

THE DISTRICT OF COLUMBIA
DEPARTMENT OF YOUTH REHABILITATION SERVICES
POLICY AND PROCEDURES MANUAL

POLICY NUMBER:	DYRS-0011
RESPONSIBLE OFFICES:	Agency-wide
EFFECTIVE DATE OF POLICY:	November 14, 2012
SUPERSEDES POLICY:	Not Applicable
SUBJECT:	Document Retention

I. PURPOSE

This policy provides for the systematic review, retention, and destruction of documents received or created by The Department of Youth Rehabilitation Services (DYRS) in connection with the transaction of DYRS' business. This policy covers all records and documents, including those in electronic form, and contains guidelines for how long certain documents should be kept and how records should be destroyed. The policy is designed to ensure compliance with federal and state laws and regulations, to eliminate accidental or innocent destruction of records, and to facilitate DYRS' operations by promoting efficiency and freeing up valuable storage space.

II. GENERAL POLICY

DYRS follows the document retention procedures outlined below. Documents that are not listed, but are substantially similar to those listed in the schedule, will be retained for the appropriate length of time.

NOTE: Electronic documents will be retained as if they were paper documents. Therefore, any electronic files that fall into one of the document types listed below will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an email message, the message should be printed in hard copy and kept in the appropriate file or moved to an "archive" computer file folder. Backup and recovery methods will be tested on a regular basis.

III. MEDICAL RECORDS

Medical records include comprehensive Medical, Dental, Immunization, Psychiatric, and Psychological Evaluations of youth. The records contain progress notes written by treating Physicians, Therapists, Dentists and Nursing staff. This category of records also includes records of lab work and medication administration maintained by Health Services.

Record Type	Minimum Requirement
Physicals	Retain until youth is 24 years old
Doctor's Notes	Retain until youth is 24 years old
Medication Records	Retain until youth is 24 years old
Immunization Records	Retain until youth is 24 years old
Acute Care Information	Retain until youth is 24 years old
Mental Health Evaluations	Retain until youth is 24 years old

Dental Records	Retain until youth is 24 years old
Mental Health Progress Notes	Retain until youth is 24 years old
Psychiatric/Psychological Evaluations	Retain until youth is 24 years old
Substance Abuse Assessments	Retain until youth is 24 years old
Consults	Retain until youth is 24 years old

IV. YOUTH PROGRAMMING RECORDS

Youth programming records include Social Files, Shelter House placement documents, Facility Log Reports, Incident Reports, Employee Files, Time and Attendance Reports, Urinalysis Reports, Release Logs, Daily Admission Logs, Daily Population Data, Juvenile Court Orders, Progress Reports, Individual Development Reports, and Juvenile Detention Alternatives Initiative [JDIA] documents.

Record Type	Minimum Requirement
Social Files	Retain until youth is 24 years old
Shelter House placement documents	Retain until youth is 24 years old
Facility Log Reports	5 years
Incident Reports	5 years
Employee Files	5 years
Time and Attendance	5 years
Urinalysis Reports	5 years
Release Logs	5 years
Daily Admission Logs	5 years
Daily Population Data	5 years
Juvenile Court Orders	Retain until youth is 24 years old
Progress Reports	Retain until youth is 24 years old
Individual Development Reports	Retain until youth is 24 years old
JDAI Documents [Juvenile Detention Alternatives Initiative]	Retain until youth is 24 years old

Also included within this category are interstate compact documents. This includes all documents related to both the Interstate Compact on Juveniles [ICJ] and the Interstate Compact on the Placement of Children [ICPC], including all required documents compiled for placement approval.

Record Type	Minimum Requirement
ICJ and ICPC Documents	Retain for 1 year following closure of cases

V. RISK MANAGEMENT RECORDS

Risk management records include reports and corrective action plans for Environmental Safety and Health Inspections, Fire Inspections, Building Code and Regulatory Inspections; Policies and Procedures pertaining to Occupational Safety and Health, Fire Safety, and Loss Prevention; and disability compensation records.

Record Type	Minimum Requirement
Disability Compensation Files	5 years after final disposition
Safety Requirement Reports	Until superseded
Risk Management Report	7 years
Fire Inspection Reports	7 years
Fire Drill Reports	3 years
DCFMES Inspection Reports	7 years
DCRA Inspection Reports	7 years
Environmental Health Inspection Reports	7 years
Worker's Compensation Reports	5 years
Policies and Procedures [COOP, ERP, EOP]	7 years

VI. OFFICE OF INTERNAL INTEGRITY RECORDS

The Office of Internal Integrity [OII] records include Project Hands and OII Investigative Reports, Results of Disciplinary Hearings, Hearing Officer Sanction Orders, Appeals of Disciplinary Panel Decisions, Hearing Rosters and Summaries of Results, and various investigation notification forms.

Record Type	Minimum Requirement
Project Hands Investigative Reports	5 years after final disposition
OII Investigative Reports	7 years
Internal Staff Notifications for investigations	7 years
OII Referral Forms [Investigations]	7 years
Staff Notification Forms	7 years
OII Follow-up Forms [Resident]	7 years
OII Follow-up Forms [Staff]	7 years
Hearing Rosters	7 years
Hearing Summaries	7 years
Summary Results Forms	7 years
Appeal Forms	7 years
Sanction Orders	7 years

VII. MAINTENANCE AND FLEET MANAGEMENT RECORDS

DYRS' Office of Real Estate and Property Management [OREPM] is responsible for DYRS' facilities and real estate management operations. Divisions organizationally situated with OPMRES include Facilities Management, Fleet Operations and Warehouse. The work of OPMRES includes, but is not limited to, space planning, facilities maintenance, landscape maintenance, equipment maintenance, warehouse and distribution functions, capital improvement projects, and management vehicle procurement and maintenance. Maintenance and Fleet Management Records includes Facility Construction Drawings, Building Design Drawings, Fixed Assets Listing, Parts Inventory, Hazardous Materials Data, Fleet Activity Reports, Fuel Pump Readings, Fuel Card Reports, Lease Vehicles/Equipment Receipts, Vehicle Accident Reports, Vehicle DC Inspection Status Reports, Vehicle DPW Fleet Return Forms, Vehicle Equipment Moving Listings, and License Plate Listings.

Record Type	Minimum Requirement
Facility Construction Drawings	Permanent
Building Design Drawings	Permanent
Fixed Assets Listings	Until superseded
Parts Inventory	Until superseded
Hazardous Materials Data	Until use of material is discontinued
Fleet Activity Reports	1 year
Fuel Pump Readings	2 years
Fuel Card Reports	1 year
Lease Vehicles/Equipment Receipts	5 years
Vehicle Accident Reports	6 years after case is closed
Vehicle DC Inspection Status Reports	1 year
Vehicle DPW Fleet Return Forms	1 year
Vehicle Equipment Moving Listings	2 years
License Plate Listings	3 years

VIII. HUMAN RESOURCES RECORDS

Human Resources records include Agency Personnel Files, Merit Case Files, Criminal Background Checks, Child Protection Registers, FMLA documents, and Workers' Compensation documents, in addition to all information relating to personnel management.

Record Type	Minimum Requirement
Agency Personnel Files	Permanent
Merit Case Files	2 years
Criminal Background Checks	5 years
Child Protection Registers	5 years
FMLA documents	2 years
Workers' Compensation documents	2 years

IX. PROCUREMENT RECORDS

DYRS Procurement Records include records for Contract Agreements, Direct Pay Vendor Agreements which consist of Residential Providers, Medical Services Providers and Education Services, Purchase Orders for all funds, Contractor's Payroll Files, Travel and Training, and Routine Procurement Records.

Record Type	Minimum Requirement
Contract Agreements	3 years after contract/agreement ends; recycle
Direct Pay Vendors [Residential Providers, Medical Services Providers and Education Services]	5 years from date of service
Purchase Orders [All Funds]	3 years after purchase order expires
Contractor's Payroll File	3 years after date of completion of contract
Travel and Training	2 years
Routine Procurement Records	2 years

X. Routine Administrative Files

Routine Administrative Files includes E-Mail Records, Correspondence, Memoranda, Policy and Procedure Manuals, Routine Agreements [i.e. MOU's], and Routine Reports.

Record Type	Minimum Requirement
E-Mail Records	Recycle at discretion
Correspondence	Recycle at discretion
Memoranda	Recycle when superseded
Policy & Procedure Manuals	Recycle when superseded
Routine Agreements [MOU's]	3 years after contract/agreement ends; recycle
Routine Reports	Recycle at discretion

XI. FINANCIAL RECORDS

Financial Records include Expenditure Accounting General Correspondence and Subject Files, General Accounting Ledgers, Appropriate Allotment Files, Expenditure Accounting, Posting and Control Files, Budget Policy Files, Budget Estimates and Justification Files, Budget Correspondence Files, Budget Background Files, Budget Report Files, and Budget Apportionment Files.

Record Type	Minimum Requirement
Expenditure Accounting General Correspondence and Subject Files	2 years
General Accounting Ledgers	10 years after the close of the fiscal year involved
Appropriate Allotment Files	10 years after the close of the fiscal year involved
Expenditure Accounting Posting and Control Files	3 years
Budget Policy Files	Submit request for disposition authority to D.C. Archives
Budget Estimates and Justification Files	Submit request for disposition authority to D.C. Archives
Budget Correspondence Files	2 years
Budget Background Files	Destroy 1 year after the close of the fiscal year covered by the budget
Budget Report Files	5 years
Budget Apportionment Files	Destroy 2 years after the close of the fiscal year

XII. EMERGENCY PLANNING

DYRS' records will be stored in a safe, secure, and accessible manner. Documents and financial files that are essential to DYRS' continued operation in an emergency will be duplicated or backed up at least once per week and maintained off-site.

XIII. DOCUMENT DESTRUCTION

DYRS' Chief Operating Officer is responsible for the ongoing process of identifying those records which have met the required retention period and overseeing their destruction. Destruction of written documents will be accomplished by shredding. The destruction of electronic documents will be handled in such a manner as determined by the COO and IT staff. Document destruction will be suspended immediately upon any indication of an official investigation; when a lawsuit is filed or appears imminent; or upon the instruction of the Director. Destruction will be reinstated upon conclusion of the

investigation or lawsuit. In instances where destruction has been suspended by the Director, destruction will be reinstated upon the Director's approval.

XIV. COMPLIANCE

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against DYRS and its employees and possible disciplinary action against responsible individuals. The Chief Operating Officer will periodically review these procedures with the agency's legal counsel to ensure that they are in compliance with new or revised regulations.

Approval of the Agency Director:

Neil A. Stanley

Director

13 November 2012