

REQUEST FOR RECORDS RETENTION SCHEDULE
To be Submitted to the Records Management Division
Hall of Records Commission

SCHEDULE NO. **134**

PAGE NO. **1** ✓

1. Requesting Agency

2. Division or Bureau of Requesting Agency

BOARD OF REGISTRATION FOR PROFESSIONAL ENGINEERS AND LAND SURVEYORS

3. Authorization Requested (Check only one of the squares below).

A Dispose of present accumulation. No additional accumulation is anticipated. Records have ceased to have value to warrant retention.

B Establish retention schedule for records for which there is a continuing accumulation. The records will cease to have value to warrant their retention after the period of time indicated.

C Microfilm and destroy originals. Originals if not microfilmed would be retained for the period of time indicated.

4. Item No.

5. Description of Records

Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.

6. Recommendation of Hall of Records and Board of Public Works.

THIS SCHEDULE SUPERSEDES SCHEDULE 325 (6/8/58).

The Board of Registration for Professional Engineers and Land Surveyors was established by act of the General Assembly in 1939 to "safeguard life, health and property," by requiring that persons practicing engineering and surveying shall be registered by applying and submitting evidence of qualification to the Board. The Board is appointed by the Governor and is composed of five members appointed for five-year terms. Four members are required to be registered professional engineers and one a registered land surveyor. (Annotated Code of Maryland, 1957 Edition, as amended, Art. 75½)

Renewal of registration is required each year on a fee basis, and a roster of Engineers and/or Land Surveyors eligible to practice as of June 30th is issued annually.

1 MINUTES
Size: 8½" x 11"
Quantity: 9 volumes (binders)
Dates: 1939...
File Arrangement: Chronological, by date of meeting

The Minutes are a record of the policy decisions and activities of the Board. In addition to the date, time, place of meeting, and names of persons present, the Minutes contain information on examination results, lists of persons registered or denied registration, results of application reviews, complaints, reports received and considered by the Board (audit reports, etc.), and requests from registrants or applicants (e.g., requests for permission to have seals made, to have applications reconsidered, etc.)

RECOMMENDATION: RETAIN PERMANENTLY.

HALL OF RECORDS COMMISSION
APPROVED

(continued)

7. Agency, Division or Bureau Representative

[Signature]
Signature

Chairman

Title

December 9, 1965

Date

Schedule Authorized as Indicated in Col. 6 by Hall of Records Commission.

Disposal Authorized as Indicated in Col. 6 by Board of Public Works.

12/10/65
Date

Mervin S. Radloff
Archivist

Dec. 13, 1965
Date

[Signature]
Secretary

REQUEST FOR RECORDS RETENTION SCHEDULE
(Continuation Sheet)

4 No.	5. Description of Records Describe records accurately. Include title, form number, size of documents, work or activity to which the records relate, inclusive dates, and quantity (cubic or linear feet). Show recommended retention period.	6. Recommendation of Hall of Records and Board of Public Works.
2	<p>APPLICATION FOR REGISTRATION FILE</p> <p>Size: 8 1/2" x 11" (10 drawers); 5" x 13" (45 drawers) Quantity: 55 drawers Dates: 1939 File Arr.: Alphabetical, by surname</p> <p>According to the provisions of Article 75 1/2, Section 1, Annotated Code of Maryland, 1957 Edition, an individual who wishes to practice engineering or land surveying is required to submit evidence of education and experience and, if properly qualified, is registered by the Board. This file contains the records both of registrants and of persons who have been denied registration.</p> <p>The records relating to an individual applicant usually consist of the following:</p> <p><u>Form 1A:</u> Application for Registration to practice Professional Engineering and/or Land Surveying - giving general biographical information, summarization of professional experience and description of employment, character references, and the applicant's affidavit.</p> <p>Education transcripts and certifications</p> <p>Copies of out-going correspondence (e.g., transmittals of certificates or checks, inquiries about applicant or registrant, requests for information sent to other states)</p> <p>Incoming correspondence (letters of recommendation, replies to the inquiries of the Board, requests for verification of registration or professional record received from other state boards or from the National Bureau of Engineering Registration.)</p> <p>In addition to the above papers, an applicant submits certain records as evidence of ability and experience. This evidence takes the form of exhibits (descriptions of projects worked on or completed by the applicant, drawings, blueprints, and plans.) Such evidence is space-consuming and is usually oversized material; it is therefore filed separately. (See Item 6, following).</p> <p><u>Form 1B:</u> Application for Examination and Certification, Engineer-in-Training - giving general biographical information, summarization of experience and description of employment, character references, and the applicant's affidavit.</p> <p>Education transcripts and certifications</p> <p>In addition to the above, an applicant may submit certain records as evidence of ability and experience.</p> <p>The Board maintains the Application for Registration file in several categories:</p> <ol style="list-style-type: none">1. <u>Active Registered Engineers or Land Surveyors</u> - contains the applications and related papers of persons who have satisfactorily met all requirements and have been registered. (Retention is governed by Recommendation "A" below.)	<p>HALL OF RECORDS COMMISSION APPROVED</p> <p>(continued)</p>

REQUEST FOR RECORDS RETENTION SCHEDULE
(Continuation Sheet)

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- 2. Denied - contains the applications and related papers of persons who were insufficiently qualified for registration as an engineer and/or land surveyor. An applicant who is denied registration may request reconsideration of his application without additional fee within three months after he has been notified of the denial of his registration. After this period he must file a new application. If any person feels that the denial of registration was unjustified, he may at any time appeal to the proper county circuit court. The court may in turn subpoena records and sustain or reverse the action by the Board. (Retention governed by Recommendation "A").
- 3. Deceased Registrants - Folders are withdrawn from active file and placed in deceased file. (Retention governed by Recommendation "A").
- 4. Pending Applications - Contains applications awaiting further information or consideration by the Board. Depending upon whether the applicant is granted or denied registration, his records are then filed in either category "1" or "2".
- 5. Engineers-in-Training - contains separate files for certified EIT's and for applicants who were denied certification. An EIT must either graduate from an approved engineering curriculum of at least four years, or show four or more years of work experience satisfactory to the Board. Persons in either category must take and pass an examination in basic engineering subjects before being certified. If and when an EIT is registered as a Professional Engineer, the EIT record is filed with the Professional Engineer record. If an EIT applies for registration as a Professional Engineer and is denied, his EIT record remains in the EIT file and his application for registration as a Professional Engineer is placed in the "Denied" file. (Recommendation "B").
- 6. Evidence of Ability and Experience - contains material in the form of tracings, drawings, charts, maps, plats, and plans, which loses its value as soon as the Board has approved or rejected the application. Examination papers are also filed with this material. (Recommendation "C").

RECOMMENDATION: A. PROFESSIONAL ENGINEERS AND LAND SURVEYORS -
 ACTIVE AND DENIED FILES WILL BE RETAINED UNTIL THE DEATH OF THE REGISTRANT AND THEN TRANSFERRED TO THE DECEASED FILE FOR A PERIOD OF THREE YEARS, AFTER WHICH THEY MAY BE DESTROYED.

B. ENGINEERS-IN-TRAINING -
 1. ACTIVE FILE IS RETAINED UNTIL APPLICANT IS REGISTERED, AT WHICH TIME HIS APPLICATION AND RELATED PAPERS ARE TRANSFERRED TO THE PROFESSIONAL ENGINEER AND LAND SURVEYOR FILE AND IS SUBJECT TO RECOMMENDATION "A".

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RECOMMENDATION: **B. ENGINEERS-IN-TRAINING (cont.) -**

2. DENIED FILE WILL BE RETAINED UNTIL THE DEATH OF THE APPLICANT AND FOR THREE YEARS THEREAFTER, THEN DESTROYED.

C. EVIDENCE OF ABILITY AND EXPERIENCE *See modification, per R.B. Ltr. of 2/28/68, attached at END OF THIS SCHEDULE.
DRAWINGS, PLANS, TRACINGS, PLATS, MAPS, BLUE-PRINTS, AND CHARTS SUBMITTED AS EVIDENCE OF ABILITY AND EXPERIENCE BY APPLICANTS ARE SUBJECT TO DESTRUCTION FIVE YEARS AFTER DATE OF REGISTRATION OR DENIAL. *

3 REGISTRATION AND CERTIFICATE LIST (MASTER NUMBER LISTS)

Size: 8½" x 11" (Prof. Engineers & Land Surveyors, 2 vols.
Quantity: 3 vols. (Engineers-in-Training, 1 vol.
Dates: 1939...
File Arr.: Numerical, by registration number

The master list for Professional Engineers and Land Surveyors is the official registration record of the Board. On this list are recorded the registration number, the name of the registrant, type of registration (either Professional Engineer or Land Surveyor), and the registrant's application number.

The master list of certified Engineers-in-Training is the official certification record of the Board. On this list are recorded the names, addresses, certification numbers, and dates of certification of Engineers-in-Training.

RECOMMENDATION: RETAIN PERMANENTLY.

4 APPLICANTS' HISTORY CARD FILE

Size: 3" x 5"
Quantity: 10 drawers
Dates: 1939...
File Arr.: Separate alphabetical and numerical files

The Board prepares two history cards for each person who has submitted an application to the Board. One card is maintained in an alphabetical file, and the other numerically by application number, in a separate file.

The alphabetical file is divided into several categories. Specifically, these are: active registrants, denied applicants, deceased applicants, pending applicants, those having failed to renew (both Engineers and Land Surveyors), certified Engineers-in-Training, and denied EIT. As an applicant's status changes, his card is placed in the appropriate section of the alphabetical file.

The alphabetical file gives the name, address, branch, application number, date of application, action of the Board, registration number and date, and approval for a seal and a rubber stamp.

The numerical cards show the application number, date, type of ap-

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6. Recommendation of Hall of Records and Board of Public Works.

(cont.)

application, engineering classification, and the individual's name and address.

RECOMMENDATION: RETAIN PERMANENTLY BOTH THE ALPHABETICAL AND THE NUMERICAL CARD FILES.

5 ANNUAL RENEWAL CARD FILE

Size: 3½" x 6"

Quantity: 4 drawers

Dates: 1961...

File Arr.: Numerical, by card number

Audit: Bill card audited by State

A renewal fee is required of all registrants, payable on or before June 30th of each year. The perforated serialized form used for the renewal fees is in three parts, giving the name and address of the registrant and amount of the fee.

The perforated sections are distributed as follows:

1. The two top sections are the bill and roster cards, which are mailed to the registrant. Both are returned to the Board with payment of the fee. The roster card has space for the name and home address of the registrant, as well as place of business and address, and the bill card cites the statute requiring annual renewal. The roster card is used for preparation of the annual roster for publication; it is then filed by name of registrant. The bill card is filed by serial number and is audited.

2. The bottom section is the pocket identification card, which is retained in the office until return of the bill card with payment of the fee, after which it is mailed to the registrant as his receipt.

Only the bill card is subject to the recommendation below. The roster card has little value to the office after preparation of the roster and is considered nonrecord within the meaning of the statute governing nonrecord material (Ann. Code of Md., 1957 edition as amended, Art. 41, Sec. 179), and may be destroyed as soon as no longer needed by the office.

RECOMMENDATION: RETAIN BILL CARD UNTIL AUDITED, THEN DESTROY.

6 GENERAL CORRESPONDENCE

Size: 8½" x 14"

Quantity: 5 legal file drawers

Dates: 1948...

Alphabetical, by name or subject

This file contains correspondence with individuals (other than applicants), companies, other states, and professional organizations, and is concerned primarily with requests for information. These requests (both incoming and outgoing) are for forms, copies of rules and regulations, laws, examination questions, interpretations of requirements, and other information.

Other records which are also considered part of the General Correspondence file consist of material relating to rulings by the

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6 (cont.) Attorney General, amendments to laws, budget formulation, activities of the National Society of Professional Engineers, and Board activities and appointments (e.g., executive appointment letters).

Material which should be retained by the Board for an extended period is covered by recommendation "A" below. All other records are governed by recommendation "B".

- RECOMMENDATION: A. RETAIN PERMANENTLY ALL MATERIAL RELATING TO ADMINISTRATION AND LEGAL DECISIONS, RULINGS OF THE ATTORNEY GENERAL, FORMAL HEARINGS, COURT DECISIONS, BOARD PARTICIPATION IN STATE AND NATIONAL PROFESSIONAL SOCIETY ACTIVITIES, AND APPOINTMENTS OF BOARD MEMBERS BY THE GOVERNOR.
- B. RETAIN OTHER RECORDS FOR THREE YEARS, THEN DESTROY.

7 RECEIPTS AND DISBURSEMENTS JOURNALS

Size: 12" x 15" x 1"
Quantity: 7 vols.
Dates: 1939...
Audit: State

The Receipts and Disbursements Journals are the permanent books of account for the Board.

The Receipts Journals are the record of fees collected, giving the dates and serial numbers for applications and renewals, a breakdown of the type of fee, amounts of the fees, and names of applicants or registrants, with totals carried forward.

The Disbursements Journals are arranged by budget item number, giving amount of the appropriation, transmittal numbers, and amount of each item, with the balance carried forward.

RECOMMENDATION: RETAIN PERMANENTLY.

8 ACCOUNTING RECORDS

Quantity: 3 file drawers
Dates: 1939...
File Arr.: Chronological
Audit: State

This item includes all agency accounting forms as well as all standard State accounting forms which are supporting data to the permanently retained General Ledgers or other books of final entry.

These records are considered to have value only for the three-year statutory limitation or, if subject to audit, for three years or until audited, whichever is later.

All or some of the following accounting records are found in each State agency:-

Comptroller of the Treasury

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Form No.

Comptroller of the Treasury

- Memorandum of Adjustment
- E-1-S Distribution of Charges
- E-1 & E-1/2 Transmittal
- DD-1 Certificate of Deposit and Bank Deposit Slip
- R-2 (formerly MR-2) Monthly Report of State Funds Collected and Deposited
- Distribution of Unexpended and Obligated Balances
- Monthly Statement of Balances
- Transmittals
- Warrants, Paying and Receiving

State Treasurer's copies of transmittals and warrants, the master copies, are either permanently retained in their original form or microfilmed and the film retained permanently. (General Schedules G-5, G-3 & G-4, Item 3).

Payroll Accounting

- Payroll & Check Register (formerly Payroll Journal)
- Payroll Exceptions Time Report (formerly Payroll Exceptions, Additions & Deductions)
- Payroll Warrants
- Payroll Transmittals

State Treasurer's copies of the above four records series are the master copies and are either permanently retained or microfilmed and the film retained permanently. (Genl. Scheds. G-2, Items 1-d and 2-b; G-3, Item 3; and G-5, Item 3).

Purchasing Bureau (Department of Budget & Procurement)

- 1-A Requisition for Supplies (also Agency Inter-office Requisitions)
- 47-A Purchase Order
- 100-16 Out-of-Schedule Requisition for Supplies
- 39-A & 40-A Stores Requisition
- CF-2 & CF-3 Copy of Contract Awarded
- 27-A Copy of Contract Awarded
- 100-24 Actual Emergency & Repairs Report
- 26-A Notice of Award of Contract
- 51 Report of Partial Delivery
- 52 Credit Memorandum

Budget Bureau (Department of Budget & Procurement)

- BB-1 (Revised, formerly BB-1 & BB-2) Budget Schedule Amendment
- BP Inv. R101 Report of Fixed Assets
- BP Inv. R102 Report of Materials & Supplies
- BP Inv. 31-6 Materials and Supplies Physical Inventory
- BP 1-11 Budget Estimates
- BB-40 Request for Position Action

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(cont.)	<p style="text-align: center;"><u>General Accounting Records</u></p> <p>Receipt Copies and Stubs Paid Bills and Invoices Bank Deposit Slips Bank Statements Bank Deposit Receipts Cancelled Checks Stock Receiving Reports Daily Time Sheets Monthly Time Sheets P-1 Stock Record Card P-3 Memorandum Receipt & Property Condemnation Report P-7 Delivery Order and Receipt Bid Form Confirming Order Gas Tickets and Mileage Reports</p> <p>All printed and mimeographed material is considered nonrecord within the meaning of the statute governing nonrecord material (Ann. Code of Md., 1957 edition as amended, Art. 41, Sec. 179), and may be destroyed as soon as no longer needed by the office.</p> <p>RECOMMENDATION: RETAIN FOR THREE YEARS OR UNTIL AUDITED, WHICHEVER IS LATER, THEN DESTROY.</p>	<p>HALL OF RECORDS COMMISSION</p> <p>A P P R O V E D</p>