

DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
RECORDS RETENTION AND DISPOSAL SCHEDULE

Schedule No. 2324
Page 1 of 15

Agency: MARYLAND OFFICE OF PEOPLE'S COUNSEL
Division/Unit:

Item No.	Description	Retention
	<p style="text-align: center;">SUPERSEDES SCHEDULE 2223</p> <p>* PLEASE SEE ATTACHED RECORDS RETENTION AND DISPOSAL SCHEDULE FOR THE MARYLAND OFFICE OF PEOPLE'S COUNSEL</p>	

Schedule Approved by Department, Agency, or Division Representative.
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RECORDS RETENTION AND DISPOSAL SCHEDULE
for the
MARYLAND OFFICE OF PEOPLE'S COUNSEL

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Introduction

This schedule has been developed by the Office of People's Counsel and sets forth retention and destruction policies of OPC. Questions or comments should be directed to:

Office of People's Counsel
6 St. Paul Street, Suite 2102
Baltimore, Maryland 21202
(410) 767-8150

A Records Management Manual is available from the Records Management Division of the Department of General Services and provides additional guidance in applying disposal recommendations contained in this schedule. Requests for the manual should be directed to:

Department of General Services
State Records Management Center
7275 Waterloo Road
P. O. Box 275
Jessup Maryland 20794-0275
(410) 799-1379

Selection Criteria

The following criteria should be used for determining when a file is selected for permanent retention and forwarded to the Maryland State Archives.

1. Any case, file or document considered to be of archival value for the history of the State of Maryland. Factors to be considered include cases that set precedence, establish or revise major policies or generate substantial public interest.

1. Litigation Files

This series consists of legal actions filed in state and federal courts and in administrative proceedings in state and federal administrative for a in proceedings against, or on behalf of OPC's clients. This series also includes regulatory actions in which OPC has participated.

Contents of a typical file may include: pleadings, briefs, comments, correspondence, settlement, costs, expert and fact witness testimony, witness depositions, documents, trial transcripts, research, notes, drafts, file opening/closing memoranda, court orders, administrative law judge decisions, proposed and final regulations, Maryland Registry Notices, and copies of final versions of regulations.

Retention: Retain in office 5 years after file is closed. Screen files to identify those meeting selection criteria. Transfer selected files to the Maryland State Archives for permanent retention. Transfer all others to the State Records Center for an additional 15 years, then destroy.

2. Investigations

This series consists of files related to investigations initiated by the OPC.

Contents of a typical file may include: correspondence, memoranda, notes, etc.

Retention: Retain in office for 5 years, screen files to identify those meeting selection criteria. Transfer selected files to the Maryland State Archives for permanent retention. Transfer all others to the State Records Center for an additional 15 years, then destroy.

3. Consumer Assistance Unit

This series consists of data generated from consumer requests for assistance to OPC and referrals from third parties to the OPC's Consumer Assistance Unit.

Contents of a typical file may include correspondence, memoranda, notes, drafts, and copies of pertinent documents supplied by consumers relating to their requests for assistance.

Retention: Retain in office for 5 years, screen files to identify those meeting selection criteria. Transfer selected files to the Maryland State Archives for permanent retention. Transfer all others to the State Records Center for an additional 15 years, then destroy.

4. Correspondence

A. Chronological Files

This series consists of copies of correspondence arranged by date of issue to be used for reference when copies filed by subject or title are not readily available.

Contents of a typical file may include: copies of outgoing letters and memoranda.

Retention: Retain in office for 5 years or until administrative value ceases, then destroy.

B. Mail Logs

This series consists of copies of logs used to records incoming correspondence to the OPC.

Contents of a typical log may consist of date, subject and sender.

Retention: Retain in office for 2 years or until administrative value ceases, then destroy.

5. Legislation

This series consists of materials regarding the preparation and enactment of laws.

Contents of a typical file may include: drafts of proposed legislation, notes, correspondence, memoranda, research, administrative history, written testimony, bills in final form, hearing schedules, copies of draft bills, printed versions of bills.

Retention: Retain in office 5 years or until administrative value ceases. Screen files to identify those meeting selection criteria. Transfer selected files to the Maryland State Archives for permanent retention. Transfer all others to the State Records Center to be retained for an additional 15 years, then destroy.

6. Office Administration

This series consists of files relative to the general management of the OPC; the formulation, adoption and implementation of policies and procedures; educational/training programs; and/or the administration of special programs.

Content of a typical file may include: correspondence, memos, directives, manuals, organizational charts, mission statements, studies, etc.

Retention: Screen annually and destroy material no longer needed for current business. Retain permanently the directives, policies, and other materials related to planning and policy that illustrate the development of the agency; transfer selected documents periodically to the Maryland State Archives.

7. Publications

This series consists of printed matter published by the agency for distribution to the public.

Retention: Transfer one copy of each publication to the Maryland State Archives for permanent retention. Retain surplus in office until updated or until administrative value ceases, then destroy.

8. Accounting Records

A. General Accounting Records Including but not Limited to the Following:

Certificates of Deposit and Bank Deposit Slips
Distribution of Charges
Memorandum of Adjustments
Monthly Reports of Funds Collected and Deposited

Retention: Retain for 3 years and until all audit requirements have been fulfilled, then destroy.

B. Special Accounting Records Including but not Limited to the Following:

1. Reports of audits conducted by the Legislative Auditors

Retention: Retain for 10 years then destroy.

2. Reports of audits conducted by persons or agencies other than the Legislative Auditors.

Retention: Retain permanently. Transfer periodically to the Maryland State Archives.

3. Books of Final Entry - General Ledgers

Retention: Retain permanently. Transfer periodically to the Maryland State Archives.

C. Budget and Fiscal Planning Records Including but not Limited to the Following:

Budget Estimates
Budget Schedule Amendment
Materials and Supplies Physical Inventory
Report of Fixed Assets
Report of Materials and Supplies
Request for Position Action

Retention: Retain for 3 years and until all audit requirements have been fulfilled, then destroy.

D. Payroll Accounting Records Including but not Limited to the Following:

Employee Roster Card File
Payroll and Check Register

Payroll Exceptions Time Report
 Payroll Transmittals
 Payroll Warrants

Retention: Retain for 3 years and until all audit requirements have been fulfilled, then destroy.

E. Miscellaneous Accounting Records Including but not Limited to the Following:

Bank Books, Statements and Deposit Receipts
 Budget Papers and Work Sheets
 Canceled Checks, Check Copies and Check Stubs
 Delivery Orders and Receipts
 Gas Withdrawal Tickets and Mileage Reports
 Memorandum Receipt and Property Condemnation Reports
 Paid Bills and Invoices
 Paid Bonds and Coupons
 Periodic Financial Reports to Local/State Agencies
 Receipt Copies and Stubs
 Receiving Reports
 Reconciliation and Trial Balance Sheets
 Renewable Licenses
 Requisitions and Purchase Orders
 Stock Record Cards
 Time Sheets
 Withholding/Tax Forms and Statements, Local, State & Federal

Retention: Retain for 3 years and until all audit requirements have been fulfilled, then destroy.

F. Purchasing Records-Commodities and Services Including but not Limited to the Following:

Actual Emergency and Repairs Report
 Agency Interoffice Requisitions
 Automation Management Reports
 Bid Tabulation Records
 Contract Amendments
 Credit Memorandum
 Inventory Dispositions
 Invitation for Bids
 Invoices/Expenditure Transfer Authorizations
 Issue Tickets or Receipts
 Maryland Register Notices

Materials/Supplies Specifications
Monthly Expenditure Printouts
Notice of Award of Contract from Maryland Register
Out of Schedule Requisition for Supplies
Packing Slips, Shipping Tickets, Bills of Lading
Purchase Order
Purchasing Register
Receiving Reports
Report of Delivery/Partial Delivery
Request for Proposals
Requisition Forms, Miscellaneous
Requisition for Supplies
Warehouse Requisitions

Retention: Retain for 5 years and until all audit requirements have been fulfilled, then destroy.

G. Contracts Awarded

This series consists of services contracts entered into on behalf of the Office of the People's Counsel.

Retention: Retain original contract for the life of the contract plus 2 years and until all audit requirements have been fulfilled, then destroy.

H. Vendor List

Retention: Retain until superseded, then destroy.

9. Personnel

A. Personnel Records Including but not Limited to the Following:

Upon selection for employment, a personnel folder may contain:

Application
Appointment Letter
Correspondence Relating to New Appointment
Personnel Payroll Form
Personnel Position Action Request
Personnel Recruitment Screening Report
Personnel Transaction Form
Retirement Form

During continued employment, the folder may contain:

Change of Address Forms
Clearance File

Charges for Removal
Commendations
Contractual Employment
Counseling Sessions
Disciplinary Actions
Efficiency Ratings
EOE Statistical-Reports
General Correspondence
Grievance Actions
Health Insurance Benefits Forms
Leave Forms
Orientation Program
Position History
Probation
Promotions
Resumes
Suggestion File
Summer Employment
Suspension Actions
Training
The final documents in the folders are:
Personnel Payroll Form
Letter of Resignation
Retirement
Transfer
Dismissal

Retention: Retain in office 3 years after termination of employment or until administrative value ceases, then destroy.

B. Personnel I.D. Number (PIN)

Retention: Retain permanently. Transfer periodically to the Maryland State Archives.

C. Status Card File

Retention: Retain for 5 years, then destroy.

D. History Card: This card contains the following:

Name, Address
Social Security Number
Telephone Number
Race, Sex
Birth date

Increment Date
 Entry on Duty (EOD) Date
 Classification
 Effective Date of Classification
 Employment Status
 Salary
 Position Identification Number (PIN)
 Resignation, Retirement, Transfer, Dismissal, or Expiration

Retention: Retain in office 3 years after termination of employment or until administrative value ceases, then destroy.

E. Workers' Compensation First Report of Injury Reports

Retention: Retain for 5 years, then destroy.

F. Department of Personnel Part-time Quarterly Reports

Retention: Retain for 5 years, then destroy.

G. Department of Personnel Annual Reports

Retention: Retain for 5 years, then destroy.

H. Agency/Department Personnel Budget Reports

Retention: Retain for 5 years, then destroy.

10. Computer Information

A. E-Mail Retention

Read messages in mailboxes are to be removed after 90 days. Trash messages are to be removed after 10 days. Staff who use the calendaring feature for appointments, etc. are encouraged to either archive their calendar information, or set automatic clean up of appointments/ tasks/notes for their mailboxes.

E-Mail accounts can not and should not be used for permanent storage of files and information. Staff should print messages that need to be retained and file them with the appropriate file for long-term storage. Using the archive function in Outlook is not acceptable as permanent or long term storage because there is no guarantee of its readability in the future if software changes.

B. Server Backups

All file and database servers are to be backed up nightly. Tapes for the backup system are labeled with dates chronologically.