

DEPARTMENT OF GENERAL SERVICES  
Records Management Division

RECORDS RETENTION AND DISPOSAL SCHEDULE

State Ethics Commission

AGENCY

DIVISION

Item No.	Description	Retention
1.	<p><u>Board and Commission Departmental Files</u> Includes correspondence between the Ethics Commission and various State Cabinet Departments regarding Ethics Law coverage of boards and commissions in that department</p>	<p>Retain for life of board or commission and eight (8) years thereafter, then destroy</p>
2.	<p><u>Board and Commission General Information</u> Includes copies of general information materials sent to all boards and commissions. Generally these relate to financial disclosure requirements and exemptions</p>	<p>Retain for life of board or commission and eight (8) years thereafter, then destroy</p>
3.	<p><u>Independent Board and Commission Files</u> Files cover all boards and commissions not within a particular Department. Generally materials relate to coverage, exemptions and financial disclosure</p>	<p>Retain for life of board or commission and eight (8) years thereafter, then destroy</p>
4.	<p><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</p>	<p>Retain minutes permanently. One copy of other materials may be for twelve (12) years, then destroyed if no longer useful</p>
5.	<p><u>Agency Financial Disclosure Correspondence</u> Includes information on each agency and jobs that require financial disclosure. Most of the file relates to additions and deletions in the financial disclosure filing list</p>	<p>Permanent retention.</p>

Schedule Approved by Department,  
Agency, or Division Representative

Schedule Authorized by

1/14/87

Date



Signature

Executive  
Director

Title

2/10/87

Date



State Archivist

RECORDS RETENTION AND DISPOSAL SCHEDULE  
(CONTINUATION SHEET)

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

**RECORDS RETENTION AND DISPOSAL SCHEDULE**  
(CONTINUATION SHEET)

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Item No.	Description	Retention
13.	<p><u>General Administration</u> Includes miscellaneous reports, guidelines from other agencies and regulations related material. Some general correspondence is also included</p>	<p>Retain in office for seven (7) years. Transfer to Records Center for five (5) years, then destroy</p>
14.	<p><u>Ethics Financial Disclosure Reports</u> Included are personal financial disclosure forms and other related personal disclosure forms. also included is related correspondence</p>	<p>Retain until seven (7) years after a filer is no longer active, then destroy, except Governor, Lt. Governor, Treasurer, Attorney General, Comptroller, Secretary of State, Department secretaries, and members of the General Assembly reports which are retained permanently.</p>
15.	<p><u>Lobbying Activity Reports and Registration Forms</u> Included are lobbyist registration forms, activity reports and related correspondence</p>	<p>Retain in office until seven (7) years after a lobbyist becomes inactive for an employer. Then transfer to Records Center to be retained for five (5) years, then destroy</p>
16.	<p><u>Complaint Files</u> Included are formal legal complaint documents and related investigative reports, cure agreements, settlements, findings at hearings and related correspondence</p>	<p>Retain permanently</p>
17.	<p><u>Preliminary Inquiry Matters</u> Included are items pertaining to preliminary investigations and related Commission decisions</p>	<p>Retain for fifteen (15) years and screen for on-going value and if not of value, then destroy</p>

**RECORDS RETENTION AND DISPOSAL SCHEDULE**  
(CONTINUATION SHEET)

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Item No	Description	Retention
18.	<p><u>Potential Conflict of Interest Matters</u> Included is information brought to Commission's attention that might suggest a violation of the Public Ethics Law. File contains information about the situation and any Commission determination</p>	<p>Retain for fifteen (15) years and screen for ongoing value and if not of value, then destroy</p>
19.	<p><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 partial back up file to the actual file maintained in the Governor's administrative office</p>	<p>Retain three (3) years, then destroy</p>
20.	<p><u>Expense Account Files</u> Includes extra copies of expense accounts that have been forwarded to the Governor's Annapolis office for payment</p>	<p>Retain five (5) years, then destroy</p>
21.	<p><u>Budget Files</u> 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</p>	<p>Retain eight (8) years, then destroy</p>
22.	<p><u>Personnel Files</u> Includes materials related to current for former employees of the Commission</p>	<p>Retain fifteen (15) years after termination of employment, then destroy</p>
23.	<p><u>Job Applicants</u> Includes resumes and correspondence regarding unsuccessful applicants for various jobs at the Commission</p>	<p>Retain four (4) years, then destroy</p>
24.	<p><u>Advisory Opinions</u> Included are requests, correspondence, research and written opinions</p>	<p>Retain permanently</p>

AGENCY RECORDS INVENTORY

*for ser. 1084 revised 1-21-87*

<p>1. Department Executive Department</p>	<p>2. Division State Ethics Commission</p> <p>3. Unit</p>
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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.)

1. Board & Commission Departmental Files

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

Folders are organized by Department and include correspondence between Ethics Commission, individual commissions and the Department regarding coverage of Ethics Law. File is used to determine the current legal status of each board and to determine the history of that status.

(Note: Use a separate inventory sheet for each Record Series)

<p>5. Present Volume on Hand (No. of file drawers) <u>2</u></p>	<p>7. Audit Requirements State <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Independent <input type="checkbox"/> Internal <input type="checkbox"/> External <input type="checkbox"/></p>
<p>6. Estimated Accumulation (Yearly) <u>1/8</u></p>	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly).)

Current Year H  L  
After 1. Yr, H  L      After what year does activity become LOW N/A

<p>9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/></p> <p>When: _____</p>	<p>10. Recommended Retention: Records should be retained by Ethics Commission Records of Boards or Commissions that are abolished should be destroyed 8 years after that abolishment.</p>
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Numbers: \_\_\_\_\_

AGENCY RECORDS INVENTORY

<p>1. Department Executive Department</p>	<p>2. Division State Ethics Commission</p> <p>3. Unit</p>
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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.)

2. Board & Commission.- General Information

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

This group of files includes general operational materials sent all boards and commissions, departments and individual agencies regarding the process of filing financial disclosure by board & commission members, as well as the requirements for requesting an exemption from the Public Ethics Law. The series also includes materials relating to the drafting and adoption of board and commission financial disclosure regulations.

(Note: Use a separate inventory sheet for each Record Series)

<p>5. Present Volume on Hand (No. of file drawers) <u>1</u></p> <p>6. Estimated Accumulation (Yearly) <u>1/5</u></p>	<p>7. Audit Requirements State <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/></p>
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8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year H  L  
After 1. Yr, H  L      After what year does activity become LOW N/A

<p>9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/></p> <p>When: _____</p>	<p>10. Recommended Retention: This is a general historical reference file currently planned for permanent retention.</p>
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department  Executive Department	2. Division State Ethics Commission  3. Unit
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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.)

3. Board & Commission-Independent Boards Files

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

This series includes a file for each independent board or commission, not within a specific department. Each file contains documents & materials that note their status as public officials under the Law, their disclosure status (whether they have to file or are exempt) and any other correspondence dealing with their legal status.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>1</u>	7. Audit Requirements State <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/8</u>	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year H  L  
 After 1. Yr, H  L      After what year does activity become LOW N/A

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>  When: _____	10. Recommended Retention: Records should be retained by the State Ethics Commission. Records of Boards or Commissions that are abolished should be destroyed 8 years after that abolishment.
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
 (Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

<p>1. Department Executive Department</p>	<p>2. Division State Ethics Commission</p> <p>3. Unit</p>
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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.)

4. Meeting Minutes - 1979 to Present

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

Folders are organized by meetings. Meetings are generally held on a monthly basis. A typical folder includes a copy of all documents included in mailout materials in preparation of the meeting, as well as any issues raised during the meeting. Minutes are also included.

(Note: Use a separate inventory sheet for each Record Series)

<p>5. Present Volume on Hand (No. of file drawers) <u>4</u></p>	<p>7. Audit Requirements State <input checked="" type="checkbox"/>  Federal <input type="checkbox"/> Internal <input type="checkbox"/>  Independent <input type="checkbox"/> External <input type="checkbox"/></p>
<p>6. Estimated Accumulation (Yearly) <u>1/3</u></p>	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year H  L  
After 1. Yr, H  L      After what year does activity become LOW 5th year

<p>9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/></p> <p>When: _____</p>	<p>10. Recommended Retention: It is recommended that materials from a particular year be retained for 12 years with the exception of the minutes themselves which would be retained permanently.</p>
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_



AGENCY RECORDS INVENTORY

<p>1. Department Executive Department</p>	<p>2. Division State Ethics Commission</p> <p>3. Unit</p>
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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.)

5. All departments and agencies required to file financial disclosure

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

There is a folder for each department 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 financial disclosure (additions and deletions requests), correspondence to Department of Personnel regarding the status of the agency's list of filers.

(Note: Use a separate inventory sheet for each Record Series)

<p>5. Present Volume on Hand (No. of file drawers) <u>3</u></p> <p>6. Estimated Accumulation (Yearly) <u>1/2</u></p>	<p>7. Audit Requirements State <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/></p>
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8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year  H  L  
After 1. Yr.  H  L      After what year does activity become LOW N/A

<p>9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/></p> <p>When: _____</p>	<p>10. Recommended Retention: The financial disclosure system is based on the status of a particular job that the person holds. If the status is challenged the job records would be used. There is no plan to transfer or destroy these records.</p>
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division State Ethics Commission 3. Unit
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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.)

6. General financial disclosure correspondence

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

These folders contain all agency financial disclosure correspondence for a calendar year. Most of this information is cross-referenced and found in other files also.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) 1 6. Estimated Accumulation (Yearly) 1/3	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
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8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year  H  L  
 After 1. Yr,  H  L      After what year does activity become LOW 2

9. Could Record Series be stored in the State Records Center. YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> When: _____	10. Recommended Retention: Seven years
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
 (Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

7. Financial Disclosure general development files

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

These are a set of general files pertaining to financial disclosure forms development files, materials relating to managerial personnel, the new law implementation of 1981 and general legal interpretation are included in this group.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>1/2</u>	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/10</u>	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year H  L  
After 1. Yr, H M  After what year does activity become LOW 1

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>	10. Recommended Retention: Permanent retention
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division State Ethics Commission	3. Unit
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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.)

8. Conflicts of Interest Title 3

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

There is a folder for each conflict of interest provision of the law. Any correspondence or issues raised related to these specific conflict provisions are placed in these files. The file is primarily used to maintain informal commission ethics law interpretation. Generally, these consist of letters to agencies or individuals providing guidance. They are used for individual reference or for precedents in other requests.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) 1	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Independent <input type="checkbox"/>	Internal <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) 1/8		

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year H  L  
After 1. Yr, H  L After what year does activity become LOW N/A

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>	10. Recommended Retention: Should always be retained for reference
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When: \_\_\_\_\_

11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division State Ethics Commission 3. Unit
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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.)

9. Legislative files

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

These files involve ethics legislation. There is a file for each session of the General Assembly (1979 - Present). All bills, fiscal notes, correspondence and legislation pertaining to the Public Ethics Laws are included in these files. Files are used to look at new legislation and would be relevant in court matters where legislative history is at issue.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>1</u> 6. Estimated Accumulation (Yearly) <u>1/8</u>	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
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8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year  H  L  
 After 1. Yr, H  L After what year does activity become LOW 3 years

9. Could Record Series be stored in the State Records Center. YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> When: _____	10. Recommended Retention: Retain for 10 years and transfer to hall of records for an additional 10 years then destroy
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
 (Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

10. Ethics materials from other States

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

There is a file for each jurisdiction that interacts with the Ethics Commission. This includes information from various states and the Council of Governmental Ethics. All pertinent information is retained in these files.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>3/4</u>	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/10</u>	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly).)

Current Year H  L  
After 1. Yr, H  L      After what year does activity become LOW N/A

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>	10. Recommended Retention: Old laws and materials are discarded as new or revised materials come in.
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When: \_\_\_\_\_

11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

11. Local Government -- General Information

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

These are general background files relating to the implementation of the local government portion of the Public Ethics Law and the commission requirements for local ethics provisions. The regulations and model laws are included as well as local ethics opinions.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>1</u>	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Independent <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/10</u>	Internal <input type="checkbox"/> External <input type="checkbox"/>

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly).)

Current Year  H  M  L  
After 1. Yr,  H  M  L      After what year does activity become LOW 5

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>	10. Recommended Retention: No current plan to destroy or transfer
When: _____	

11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

12. Local Government Ethics Laws

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

There is a file for each of the 24 counties including their school boards and 156 municipalities. All correspondence and local laws are placed in these files. Major components include request for exemptions, approval of law or regulations and various review documents.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>3</u>	7. Audit Requirements State <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Independent <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/10</u>	Internal <input type="checkbox"/> External <input type="checkbox"/>

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly).)

Current Year H  L   
After 1. Yr, H  L  After what year does activity become LOW N/A

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>	10. Recommended Retention: Legal status of local government is ongoing and subject to continued review. Files would be retained permanently.
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_



AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

13. General Administration

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

This is a group of files that relate to the overall general administration of the Public Ethics Law. Things that are included in this group are miscellaneous reports, guidelines from other agencies and regulations.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) 2	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) 1/10	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year  H  M  L  
After 1. Yr,  H  M  L After what year does activity become LOW 3

9. Could Record Series be stored in the State Records Center. YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> When: _____	10. Recommended Retention: Retain for 10 years, transfer to state records center for 5 years then destroy
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

<p>1. Department Executive Department</p>	<p>2. Division State Ethics Commission</p> <p>3. Unit</p>
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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.)

14. Ethics Financial Disclosure Reports

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

These files contain folders with the personal financial disclosure information of all officials and candidates required to file. The folders include various types of disclosure forms and related correspondence. These records are public information but require viewers to sign a special log.

(Note: Use a separate inventory sheet for each Record Series)

<p>5. Present Volume on Hand (No. of file drawers) 60</p> <p>6. Estimated Accumulation (Yearly) 6</p>	<p>7. Audit Requirements</p> <p>State <input type="checkbox"/></p> <p>Federal <input type="checkbox"/> Internal <input checked="" type="checkbox"/></p> <p>Independent <input type="checkbox"/> External <input type="checkbox"/></p>
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8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly).)

Current Year  H  M  L

After 1. Yr.  H  M  L After what year does activity become LOW N/A

<p>9. Could Record Series be stored in the State Records Center.</p> <p>YES <input type="checkbox"/> NO <input checked="" type="checkbox"/></p> <p>When: _____</p>	<p>10. Recommended Retention: Files will be destroyed 7 years after a filer is no longer active in the system. The forms of the Governor, Lt. Governor, Treasurer, Attorney General, Speaker of the House and President of the Senate will be permanently retained for historical research purposes</p>
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

15. Lobbying Activity Reports and Registration Forms

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

The files include lobbyist registration forms, activity reports and related correspondence or documents. There is an extra copy of certain documents maintained centrally which would become a permanent record - not to be destroyed.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) 13	7. Audit Requirements State <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Independent <input type="checkbox"/>
6. Estimated Accumulation (Yearly) 1	Internal <input checked="" type="checkbox"/> External <input type="checkbox"/>

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year  H  M  L  
After 1. Yr.  H  M  L      After what year does activity become LOW client become inactive only if lobbyist and client become inactive

9. Could Record Series be stored in the State Records Center. YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> When: <u>Lobbyist becomes clearly inactive</u>	10. Recommended Retention: Transfer to State Records Center when lobbyist has been inactive for 7 years. It could retain them for 5 years then destroy
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

16. Complaint Files

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

File contains formal legal complaints issued by the Commission.  
Also included are investigative reports, cure agreements, settlement agreements, findings at hearings and other related documents or correspondence.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) 10	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input checked="" type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) -1	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year  H  M  L  
After 1. Yr,  H  M  L After what year does activity become LOW 3

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/>	10. Recommended Retention: The Commission has not determined at what point these records should be destroyed (if ever)
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)  
17. Preliminary Inquiry Matters

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

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 investigative memos and the documentation containing any Commission decision.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>4</u>	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input checked="" type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/2</u>	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )  
Current Year  H  M  L  
After 1. Yr,  H  M  L After what year does activity become LOW 3

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> When: _____	10. Recommended Retention: The Commission has not determined at what point these records should be destroyed (if ever)
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

18. Potential Conflict of Interest Matters

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

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 memos and the documentation containing any Commission decision.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>1</u>	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Independent <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/7</u>	Internal <input checked="" type="checkbox"/> External <input type="checkbox"/>

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year  H  M  L  
After 1. Yr.  H  M  L      After what year does activity become LOW 3

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> When: _____	10. Recommended Retention: The Commission has not determined at what point these records should be destroyed (if ever)
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division State Ethics Commission	3. Unit
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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.)

19. Bills Received and Authorized for Payment

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

The file contains copies of some but not all of the bills authorized for payment by the Commission. There are copies of bills that are processed by the Governors office in Annapolis.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) 1/2	7. Audit Requirements State <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Independent <input type="checkbox"/>	Internal <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) 1/6		

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly).)

Current Year  H  M  L  
After 1. Yr, H  M  L After what year does activity become LOW 1

9. Could Record Series be stored in the State Records Center. YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> When: _____	10. Recommended Retention: Destroy after retaining for 3 years
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

20. Expense Account Files

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

This file contains expense account records for each employee or former employee of the State Ethics Commission. This is a back up file to the original files that are retained in the Governor's Office in Annapolis.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>1/2</u>	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/10</u>	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year H  L   
After 1. Yr, H  M  After what year does activity become LOW 1

9. Could Record Series be stored in the State Records Center. YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> When: _____	10. Recommended Retention: These records would be destroyed after 5 years
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_



AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division 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.)

21. Budget Files

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

File contains material related to the budget for each fiscal year.  
Includes copy of budget and related correspondence. Since the Commission's finances are actually handled by the Governor'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) <u>3/4</u>	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/8</u>	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )  
Current Year  H  M  L  
After 1. Yr, H  M  L After what year does activity become LOW 2

9. Could Record Series be stored in the State Records Center. YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> When: _____	10. Recommended Retention: Destroy after 8 years
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division State Ethics Commissions
	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.)  
22. Personnel Files

Description: (Give a brief description of a typical folder; include content, purpose, and form name(s) and number(s).)

File includes all materials related to current and former employees of State Ethics Commission.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>2/3</u>	7. Audit Requirements State <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Internal <input type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/10</u>	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )  
Current Year H  L  
After 1. Yr, H  L After what year does activity become LOW N/A as to current employees

9. Could Record Series be stored in the State Records Center. YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> When: _____	10. Recommended Retention: File to be permanently retained
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

DEPARTMENT OF GENERAL SERVICES  
Records Management Division

AGENCY RECORDS INVENTORY

Page No.  
23 of 24

1. Department Executive Department	2. Division 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 typical folder; include content, purpose, and form name(s) and number(s).)

File includes records regarding job applicants who were not hired by the State Ethics Commission and related correspondence.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) <u>1</u>	7. Audit Requirements State <input checked="" type="checkbox"/> Federal <input type="checkbox"/> Independent <input type="checkbox"/>
6. Estimated Accumulation (Yearly) <u>1/10</u>	Internal <input type="checkbox"/> External <input type="checkbox"/>

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )  
Current Year  H  M  L  
After 1. Yr, H  M  L After what year does activity become LOW 1

9. Could Record Series be stored in the State Records Center. YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> When: _____	10. Recommended Retention: Recommend that records be destroyed after retaining for 5 years
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_

AGENCY RECORDS INVENTORY

1. Department Executive Department	2. Division State Ethics Commission 3. Unit
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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.

(Note: Use a separate inventory sheet for each Record Series)

5. Present Volume on Hand (No. of file drawers) 3-1/2	7. Audit Requirements State <input type="checkbox"/> Federal <input type="checkbox"/> Internal <input checked="" type="checkbox"/> Independent <input type="checkbox"/> External <input type="checkbox"/>
6. Estimated Accumulation (Yearly) 1/2	

8. Estimated Activity per File Drawer: (Activity Guide- HIGH (used daily); MEDIUM (once/twice monthly); LOW (less than once monthly). )

Current Year  H  L  
After 1. Yr, H  L After what year does activity become LOW 3

9. Could Record Series be stored in the State Records Center. YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> When: _____	10. Recommended Retention: Permanent retention is the current plan although destruction after 20 years is being considered.
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11. Inventory prepared by \_\_\_\_\_ Date: \_\_\_\_\_  
(Print Name)

Telephone Number: \_\_\_\_\_