

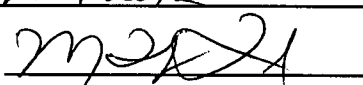

**DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
RECORDS RETENTION AND DISPOSAL SCHEDULE**

Schedule No. 2623

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Agency Executive Department	Division/Unit State Ethics Commission
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Item No.	Description	Retention
SUPERCEDES SCHEDULES 2201 AND 2201-A1		
1.	<u>Board and Commission Departmental Files</u> Includes correspondence between the Ethics Commission and various State Cabinet Departments regarding Ethics Law coverage of boards and commission in that Department. Generally these relate to financial disclosure requirements and exemptions.	Retain for life of board or commission and (4) years thereafter, then destroy.
2.	<u>Board and Commission General Correspondence</u> (including Independent Board and Commission files) Includes copies of general information materials sent to all boards and commissions for each calendar year. Most of this information is also contained in other files.	Retain (4) years, then destroy.
3.	<u>Independent Board and Commission Files</u> Files cover all boards and commissions not within a particular Department. Generally materials related to coverage, exemptions and financial disclosure.	Retain for life of board or commission and (4) years thereafter, then destroy.
4.	<u>Meeting Minutes – 1979 to Present</u> Files contain Commission minutes, materials sent to the Commission prior to the meeting, the agenda, and retained other material handed out at the meeting.	Retain minutes permanently. Transfer to Archives after (5) years. Retain other material duplicated in other files for (5) years, then destroy.
5.	<u>Agency Financial Disclosure Correspondence</u> Includes information on each agency and jobs that require financial disclosure. Most of the file relates to additions and deletions in the financial disclosure filing list.	Retain permanently. Transfer to Archives after (4) years.

<p>Schedule Approved by Department, Agency, or Division Representative.</p> <p>Date <u>8/30/2012</u></p> <p>Signature <u></u></p> <p>Typed Name <u>Michael Lord</u></p> <p>Title <u>Executive Director</u></p>	<p>Schedule Authorized by State Archivist</p> <p>Date <u>10/1/2012</u></p> <p>Signature <u></u></p>
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RECORDS MANAGEMENT DIVISION
RECORDS RETENTION AND DISPOSAL SCHEDULE
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Executive Department

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State Ethics Commission

Item No.	Description	Retention
6.	<p><u>General Financial Disclosure Correspondence</u> Included is general financial disclosure correspondence for each calendar year. Most of this information is also contained in other files.</p>	Retain (4) years, then destroy.
7.	<p><u>Forms Development Files</u> Included are draft forms and materials related to Law changes including some legal analysis.</p>	Retain permanently. Transfer to Archives after (6) years.
8.	<p><u>Conflict of Interest – Title 3</u> Included are letters, memos and other informal Commission rulings concerning various sections of the Public Ethics Law.</p>	Retain permanently. Transfer to Archives after (6) years.
9.	<p><u>Legislative Files</u> Included are memos, bills, fiscal notes, correspondence and related materials for each legislative year.</p>	Retain permanently. Transfer to Archives after (4) years.
10.	<p><u>Local Government General Information</u> Included are general files relating to the implementation of local government ethics laws and Commission requirements including regulations.</p>	Retain in office until superseded or revised, then destroy.
11.	<p><u>Local Government Ethics Laws</u> There is a file for each county and Baltimore City. Components include exemptions, approval of laws or regulations and various review documents.</p>	Retain in office until superseded or revised, then destroy.
12.	<p><u>General Administration</u> Includes miscellaneous reports, guidelines from other agencies and some general correspondence.</p>	Retain (6) years, then destroy.

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Item No.	Description	Retention
13.	<p><u>Ethics Financial Disclosure Reports</u> This series contains personal financial disclosure forms and other related personal disclosure forms and correspondence.</p> <p>A. Governor, Lt. Governor, Treasurer, Attorney General, Secretary of State, Comptroller, Dept. Secretaries, Register of Wills, State's Attorneys, Clerks of Court and member of the General Assembly.</p> <p>B. Judges, Judicial Officers (The original filings of these forms are retained by the Administrative Office of the Courts in Annapolis and retained according to the Courts schedule.)</p> <p>C. All other filers.</p>	<p>Retain permanently. Transfer to Archives (6) years after the filer leaves office.</p> <p>Retain for (2) years after the filer leaves office, then destroy. Current filers, retain (4) years of filings, destroy all others.</p> <p>Retain for (4) years after the filer leaves office, then destroy. Current filers, retain (4) years of filings, destroy all others.</p>
14.A.	<p><u>Lobbying Activity Reports</u> These records are maintained with the Registration forms and related correspondence.</p>	<p>Retain permanently. Transfer to Archives (4) years after file is inactive.</p>
14.B.	<p><u>Lobbying Registration Forms</u> These records are maintained with the Lobbying Activity Reports and related correspondence.</p>	<p>Retain permanently. Transfer to Archives (4) years after file is inactive.</p>
15.	<p><u>Complaint Files</u> Included are formal legal complaint documents and related investigative reports, cure agreements, settlements, findings at hearings and related correspondence.</p>	<p>Retain permanently. Transfer to Archives after (4) years or after matter is resolved, whichever is latter.</p>

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16.	<u>Preliminary Inquiry Matters</u> These records are non-permanent and include items pertaining to preliminary investigations and related Commission decisions.	Retain for (4) years and screen for ongoing value, if no value, then destroy.
17.	<u>Potential Conflict of Interest Matters</u> These records are non-permanent and include information brought to Commission's attention that might suggest a violation of the Public Ethics Law. File contains information about the situation and any Commission determination.	Retain for (4) years and screen for ongoing value, if no value, then destroy.
18.	<u>Bills Received and Authorized for Payment</u> Includes copies of bills which have been sent to Finance for payment. This file is a partial back up file to the actual file maintained in the Finance Office.	Retain (4) years, then destroy.
19.	<u>Expense Account Files</u> Includes extra copies of expense account that have been forwarded to Finance for payment.	Retain (4) years, then destroy.
20.	<u>Budget Files</u> Included are materials related to the budget for each fiscal year. Generally, they are back-up documents or copies of documents maintained in the Governor's Finance Office.	Retain (4) years, then destroy.
21.	<u>Personnel Files</u> Includes materials related to current or former employees or members of the Commission.	Retain (4) years after termination of employment, then destroy.
22.	<u>Job Applicants</u> Includes resumes and correspondent regarding unsuccessful applicants for various jobs at the Commission.	Retain (4) years, then destroy.
23.	<u>Advisory Opinions</u> Included are requests, correspondence, research and written opinion.	Retain permanently. Transfer to Archives after (6) years or after matter is resolved, whichever is latter.

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**Item
No.**

Description

Retention

24.

Board of Ethics Historical Records

These records contain legislative, operational and related material from this agency that has not been in existence since 1979. Most of this material is of historical research value but is not needed for any current Ethics Commission use.

Retain permanently.
(Already transferred to Archives.)

25.

Financial Disclosure Advisory Board Historical Records

These records contain legislative, operational and related materials from this board which has not been in existence since 1979. Most of this material has historical research value but it is not needed for any current Ethics Commission use.

Retain permanently.
(Already transferred to Archives.)

26.

Office Chron

Contains copies of all correspondence of the staff.

Retain (4) years, then destroy.