Request Records (Clinical Services) This record documents providers seeking authorization for services, enrollment, transfer, and disenrollment from Core Service Agencies through the Access Helpline. Records may include but are not limited to patient name, address, enrollment/ disenrollment, and court ordered evaluations. This record is organized by program and date received. Services include:</p> <ul style="list-style-type: none"> <li>• Hospitalization</li> <li>• Day services (care provided in the home)</li> <li>• Intensive day treatment (intensive home care)</li> <li>• Crisis Bed Request (Emergency bed requests)</li> <li>• Supplemental Unit Request (Community supplemental to core agency support)</li> <li>• Clinical Presentations for Continued Stay Requests</li> <li>• Community Based Interventions (Diagnostic assessments and plans)</li> <li>• Assertive Community Treatment (ACT)</li> </ul> <p>Restrictions: PII/PHI            Media: Paper/Electronic</p>			
a	<p>Pre-Admission Screening and Resident Review (PASRR) (Level II request for Nursing Home (Program for Medicaid))            Temporary: Records close upon termination of service or exhaustion of appeals and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the Record Center for 7 years.</p>	Temporary 10 Years	3 Years	7 Years
b	<p>All Other Documentation            Temporary: Records close upon termination of service or exhaustion of appeals and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

**COMMUNITY SERVICES ADMINISTRATION** develops, implements, and monitors a comprehensive array of prevention, early intervention and community based behavioral health services and support for adults, children, youth, and their families that are culturally and linguistically competent and supports resiliency and recovery. This administration includes services and support in the former Adult Services, Children/Youth Services and Substance Use Disorder Prevention Services and Treatment and Recovery Services.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
50.	Patient Assessments (Linkage & Assessment Division) This record documents mental health assessments, and substance use disorder screening. Records include but are not limited to physician notes, physician assessments, test results and lab results and referrals to behavioral health support services. Reports may be requested by and provided to the Superior Court of the District of Columbia or Department of Behavioral Health clinicians as part of the treatment assessment. This record is organized by last name/ first name. Restrictions: PHI Media: Paper			
a	Standard Disposition Temporary: Records close upon discharge and cut off at the end of the calendar year. Retain records for ten years after cut off or until the patient's 24th birthday, whichever is later, then destroy.	Temporary 10 Years	4 Years	6 Years
b	Alternative Disposition (Until records for minors are distinguished from records for adults, use this alternative disposition.) Temporary: Record closes one year after date of last service and cuts off at the end of the calendar year. Retain records for 3 years after cut off and then transfer the Record Center for 17 years	Temporary 20 Years	3 Years	17 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
51.	<p><b>Youth Assessment Files and Treatment Folder: (Residential Treatment)</b> This record documents youth evaluations which include copies of records from facilities, youth treatment plan records, original progress notes, and correspondence from coordinators. These records provide continuous documentation of youth throughout their treatment. This record is organized by last name/first name.</p> <p>Restrictions: None</p> <p>Media: Paper</p>			
a	<p><b>Standard Disposition</b>                      Temporary: Records close upon discharge and cut off at the end of the calendar year. Retain records for ten years after cut off or until the patient's 24th birthday, whichever is later, then destroy.</p>	<p>Temporary                      10 Years</p>	<p>4 Years</p>	<p>6 Years</p>
b	<p><b>Alternative Disposition (Until records for minors are distinguished from records for adults, use this alternative disposition.)</b>                      Temporary: Record closes one year after date of last service and cuts off at the end of the calendar year. Retain records for 3 years after cut off and then transfer the Record Center for 16 years</p>	<p>Temporary                      20 Years</p>	<p>3 Years</p>	<p>17 Years</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
52.	<p>Child Development Center and Classroom Demographics [Report]: (Community Service Team) This record documents demographic information of children being served. Special needs of the center's population are included in the record, (e.g. teen parents, living in shelters) to better identify the type of services needed. This record is organized by school year, school, and consumer.</p> <p>Restrictions: PII</p> <p>Media: (Paper)</p> <p>Permanent: Records close at the end of the school year and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years
53.	<p>Healthy Futures Service [Program File]: (Community Service Team) This record documents program requirements for the Healthy Futures program. Record includes past performance, analysis of expulsions, and key programs to improve the consumer outcomes. This record is organized by project name.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Appraisal: Records close upon completion or conclusion of the project and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for Appraisal.</p>	Appraisal required by DC Archivist	None	



GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
55.	<p>Memorandum of Agreement (MOA) and Memorandum of Understanding (MOU): (Community Service Team) These records document agreement between DBH and other agencies within the District of Columbia. The record includes but is not limited to a statement of work, roles and responsibilities of the parties, requirements for health and safety of the consumers and funding with MOU. This record is organized by the name of the agency DBH is partnering with. Restrictions: None</p> <p>Media: Paper, Electronic (S-Drive)</p>			
a	<p>Under \$100,000</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 3 years after cutoff, and then is prepared for confidential destruction.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
b	<p>\$100,000 +</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cutoff, and then is prepared for confidential destruction.</p>	<p>Temporary 6 Years</p>	<p>3 Years</p>	<p>3 Years</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
56.	<p>Implementation Plan for Healthy Futures: (Community Service Team)</p> <p>This record documents the academic year program goals based upon social and emotional development assessments, early childhood development needs, effects of expulsion, methods of curriculum use, and types of behavior management utilized. The implementation plan includes but is not limited to center needs and timelines. This record is organized by fiscal year.</p> <p>Restrictions: None</p> <p>Media: Electronic (S-Drive)</p> <p>Appraisal: Records close upon completion or conclusion of the project and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for Appraisal.</p>	<p>Appraisal required by DC Archivist</p>	<p>None</p>	
57.	<p>Juvenile Behavioral Diversion Program [Case Intake] (Community Services Team) This record documents referrals of juveniles from District and HOPE (Helping Offenders Prosper Effectively) Courts to DBH for participation in a support program (s) as an alternative to continuing through the legal process. These records may include but are not limited to evaluations, individual education plans, attendance records and drug screening results. This record is organized by last name/first name of the consumer.</p> <p>Restrictions: PII/PHI</p> <p>Media: Paper/ Electronic (Learning Management System/ Shared Drive)</p>			

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	<p><b>Standard Disposition</b>            Temporary: Records close upon discharge and cut off at the end of the calendar year. Retain records for ten years after cut off or until the patient's 24th birthday, whichever is later, then destroy.</p>	<p>Temporary            10 Years</p>	<p>4 Years</p>	<p>6 Years</p>
b	<p><b>Standard Disposition (Denied)</b>            Temporary: Record closes upon final determination or exhaustion of all appeals and cuts off at the end of the calendar year. Retain record ten years or until the patient's 24th birthday, whichever is later, then destroy.</p>	<p>Temporary            10 Years</p>	<p>4 Years</p>	<p>6 Years</p>
c	<p><b>Alternative Disposition (Until records for minors are distinguished from records for adults, use this alternative disposition.)</b>            Temporary: Records close upon discharge and cut off at the end of the calendar year.            Retain records for 3 years after cut off and then transfer the Record Center for 17 years.</p>	<p>Temporary            20 Years</p>	<p>3 Years</p>	<p>17 Years</p>
58.	<p><b>Housing Assessment Case Files (Housing Development)</b> This record documents placements through the Housing Eligibility Program. The record includes but is not limited to the application, voucher award letter, relocation letter, tenant vacate notice, consumer demographic information, verification of income documents, pre-inspection of property, and landlord signature agreement to accept the total monthly rent and security deposit. This record is organized by fiscal year and last name/ first name.            Restrictions: PII            Media: Paper, Electronic (S-Drive)</p>			

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	<p>Approved</p> <p>Temporary: Records close upon placement of the consumer and cut off at the end of the fiscal year. Retain record for 3 years and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
b	<p>Cancelled</p> <p>Temporary: Records close on the last scheduled inspection date and cut off at the end of the fiscal year. Retain record for 3 years and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
59.	<p>Juvenile Home Visit Reports (Housing Development) This record documents home visit conducted by a District agency to determine if a juvenile consumer resides in the home. The report is submitted to DBH, and DBH must approve prior to suspension of any services connected to the residence. This record is organized by agency, last name/ first name of the juvenile consumer.</p> <p>Restrictions: PII/PHI</p> <p>Media: Paper/ Electronic (S Drive)</p> <p>Temporary: Records close on date of visit and cut off at the end of the fiscal year. Retain record for 3 years and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
60.	<p>Home First Program Participant List: (Access controlled by Housing Development) This record documents consumers in the home first program. The record includes but is not limited to consumer name, landlord, address, amount of rent and voucher#. This record is organized by consumer name.</p> <p>Restrictions: PII</p> <p>Media: (Paper, Electronic) ASQMI</p> <p>Temporary: Records close upon consumer's exit from the program and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
61.	<p>Consumer Housing Status File (Housing Development) This record documents changes in housing status for consumers approved for housing placement under a HUD-sponsored program. The files include but are not limited to consumer application for housing, notice of rent change, consumer's lease, subsidy change, and housing home visit files. This record is organized by last name/first name</p> <p>Restrictions: PII</p> <p>Media: Paper, Electronic (S Drive)</p> <p>Temporary: Records close upon consumer relocation or a determination of ineligibility for the consumer or landlord. Records cut off at the end of the fiscal year, retain record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
62.	<p>Landlord Checklist [Program Compliance Record] (Housing Development) This record documents the verification and approval process of a property to be occupied by a consumer. The inspection and verification is performed by the DC Housing Authority (DCHA) on behalf of DBH. The list of documents being verified includes but is not limited to Basic Business License (BBL), banking information, DBH agreements, DCHA inspections, which include a description of property, and ward. This record is organized by property name or address.</p> <p>Restrictions: None</p> <p>Media: Paper, Electronic (S-Drive)</p> <p>Temporary: Records close upon a consumer's relocation or a determination of ineligibility for the consumer or landlord. Records cut off at the end of the fiscal year, retain record for 3 years after cut off and then destroy.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
63.	<p>Family Medical Case Files: (The Assessment Branch) This record tracks domestic relations incidents (e.g. neglect and abuse) within families. The record includes but is not limited to dates of incidents, responses and/or interventions, and treatment recommendations. This record is organized by family (last name/first name of head of household).</p> <p>Restrictions: PII and PHI</p> <p>Media: Paper/Electronic (Shared Drive)</p> <p>Temporary: Records close after 2 years of inactivity against the record and cut off at the end of the fiscal year. Retain record 1 year after cut off and then destroy.</p>	<p>Temporary 1 Years</p>	<p>1 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
64.	<p>Grant [Case] File: (Substance Use Disorder Team) This record documents award and tracking of sub grants to community-based organizations to provide substance abuse prevention and training. Records include but are not limited to payment packages, grant applications, inspections, service plans, and bill backs for service. This record is organized by Grant number.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (QuickBasic)</p> <p>Temporary: Records close upon expiration of the grant and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	none

See also: Record 89 for Invoice validation record retention

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

**ADMINISTRATIVE OPERATIONS ADMINISTRATION** Led by the Chief Operating Officer, the Administrative Operations Administration provides highly functioning administrative activities to support the vision and mission of DBH. The Administrative Operations Administration is responsible for the business functions including budget and financial management, human resource management, property and space management, records management, and general administrative support.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
65.	<p>Medical Records (Programs) This record documents the diagnosis and treatment of consumers admitted to Department of Behavioral Health. This record may include but is not limited to intake information (name, verification of identity, residency, and insurance), diagnostic testing, evaluations, medication, and recommendations for continued care (inpatient). This record may also document participation in individual and group psychotherapy services and psycho-educational groups. This record is organized by last name/first name, Case Number (Assigned by AVATAR)</p> <p>Restrictions: PHI</p> <p>Media: Electronic (Avatar/W-drive) Database management systems include ANASAZI, AVATAR, Filenet, Credible Department of Behavioral Health for the electronic intake and Digital for the audiovisual intake</p>	Temporary 10 Years	4 Years	6 Years
a	Standard Disposition	Temporary 10 Years	4 Years	6 Years
	Temporary: Records close upon discharge and cut off at the end of the calendar year. Retain records for ten years after cut off or until the patient's 24th birthday, whichever is later, then destroy.			

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	<p>Alternative Disposition (Until records for minors are distinguished from records for adults, use this alternative disposition.)</p> <p>Temporary: Record closes one year after date of last service and cuts off at the end of the calendar year. Retain records for 3 years after cut off and then transfer the Record Center for 16 years.</p>	<p>Temporary 20 Years</p>	<p>3 Years</p>	<p>17 Years</p>
66.	<p>Cost Report File Records: (Claims and Billing) This record documents cost analyses which includes payments from Medicare and Medicaid for individuals receiving treatment. This may include but is not limited to include consumer name, type of service, and payments to Medicare, Medicaid, or community-based service provider. This record is organized by contract number</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic</p> <p>Temporary: Records close upon payment and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the Record Center for 7 years.</p>	<p>Temporary 10 Year</p>	<p>3 Years</p>	<p>7 Years</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
67.	<p>Credentiaiting Data [Medicaid Eligibility and Compliance] (Administrative Team) This record documents verification of the name, social security number, date of birth, professional license and license number, Medicaid provider number, Medicare Provider number, National Provider Identification number (NPI) and The Council of Affordable Quality Healthcare (CAQH) number, for clinical staff who are applying to be paneled with DBH Payors. This record is organized by department, program, and last name/first name. Restrictions: PII</p> <p>Media: Paper/Electronic (Shared drive) Password Protected</p>			
a	<p>Eligible            Temporary: Records close upon expiration of eligibility and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	<p>Temporary            3 Years</p>	<p>3 Years</p>	<p>None</p>
b	<p>Ineligible            Temporary: Records close upon final determination and cut off at the end of the fiscal year. Retain record for 1 year after cut off and then destroy.</p>	<p>Temporary            1 Year</p>	<p>1 Year</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
68.	<p><b>Criminal Background Checks (Policy and Special Programs Team)</b> This record documents criminal background checks requested by DBH as part of their employment review and completed by the Metropolitan Police Department. Records include request form, personally identifiable information of the candidate, and the completed background check with a criminal history. This record is organized by applicant.</p> <p>Restrictions: Restricted to Human Resources</p> <p>Media: Paper/Electronic (QuickBase)</p> <p>Temporary: Records close upon publication of the report and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None
69.	<p><b>Official Personnel Records: (Staffing and Classification Team)</b></p> <p>This record documents the employment history of DBH employees. The records may include, but are not limited to employment application, formal personnel actions such as promotions or job changes, and other supporting documentation. Records are organized by last name/ first name</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic (QuickBase)</p>			
a	<p>Separated Employees subject to federal retirement programs:</p> <p>Temporary: Records close after all benefits have been paid to all eligible heirs and cut off at the end of the fiscal year.</p> <p>Retain records for 2 years after cut off and transfer to the DC Archives for 115 years from the date of employee's birth or 30 years from date of death, whichever is sooner.</p>	Temporary 115 Years from birth or 30 years from death	2 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	All other Separated Employees: Temporary - Records close upon last date of employment and cut off at the end of the fiscal year. Transfer records within 30 days of cut off to the Record Center.	Temporary 75 years from date of birth or 5 years after separation, whichever is later	None	75 years from date of birth or 5 years after separation, whichever is later
c	Employees transferring to another Agency Record closes and cuts off on the last day assigned to DBH. Transfer records to DCHR within 30 days of cut off.	Transfer to DCHR	Transfer to DCHR	
70.	Merit Staffing Recruitment Files (Staffing and Classification Team) This record documents jobs that fall under the Merit Staffing System Plan (Part I, Chapter 8 Career Service) and documents the review for hire and promotion of employees in this category. Records are organized by job posting number and applicant for new jobs and employee name for promotions. Restrictions: Restricted to Human Resources Media: Paper/Electronic (QuickBase) Temporary: Records close upon selection or cancellation of opportunity and cut off at the end of the fiscal year. Retain the record for 2 years after cut off and then destroy.	Temporary 2 Years	2 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
71.	<p>Performance Evaluation Grievance (Policy and Special Programs Team) This record documents an employee's appeal of a performance evaluation. Records include but are not limited to a request for review of the performance evaluation, current and past evaluations, statements from the employee and supervisor, and a final determination. This record is organized by employee name.</p> <p>Restrictions: PII</p> <p>Media: Paper/Electronic (Quick Base)</p> <p>Temporary: Records close upon final determination and cut off at the end of the fiscal year. Retain the record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None
72.	<p>Family and Medical Leave (Policy and Special Programs Team) This record documents requests, and the approval process to allow an employee to take family medical leave. The record is governed by the Family and Medical Leave Act of 1993. The record includes but is not limited to request for leave with medical certification if applicable, and a determination. Records are organized by employee name.</p> <p>Restrictions: PII/PHI</p> <p>Media: Paper/Electronic (Quick Base)</p> <p>Temporary: Records close upon denial or return to work and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
73.	<p>Volunteer Leave Act Program [Request] (Staffing and Classification Team) This record documents the request, review, and approval process of employee requests to utilize leave through the volunteer leave program. The record includes but is not limited to employee name and contact information, social security number, employee number, current leave available, duration of the of leave requested, nature of the medical concern, and relationship to the employee (self or family member). This record is organized by year, and last name/ first name of employee.</p> <p>Restrictions: PII/ PHI</p> <p>Media: Paper/Electronic (QuickBase)</p> <p>Temporary: Records close upon exhaustion of the approved leave or denial of the request and cut off at the end of the fiscal year. Retain record for 1 year after cut off and then destroy.</p>	<p>Temporary                      1 Year</p>	<p>1 Year</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
74.	<p><b>Disciplinary Action Files (Labor Employee Resources Team)</b>            This record documents the investigation of an allegation of misconduct by an employee, the results of the investigation and any disciplinary actions taken. Records include but are not limited to employee statements, witness statements, evidence, appeal records and final determination. This record is organized by employee name.            Restrictions: Restricted to Human Resources            Media: Paper/Electronic (QuickBase)            Temporary: Records close upon satisfaction completion of the action or determination that no action is required and cut off at the end of the fiscal year. Retain records for 4 years after cut off and then destroy.</p>	Temporary 4 Years	4 Years	None
75.	<p><b>Union Relation Records (The Labor Employee Resources Team)</b>            This record documents union grievances and complaints concerning wages, fair labor practice collective bargaining proposals. The official record is maintained by Office of Labor Relations and Collective Bargaining (OLRCB), and the agency maintains a copy. This record is organized by union, type of complaint and date escalated to OLRCB.            Restrictions: PII            Media: Paper            Temporary: Record is a courtesy copy and may be destroyed when no longer needed for reference.</p>	Temporary No longer needed for reference	No longer needed for reference	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
76.	<p><b>Equal Employment Opportunity Investigations:</b> (The Equal Employment Opportunity Team) This record documents investigations into allegations of unfair employment practices covered under the Equal Employment Opportunity Act. Records include but are not limited to complaints, employee statements, witness statements, determinations, and appeals. This record is organized by last name/first name, Date</p> <p><b>Restrictions:</b> PII</p> <p><b>Media:</b> Paper/Electronic (Access/Catalogs)</p> <p><b>Temporary:</b> Records close upon exhaustion of all appeals and cut off at the end of the fiscal year. Retain records for 4 years after cut off and then destroy.</p>	<p>Temporary 4 Year</p>	<p>4 Year</p>	<p>None</p>
77.	<p><b>Agency Policy and Procedures (Human Resources)</b> This record defines the operational guidelines for the agency. Policies are arranged numerically by an assigned control number. The number is derived from Transmission Letter (e.g. TL1000.1A.)</p> <p><b>Restrictions:</b> None</p> <p><b>Media:</b> Paper and Electronic (Electronic-District Personnel Manual)</p> <p><b>Permanent:</b> Records close when directive is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records on site 4 years after cut off, then transfer to the D.C. Archives.</p>	<p>Permanent</p>	<p>4 years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
78.	<p>Grants awarded to the District (Grants Team and Administrations) This record documents grants awarded to the Department of Behavioral Health to support behavioral health. Records include proposals or applications, subgrants or contracts, project reports, award memoranda, correspondence, and other records relating to award, evaluation, status and monitoring of grant; allocation of funds, and project budgets. Records are organized by awardee.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic</p>	3 Years	3 Years	None
a.	<p>Under \$100,000</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 3 years after cutoff, and then is prepared for confidential destruction.</p>	Temporary 3 Years	3 Years	None
b.	<p>\$100,000 +</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cutoff, and then is prepared for confidential destruction.</p>	Temporary 6 Years	3 Years	3 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
79.	<p>Grants awarded by the District (Procurement and Grants Team)</p> <p>This record documents grants awarded by Department Behavioral Health to support substance abuse prevention. Records include proposals or applications, contracts, project reports, studies, certificates, agreement memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds, and project budgets. Records are organized by awardee and grant type.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (PASS)</p>			
a	<p>Under \$100,000</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 3 years after cutoff, and then is prepared for confidential destruction.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
b	<p>\$100,000 +</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cutoff, and then is prepared for confidential destruction.</p>	<p>Temporary 6 Years</p>	<p>3 Years</p>	<p>3 Years</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
80.	<p>Contract Administration-Agency Copies (Agency Procurement Staff) Files containing documentation pertaining to the acquisition physical goods, services, products, and personal property. Procurement files consists of contracts, requisitions, purchase orders work orders, invoices. Organized by Fiscal year. Types of transactions include:</p> <ul style="list-style-type: none"> <li>• Human Care Agreements</li> <li>• Claims Processing</li> <li>• Administrative Claims (Medicaid/Medicare)</li> </ul> <p>Restrictions: May contain PII/PHI            Media: Paper/Electronic (Secure Agency Network/PASS)</p>			
a	<p>Under \$100,000            Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 3 years after cutoff, and then is prepared for confidential destruction.</p>	<p>Temporary            3 Years</p>	<p>3 Years</p>	<p>None</p>
b	<p>\$100,000 +            Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cutoff, and then is prepared for confidential destruction.</p>	<p>Temporary            6 Years</p>	<p>3 Years</p>	<p>3 Years</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

**CONSUMER AND FAMILY AFFAIRS ADMINISTRATION**

The Consumer and Family Affairs Administration promotes and protects the rights of individuals with behavioral health disorders, encourages and facilitates consumer and family leadership in treatment and recovery plans. The goal is to ensure consumers have a voice in the development of the behavioral health system.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
81.	<p>Consumer Grievances Complaints: (Family Affairs Team) This record documents complaint/grievances submitted by consumers and or their family members to report allegations of consumer rights and or treatment rights violations. Records include but are not limited to complaint, witness statements, consumer and/or family member(s) statements, final recommendation. This record is organized by date and filed by consumer name.</p> <p>Restrictions: PII /PHI</p> <p>Media: (Paper)</p> <p>Temporary: Records close upon conclusion of the investigation or last action taken against the record, including legal appeal. Records cut off at the end of the fiscal year, retain for 5 years after cut off and then destroy.</p>	Temporary 5 Years	5 Years	None

**SYSTEMS TRANSFORMATION ADMINISTRATION**

Combines management and support functions in mental health and substance use disorder areas and reduces duplicative functions; includes information systems and data analytics, policy development, Provider Network, and the Training Institute.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
82.	Mental Health Improvement Program Mail-In Surveys: (The Data and Performance Team) This record consists of completed surveys returned to DBH as part of a consumer satisfaction program required by the Department of Health and Human Services. This record is organized by year and last name/ first name. Restrictions: PII Media: Paper/Electronic (QuickBase)			
a	Published Report Permanent: Records close upon publication of annual report and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.	Permanent	None	4 Years
b	Surveys Temporary: Records close at the end of the survey review period and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years	None
83.	Training and Attendance: (Training Team) This record documents employee participation in continuing education programs. The record includes but is not limited to approval to participate, attendance records, course evaluations, and course reference materials to include but are not limited to PowerPoint presentations and the syllabi. This record is organized by	Temporary 5 Years	5 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
	<p>employee, year, and course name.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Learning Management System/ Shared Drive)</p> <p>Temporary: Records close upon completion, withdrawal, or cancelation of the request to participate in the training program. The records cut off at the end of the fiscal year. Retain record for 5 years after cut off and then destroy.</p>			
84.	<p>Department of Behavioral Health [Referral] Form: (The Data and Performance Team) This record documents referrals of potential or existing consumers in need of immediate support from the Metropolitan Police Department or other law enforcement/emergency service officers to DBH. This record includes but is not limited to consumer name; time, date, and location of consumer when last observed; contact information; and observation notes. This record is organized by consumer and observation date.</p> <p>Restrictions: P11/PHI</p> <p>Media: Paper/Electronic (QuickBase)</p> <p>Temporary: Records close 2 years after last observation and cut off at the end of the fiscal year. Retain record for 1 year after cut off and then destroy.</p>	Temporary 1 Year	1 Year	None
85.	<p>Site Visit Record: (Residential Treatment) This record documents monitoring of residential providers for program compliance. The record includes but is not limited to tracking of consumer progress, facility conditions including fire safety, and treatment logs for consumers. The compliance notes are used to evaluate care and provide feedback for recertification. The consumer notes are used for adjusting levels of care and treatment plans. This record is organized by site name and date.</p>	Temporary 3 Years	3 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
	Restrictions: PHI/PII Media: (Paper) Temporary: Records close upon completion of site visit and cut off at the end of the fiscal year. Retain record for 3 years and then destroy.			

**ACCOUNTABILITY ADMINISTRATION**

The Accountability Administration oversees provider certification, mental health community residence facility licensure, program integrity, quality improvement, incident management, major investigations, claims audits, and compliance monitoring. It issues the annual Provider Scorecard. The Accountability Administration includes a new division called Program Integrity that strengthens provider oversight and overall system performance review.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
86.	<p>Incident Reports/Confinement Reports/Intake Reports for minors [Investigation Case File] (Accountability Administration) This record documents an adverse event that can compromise the health, safety, or welfare of individuals receiving care. Sources of the event may include but are not limited to employees, contractors or consumers who violate law or policy and the record includes date of the incident, parties involved, witness statements and findings. This record is organized by date and unit.            Restrictions: PII, PII            Media: Paper</p> <p>Temporary: Records close upon filing of report and cut off upon minor's discharge from the facility. Retain record on site for 3 years after cut off and transfer to Records Center until consumer's 24<sup>th</sup> birthday.</p>	<p>Temporary            Until            consumer's 24            birthday.</p>	<p>3 Years</p>	<p>Until            consumer's            24 birthday.</p>
87.	<p>Mortality Report: (Office of Accountability Team) This record documents deceased consumers that received in patient or outpatient services. This is used for the accountability and billing of individuals account. The record includes but is not limited to consumer name, date and time of death, and cause of death. This record is organized by consumer name.            Restrictions: PII/PHI            Media: Paper/Electronic</p>	<p>Temporary            5 Years</p>	<p>5 Years</p>	<p>None</p>

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
	Temporary: Records close upon publication of the report and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.			
88.	Facilities Notice of Infractions: (Office of Accountability Team) This record documents infractions, activities, and correspondence for/to licensed Community Residential Facilities (CRF). Records include but are not limited notice of infraction, correspondence, statement of deficiencies, and can result in corrective actions up to including revocation of license. This record is organized by Community Residential Facility. Restrictions: None Media: Paper/Electronic Temporary: Records close upon satisfaction of all required actions or revocation of the license and cut off at the end of the fiscal year. Retain record for 5 years and then destroy.	Temporary 5 Years	5 Years	None
89.	Major Unusual Incident, Investigative Reports [Investigation Case File] (Risk Management Team) This record documents an adverse event that can compromise the health, safety, or welfare of individuals receiving care. Sources of the event may include but are not limited to employees, contractors or consumers who violate law or policy and the record includes date of the incident, parties involved, witness statements and findings. This record is organized by provider, consumer, date, and unit. Restrictions: PHI, PII Media: Paper/Electronic			
a	No Loss of Life (alleged abuse, neglect, exploitation, unauthorized absences, fraud)	Temporary 10 Years	3 Years	7 Years

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GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
	Temporary: Records close upon final determination or determination that a conclusive finding will not result from the available information and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then transfer to the Record Center for 7 years.			
b	Loss of Life Temporary: Records close upon final determination or determination that a conclusive finding will not result from the available information and cut off at the end of the fiscal year. Retain record for 10 years and then transfer to the DC Archives for 65 years.	Temporary 75 Years	10 Years	65 Years
90.	District of Columbia Service Agency Transition Project: (Office of Accountability Team) This record documents the transition of consumers to private sector service providers and tracks the consumer through the transition process. The record includes but is not limited to consumer contact information, current and proposed service providers, and high-level diagnostic information to assist in matching consumers to the correct provider. This record is organized by consumer name. Restrictions: PII/PHI Media: Paper/Electronic Temporary: Records close after 2 years of inactivity against the record and cut off at the end of the fiscal year. Retain record for 1 year after cut off and then destroy.	Temporary 1 Year	1 Year	None
91.	Providers Claims Audits: (Office of Accountability Team) This record documents audits filed by DBH providers. The record includes but is not limited to documentation of annual samples of service providers' audits and result. This record is organized by provider name. Restrictions: PII/PHI	Temporary 6 Years	3 Years	3 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
92.	<p>Media: Paper/Electronic (Quick base)</p> <p>Temporary: Records close upon receipt of the audit by DBH and satisfaction of all corrective actions, whichever is later, and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then transfer to the Record Center for 3 years.</p> <p>Provider Certification: (Office of Accountability Team) This record documents the application process for certification and recertification of service providers applying with Department of Behavioral Health. The record includes but is not limited to application, approval, dis-approval letters, documentation, and result. This record is organized by providers' name.</p> <p>Restrictions: PII/PHI</p> <p>Media: Paper/Electronic (Quick base)</p> <p>Temporary: Records close upon non-renewal or revocation of the certification and cut off at the end of the fiscal year. Retain records for 1 year after cut off and then destroy.</p>	Temporary 6 Years	3 Years	3 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

**Administrative Records** The records covered in this section relate to routine internal administrative and housekeeping activities are generally facilitative or informational. *They are not basic program records and are not part of official program files.* They are often extra copies of documents whose record copies must be scheduled by submitting a request for records disposition authority.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
93.	Asset Inventory (Facilities Manager) Inventory of physical assets (non-transitory) held by the agency, including furniture, technology equipment, or other physical assets. Inventories are organized by Control ID and Asset Name, and record both location and the last inventory date. Restrictions: None Media: Paper Temporary: Records close and cut off when superseded. Retain records for 2 years after cut off, and then destroy.	Temporary 2 Years	2 Years	None
94.	Records Disposition Files (Records Manager) Basic documentation of records description and disposition programs, including but not limited to: <ul style="list-style-type: none"> <li>• Retention Schedules</li> <li>• SF 135-Records Transmittal and Receipt</li> <li>• Requests for Records Disposition Authority</li> <li>• Notice of intent to destroy</li> <li>• Confirmation of Destruction of Records</li> </ul> Organized by date. Restrictions: None Media: Paper/Electronic (Agency Secure Network) Permanent: Records close and cut off at the end of the fiscal year. Retain in agency permanently.	Permanent	Permanent	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
95.	Working Papers Project background records, analyses, notes, drafts, and interim reports Restrictions: None Media: Paper and Electronic (Agency Secure Network)			
a	With Final Action Appraisal: Records close upon final action and cut off at the end of the fiscal year. Records are transferred within 30 days of cut off to the Record Center for Appraisal	Appraisal required by DC Archivist		
b	With no Final Action Temporary (GRS 16-9) Records close if no action is taken in three years from final report and cut off at the end of the fiscal year. Destroy upon cut off, or when the record is no longer needed for administrative or reference purposes.	Temporary 3 Years	3 Years	None
96.	Administrative Files Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. Restrictions: None Media: Paper and Electronic (Agency Secure Network) Temporary: Records close and cut off at end of the fiscal year. Destroy when no longer needed for administrative or reference purposes.	Temporary Cutoff at end of Fiscal Year	None	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
97.	Schedules of Daily Activities (Non-Senior Officials) Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of D.C. employees. Restrictions: None Media: Paper and Electronic (Agency Secure Network) Temporary: Records close and cut off at the end of the fiscal year. Destroy when no longer needed for administrative or reference purposes.	Temporary Destroy when no longer needed	Until no longer needed	None
98.	Mailing and Invitation Lists: This record identifies individuals and organizations that are to receive copies of newsletters, reports, invitations to events, and other issuances. Restrictions: None Media: Paper and Electronic (Agency Secure Network) Temporary: Records close and cut off upon conclusion of the event, meeting, conference, etc. Destroy records when no longer needed for administrative or reference purposes.	Temporary Destroy when obsolete or superseded	Until no longer needed	None
99.	Suspense Files (Files noting actions to be taken) Papers arranged in chronological order as a reminder that an action is required on a given date or that a reply should be traced on a given date. Restrictions: None Media: Paper and Electronic (Agency Secure Network) Temporary: Records close and cut off upon completion of review or action. Destroy records when no longer needed for administrative or reference purposes.	Temporary Destroy after action is taken	Until no longer needed	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
100.	<p>Transitory Files Papers of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Letters of Transmittal</li> <li>• Quasi-Official notices</li> <li>• Memos and other papers that do not serve as basis for official action</li> <li>• Holiday notices</li> <li>• Charity notices</li> <li>• Bond Campaigns</li> </ul> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Agency Secure Network)</p> <p>Temporary: Records close upon completion of review or action and cut off at end of the quarter. Retain record for 3 months after cut off and then destroy when no longer needed for administrative, audit or reference purposes.</p>	<p>Temporary Destroy when 3 months old or when no longer needed, whichever is sooner</p>	3 Months	None
101.	<p>Contract Administration-Agency Copies (Agency Procurement Staff) Files containing documentation pertaining to the acquisition physical goods, services, products, and personal property. Procurement files consists of contracts, requisitions, purchase orders work orders, invoices. Organized by Fiscal year.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Secure Agency Network)</p>		3 Years	None
a	<p>Under \$100,000</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cutoff, and then is prepared for confidential destruction.</p>	<p>Temporary 3 Years</p>	3 Years	None

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
 RECORDS RETENTION SCHEDULE  
 DCRS 18-020

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	\$100,000 + Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cutoff, and then is prepared for confidential destruction.	Temporary 6 Years	3 Years	3 Years

GOVERNMENT OF THE DISTRICT OF COLUMBIA  
RECORDS RETENTION SCHEDULE  
DCRS 18-020

**Non-Records**

Non-record materials are disposable upon agency authority. Please direct questions to the Office of Public Records for assistance.

Description
Duplicate copies of documents
Printed Reports from Computer Programs that can be recreated on-demand
Reference or Convenience Copies of official documents (i.e.: copies of Mayor's orders, or correspondence)
Working papers that don't impact or are not considered essential to a final decision regarding policies, laws, and regulations
Library or other reference materials or records maintained solely for convenience or reference
Blank forms
Materials relating to fringe activities of an agency such as charitable fund drives.

FEB 14 2020

# EXHIBIT 2

FEB 14 2020

OPR ADMINISTRATIVE ORDER

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Office of Public Records Administrative Issuance

AO-2017-1

TO: Agency Records Management Officers

FROM: Rebecca Katz  
Public Records Administrator *RAK*

DATE: February 28, 2017

SUBJECT: Required Process for the Destruction of Public Records

***This order supersedes OPR Issuance AO-2015-1, dated January 23, 2015***

Agencies seeking to destroy public records<sup>1</sup> are reminded that public records may be destroyed only in accordance with an approved retention schedule or if prescribed by law.<sup>2</sup>

Effective immediately, the process for approval of records destruction is the following:

- A. Records with a retention period longer than two years.
1. The agency shall submit notification to OPR by email to [archives@dc.gov](mailto:archives@dc.gov) at least three weeks in advance of the planned destruction date. The Notice of Intent to Destroy Records (Attachment A, "Notice") shall be accompanied by a box list or description of the records to be destroyed and an affirmation attesting that no records to be destroyed are subject to any holds.
  2. The Archivist will review the Notice. Destruction may proceed as planned unless the Archivist notifies the agency records management officer within two weeks of receipt of the Notice that the destruction requires additional review or intervention by the Office of Public Records.

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<sup>1</sup> "...any document, book, photographic image, electronic data recording, electronic mail, paper, video recording, sound recording, microfilm, computer disk, or other material, regardless of physical form or characteristic, that documents a transaction or activity made, received, or retained pursuant to law or in connection with the transaction of public business by or with any officer or employee of the District. The medium upon which such information is recorded shall have no bearing on the determination of whether the record is a public record." D.C. Official Code § 2-1701(13).

<sup>2</sup> D.C. Official Code § 2-1706(a)(2)(A).

3. If the records to be destroyed contain confidential or otherwise sensitive content<sup>3</sup>, the destruction process must:
    - a. Ensure that the records are secure at all points from the time they leave the agency until they are destroyed;
    - b. Ensure that once destroyed, the records cannot be reconstructed<sup>4</sup>; and
    - c. Be witnessed by an employee of the agency.
  4. Following the destruction of the records, the agency records management officer shall submit to [archives@dc.gov](mailto:archives@dc.gov) a copy of the Records Destruction Confirmation Form (Attachment B). If witnessing the destruction was required, the Records Destruction Confirmation Form shall be signed by the witness.
- B. Records with a retention period **no longer than two years**.
1. OPR approval is not required; however, the agency must maintain documentation similar to the Notice, ensure that there are no FOIA or litigation holds on any of the included records, and adhere to the requirements in section A.3. above.
  2. The agency records management officer shall submit the required documentation (Attachment C) to [archives@dc.gov](mailto:archives@dc.gov) on a quarterly basis or upon request.
- C. Records that are not included in an approved retention schedule.
1. These records **may not be destroyed**.
  2. Contact the Office of Public Records for assistance amending the agency's retention schedule.

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<sup>3</sup> Records that are confidential or contain otherwise sensitive content include, but are not limited to, records that are exempt from disclosure under the District of Columbia Freedom of Information Act (D.C. Official Code § 2-534).

<sup>4</sup> Although shredding size is not the only determinant of whether a record can be reconstructed after destruction, the "P-3" shredding standards are typically sufficient to meet this requirement. P-3 particle sizes are less than 2mm wide and having an area less than 320mm<sup>2</sup>.

FEB 14 2020

# EXHIBIT 3

## Notice of Intent to Destroy Records

Submit complete form and any attachments to [archives@dc.gov](mailto:archives@dc.gov)

About the agency	Agency name:
	Subdivision of agency, if relevant:
About the person completing this form	Name of person completing this form:
	Email address:
	Phone number:
	Notes regarding contact or availability (optional)
About the agency records officer	Agency Records Officer:
	Contact information if different than above (email and phone):
About the records	Notice tracking number (assigned by agency in accordance with format [AGENCY ABBREVIATION]-[YEAR]-[number consecutively starting with 1]):
	Type of records/Record series title (e.g. case files; contract files; general correspondence):
	Description of records (may attach box list in lieu of providing a detailed description)
	Date range of records:
	Date records "closed":
	Volume of records to be destroyed:
	Citation to retention schedule: <b>*If records are not included in a retention schedule, they may not be destroyed*</b>
	Do records contain confidential, proprietary, or sensitive information (yes/no)? If yes, destruction must be witnessed.
About the destruction	Proposed date of destruction (must be at least 3 weeks from the date of submission):

<b>Affirmation</b>	By submitting this notice, I affirm that no records to be destroyed pursuant to this Notice are subject to any holds (litigation, FOIA, or other): _____ [initial to affirm] Submission date: _____
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<b>Disapproval pending review (if any)</b>	<b>If the Office of Public Records disapproves the destruction of these records, OPR will indicate below and return this form to the person who submitted it. If OPR has disapproved the destruction, it will become the agency's responsibility to ensure that the destruction does not proceed until OPR provides its affirmative approval.</b> Disapproval of destruction: _____ [name of OPR staff] Date of disapproval: _____
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<b>Certification of approval</b>	Name of OPR staff approving the destruction: _____ Date of approval: _____
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FEB 14 2020

# EXHIBIT 4

## Confirmation of Destruction of Records

Submit two versions to archives@dc.gov:

1. Excel file saved as "Confirmation of Destruction - Agency - Date of Destruction"
2. Printed, signed, and scanned PDF saved as "Signed Confirmation of Destruction - Agency - Date of Destruction"

About the agency	Agency name:
	Subdivision of agency, if relevant:
About the person completing this form	Name of person completing this form:
	Email address:
	Phone number:
	Notes regarding contact or availability (optional)
About the agency records officer	Agency Records Officer:
	Contact information if different than above (email and phone):
About the destruction	Notice tracking number (from Attachment A Notice of Intent to Destroy Records):
	Date that destruction occurred:
	Location destruction occurred:
	Volume of records destroyed:
	Vendor that performed the destruction:
	If witnessing was required, name of the agency employee who witnessed the destruction:
	Signature of agency employee who witnessed the destruction:
	Date:

## Documentation of Record Destruction (for records with a retention period no longer than two years)

Complete/Submit one copy of this form for each record series destroyed

About the agency	Agency name:
	Subdivision of agency, if relevant:
About the person completing this form	Name of person completing this form:
	Email address:
	Phone number:
	Notes regarding contact or availability (optional)
About the agency records officer	Agency Records Officer:
	Contact information if different than above (email and phone):
About the records	Type of records/Record series title (e.g. case files; contract files; general correspondence):
	Description of records:
	Date range of records:
	Date records "closed":
	Volume of records to be destroyed:
	Citation to retention schedule: <b>*If records are not included in a retention schedule, they may not be destroyed*</b>
Affirmation	Do records contain confidential, proprietary, or sensitive information (yes/no)? If yes, destruction must be witnessed.
	No records included in this destruction were subject to any holds (litigation, FOIA, or other): [initial to affirm]
About the destruction	Date records were destroyed: