DGS-550-1 REV. 7/86

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DEPARTMENT OF GENERAL SERVICES Records Management Division

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NC	1084	
PAC NO.		1

RECORDS RETENTION AND DISPOSAL SCHEDULE

	State Ethics Commission	
	AGENCY	DIVISION
ltem No.	Description	Retention
1.	Board and Commission Departmental Files Includes correspondence between the Ethics Commis- sion and various State Cabinet Departments regarding Ethics Law coverage of boards and commissions in that department	Retain for life of board or commission and eight (8) years thereafter, then destroy
2.	Board and Commission General Information Includes copies of general information materials sent to all boards and commissions. Generally these re- late to financial disclosure requirements and exemp- tions	Retain for life of board or commission and eight (8) years thereafter, then destroy
3.	Independent Board and Commission Files Files cover all boards and commissions not within a particular Department. Generally materials relate to coverage, exemptions and financial disclosure	Retain for life of board or commission and eight (8) years thereafter, then destroy
4.	<u>Meeting Minutes - 1979 to Present</u> Files contain Commission minutes materials sent to the Commission prior to the meeting, the agenda, and retained other material handed out at the meeting	Retain minutes per- manently. One copy of other materials may be for twelve (12) years, then destroyed if no longer useful
5.	Agency Financial Disclosure Correspondence Includes information on each agency and jobs that re- quire financial disclosure. Most of the file relates to additions and deletions in the financial disclo- sure filing list	Permanent retention.
	is Approved by Department, y, or Division Representative Executive	Sol.

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RECORDS RETENTION AND DISPOSAL SCHEDULE (CONTINUATION SHEET)

SCHEDU NO.	11.6
	1 <u>84</u>
PAGE	2
NO.	

ltem No.	Description	Retention
6.	General Financial Disclosure Correspondence Included are general financial disclosure correspon- pondence for each calendar year. Most of this in- formation is also contained in other files	Retain seven (7) years, then destroy
7.	Financial Disclosure - General Development Files Included are draft forms and materials related to Law changes including some legal analysis	Retain permanently
8.	<u>Conflict of Interest - Title 3</u> Included are letters, memos and other informal Com- mission rulings concerning various sections of the Public Ethics Law	Retain permanently
9.	Legislative Files Included are memos, bills, fiscal notes, correspon- dence and related materials for each legislative year	Retain in office for ten (10) years, then trans- fer to Records Center until twenty (20) years old, then destroy
10.	Ethics Materials from Other States Included are files from each jurisdiction that inter- acts for information purposes with the State Ethics Commission	Retain until superseded or revised
11.	Local Government General Information Included are general files relating to the implemen- tation of local government ethics laws and Commission requirements including regulations	Retain permanently
12.	Local Government Ethics Laws There is a file for each county and Baltimore City. Components include exemptions, approval of laws or regulations and various review documents	Retain permanently

RECORDS RETENTION AND DISPOSAL SCHEDULE

(CONTINUATION SHEET)

SCHEDULE NO. 1084 PAGE 3

tem No.	Description	Retention
13.	<u>General Administration</u> Includes miscellaneous reports, guidelines from other agencies and regulations related material. Some general correspondence is also included	Retain in office for seven (7) years. Trans- fer to Records Center for five (5) years, then destroy
14.	Ethics Financial Disclosure Reports Included are personal financial disclosure forms and other related personal disclosure forms. also included is related correspondence	Retain until seven (7) years after a filer is no longer active, then destroy, except Gover- nor, Lt. Governor, Trea- surer, Attorney General, Comptroller, Secretary of State, Department secretar and members of the General Assembly reports which are retained permanently.
	Lobbying Activity Reports and Registration Forms Included are lobbyist registration forms, activity reports and related correspondence	Retain in office until seven (7) years after a lobbyist becomes inac- tive for an employer. Then transfer to Records Center to be retained for five (5) years, then destroy
	<u>Complaint Files</u> Included are formal legal complaint documents and related investigative reports, cure agreements, settlements, findings at hearings and related cor- respondence	Retain permanently
.7.	Preliminary Inquiry Matters Included are items pertaining to preliminary inves- tigations and related Commission decisions	Retain for fifteen (15) years and screen for on- going value and if not of value, then destroy

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RECORDS RETENTION AND DISPOSAL SCHEDULE

(CONTINUATION SHEET)

SCHEDULE NO. 1084

4

PAGE NO.

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ltem No	Description	Retention
18.	Potential Conflict of Interest Matters Included is information brought to Commission's at- tention that might suggest a violation of the Public Ethics Law. File contains information about the situation and any Commission determination	Retain for fifteen (15) years and screen for ongoing value and if not of value, then destroy
19.	<u>Bills Received and Authorized for Payment</u> Includes copies of significant bills which have been sent to Annapolis for payment. This file is a par- tial back up file to the actual file maintained in the Governor's administrative office	Retain three (3) years, then destroy
20.	Expense Account Files Includes extra copies of expense accounts that have been forwarded to the Governor's Annapolis office for payment	Retain five (5) years, then destroy
21 .	Budget Files Included are materials related to the budget for each fiscal year. Generally, they are back-up documents or copies of documents maintained in the Governor's administrative office	Retain eight (8) years, then destroy
22 .	Personnel Files Includes materials related to current for former em- ployees of the Commission	Retain fifteen (15) years after termina- tion of employment, then destroy
23.	Job Applicants Includes resumes and correspondence regarding unsuc- cessful applicants for various jobs at the Commis- sion	Retain four (4) years, then destroy
24.	Advisory Opinions Included are requests, correspondence, research and written opinions	Retain permanently

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	bon ach. 1084	ADENCY RECORDS			Page No. _1 of 24
1.	Department Executive Department		2. 3.	Division Unit	State Ethics Commission
4.	Record Series and Title: (Def. may be transferred or 1. Board & Commission Depa	disposed of as			a unit, used as a unit, and which
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	Description: (Give a brief desc form name(s) and number(s).	cription of a t	ypic	el folder;	include content, purpose, and
	Folders are organized by De	epartment and in	nclud	le correspo	ndence between Ethics
	Commission, individual comm	issions and the	e Dep	partment re	garding coverage of
	Ethics Law. File is used t	o determine the	e cui	rrent legal	status of each board and
	to determine the history of	that status.			-
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·		tory sheet for	<u>aach</u>	Becor Se	ries)
5.	Present Volume on Hand (No. of 1	ile drawers)	7.	Audit hagu	irements
5.	Estimated Accumulation (Yearly)			Federal /	TInternal
8.	Estimated Activity por File Draw	er: (Activity (Guid	o- HIGH (u	sed daily); (EDIUS (once/twice
	Current Yoar H B L After 1. Yr, H B L At				n once monthly).)
9.	Could Record Series be stored in Records Center. YES 7 KO		Rec	Records sl ords of Boa	cd Rotention: nould be retained by Ethics Commission ards or Commissions that are abolished troyed 8 years after that
	When:			lishment.	· .
īī,	the second property sy	Print Name)		Dr.t	
	Telsphong Kumber:				DOS-R4-10 1/81

	gement Division	
AGENCY RECO	rds diventory	Page No.
Department	2. Division	
Executive Department	State Ethics Comm 3. Unit	nission
Record Series and Title: (Def. A group of may be transferred or disposed of		ed as a unit, and wh
· 2. Board & Commission - General Inform	nation	
Description: (Give a brief description of form name(s) and number(s).		
and commissions, departments and indiv	idual agencies regarding the	process of filing
financial disclosure by board & commiss		
requesting an exemption from the Public		
materials relating to the drafting and		•
disclosure regulations.		
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(Note: Use a separate inventory sheet for Present Volume on Hand (No. of file drawers	or each Becord Series)	
atimated Accumulation (Yearly)	State XXI Federal / Inter	\
	I FOUETEL / / +INLEI	
1/5	Independent	
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1/5 Estimated Activity por File Drawer: (Activity monthly Furrent Year H D L	IndependentExter ty Ouide- HIGH (used daily);	mal / MEDIUM (once/twice
1/5 Estimated Activity por File Drawer: (Activity monthly Furrent Year H D L	Independent Exter ty Guide- HIGH (used daily); y); LOW (less than once month	mal // MIDIUM (once/twice Ly).) N/A

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	file currently planned for permanent recention.	•
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11. Inventory prepered by (Print Name)	Drto:	
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AGENCY RECORDS	S DIVENTORY	Page No. 3 of 24
Executive Department	2. Division State Ethics Commine 3. Unit	ssion
 Record Series and Title: (Def. A group of remaining be transferred or disposed of an 3. Board & Commission-Independent Boards 	s a vnit.)	as a unit, and which
Description: (Give a brief description of a form name(s) and number(s). This series includes a file for each		
not within a specific department. Each f	Eile contains documents & mat	ہ erials
that note their status as public official		,
status (whether they have to file or are		1
dealing with their legal status.		•
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Note: Use a separate inventory sheet for	each Record Series)	
5. Present Volume on Hand (No. of file drawers) 6. Estimated Accumulation (Yearly) 1/8	7. Audit A quirements State <u>State</u> Interna Independent	
Current Yoar H @ L	Guide- HIGH (used daily); MI ; LOW (less than once monthly does activity become LOW N	EDIUM (onco/twice r).)
9. Could Record Series be stored in the State Records Center. YES KO /XX	10. Recommended Rotention: Records should be retain Commission. Records of Boa are abolished should be des that abolishment.	rds or Commissions that
11. Inventory prepared by (Print Asme)	Deto:	
Tels; who kusher:	•	Das-R4-10 1/81

	Records Manageme		
	AGENCY RECORDS		Page No.
1.	Department Executive Deparment	 Division State Ethics Commission Unit 	
ц. -	Record Series and Title: (Def. A group of rec may be transferred or disposed of as 4. Meeting Minutes - 1979 to Present Description: (Give a brief description of a ty form name(s) and number(s). Folders are organized by meetings. Mo basis. A typical folder includes a copy of materials in preparation of the meeting, as meeting. Minutes are also included.	a unit.) ypical folder; include content, p leetings are generally held on a mo of all documents included in mailor	ourpose, and in the second sec
		-	• • •
	(Note: Use a separate inventory sheet for s	each Becom Series)	•
	Present Volume on Hand (No. of file drawers) <u>4</u> Estimated Accumulation (Yearly) <u>1/3</u>	7. Audit Acquirements State (XXI Foderal / Internal / Independent External /	7
8.	Current Yoar H B L		
9.	Could Record Series be stored in the State Records Center. YES NO	10. Recommended Rotention: It is recommended that materian particular year be retained for exception of the minutes themself be retained permanently.	12 years with the
11,	• Inventory prepered by (Print Name) Telephone Kumber:	Dato:	 R4-10 1/81
l		and an	

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AGENCY RECORDS DIVENTORY

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Department	2. Division State Ethics Commission
Executive Department	3. Unit
• Record Series and Title: (Def. A group may be transferred or disposed	o of records filed as a unit, used as a unit, and whit of as a unit.)
5. All departments and agencies req	uired to file financial disclosure
Description: (Give a brief description of form name(s) and number(s).	of a typical folder; include content, purpose, and
There is a folder for each depa	arment or independent agency that falls under
the financial disclosure provisions	of the law. A typical folder would include all
correspondence regarding the filing	of financial disclosure forms, any changes in
the list of those required to file f	financial disclosure (additions and deletions
requests), correspondence to Departm	• nent of Personnel regarding the status of the
agency's list of filers.	
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. Present Volume on Hand (No. of file drawe	t for each Record Series) ers) 7. Audit higuirements
• Estimated Accumulation (Yearly)	State (XX
1/2	Føderel // Internal //
. Estimated Activity por File Drawers (Acti	ivity Guide- EIGH (used daily); MEDIUM (once/twice
Current Year B H L	thly); LOW (less than once monthly).)
	year does activity become LOWN/A
. Could Record Series be stored in the Stat Records Center.	te 10. Recommended Rotention: The financial disclosure system is based
, IES / KO /XX7	the status of a particular job that the persor
When:	holds. If the status is challenged the job reco would be used. There is no plan to transfer or
1. Inventory prepared by	destroy these records.
(Print Nam	
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	Records Managem			
	AGENCY RECORDS			Page No. 6 of 24
1.	Department Executive Department	2. 3.	Division State Ethics Commi Unit	ssion
4.	Record Series and Title: (Def. A group of re- may be transferred or disposed of as 6. General financial disclosure correspon		nit.)	d as a unit, and which
	Description: (Give a brief description of a ty form name(s) and number(s).	pic	al folder; include con	tent, purpose, and
	These folders contain all agency fina	ncia	al dislcosure correspond	lence for a i
	calendar year. Most of this information i	s ci	coss-referenced and four	nd in other
	files also.		•	. (1
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5.	(Note: Use a cenarate inventory sheet for Present Volume on Hand (No. of file drawers)	ach 7.	Record Series)	
	Estimated Accumulation (Yearly)		State [] Federal [] Intern	
•	1/3		Independent	
8.	Estimated Activity por File Drawer: (Activity (hid LOW	e- HIGH (used daily); } (less than once month)	EDIUM (once/twice
	Current Year (D H L After 1. Yr, H H (D) After what year (
9.	Could Record Series be stored in the State Records Center.	10.	Recommended Rotention	
	YES AT NO T		Seven years	
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ũ,	Inventory prepared by		Deter	
	(Print Name) Telephone Kumber:			
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AGENCY RECORDS	DIVENTOR	Page No.
Department	2. Division	
Executive Department	State Ethics Commissio 3. Unit	on
• Record Series and Title: (Def. A group of remay be transferred or disposed of as		unit, and which
7. Financial Disclosure general developmer	nt files	
Description: (Give a brief description of a t form name(s) and number(s).	ypical folder; include content,	purpose, and
These are a set of general files perta	aining to financial disclosure	
forms development files, materials relating	g to managerial personnel, the new	v
law implementation of 1981 and general lega	al interpretation are included in	
this group.	•	•
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Olate: Use a ceparate inventory check for		
• Present Volume on Hand (No. of file drawers)	7. Audit Nequirements	
. Estimated Accumulation (Yearly)	State [] Federal [] Internal [Independent	
. Estimated Activity por File Drawer: (Activity	LExternal C Guido- HICH (used daily); MEDIUM LOW (less than once monthly).)	
Current Yoar H B L	does activity become LOW $\frac{1}{1}$	
. Could Record Series be stored in the State Records Center.	10. Recommended Rotention:	······································
YES T KO TT	Permanent retention	
en;	۰.	
1. Inventory prepared by(Frint Name)	Dete:	
Telephone Kumber:		
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Records	Mana	gement	Division

AGENCY RECORDS	s diventory	Page No. 8 of 24
Executive Department	 Division State Ethics Commission Unit 	
4. Record Series and Title: (Def. A group of range be transferred or disposed of as		a unit, and which
8. Conflicts of Interest _ Title 3		a na managa ka ka sa
Description: (Give a brief description of a t form name(s) and number(s).	typical folder; include content,	, purpose, and
There is a folder for each conflict o	of interest provision of the law.	
Any correspondence or issues raised relate	ed to these specific conflict pro	visions
are placed in these files. The file is pr	imarily used to maintain informa	l commission
ethics law interpretation. Generally, the	ese consist of letters to agencie	sor.
individuals providing guidance. They are	used for individual reference or	for
precedents in other requests.	•	
Dioto: Use a separate inventory sheet for	each Record Series)	
5. Present Volume on Hand (No. of file drawers)	7. Audit h-quirements · · · · · · · · · · · · · · · · · · ·	
6. Estimated Accumulation (Yearly) 1/8	Federal [] Internal (IndependentErternal (
Current Yoar H (H) L	Ouido- HIGH (used daily); MEDIU LOW (less than once monthly). does activity become LOW	M (once/twice)
9. Could Record Series be stored in the State Records Center. YES KO	10. Recommended Retention: Should always be retained f	For reference
jon;	· .	
11. Inventory prepared by (Print Name)	Dates	*******
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DEPARTMENT OF GENERAL SERVICES Records Management Division			
AGENCY RECORDS	DIVENTOKI	Page No.	
Executive Department	 Division State Ethics Commiss Unit 	sion	
 Record Series and Title: (Def. A group of remany be transferred or disposed of as 9. Legislative files 		s a unit, and which	
Description: (Give a brief description of a ty form name(s) and number(s).	pical folder; include conten	t, purpose, and	
These files involve ethics legislatio	n. There is a file for each s	session	
of the General Assembly (1979 - Present).	All bills, fiscal notes, corr	respondence	
and legislation pertaining to the Public E	thics Laws are included in the	ese files.	
Files are used to look at new legislation	and would be relevent in cour	t matters -	
where legislative history is at issue.			
	-		
(Note: Use a ceparate inventory sheet for			
• Present Volume on Hand (No. of file drawers) 1 • Estimated Accumulation (Yearly) 1/8	7. Audit inquirements State Federal Internal Independent		
. Estimated Activity por File Drawer: (Activity C	Erternel huido- HIGH (used daily); MEDI	IUM (once/twice	
Current Yoar (D) H L	LOW (less than once monthly), loss activity become LOW $\frac{3 \text{ y}}{2}$	ears	
• Could Record Series be stored in the State Records Center. YES XXX NO XXX	10. Recommended Retention: Retain for 10 years and t of records for an additiona destroy		
	• 		
1. Inventory prepared by (Print Name)	Detes		
Telephone Kuuber:		DGS-R4-10 1/81	

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AGENCY RECORDS	Inventory	Page No. 10 of 24	
Department Executive Department	 Division State Ethics Commission Unit 		
4. Record Series and Title: (Def. A group of remay be transferred or disposed of as 10. Ethics materials from other States		B a unit, and which	
Description: (Give a brief description of a t form name(s) and number(s).	ypical folder; include conten	t, purpose, and	
There is a file for each jurisdiction	that interacts with the Ethic	s i	
Commission. This includes information from	m various states and the Counc	il a	
of Governmental Ethics. All pertinent info	ormation is retained in these	files.	
Note: Use a separate inventory sheet for	each Record Series)		
5. Present Volume on Hund (No. of file drawers) 3/4	7. Audit A quirements State ()		
6. Estimated Accumulation (Yearly) 1/10	Føderal // Internal Independent External		
Current Yoar H (H) L	hide- HIGH (used daily); MEDI LOW (less than once monthly).	UM (once/twice	
After 1. Yr, H @ L After what year o	loss activity become LOW	N/A	
9. Could Record Series be stored in the State Records Center. YES KO	10. Recommended Rotention: Old laws and materials as new or revised materials		
11. Inventory prepared by	Datas		
(Print Asme) Tels; bons Kumber:	and for the second fo		
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AGENCY RECORDS	THAENIOHT	Page No. 11 of 24		
1. Department	2. Division			
Executive Department	State Ethics Commissi 3. Unit	ion di		
4. Record Series and Title: (Def. A group of re may be transferred or disposed of as		a unit, and which		
· 11. Local Government - General Information	n .	•		
Description: (Give a brief description of a t; form name(s) and number(s).	ypical folder; include content,	purpose, and		
These are general background files re	lating to the implementation of	the		
local government portion of the Public Eth	ics Law and the commission requi	rements		
for local ethics provisons. The regulation	ns and model laws are included a	s well		
as local ethics opinions.		•		
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5. Present Volume on Hand (No. of file drawers)	7. Audit higuirements			
6. Estimated Accumulation (Yearly)	DURVE Line			
$\frac{1}{10}$	Føderal / Internal / Independent			
8. Estimated Activity por File Drawer: (Activity (Erternal C Juido- EICH (used daily); MEDIUR	(onco/twice		
Current Year (H L monthly);	LOW (less than once monthly).)			
	toss activity become LOW 5			
9. Could Record Series be stored in the State Records Center.	10. Recommended Rotention: No current plan to dest	Trov or transfer		
YES 7 NO XX7	No current pran to dest	loy of clauster		
Men;	•.			
11. Inventory prepared by	Dr.to:			
(Print Name)				
Telephone Kuuber:	DG	S-R4-10 1/81		

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A GENCY RECORDS	DIVENTORY	Page No. 12 of 24	
Department Executive Department	 Division State Ethics Commission Unit 		
4. Record Series and Title: (Def. A group of re may be transferred or disposed of as		unit, and which	
12. Local Government Ethics Laws		·····	
Description: (Give a brief description of a t form name(s) and number(s).	ypical folder; include content, j	ourpose, and	
There is a file for each of the 24 co	unties including their school boar	ds v	
and 156 municipalities. All correspondenc	e and local laws are placed in the	ese	
files. Major components include request f	or exemptions, approval of law or	î.	
regulations and various review documents.		•	
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	each Record Serles)	1	
5. Present Volume on Hand (No. of file drawers)	7. Audit & guirements		
6. Estimated Accumulation (Yearly)	Redevel Internal (7	
1/10	IndependentErternal /	<u> </u>	
8. Estimated Activity por File Drawer: (Activity Guide- EIGH (used daily); MEDIUM (onco/twice monthly); LOW (less than once monthly).)			
Current Year H \oplus L After 1. Yr, H \oplus L After what year doas activity become LOW <u>N/A</u>			
9. Could Record Series be stored in the State Records Center. YES KO /XX/	10. Recommended Rotantion: Legal status of local governm and subject to continued review. be retained permanently.		
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11. Inventory prepared by(Frint hame)	Drtos		
Tels; bons Kuuber:			
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A GENCY RECORDS	DIVENTORY	Page No.	
Lepartment	2. Division		
Executive Department	State Ethics Commission 3. Unit		
4. Record Series and Title: (Def. A group of remay be transferred or disposed of as	cords filed as a unit, used as a sa unit.)	a unit, and which	
13. General Administration			
Description: (Give a brief description of a t form name(s) and number(s).	ypical folder; include content,	purpose, and	
This is a group of files that relate	to the overall general administra	tion	
	•		
of the Public Ethics Law. Things that are	included in this group are misce	Lianeous	
reports, guidelines from other agencies an	d regulations.		
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Diota: Use a separate inventory sheet for	pach Becor' Series)	······································	
5. Present Volume on Hand (No. of file drawers)	7. Audit hequirements		
6. Estimated Accumulation (Yearly) 1/10	Foderal [] Internal [IndependentExternal []	ב ד	
8. Estimated Activity por File Drawer: (Activity Guido- HIGH (used daily); MEDIUM (once/twice Fonthly); LOW (less than once wonthly).) Current Year (H) H L			
After 1. Yr, A H L After what year doas activity bacome ION 3			
9. Could Record Series be stored in the State	10. Recommended Rotention:		
Records Center. YES XX7 KO	Retain for 10 years, trans records center for 5 years the		
lien;	· .		
11. Inventory prepared by (Print Name)	Dr.te:		
Telspons Kunder:	Das	5-F4-10 1/61	

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AGENCY RECORD	S INVENTORI	Page No. 14 of _24	
Lepartment Executive Department	 Division State Ethics Commission Unit 		
4. Record Series and Title: (Def. A group of r may be transferred or disposed of a 14. Ethics Financial Disclosure Reports		unit, and which	
•			
Description: (Give a brief description of a form name(s) and number(s).	typicel folder; include content, j	purpose, and	
These files contain folders with th	ne personal financial disclosure		
information of all officials and candidat	es required to file. The folders		
include various types of disclosure forms	and related correspondence.	- i 1	
These records are public information but		log.	
incse records are public information but	referre remere co orbu a opeciar		
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	each Record Series)	;	
5. Present Volume on Hand (No. of file drawers)	7. Audit Asquirements		
6. Estimated Accumulation (Yearly)	Fadaval (The ample of the	7	
6	Independent	2	
8. Estimated Activity por File Drawer: (Activity	Erternel		
month's)	IOW (less than once monthly).	CONCOL CHICO	
Current Yoar (H) H L After 1. Yr, (H) H L After what year	does activity become LOW N/A		
9. Could Record Series be stored in the State Records Center. YES KO /XX/	10. Recommended Rotention: Files 7 years after a filer is no longer system. The forms of the Governon Treasurer, Attorney General, Spear and President of the Senate will retained for historical research	er active in the , Lt.Governor, aker of the House be permanently	
11. Inventory prepared by	Dr.to:		
(Frint Name)			
Telsybons Kuudor:	. Das	-F4-10 1/61	

Records Management Division					
A GENCY RECORDS	AGENCY RECORDS DIVENTORY Page No. 15 of 24				
Le Department Executive Department	 Division State Ethics Commission Unit 				
4. Record Series and Title: (Def. A group of remany be transferred or disposed of as		a unit, and which			
15. Lobbying Activity Reports and Registr	ation Forms				
Description: (Give a brief description of a t form name(s) and number(s).	ypical folder; include content	, purpose, and			
The files include lobbyist registrati	on forms, activity reports and	i			
related correspondence or documents. Ther	e is an extra copy of certain				
documents maintained centrally which would	l become a permanent record - no	t .			
to be destroyed.		•			
5. Present Volume on Hand (No. of file drawers)					
6. Estimated Accumulation (Yearly)	7. Audit hequirements State [XX] Foderal [1] Internal Independent External				
Current Yoar (H) H L	Ouldo- HIGH (used daily); MEDIC LOW (less than once monthly).	M (onco/twice) if lobbyist and			
9. Could Record Series be stored in the State Records Center. YES X KO YES KO Yen: Lobbyist becomes clearly inactive	10. Recommended Retention: Transfer to State Records lobbyist has been inactive for retain them for 5 years then d	7 years. It could			
11. Inventory propered by(Print Name)	Dr.to:				
Lever encourters	D	as-F4-10 1/61			

Desnichment	. U.Z	ULNERAL	DENITLUED
Records	Mans	gement	Division

A GENCY RECORD	S DIVENTOICI	Page No.
Executive Department	 Division State Ethics Commission Unit 	n
4. Record Series and Title: (Def. A group of r may be transferred or disposed of a 16. Complaint Files	vecords filed as a unit, used s a unit.)	as a unit, and which
Description: (Give a brief description of a form name(s) and number(s).	typical folder; include conte	nt, purpose, and
File contains formal legal complaint	ts issued by the Commission.	
Also included are investigative reports,	cure agreements, settlement a	greements,
findings at hearings and other related do	ocuments or correspondence.	
· ·		•
_		
	•	
5. Present Volume on Hand (No. of file drawers)	Audit Asquirements	
10	State []	
5. Estimated Accumulation (Yearly)	Federal <u>[]</u> Interna Independent	
8. Estimated Activity por File Drawer: (Activity	Ouido- HIGH (used daily); ME	1 / T DIVM (onco/trico
Current Year @ H L monthly)	IOW (less than once monthly does activity become LOW).)
9. Could Record Series be stored in the State	10. Recommended Retention:	
Records Center. YES / KO / X	The Commission has not what point these records show (if ever)	
11. Inventory prepared by	 D=4	
(Print Name)	Detes	and a star of the
Telsy was kuuber:		
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Records	Mana	gement	Division

A GENCY RECORD	s diventory	Page No.24
Department Executive Department	 2. Division State Ethics Commiss 3. Unit 	ion
4. Record Series and Title: (Def. A group of r may be transferred or disposed of a	ecords filed as a unit, use s a unit.)	d as a unit, and which
17. Preliminary Inquiry Matters		
Description: (Give a brief description of a form name(s) and number(s).	typical folder; include con	tent, purpose, and
The file contains information coming	g to the Commission's attent	lon
 that may suggest an official or employee	has violated the State Ethic	cs Law.
File includes investigative memos and the	e documentation containing	
any Commission decision.		
Use a cenarate inventory sheet for	each Becom Series)	
5. Present Volume on Hand (No. of file drawers)	7. Audit h-quirements	
6. Estimated Accumulation (Yearly) 1/2	Federal // Intern Independent Ertern	al <u>AX</u>
8. Estimated Activity por File Drawer: (Activity	Cuida ETCU (used dellar).	RI CT
Current Year (H) H L (monthly)	does activity become LOW	y).)
9. Could Record Series be stored in the State	10. Recommended Retention:	
Records Center. YES NO	The Commission has no what point these records s (if ever)	
11. Inventory prepared by	Datas	
(Print Aspe)	Dr.to:	
Tels; who kumber:		Das_R4-10 1/81

Berninent OF GER Records Manager		
AGENCY RECORDS		Page No. 18 of24_
Department	2. Division	
Executive Department	State Ethics Commission 3. Unit	
4. Record Series and Title: (Def. A group of remaining be transferred or disposed of as		unit, and which
18. Potential Conflict of Interest Matte	rs	
Description: (Give a brief description of a t form name(s) and number(s).	ypicel folder; include content, p	purpose, and
· · ·	· · ·	
The file contains information coming	to the Commission's attention	、 、
that may suggest an official or employee	has violated the State Ethics Law.	
File includes initial material, staff mem	os and the documentation containin	g .
any Commission decision.		•
	•	
	•	
	•	
[Note: Use a separate inventory sheet for	pach Becor, Series)	
5. Present Volume on Hand (No. of file drawers)	7. Audit higuirements State	
6. Estimated Accumulation (Yearly)	Federal // Internal /X Independent // External /	7
R Trading And Andread	External	+ 7
8. Estimated Activity por File Drawer: (Activity monthly); Current Year (H) H L	LOW (less than once monthly).)	(once/thice
After 1. Ir, H Al L After what year	doss activity become LOW 3	
9. Could Record Series be stored in the State	10. Recornended Retention: The Commission has not determine	ined at
Records Center. YES NO	what point these records should (if ever)	
kinen;		
	De Arci	
11. Inventory propered by (Print Name)	Dates	
icle; done Kumber:	Das	-FX-10 1/61

Records Manager		
A GENCY RECORDS	5 DIVENTOR	Page No. _19 of24
1. Pepartment	2. Division	
Executive Department	State Ethics Commission 3. Unit	
4. Record Series and Title: (Def. A group of remay be transferred or disposed of as		a unit, and which
19. Bills Received and Authorized for Pa	yment	
Description: (Give a brief description of a t form name(s) and number(s).	typical folder; include content,	purpose, and
The file contains copies of some but		
for payment by the Commission. There are	e copies of bills that are	
processed by the Governors office in Ann	apolis.	
<i></i>		•
	•	
	pach Becord Series)	
1/2	7. Audit Aquirements State (XXY)	
6. Estimated Accumulation (Yearly)	Independent Internal [7
8. Estimated Activity por File Drawer: (Activity	Erternal /	
monthly):	LOW (less than once monthly).)	(onco/thice
Current Yoar (B) H L After 1. Yr, H H (D) After what year	does activity become LOW	
9. Could Record Series be stored in the State	10. Recommended Rotention:	·
Records Center. YES XXX NO	Destroy after retaining.for	3 years
htten;	·.	
11. Inventory prepared by (Print Name)	Data:	
Tels; bons Kunder:	CT	5-174-10 1/81

Records Management Division			
A GENCY RECORDS	DIVENTOR	Page No. _20 of24	
Lecutive Department	 Division STate Ethics Commission Unit 		
4. Record Series and Title: (Def. A group of re may be transferred or disposed of as		unit, and which	
20. Expense Account Files			
Description: (Give a brief description of a t form name(s) and number(s).	ypicel folder; include content,	purpose, and	
This file contains expense account r	ecords for each employee or		
former employee of the State Ethics Commi	ssion. This is a back up file		
to the original files that are retained i Annapolis.	n the Governor's Office in	•	
		-	
	•		
(Note: Use a separate inventory sheet for 5. Present Volume on Hand (No. of file drawers) 6. Estimated Accumulation (Yearly) 	7. Audit Aquirements State Federal / Internal / Independent External /	T	
8. Estimated Activity por File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly).) Current Year H I L After 1. Yr, H H I After what year does activity become LOW 1			
9. Could Record Series be stored in the State Records Center. YES XXX7 KO	10. Recommended Retention: These records would be destroy 5 years	yed after	
11. Inventory prepared by (Frint Name) Telephone Rumber:	Dr.to's Das		
		-	

Deraktinent up den Rocords Menagem		
AGENCY RECORDS	DIVENTOIC	Page No
1. Department	2. Division	
Executive.Department	State Ethics Commission 3. Unit	
4. Record Series and Title: (Def. A group of re may be transferred or disposed of as		unit, and which
21. Budget Files		
Description: (Give a brief description of a t form name(s) and number(s).	ypical folder; include content,	purpose, and
File contains material related to th	e budget for each fiscal year.	
Includes copy of budget and related corre	spondence. Since the Commission	s
finances are actually handled by the Gove	ernor's office in Annapolis, these	
are only back up files.		•
	•	
Note: Use a separate inventory sheet for	each Record Series)	
5. Present Volume on Hand (No. of file drawers) 3/4	7. Audit higuirements	
6. Estimated Accumulation (Yearly) 1/8	State [] Federal [] Internal [Independent External []	ב ד
8. Estimated Activity por File Drawer: (Activity	Childo- HIGH (used daily); MEDIUM	(once/tarice
Current Yoar (H) H L	LOW (less than once monthly).) does activity become LOW 2	
9. Could Record Series be stored in the State Records Center.	10. Recommended Rotention: Destroy after 8 years	
YES XXX KO X		
Egen;	•.	
11. Inventory prepared by (Frint Name)	Dr.to:	
Telsy bons Kumber:	Das	-F4-10 1/81

DEFAILMENT OF GENERAL SEAVIORS Records Management Division			
A GENCY RECORDS		Page No. 20f 24	
L. Department Executive Department	 Division State Ethics Commissions Unit 		
4. Record Series and Title: (Def. A group of remay be transferred or disposed of as		unit, and which	
22. Personnel Files	- 		
Description: (Give a brief description of a t form name(s) and number(s).		ourpose, and	
File includes all materials related	to current and former employees		
of State Ethics Commission.		:	
		. 1	
· ·		•	
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	•		
	•	,	
· .			
Oloto: Use a separate inventory sheet for	each Record Serles)		
5. Present Volume on Hand (No. of file drawers)	7. Audit hequirements		
6. Estimated Accumulation (Yearly)	Foderal [] Internal	7	
1/10	Foderal [] Internal [] IndependentExternal []		
8. Estimated Activity por File Drawer: (Activity	Ouido- HIGH (used daily); MEDIUM LOW (less than once monthly).)	(once/twice	
Dirment Young U (M) T	does activity become LOWN/A	as to current 	
9. Could Record Series be stored in the State Records Center.	10. Recommended Rotention:		
YES AT KO	File to be permanently retaine	d	
braun;	•.		
11. Inventory prepared by	Data:		
(Print Name)	**************************************	n of a state of the state of th	
Telephone Kusber:	Das-	F4-10 1/61	

Records Management Division		
A GENCY RECORDS	DIVENTORY Page No. _23 of _24	
1. Department	2. Division	
Executive Department	State Ethics Commission 3. Unit	
4. Record Series and Title: (Def. A group of records filed as a unit, used as a unit, and which may be transferred or disposed of as a unit.)		
23. Job Applicants		
Description: (Give a brief description of a t form name(s) and number(s).		
File includes records regarding job applicants who were not hired		
by the State Ethics Commission and related correspondence.		
	,,,,	
	- - -	
	• · · ·	
	· ·	
5. Present Volume on Hand (No. of file drawers)	Audit Aquirements	
6. Estimated Accumulation (Yearly)	State [xx] Federal [] Internal [] Independent External []	
8. Estimated Activity por File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly).) Current Year (H) H L		
After 1. Ir, H H L After what year doss activity become LOW 1		
9. Could Record Series be stored in the State Records Center. YES XXX NO XX7	10. Recommended Rotention: Recommend that records be destroyed after retaining for 5 years	
then;	•.	
11. Inventory prepared by (Print Name)	Dr.te:	
Telsphono Kusbor:	DOS-K4-10 1/81	

Records Management Division			
AGENCY RECORDS	DIVENTOIC	Page No. _24 of 24	
1. Department	2. Division		
Executive Department	3. Unit State Ethics Commission		
4. Record Series and Title: (Def. A group of records filed as a unit, used as a unit, and which may be transferred or disposed of as a unit.)			
24. Advisory Opinions		······································	
Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).			
File includes a folder for each advisory opinion request, correspondence,			
research information and actual opinions.			
r A A A A A		•	
	• •		
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	-		
(Note: Use a separate inventory sheet for each Becor' Series) 5. Present Volume on Hand (No. of file drawers) 7. Audit hequirements			
6. Estimated Accumulation (Yearly)	State II Internal IX	Ŕ	
B. Fritingtod Activity and The Device Activity	Independent		
8. Estimated Activity por File Drawer: (Activity Ouido- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly).) Current Year (H) H L After 1. Yr, H (H) L After what year doss activity become LOW 3			
9. Could Record Series be stored in the State	10. Recommended Rotention;		
Records Center. YES / NO /XX7	Permanent retention is the c although destruction after 20 y being considered.		
ban;			
11. Inventory prepared by (Print Name)	Date:		
Telephono Kumbor:	Das-	-54-10 1/61	