

State of Maryland Department of General Services

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DESIGN & CONSTRUCTION
ARCHIVES & RECORDS MANAGEMENT
PLANT MANAGEMENT
PROPERTY MANAGEMENT
PRINTING & PUBLICATION
TELECOMMUNICATIONS
PURCHASING & MATERIALS MANAGEMENT
ADMINISTRATION & FINANCE

MARYLAND STATE LOTTERY AGENCY

Records Retention Schedule No. 766

This schedule is divided by departments. Under each department are specified files which are to be considered official record material to be kept by that department. Copies of record material kept or used by other departments are to be considered nonrecord material and may be destroyed when reference value has ceased.

Work papers, unless otherwise stated, are to be considered non-record material and may be destroyed when reference value ceases, or when final document has been completed and accepted. Work papers for auditable records may be destroyed after audit has been completed.

All computerized printouts listed in this schedule are auditable records. Those not listed are considered nonrecord material and may be destroyed when reference value has ceased.

GT/mb

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Records Management Division
TREASURY BUILDING, ANNAPOLIS, MARYLAND 21401 (301) 269-3023

MARYLAND STATE LOTTERY AGENCY

Records Retention Schedule No. 766

T A B L E O F C O N T E N T S

Commission	1
Executive Office	3
Administration, Finance and Operations . .	5
Game Accounting	8
General Accounting	9
Personnel	13
Marketing	14
Claims	16
Security	19
Data Processing	21

RECORDS RETENTION AND DISPOSAL SCHEDULE

MARYLAND STATE LOTTERY AGENCY

AGENCY

DIVISION

Item No.	Description	Retention
<u>COMMISSION</u>		
1.	<p><u>Commission Minutes</u></p> <p>Chronological arrangement of the transcripts of State Lottery Commission meetings which document official acts with respect to policy, administration, planning, and progress of the State Lottery Agency.</p>	<p>Retain Commission's copies permanently for eventual transfer to Hall of Records. Retain all other copies for three (3) years, then destroy.</p>
2.	<p><u>Progress Reports</u></p> <p>Retained and interfiled in subject files by department. These reports document the administrative and operational growth of the State Lottery Agency.</p>	<p>Retain Commission's copies permanently for eventual transfer to Hall of Records. Retain all other copies for three (3) years, then destroy.</p>
3.	<p><u>Newspaper Clippings</u></p> <p>Maintained in binders, these clippings document the history of the Maryland State Lottery as well as other lottery agencies and includes general information relating to gaming.</p>	<p>Screen and destroy that information not relating to Maryland State Lottery. Retain all other material permanently for eventual transfer to Hall of Records.</p>
4.	<p><u>Administrative Subject Files</u></p> <p>Subject arrangement of original incoming, copies of outgoing letters, memoranda, and other material relating to the functions of the State Lottery Commission. Files may also contain monthly reports, commission information concerning member's trips and expenses, reports to State and Federal Governments, employment applications, and information on game drawings.</p>	<p>Screen annually. Destroy that material no longer needed for current business. Retain permanently directives and other materials relating to planning and policy that illustrate the development of the agency.</p>

Schedule Approved by Department, Agency, or Division Representative

Schedule Authorized by Hall of Records Commission

11-1-79 *M. J. ...* Director
Date Signature Title

Date State Archivist

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

SCHEDULE
NO. 766

PAGE
NO. 2 of 29

Item No.	Description	Retention
5.	<p><u>Appeals Case Files</u> Alphabetically arranged by applicant name, files may contain: copies of applications and surveys, correspondence concerning appeals, commission disposition of appeals hearings, court papers (reports). [Case files are similar for both approved and denied appeals.]</p>	Retain for two (2) years, then destroy.
6.	<p><u>Application Files</u> Files contain approved and disapproved agent applications for the daily and weekly games.</p>	Retain for one (1) year after disapproved, then destroy.
7.	<p><u>Commission Printouts</u> Computer generated printout used to compare status and statistics of Maryland State Lottery to other state lotteries. Printout title: <u>Marketing Analysis of Sales By Most Active Agent.</u></p>	Retain until updated or no longer needed, then destroy.

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
<u>EXECUTIVE OFFICE</u>		
8.	<p><u>Commission Minutes</u> Chronological arrangement of the transcripts of State Lottery Commission meetings which document official acts in respect to policy, administration, planning, and progress of the State Lottery Agency.</p>	Retain for three (3) years, then destroy. Permanent minutes retained by the Commission.
9.	<p><u>Director's General Correspondence</u> Subject arrangement of original incoming copies of outgoing letters, memoranda, and other material relating to the functions of Maryland State Lottery.</p>	Retain for three (3) years, then destroy. Directives and other material relating to planning and policy that illustrate the development of the agency, retain permanently for eventual transfer to the Hall of Records.
10.	<p><u>Contract Files</u> Subject arrangement of all original contracts entered into by the Lottery Agency. Files may include: Original proposals and contracts with C.D.C., original proposals and contracts with AMTOTE; contracts with radio and television stations.</p>	Retain for two (2) years after termination date, then destroy.
11.	<p><u>(Bond) Insurance Policy Files</u> Alphabetical arrangement of files which contain insurance policies for bonds posted by companies and agents as required by the State Lottery Agency.</p>	Retain until termination of policy, then destroy.
12.	<p><u>Progress Reports</u> Copies of consolidated reports sent to the Lottery Commission for disposition. The reports may include: Departmental progress reports, unobligated prize fund reports, bank reconciliations, monthly financial statements, reimbursement requests, and agent applications.</p>	Retain for three (3) years, then destroy. Permanent reports retained by Commission.
13.	<p><u>General Administrative-Correspondence File</u> Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings, legislative reference material, directives and</p>	Screen annually. Destroy that material no longer needed for current business. Retain permanently directives and

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

SCHEDULE
NO. 766

PAGE
NO. 4 of 29

Item No.	Description	Retention
14.	<p>other miscellaneous papers relating to the administration of Maryland State Lottery.</p> <p><u>Monthly and Annual Statement Files</u> Files consist of copies of financial accountability reports sent to the Lottery Commission and Comptroller of the Treasury.</p>	<p>other material relating to planning and policy that illustrate the development of the agency.</p> <p>Retain monthly statements until annual summary is compiled and all audit requirements are fulfilled, then destroy. Retain annual report for four (4) years and until all audit requirements are fulfilled, then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
<u>ADMINISTRATION, FINANCE AND OPERATIONS</u>		
15.	<u>Budget Estimates and Reports</u> These documents reflect the Lottery Agency's projected estimates of budgetary requirements.	Retain final document for five (5) years, then destroy. Retain working papers until budget is approved, then destroy.
16.	<u>Executive Plan</u> This document reflects the Lottery's forecast of sales, operating income and expenses, and administrative requirements including personnel and equipment for the next five (5) years.	Retain plan for five (5) years then destroy. Retain work papers until plan is submitted then destroy.
17.	<u>Telephone Toll Call Log</u> Files contain a listing of all collect calls made by each department (filed chronologically by month).	Retain for one (1) year, then destroy.
18.	<u>Returned Prize Check Log</u> Chronological arrangement of logs which contain information pertaining to prize checks returned by the Post Office. Information includes: name of payee, date of check, warrant number, date check received in office, and disposition of check.	Retain for two (2) fiscal years and until all audit requirements have been fulfilled, then destroy.
19.	<u>General Administrative-Correspondence File</u> Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings, legislative reference material, directives and other miscellaneous papers relating to the administration of the Maryland State Lottery.	Screen annually. Destroy that material no longer needed for current business. Retain permanently directives and other material relating to planning and policy that illustrate the development of the agency.

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

SCHEDULE
NO. 766

PAGE
NO. 6 of 29

Item No.	Description	Retention
20.	<p><u>Purchasing Records</u></p> <p>Actual Emergency and Repairs Report Copy of Contract Awarded Credit Memorandum Notice of Award of Contract Out-of-Schedule Requisition for Supplies Purchase Order - Direct Report of Partial Delivery Requisition for Supplies (also Agency Interoffice Requisitions)</p>	<p>Retain for two (2) years and until all audit requirements have been fulfilled, then destroy.</p>
21.	<p><u>Maryland Fleet Performance Analysis</u></p> <p>These computerized printouts maintained chronologically by month include monthly and quarterly reports which show expenses, mileage and depreciation for each car used by Maryland State Lottery employees.</p>	<p>Retain for two (2) fiscal years and until all audit requirements are fulfilled, then destroy.</p>
22.	<p><u>Bi-Weekly Time Reports</u></p> <p>Bi-Weekly Time Reports arranged chronologically by week showing hours worked, name, classification, and inclusive dates.</p>	<p>Retain for two (2) years and until all audit requirements have been fulfilled, then destroy.</p>
23.	<p><u>Leave Records</u></p> <p>Consisting of documents showing leave requested and taken by each employee including: Leave request forms, bi-weekly leave report printouts, and summary-year end leave report printouts.</p>	<p>Retain for two (2) years and until all audit requirements have been fulfilled, then destroy.</p>
24.	<p><u>Motor Vehicle Titles</u></p> <p>Files contain titles of State motor vehicles operated by Lottery Agency personnel.</p>	<p>Retain until final disposition of vehicle, then forward with vehicle.</p>
25.	<p><u>Vehicle Accident Files</u></p> <p>Consisting of documents reporting all accidents involving State vehicles operated by Lottery Agency personnel which may include Maryland Motor Vehicle Accident Report (FR-30) and Motor Vehicle Accident Investigation Guide (FS-1).</p>	<p>Retain until final disposition of vehicle, then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

SCHEDULE
NO. 766

PAGE
NO. 7 of 29

Item No.	Description	Retention
26.	<p><u>Postage Due File</u> Chronological arrangement of postal receipts showing expenditures from working fund for postage due.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled, then destroy.</p>
27.	<p><u>Safety Reports</u> Consisting of Federal and State reports relating to on the job accidents of employees of the Lottery Agency. These may include: Standard Form for Employer's First Report (SF-1) of Injury or Occupational Disease and Log and Summary of Occupational injuries and illnesses (OSHA No. 200).</p>	<p>Retain in office for five (5) years after year reported and then destroy.</p>
28.	<p><u>Payroll Accounting Records</u> These files include: Payroll Check Register, Payroll Exemptions Time Reports, Payroll Transmittals, and Payroll Warrants.</p>	<p>Retain for two (2) years and until all audit requirements have been fulfilled, then destroy.</p>
28a	<p><u>Weekly Lottery Winning Tickets</u> Consisting of returned or not distributed winning weekly game lottery tickets over \$499.00.</p>	<p>Retain in bank vault, tickets prior to Oct. 1, 1978 one (1) year from date of issue, then destroy. Retain tickets after Oct. 1, 1978 for ninety days from date of issue, then destroy.</p>
28b	<p><u>Returned and Unsold Weekly Game Tickets Log</u> Consisting of a log showing which weeks had tickets returned or not distributed.</p>	<p>Retain log for two (2) years and until all audit requirements are fulfilled.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
<u>GAME ACCOUNTING</u>		
29.	<p><u>Bank/Agent Forms</u> These forms contain information showing the number of tickets sold and returned to the agency, and the financial transactions concerning these tickets.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>
30	<p><u>Subscription Applications</u> These forms are maintained by subscriber number and show name, address, and type of subscription requested.</p>	<p>Retain applications for one (1) year and until all audit requirements are fulfilled, then destroy.</p>
31.	<p><u>Subscription Renewal Notices</u> These are returned notices asking for extension of subscriptions which contain the same information as original applications.</p>	<p>Retain renewal notices for one (1) year and until all audit requirements are fulfilled, then destroy.</p>
32.	<p><u>Game Accounting Printouts</u> These computer generated printouts are maintained by the week and are continuous run reports containing information on tickets sold and returned by bank and agent, and financial data related to these transactions. They may include: Ticket Master File Lot Status Summary (Detail) 50 cents and one dollar games, Ticket Report 101-A, and Changes and Deletions and Errors to the same 101-B. Main Bank totals (ticket distribution) 50 cents and one dollar games.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
	<u>GENERAL ACCOUNTING</u>	
33.	<p><u>Accounting</u></p> <p>This series includes all standard State accounting forms as well as other accounting media which provide supporting data for the special and general accounting records.</p> <p>Changes in records format will not necessarily require revision of the retention schedule. However, should the scope or content of a records series be altered, the schedule may be amended to reflect such changes.</p> <p>Each agency will use all or some of the following records which are governed by the indicated retention period:</p> <p>A. <u>General Accounting Records</u></p> <p style="padding-left: 40px;">Certificate of Deposit and Bank Deposit Slips Memorandum of Adjustments Disbursement Transmittals Month End Summary STARS Printouts</p> <p>B. <u>Special Accounting Records</u></p> <p style="padding-left: 40px;">Reports of audits conducted by the Legislative Auditors</p> <p style="padding-left: 40px;">Books of Final Entry - General Ledgers</p> <p>C. <u>Budget and Fiscal Planning Records</u></p> <p style="padding-left: 40px;">Budget Estimates Budget Schedule Amendment Materials and Supplies Physical Inventory Report of Fixed Assets Report of Materials and Supplies Request for Position Action</p>	<p>Retain for two (2) years and until all audit requirements have been fulfilled, then destroy.</p> <p>Retain for ten (10) years, then destroy.</p> <p><u>Retain permanently.</u></p> <p>Retain for two (2) years and until all audit requirements have been fulfilled, then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
	<p><u>D. Miscellaneous Accounting Records</u></p> <p>Bank Books, Statements, and Deposit Receipts Budget Papers and Work Sheets Cancelled Checks, Check Copies and Check Stubs Delivery Orders and Receipts Gas Withdrawal Tickets and Mileage Reports Memorandum Receipt & Property Condemnation Reports Paid Bills and Invoices Paid Bonds and Coupons Periodic Financial Reports to Local/State Agencies Receipt Copies and Stubs Receiving Reports Reconciliation and Trial Balance Sheets Renewable Licenses Requisitions and Purchase Orders Time Sheets</p>	<p>Retain for two (2) years and until all audit requirements have been fulfilled, then destroy.</p>
34.	<p><u>Annuity Files</u></p> <p>These documents are arranged alphabetically by name of winners and contain information such as: Name of Company Holding Annuity, Name and Address of Winner, Date of Win, Amount Won, Correspondence, and Copies of W-2 Forms.</p>	<p>Retain until annuity contract is terminated, then destroy.</p>
35.	<p><u>Computerized General Accounting Printouts</u></p> <p>These computer generated printouts are maintained chronologically by month and are continuous run reports containing various financial data used to balance Lottery accounts. The reports may include:</p> <p>Daily Liabilities Weekly Sales Summary Sales Analysis Summary Statement of Cash Balances (A-30405) Agent Bonus Payable Main Bank Summary Settlement Discrepancy Stripoffs (021-A, 021-S, 621-A) Financial Summary of Unclaimed Prizes (5244) Reversions (020, 620) Win Processor Outdated Winners Report Monthly Bank Fees (211-A) Quarterly Bank Fees (212-A) Subscription Ticket Financial Report (111-B) Weekly Bank Receivable (210-A) Bank Receivable Ledger (210-B)</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>

(continued)

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
	<p>Present Value of Annuities (Mutual Benefit Life Insurance Co.) Payoff Register Unsold Winners Over \$499.00 Subscription Commission Report Threshold Forgiveness Report</p>	
36.	<p><u>Withholding Tax Forms and Statements</u> IRS 941-E and Related Federal tax papers. Local and state withholding tax forms and statements</p>	<p>Retain for six (6) years and until all audit requirements have been fulfilled, then destroy.</p>
37.	<p><u>Stars Printouts</u> Detail of transactions posted Stars</p>	<p>Retain for three (3) months, then destroy.</p>
38.	<p><u>Monthly Accounting Folders</u> Detail of monthly accounting transactions posted to General Ledger.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>
39.	<p><u>Equipment Inventory Cards</u> Arranged by inventory tag number, these cards show type of equipment, location, and most recent inventory date.</p>	<p>Retain cards until equipment is disposed of and until all audit requirements have been fulfilled, then destroy.</p>
40.	<p><u>Daily Game Summary</u> Documents contain monthly summaries of daily game prize liability, sales data, and amounts deposited in the Lottery bank accounts.</p>	<p>Retain for two (2) fiscal years, then destroy.</p>
41.	<p><u>Log Error Cards (M-050)</u> These cards list the ticket agent's name and number, type and date of errors made.</p>	<p>Retain while agent is active and one (1) additional year, then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

SCHEDULE
NO. 766

PAGE
NO. 12 of 29

Item No.	Description	Retention
42.	<p><u>Daily and Validation Lottery Tickets</u> These are winning daily game Lottery tickets and validation tickets. They reflect the winning number and authorization to pay winning tickets.</p>	<p>Retain tickets sold prior to Oct. 1, 1978 one (1) year from date sold, then destroy. Retain tickets sold after Oct. 1, 1978 for ninety (90) days from date sold, then destroy.</p>
43.	<p><u>Weekly Settlement Files</u> This file contains the white copy of a three-part form used to show the weekly sales data of each Lottery remote terminal. It is also used in conjunction with daily and validation Lottery tickets.</p>	<p>Retain settlement sheets for tickets sold prior to Oct. 1, 1978 one (1) year from date sold, then destroy. Retain tickets sold after Oct. 1, 1978 for ninety (90) days from date sold, then destroy.</p>
44.	<p><u>Accounts Receivable (Daily Game)</u> These ledger pages reflect a running balance of amounts due Lottery from daily game Lottery Agents.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
	<u>PERSONNEL</u>	
45.	<u>Employee Leave Records (MS-920)</u> Consisting of alphabetically arranged cards which show the annual accumulation of all leave earned and used by employees.	Retain for two (2) years and until all audit requirements have been fulfilled, then destroy. Retain final card, prior to termination of employment, for four (4) years and until audited, then destroy.
46.	<u>Unofficial Personnel Files</u> Consisting of case files arranged alphabetically which contain employment applications, probation reports, annual efficiency reports, letters of commendation, reprimands, disciplinary suspense forms, and other documents.	Retain for three (3) years after termination of employment, then destroy.
47.	<u>Unofficial Personnel Record Cards</u> Arranged alphabetically, cards show the employment history of each Lottery employee. Information on the card may include employee name, promotion or demotion dates and titles, salary and termination.	Retain for ten (10) years after termination, then destroy.

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
	<u>MARKETING</u>	
48.	<p><u>Daily Agent Files</u> Alphabetic arrangement of folders containing daily surveys, grids (floor plans), agent applications and agent correspondence.</p>	<p>Approved and active agent files will be retained until agent becomes inactive, and one (1) additional year, then destroy.</p>
49.	<p><u>Weekly Agent Files</u> This series of records, arranged chronologically, consists of the original agent application as approved by the commission, and the original site surveys.</p>	<p>Approved and active agent files will be retained until agent becomes inactive, and one (1) additional year, then destroy.</p>
50.	<p><u>Agent Contract Files</u> Files contain original agreements with agents authorizing them to sell lottery tickets.</p>	<p>Retain active contract files until contract expires and for one (1) additional year, then destroy.</p>
51.	<p><u>Daily Agent Complaint Files</u> Case files arranged alphabetically by name of agent, containing complaints which have been submitted against the agent.</p>	<p>Retain until agent becomes inactive and for one (1) additional year, then destroy.</p>
52.	<p><u>Daily Call Reports</u> Reports contain listings of agents visited by field representatives. These reports, arranged by territory numbers, are submitted by field representatives to District Managers who summarize them into manager's reports.</p>	<p>Retain field representative's reports until summary is completed, then destroy. Retain summary for six (6) months, then destroy.</p>
53.	<p><u>(TIMS) Terminal Placement Files</u> Files contain Control Data Corp. (CDC) surveys and grids (floor plans) used by C & P Telephone Co. for placement of telephone lines for remote lottery terminals.</p>	<p>Retain until telephone lines are placed, then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
54.	<p><u>GAME FILES</u></p> <p>Files contain documentation for each specific game which may include game title, starting and ending dates, winners, agent bonuses, copies of transmittals, etc.</p>	<p>Retain until conclusion of game and two (2) additional years, then destroy.</p>
55.	<p><u>Bond Fee Files</u></p> <p>Alphabetically arranged by agent name, this series of records contain:</p> <p>Bond Fee cards which show bank numbers, agent numbers, addresses, telephone numbers, Federal I.D. numbers, business class numbers, persons to contact, and bond fee time limits.</p> <p>Bond Fee Receipts which include checks and copies of checks made payable to the Lottery Agency for bond fees and information as to which agents are covered by the fee paid.</p>	<p>Retain cards until agent is terminated, then destroy.</p> <p>Retain receipts for six (6) months or until checks clear through accounting system, then destroy.</p>
56.	<p><u>Computerized Marketing Printouts</u></p> <p>These computer generated printouts are maintained chronologically by week and are continuous run reports containing various sales data such as:</p> <p style="padding-left: 40px;">Bank/Agent Sales Distributions - 50c and \$1.00 Alpha within Zip Code</p>	<p>Retain for two (2) years and until all audit requirements have been fulfilled, then destroy.</p>
57.	<p><u>General Administration - Correspondence File</u></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings, legislative reference material, directives and other miscellaneous papers relating to the administration of Maryland State Lottery.</p>	<p>Screen annually. Destroy that material no longer needed for current business. Retain permanently directives and other material relating to planning and policy that illustrate the development of the agency.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
<u>CLAIMS</u>		
58.	<p><u>Claim Forms</u> Chronologically arranged, these documents show claims paid by the Lottery for winning tickets. This file contains regular, instant, and daily game forms.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>
59.	<p><u>Chit Control Log</u> Log is used to control and verify the amount of chits handled by various departments. Log is to accompany chits until final verification after lottery game contestant drawing.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>
60.	<p><u>Chits (Drawn and Undrawn)</u> These 4 x 5 x 3 cards are reproductions of winning lottery tickets. They are used by lottery game officials to select contestants.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>
61.	<p><u>Manual Payment Files</u> Chronologically arranged files show financial data of manually paid claims.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>
62.	<p><u>Deceased Claims</u> These case files show claims information and correspondence on deceased winning ticket holders.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>
63.	<p><u>24S Inputs</u> Documents are special ticket validations for lottery games and are data inputs for computer system. Documents show missed winning tickets and their validations.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
64.	<p><u>Claim Center Contracts</u> Documents are original agreements with claim centers authorizing them to pay claims for the Lottery Agency.</p>	<p>Retain until agreement expires and for one (1) additional year, then destroy.</p>
65.	<p><u>Fall Agent Bonus Points Coupons</u> Documents are preprinted coupons used as bonuses for agents.</p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled, then destroy.</p>
66.	<p><u>Return Prize Checks</u> Files contain copies of returned prize checks which have been forwarded to Abandoned Property Department or forwarded to rightful claimant.</p>	<p>Retain for one (1) fiscal year then destroy.</p>
67.	<p><u>General Administrative - Correspondence File</u> Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings, legislative reference material, directives and other miscellaneous papers relating to the administration of the Maryland State Lottery.</p>	<p>Screen annually. Destroy that material no longer needed for current business. Retain permanently directives and other material relating to planning and policy that illustrate the development of the agency.</p>
68.	<p><u>Computerized Claims Printouts</u> These computer generated reports are maintained chronologically by month and are continuous run reports containing various claims data needed for current business. These reports may include: <ul style="list-style-type: none"> Claim Center Statement, Adjustments and Update Report Daily Liabilities Purge Report (One Year and 90 Days) Fall Agent Bonus Report </p>	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled, then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
69.	<p><u>Book I</u></p> <p>A collection of computer generated reports maintained in one binder. This binder may include:</p> <ul style="list-style-type: none"> Financial Summary of Prize Claims Claims Batch Balance Regular and Instant Edit Option/Instant Payment Edit Report, Final Run \$1.00 and 50¢ Agent Bonus Payoff Registers Weekly Claims Center Payoff Register Daily Negative Balance Payoff Register Bank Fees Payoff Register Regular Run Payoff Register Reported Missing/Stolen (Tickets) New Winner Stripoff - Super 50 Unsold Winners - \$1.00 and Super 50 Unsold Subscriptions 	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled then destroy.</p>
70.	<p><u>Book II</u></p> <p>A collection of computer generated reports maintained in one binder. This binder may include:</p> <ul style="list-style-type: none"> Previous Weeks Correction Validation Special Validation Run Current Week Validation for Instant and Regular (Claims) Correction - Error Report 	<p>Retain for two (2) fiscal years and until all audit requirements have been fulfilled, then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
<u>SECURITY</u>		
71.	<p><u>Weekly and Daily Games Investigation Files</u> These are case files containing the following: Claimed Unsold Ticket Investigations Altered Daily and Weekly Ticket Investigations Stolen Daily and Weekly Ticket Investigations Lost Daily and Weekly Ticket Investigations</p>	<p>Retain for one (1) year, then destroy. Retain cases resulting in litigation one (1) year after litigation is concluded, then destroy.</p>
72.	<p><u>Complaints Against Agents Files</u> A card file containing information pertaining to complaints against daily and weekly ticket agents. Complaints are usually submitted by holders of valid tickets or the general public.</p>	<p>Retain for ten (10) years, then destroy.</p>
73.	<p><u>Complaints by Agents</u> Case files of complaints by agents dispensing daily lottery tickets. Complaints may concern ticket stock, payouts in error, suspicious or troublesome lottery ticket purchases, or any irregular transactions.</p>	<p>Retain for one (1) year, then destroy.</p>
74.	<p><u>Ticket Bonus Verification File</u> Files contain reports on semi-annual bonus awards provided for agents and customers.</p>	<p>Retain for one (1) year, then destroy.</p>
75.	<p><u>Personnel Identification File</u> Identification and clearance files on agency employees which are essential in maintaining integrity of internal operations of Lottery Agency.</p>	<p>Retain for one (1) year after termination of employment, then destroy.</p>
76.	<p><u>Threat File</u> These files contain documentation of bomb threats, telephone and written threats against The Lottery, personnel, agents, and TV media personnel associated with drawings.</p>	<p>Retain for three (3) years from date of receipt, then destroy.</p>
77.	<p><u>Solicitation File</u> These files contain information on various enterprises such as dining clubs or wholesale merchants who are enticing and falsely inferring State Lottery affiliation.</p>	<p>Retain for ten (10) years, then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

SCHEDULE
NO. **766**

PAGE
NO. 20 of 29

Item No.	Description	Retention
78.	<p><u>General Administration - Correspondence File</u></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings, legislative reference material, directives, and other miscellaneous papers relating to the administration of the Maryland State Lottery.</p>	<p>Screen annually. Destroy that material no longer needed for current business. Retain permanently directives and other material relating to planning and policy that illustrate the development of the agency.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
<u>DATA PROCESSING</u>		
79.	<p><u>Data Processing Systems Documentation</u> Retained in binders and filed by system; binders may contain various documents such as:</p> <p>Flow charts, narratives and other material which describes how the data processing systems work, and how individual programs within the systems interrelate.</p>	Keep current by periodically removing and destroying that material no longer needed.
80.	<p><u>Data Processing Programming Documentation</u> Retained in binders and filed by program; binders may contain:</p> <p>Program narrative, program specifications, program input/output flow chart, program source listing, control card layout, and sample output.</p>	Keep current by removing and destroying that material which has been updated. Programming documentation not used during previous ten (10) years may be destroyed.
81.	<p><u>Source Listing Backup</u> This file consists of computer listings of all programs used by The Lottery.</p>	Keep current by removing and destroying old lists after six (6) months.
82.	<p><u>Data Processing Request Forms (Pending/Active)</u> This file contains all requests for new data processing systems or programs as well as changes to current data processing systems or programs, and supporting data such as memos and charts.</p>	Retain until requests have been completed or denied, then place in Request Forms Processed File.
83.	<p><u>Data Processing Request Forms (Processed)</u> This file contains all processed requests for new data processing systems or programs, and all supporting data.</p>	Screen annually. Destroy that material which is ten (10) years or older.

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

SCHEDULE
NO. 766

PAGE
NO. 22 of 29

Item No.	Description	Retention
84.	<p><u>General Administrative - Correspondence File</u> Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings, legislative reference material, directives and other miscellaneous papers relating to the administration of the Maryland State Lottery.</p>	<p>Screen annually. Destroy that material no longer needed for current business. Retain permanently directives and other material relating to planning and policy that illustrate the development of the agency.</p>
85.	<p><u>Program Test Decks</u> Contains decks of key punch cards used to test programs when changes are made to verify that the changes have been made correctly.</p>	<p>Destroy when no longer needed.</p>
86.	<p><u>Master Deck Files</u> Files contain key punch cards used as master decks for each job run on the computer.</p>	<p>Destroy when no longer needed.</p>
87.	<p><u>Transmittal Files</u> Arranged chronologically; files show receipt date and number of computer printouts and tickets received from the daily lottery vendor.</p>	<p>Retain until verification is completed, then destroy.</p>
88.	<p><u>Computer Job Run and Distribution Documentation</u> Documents are reserves used to replace damaged or lost master deck IBM cards utilized by control clerk/computer operators at Lottery Agency and operators at the Baltimore Data Center.</p>	<p>Retain until no longer needed, then destroy.</p>
89.	<p><u>Daily Computer and Weekly Schedule Logs</u> Logs are used as tally sheets to insure jobs are completed as scheduled and may include any necessary notations on progress of job run.</p>	<p>Retain for four (4) months, then destroy.</p>
90.	<p><u>Daily Ticket Logs</u> These logs reflect quantities of reports printed, run times, job and operator identification, tape numbers, and operator comments.</p>	<p>Retain for four (4) months, then destroy.</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
91.	<p><u>Ticket Distribution Logs</u> Logs reflect quantities of tickets distributed to Lottery Agents.</p>	Retain for one (1) year, then destroy.
92.	<p><u>Random Number Tape Logs</u> Logs record the use of a magnetic computer tape for a specific purpose and to insure that it is not used again, or less often than any other tape in the system.</p>	Retain for two (2) years, then destroy.
93.	<p><u>Job Control Language Listings</u> These reflect listings for jobs which preserve snapshot like contents of the Lottery's master tape files. They are used to identify files used if restructuring of the files is necessary.</p>	Retain until no longer needed, then destroy.
94.	<p><u>Volume Contents File</u> Chronological arrangement of lists of the contents of magnetic computer discs. Contents are filed by name and the space where the file resides on the disc. Space is noted by location and quantity used.</p>	Retain until disc is no longer used or needed, then destroy.
95.	<p><u>Master Number Tapes</u> Magnetic tapes containing numbers which, when put through a program, are shuffled to produce random sequence numbers which are then entered on print tapes.</p>	Retain individual tapes until used ten (10) times, then erase and recycle tape.
96.	<p><u>Ticket Creation Tapes (50¢ and \$1.00)</u> Magnetic tapes of random numbers which, when accessed and printed, produce numbers on the lottery game tickets.</p>	Allow to accumulate for fifteen (15) weeks. On the sixteenth (16) week, erase and recycle first week's tape.
97.	<p><u>Purge Tapes</u> Magnetic tapes contain claimed and unclaimed verification purges resulting in reports (printouts) titled: Unclaimed prizes Summary of prizes</p>	Retain until all audit requirements have been fulfilled and released by auditors, then erase and recycle tape.

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
98.	<p><u>Tape Consolidations (History and Table of Contents)</u> Magnetic tapes containing information concerning the numbers used on lottery game tickets, ticket accounting transactions, and purge tapes for Claims Department.</p> <p><u>PLEASE NOTE:</u> THE REMAINING TAPES ARE DIVIDED INTO THREE RETENTION PERIODS. THE NUMBERS IN THE RETENTION COLUMN REPRESENT THE FOLLOWING RETENTION PERIODS:</p> <ol style="list-style-type: none"> 1. <u>Generation Tape</u> These tapes are to be retained by cycle (grandfather, father, son). Erase and recycle oldest tape when new tape is added to cycle. 2. <u>Print Tape</u> Retain current print tape until new print tape is received, then erase and recycle tape, if feasible. 3. <u>Cycle Tape</u> Retain current tape until new tape is received, then erase and recycle tape, if feasible. 	<p>Retain until all audit requirements have been fulfilled and released by auditors, then erase and recycle tape.</p>
99.	<p><u>Lottery Index Tapes</u> Magnetic tapes containing lists of week's run and status of lottery games.</p>	<p>No. 1.</p>
100.	<p><u>Bank Agent Tapes (50¢ and \$1.00 Games)</u> Magnetic tapes containing listings of all banks and agents for specified periods of time.</p>	<p>No. 1</p>
101.	<p><u>Verification File</u> Magnetic Tapes containing listings of all winning lottery numbers.</p>	<p>No. 1</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
102.	<p><u>Correction Tapes</u> Magnetic tapes containing all corrections made to the verification file made by claims to date.</p>	No. 1
103.	<p><u>Claim Center File</u> Magnetic tapes containing listings of claim centers, amounts paid in commissions, and their status - active or inactive.</p>	No. 1
104.	<p><u>Chits Tape</u> Magnetic tapes containing information needed to recreate winning ticket information onto chits which will be used for picking TV lottery game contestants.</p>	No. 2
105.	<p><u>2411 Tape (Subscription Winners)</u> Magnetic tapes containing information provided by Claims Department on lottery players who have won a subscription as a prize.</p>	No. 3
106.	<p><u>Subscription Tapes</u> This is a series of magnetic tapes which include the following:</p> <p><u>Renewals</u> Containing lists describing which subscriptions have been renewed.</p> <p><u>1012 (Renewals)</u> Used to print renewed subscription membership cards.</p> <p><u>Adds</u> Containing lists of added new subscriptions.</p> <p><u>1014 (Adds)</u> Used to print new subscription membership cards.</p> <p><u>Corrections</u> Containing corrections to present subscription file, adding or deleting subscriptions.</p>	<p>No. 1</p> <p>No. 2</p> <p>No. 1</p> <p>No. 2</p> <p>No. 1</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
107.	<u>Renewal Print Tapes</u> Magnetic tapes containing information which, when accessed and printed, produce renewal notice cards for subscriptions.	No. 2
108.	<u>Jingles</u> Magnetic tapes containing information used for accounting purposes only. Information pertains to new players who received a subscription during the Christmas season from someone else (as a gift).	No. 1
109.	<u>Output of Stripoff (001S)</u> Magnetic tapes containing information which allows the Lottery Agency to check subscription numbers for winners and amounts won.	No. 1
110.	<u>Instant Claims (001-I)</u> Magnetic tapes containing information on the amounts claim centers have paid out in instant claims.	No. 1
111.	<u>Regular Claims (001-R)</u> Magnetic tapes containing information on the amounts paid out and not claimed by instant claims process.	No. 1
112.	<u>Check Tapes (992) - Instant and Regular Games</u> Magnetic tapes containing information on checks sent to Annapolis for processing.	No. 3
113.	<u>Subscription File (1011)</u> Magnetic tapes containing all numbers assigned to subscribers.	No. 1
114.	<u>Agent Bonus Tape</u> Magnetic tape containing information concerning agent incentive game.	No. 1
115.	<u>Lt. Coupon Tape</u> Magnetic tape containing information concerning coupons issued to agent bonus winners and used to print coupons.	No. 2

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Item No.	Description	Retention
116.	<p><u>Agent Claims Tape</u> Magnetic tape containing information concerning claims made by agents for coupons.</p>	No. 1
117.	<p><u>Fuse 1 and Fuse 10 Program Tapes</u> Magnetic tapes containing programs used by ticket printing machine for printing tickets.</p>	Retain until unreadable, then destroy tape.
118.	<p><u>Check Image Tapes</u> Magnetic tapes containing information which, when accessed and printed, produces checks for agents with negative balances.</p>	No. 2
119.	<p><u>Ticket Distribution Tapes</u> This is a series of magnetic tapes which include the following: An <u>ASTERISK</u> in front of number denotes a \$1.00 game; other is 50¢ game.</p> <p><u>*6552 - 552 Tapes</u> Containing information used as a first step in solving a problem with a program run.</p> <p><u>*6502 - 502 Tapes</u> Containing images of distributed tickets and used as input to "C" list printout for ticket accounting.</p> <p><u>*6511 - 511 Tapes</u> Containing information on banks and agents. Also used to print bank/agent forms.</p> <p><u>*6512 - 512 Tapes</u> Containing information pertaining to the number of tickets distributed to banks and agents.</p>	No. 3 No. 3 No. 2 No. 2
120.	<p><u>(1976) Instant Rub Game Tapes (710, 770-7193)</u> Magnetic tapes containing program information relative to instant rub game. Held as reference for possible future game use.</p>	No. 1

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

Mem No.	Description	Retention
121.	<p><u>Bonus Winner Verification Tape</u> Magnetic tape containing a listing of winners of bonus prizes.</p>	No. 1
122.	<p><u>Program Test Tapes</u> Magnetic tapes which contain program data used in testing changes to current lottery games.</p>	Retain until no longer used for current testing.
123.	<p><u>Lot Backup</u> Magnetic tape which is a backup for all program libraries (disks).</p>	No. 3
124.	<p><u>Spool Tapes</u> Magnetic tapes containing report information for one, two, and four-part listings to be printed in-house. Also used for printing various information on mailing labels, inserts, and envelopes.</p>	No. 2
125.	<p><u>Year End File Tapes</u> Magnetic tapes are the last tapes of a file or the 52nd week tapes, or are consolidated year to date tapes. Tapes are used as a safety reference material when fiscal year breaks are accomplished.</p>	Retain for one (1) year and until replaced by new tape.
126.	<p><u>Lottery Property Tapes</u> Magnetic tapes containing information concerning the physical inventory of lottery property. Tapes list property and their assigned numbers.</p>	No. 1
127.	<p><u>Lottery Personnel Timekeeping System</u> This series of magnetic tapes includes the following:</p> <p><u>Tape 301</u> Contains master file of lottery personnel and their leave records.</p> <p><u>Employee Leave Status Tape</u> Contains information which when accessed and printed produces a card showing amounts of all types of leave each employee has accrued to date.</p>	<p>No. 1</p> <p>No. 1</p>

RECORDS RETENTION AND DISPOSAL SCHEDULE
(CONTINUATION SHEET)

SCHEDULE
NO. 766

PAGE
NO. 29 of 29

Item No.	Description	Retention
	<p><u>PLEASE NOTE:</u></p> <p>THE FOLLOWING TAPES ARE FOR <u>INTERNAL USE ONLY:</u></p> <p>128. <u>Lot Comp Log</u> Magnetic tapes which are future program tapes now being tested. Tapes contain master file of images of all computer printout sheets. Also used for internal processing and information.</p> <p>129. <u>Lot DE MSTR</u> Magnetic tapes which are future program tapes containing a file of statistical cards from data entry.</p>	<p>Retention Period No. 1, or when no longer needed.</p> <p>Retention Period No. 1, or when no longer needed.</p>