

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

Schedule No. 2409

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Item No.	Supersedes Schedule 1804 & 1804A1 Description	Retention
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Office of the Division Director

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| 1. | Payroll records with attachments (exception time reports and payroll check registers), bi-weekly time sheets, and leave cards | Retain in agency current fiscal year and three (3) additional fiscal years and until audited, then destroy. |
| 2. | X-3 Individual Request for Out-of-State Travel | Retain in agency current fiscal year and three (3) additional fiscal years and until audited, then destroy. |
| 3. | Personnel Records (Active) Personnel Records (Inactive) Includes copies of employment applications, changes in classifications, sick leave reports, letters of commendations, and correspondence | Retain in agency until inactive and for ten (10) fiscal years thereafter then destroy. |
| 4. | General Correspondence Policy and Program Records Correspondence regarding procedural developments Annual, statistical, or ad hoc reports, organizational charts, circular and directive papers, etc. | Retain permanently all material which serves to document the origin, development, functions, and accomplishments of the agency and transfer periodically to the State Archives. Retain all other material in the agency for three (3) fiscal years then transfer to the State Records Center for ten (10) fiscal years then destroy. |

**Office of the Assistant Director -
Administrative Services**

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| 5. | PEP Records for managers the Assistant Director supervises, Sick Leave Documentation, and MS-22's | Retain in agency until inactive and for ten (10) fiscal years thereafter then destroy. |
| 6. | Slot Machine Annual Report and Federal Treasury Offset Program files | Retain in agency for three (3) fiscal years, transfer to State Records Center for ten (10) fiscal years, then destroy. |

Schedule Approved by Department, Agency, or Division Representative.

Date: August 7, 2009

Signature: *J. Bibeault*

Typed Name: Tom Bibeault

Title: Asst. Director

Schedule Authorized by State Archivist

Date: 3 Sep 09

Signature: *Edward C. [unclear]*

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7.	Check Register, Payroll Exception Time Report, legislative and fiscal notes, significant items report, miscellaneous section reports, and monthly legislative auditor significant finding report	Retain in agency current fiscal year and three (3) additional fiscal years and until audited, then destroy.
8.	General Correspondence Project and Subject Files consisting of original incoming and copies of outgoing letters, memos, reports, and related papers concerning the overall or general routine administration of the general accounting activities of all State agencies including the General Accounting Division	Retain in agency for three (3) fiscal years, transfer to State Records Center for ten (10) fiscal years, then destroy.
9.	Miscellaneous accounting records, budget papers and worksheets, periodic financial reports to local state agencies, reconciliation and trial balance reports <u>Administrative Services</u>	Retain in agency current fiscal year and three (3) additional fiscal years and until audited, then destroy.
10.	Budget and fiscal planning records, budget estimates, budget schedule amendments, materials and supplies, physical inventory, report of fixed assets, report of materials and supplies, request for position action	Retain in agency current fiscal year and three (3) additional fiscal years and until audited, then destroy.
11.	DAFR3030 Payment History by Vendor Name & Agency DAFR3020 Detail Payment History Report is produced yearly for Ethics Commission by ASM service desk in paper form. These reports are temporarily stored in ViewDirect after the 1099 production is complete and stored in COLD.	Maintain in Highview COLD (Computer Output to Laser Disc software which is electronic storage for GAD reports. The reports are in a similar format as in ViewDirect.) and store in agency for fifteen (15) fiscal years, then destroy. (ViewDirect is a temporary electronic storage for reports. State agencies have access to ViewDirect through FMIS. ViewDirect reports are usually available for 120 days before being destroyed.)
12.	Special Bank Account Records Agency Bank Account Request GAD X-1 form is completed by the agencies who send it to GAD for approval.	Retain current active bank accounts until inactive. Once inactive, retain in agency three (3) fiscal years, then destroy.

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13.	<p>Advance Records and related correspondence</p> <p>(Advance requests, processing errors, notice for overdue or outstanding advances, extension for overdue advances)</p> <p>Advance Records consist of two types, one is considered to be a permanent advance and the other is a temporary advance to an agency. The "permanent" advance is given to an agency for use as the agency working fund. This money is loaned to the agency and a yearly review is done after which the amount may be adjusted, but the agency is allowed to use this money on a continuing basis. The "temporary" advance is loaned to an agency for a particular event and is due to be returned to GAD on a specified date.</p> <p>DAFR9760 Accounts Receivable Aging Report prints upon request, usually monthly, and is temporarily stored in ViewDirect.</p>	<p>Permanent advance records will be kept until the account is closed and funds are no longer needed, then retain in the agency for three (3) fiscal years and until audited, then destroy.</p> <p>Temporary advance records and the Accounts Receivable Aging Report will be retained in the agency for three (3) fiscal years and until audited, then destroyed.</p>
14.	<p>Escrow Records</p> <p>DAFR3380 Liability Offset Release Control Report, DAFR3730 Liability Offset Payment Capture, and DAFR3980 Liability Offset Auto-Release Control Report are control reports printed daily and stored in ViewDirect and COLD.</p>	<p>Retain in agency three (3) fiscal years and until audited, then destroy.</p>
15.	<p>Purchasing records, actual emergency and repair reports, copy of contract awarded, credit memorandums, notice of award contract, out-of-schedule requisitions, copies of purchase orders, reports of partial delivery, requisitions for supplies, and ADPICS requisitions created by Administrative Services for GAD</p>	<p>Retain in agency three (3) fiscal years and until audited, then destroy.</p>
16.	<p>Reconciliation reports, housekeeping and safety reports, miscellaneous letters and memos, etc., are reports in Excel and Word compiled on a monthly basis.</p>	<p>Retain in agency three (3) fiscal years and until audited, then destroy.</p>

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17.	<p>Copies of 1099 Statements, 1099 vendor correspondence, 1099 agency correspondence, IRS updates, Publication 1220, B Notice CD (CP2100), etc. Records are created during the 1099 production run in R*STARS. 1099 reports are sent to ViewDirect when GAD Administrative Services requests the main January 1099 run or maintenance runs as applicable: DAFR7921 Statewide 1099-Misc Vendor Worksheet, DAFR7922 Statewide 1099-Int Vendor Worksheet, DAFR7923 Statewide 1099-Government Vendor Worksheet, DAFR7924 Statewide 1099-Real Estate Vendor Worksheet, DAFR7925 Statewide 1099-Broker/Barter Vendor Worksheet, DAFR7926 Statewide 1099-Dividends Vendor Worksheet, DAFR7930 Vendor Payment Detail by Vendor TIN Number, DAFR7931 1099 Vendor Extract from Cumulative Payment Summary Report, DAFR7950 1099 Vendor Summary Control Report, DAFR7960 1099 Detail Transactions, DAFR7971 1099 Cumulative Payment Extract Exception Report, DAFR9550 R*STARS 1099 File Listing, DAFR9560 1099 Generation M, G, I & D Report, DAFR9561 1099 Generation S & B Report, and DAFR9570 1099 Cumulative Transaction Report. DAFR7921, DAFR7922, DAFR7923, DAFR7926, DAFR7930, DAFR7931, DAFR7950, DAFR7960, DAFR7971, DAFR9550, DAFR9560, DAFR9561, and DAFR9570 are also sent to COLD.</p> <p align="center"><u>Check Distribution</u></p>	Retain in agency for the current calendar year plus five (5) additional calendar years, and until audited, then destroy.
18.	<p>Disbursing and Receiving Warrants DAFR8103 Receipt Warrant Register Detail, DAFR8104 Receiving Warrant, total of all cash received in one processing day, and DAFR3673 Disbursing Warrant, total of checks and monies paid to vendors in one processing day, are control reports.</p>	Retain in agency three (3) fiscal years and until audited, then destroy.
19.	<p>DAFR3991 Warrant/Invoice Extract Control Report is a summary report that the mailroom signs for the vendor checks to mail daily.</p>	Retain in agency three (3) fiscal years and until audited, then destroy.

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20.	Payroll Disbursing Warrant STARS 300- GAD-300 is a signed form received from Central Payroll certifying which type of payroll, payroll warrant number, dollar amount warranted, and pay period ending date. This form is also signed by GAD & attached to Central Payroll's check print totals sheet CPB A38836.	Retain in agency three (3) fiscal years and until audited, then destroy.
21.	DAFR3040 Undeliverable Check Report is a requestable report that runs daily. Returned checks are kept with the report during a 30 day period while checks are remailed with a better address. If no address can be located, the checks are voided and returned to STO. After 3 months the report is shredded. Returned checks equaling \$1,000.00 or more are logged into Excel listing name, address, TID, check number, amount, issuing agency, & date of return. The log is kept by fiscal year and retained for three (3) fiscal years and until audited, then destroyed.	Retain report in agency 3 months then destroy. Retain log in agency for three (3) fiscal years and until audited, then destroy.
22.	PS-049A Good Standing Certificates	Retain in agency six (6) months then destroy.
23.	GAD X-11 signature card to allow an agency representative to pick up vendor checks and Central Payroll 0062 signature card to allow an agency representative to pick up their agency's payroll	Retain in agency eight (8) fiscal years and until audited, then destroy.
24.	DAFR8101 Disbursing Warrant Register Detail is a control report.	Retain in agency one (1) month then destroy. Retain in Highview COLD for three (3) fiscal years and until audited, then destroy.
<u>Corporate Purchasing Card</u>		
25.	A30CPC01 Verification of Bank monthly Statement Billing File. A30CPC03 Cardholder Account Code Number Error Report. A30CPC04 Detail Transaction Report. A30CPC06 Three Parts Transactions By Cardholder Account Number Projected Vendor Checks issued Cardholder Transactions by State/Vendor/Batch Agency All reports are stored in ViewDirect.	These are monthly reports which are available in View Direct for twelve generations (12 months) and available on COLD where they are retained for three (3) fiscal years and until audited, then destroyed.
26.	A30CPC07 Agency Small Purchases Report A30CPC11 Minority Business Report A30CPC12 CPC Small Business Reserve Report All reports are stored in ViewDirect.	These are monthly reports which are available in View Direct for 12 generations (12 months). (As the newest version is created, the oldest is destroyed.)

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27.	Bill from bank Paper bills are received for each of the companies/agencies participating in the program (approximately 76.) The bill, reconciling spreadsheets, and payment authorization memos are boxed by month.	Retain in agency for three (3) months, then transfer to State Records Center for the remainder of that fiscal year and three (3) additional fiscal years and until audited, then destroy.
28.	Agency reviews, self audits, agency certifications, questionable purchases, reports, work papers, and correspondence.	Retain in agency three (3) fiscal years and until audited, then destroy.
29	Bank correspondence, rebate calculations, steering committee notes, and miscellaneous correspondence	Retain in agency five (5) fiscal years and until audited, then destroy.
<u>Office Systems and Development</u>		
30.	Project files and correspondence, work authorization forms statement of work – Remedy, SRT's, BB-4's, including test data, migration documents, reports, system acceptance, & job completion documentation.	Retain in agency three (3) fiscal years, then destroy.
31.	ACF2 system security reports and forms	Retain in agency four (4) fiscal years and until audited, then destroy.
32.	ASM security forms and reports: DAFR9900 Profile Maintenance Log Report, 9600 RSTARS Summary Log, 9601 RSTARS Add/Del Detail Log, A30FE014 R*STARS Security Profile Maintenance -Statewide Profiles Note: Reports in COLD are retained according to Annapolis Data Center's schedule. Incremental back-ups are done daily with a full back-up done once a week. One month's worth of full back-ups is retained and 2 weeks worth of incremental back-ups are retained. Reports are in COLD until manually deleted by someone with administrative access. Retentions for ViewDirect reports are determined by Department of Information Technology. State agencies have access to ViewDirect through FMIS. Daily reports have about four (4) months of data available to agencies. Retentions for Mainframe Datasets are determined by ADC's Information Technology Division and Department of Information Technology. Some datasets are generational while others are overwritten each business day.	Retain in agency four (4) fiscal years and until audited, then destroy.

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	<u>Financial Reporting and Operations</u>	
33.	Closing Packages (formerly "Closing Statements")	Retain in agency current fiscal year and three (3) additional years, transfer to State Records Center for five (5) additional fiscal years, then destroy.
34.	State Federal Single Audit Reports by Independent Auditors	Retain permanently for eventual transfer to State Archives. Copies have been distributed in accordance with state law.
35.	Certification of Special Funds, Non-budgeted Fund Cash Balances G-8	Retain in agency current fiscal year and three (3) additional years, transfer to State Records Center for five (5) additional fiscal years, then destroy.
36.	Annual Closing Check-Off List	Retain in agency current fiscal year and three (3) additional years, transfer to State Records Center for five (5) additional fiscal years, then destroy.
37.	GAAP Control Sheet schedules and other fiscal year- end reports, closing forms, and agency supporting documentation	Retain in agency current fiscal year and three (3) additional fiscal years or until audited, transfer to State Records Center for five (5) additional fiscal years, then destroy.
38.	Comprehensive Annual Financial Report (CAFR)	Two copies are sent to the State Archives as soon as the bound financial reports become available in accordance with state law. Remaining copies are retained by agency for three (3) fiscal years, then all but thirty (30) copies are destroyed. Any remaining copies are surplus copies, kept permanently for eventual transfer to State Archives.

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Item No.	Supersedes Schedule 1804 & 1804A1 Description	Retention
39.	Records Daily Schedule DAFR3121 Pre-Audit Selection & Sampling Criteria DAFR3380 Liability Offset Release Control Report DAFR3641 Payment Number Assignment DAFR3651 Warrant Register By Agency DAFR3673 Disbursing Warrant DAFR3931 30 Days Undelivered Payments by Payment Number DAFR6710 Daily History Reconciliation Report DAFR6720 CC File, GL and Sum GL Daily Reconciliation Report DAFR7061 Warrant Payable Log File Report DAFR8101 Disbursing Warrant Register Detail DAFR8103 Receipt Warrant Register Detail	Maintain in Highview COLD and store in agency until no longer needed, then destroy.

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Item No.	Supersedes Schedule 1804 & 1804A1 Description	Retention
40.	Records Monthly Schedule DAFRA220 General Ledger Account Analysis DAFRG100 Statewide Trial Balance By Fund/General Ledger DAFRG110 Appropriation Trial Balance By Fund/General ledger DAFRG360 Statewide Summary of Revenues By COBJ, Fund, & Agency DAFRG370 Statewide Summary of Revenues By Comp OBJ, App Fund DAFRG400 Statement of Agency Revenue By Program and Fund DAFRG500 Expenditure Detail Report By Unit, Appropriation Number and Fund DAFRG510 Revenue Detail Report By Unit, Appropriation Number and Fund DAFRG630 Budget Expenditures and Encumbrances Report By APP DAFRG900 Statement of Cash Balance By Appropriated Number and Fund DAFR6000 Agency Appropriation Unencumbered Balance DAFR7850 Agency Processing Days Report DAFR8920 General Ledger Fund Detail Trial Balance DAFR9040 Statement of Changes in Undesignated Fund Balance DAFR9070 Expenditures By Related Appropriation and Appropriation Number	Maintain in Highview COLD and store in agency until no longer needed, then destroy.

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41.	<p>Miscellaneous Records DAFRG260 Comparison of YTD expenditures by Comptroller Object DAFRG620 Bureau of the Census Report DAFRG680 Investable Account Balances Report DAFR3060 Duplicate Invoices Report DAFR3781 Backup Withholding Control Report DAFR6320 Allocation of Encumbrances DAFR6700 IT File Daily Reconciliation Report DAFR7010 Auditor Processing Days Report DAFR7430 Liability Offset Escrow and Aging Report DAFR8105 Statewide Special Warrant Register Detail DAFR8106 Statewide Payroll Warrant Register Summary DAFR8110 Summary Schedule of Changes in General F/A by GL, Class and Agency DAFR8170 Closing Balances-Appropriated Funds Report DAFR8180 Closing Balances-Appropriated Funds Revenues & Expenditures DAFR8190 Schedule of Changes in General F/A by Function DAFR8460 GAAP Fund Balances by Appropriated Fund DAFR8550 Trial Balance-All Fund Types and Account Groups DAFR8580 Balance Sheet - All Fund Types and Account Groups DAFR8590 Operating Statement - Governmental Funds DAFR8910 General Ledger Balances by Fund, Class, & Agency DAFR8930 GAAP Fund Transfers DAFR8960 GAAP Fund Cash Transfers Summary DAFR8970 Accumulated Depreciation by GL and Class DAFR8990 Operating Statement-GAAP Functions DAFR9090 Statement of Changes in Total Fund Balance</p> <p align="center"><u>Pre-Audit and Document Control</u></p>	<p>Maintain in Highview COLD and store in agency until no longer needed, then destroy.</p>
42.	DAFR7040 Auditor Statistics Report is a control report that prints daily.	Retain in agency two (2) calendar years, then destroy.
43.	Warrant Logs N-Series, P-Series copy Maintain R*STARS forms and agency supporting documents separately by Archive Reference	Retain in agency for three (3) months then transfer to State Records Center for the remainder of current fiscal year and three (3) additional fiscal years and until audited, then destroy.

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44.	Capital Budget Records (Construction Loans): N-Series, P-Series, GCL's	Retain Payment Transmittals in agency remainder of current fiscal year and one (1) complete fiscal year. Transfer to State Records Center for twenty (20) additional fiscal years, then destroy.
45.	DAFR7061 Warrants Payable Log File Report lists all modifications made on-line to the warrants payable file. It was saved in COLD starting FY 03. It is a control report system generated on paper.	Retain paper copies in agency three (3) months, then destroy. Maintain electronic version in COLD and store in agency for fifteen (15) fiscal years, then destroy.
<u>Systems Control</u>		
46.	DAFR6220 Vendor Activity Maintenance Report, DAFR3931 30 Days Undeliverable Payment Report, & DAFR3040 Undeliverable Check Status Daily Report	Retain in agency for ninety (90) days then destroy.
47.	P30EFTD1 Electronic Funds Transfer Report Comparison of Central Payroll data to R*STARS 51 screen vendor information and State Treasurer's Office Electronic Funds Transmittal validation report.	Retain in agency for one (1) calendar year then destroy.
48.	Ad Hoc (FOCUS) Reports A30FE037 IT Payments Generated Transactions (Batch Type L OR W), A30FE188 51 Profile Clean Up, & A30FE189 Vendor Table Clean Up	Retain in agency for ninety (90) days then destroy.
49.	Form 710 Vendor Change	Retain in agency three (3) fiscal years and until audited, then destroy.
50.	Form X-9 & X-10 for Electronic Fund Transfer applications	Retain in agency until no longer needed by the agency, then destroy.