

**MARYLAND STATE LOTTERY AGENCY**

Records Retention Schedule No. 2166

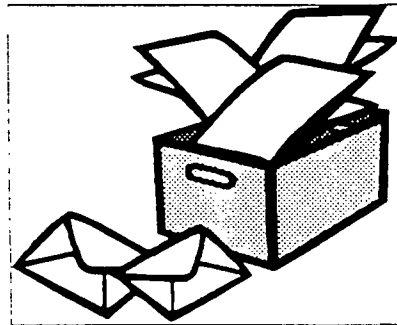
June, 04, 2001

# MARYLAND STATE LOTTERY AGENCY

Records Retention Schedule No. 2166

## TABLE OF CONTENTS

|  |     |
|--|-----|
| Commission .....                           | 1.  |
| Executive Office .....                     | 3.  |
| Attorney General Office .....              | 4.  |
| Personnel Office .....                     | 5.  |
| Executive Procurement .....                | 6.  |
| Executive MBE .....                        | 7.  |
| Security Division .....                    | 8.  |
| Administration, Finance & Operations ..... | 9.  |
| I.T. Computer Division .....               | 23. |
| Public Affairs Division .....              | 26. |
| Sales Division .....                       | 27. |
| Marketing Division .....                   | 28. |



| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE  |  | Schedule No. 2166  |
|---|--|--|
|   |  | Page 1 of 28   |
| Agency<br>Maryland State Lottery Agency   |  | Division / Unit<br>Commission  |
| Item No.  | Description  | Retention  |
| 001.  | <u>Commission</u><br><br>Chronological arrangement of the transcripts of State Lottery Commission meetings which document official acts with respect to policy, administration, planning, and progress of the Lottery Agency. Auditors reports by Independent Public Accountants of financial reports and statements of the Lottery operations.  | Retain Commission's copies permanently for eventual transfer to the Maryland State Archives.   |
| 002.  | <u>Administrative Subject Files</u><br><br>Subject arrangement of original incoming, copies of outgoing letters, memoranda, and other material related to the functions of the State Lottery Agency. Commission Files may also contain monthly reports, information concerning members trips and expense reports to State and Federal Governments, employment applications and information on Lottery game drawings. | Destroy materials no longer needed for current business. Retain permanently directives and other material relating to planning and policy that illustrate the development of the agency. Transfer periodically to the Maryland State Archives. |
| 003.  | <u>Appeals Case Files</u><br><br>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.  | Retain for two ( 2 ) years, then destroy.  |
| Schedule Approved by Department Agency or Division Representative<br><br>Date <u>12/10/01</u><br>Signature <u><i>B. Rocca</i></u><br>Typed Name <u>Brenda Rocca</u><br>Title <u>Director MSLA</u> |  | Schedule Authorized by State Archivist<br><br>Date <u>JAN 30 2002</u><br>Signature <u><i>Edward C. Pappas</i></u>  |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166<br><br>Page 2 of 28              |
|--|--|--|
| Agency<br>Maryland State Lottery Agency  |  | Division / Unit<br>Commission                      |
| Item No.   | Description  | Retention  |
| 004.   | <u>Audio Tapes</u><br><br>Commission Meetings and Appeals Hearings are taped to be transcribed if requested. | Retain for a period of ( 25 ) years, then destroy. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166<br>Page 3 of 28  |
|--|---|--|
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Executive   |
| Item No.   | Description   | Retention  |
| 005.   | <u>Director's General Correspondence</u><br>Subject arrangement of original incoming copies of outgoing letters, memoranda and other material relating to the Maryland State Lottery Agency.  | 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 Maryland State Archives.                                    |
| 006.   | <u>Director's Reports</u><br>Copies of consolidated reports sent to the Lottery Commission for disposition. The reports may include; departmental progress reports, unobligated prize fund reports, bank reconciliation's, monthly financial statements, reimbursement requests and agent applications.   | Retain for three ( 3 ) years, then destroy. Permanent reports retained by the Lottery Commission.  |
| 007.   | <u>General Correspondence and Administrative Files</u><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports; studies, surveys, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 State Lottery Agency. Transfer to the Maryland State Archives. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166   |
|--|---|---|
|  |   | Page 4 of 28  |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Attn: General : Legal  |
| Item No.   | Description   | Retention   |
| 008.   | <u>Agent Licensing Files</u><br>Alphabetical arrangement of files on Agents involving revocations and denials of license and appeal hearings.   | Retain for ( 6 ) years, then destroy.   |
| 009.   | <u>Procurement Files</u><br>Alphabetical arrangement of RFP's, IFB's and copies of vendor contracts, bid protests and related procurement issues.   | Retain for ( 3 ) years, then screen to eliminate matters no longer needed for current business, then destroy.   |
| 010.   | <u>Public Inquires and Requests for Assistance</u><br>Alphabetical arrangement of files containing requests from Citizens for Lottery information, requests and subpoenas from Governmental Agencies, IRS, and States Attorney's Office and from the General Public.  | Retain for three ( 3 ) years, then screen annually to determine material to be destroy.   |
| 011.   | <u>Closed Litigation Files</u><br>Alphabetical arrangement of files from litigation matters of a general variety, including Divorce Actions, Garnishments, Declaratory Judgements.  | Retain for ( 12 ) years, then destroy.  |
| 012.   | <u>General Correspondence and Administrative Files</u><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 State Lottery Agency. Transfer periodically to the Maryland State Archives. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166   |
|--|---|---|
|  |   | Page 5 of 28  |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Personnel  |
| Item No.   | Description   | Retention   |
| 013.   | <u>Personnel Files</u><br>Consisting of case files arranged alphabetically which contain employment applications, probation reports, annual efficiency reports, letters of commendation, reprimands, disciplinary suspension forms, and other documents pertaining to the employee.   | Retain for ten ( 10 ) years after termination, then destroy. No storage required.   |
| 014.   | <u>Personnel Record Cards</u><br>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. No storage required.   |
| 015.   | <u>Employee Leave Records ( Computerized )</u><br>Consisting of computer generated printouts of each employee's leave ( earned, used, borrowed, lost and balances ).  | Retain for three ( 3 ) years then forward to storage. Retain in storage for five ( 5 ) years, then destroy.   |
| 016.   | <u>General Correspondence and Administrative Files</u><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 State Lottery Agency. Transfer periodically to Maryland State Archives. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166   |
|--|---|---|
|  |   | Page 6 of 28  |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Executive Procurement  |
| Item No.   | Description   | Retention   |
| 017.   | <u>Procurement Files</u><br>Alphabetically arrangement of original RFP's, IFB's, and copies of contracts exceeding value greater than ( \$ 25,000.00 ). This includes all related procurement documents and related issues.   | Retain for ten ( 10 ) years after expiration of contract, then destroy.   |
| 018.   | <u>General Correspondence and Administrative Files</u><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 State Lottery Agency. Transfer periodically to Maryland State Archives. |



| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166   |
|--|--|---|
|  |  | Page 7 of 28  |
| Agency<br>Maryland State Lottery Agency  |  | Division / Unit<br>Executive ( M.B.E. )   |
| Item No.   | Description  | Retention   |
| 019.   | <p><u>Minority Business Enterprise</u></p> <p>Beginning with FY 94, chronological arrangement of vendor minority business enterprise expenditures.<br/> <u>Trahan, Burden &amp; Charles</u><br/> <u>Eisner Communications</u></p> <p>MBE Quarterly Report</p>  | Retain for three ( 3 ) years after contract expiration then destroy. No storage required.   |
| 020.   | <p><u>Vendor Quarterly Reports</u></p> <p>Beginning with FY 94, chronological arrangement of vendor 's minority business enterprise expenditures. Also includes RFP's, responses, and correspondence between the Lottery and the Vendor concerning MBE requirements.</p>   | Retain for three ( 3 ) years after contract expiration then destroy. No storage required.   |
| 021.   | <p><u>Minority Business Enterprise Fiscal Reports</u></p> <p>Chronological arrangement of final FY MBE report, including supporting documentation.</p>   | Retain for five ( 5 ) years, then destroy.  |
| 022.   | <p><u>General Correspondence and Administrative Files</u></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency.</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 State Lottery Agency. Transfer periodically to the Maryland State Archives. |

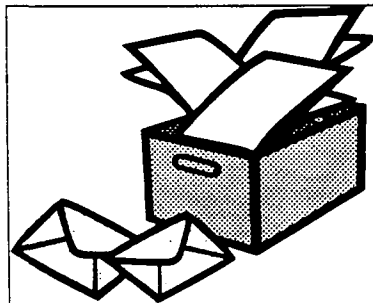
| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166  |
|--|--|--|
|  |  | Page 8 of 28   |
| Agency<br>Maryland State Lottery Agency  |  | Division / Unit<br>Security  |
| Item No.   | Description  | Retention  |
| 023.   | <p><u>Investigation Files</u></p> <p><u>Examples:</u></p> <p>Claim / Unsold Ticket Investigations,<br/>Altered Ticket Investigations,<br/>Stolen Ticket Investigations,<br/>Lost Ticket Investigations,<br/>Previously Cashed Tickets,<br/>Fraud and Attempted Fraud,<br/>Internal Theft, Misconduct.</p>  | Retain for one ( 1 ) year, then destroy. Retain cases resulting in litigation one ( 1 ) year after litigation is concluded, then then destroy. No record storage required.   |
| 024.   | <p><u>Threat Files</u></p> <p>These files contain documentation of bomb threats and written threats against the Lottery, personnel, agents, and TV media personnel associated with the drawings.</p>   | Retain for three ( 3 ) years from date of receipt, then destroy. No storage required.  |
| 025.   | <p><u>General Correspondence and Administrative Files</u></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency.</p> | Screen annually. Destroy that material no longer needed for current business. Retain permanently directives and other material relating to planning and development of the State Lottery Agency. Transfer periodically to Maryland State Archives. |

# MARYLAND STATE LOTTERY AGENCY

## Records Retention Schedule

### Administration, Finance and Operations

|                                 |     |
|---------------------------------|-----|
| Administrative Office -----     | 9.  |
| Internal Audit Division -----   | 10. |
| Procurement Division -----      | 11. |
| General Accounting -----        | 12. |
| Finance Division -----          | 14. |
| Payroll Division -----          | 15. |
| Customer Resources Center ----- | 16. |
| Subscription Division -----     | 18. |
| Fleet Administration -----      | 19. |
| Facility Management -----       | 20. |
| Support Services -----          | 21. |



| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166   |
|--|--|---|
|  |  | Page 9 of 28  |
| Agency<br>Maryland State Lottery Agency  |  | Division / Unit<br>AFO<br>Administration (Exec)   |
| Item No.   | Description  | Retention   |
| 026.   | <b><u>Contract Files</u></b><br><br>Subject arrangement of all original contracts entered into by the Maryland State Lottery Agency.   | Retain for three ( 3 ) years after contract termination date. Then destroy. No storage required.  |
| 027.   | <b><u>Bond - Insurance Policy Files</u></b><br><br>Alphabetical arrangement of all files which contain insurance policies for bonds posted by companies and agents as required by the Maryland State Lottery.  | Retain for three ( 3 ) years after Securities terminate under requirements by ( NASD ). No storage required, then destroy.  |
| 028.   | <b><u>Budget Estimates and Reports</u></b><br><br>These documents reflect the Lottery Agency's projected estimates of the budgetary requirements.  | Retain final document for five ( 5 ) years, then destroy. Retain working papers until budget is approved, then destroy.   |
| 029.   | <b><u>Executive Plan</u></b><br><br>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 final document for five ( 5 ) years, then destroy. Retain working papers until budget is approved, then destroy.   |
| 030.   | <b><u>General Correspondence and Administrative Files</u></b><br><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 State Lottery Agency. Transfer periodically to the Maryland State Archives. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166   |
|--|---|---|
|  |   | Page 10 of 28   |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Internal Audit ( AFO )   |
| Item No.   | Description   | Retention   |
| 031.   | <u>Internal Audits</u><br>Audit working papers numerically arranged by audit ID.# and fiscal year. Contains detailed plan of audit and its observations.  | Retain for seven ( 7 ) years, then destroy.   |
| 032.   | <u>FMIS Security Records</u><br>Alphabetical arrangement by User name. The documents authorized user access to the financial management information system.   | Retain for three ( 3 ) years, after termination, then destroy.  |
| 033.   | <u>General Correspondence and Administrative Files</u><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 State Lottery Agency. Transfer periodically to the Maryland State Archives. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166<br>Page 11 of 28                                       |
|--|--|--|
| Agency<br>Maryland State Lottery Agency  |  | Division / Unit<br>Procurement ( AFO )                                   |
| Item No.   | Description  | Retention  |
| 034.   | <u>Purchasing Records</u><br><br>F.M.I.S Accounts (FMIS - 3 )<br>Purchasing Credit Card Information<br>Manual Purchase Orders. | Retain for three ( 3 ) fiscal years,<br>or until audit, then destroy.    |
| 035.   | <u>General Correspondence and Administrative Files</u><br><br>Internal correspondence relating to policies and procedures.     | Screen annually. Destroy material no longer needed for current business. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166  |
|--|---|--|
|  |   | Page 12 of 28  |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>AFO<br>General Accounting                                   |
| Item No.   | Description   | Retention  |
| 036.   | <u>Miscellaneous Accounting Records</u>   |  |
| A.   | Certificate of Deposit and Bank Deposit Slips<br>Disbursement Transmittals<br>Month End Summary STARS Records<br>Memorandums of Adjustments<br>Accounts Receivable<br>Paid Bonds and Coupons<br>Bank Books and Statements<br>Periodic Financial Reports to Local / State Agencies<br>Periodic Financial Reports to Local / State Agencies | Retain for three ( 3 ) years, or until after audit.                            |
| B.   | Monthly Account Folders   | Retain for ten ( 10 ) years, then destroy.                                     |
| 037.   | <u>Special Accounting Records</u>   |  |
|  | <u>A. Daily Liabilities</u><br>Documents contain monthly summaries of daily game prize liability, sales data and amounts deposited in the Lottery from Lottery Agents.  | Retain for three ( 3 ) years, or until after audit.                            |
|  | <u>B. Audit Reports</u><br>Reports of Audits conducted by the Legislative State Auditors.   | Retain for seven ( 7 ) years, then destroy.                                    |
|  | <u>C. Books of Final Entry - General Ledgers</u>  | Retain for ( 20 ) years, Transfer periodically to the Maryland State Archives. |
| 038.   | <u>Computerized General Accounting Printouts</u><br><br>Daily Liabilities<br>Weekly Sales Summary<br>Sales Analysis Summary<br>Statement of Cash Balances ( A - 30405 )<br>Instant Sales Liabilities<br>Present Value Bonds   | Retain for three ( 3 ) years, or until after audit.                            |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166   |
|--|--|---|
|  |  | Page 13 of 28   |
| Agency<br>Maryland State Lottery Agency  |  | Division / Unit<br>AFO<br>General Accounting                                  |
| Item No.   | Description  | Retention   |
|  | <p><u>Continued</u></p> <p>Agent Bonus Payable<br/>Main Bank Summary<br/>Settlement Discrepancy<br/>Stripoffs ( 021-A, 021-S, 621-A )<br/>Financial Summary of Unclaimed Prizes ( 5244 )<br/>Reversions ( 020, 620 )<br/>Win Processor Outdated Winners Report<br/>Monthly Bank Fees ( 211-A )<br/>Quarterly Bank Fees ( 212-A )<br/>Subscription Ticket Financial Report ( 111-B )<br/>Equipment Inventory and Property<br/>Present Value of Annuities -<br/>( Mutual Benefit Life Insurance Co. )<br/>Subscription Commission Report</p> | Retain for three ( 3 ) years, or until after audit.                           |
| 039.   | <p><u>General Correspondence and Administrative Files</u></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency.</p>   | Screen annually. Destroy that material no longer needed for current business. |



| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166   |
|--|---|---|
|  |   | Page 14 of 28   |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Finance Division (AFO)   |
| Item No.   | Description   | Retention   |
| 040.   | <u>Withholdings Tax Forms and Statements</u><br><br>I.R.S. 945 / 1042 and related Federal Tax papers,<br>Local and State withholdings tax forms and statements.   | Retain for six ( 6 ) years, or<br>until they have been audited.<br>Then destroy.    |
| 041.   | <u>Credit Memorandums</u>   | Retain for five ( 5 ) years, or<br>until they have been audited.<br>Then destroy.   |
| 042.   | <u>Miscellaneous Accounting Records</u><br><br>Cancelled Checks, Check copies and Stubs<br>Paid Bills and Invoices<br>Receipt copies and Stubs<br>Receiving reports<br>Reconciliation and Trial balance sheets<br>Payoff Register   | Retain for five ( 5 ) years, or<br>until they have been audited.<br>Then destroy.   |
| 043.   | <u>General Correspondence and Administrative Files</u><br><br>Subject arrangement of original incoming letters,<br>copies of outgoing letters, memoranda, reports<br>studies, surveys, investigations, and legislative<br>reference material. directives and other miscellaneous<br>papers relating to the administration of the State<br>Lottery Agency. | Screen annually. Destroy that<br>material no longer needed for<br>current business. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166  |
|--|---|--|
|  |   | Page 15 of 28  |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Payroll ( AFO )   |
| Item No.   | Description   | Retention  |
| 044.   | <p><b><u>Payroll Accounting Records</u></b><br/>These Files Include:</p> <p>Payroll Check Register<br/>Payroll Exemption Time Reports<br/>Payroll Transmittals<br/>Payroll Warrants</p>   | Retain for three( 3 ) fiscal years, or until they have been audited. Then destroy. |
| 045.   | <p><b><u>Leave Slip Requests (SMF - 16 )</u></b></p> <p>Consisting of documents showing Leave Requested and Approved by each employee and manager.</p>  | Retain for three( 3 ) fiscal years, or until they have been audited. Then destroy. |
| 046.   | <p><b><u>BI - Weekly Time Reports</u></b></p> <p>BI - Weekly time reports arranged chronologically by week showing hours worked, name, classification and inclusive dates.</p>  | Retain for three( 3 ) fiscal years, or until they have been audited. Then destroy. |
| 047.   | <p><b><u>General Correspondence and Administrative Files</u></b></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency.</p> | Screen annually. Destroy that material no longer needed for current business.      |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166  |
|--|--|--|
|  |  | Page 16 of 28  |
| Agency<br>Maryland State Lottery Agency  |  | Division / Unit<br>AFO<br>Customer Resources                                 |
| Item No.   | Description  | Retention  |
| 048.   | <p><b><u>Annuity Files</u></b></p> <p>These documents are arranged alphabetically by name of winners and contain information such as: Name and Address of Winner, Date Won, Amount Won, and correspondence. Copies of W-2G forms will be retained separately for six ( 6 ) years after contract termination ( also see # 69 - W-2G Tax Form ).</p> | Retain file for one ( 1 ) year after contract termination, then destroy.     |
| 049.   | <p><b><u>Claim Forms</u></b></p> <p>Chronologically arranged, these documents show claims paid by the Lottery for winning tickets. This file contains forms for all games.</p>   | Retain for three ( 3 ) years, or until they have been audited. Then destroy. |
| 050.   | <p><b><u>W 2 - G Tax Forms</u></b></p> <p>Chronologically arranged, these documents show Name and Address, Social Security Number, Taxes of Winnings for each claim of all Lottery games.</p>  | Retain for two ( 6 ) years, or until they have been audited. Then destroy.   |
| 051.   | <p><b><u>Computerized Printouts / Weekly Reports</u></b></p> <p><b><u>Book - ( 1 )</u></b></p> <p>Financial Summary of Prize Claims<br/>Regular Run Payoff Register<br/>New Winner Strip - Off<br/>Big Game Payoff Register<br/>Big Game Strip Off</p>   | Retain for three ( 3 ) years, or until they have been audited. Then destroy. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166   |
|--|--|---|
|  |  | Page 17 of 28   |
| Agency   | Maryland State Lottery Agency  | Division / Unit<br>AFO<br>Customer Resources  |
| Item No.   | Description  | Retention   |
| 052.   | <p><b><u>Computer Report Printouts</u></b></p> <p>These computer generated reports are maintained chronologically by month and are continually run reports containing various claim data. Reconciliations for both claim centers, Adjustments and update Reports.<br/>Daily Liabilities, Purge Reports<br/>5 K Agent Reports</p>   | Retain for three ( 3 ) fiscal years, or until they have been audited. Then destroy. |
| 053.   | <p><b><u>Monthly Alpha - Listing - W2 - Forms</u></b></p> <p>A computer generated printout showing: monthly Claimants with winnings over \$600.00.</p>   | Retain for six ( 6 ) fiscal years, then destroy.                                    |
| 054.   | <p><b><u>General Correspondence and Administrative Files</u></b></p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency.</p> | Screen annually. Destroy that material no longer needed for current business.       |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166  |
|--|--|--|
|  |  | Page 18 of 28  |
| Agency<br><b>Maryland State Lottery Agency</b>   |  | Division / Unit<br>AFO<br>Subscription / C.S   |
| Item No.   | Description  | Retention  |
| 055.   | <b><u>Subscription Applications</u></b><br><br>These forms are maintained by Subscriber number and show name, address, and type of subscription plan requested by the subscriber.  | Retain applications for three ( 3 ) year, or until they have been audited. Then destroy. |
| 056.   | <b><u>Subscription Renewal Notices</u></b><br><br>These are returned notices asking for extension of subscription which contain the same information as original application.  | Retain applications for three ( 3 ) year, or until they have been audited. Then destroy. |
| 057.   | <b><u>Computerized Subscription Reports</u></b><br><br>These are weekly reports for Adds, Renewals, and changes or deletes.  | Retain applications for three ( 3 ) year, or until they have been audited. Then destroy. |
| 058.   | <b><u>General Correspondence and Administrative Files</u></b><br><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | Screen annually. Destroy that material no longer needed for current business.            |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166   |
|--|---|---|
|  |   | Page 19 of 28   |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>AFO<br>Fleet Administration  |
| Item No.   | Description   | Retention   |
| 059.   | <u>Motor Vehicle Titles</u><br>Files contain titles of State motor vehicles operated by Lottery agency personnel with authorized driving permits.   | Retain until final disposition of each vehicle, then forward with vehicle. No storage required, then destroy. |
| 060.   | <u>Maryland Fleet Performance Analysis</u><br>These computerized printouts are maintained chronologically by monthly and quarterly reports which show expenses, mileage, and depreciation for each car or van used by Maryland State Lottery employees.   | Retain for three ( 3 ) years, then destroy. No storage required.  |
| 061.   | <u>Vehicle Accident Files</u><br>Consisting of documents reporting all accidents involving State owned vehicles operated by Lottery agency employees, which may include Maryland Motor Vehicle Accident Report ( FR-30 ) and Motor Vehicle Accident Investigation Guide ( FS - 11 ).  | Retain until final disposition of each vehicle, then forward with vehicle. No storage required.               |
| 062.   | <u>Monthly Vehicle Logs</u><br>These are logs filled out by the drivers of State vehicles to include: mileage, gas, oil, repairs and maintenance.   | Retain for three ( 3 ) years, then destroy. No storage required.  |
| 063.   | <u>General Correspondence and Administrative Files</u><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | Screen annually. Destroy that material no longer needed for current business.                                 |

| <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANAGEMENT DIVISION</b><br><b>RECORDS RETENTION AND DISPOSAL SCHEDULE</b><br>( Continuation Sheet ) |   | Schedule No. 2166  |
|---|---|--|
|   |   | Page 20 of 28  |
| <b>Agency</b><br>Maryland State Lottery Agency  |   | <b>Division / Unit</b><br>Facility Adm.: ( AF0 )                                 |
| Item No.  | Description   | Retention  |
| 064.  | <u>Facility Maintenance</u><br><br>Contracts, floor plans and blueprints to include cost, and specifications of construction, repair, renewal, and replacement.   | Retain for three ( 3 ) years after contract expires, then destroy.               |
| 065.  | <u>Phone Contracts</u><br><br>MCI Phone Bills<br>Pagenet Bills<br>Cellular One Bills  | Retain copies for one ( 1 ) year, or until they have been audited. Then destroy. |
| 066.  | <u>General Correspondence and Administrative Files</u><br><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | Screen annually. Destroy that material no longer needed for current business.    |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166  |
|--|---|--|
|  |   | Page 21 of 28  |
| Agency   | Maryland State Lottery Agency   | Division / Unit<br>AFO<br>Support Services                                   |
| Item No.   | Description   | Retention  |
| 067.   | <p><b><u>Post Office Permit Accounts</u></b></p> <p>These accounts are used to receive and send out mail to Lottery agents, General public and other mailings related to Lottery business.</p> <p>Business Reply Mail # 17216 ( 3582-A )<br/>1 st. Class Mail # 9376 ( 3600-R )<br/>Postal Receipts # 9376 ( 1600-R )<br/>Postal Meter Account ( 3602-A )</p> | Retain for three ( 3 ) years, then destroy.                                  |
| 068.   | <p><b><u>Mail Logs</u></b></p> <p>Logs are documentation of all mailings in and out of the agency daily.</p> <p>Subscription Renewals / Adds<br/>Certified Mail Incoming<br/>Interoffice Mail</p>   | Retain for three ( 3 ) years, or until they have been audited. Then destroy. |
| 069.   | <p><b><u>Mail Contract / Billings</u></b></p> <p>These records show amounts and cost on each mailing handled by P.E.P. contracted mailing house to include copies of invoices.</p>  | Retain for three ( 3 ) years after termination of contract, then destroy.    |
| 070.   | <p><b><u>Courier Logs / Manifests</u></b></p> <p>Bill of Lading ( BABN )<br/>Shippers Manifest ( 3841 )<br/>Daily Instant Tickets ( IR226 ) ( MDAWI )<br/>U.P.S. - Forms ( 2021 )<br/>Check Warrants ( PS1225 )<br/>In-house Check Log</p>  | Retain for three ( 3 ) years after termination of contract, then destroy.    |



| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166   |
|--|---|---|
|  |   | Page 22 of 28   |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>AFO<br>Support Services  |
| Item No.   | Description   | Retention   |
| 071.   | <p><u>Stores / Property</u></p> <p>Documentation of stores, checks, property, receipts, manifest, logs and computer printouts.</p> <p>Stores Requisition ( M - 132 )<br/>           FMIS - Accounts ( FMIS - 3 )<br/>           Direct Purchase Orders ( FORM-17 )<br/>           Out of Schedule Requisition<br/>           Invoice Receipts<br/>           Property Forms<br/>           Lottery Check Logs<br/>           Instant Ticket</p> | <p>Retain for three ( 3 ) years, or until they have been audited. Then destroy.</p> |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No.  |
|--|--|---|
|  |  | Page 23 of 28   |
| Agency<br>Maryland State Lottery Agency  |  | Division / Unit<br>Information Technology   |
| Item No.   | Description  | Retention   |
| 072.   | <p><u>IT. Processing Systems Documentation</u></p> <p>Retained in binders and filed by system:<br/>binders may contain various documents such as:</p> <p style="padding-left: 40px;">Flow charts, Narratives and other material which describes how the processing system operates, and how individual programs within the system interrelate.</p> | Keep current by periodically removing and destroy that no longer needed. No storage record storage required.  |
| 073.   | <p><u>IT. Processing Programming Documentation</u></p> <p>Retained in binders and filled by program:</p> <p>Program narrative, program specification input / output flow chart, program source listings, 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. No record storage required. |
| 074.   | <p><u>Source Listing Backup</u></p> <p>This file consists of computer listings of all programs used by the Lottery agency.</p>   | Keep current by removing and destroying old lists after six ( 6 ) months. No record storage required.   |
| 075.   | <p><u>IT. Processing Request Forms</u></p> <p>( Pending / Active ) This file contains all request for new data processing systems and programs as well as changes to current data processing systems or programs, and supporting data such as memos and charts.</p>  | Retain forms until request have been completed or denied, then place in request forms process file. No record storage required.   |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166  |
|--|---|--|
|  |   | Page 24 of 28  |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Information Technology  |
| Item No.   | Description   | Retention  |
| 076.   | <b><u>IT. Processing Request Forms ( Processed )</u></b><br><br>This contains all processed requests for new data processing systems or programs supporting data.   | Screen annually. Destroy that material which is ten ( 10 ) years or older. No record storage required. |
| 077.   | <b><u>Subscription Tapes</u></b><br><br>This is a series of magnetic tapes which include the following.<br><br>Renewals: Contain list describing which subscriptions have been renewed.<br><br>Adds: Contain list of added new subscriptions.<br><br>Changes / Deletes: Contain corrections to present subscription file, adding or deleting subscriptions. | Retain for ( 5 ) years, then destroy.  |
| 078.   | <b><u>Subscription File - MF Ticket</u></b><br><br>Magnetic tapes containing all numbers assigned to subscribers.   | Retain for ( 5 ) years, then destroy.  |
| 079.   | <b><u>Agent Bonus Tape</u></b><br><br>Magnetic tape containing information concerning agent incentive games.  | Retain for ( 5 ) years, then destroy.  |
| 080.   | <b><u>Program Test Tape</u></b><br><br>Magnetic tapes which contain program data used in testing changes to current games.  | Retain for ( 5 ) years, then destroy.  |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166<br>Page 25 of 28  |
|--|---|---|
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Information Technology   |
| Item No.   | Description   | Retention   |
| 081.   | <u>Lot Backup</u><br>Magnetic tape which is backup for all program libraries ( disks ).   | Retain for ( 5 ) years, then destroy.   |
| 082.   | <u>Daily / Weekly Computer Schedule Logs</u><br>Logs are used as tally sheets to insure jobs are completed as scheduled and may include any necessary notations on progress of jobs ran.  | Retain for ( 5 ) years, then destroy.   |
| 083.   | <u>General Correspondence and Administrative Files</u><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 State Lottery Agency. Transfer periodically to Maryland State Archives. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |  | Schedule No. 2166   |
|--|--|---|
|  |  | Page 26 of 28   |
| Agency<br>Maryland State Lottery Agency  |  | Division / Unit<br>Public Affairs   |
| Item No.   | Description  | Retention   |
| 084.   | <b><u>Picture File of Top Tier Prize Winners</u></b><br><br>Pictures are taken of top tier winners from all games. Pictures are used in different publications, newspapers, and magazines. Pictures and negatives are filed by date and prize amount won by players.   | Retain prints and negatives of all annuity winners permanently. Transfer periodically to the Maryland State Archives.   |
| 085.   | <b><u>Drawing Records</u></b><br><br>For all records pertaining to all drawings including but not limited to affidavits, ball inspections forms, tabulation papers, media notification lists, ball sequence sheets. Pick 3, Pick 4, Lotto, Keno, Big Game, Cash in Hand, Let It Ride and any other new games.  | Retain for ( 20 ) years, then destroy.  |
| 086.   | <b><u>Newspaper Clippings</u></b><br><br>Maintain in binders, these clippings document the history of the Maryland State Lottery Agencies and includes general information relating to gaming.   | Screen annually, Transfer periodically to the Maryland State Archives.  |
| 087.   | <b><u>General Correspondence and Administrative Files</u></b><br><br>Subject arrangement of original incoming letters. copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 State Lottery Agency. Transfer periodically to the Maryland State Archives. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No. 2166   |
|--|---|---|
|  |   | Page 27 of 28   |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Sales Division   |
| Item No.   | Description   | Retention   |
| 088.   | <u>Agent Files</u><br>Alphabetically arrangement of folders containing daily surveys, grids, floor plans, agent applications approved or disapproved by the Lottery. All correspondences between the agent and the Lottery. Also contains agreements with agent authorizing them to sell Lottery tickets  | Approved and active agent files will be retained in-house until agent becomes inactive, then held for five ( 5 ) years, then destroyed.   |
| 089.   | <u>Agent Complaint Files</u><br>Case files arranged alphabetically by name of agent, containing complaints which have been submitted against the agent.   | Complaints are a permanent part of the agent file. Always stays with file.  |
| 090.   | <u>General Correspondence and Administrative Files</u><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 State Lottery Agency. Transfer periodically to the Maryland State Archives. |

| DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANAGEMENT DIVISION<br>RECORDS RETENTION AND DISPOSAL SCHEDULE<br>( Continuation Sheet ) |   | Schedule No.  |
|--|---|---|
|  |   | Page 28 of 28   |
| Agency<br>Maryland State Lottery Agency  |   | Division / Unit<br>Marketing Division   |
| Item No.   | Description   | Retention   |
| 091.   | <u>Vendor Contracts</u><br>Ad Agency - Eisner Communications<br>Instant Ticket Vendor - Oberthur Gaming Technologies  | Retain for ( 25 ) years, then destroy.  |
| 092.   | <u>Working Papers</u><br>Complete design of each Instant ticket including game constraints, artwork, programming, prize structure, rules, etc.  | Retain for ( 25 ) years, then destroy.  |
| 093.   | <u>Advertising Agency Budgets and Invoices</u><br>By Media estimate number and production job number. Invoices include estimates, prebills and reconcillations.   | Retain for three ( 3 ) years from date of receipt, then destroy.  |
| 094.   | <u>Weekly Sales and Revenues</u><br>Daily and Pool Sales for all games ( Online & Instant )<br>Winners File, Maryland Revenue Report, Big Game per Capita and winners.  | Retain for three ( 3 ) years from date of receipt, then destroy.  |
| 095.   | <u>General Correspondence and Administrative Files</u><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, reports, studies, surveys, investigations, press releases, newspaper clippings and legislative reference material, directives and other miscellaneous papers relating to the administration of the State Lottery Agency. | 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 Agency. <i>Transfer to M&amp;A</i> |

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| <b>INSTRUCTIONS ** TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>   |  | <b>DEPARTMENT OF GENERAL SERVICES<br/>RECORDS MANGEMENT DIVISION<br/>7275 WATERLOO ROAD<br/>P.O. BOX 275 - JESSUP, MARYLAND 20794</b>  |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page <b>1</b> of <b>22</b>  |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Executive  |  | <b>3. UNIT</b><br>Commission   |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |  |  |  |  |  |
| <b>4. RECORD SERIES TITLE</b><br>Lottery Commission  |  |  |  | <b>5. EARLIEST YEAR / LATEST YEAR</b><br>1973 TO 2001  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series Include the purpose or function of the Series )</b><br><br><p style="text-align: center;"><b>Lottery Commission Meeting Minutes and Appeal Hearings ( Audio Tapes )</b></p> <p style="text-align: center;"><b>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</b></p> |  |  |  |  |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                         Computer Tape<br><input type="checkbox"/> Bound Book                         Floppy Disk<br><input checked="" type="checkbox"/> Audio Tape                         Video Tape<br><input type="checkbox"/> Other (Specify) _____  |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> Alphabetical<br><input type="checkbox"/> Numerical<br><input checked="" type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br><input type="checkbox"/> Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>2cf Other (Specify) _____<br>Number                |  |
|  |  |  |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>16cf Other (Specify) _____<br>Number |  |
| <b>11. FILE IS USED</b><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br>_____ 3 _____ Months <input checked="" type="checkbox"/> Years<br>Number   |  |  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes                      No <input checked="" type="checkbox"/>   |  |  |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br>Yes _____ <input checked="" type="checkbox"/> No   |  | <b>16. AUDIT REQUIREMENTS</b><br><input checked="" type="checkbox"/> None                      State                      Federal <u>Independent</u>   |  |  |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)</b><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br>Retain Permanently   |  |  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844  |  | <b>21. DATE</b><br>08/31/01  |  |



|   |  |  |
|---|--|--|
| <b>INSTRUCTIONS</b> - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)   | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page <b>2</b> of <b>22</b>  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency  | <b>2. DIVISION</b><br>Executive  | <b>3. UNIT</b><br>Director   |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>   |  |  |
| <b>4. RECORD SERIES TITLE</b><br>Lottery Director   | <b>5. EARLIEST YEAR / LASTEST YEAR</b><br>1973 TO 2001   |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br><p style="text-align: center;"><b>Lottery Director's General Correspondence, reports concerning general operations of the Lottery.</b></p> <p style="text-align: center;"><b>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</b></p> |  |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                              Computer Tape<br><input type="checkbox"/> Bound Book                              Floppy Disk<br><input type="checkbox"/> Audio Tape                                Video Tape<br><input type="checkbox"/> Other (Specify) _____   | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> Alphabetical<br><input type="checkbox"/> Numerical<br><input checked="" type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br><input type="checkbox"/> Other (Specify) _____ | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><input type="checkbox"/> 13cf Other (Specify) _____<br>Number _____<br><br><b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><input type="checkbox"/> 14cf Other (Specify) _____<br>Number _____ |
| <b>11. FILE IS USED</b><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly  | <b>12. FILE BECOMES INACTIVE AFTER</b><br>_____ 3 _____ Months <input checked="" type="checkbox"/> Years<br>Number _____   |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters   | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes                      No <input checked="" type="checkbox"/>   |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br>Yes _____ <input checked="" type="checkbox"/> No  | <b>16. AUDIT REQUIREMENTS</b><br><input checked="" type="checkbox"/> None                      State                      Federal <u>Independent</u>   |  |
| <b>17. IS AN INDEX SYSTEM USED ? ( If yes, explain briefly and describe any hardware/software )</b><br>Yes _____ <input checked="" type="checkbox"/> No   | <b>18. RECOMMENDED RETENTION</b><br>Retain ( 3 ) years   |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844  | <b>21. DATE</b><br>08/31/01  |

|  |  |   |  |   |  |
|--|--|---|--|---|--|
| <b>INSTRUCTIONS</b> - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)  |  | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794   |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 3 of 22   |  |
| 1. DEPARTMENT / AGENCY<br>Maryland State Lottery Agency  |  | 2. DIVISION<br>Executive  |  | 3. UNIT<br>Attn:General   |  |
| DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.   |  |   |  |   |  |
| 4. RECORD SERIES TITLE<br>Attn:General   |  |   |  | 5. EARLIEST YEAR / LASTEST YEAR<br>1973 TO 2001   |  |
| 6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )<br><br><p style="text-align: center;"><b>Lottery Attn:General's Agent licensing, procurement files, public inquires and closed litigations.</b></p> <p style="text-align: center;"><b>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</b></p> |  |   |  |   |  |
| 7. Record series format (s)<br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                            Computer Tape<br><input type="checkbox"/> Bound Book                            Floppy Disk<br><input type="checkbox"/> Audio Tape                              Video Tape<br><input type="checkbox"/> Other (Specify) _____   |  | 8. RECORD SERIES SEQUENCE<br><br><input checked="" type="checkbox"/> <u>Alphabetical</u><br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br><input type="checkbox"/> Other (Specify) _____ |  | 9. VOLUME<br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>13cf Other (Specify) _____<br>Number _____               |  |
|  |  |   |  | 10. ANNUAL ACCUMULATION<br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>49cf Other (Specify) _____<br>Number _____ |  |
| 11. FILE IS USED<br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly  |  | 12. FILE BECOMES INACTIVE AFTER<br>_____ Months <input checked="" type="checkbox"/> Years<br>Number _____   |  |   |  |
| 13. CURRENT LOCATION (s) (Bldg, Floor, Room)<br>Lottery headquarters   |  | 14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )<br>Yes                      No <input checked="" type="checkbox"/>   |  |   |  |
| 15. ACCESS RESTRICTIONS ( If yes, cite law (s) & regulation (s) )<br>Yes _____ <input checked="" type="checkbox"/> No  |  | 16. AUDIT REQUIREMENTS<br><input checked="" type="checkbox"/> None                      State                      Federal <u>Independent</u>   |  |   |  |
| 17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)<br>Yes _____ <input checked="" type="checkbox"/> No   |  | 18. RECCMMENDED RETENTION<br>Retain ( 3 ) years with the exception of Agent licensing files and Closed litigation files are retained indefinitely   |  |   |  |
| 19. NAME AND TITLE OF PREPARER<br>Arthur E. Toison Jr  |  | 20. TELEPHONE NUMBER<br>(410) 318-6844  |  | 21. DATE<br>08/31/01  |  |

|  |  |   |  |   |  |
|--|--|---|--|---|--|
| <b>INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>  |  | <b>DEPARTMENT OF GENERAL SERVICES<br/>RECORDS MANGEMENT DIVISION<br/>7775 WATERLOO ROAD<br/>P.O. BOX 275 - JESSUP, MARYLAND 20794</b>   |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 4 of 22   |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Executive   |  | <b>3. UNIT</b><br>Personnel   |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |  |   |  |   |  |
| <b>4. RECORD SERIES TITLE</b><br>Personnel   |  |   |  | <b>5. EARLIEST YEAR / LASTEST YEAR</b><br>1976 TO 2001  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br><b>Personnel files, record leave cards, earned / used / borrowed / lost and balances.</b><br><br><b>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</b> |  |   |  |   |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                      Computer Tape<br><br><input checked="" type="checkbox"/> Bound Book                      Floppy Disk<br><input type="checkbox"/> Audio Tape                      Video Tape<br><br><input checked="" type="checkbox"/> Other (Specify) <u>Computer</u>  |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> <u>Alphabetical</u><br><input type="checkbox"/> Numerical<br><br><input checked="" type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br><input type="checkbox"/> Other (Specify) _____ |  | <b>9. VOLUME</b><br><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>17.5cf Other (Specify) _____<br>Number _____             |  |
|  |  |   |  | <b>10. ANNUAL ACCUMULATION</b><br><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>28cf Other (Specify) _____<br>Number _____ |  |
| <b>11. FILE IS USED</b><br><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><br><u>10</u> Months <input checked="" type="checkbox"/> Years<br>Number _____  |  |   |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br><br>Yes                      No <input checked="" type="checkbox"/>  |  |   |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><br><input checked="" type="checkbox"/> Yes _____                      No  |  | <b>16. AUDIT REQUIREMENTS</b><br><br><input checked="" type="checkbox"/> None                      State                      Federal <u>Independent</u>  |  |   |  |
| <b>17. IS AN INDEX SYSTEM USED ? ( If yes, explain briefly and describe any hardware/software )</b><br><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br><br>Retain ( 3 ) years with the exception of Record Cards ( 10 ) years<br>Personnel Files Indefinitely  |  |   |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844   |  | <b>21. DATE</b><br>08/31/01   |  |



|  |  |  |  |  |  |
|--|--|--|--|--|--|
| <b>INSTRUCTIONS</b> - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 350-1)  |  | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794  |  | <b>AGENCY RECORDS INVENTORY</b><br>Page 6 of 22  |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Executive  |  | <b>3. UNIT</b><br>M.B.E.   |  |
| DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.   |  |  |  |  |  |
| <b>4. RECORD SERIES TITLE</b><br>Minority Business Enterprise  |  |  |  | <b>5. EARLIEST YEAR / LASTEST YEAR</b><br>1998 TO 2001   |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><p>Vendor procurement reports and contracts along with fiscal reports.</p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</p> |  |  |  |  |  |
| <b>7. Record series format (s)</b><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                          Computer Tape<br><input checked="" type="checkbox"/> Bound Book                          Floppy Disk<br><input type="checkbox"/> Audio Tape                          Video Tape<br>Other (Specify) _____  |  | <b>8. RECORD SERIES SEQUENCE</b><br><input checked="" type="checkbox"/> Alphabetical<br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>22cf Other (Specify) _____<br>Number               |  |
|  |  |  |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>22cf Other (Specify) _____<br>Number |  |
| <b>11. FILE IS USED</b><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br>_____ 5 _____ Months <input checked="" type="checkbox"/> Years<br>Number   |  |  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes                      No <input checked="" type="checkbox"/>   |  |  |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes                      _____                      No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent   |  |  |  |
| <b>17. IS AN INDEX SYSTEM USED ? ( If yes, explain briefly and describe any hardware/software )</b><br>Yes <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br>Fiscal reports ( 5 ) years<br>All others ( 3 ) years   |  |  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844  |  | <b>21. DATE</b><br>08/31/01  |  |

|  |  |   |  |   |  |
|--|--|---|--|---|--|
| <b>INSTRUCTIONS</b> - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)  |  | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794   |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 7 of 22   |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Executive   |  | <b>3. UNIT</b><br>Security  |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |  |   |  |   |  |
| <b>4. RECORD SERIES TITLE</b><br>Security Cases  |  |   |  | <b>5. EARLIEST YEAR / LASTEST YEAR</b><br>1998 TO 2001  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br><p style="text-align: center;"><b>Security Investigative Files, Threat Files .</b></p> <p style="text-align: center;">Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</p> |  |   |  |   |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                         Computer Tape<br><input type="checkbox"/> Sound Book                         Floppy Disk<br><input type="checkbox"/> Audio Tape                         Video Tape<br><input type="checkbox"/> Other (Specify) _____   |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> Alphabetical<br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br><input type="checkbox"/> Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><input type="checkbox"/> 9cf Other (Specify) _____<br>Number _____                |  |
|  |  |   |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><input type="checkbox"/> 25cf Other (Specify) _____<br>Number _____ |  |
| <b>11. FILE IS USED</b><br><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><br><input type="checkbox"/> 3 Months <input checked="" type="checkbox"/> Years   |  |   |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br><br>Yes                      No <input checked="" type="checkbox"/>  |  |   |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No   |  | <b>16. AUDIT REQUIREMENTS</b><br><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent  |  |   |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)</b><br><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br><br>Threat Files ( 3 ) years<br>Investigative Files ( 1 ) year  |  |   |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844   |  | <b>21. DATE</b><br>08/31/01   |  |

|   |  |   |  |  |  |
|---|--|---|--|--|--|
| INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH<br>REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION<br>SCHEDULE (DGS 550-1)  |  | DEPARTMENT OF GENERAL SERVICES<br>RECORDS MANGEMENT DIVISION<br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794   |  | AGENCY RECORDS INVENTORY<br>Page 8 of 22   |  |
| 1. DEPARTMENT / AGENCY<br>Maryland State Lottery Agency   |  | 2. DIVISION<br>Executive  |  | 3. UNIT<br>AFO ( Administration )  |  |
| DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.  |  |   |  |  |  |
| 4. RECORD SERIES TITLE<br>Administration AFO  |  |   |  | 5. EARLIEST YEAR / LATEST YEAR<br>1997 TO 2001   |  |
| 6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )<br><p style="text-align: center;"><b>Administrative Contract Files, Bond-Insurance Policy Files, Budget Estimates, Executive Plan</b></p> <p style="text-align: center;">Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</p> |  |   |  |  |  |
| 7. Record series format (s)<br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                            Computer Tape<br><input type="checkbox"/> Bound Book                            Floppy Disk<br><input type="checkbox"/> Audio Tape                             Video Tape<br><input type="checkbox"/> Other (Specify) _____   |  | 8. RECORD SERIES SEQUENCE<br><input checked="" type="checkbox"/> <u>Alphabetical</u><br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br><input type="checkbox"/> Other (Specify) _____ |  | 9. VOLUME<br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><input type="checkbox"/> 8.5cf Other (Specify) _____<br>Number _____                |  |
|   |  |   |  | 10. ANNUAL ACCUMULATION<br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><input type="checkbox"/> 10.5cf Other (Specify) _____<br>Number _____ |  |
| 11. FILE IS USED<br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly   |  | 12. FILE BECOMES INACTIVE AFTER<br>_____ 5 _____ Months <input checked="" type="checkbox"/> Years<br>Number _____   |  |  |  |
| 13. CURRENT LOCATION (s) - Bldg, Floor, Room<br>Lottery headquarters  |  | 14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )<br>Yes                      No <input checked="" type="checkbox"/>   |  |  |  |
| 15. ACCESS RESTRICTIONS : If yes, cite law (s) & regulation (s)<br><input checked="" type="checkbox"/> Yes _____ No   |  | 16. AUDIT REQUIREMENTS<br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent   |  |  |  |
| 17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)<br>Yes _____ <input checked="" type="checkbox"/> No  |  | 18. RECOMMENDED RETENTION<br>Executive Plan ( 5 ) years<br>All others ( 3 ) years   |  |  |  |
| 19. NAME AND TITLE OF PREPARER<br>Arthur E. Tolson Jr   |  | 20. TELEPHONE NUMBER<br>(410) 318-6844  |  | 21. DATE<br>08/31/01   |  |

|  |  |   |  |  |  |
|--|--|---|--|--|--|
| <b>INSTRUCTIONS</b> - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)  |  | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANAGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794  |  | <b>AGENCY RECORDS INVENTORY</b><br>Page 9 of 22  |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Administration, Finance & Operations  |  | <b>3. UNIT</b><br>Internal Auditor   |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |  |   |  |  |  |
| <b>4. RECORD SERIES TITLE</b><br>Internal Audit  |  |   |  | <b>5. EARLIEST YEAR / LATEST YEAR</b><br>1994 TO 2001  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><p style="text-align: center;"><b>Lottery Working Papers</b></p> <p style="text-align: center;">Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</p> |  |   |  |  |  |
| <b>7. Record series format (s)</b><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                            Computer Tape<br><input type="checkbox"/> Bound Book                            Floppy Disk<br><input type="checkbox"/> Audio Tape                            Video Tape<br><input type="checkbox"/> Other (Specify): _____   |  | <b>8. RECORD SERIES SEQUENCE</b><br><input checked="" type="checkbox"/> Alphabetical<br><input checked="" type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br><input type="checkbox"/> Other (Specify): _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>4.0cf Other (Specify): _____<br>Number             |  |
|  |  |   |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>6cf Other (Specify): _____<br>Number |  |
| <b>11. FILE IS USED</b><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br>_____ 7 _____ Months <input checked="" type="checkbox"/> Years  |  |  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes <input checked="" type="checkbox"/> No _____<br>Marketing & Finance Divisions  |  |  |  |
| <b>15. ACCESS RESTRICTIONS - ( if yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent  |  |  |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)</b><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br>Internal Audits Retain ( 7 ) years<br>All others ( 3 ) years  |  |  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844   |  | <b>21. DATE</b><br>08/31/01  |  |



|   |  |  |  |  |  |
|---|--|--|--|--|--|
| <b>INSTRUCTIONS ** TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>  |  | <b>DEPARTMENT OF GENERAL SERVICES<br/>RECORDS MANGEMENT DIVISION<br/>7275 WATERLOO ROAD<br/>P.O. BOX 275 - JESSUP, MARYLAND 20734</b>  |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 10 of 22   |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency  |  | <b>2. DIVISION</b><br>Administration, Finance & Operations   |  | <b>3. UNIT</b><br>Procurement/Purchasing   |  |
| DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.  |  |  |  |  |  |
| <b>4. RECORD SERIES TITLE</b><br>AFO Procurement / Purchasing   |  |  |  | <b>5. EARLIEST YEAR / LASTEST YEAR</b><br>1994 TO 2001   |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br><p>Purchasing Records, FMIS accounts, Purchasing Credit Card and Manual purchasing.</p> <p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</p> |  |  |  |  |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                      Computer Tape<br><br><input checked="" type="checkbox"/> Bound Book                      Floppy Disk<br><input type="checkbox"/> Audio Tape                      Video Tape<br>Other (Specify) <u>Computer</u>   |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> Alphabetical<br><input checked="" type="checkbox"/> Numerial<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>9cf Other (Specify) _____<br>Number _____                |  |
|   |  |  |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>11cf Other (Specify) _____<br>Number _____ |  |
| <b>11. FILE IS USED</b><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly  |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><u>3</u> Months <input checked="" type="checkbox"/> Years<br>Number _____  |  |  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters   |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes _____ No <input checked="" type="checkbox"/>  |  |  |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No  |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independence  |  |  |  |
| <b>17. IS AN INDEX SYSTEM USED ? ( If yes, explain brefly and describe any hardware/software)</b><br>Yes _____ <input checked="" type="checkbox"/> No   |  | <b>18. RECOMMENDED RETENTION</b><br>Retain ( 3 ) years   |  |  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Toison Jr  |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844  |  | <b>21. DATE</b><br>08/31/01  |  |

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| <b>INSTRUCTIONS ** TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>   |  | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794  |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 11 of 22   |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Administration, Finance & Operations   |  | <b>3. UNIT</b><br>General Accounting   |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |  |  |  |  |  |
| <b>4. RECORD SERIES TITLE</b><br>General Accounting  |  |  |  | <b>5. EARLIEST YEAR / LATEST YEAR</b><br>1996 TO 2001  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series include the purpose or function of the Series )</b><br><br><p>Miscellaneous accounting records, Special accounts, Daily liabilities, Audit reports and computer generated on all accounting of the Lottery accounting system.</p><br><br><p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</p> |  |  |  |  |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                      Computer Tape<br><input checked="" type="checkbox"/> Bound Book                      Floppy Disk<br><input type="checkbox"/> Audio Tape                      Video Tape<br>Other (Specify) <u>Computer</u>  |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> Alphabetical<br><input checked="" type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input checked="" type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>102cf</u> Other (Specify) _____<br>Number               |  |
|  |  |  |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>147cf</u> Other (Specify) _____<br>Number |  |
| <b>11. FILE IS USED</b><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly                      Yearly   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><u>3</u> Months <input checked="" type="checkbox"/> Years<br>Number  |  |  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes _____ No <input checked="" type="checkbox"/>  |  |  |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent   |  |  |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)</b><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br>Monthly Reports ( 10 ) years<br>Audit Reports ( 7 ) years<br>All others Reports ( 3 ) years  |  |  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844  |  | <b>21. DATE</b><br>08/31/01  |  |

|  |  |   |  |   |  |
|--|--|---|--|---|--|
| <b>INSTRUCTIONS -- TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 350-1)</b>   |  | <b>DEPARTMENT OF GENERAL SERVICES<br/>RECORDS MANGEMENT DIVISION<br/>7275 WATERLOO ROAD<br/>P.O. BOX 275 - JESSUP, MARYLAND 20794</b>   |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 12 of 22  |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Administration, Finance & Operations  |  | <b>3. UNIT</b><br>Finance   |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |  |   |  |   |  |
| <b>4. RECORD SERIES TITLE</b><br>Finance   |  |   |  | <b>5. EARLIEST YEAR / LATEST YEAR</b><br>1995 TO 2001   |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br><b>Withholding Tax Forms, Credit Memorandums and Miscellaneous accounting records.</b><br><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations. |  |   |  |   |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                            Computer Tape<br><br><input checked="" type="checkbox"/> Bound Book                            Floppy Disk<br><input type="checkbox"/> Audio Tape                              Video Tape<br>Other (Specify) <u>Computer</u>  |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> Alphabetical<br><input checked="" type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>66cf Other (Specify) _____<br>Number _____                |  |
|  |  |   |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>185cf Other (Specify) _____<br>Number _____ |  |
| <b>11. FILE IS USED</b><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><u>6</u> Months <input checked="" type="checkbox"/> Years   |  |   |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes _____ No <input checked="" type="checkbox"/>   |  |   |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent  |  |   |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)</b><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br>Withholding Tax Forms ( 6 ) years<br>All others ( 5 ) years   |  |   |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844   |  | <b>21. DATE</b><br>08/31/01   |  |

|  |   |  |
|--|---|--|
| <b>INSTRUCTIONS</b> - TYPE OR PRINT A SEPARATE FORM FOR EACH<br>REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION<br>SCHEDULE (DGS 550-1)  | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794   | <b>AGENCY RECORDS INVENTORY</b><br>Page <b>13</b> of <b>22</b>   |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   | <b>2. DIVISION</b><br>Administration, Finance & Operations  | <b>3. UNIT</b><br>Payroll  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |   |  |
| <b>4. RECORD SERIES TITLE</b><br><p style="text-align: center;"><b>Payroll (AFO)</b></p>   |   | <b>5. EARLIEST YEAR / LASTEST YEAR</b><br><b>1993</b> TO <b>2001</b>   |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><p style="text-align: center;"><b>Payroll accounting records, Leave slip request, Bi-Weekly time reports.</b></p> <p style="text-align: center;"><b>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</b></p> |   |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm<br><input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape<br><input checked="" type="checkbox"/> Bound Book <input type="checkbox"/> Floppy Disk<br><input type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape<br>Other (Specify) <u>Computer</u>  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> <b>Alphabetical</b><br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br>Other (Specify) _____ | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>10cf</u> Other (Specify) _____<br>Number<br><b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>12cf</u> Other (Specify) _____<br>Number |
| <b>11. FILE IS USED</b><br><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly<br>Number   | <b>12. FILE BECOMES INACTIVE AFTER</b><br><br><u>3</u> Months <input checked="" type="checkbox"/> Years<br>Number   |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes _____ No <input checked="" type="checkbox"/>   |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ <input type="checkbox"/> No  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent  |  |
| <b>17. IS AN INDEX SYSTEM USED ? ( If yes, explain briefly and describe any hardware/software )</b><br>Yes _____ <input checked="" type="checkbox"/> No  | <b>18. RECOMMENDED RETENTION</b><br>Retain three (3) years  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844   | <b>21. DATE</b><br>08/31/01  |

|   |  |   |  |   |  |
|---|--|---|--|---|--|
| <b>INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>   |  | <b>DEPARTMENT OF GENERAL SERVICES<br/>RECORDS MANGEMENT DIVISION<br/>7275 WATERLOO ROAD<br/>P.O. BOX 275 - JESSUP, MARYLAND 20794</b>   |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 14 of 22  |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency  |  | <b>2. DIVISION</b><br>Administration, Finance & Operations  |  | <b>3. UNIT</b><br>Customer Service  |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>   |  |   |  |   |  |
| <b>4. RECORD SERIES TITLE</b><br>Claims   |  |   |  | <b>5. EARLIEST YEAR / LASTEST YEAR</b><br>1997 TO 2001  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br>Annuity Files, Claim Forms, W2G Tax-Forms, Computer Reports<br><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations. |  |   |  |   |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                      Computer Tape<br><br><input checked="" type="checkbox"/> Bound Book                      Floppy Disk<br><input type="checkbox"/> Audio Tape                      Video Tape<br>Other (Specify): <u>Computer</u>  |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> <u>Alphabetical</u><br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>122cf Other (Specify) _____<br>Number |  |
| <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>126cf Other (Specify) _____<br>Number   |  |   |  |   |  |
| <b>11. FILE IS USED</b><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly  |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><u>6</u> Months <input checked="" type="checkbox"/> Years   |  |   |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters   |  | <b>14. IS RECCRD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes _____ No <input checked="" type="checkbox"/>   |  |   |  |
| <b>15. ACCESS RESTRICTIONS - ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ <input type="checkbox"/> No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent  |  |   |  |
| <b>17. IS AN INDEX SYSTEM USED ? ( If yes, explain briefly and describe any hardware/software )</b><br>Yes _____ <input checked="" type="checkbox"/> No   |  | <b>18. RECOMMENDED RETENTION</b><br>Retain <del>three</del> (6) years   |  |   |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Toison Jr  |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-5344   |  | <b>21. DATE</b><br>08/31/01   |  |

|  |  |   |  |  |  |
|--|--|---|--|--|--|
| <b>INSTRUCTIONS</b> ** TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)   |  | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794   |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 15 of 22   |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Administration, Finance & Operations  |  | <b>3. UNIT</b><br>Subscription (CS)  |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |  |   |  |  |  |
| <b>4. RECORD SERIES TITLE</b><br><p style="text-align: center;"><b>Subs</b></p>  |  |   |  | <b>5. EARLIEST YEAR / LATEST YEAR</b><br><b>1999</b> TO <b>2001</b>  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br><p style="text-align: center;"><b>Sub Apps, Sub Renewals, Computer Reports</b></p><br><br><p style="text-align: center;"><b>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</b></p> |  |   |  |  |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                         Computer Tape<br><input checked="" type="checkbox"/> Bound Book                         Floppy Disk<br><input type="checkbox"/> Audio Tape                         Video Tape<br>Other (Specify) <u>Computer</u>   |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> <u>Alphabetical</u><br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>35cf</u> Other (Specify) _____<br>Number _____               |  |
|  |  |   |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>22cf</u> Other (Specify) _____<br>Number _____ |  |
| <b>11. FILE IS USED</b><br><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><br><u>3</u> Months <input checked="" type="checkbox"/> Years<br>Number _____   |  |  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes _____ No <input checked="" type="checkbox"/>   |  |  |  |
| <b>15. ACCESS RESTRICTIONS ( if yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent  |  |  |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)</b><br><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br>Retain three (3) years  |  |  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844   |  | <b>21. DATE</b><br>08/31/01  |  |

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| <b>INSTRUCTIONS ** TYPE OR PRINT A SEPARATE FORM FOR EACH REVISIONED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>  |  | <b>DEPARTMENT OF GENERAL SERVICES<br/>RECORDS MANGEMENT DIVISION<br/>7275 WATERLOO ROAD<br/>P.O. BOX 275 - JESSUP, MARYLAND 20794</b>  |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 16 of 22   |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Administration, Finance & Operations   |  | <b>3. UNIT</b><br>Fleet Adm  |  |
| DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.   |  |  |  |  |  |
| <b>4. RECORD SERIES TITLE</b><br>Fleet Vehicle Records   |  |  |  | <b>5. EARLIEST YEAR / LATEST YEAR</b><br>1995 TO 2001  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br>Vehicle titles, performance, accident and logs<br><br>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations. |  |  |  |  |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                      Computer Tape<br><input checked="" type="checkbox"/> Bound Book                      Floppy Disk<br><input type="checkbox"/> Audio Tape                      Video Tape<br>Other (Specify) <u>Computer</u>  |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> <u>Alphabetical</u><br><input checked="" type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>17 Other (Specify) _____<br>Number              |  |
|  |  |  |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>8 Other (Specify) _____<br>Number |  |
| <b>11. FILE IS USED</b><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><u>3</u> Months <input checked="" type="checkbox"/> Years<br>Number  |  |  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes _____ No <input checked="" type="checkbox"/>  |  |  |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent   |  |  |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)</b><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br>Retain three (3) years   |  |  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844  |  | <b>21. DATE</b><br>08/31/01  |  |

|  |  |   |  |   |  |
|--|--|---|--|---|--|
| <b>INSTRUCTIONS ** TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>   |  | <b>DEPARTMENT OF GENERAL SERVICES<br/>RECORDS MANGEMENT DIVISION<br/>7275 WATERLOO ROAD<br/>P.O. BOX 275 - JESSUP, MARYLAND 20794</b>   |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 18 of 22  |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Administration, Finance & Operations  |  | <b>3. UNIT</b><br>Facility/Adm  |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |  |   |  |   |  |
| <b>4. RECORD SERIES TITLE</b><br>Facilities  |  |   |  | <b>5. EARLIEST YEAR / LASTEST YEAR</b><br>1998 TO 2001  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series Include the purpose or function of the Series )</b><br><br><b>Facility Maintenance, Phone Contracts, Property Records</b><br><br><b>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</b> |  |   |  |   |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                      Computer Tape<br><input checked="" type="checkbox"/> Bound Book                      Floppy Disk<br><input type="checkbox"/> Audio Tape                      Video Tape<br>Other (Specify) <u>Computer</u>  |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> <u>Alphabetical</u><br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>2.5cf</u> Other (Specify) _____<br>Number _____               |  |
|  |  |   |  | <b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>3.5cf</u> Other (Specify) _____<br>Number _____ |  |
| <b>11. FILE IS USED</b><br><br>Daily                      Weekly <input checked="" type="checkbox"/> Monthly<br>Number _____   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><br><u>3</u> Months <input checked="" type="checkbox"/> Years<br>Number _____   |  |   |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office :</b><br>Yes _____ No <input checked="" type="checkbox"/>   |  |   |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s)</b><br><input checked="" type="checkbox"/> Yes _____ No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State                      Federal <input checked="" type="checkbox"/> Independent  |  |   |  |
| <b>17. IS AN INDEX SYSTEM USED ? (if yes, explain briefly and describe any hardware/software)</b><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br>Retain three (3) years  |  |   |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844   |  | <b>21. DATE</b><br>08/31/01   |  |



|   |   |  |
|---|---|--|
| <b>INSTRUCTIONS</b> - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 350-1)   | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794   | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 19 of 22   |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency  | <b>2. DIVISION</b><br>Administration, Finance & Operations  | <b>3. UNIT</b><br>Support Services   |
| <i>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</i>   |   |  |
| <b>4. RECORD SERIES TITLE</b><br><p style="text-align: center;"><b>Support Services</b></p>   |   | <b>5. EARLIEST YEAR / LATEST YEAR</b><br>1997 TO 2001  |
| <b>6. RECORD SERIES DESCRIPTION</b> ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )<br><br><p style="text-align: center;"><b>Postal Records, FMIS, Contracts, Stores &amp; Property</b></p><br><br><p style="text-align: center;">Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</p> |   |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                      Computer Tape<br><input checked="" type="checkbox"/> Bound Book                      Floppy Disk<br><input type="checkbox"/> Audio Tape                      Video Tape<br>Other (Specify) <u>Computer</u>   | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> <u>Alphabetical</u><br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input type="checkbox"/> Geographical<br>Other (Specify) _____ | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>7cf</u> Other (Specify) _____<br>Number _____<br><br><b>10. ANNUAL ACCUMULATION</b><br><input checked="" type="checkbox"/> <u>File Drawer (s)</u><br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>9cf</u> Other (Specify) _____<br>Number _____ |
| <b>11. FILE IS USED</b><br><br>Daily                      Weekly <input checked="" type="checkbox"/> <u>Monthly</u>   | <b>12. FILE BECOMES INACTIVE AFTER</b><br><br><u>3</u> Months <input checked="" type="checkbox"/> <u>Years</u><br>Number _____  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters   | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br><br>Yes _____ No <input checked="" type="checkbox"/> <u>_____</u>  |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> <u>State</u> Federal <input checked="" type="checkbox"/> <u>Independent</u>   |  |
| <b>17. IS AN INDEX SYSTEM USED ? (if yes, explain briefly and describe any hardware/software)</b><br><br>Yes _____ <input checked="" type="checkbox"/> <u>No</u>  | <b>18. RECOMMENDED RETENTION</b><br>Retain three (3) years  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844   | <b>21. DATE</b><br>08/31/01  |

|  |  |  |  |  |  |
|--|--|--|--|--|--|
| <b>INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>  |  | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794  |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 20 of 22   |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Administration, Finance & Operations   |  | <b>3. UNIT</b><br>Information Technology   |  |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>  |  |  |  |  |  |
| <b>4. RECORD SERIES TITLE</b><br><p style="text-align: center;">I.T.</p>   |  |  |  | <b>5. EARLIEST YEAR / LATEST YEAR</b><br>1991 TO 2001  |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br><p style="text-align: center;"><b>Complete Records of Lottery Sales &amp; Customer Winnings</b></p><br><br><p>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</p> |  |  |  |  |  |
| <b>7. Record series format (s)</b><br><br>Letter Size                      Microfilm<br>Legal Size                      Computer Tape<br>Bound Book                      Floppy Disk<br>Audio Tape                      Video Tape<br><input checked="" type="checkbox"/> Other (Specify) <u>Computer</u>  |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> Alphabetical<br><input checked="" type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input checked="" type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br>File Drawer (s)<br>Microfilm Reel (s)<br><input checked="" type="checkbox"/> Computer Tape (s)<br>215cf Other (Specify) _____<br>Number<br><br><b>10. ANNUAL ACCUMULATION</b><br>File Drawer (s)<br>Microfilm Reel (s)<br><input checked="" type="checkbox"/> Computer Tape (s)<br>215cf Other (Specify) _____<br>Number |  |
| <b>11. FILE IS USED</b><br>Daily <input type="checkbox"/> Weekly <input type="checkbox"/> <input checked="" type="checkbox"/> Monthly  |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br>_____ 10 _____ Months <input checked="" type="checkbox"/> Years<br>Number  |  |  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes _____ No <input checked="" type="checkbox"/>  |  |  |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input checked="" type="checkbox"/> State      Federal <input checked="" type="checkbox"/> Independent   |  |  |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)</b><br>Yes _____ <input checked="" type="checkbox"/> No  |  | <b>18. RECOMMENDED RETENTION</b><br>Retain ten (10) years  |  |  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844  |  | <b>21. DATE</b><br>08/31/01  |  |

|   |   |  |
|---|---|--|
| <b>INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>   | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794   | <b>AGENCY RECORDS INVENTORY</b><br><br>Page <b>21</b> of <b>22</b>   |
| <b>1. DEPARTMENT / AGENCY</b><br><br>Maryland State Lottery Agency  | <b>2. DIVISION</b><br><br>Administration, Finance & Operations  | <b>3. UNIT</b><br><br>Public Affairs   |
| <b>DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.</b>   |   |  |
| <b>4. RECORD SERIES TITLE</b><br><br>P.A. Files   |   | <b>5. EARLIEST YEAR / LATEST YEAR</b><br><b>1983</b> TO <b>2001</b>  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br><p style="text-align: center;"><b>Past &amp; Present Winners Pictures, Drawing Records, Newspaper Clippings</b></p><br><br><p style="text-align: center;"><b>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</b></p> |   |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                      Computer Tape<br><input type="checkbox"/> Bound Book                      Floppy Disk<br><input checked="" type="checkbox"/> Audio Tape                      Video Tape<br>Other (Specify) <u>Computer</u>   | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> Alphabetical<br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input checked="" type="checkbox"/> Geographical<br>Other (Specify) _____ | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br>24cf Other (Specify) _____<br>Number _____<br><b>10. ANNUAL ACCUMULATION</b><br><input type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input checked="" type="checkbox"/> Computer Tape (s)<br>22cf Other (Specify) _____<br>Number _____ |
| <b>11. FILE IS USED</b><br><br>Daily <input type="checkbox"/> Weekly <input type="checkbox"/> <input checked="" type="checkbox"/> Monthly   | <b>12. FILE BECCMES INACTIVE AFTER</b><br><br><u>0</u> Months <input checked="" type="checkbox"/> Years<br>Number _____   |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br><br>Lottery headquarters   | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br><br>Yes _____ No <input checked="" type="checkbox"/>   |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><br><input checked="" type="checkbox"/> Yes _____ <input type="checkbox"/> No   | <b>16. AUDIT REQUIREMENTS</b><br><br>None <input type="checkbox"/> <input checked="" type="checkbox"/> State <input type="checkbox"/> Federal <input checked="" type="checkbox"/> <input type="checkbox"/> Independent                                |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain briefly and describe any hardware/software)</b><br><br>Yes _____ <input checked="" type="checkbox"/> No   | <b>18. RECOMMENDED RETENTION</b><br><br>Retain Permanently  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br><br>Arthur E. Tolson Jr  | <b>20. TELEPHONE NUMBER</b><br><br>(410) 318-6844   | <b>21. DATE</b><br><br>08/31/01  |

|  |  |   |  |  |  |
|--|--|---|--|--|--|
| <b>INSTRUCTIONS - TYPE OR PRINT A SEPARATE FORM FOR EACH REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)</b>  |  | <b>DEPARTMENT OF GENERAL SERVICES</b><br><b>RECORDS MANGEMENT DIVISION</b><br>7275 WATERLOO ROAD<br>P.O. BOX 275 - JESSUP, MARYLAND 20794   |  | <b>AGENCY RECORDS INVENTORY</b><br><br>Page 22 of 22   |  |
| <b>1. DEPARTMENT / AGENCY</b><br>Maryland State Lottery Agency   |  | <b>2. DIVISION</b><br>Administration, Finance & Operations  |  | <b>3. UNIT</b><br>Mktg/Sales   |  |
| DEFINITION - Record Series - A group of related records normally filed and used as a unit reference as well as retention and disposition purposes.   |  |   |  |  |  |
| <b>4. RECORD SERIES TITLE</b><br><p style="text-align: center;"><b>Marketing</b></p>   |  |   |  | <b>5. EARLIEST YEAR / LASTEST YEAR</b><br>1973 TO 2001   |  |
| <b>6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information / documents / forms found in the Series. Include the purpose or function of the Series )</b><br><br><p style="text-align: center;"><b>Agent Files, Vendor Contracts Computer Reports</b></p><br><br><p style="text-align: center;"><b>Subject arrangement of original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies and other materials related to the administration of the Lottery operations.</b></p> |  |   |  |  |  |
| <b>7. Record series format (s)</b><br><br><input checked="" type="checkbox"/> Letter Size                      Microfilm<br><input type="checkbox"/> Legal Size                        Computer Tape<br><input type="checkbox"/> Bound Book                        Floppy Disk<br><input checked="" type="checkbox"/> Audio Tape                        Video Tape<br>Other (Specify) <u>Computer</u>  |  | <b>8. RECORD SERIES SEQUENCE</b><br><br><input checked="" type="checkbox"/> Alphabetical<br><input type="checkbox"/> Numerical<br><input type="checkbox"/> Chronological<br><input checked="" type="checkbox"/> Geographical<br>Other (Specify) _____ |  | <b>9. VOLUME</b><br><input checked="" type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input type="checkbox"/> Computer Tape (s)<br><u>230cf</u> Other (Specify) _____<br>Number               |  |
|  |  |   |  | <b>10. ANNUAL ACCUMULATION</b><br><input type="checkbox"/> File Drawer (s)<br><input type="checkbox"/> Microfilm Reel (s)<br><input checked="" type="checkbox"/> Computer Tape (s)<br><u>238cf</u> Other (Specify) _____<br>Number |  |
| <b>11. FILE IS USED</b><br>Daily <input type="checkbox"/> Weekly <input type="checkbox"/> <input checked="" type="checkbox"/> Monthly <input type="checkbox"/>   |  | <b>12. FILE BECOMES INACTIVE AFTER</b><br><u>3</u> Months <input checked="" type="checkbox"/> Years <input type="checkbox"/><br>Number  |  |  |  |
| <b>13. CURRENT LOCATION (s) (Bldg, Floor, Room)</b><br>Lottery headquarters  |  | <b>14. IS RECORD SERIES DUPLICATED ELSEWHERE ? ( If yes, specify agency or office )</b><br>Yes _____ No <input checked="" type="checkbox"/>   |  |  |  |
| <b>15. ACCESS RESTRICTIONS ( If yes, cite law (s) &amp; regulation (s) )</b><br><input checked="" type="checkbox"/> Yes _____ No   |  | <b>16. AUDIT REQUIREMENTS</b><br>None <input type="checkbox"/> State <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> <u>Independent</u>   |  |  |  |
| <b>17. IS AN INDEX SYSTEM USED ? (If yes, explain bretly and describe any hardware/software)</b><br>Yes _____ <input checked="" type="checkbox"/> No   |  | <b>18. RECOMMENDED RETENTION</b><br>Retain Permanently  |  |  |  |
| <b>19. NAME AND TITLE OF PREPARER</b><br>Arthur E. Tolson Jr   |  | <b>20. TELEPHONE NUMBER</b><br>(410) 318-6844   |  | <b>21. DATE</b><br>08/31/01  |  |