

**RECORDS RETENTION AND DISPOSITION**

**A REFERENCE MANUAL**

**FOR**

**PUBLIC EDUCATION IN MARYLAND**

***REVISED***

***2005***

MARYLAND STATE DEPARTMENT OF EDUCATION  
200 WEST BALTIMORE STREET  
BALTIMORE, MARYLAND 21201

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## **Section II – Records Retention and Disposal Schedules by Division**

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Appendix A – COMAR 14.18.02

**RECORDS RETENTION AND DISPOSITION**

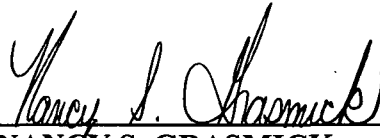
**A REFERENCE MANUAL**

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**REVISED 2005**

**APPROVED:**



**NANCY S. GRASMICK**  
*State Superintendent of Schools*  
*Maryland State Department of Education*

**DATE**



**EDWARD C. PAPERFUSE**  
**STATE ARCHIVIST**

*18 Sep 06*

**DATE**

The above signatures constitute legal approval of the records retention and disposal schedules contained in this manual.

## FOREWARD

The intent of the **2005 Records Retention and Disposition Manual** is to serve as a resource and guide for records that are required to be maintained. These guidelines are consistent with the legal requirements imposed from Code of Maryland Regulations (COMAR) and the Family Educational Rights an privacy Act (FERPA). The schedule format was developed by a committee of Records Retention and Disposition Coordinators from local school systems and the Maryland State Department of Education staff members responsible for the maintenance and disposal of state and local records. This committee researched records retention efforts in other states as part of their deliberation. This manual reflects extensive input from the local school systems' staff who served on this committee.

In order to maintain a standardized records procedure, the committee makes the following recommendations:

- the state and local school systems shall maintain and dispose of records in accordance with the prescribed schedules;
- the state and local school systems shall appoint a responsible party to ensure the implementation of the procedures outlined in this manual;

We appreciate the Office of the Attorney General, Department of General Services, and the Hall of Records for their guidance in the preparation of this document. We also thank the members of the committee and local superintendents for their cooperation throughout this process.

**SECTION I**

**PROCEDURES**

## INTRODUCTION

The intent of this reference manual is to provide guidelines and standards to the Maryland State Department of Education and the local school systems for the establishment of an effective records retention and disposition program. These guidelines are consistent with the legal requirements imposed in COMAR 14.18.02 (see Appendix A) and the privacy protection laws referred to as Family Educational Rights and Privacy Act (FERPA).

Records management is a recognized discipline of increasing importance. In order for an agency to run effectively and comply with local, state and federal laws, a records management program must be in place. The components are creation, maintenance, protection, retention, preservation and disposition of records as well as nonrecords. "Records" mean any documentary material in any form or format including paper, microform, electronic record or other medium that is created by an agency or office or received by an agency or office connection with the transaction of public business. See COMAR 18.02.01B(5). In general, nonrecords are materials created or acquired for reference, exhibition, or backup. Establishing a records management program can be beneficial to any office keeping up with today's information dependent society. Properly prepared schedules can save space, money and time.

The primary purpose of this document is to address the records retention and disposition management of records pertinent to public education in Maryland. A records retention and disposal schedule is an official document which lists and describes all records of an agency or office. It provides the following:

- a. authorization for the destruction of records that are not essential to its operations after the lapse of a stated period of time; and
- b. authorization for the permanent retention of those records deemed by statute or considered by the State Archives in Annapolis to be of permanent value or both. See COMAR 18.02.01B(7).

This manual contains approved records retention and disposal schedules by the Maryland State Department of Education and the State Archives.

## RECORDS RETENTION DEFINITIONS

For the purpose of this manual, all written or printed materials relating to public education in Maryland are categorized as either **records** or **nonrecords**.

### **Records Defined**

Records include any paper, correspondence, forms, reports, minutes of formal meetings, photographs, films, sound recordings, maps, drawings or other documents, regardless of form or characteristics, that are made or received by public educational agencies of the State of Maryland in the transaction of public business.

**Permanent records** are those of enduring administrative, legal, financial, historical (archival) or research value. They may be active or inactive, but they are not disposable.

**Disposable records** include records which reach a point of inactivity and are of no further administrative, legal, financial, or historical value. They may be disposed of after the retention period specified in the records retention schedule has elapsed.

### **Nonrecords Defined**

Nonrecords are materials created or acquired for reference, exhibition or "back-up." See State Government Article §10-640. Nonrecords include extra copies of records and/or copies of books, magazines, newspapers, bulletins, and other library or museum materials made or acquired for reference or exhibition purposes, stocks of publications, acceptance or refusals of invitations or other personal business of public officials. In addition, nonrecord status has been extended to include letters of transmittal, routing slips, temporary administrative materials such as suspense (draft) or convenience copies, and stenographic notes that have been transcribed.

### **Records Retention and Disposal Schedule Defined**

The records retention and disposal schedule is an official document which lists and describes all records of an agency or office. The schedule provides authorization for the destruction of records that are not essential to operations after the lapse of a stated period of time. Additionally, it provides for the permanent retention of records deemed to be of permanent value.



## GOALS FOR RECORDS RETENTION AND DISPOSAL SCHEDULES

The goals of the Record Retention and Disposal Schedules are to develop a systematic process that will:

1. maintain adequate and proper documentation and evidence of the agency activities for record keeping.
2. provide timely disposal of records no longer needed for current agency business;
3. identify records requiring longer retention that may be maintained off-site in economical storage facilities;
4. serve as a source of all records/nonrecords related to Maryland State Department of Education activities;
5. preserve records of continuing or enduring value;
6. maintain a current document that will require updates; and
7. save time, space and money.

## GENERAL CONSIDERATIONS FOR MAINTENANCE OF RECORDS

1. No statement in this manual shall be construed to authorize the destruction of records that have been in custody for less than three years or for such other period or condition that is expressly required by law.
2. Public school system records or series of records that are subject to audit must be retained until such time as reports of the audit have been received and accepted by the appropriate officials or the retention period has been satisfied, whichever is longer. As some records are subject to more than one audit or are audited by more than one agency, all audit requirements must be satisfied.
3. The records of discontinued schools remain the responsibility of the local school systems and are governed by the same schedules as those issued for the records of existing schools.
4. All questions relating to the contents of this manual should be directed to writing to the Assistant State Superintendent, Division of Planning, Results, and Information Management, Maryland State Department of Education.
5. According to COMAR 14.18.02.02, schedules shall be prepared by each agency or office for all record series it creates and maintains. Accordingly, all local school systems are responsible for maintaining and implementing records retention and disposal schedules. The Maryland State Department of Education is not responsible for ensuring that these schedules are maintained.

### Extra Copies

Frequently, copies of records are maintained at more than one location within a local school system. One or more copies of a record may be on file at the central records office and additional copies kept in the schools. The following guidelines are provided for disposing of extra copies:

1. Designate the location of the "record copy". This will usually be the central records office. The disposition of the record copy is governed by the retention schedule in this manual.
2. Identify the other copies as "nonrecord copies." The disposition of the nonrecord copies is governed by the local school system's retention schedule.

## **PREPARING THE RECORDS RETENTION AND DISPOSAL SCHEDULES IN THE LOCAL EDUCATION AGENCY**

The Maryland State Department of Education shall assist the local school systems and office personnel in the development of schedules and provide any necessary forms. The State Archives in Annapolis will also provide assistance upon request from the local school systems or divisions with respect to the determination of what records may or may not be deemed permanent.

Schedules shall be prepared using the following four steps:

1. inventorying the records;
2. appraising the records;
3. preparing the schedule, and
4. obtaining legal authorization for use of the schedule.

Refer to COMAR 18.02.02D(2) for specific procedures for preparing a records retention and disposal schedule.

## IMPLEMENTING THE RECORDS RETENTION AND DISPOSITION PROGRAM IN THE LOCAL EDUCATION AGENCY

Each local school system shall designate an official to coordinate the activities relating to records retention and disposition. Responsibilities will include:

1. developing methods and procedures for implementing the records retention and disposal schedule at the division and local levels;
2. identifying those records and nonrecords that should be treated as confidential;
3. *formulating a local record retention and disposal schedule; using the information included in this manual as a model, and submitting updated schedules biennially to the Assistant State Superintendent, Division of Planning Results, and Information Management, Maryland State Department of Education (MSDE).*
4. publicizing the program within the local school system, providing directions for implementing the program, and setting achievable goals for the disposition of the backlog of accumulated inactive records;
5. developing methods for storing and destroying material;
6. periodically (at least annually), publicizing the need for school principals and department heads to check existing records and nonrecords against the retention and disposal schedules and to dispose of inactive material according to the provisions of the schedule;
7. checking to see that the provisions of the schedule are being followed and that the destruction or other disposition of records and nonrecords are properly recorded;
8. filing Certificate of Records Disposal form (DGS 550-2) with MSDE;
9. when necessary, informing MSDE of needed changes to this manual;
10. on request, interpreting the schedules and procedures to local school system personnel;
11. recommending necessary steps to ensure the preservation of records with long retention periods;
12. suggesting filing procedures to facilitate disposal of records; and
13. determining the appropriateness of using microfilm and/or CD ROM as a means of conserving space and insuring security of records.

NOTE: Decisions of the records manager in regard to retention and/or disposition of records are subject to review by the State Archivist.

## **IMPLEMENTING THE RECORDS RETENTION AND DISPOSITION PROGRAM IN THE STATE**

Each division within the Maryland State Department of Education (MSDE) shall designate an official to coordinate the activities related to records retention and disposition. Responsibilities include:

1. developing methods and procedures for implementing the records retention and disposal schedule within the division;
2. identifying those records and nonrecords that should be treated as confidential;
3. setting achievable goals for the disposition of the backlog of accumulated inactive records;
4. developing methods for storing and destroying material;
5. periodically (at least annually) checking existing records and nonrecords against the records retention and disposal schedules and disposing of inactive material according to the provisions of the schedule;
6. filing Certificate of Records Disposal form (DGS 550-2) with the Results Branch, Division of Planning, Results, and Information Management, MSDE as needed;
7. when necessary, informing the Results Branch of needed changes to this manual;
8. on request, interpreting the schedules and procedures to local school system personnel;
9. recommending necessary steps to ensure the preservation of records with long retention periods;
10. suggesting filing procedures to facilitate disposal of records;
11. determining the appropriateness of the use of microfilming as a means of conserving space and insuring security of records;
12. submitting a proposed schedule that shall be approved in writing by legally designated official of the agency or office before submitted to the Records Management Division of the Department of General Services; and
13. providing three signed copies of any proposed schedule and one copy of the Agency Records Inventory form (DGS 550-4). See COMAR 14.18.02.02.

## STRUCTURE OF THE RECORDS RETENTION AND DISPOSAL SCHEDULE

There are 13 parts of the records retention and disposal schedule. Each part is defined below. A copy of the schedule is located on page 9. The completed schedules are in Section II of this manual.

1. **Agency** – An operational, functional or territorial division (as of a government, business or university).
2. **Division** – The unit within the agency that is responsible for completing and submitting the records retention and disposal schedule(s) and any revisions.
3. **Type of Record(s)** – A group or type of records typically of the same class or category (for example, student, staff and financial records).
4. **Schedule Number** – The State Records Center assigns this number to each schedule received.
5. **Page Number** – Sequential page number and number of pages used to complete the schedule.
6. **Date Completed** – The most recent date the schedule was completed or revised.
7. **Item Number** – A sequential number listed for each record on the schedule.
8. **Description of Record** – A description of a specific record series and any form number that identifies the record.
9. **Legal Reference**- Any state or federal regulation which governs the decision for the retention and disposal schedule.
10. **Retention Period** – The length of time that must elapse before nonpermanent records may be destroyed.
11. **Responsible Entity** – The unit responsible for the maintenance and disposal of the record (for example, school, local education agency, Maryland State Department of Education, other/specify).
12. **Location of Record Copy** – The physical site to which the single official record is held. Records may need more than one location (for example, 5 years at the school, then forward to local central office).

13. **Disposition Instruction(s)** – Directions for destroying records and carrying out their disposition in compliance with the appropriate regulation. The instruction may include transfer to the State Records Center for temporary storage, transfer to State Archives for permanent storage, or destruction.

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

Schedule No. \_\_\_\_\_  
 Page \_\_\_\_\_ of \_\_\_\_\_

Agency Maryland State Department of Education  
Division/Unit \_\_\_\_\_

Item No.	Description	Retention

Schedule Approved by Department, Agency, or Division Representative.  
 Date \_\_\_\_\_  
 Signature \_\_\_\_\_  
 Typed Name \_\_\_\_\_  
 Title \_\_\_\_\_

Schedule Authorized by State Archivist  
 Date ~~\_\_\_\_\_~~  
 Signature ~~\_\_\_\_\_~~



## STATE RECORDS CENTER

### *What is a State Records Center?*

The State Records Center, located in Jessup, Maryland, is a place where state agencies may store records which are no longer needed in their offices but have temporary administrative value. Local school systems are responsible for storing and maintaining their own records.

### *Why do we need a State Records Center?*

The prime objective of this program is to keep noncurrent inactive records moving out of high-cost office space and filing equipment into the low-cost space provided by the State Records Center.

### *What do I have to do before sending records to the State Records Center?*

The State Records Management Division has established a number of conditions guiding the use of the State Records Center by state agencies.

Briefly, these conditions are:

1. A records retention and disposal schedule must be in effect for the agency's records.
2. The records must have more than twelve months retention left before disposal.
3. The records must be packed in approved State Records Center boxes available through Maryland Correctional Enterprises.
4. One copy of the completed Records Transmittal and Receipt form (DGS 550-5) must be sent to the State Records Center Manager prior to scheduling any transfer of boxes. Refer to Procedures for Transferring Records to the State Records Management Center in Jessup (page 15).

### *How do I transport records to the State Records Center?*

Those agencies with available transportation are expected to provide their own delivery of boxes to the State Records Center. Maryland Correctional Enterprises and Maryland State Agency for Surplus Property (service contractor within state government) can also be contacted and may provide delivery service for a fee.

### *How do I retrieve records from the State Records Center?*

Request for a single file or an entire box of files can be made by sending a completed Reference Request form (DGS 550-8) to the State Records Center manager. Agencies are encouraged to send written rather than telephone requests.

***Who is allowed to reference my records?***

The sender may reference his records at any time. However, no one, including the Federal Government, the courts, the public, or any other state agency, will be allowed to reference records without the permission of the sender. All reference authorizations must be in writing and signed by the sender. If an authorized agent (employee, auditor, etc.) only needs to review a record, the State Records Center will provide an area to do so. Copies may be made if they have been authorized by the sender. (Note: a small copy fee may be charged for copies.)

***Where is the State Records Center?***

The State Records Center is located in Jessup, Maryland. The center's address is:

**State Records Management Center  
7275 Waterloo Road (Rt. 175)  
P.O. Box 275  
Jessup, Maryland 20794  
Telephone: (410) 799-1379**

## REFERENCE REQUEST PROCEDURE

The staff of the State Records Center provides reference services on records stored. Request for a single file or an entire box of files can be made by sending a completed Reference Request form (DGS 550-8) to the State Records Center manager. Agencies are encouraged to send written rather than telephone requests. However, if there is an emergency, a telephone request will be honored. The request form is self explanatory and should contain all the information needed to locate the requested material.

# REFERENCE REQUEST

Directions:      1. Please print or type.                      2. Send all copies of form.                      3. Use a separate form for each request.

<b>1. RECORDS REQUESTED</b>		
a. Case Name or Title		
b. Case Number	c. Date or Year	
d. Other Information _____ _____ _____ _____		

<b>2. LOCATION OF RECORDS</b>		
a. Accession or Lot No.	b. Box No.	c. Records Center Location
		Range(s)                      Section(s)

<b>3. REQUESTOR</b>		
a. Name and Address of Requesting Agency	b. Name	
c. Telephone No.	d. E-mail Address	e. Date of Request

3	2	5	5	4
FINANCIAL AGENCY	FY	INDEX	PCA	AOBJ

## FOR RECORDS CENTER USE ONLY

<input type="checkbox"/> Records Destroyed <input type="checkbox"/> Records Missing From Box <input type="checkbox"/> Records Charged Out (name and date)  	<input type="checkbox"/> Additional Information Needed  		
	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">Date</td> <td style="width: 50%; border: none;">Searcher's Initials</td> </tr> </table>	Date	Searcher's Initials
Date	Searcher's Initials		

## PROCEDURES FOR TRANSFERRING RECORDS TO THE STATE RECORDS MANAGEMENT CENTER IN JESSUP

1. Pack all records in standard State Records Center cartons available for purchase through Maryland Correctional Enterprises (10" x 12" x 15" and hold one cubic foot of either letter or legal size records). Records with different disposal dates shall not be placed in the same carton.
2. Mark all cartons clearly with a dark marking pen and identify the contents of the cartons on the Records Transmittal and Receipt form (DGS 550-5). The first carton on each Records Transmittal and Receipt form shall begin with the number 1. The number of each carton shall be placed in the upper left corner and a brief description of the contents placed in the center of the box. Stickers are not acceptable.
3. Complete a Records Transmittal and Receipt (DGS 550-5) for each group of cartons with different disposal dates. All cartons of records listed on a specific transmittal shall be disposable within the same calendar or fiscal year.
4. The original copy will be mailed by the transferring division to the Department of General Services, State Records Management Center, 7275 Waterloo Road (Rt. 175, P.O. Box 275, Jessup, Maryland 20794. Make **two** copies of the Records Transmittal and Receipt form (DGS 550-5):
  - a. maintain one copy within your division, and
  - b. attach one copy with the boxes to be transferred to Jessup.
5. Verify the date boxes will be transferred [Department of General Services (DGS) will contact agency official listed on the Records Transmittal and Receipt form with the week materials are scheduled for transfer]. It takes approximately 4-6 weeks to receive a moving date after DGS receives the original transmittal\*.
6. Contact a moving company to assist your division in transporting the boxes to Jessup. (Suggested movers are: Maryland Correctional Enterprises or Maryland Surplus Property.) Each division is responsible for any expenses incurred.
7. Notify DGS with the exact date boxes will be delivered.
8. Contact maintenance personnel within MSDE and submit a work order so that boxes are located in the loading dock on the day they are scheduled to be picked up.
9. DGS will return the completed Records Transmittal and Receipt forms to the Results Branch, Division of Planning, Results, and Information Management, Maryland State Department of Education, and copies will be made and sent to the transferring division.

\*Note: The scheduled disposal will not occur for at least one year following the records' receipt at the State Records Center.

**RECORDS TRANSMITTAL AND RECEIPT**

DIRECTIONS - PLEASE TYPE OR PRINT CLEARLY ALL ENTRIES

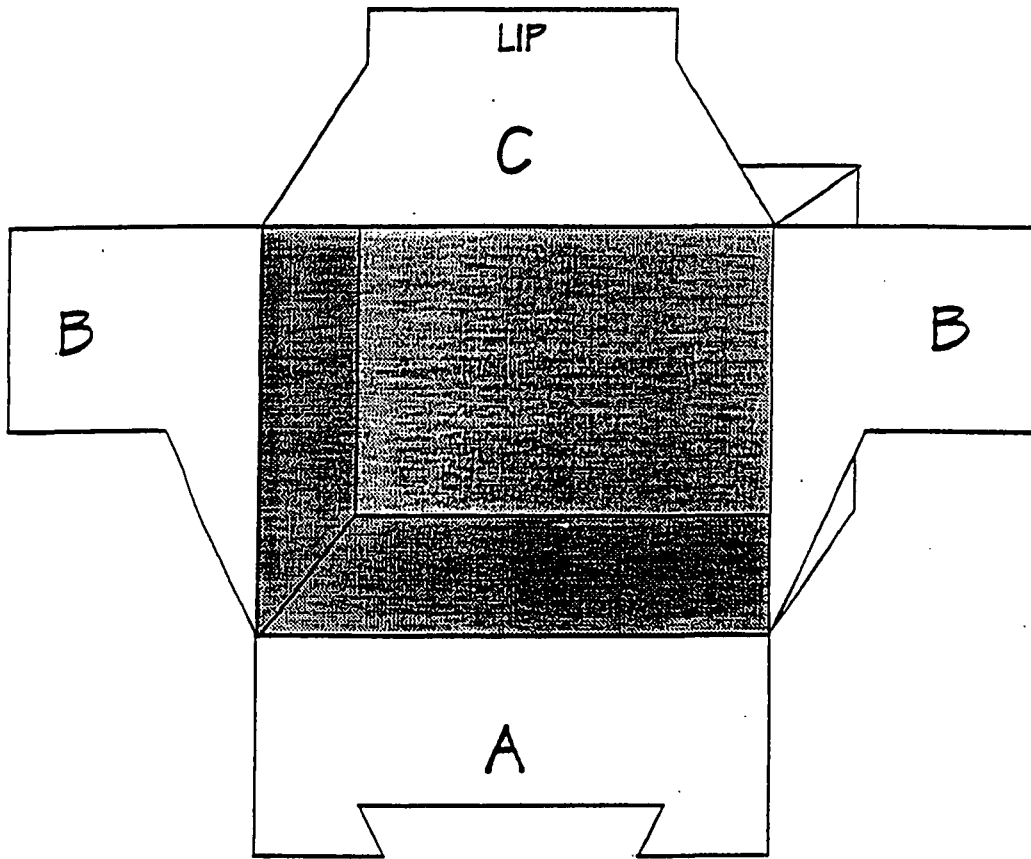
A. AGENCY 1.		ACCESSION NO.	DATE REC'D
B. DIVISION/UNIT			RM CODE
C. MAILING ADDRESS		LOCATION RANGE                  SECTION(S)	NO. OF CU. FT.
D. PHONE NO.		RECORDS CENTER MANAGER	
E. AGENCY OFFICIAL		TO BE COMPLETED AT STATE RECORDS MANAGEMENT CENTER	
2. BOX NUMBERS	3. DESCRIPTION OF RECORDS WITH INCLUSIVE DATES		4. DISPOSAL AUTHORITY SCHEDULE, ITEM NO., DISPOSAL DATE

# DIRECTIONS FOR ASSEMBLING RECORD CENTER CONTAINERS

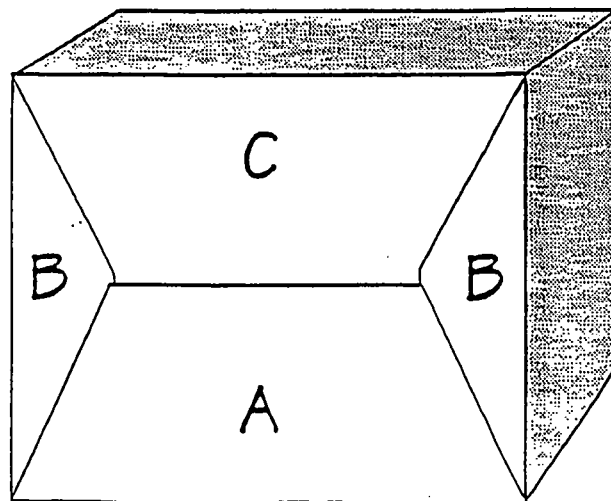
---

1. Fold flap A inward.
  2. Fold B flaps over A flap.
  3. Fold flap C, pushing inward until lip snaps into place.
- 

BOTTOM OF BOX BEFORE FOLDING



BOTTOM OF BOX AFTER FOLDING



## PROCEDURES FOR RECORDS DISPOSAL

Records scheduled for disposal shall be assigned to the following categories and destroyed as indicated:

1. **Confidential records** – shred or burn under the supervision of the staff member responsible for the records or his/her designee.
2. **All other records** – dispose of as wastepaper, burn or bury (landfill) or recycle.

After records have been destroyed, the Certificate of Records Disposal form (DGS 550-2) must be completed and sent to the State Records Management Center in Jessup. Receipt and validating of the Certificate of Records Disposal form entries concerning description, authorization and inclusive date, within records management, legalizes the record(s) destruction. A copy must be sent to the Division of Planning, Results, and Information Management, Maryland State Department of Education.





**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
STATE RECORDS CENTER  
P.O. BOX 275  
JESSUP, MARYLAND 20794-0275  
410-799-1379**

**DATE:**

**TO:**

**SUBJECT: DISPOSAL CLEARANCE**

The records listed on the attached sheet are eligible for disposal. They will be destroyed as scheduled if no reply is received within one month from the date of this letter. If you do not concur in this action, please return this letter with justify continued retention in the space below. Cite Accession Number and include a new disposal date for these records.

Sincerely,

Gabriel Lopez  
Records Center Manager

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## **COMPLETING THE AGENCY RECORDS INVENTORY FORM**

The purpose of the Agency Records Inventory form (DGS 550-4) is to allow the State Records Center to dispose of records on a timely basis and to ensure that space will be available for future accession. The Agency Records Inventory form shall be completed for each new revised records series. This form shall be submitted with the records retention and disposal schedule (DGS 550-1).

<b>Instructions</b> - Type or Print a separate form for each new or revised record series. Forward with Records Retention Schedule (DGS 550-1)	DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 Waterloo Road, P.O. Box 275 Jessup, Maryland 20794 410-799-1930	<b>AGENCY RECORDS INVENTORY</b>  PAGE _____ OF _____
1. Department/Agency	2. Division	3. Unit
<b>DEFINITION - RECORD SERIES:</b> A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.		
4. Record Series Title	5. Earliest Year/Latest Year _____ to _____	
6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.)		
7. Record Series Format(s) List all  <input type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Audio Tape <input type="checkbox"/> Floppy Disk <input type="checkbox"/> Bound Book <input type="checkbox"/> Video Tape <input type="checkbox"/> Other (specify) _____	8. Record Series Sequence  <input type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (specify) _____	9. Volume <input type="checkbox"/> 1/2 Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify) _____  Number _____  10. Annual Accumulation <input type="checkbox"/> 1/2 Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify) _____  Number _____
11. File is Used <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Annually	12. File Becomes Inactive After Number _____ <input type="checkbox"/> Month(s) <input type="checkbox"/> Year(s)	
13. Current Location(s) (Bldg., Floor, Room)	14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.) <input type="checkbox"/> Yes <input type="checkbox"/> No	
15. Access Restrictions (If Yes, cite Law(s) & Regulation(s)) <input type="checkbox"/> Yes <input type="checkbox"/> No	16. Audit Requirements <input type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent	
17. Is an Index System used? If yes, explain briefly and describe requirements <input type="checkbox"/> Yes <input type="checkbox"/> No	18. Recommended Retention	
19. Name and Title of Preparer	20. Telephone Number	21. Date

## **TRANSFERRING RECORDS TO THE STATE ARCHIVES IN ANNAPOLIS**

The local school system will provide suitable storage for local records, except in those rare cases in which records are determined to be archival quality by the Hall of Records and are accepted for deposit in the State Archives in Annapolis.

Each local school system is encouraged to preserve and make available for legitimate purposes original copies of documents of local historic significance.

**SECTION II**

**RECORDS RETENTION  
AND  
DISPOSAL SCHEDULES  
BY DIVISION**

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

**Schedule No. 2373-1**

Page 1 of 1

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Office of Academic Policy

Item No.	Description	Retention
<b>Supersedes Schedule No. 1996</b>		
1	<b>GENERAL FILES</b>  a. General correspondence b. Surveys and information requested of local superintendents c. News releases and newsletters d. State Board of Education information	Retain 3 years and until all audit requirements are met, then destroy
2	<b>FEDERAL AND OTHER GOVERNMENT AGENCY PROJECTS FUNDED</b>  a. Robert C. Byrd Honors Scholarship Program b. No Child Left Behind	Retain 10 years and until all audit requirements are met, then destroy
3	<b>MISCELLANEOUS RECORDS</b>  Records whose retention is temporary, but necessary for the conduct of business  a. MSDE Bulletin, Maryland Classroom and all other printed materials b. Legislative & Budget materials c. Telephone messages d. General correspondence e. Any other records kept in the ordinary course of business	Retain until no longer needed, then destroy

Schedule Approved by Department, Agency, or Division Representative.

Date 8/17/06

Signature *Ronald A. Peiffer*

Typed Name Ronald A. Peiffer

Title Deputy State Supt.

Schedule Authorized by State Archivist

Date 18 Sep 06

Signature *Edward C. [unclear]*

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

**Schedule No. 2373-2**

Page 1 of 2

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Accountability and Assessment

Item No.	Description	Retention
Supersedes Schedule No. 1994		
1	<b>GENERAL FILES</b> A. General Correspondence B. Surveys and Information Requested of Local Superintendents C. News Releases and Newsletters D. PC Computer Files – Disks, Printouts E. Computer Program Listings – Master Files F. Computer System Documentation G. Data Processing Procedures – Master Files	RETAIN THREE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY.
2	<b>STATE AND FEDERAL DATA COLLECTION INSTRUMENTS RELATED DOCUMENTS</b> A. Staff Data Instruments. B. Pupil Data Instruments. C. Facilities Data Instruments.	RETAIN FOR THREE YEARS, THEN DESTROY.
3	<b>RECORDS AND REPORTS MAINTAINED UNTIL DATA ARE TRANSFERRED TO MASTER FILE TAPE</b>	RETAIN ONE YEAR OR UNTIL DATA ARE TRANSFERRED TO TAPE AND VALIDATED, THEN DESTROY.
4	<b>DATA PROCESSING REPORTS AND PRINTOUTS FROM MASTER FILES</b>	DESTROY WHEN NO LONGER NEEDED.
5	<b>MSDE NONSTATISTICAL COMPUTER MASTER FILES</b>	RETAIN FIVE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN SCRATCH TAPES.

Schedule Approved by Department, Agency, or Division Representative.  
 Date 8/18/06  
 Signature Gary Heath  
 Typed Name Gary Heath  
 Title Asst State Superintendent

Schedule Authorized by State Archivist  
 Date 18 Sep 06  
 Signature Edward C. Pappas



**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No. 2373-2**

Page 2 of 2

<b>Agency</b> Maryland State Department of Education	<b>Division/Unit</b> Division of Accountability and Assessment
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Item No.	Description	Retention
6	<b>MSDE STATISTICAL COMPUTER MASTER FILES</b>	RETAIN TEN YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN SCRATCH TAPES.
7	<b>MANAGEMENT RECORDS</b>  A. Certificate of Records Disposal B. Annual Forms Management Report	RETAIN THREE YEARS OR UNTIL SUPERSEDED, THEN DESTROY.
8	<b>FEDERAL AND OTHER GOVERNMENT AGENCY PROJECTS FUNDED</b>  All records defined and governed by some organization outside the legal or administrative jurisdiction of Maryland law, the State Board of Education, or the Superintendent of Schools. A. Federal Projects 1. Applications 2. Progress and Evaluation Reports 3. Correspondence 4. Amendments 5. Short and Long Range Plans B. Short and Long Range Plans required by the State Legislature, the Department of Budget and Fiscal Planning, and other Agencies	RETAIN FIVE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY.
9	<b>STATE PUBLICATIONS</b>	PERMANENT, TRANSFER TO STATE ARCHIVES.
10	<b>ANNUAL STAFF REPORT FOR MARYLAND PUBLIC SCHOOL SYSTEMS (ELECTRONIC FILE)</b>	RETAIN FORM THREE YEARS IN THE ACTIVE STAFF DATABASE, THEN MAINTAIN AS PERMANENT ELECTRONIC FILE AT MSDE FOR EVENTUAL TRANSFER TO THE STATE ARCHIVES.

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

Schedule No. 2373-3

Page 1 of 1

**Agency** Maryland State Department of Education      **Division/Unit** Office of the Deputy State Superintendent (Audit Office)

Item No.	Description	Retention
<b>Supersedes Schedule No. 1993</b>		
1	<p><b>AUDIT REPORTS</b></p> <p>A. Audit Reports of State Aided Programs Performed by the Department's Audit Staff</p> <p>B. Independent CPA Audit Reports of Local Boards of Education and Maryland Library Systems.</p> <p>C. Legislative Audit Reports of the Maryland State Department of Education</p>	PERMANENT; TRANSFER TO STATE ARCHIVES.
2	<p><b>OTHER RECORDS AND REPORTS</b></p> <p>A. Working Papers and Letters supporting our Audit Reports of State Aided Programs</p> <p>B. Desk Review and Quality Control Review Checklists and Letters supporting our reviews of the Independent CPA Audit Reports of Local Boards of Education and Maryland Library Systems</p> <p>C. Independent CPA Audit Reports of Other MSDE Subrecipients with supporting Desk Review Checklists and Letters.</p> <p>D. Audit Reports of Other MSDE Subrecipients Performed by the Department's Audit Staff with supporting Working Papers and Letters</p> <p>E. Other Correspondence to and from this office</p>	RETAIN FIVE YEARS PLUS CURRENT YEAR UNTIL ALL AUDIT REQUIREMENTS ARE MET; THEN DESTROY.

Schedule Approved by Department, Agency, or Division Representative.  
 Date January 25, 2006  
 Signature *Robert W. Crawford*  
 Typed Name Robert W. Crawford  
 Title Chief, Audit Office

Schedule Authorized by State Archivist  
 Date 18 Sep 06  
 Signature *Edward C. [unclear]*

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

**Schedule No. 2373-4**

Page 1 of 3

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Business Services

Item No.	Description	Retention
<b>Supersedes Schedules Nos. 1993 and 1998</b>		
1	<p><b><u>GENERAL FILES</u></b></p> <ul style="list-style-type: none"> <li>A. General Correspondence</li> <li>B. Surveys and Information Requested of LSS</li> <li>C. PC Computer Files – Disks, Printouts</li> <li>D. News Releases and Newsletters</li> </ul>	Retain for three years and until all audit requirements are met; then destroy.
2	<p><b><u>FINANCE RECORDS</u></b></p> <ul style="list-style-type: none"> <li>A. ACCOUNTING RECORDS               <ul style="list-style-type: none"> <li>1. Cash Receipts</li> <li>2. Cancelled Checks</li> <li>3. Invoices/Transmittals</li> <li>4. Comptroller of the Treasury Forms</li> <li>5. DGS Purchase Bureau Forms</li> <li>6. DBFP Forms</li> <li>7. Other Accounting Records (Bank Statements, Bank Deposit Slips, Bank Deposit Receipts, Check Stubs, Purchase Orders, Notices of Grant Awards, Contract Agreements, Expense Reports, Out-of-State Travel Approvals, and Other Records)</li> </ul> </li> <li>B. PAYROLL RECORDS               <ul style="list-style-type: none"> <li>1. Payroll and Check Registers</li> <li>2. Payroll Exception Time Reports</li> <li>3. Payroll Warrants</li> <li>4. Payroll Transmittals</li> </ul> </li> <li>C. FINAL BOOKS OF ENTRY This includes the Final Books of Entry and all Standard Accounting Forms used by all State Agencies as supporting data to the Final Books of Entry.</li> </ul>	<p>Retain for five years or the life of the contract/grant period and until all audit requirements have been met, whichever is longer; then destroy.</p> <p>Retain for five years and until all audit requirements have been met; then destroy.</p> <p>Permanent; transfer to State Archives.</p>
3	<p><b><u>STATE AID RECORDS</u></b></p> <p>All records required to administer the Department State Aid Programs including calculation sheets and backup data.</p>	Retain for three years and until all audit requirements are met; then destroy.

Schedule Approved by Department, Agency, or Division Representative.  
 Date 8-23-06  
 Signature *John Lang*  
 Typed Name John Lang  
 Title Division Director

Schedule Authorized by State Archivist  
 Date 18 Sep 06  
 Signature *Edward C. Papenfuss*

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No. 2373-4**

Page 2 of 3

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Business Services

Item No.	Description	Retention
4	<p><b><u>ANNUAL BUDGET RECORDS</u></b> Records prescribed by the Department or the State for the Annual Preparation of the Department's Budget Request.</p> <p>A. Budget Bureau Estimates B. Statement of Goals C. MSDE Action Plan D. MSDE Support Service Plan</p>	Retain for three years and until all audit requirements have been met; then destroy.
5	<p><b><u>PUPIL TRANSPORTATION AND SAFETY RECORDS</u></b></p> <p>A. Records Relating to School Vehicle Drivers 1. Criminal Record Checks 2. Physical Examination Records 3. Current Driving Records 4. Preservice and Inservice Instruction Records 5. Drug and Alcohol Testing Records 6. Accident and Operational Records 7. Certification of Driver Instructors 8. Certification of Supervisor of Transportation 9. Evaluations (Performed once every 2 years) 10. Attendance Records</p> <p>B. Records Relating to School Bus Attendants 1. Preservice and Inservice Instruction 2. Attendance Records</p> <p>C. Drug and Alcohol Testing Reports D. Vehicle Acceptance Sheets E. Records of Special Students Transported F. Registrations of Vehicles G. Records of Spare Buses H. Records of Evaluation Drills I. Maintenance Records J. Railroad and Bridge Crossing Evaluations</p>	Retain for ten years and until all audit requirements have been met; then destroy.
6	<p><b><u>PERSONNEL RECORDS</u></b></p> <p>A. Employee Accident Records including Records of Workers' Compensation for each occurrence.</p> <p>B. Inactive Personnel Files Containing Employment History which Relate to Salary, Position Reclassification and other Related Personnel Actions.</p> <p>C. Employee Grievance Records including Records of Cases Filed and Processed by Employee/Employer Relations.</p> <p>D. Leave Records including Bi-weekly Time Records.</p>	<p>Retain for seven years; then destroy.</p> <p>Retain for five years; then destroy.</p> <p>Retain for five years; then destroy.</p> <p>Retain for four years; then destroy.</p>

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

Schedule No. 2373-4

Page 3 of 3

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Business Services

Item No.	Description	Retention
7	<p><b><u>FACILITIES MANAGEMENT RECORDS</u></b></p> <ul style="list-style-type: none"> <li>A. Property Passes</li> <li>B. Requests for Supplies</li> <li>C. Requests for Parking Permits</li> <li>D. Inventory Control Records</li> </ul>	<p>Retain until all audit requirements are met; then destroy.</p>
8	<p><b><u>SCHOOL &amp; COMMUNITY NUTRITION PROGRAMS BRANCH RECORDS</u></b></p> <ul style="list-style-type: none"> <li>A. Policy Statements for Free and Reduced Price Meals, and if applicable, Free Milk</li> <li>B. Applications for School Nutrition Programs</li> <li>C. Site Catalogs/Schedule A's</li> <li>D. Agreements for School Nutrition Programs</li> <li>E. Coordinated Review Effort Reviews, Accountability Reviews and Administrative Reviews</li> <li>F. Monthly Claims for Reimbursements</li> <li>G. Annual Financial Reports</li> <li>H. Students' Free and Reduced Price Meal Benefit Forms</li> <li>I. Records of Students Directly Certified for Free Meals</li> <li>J. Meal Count Data</li> <li>K. Documentation of Verification of Eligibility</li> <li>L. Commodity Inventory Records               <ul style="list-style-type: none"> <li>1. Spoilage Reports</li> <li>2. Receiving Reports</li> </ul> </li> <li>M. Food Service Management Company Contracts</li> <li>N. Revenue Records               <ul style="list-style-type: none"> <li>1. Bank Statements</li> <li>2. Deposit Slips</li> </ul> </li> <li>O. Expenditure Records               <ul style="list-style-type: none"> <li>1. Payroll Records (including time sheets)</li> <li>2. Invoices</li> <li>3. Contracts</li> <li>4. Documentations of Allocations (i.e., for rent, etc.)</li> </ul> </li> </ul>	<p>Retain for three years past the close of the last fiscal year to which they pertain or three years past the date of filing the last claim for reimbursement, whichever is later; then destroy.</p>

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

Schedule No. 2373-5

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**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Certification and Accreditation

Item No.	Description	Retention
	<b>Supersedes Schedule Nos. 1988 and 1999</b>	
1	<b>GENERAL FILES</b> A. General Correspondence B. Surveys and Information Requested of Local Superintendents C. All materials submitted by an applicant who does not receive certification	<b>RETAIN THREE YEARS AND UNTIL ALL REQUIREMENTS ARE MET, THEN DESTROY.</b>  <b>RETAIN 1 YEAR, THEN DESTROY.</b>
2	<b>CERTIFICATION RECORDS OF SCHOOL ADMINISTRATORS, SUPERVISORS, TEACHERS AND PUBLIC LIBRARIANS WHO RECEIVE MARYLAND CERTIFICATION</b> A. Application for Certificates B. Occupational Experience Resumes C. List of Participants in In-service Activities D. Evaluation Forms for Advanced Professional Certificates E. Evaluation for Certification by Subject Area F. National Teacher Exam Scores G. Praxis Test Scores H. Other Test Scores	<b>RETAIN UNTIL AGE 73 OF APPLICANT OR THREE YEARS FOLLOWING DEATH OF APPLICANT, IF KNOWN THEN DESTROY.</b>
3	<b>CERTIFICATION POLICIES AND INTERPRETATIONS</b> A. Minutes of the Certification Review Board B. Minutes of the Professional Standards and Teacher Education Board	<b>PERMANENT, TRANSFER TO STATE ARCHIVES.</b>
4	<b>CONTRACT FILES</b> Interstate Contracts and Other Contracts Signed by the State Superintendent	<b>PERMANENT, TRANSFER TO STATE ARCHIVES.</b>

Schedule Approved by Department, Agency, or Division Representative.  
 Date 8/16/06  
 Signature *John E. Smeallie*  
 Typed Name John E. Smeallie  
 Title Assistant State Superintendent

Schedule Authorized by State Archivist  
 Date 18 Sep 06  
 Signature *Edward C. Soper*

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

Schedule No. 2373-5

Page 2 of 4

**Agency**

Maryland State Department of Education

**Division/Unit**

Division of Certification and Accreditation

<b>Item No.</b>	<b>Description</b>	<b>Retention</b>
5	<p><b>TEACHER EDUCATION PROGRAM EVALUATION</b></p> <ul style="list-style-type: none"> <li>A. Detail Working Documents</li> <li>B. Official Approval Records                             <ul style="list-style-type: none"> <li>1. State Superintendent's Letters Approval of Teacher Education Programs</li> <li>2. Reciprocity Lists – Interstate and National Association of State Directors of Teacher Education and Certification (NASDTEC)</li> </ul> </li> </ul>	<p><b>RETAIN FOR FIVE YEARS THEN DESTROY</b></p>
6	<p><b>TEACHER RECRUITMENT REFERENCE FILE</b></p> <ul style="list-style-type: none"> <li>A. Teacher Referral Forms</li> <li>B. Advisory Placement Survey</li> </ul>	<p><b>DESTROY WHEN NO LONGER NEEDED</b></p>
7	<p><b>LIST OF GRADUATE TEACHERS ELIGIBLE FOR CERTIFICATION</b></p> <ul style="list-style-type: none"> <li>A. List of Graduates of Approved Teacher Education Programs Received from Maryland Institutions</li> <li>B. Data listing of Approved Program Graduates (MAP) who have issued a Statement of Eligibility. (Not relevant after 1995)</li> </ul>	<p><b>RETAIN FOR TEN YEARS THEN DESTROY</b></p>
8	<p><b>APPROVED WORKSHOPS</b></p> <ul style="list-style-type: none"> <li>A. Workshop Approval Forms</li> <li>B. Notification of Repeat Offerings or Previously Approved In-service Programs</li> </ul>	<p><b>RETAIN FOR FIVE YEARS THEN DESTROY</b></p>

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

Schedule No. 2373-5

Page 3 of 4

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Certification and Accreditation

Item No.	Description	Retention
9	<p><b>NONPUBLIC SCHOOL &amp; INSTITUTION APPROVAL RECORDS</b></p> <p>Records of Evaluation and Approval of Nonpublic Schools and Institution in Accordance with Section 2-205 of the Education Article, except those of individual personnel. The Records to be Retained are identified in NSAB 10-3 (Policies and Procedures for Establishing and Maintaining Files of Nonpublic Schools and Institutions.</p>	<p><b>RETAIN SEVEN YEARS AFTER SCHOOL HAS CEASED OPERATING, THEN TRANSFER TO STATE ARCHIVES FOR PERMANENT RETENTION</b></p>
10	<p><b>INDIVIDUAL STUDENT RECORDS FOR NONPUBLIC SECONDARY SCHOOLS WHICH HAVE CEASED OPERATING</b></p> <p>In accordance with Section 2-304 of the Education Article, The Records Pertaining to the Academic Achievement of all Former High School Students who Attended Nonpublic Schools which have Ceased Operating.</p>	<p><b>RETAIN SEVEN YEARS AFTER SCHOOL HAS CEASED OPERATING, THEN TRANSFER TO STATE ARCHIVES FOR PERMANENT RETENTION</b></p>
11	<p><b>RECORDS OF SCHOOLS OPERATED BY BONA FIDE CHURCH ORGANIZATIONS</b></p> <p><b>Schools which are Exempt from Maryland Nonpublic School Approval Law</b></p> <ul style="list-style-type: none"> <li>A. Exemptions forms completed by the Bona Fide Church Organization</li> <li>B. Letter from MSDE to Bona Fide Church Organization Granting Exemption</li> <li>C. Letter from the Department of Assessments and Taxation Verifying the Organization's Incorporation in the State of Maryland as Religious Organization</li> <li>C. Articles of Incorporation and/or Bylaws of the Bona Fide Church Organization</li> </ul>	<p><b>RETAIN SEVEN YEARS AFTER SCHOOL HAS CEASED OPERATING, THEN DESTROY</b></p>



**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No. 2373-5**

**Page 4 of 4**

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Certification and Accreditation

Item No.	Description	Retention
12	<p><b>NONPUBLIC SCHOOL PERSONNEL RECORDS</b></p> <p>Personnel Record Blanks (Non-certified Teachers)</p>	<p><b>THESE ARE RETURNED TO THE SCHOOL IMMEDIATELY AFTER APPROVAL. MSDE DOES NOT RETAIN</b></p>
13	<p><b>NONPUBLIC SCHOOL RE-EVALUATION RECORD</b></p> <p>A. Annual Report from Nonpublic Schools in Maryland (Related Forms)</p> <p>B. Report of Visits to Nonpublic Schools in Maryland</p>	<p><b>RETAIN SEVEN YEARS AFTER THE SCHOOL HAS CEASED TO OPERATE, THEN TRANSFER TO STATE ARCHIVES FOR PERMANENT RETENTION</b></p>
14	<p><b>CONFIDENTIAL INFORMATION</b></p> <p>Reports on the proceedings of evaluation teachers and vice principals for participants of the Maryland Assessment Center Program.</p>	<p><b>RETAIN SEVEN YEARS, THEN DESTROY</b></p>
15	<p><b>FEDERAL AND OTHER GOVERNMENT AGENCY PROJECTS FUNDED</b></p> <p>A. <b>Federal Projects</b></p> <ol style="list-style-type: none"> <li>1. Applications</li> <li>2. Progress and Evaluation Reports</li> <li>3. Correspondence</li> <li>4. Amendments</li> <li>5. Short and Long Range Plans</li> </ol> <p>B. Short and Long Range Plans required by the State Legislature, the Department of Budget and Fiscal Planning and other Agencies</p>	<p><b>RETAIN FIVE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY</b></p>

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

**Schedule No. 2373-6**

Page 1 of 1

**Agency**

Maryland State Department of Education

**Division/Unit**

Division of Career Technology and Adult Learning

Item No.	Description	Retention
<b>Supersedes Schedule No. 1995</b>		
1	GENERAL FILES  A. General Correspondence B. Surveys and Information Requested of Local Superintendents C. News Releases and Newsletters D. PC Computer Files - Disks, Printouts	RETAIN THREE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY
2	FEDERAL AND OTHER GOVERNMENT AGENCY PROJECTS FUNDED  All records defined and governed by some organization outside the legal or administrative jurisdiction of Maryland law, the State Board of education, or the Superintendent of Schools.  A. Federal Projects 1. Application 2. Progress and Evaluation Reports 3. Correspondence 4. Amendments 5. Short and Long Range Plans B. Short and Long Range Plans required by the State Legislature, the Department of Budget and Fiscal Planning, and other Agencies	RETAIN THREE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY
3	GENERAL EDUCATIONAL DEVELOPMENT PROGRAM PARTICIPANT ACTIVITY LOG RECORDS  A. Master Listing of Diplomas Issued and Failures B. Annual Statistical Report C. Test Center Contracts	A. PERMANENTLY STORED AT MSDE, UPDATED MONTHLY IN CURRENT FORMAT, COPY SENT TO STATE ARCHIVES B. KEEP A PERMANENT RECORD FOR EVENTUAL TRANSFER TO STATE ARCHIVES C. RETAIN THREE YEARS, THEN DESTROY
4	PROGRAM PARTICIPANT RECORDS  A. Application for Testing B. Application for High School Diploma United States Armed Forces Institute (UDAFI) and Defense Activity for Non-Traditional Education Support (DANTES) C. Answer Sheet for General Educational Development Tests	A. RETAIN FIVE YEARS, THEN DESTROY B. RETAIN FIVE YEARS, THEN DESTROY C. RETAIN SIX MONTHS, THEN DESTROY
5	GED FISCAL OR ACCOUNTING RECORDS  Proctor Pay Vouchers *Must Meet Subtitle 18, Section 14, 18, 04 regarding electronic records.	RETAIN FIVE YEARS AND UNTIL ALL AUDIT REQUIREMENTS HAVE BEEN MET, THEN DESTROY

Schedule Approved by Department, Agency, or Division Representative.  
Date 8/16/06  
Signature Katharine M. Oliver  
Typed Name Katharine M. Oliver  
Title Asst. State Superintendent

Schedule Authorized by State Archivist  
Date 18 Sep 06  
Signature Edward C. Pappas

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

**Schedule No. 2373-7**

Page 1 of 2

**Agency**  
Maryland State Department of Education

**Division/Unit**  
DORS/Business Support Services

Item No.	Description	Retention
1	Audit Reports	Retain for five years, then destroy
2	Federal Reports	Retain for three years and until all audit requirements have been met, then destroy
3	Accounts Payable	Retain for three years and until all audit requirements have been met, then destroy
4	Inventory Control Records	Retain until all audit requirements are met, then destroy
5	Personnel Records (Accident & Worker's Compensation)	Retain for seven years, then destroy
6	Interactive Personnel Files – Employment history & records which relate to salary & other personnel actions	Retain for five years, then destroy
7	Recruitment Records	Retain for three years, then destroy
8	Leave Records & Timesheets	Retain for four years, then destroy
9	Purchase Orders – FMIS/ADPICS generated	Retain for five years, then destroy

Schedule Approved by Department, Agency, or Division Representative.

Date 8-15-06

Signature Robert A Burns

Typed Name Robert Burns

Title \_\_\_\_\_

Assistant State Superintendent

Schedule Authorized by State Archivist

Date 18 Sep 06

Signature Edward C. Papenfuss

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No. 2373-7**

Page 2 of 2

**Agency**  
Maryland State Department of Education

**Division/Unit**  
DORS/Business Support Services

<b>Item No.</b>	<b>Description</b>	<b>Retention</b>
10	Corporate purchasing card activity loss	Retain for three years or until audited, then destroy
11	Vehicle modification solicitation records	Retain for five years, then destroy
12	Home modification solicitation records	Retain for five years, then destroy
13	Contact solicitation records & documentation	Retain for five years, then destroy
14	Client's records involving Social Security Reimbursement	Retain for the year the case was closed plus five years, then destroy

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

**Schedule No. 2373-8**

Page 1 of 1

**Agency**  
Maryland State Department of Education

**Division/Unit**  
DORS/Client Services

Item No.	Description	Retention
1	Client's records of services provided by DORS	Retain for the year the case was closed plus three years, then destroy

Schedule Approved by Department, Agency, or Division Representative.

Date 8.15.06

Signature Robert A Burns

Typed Name Robert Burns

Title \_\_\_\_\_

Assistant State Superintendent

Schedule Authorized by State Archivist

Date 18 Sept 06

Signature Edward C. Pappas

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

Schedule No. 2373-9

Page 1 of 1


Agency  
Maryland State Department of Education

Division/Unit  
DORS/WTC

Item No.	Description	Retention
1	Client's records of services provided by the Work Force Technology	Retain for the year the case was closed plus five years, then destroy

Schedule Approved by Department, Agency, or Division Representative.

Date 8-15-06

Signature 

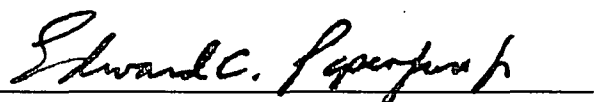
Typed Name Robert Burns

Title \_\_\_\_\_

Assistant State Superintendent

Schedule Authorized by State Archivist

Date 18 Sep 06

Signature 

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

**Schedule No. 2373-10**

Page 1 of 2

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Instruction

Item No.	Description	Retention
1	<p align="center"><b>Supersedes Schedule No. 1989</b></p> <p><b>GENERAL FILES</b>                      A. General Correspondence.                      B. Information and Feedback from District Visits.                      C. MSDE News Releases and Newsletters.                      D. Information and Feedback from Assistant Superintendents Meetings.                      E. Information and Minutes from Exec. Team, State Board, Superintendent, Division and Support Staff meetings.                      F. Information on each DOI programs area (Assessment and Professional Development, Curriculum, Instructional Technology &amp; School Library Media, Instructional Programs).                      G. Miscellaneous – floor plans, reconfiguration diagrams, etc.                      H. Feedback on Master Plans (Title II, III, V, II-D, Fine Arts, GT)</p>	<p>RETAIN THREE YEARS AND UNTIL ALL REQUIREMENTS ARE MET, THEN DESTROY.</p>
2	<p><b>STATE AND FEDERAL DATA COLLECTION INSTRUMENTS RELATED DOCUMENTS</b>                      A. Professional Development Survey Data.                      B. Strategic Budget.                      C. Audit Findings.</p>	<p>RETAIN FOR THREE YEARS, THEN DESTROY.</p>
3	<p><b>RECORDS AND REPORTS MAINTAINED UNTIL DATA ARE TRANSFERRED TO MASTER FILE TAPE</b>                      A. Legislative Senate and House Bills.</p>	<p>RETAIN TAPES FOR ONE YEAR THEN DELETE OR DESTROY.</p>

Schedule Approved by Department, Agency, or Division Representative.

Date 8/16/06

Signature Colleen P. Seremet

Typed Name Colleen P. Seremet

Title Asst. State Superintendent

Schedule Authorized by State Archivist

Date 18 Sep 06

Signature Edward C. Pappas Jr

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No. 2373-10**

Page 2 of 2

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Instruction

<b>Item No.</b>	<b>Description</b>	<b>Retention</b>
4	<p><b>MANAGEMENT RECORDS</b> A. Certificate of Records Disposal</p>	<p>RETAIN THREE YEARS OR UNTIL SUPERSEDED, THEN DESTROY.</p>
5	<p><b>FEDERAL AND OTHER GOVERNMENT AGENCY PROJECTS FUNDED</b></p> <p>All records defined and governed by some organization outside the legal or administrative jurisdiction of Maryland law, the State Board of Education, or the Superintendent of Schools.</p> <p>A. Grant Awards and Amendments.</p>	<p>RETAIN FIVE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY.</p>
6	<p><b>STATE PUBLICATIONS</b></p> <p>A. High Quality Teacher Professional Development Standards. B. MOU for Maryland K-16 Partnership. C. Voluntary State Curriculum.</p>	<p>PERMANENT, TRANSFER TO STATE ARCHIVES.</p>



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

Schedule No. 2373-11


Page 1 of 2

<b>Agency</b> Maryland State Department of Education	<b>Division/Unit</b> Division for Leadership Development
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Item No.	Description	Retention
<b>SUPERSEDES SCHEDULE NO. 1991</b>		
1	<b>GENERAL FILES</b> A. General Correspondence B. Surveys and Information Requested of Local Superintendents C. Professional Development Agendas and Sign-in Sheets D. Evaluation Instruments	RETAIN THREE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY
2	<b>FINANCIAL FILES — STATE FUNDS</b> A. Grant Award Notifications and Amendments B. Documentation Supporting Grant Awards and Amendments C. Purchase Requisitions, Bids, Invoices, Payment Authorizations, Credit Card Reconciliations	RETAIN FIVE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY
3	<b>FINANCIAL FILES – FEDERAL, SPECIAL, AND OTHER GOVERNMENT AGENCY PROJECT FUNDS</b> All records defined and governed by some organization outside the legal or administrative jurisdiction of Maryland law, the State Board of Education, or the Superintendent of Schools. A. Federal Projects <ol style="list-style-type: none"> <li>1. Applications</li> <li>2. Progress and Evaluation Reports</li> <li>3. Correspondence</li> <li>4. Awards and Amendments</li> <li>5. Short and Long Range Plans</li> </ol>	RETAIN FIVE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY

Schedule Approved by Department, Agency, or Division Representative.

Date January 23, 2006

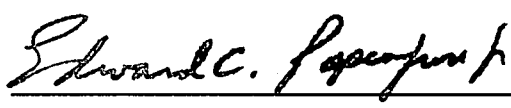
Signature 

Typed Name Mary Cary

Title Assistant State Superintendent

Schedule Authorized by State Archivist

Date 18 Sep 06

Signature 

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No. 2373-11**

Page 2 of 2

**Agency**

**Division/Unit**

**Maryland State Department of Education**

**Division for Leadership Development**

<b>Item No.</b>	<b>Description</b>	<b>Retention</b>
3 (Cont'd)	<p><b>FINANCIAL FILES – FEDERAL, SPECIAL, AND OTHER GOVERNMENT AGENCY PROJECT FUNDS</b> All records defined and governed by some organization outside the legal or administrative jurisdiction of Maryland law, the State Board of Education, or the Superintendent of Schools.</p> <p>B. Special and Other Government Agency Projects</p> <ol style="list-style-type: none"> <li>1. Correspondence</li> <li>2. Progress and Evaluation Reports</li> <li>3. Attendance and Completion Records</li> <li>4. Purchases and Awards</li> </ol> <p>C. Short and Long Range Plans Required by the State Legislature, the Department of Budget and Management, and Other Agencies</p>	<p>RETAIN FIVE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY</p>
4	<p><b>ADMINISTRATIVE, POLICY, AND PROCEDURE FILES</b></p> <p>A. Records Retention and Disposal</p> <p>B. Property Control (Purpose is an inventory and a security maintenance strategy for DLD's physical property; this property is also included on MSDE's main physical property list)</p>	<p>RETAIN UNTIL SUPERSEDED, THEN DESTROY.</p>
5	<p><b>ELECTRONIC RECORDS AND FILES</b></p> <p>A. Databases for Division Initiatives</p> <p>B. Forms</p> <p>C. Correspondence and Reports</p>	<p>RETAIN THREE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY</p>

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

Schedule No. 2373-12

Page 1 of 1

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Library Development and Services

Item No.	Description	Retention
1	<p align="center"><b>Supersedes Schedule No. 1987</b></p> <p><b>GENERAL FILES</b></p> <p>A. General Correspondence                      B. Surveys and Information Requested of Local Superintendents                      C. News Releases and Newsletters                      D. PC Computer Files – Disks, Printouts                      E. Computer Program Listings – Master Files                      F. Computer System Documentation                      G. Data Processing Procedures – Master Files</p>	<p>RETAIN THREE YEARS AND UNTIL ALL REQUIREMENTS ARE MET, THEN DESTROY.</p>
2	<p><b>FEDERAL AND OTHER GOVERNMENT AGENCY PROJECTS FUNDED</b></p> <p>All records defined and governed by some organization outside the legal or administrative jurisdiction of Maryland law, the State Board of Education, or the Superintendent of Schools.</p> <p>A. Federal Projects</p> <p>    1. Applications                      2. Progress and Evaluation Reports                      3. Correspondence                      4. Amendments                      5. Short and Long Range Plans</p> <p>B. Short and Long Range Plans required by the State Legislature, the Department of Budget and Fiscal Planning, and other Agencies</p>	<p>RETAIN FIVE YEARS AND UNTIL ALL AUDIT REQUIREMENTS ARE MET, THEN DESTROY.</p>

Schedule Approved by Department, Agency, or Division Representative.

Date August 15, 2006

Signature *Irene M. Padilla*

Typed Name Irene M. Padilla

Title Assistant State Supt. For Libraries

Schedule Authorized by State Archivist

Date 18 Sep 06

Signature *Edward C. Papenfuss Jr*

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

**Schedule No. 2373-13**

Page 1 of 3

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Special Education/  
Early Intervention Services

Item No.	Description	Retention
<b>Supersedes Schedules Nos. 1992 and 2000</b>		
1	<p><b><u>GENERAL FILES</u></b></p> <ul style="list-style-type: none"> <li>A. General Correspondence</li> <li>B. Surveys and Information Requested of LSS</li> <li>C. PC Computer Files – Disks, Printouts</li> <li>D. News Releases and Newsletters</li> </ul>	Retain for three years and until all audit requirements have been fulfilled, then destroy.
2	<p><b><u>FEDERAL AND OTHER GOV AGENCY PROJECTS FUNDED</u></b></p> <ul style="list-style-type: none"> <li>A. Federal Projects               <ul style="list-style-type: none"> <li>1. Applications</li> <li>2. Progress &amp; Evaluation Reports</li> <li>3. Correspondence</li> <li>4. Amendments</li> <li>5. Short and Long Range Plans</li> </ul> </li> <li>B. Short and Long Range Plans required by the State Legislature, the Department of Budget and Fiscal Planning, and other Agencies.</li> </ul>	Retain for three years and until all audit requirements have been fulfilled, then destroy.  Retain for five years and until all audit requirements have been fulfilled, then destroy.
3	<p><b><u>FISCAL</u></b></p> <p>Funding grant requests, letters of awards for local jurisdictions, invoices, payment records.</p>	Retain for five years and until all audit requirements have been fulfilled, then destroy.
4	<p><b><u>GRANTS</u></b></p> <ul style="list-style-type: none"> <li>A. Local and Incentive Annual grants awarded to local jurisdictions for the purpose of delivering services to infants and toddlers who are eligible for Part C.</li> <li>B. Grant awards to local school systems, local lead agencies, and special education nonpublic schools for Medicaid payments.</li> </ul>	Retain five years and until all audit requirements are met, then destroy.  Retain for five years and until all audit requirements have been fulfilled, then destroy.

Schedule Approved by Department, Agency, or Division Representative  
Date 8/15/06  
Signature *Carol Ann Baglin*  
Typed Name Carol Ann Baglin, Ed.D.  
Title Assistant State Superintendent

Schedule Authorized by State Archivist  
Date 18 Sep 06  
Signature *Edward C. Pappas*

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No. 2373-13**

Page 2 of 3

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Special Education/  
Early Intervention Services

Item No.	Description	Retention
5	<p><b>MD INFANTS AND TODDERS PROGRAM DIRECTOR'S CORRESPONDENCE</b> General, programmatic, and policy documents related to the development and implementation of Part C in Maryland.</p>	Retain for five years and until all audit requirements have been fulfilled, then destroy.
6	<p><b>INTERAGENCY COORDINATING COUNCIL</b> Minutes of State Interagency Coordinating Council meetings along with membership lists, meeting dates, and general correspondence.</p>	Retain minutes, agendas, and membership lists permanently, transfer periodically to the State Archives. Retain other files for five years and until all audit requirements have been fulfilled, then destroy.
7	<p><b>ONSITE DOCUMENTATION (for specific counties)</b> A. Individual jurisdiction correspondence related to delivery of services for infants and toddlers eligible for Part H. B. Local school systems and special education nonpublic schools documentation of services billed to Medicaid.</p>	Retain for five years and until all audit requirements have been fulfilled, then destroy.
8	<p><b>PERSONNEL</b> All employees' timesheets, employment records for previous employees. OCR materials, out-of-state travel requests and approvals, county problems, training consortium grant, federal appropriations.</p>	Retain for five years and until all audit requirements have been fulfilled, then destroy.
9	<p><b>TRAINING/CONFERENCE</b> Documentation of trainings related to Medicaid billable services.</p>	Retain for six years and until all audit requirements have been fulfilled, then destroy.
10	<p><b>SUITABLE QUALIFICATIONS</b> Awarded to providers in early intervention service during the development and implementation of Part C in Maryland.</p>	Retain for five years and until all audit requirements have been fulfilled, then destroy.
11	<p><b>COMPLAINT INVESTIGATION AND DUE PROCESS RECORDS</b> A. State Complaint Records  B. Due process Hearing Records  C. Mediation Records</p>	<p>Retain for three years; then destroy.</p> <p>Retain for three years after completion of any activity regarding the hearing, including appealed decision from State or federal courts; then destroy.</p> <p>Retain for three years; then destroy.</p>

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No. 2373-13**

Page 3 of 3

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Special Education/  
Early Intervention Services

<b>Item No.</b>	<b>Description</b>	<b>Retention</b>
12	<b>PUBLIC INFORMATION ACT REQUESTS</b>	Retain for three years; then destroy.
13	<b>INDIVIDUALIZED EDUCATION PROGRAMS (IEPs)</b>	Local school system to maintain for three years after completion of activity. Destroy after retention period.
14	<b>Individualized Education Program Team summary sheets and notes containing identification of assessments and evaluations performed.</b>	Local school system maintains original records for three years. Destroy after retention period.
15	<b>Individualized Education Program Team documenting the requirements of the Individuals with Disabilities Education Act.</b>	Local school system maintains for three years. Local and State level hearing decisions may sustain reverse or alter lower level decisions. Records used to decisions must be maintained for review in the event of appeal. Destroy after retention period.
16	<b>Individualized Education Program documenting services which are eligible for medical assistance reimbursement. IEP Team summary sheets and notes containing documentation of the need for services which are eligible for medical assistance reimbursement. All documentation of services provided. On-going service coordination notes demonstrating eligibility for medical assistance reimbursement. All applications for medical assistance reimbursement.</b>	Local school system must retain for six years. Destroy after retention period.
17	<b>Nonpublic Tuition Assistance Program</b>	Local school system must retain for five years. Destroy after retention period.

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

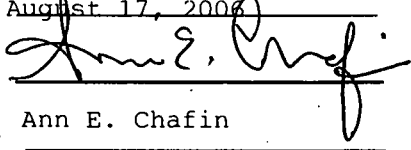
**Schedule No. 2373-14**

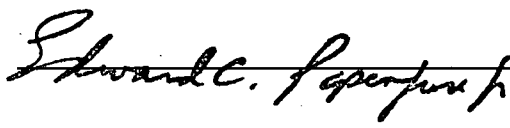
Page 1 of 1

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Division of Student, Family and School Support

Item No.	Description	Retention
1	<p align="center"><b>Supersedes Schedule No. 1990 and 1997</b></p> <p><b>GENERAL FILES</b></p> <p>A. General Correspondence B. Surveys and Information Requested of Local Superintendents C. News Releases and Newsletters D. PC Computer Files – Disks, Printouts</p>	<p>RETAIN THREE YEARS AND UNTIL ALL REQUIREMENTS ARE MET; THEN DESTROY.</p>
2	<p><b>FEDERAL AND OTHER GOVERNMENT AGENCY PROJECTS FUNDED</b></p> <p>All records defined and governed by some organization outside the legal or administrative jurisdiction of Maryland law, the State Board of Education, or the Superintendent of Schools.</p> <p>A. Federal Projects</p> <ol style="list-style-type: none"> <li>1. Applications</li> <li>2. Progress and Evaluation Reports</li> <li>3. Correspondence</li> <li>4. Amendments</li> <li>5. Short and Long Range Plans</li> </ol> <p>B. Short and Long Range Plans required by the State Legislature, the Department of Budget and Fiscal Planning, and other Agencies</p>	<p>RETAIN FOR FIVE YEARS; THEN DESTROY.</p>

Schedule Approved by Department, Agency, or Division Representative.  
 Date August 17, 2006  
 Signature   
 Typed Name Ann E. Chafin  
 Title Assistant State Superintendent

Schedule Authorized by State Archivist  
 Date 18 Sep 06  
 Signature 

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

**Schedule No. 2373-15**

Page 1 of 2

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Office of the Superintendent

Item No.	Description	Retention
<b>Supersedes Schedule No. 1996</b>		
1	<p><b>GENERAL FILES</b></p> <p>A. General Correspondence B. Surveys and Information Requested of Local Superintendents</p>	Retain three years and until all audit requirements are met, and then destroy.
2	<p><b>FEDERAL AND OTHER GOVERNMENT AGENCY PROJECTS FUNDED</b></p> <p>All records defined and governed by some organization outside the legal or administrative jurisdiction of Maryland law, the State Board of Education, or the Superintendent of Schools.</p> <p>A. Federal Projects 1. Applications 2. Progress and Evaluation Reports 3. Correspondence 4. Amendments 5. Short and Long Range Plans B. Short and Long Range Plans required by the State Legislature, the Department of Budget and Fiscal Planning, and other Agencies</p>	Retain five years and until all audit requirements are met, and then destroy.
3	<p><b>PERMANENT RECORDS</b></p> <p>All official minutes, judgments, and other records of official actions taken by the State Board of Education and the Office of the State Superintendent.</p> <p>A. State Board of Education Materials 1. Official Board Minutes 2. Official Board Records 3. Rulings of the State Board of Education</p>	Permanent, transfer to State Archives

**Schedule Approved by Department, Agency, or Division Representative.**

Date: 8/17/06

Signature: *A. Skipp Sanders*

Typed Name: A. Skipp Sanders  
Title: Deputy State Superintendent

**Schedule Authorized by State Archivist**

Date: 18 Sep 06

Signature: *Edward C. [Signature]*



**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No. 2373-15**

Page 2 of 2

**Agency**  
Maryland State Department of Education

**Division/Unit**  
Office of the Superintendent

<b>Item No.</b>	<b>Description</b>	<b>Retention</b>
4	<p>B. County Files              1. Appointment of Board Members, Superintendents, etc.          C. Speeches given by the State Superintendent</p> <p><b>MISCELLANEOUS RECORDS</b></p> <p>Records whose retention is temporary but necessary for the conduct of business.</p> <p>A. Local Board of Education Minutes (local board retains copy)          B. Legislative and Budget Material (other State agencies retain record copies)          C. Telephone Messages          D. Speeches given by the State Superintendent          E. Attorney General Opinions          F. Legal inquiries and correspondence from and to the Office of Legal Counsel          G. State Department of Education litigation (court case records where the attorney general represents MSDE in a court of law because legal action has been taken by or against the MSDE)</p>	<p>Retain until no longer needed by the office, and then destroy.</p>

# **APPENDIX A**

**COMAR 14.18.02**

14.18.02.00

# **Title 14 INDEPENDENT AGENCIES**

## **Subtitle 18 STATE ARCHIVES**

### **Chapter 02 Records Retention and Disposition Schedules**

**Authority: State Government Article, §§9-1007 and 10-632, Annotated Code of Maryland**

**.01 Definitions.**

A. In this chapter, the following terms have the meanings indicated.

B. Terms Defined.

(1) "Agency" means any unit of State, county, or local government.

(2) "Archives" means the State Archives.

(3) "Division" means the Records Management Division of the Department of General Services.

(4) "Office" means a part of an agency.

(5) "Record" means any documentary material in any form or format including paper, microform, electronic record, or other medium, that is:

(a) Created by an agency or office; or

(b) Received by an agency or office in connection with the transaction of public business.

(6) "Record series" means a set of file units or documents maintained on paper, microform, magnetic disk, magnetic tape, or other medium and related to a particular subject or function of an agency or office or is derived from a particular activity of an agency or office.

(7) "Schedule" means a records retention and disposal schedule which is an official document listing and describing all records of an agency or office, and providing:

(a) Authorization for the destruction of those records that are not essential to its operations after the lapse of a stated period of time; and

(b) For the permanent retention of those records deemed by statute or considered by the Archives to be of permanent value, or both.

## .02 Procedures.

A. A public record may not be disposed of without authorization from the State Archivist. The authorization shall be obtained by means of filing the schedules and obtaining approval of the State Archivist.

B. All agencies shall:

- (1) Identify and preserve permanently valuable records;
- (2) Safeguard their legal and fiscal accountability;
- (3) Document their administrative history; and
- (4) Ensure ongoing public access to the public records of government by adopting schedules.

C. The Division shall assist agency and office personnel in the development of schedules and provide any necessary forms, and the Archives will also provide assistance upon request from the agency, office, or Division with respect to the determination of what records may or may not be deemed permanent.

D. The head of each agency or office shall ensure that all electronic records created by that agency or office are covered by a schedule. The schedule clearly should outline regular agency procedures to recopy, reformat, and maintain electronic records to ensure the record's retention and usability throughout the record's authorized life cycle.

E. Schedules shall be prepared:

- (1) In the following four steps:
  - (a) Inventorying the records,
  - (b) Appraising the records,
  - (c) Preparing the schedule, and
  - (d) Obtaining legal authorization for use of the schedule;
- (2) According to §§F—I of this regulation.

F. Records Inventory.

(1) A records inventory form (DGS 550-4) shall be completed for each record series. The records inventory forms shall be submitted to the State Archivist with the schedule (DGS 550-1) in order to obtain legal authorization for the schedule. The following information is required for each record series described in the inventory:

- (a) A record series title and an accurate description that reflects the activity or function documented by the record series;
- (b) The year of the earliest and latest documents in the record series;
- (c) Physical form or forms of the record series, such as letter size paper, legal size paper, bound book, audio tape, video tape, film, computer tape, floppy disk, or other medium;
- (d) The total quantity of materials contained in the record series, stated in terms of the number of units, such as cubic feet, number of reels of film, or number of tapes, etc.;

- (e) Estimated annual growth of the record series;
- (f) Frequency of reference to the record series, stated in terms of daily, weekly, or monthly usage;
- (g) Current location or locations of the record series; and
- (h) A record series description, which includes the following:
  - (i) Brief description of the typical types of documents found in the record series,
  - (ii) Activity or function documented by the record series,
  - (iii) Forms, if any, included in the record series,
  - (iv) Type of filing system, such as alphabetical, chronological, numerical, geographical, or other,
  - (v) Type and explanation of indexing system, if any, including a brief description of any hardware or software, or both, used to provide index access,
  - (vi) If the record series or index is duplicated in whole or in part elsewhere, the name of the agency or office having a copy,
  - (vii) Access restrictions, if any, based on laws or regulations, with the citations, and
  - (viii) Audit requirements, if any.

(2) An electronic records inventory form (DGS 550-6) shall be completed to document each record series in an electronic records system. The records inventory forms shall be submitted to the State Archivist with the schedule (DGS 550-1) in order to obtain legal authorization for the schedule. The following additional information is required for each record series described in the inventory:

- (a) Identify all inputs and outputs of the system;
- (b) Define:
  - (i) Contents of files and records,
  - (ii) Policies on access and use,
  - (iii) Purpose and function of the system, and
  - (iv) Updating cycles or conditions and rules for revising information in the system;
- (c) Provide for the ultimate disposition of the information, including periodic transfer of permanent electronic records to the Archives;
- (d) Specify the location and media in which electronic records are maintained through the electronic records life cycle;
- (e) Create and preserve separate descriptive files (metadata) which:
  - (i) Detail the character and content of each electronic record, and
  - (ii) Constantly accompany the electronic record; and

(f) Identify the means for transferring permanent electronic records to the Electronic Archives.

(3) The Archives shall assist in the development of file specifications for deposit.

G. Records Appraisal. Records appraisal is the process of determining how long, in what format, and under what conditions a record series ought to be preserved. Records appraisal is based upon the information contained in the records inventory. Record series shall be either preserved permanently or disposed of when no longer required for the current operations of an agency or office, depending upon:

- (1) Historical value;
- (2) Administrative value;
- (3) Legal value;
- (4) Fiscal value; and
- (5) Other archival value.

H. Schedule Preparation. The schedule shall be prepared by completing a records retention and disposal schedule form (DGS 550-1) which shall include the following information:

- (1) Name of the agency and, if applicable, office.
- (2) Description of each record series, which shall include the record series title and the record series description, as specified on the records inventory.
- (3) Retention period for each record series. The following apply:
  - (a) For records to be preserved permanently, the schedule shall provide for periodic transfers to the Archives or to a depository designated by the Archives;
  - (b) For permanent records that are microformed, the schedule shall state that the master security microform shall be transferred annually or more frequently to the Archives;
  - (c) For disposable records, the schedule shall state the length of time the records will be kept in the agency or office and, if applicable, the length of time the records will be stored in a records center;
  - (d) For records with audit requirements, the schedule shall state the length of time the records shall be kept after the audit.

#### I. Legal Authorization and Implementation of Schedules.

- (1) Proposed schedules shall be approved in writing by a legally designated official of the agency or office before they are submitted to the Division.
- (2) Three signed copies of any proposed schedule and one copy of the records inventory accompanying each proposed schedule shall be submitted to the Division for review.
- (3) Proposed revisions made by the Division and approved by the agency or office shall be incorporated into the proposed schedule and signed by a legally designated official of the agency or office.
- (4) The Division shall assign a control number (Schedule No.) and forward to the Archives all three copies of the proposed schedule, as amended or revised, and the records inventory.

(5) The Archives shall review the proposed schedule and respond within 15 working days.

(6) If the State Archivist approves the schedule as submitted, two copies signed by the State Archivist shall be returned to the Division for transmittal to the agency or office.

(7) If the State Archivist disapproves the proposed schedule in whole or in part, the Archives shall return all copies to the Division with a statement of the reasons for disapproval.

(8) The Division shall request the agency or office to modify the schedule and resubmit it to the State Archivist for approval. The Archives shall respond within 15 working days.

(9) A schedule does not constitute legal authorization for the disposal of records until it has been approved in writing by the State Archivist.



— **.03 Amendments and Revisions.**

A. A schedule may be amended or revised at any time by an agency or office, or at the request of the Division or the Archives. Reasons for amendments or revisions include the creation of new record series, changes in record-keeping practices, changes in formats, and reorganization of an agency or office. To amend or revise a schedule the steps outlined in Regulation .02F—I shall be followed.

B. At least once every 5 years an agency or office shall review its retention schedule or schedules to determine if they encompass all current record series. Based upon the review, an agency or office may be required to amend or revise its schedule or schedules by following the steps outlined in Regulation .02A—E.

C. An agency submitting legislation that will change the manner or nature of record keeping within that agency shall submit in advance a copy of the proposed legislation to the State Archives for review. This legislation shall be accompanied by any relevant Attorney General opinions.

14.18.02.04

#### **.04 Certificate of Records Destruction.**

When records are destroyed in accordance with the terms of an approved schedule, the agency, office, or records center shall submit a certificate of records destruction (DGS 550-2) to the Archives. The certificate shall contain the following information:

- A. Title of each record series;
- B. Schedule number or numbers, as assigned by the Division;
- C. Inclusive dates for each record series;
- D. Quantity of material for each record series;
- E. Date of destruction;
- F. Method of destruction; and
- G. Signature of a legally designated official of the agency, office, or records center.