


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

Schedule No. 2649
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Agency State Treasurer's Office **Division/Unit**

Item No.	Description	Retention
1.	<p align="center">This Schedule supersedes Schedule No. 474 dated 6/18/69, Schedule No. 747 dated 5/17/79, and amendment thereto dated April 28, 1980, and Schedule No. 1529 dated 4/23/1993.</p> <p><u>Budget & Financial Administration Division Records</u> This series includes all worksheets, forms and related support utilized for procurement, accounting, budgeting and other fiscal reporting functions carried out on behalf of the Agency and the State.</p> <p>A. Accounting Records</p> <p>Deposits: Certificates of Deposits, Bank Deposit Slips & related support</p> <p>Accounting Entries: Receipt, disbursement & journal entry transmittals, GAD Archive (211R), invoices & other related support</p> <p>Insurance Entries: Documents & support related to entries in the Insurance system specific to the State Insurance Trust Fund including deposits, disbursements, deductible recoveries, and adjustments to reserves and/or payments.</p> <p>DAFR Reports: Daily, monthly and annual reports used for reconciliations.</p>	<p>Retain in office until audit period is closed and final report has been issued; then destroy.</p>

Schedule Approved by Department, Agency, or Division Representative.
Date December 4, 2014
Signature 
Typed Name Bernadette T Benik
Title Chief Deputy Treasurer

Schedule Authorized by State Archivist
Date 2-19-15
Signature 

**DEPARTMENT OF GENERAL SERVICES
RECORDS MANAGEMENT DIVISION
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State Treasurer's Office

Division/Unit

Item No.

Description

Retention

Reconciliation Records: Reports, worksheets and related support used in the daily, monthly and annual reconciliation of Fund Balances including the State Insurance Trust Fund, Undeliverable & Unpresented Funds, Bond Issuance Costs, and any other funds managed through the Treasurer's Office. This includes year-end closing reconciliations and reports.

B. Budget Documents: Documents related to the preparation of annual budget submissions, request for position action, budget amendments, fiscal notes and responses to Legislative or OBA analysts.

Retain in office until audit period is closed and final report has been issued; then destroy.

C. Payroll Accounting Records: Documents supporting payroll timekeeping to include: exception time sheets, leave payout calculations, adjustments to prior pay periods, Payroll ETR's/PTR's, check registers, pay advances and any other records pertaining to the processing of biweekly payroll.

Retain in office until audit period is closed and final report has been issued; then destroy.

D. CMIA Records: CMIA – Statewide documents prepared & submitted by the agency as required by the Cash Management Improvement Act of 1990; final reports along with supporting documentation specific to the annual Treasury State Agreement, the Annual Report, and clearance pattern calculations.

Retain in office for three (3) years after annual reports are submitted and until State audit period is closed and final report has been issued; then destroy.

E. Procurement Records: Documents related to procurements processed on behalf of statewide contracts for banking, investments, financial services and insurance; agency specific contracts; fleet management; and corporate purchasing card administration.

1. *Banking, Investments and Financial Services Contracts:* Requests for Proposals, Invitations to Bid, Contract Awards, Notice of Contract Awards, Advertising Documents, Bids, Bidders' List, Bid Tab Records, and Procurement correspondence for:

- Statewide Non-STO Records: contracts procured by STO on behalf of state agencies with costs shared among various agencies.

Retain in office for a period of three (3) years after final payment or until audit period is closed and final report has been issued, whichever occurs last; then destroy.

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Item No.	Description	Retention
	<ul style="list-style-type: none"> • <u>STO Records</u>: contracts procured for and paid by STO only • <u>Agency Specific Records</u>: contracts procured by STO on behalf of specific state agencies <p>2. <i>Insurance Contracts</i>: Requests for Proposals, Invitations to Bid, Contract Awards, Notice of Contract Awards, Advertising Documents, Bids, Bidders' List, Bid Tab Records, and Procurement correspondence for:</p> <p>A. <u>STO Records</u>: contracts procured for and paid by STO or through the SITF</p> <p>B. <u>Agency Specific Records</u>: contracts procured by STO on behalf of specific state agencies</p> <p>3. <u>STO procurement records (Non-Insurance / Non-Financial Services)</u>:</p> <ul style="list-style-type: none"> • Telecommunications contracts & statements, fleet management records and inventory control and fixed asset records. • Small procurement purchase orders, bids, contracts, invoices and receiving documents • Large procurement requisitions, purchase orders, bids, contracts, invoices and receiving documents <p>4. Procurement reports such as SBR, MBE, Preferred Provider and VSBE</p>	<p>Retain in office for a period of three (3) years after policy expiration date, then transfer to State Records Center; retain in SRC for four (4) years; then destroy.</p> <p>Retain in office for a period of three (3) years after final payment or until audit period is closed and final report has been issued, whichever occurs last; then destroy.</p> <p>Retain in office for a period of three (3) years after final payment or until audit period is closed and final report has been issued, whichever occurs last; then destroy.</p> <p>Retain for least three (3) years; then destroy.</p>

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State Treasurer's Office		
Item No.	Description	Retention
	<p>5. Agency vehicle reporting including annual vehicle fringe and privately owned vehicle reporting</p> <p>6. Corporate purchasing card program administrator documents</p> <p style="padding-left: 20px;">A. Cardholder agreements and applications</p> <p style="padding-left: 20px;">B. Monthly cardholder statements, activity logs & documentation for charges/credits</p> <p>7. Purchasing Records: Packing slips, reports of partial delivery, purchase orders, contract awards and any other support used in managing agency supply inventory and purchasing.</p> <p>F. Miscellaneous:</p> <p>1. CAFR – Records submitted to the Comptroller's Office and independent auditors in regards to the State of Maryland's Comprehensive Annual Financial Report.</p> <p>2. Other – Any other reports or supporting documentation used for projects, committees, various annual reports to State agencies, etc. Other accounting and personnel records maintained by the Treasurer's Office on behalf of the State such as Statewide direct deposit exemption forms, etc.</p>	<p>Retain for at least four (4) years; then destroy.</p> <p>Retain in office for three (3) years after cards are closed, or until audit period is closed and final report has been issued, whichever occurs last; then destroy.</p> <p>Retain in office for a period of three (3) years or until audit period is closed and final report has been issued, whichever occurs last; then destroy.</p> <p>Retain in office for a period of three (3) years or until audit period is closed and final report has been issued, whichever occurs last; then destroy.</p> <p>Retain in office until audit period is closed and final report has been issued; then destroy.</p> <p>Retain in office until audit period is closed and final report has been issued; then destroy.</p>

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State Treasurer's Office

Division/Unit

Item No.

Description

Retention

2.

Treasury Management Records

A. Banking Documents:

This series includes reports, statements, warrants, logs and related support utilized in the daily reconciliation, ACH & wire transfer processing and all other banking activities carried out by the Department, as well as processing of stop payments, reissues, recoveries and chargebacks related to Statewide disbursements.

1. **Bank Reconciliation Support**

Daily Cash Reconciliation Reports, Monthly Cash Reconciliation Reports, Verification Reports, Bank Statements, Disbursement Warrants, Positive Pay, Outgoing Wires.

2. **Banking Adjustment Documents**

DAFR Reports & Deletes, Vendor Stop & Reissues, Payroll Stop & Reissues, Payroll Stops at Bank ACH, Payroll & Direct Deposit Replacement Warrants, Undeliverable and Unpresented Checks, Agency Adjustments, Recovered/Undeliverable Forms, Chargebacks.

3. **Banking Service Disbursement/Deposit Support**

Community Bank Statements & Reconciliations, Community Bank Monthly Reports, Deposit Match Reports, Add to Paid File, Direct Deposit Failures, Serial Number Adjustment Logs, Tax Stops and Deletes.

B. Investment Documents:

This series includes reports, statements, wire confirmations and all supporting documents related to daily investment and reconciliation activity of Statewide investments and cash balances managed by the Department.

1. **Investment Records**

Investment Purchases, Investment Redemptions/Sales, Investment Coupon Redemptions, Investment Bid Sheets, Daily Bank Wire Transfer Confirmations

Retain in office for one (1) year, then retain at State Records Center (SRC) for six (6) years; then destroy.

Retain in office until maturity for each investment and after audit period is closed and final report has been issued, whichever occurs last; then destroy.

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Item No.	Description	Retention
	<p>2. <u>Investment Reconciliation Support</u> Daily Financial Report, Monthly Money Market Dividends, Monthly Agency Interest Allocations, Monthly Revenue Reports, Quarterly Linked CD Deposits, Semi-Annual Lottery Disbursements.</p>	
3.	<p><u>Debt Management Records</u> This series includes correspondences, workpapers, documents and related support pertaining to Bond Sale and Master Lease Records generated and/or utilized for debt management functions carried out on behalf of the State.</p> <p>A. Bond Sale Records: Workpapers, Board of Public Work's minutes, legal opinions, official statements, settlement papers, bond sale expense data, and related correspondence. *</p> <p>Documentation of transactions related to the receipt, investment, disbursement, allocation and application of bonds, governmental use, and all other related documents in accordance with the applicable tax certificate and continuing disclosure agreement. * Board of Public Works minutes are reference copies only.</p> <p>B. Capital Lease: Work papers, Board of Public Work's minutes, legal opinions, primary documents related to the lease, and related correspondence. *</p> <p>Documentation evidencing expenditure of proceeds, governmental use, payment and security, investment of proceeds, and all other related documents in accordance with the applicable tax certificate and continuing disclosure agreement. * Board of Public Works minutes are reference copies only.</p> <p>C. State Debt Reports:</p> <p>1. Work papers, presentation materials, etc. and correspondence.</p> <p>2. Annual reports of the Commission on State Debt,</p>	<p>Unless otherwise specifically instructed in a written opinion of Bond Counsel, retain and maintain these records for a period ending not earlier than eight (8) years following the final maturity of the Bonds or any obligation issued to refund the Bonds; then destroy.</p> <p>Unless otherwise specifically instructed in a written opinion of Bond Counsel, retain and maintain these records for a period ending not earlier than eight (8) years following the final maturity of the lease; then destroy.</p> <p>Retain electronic copies for five (5) years; then destroy.</p> <p>Retain electronic copies for</p>

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Item No.	Description	Retention
	Capital Debt Affordability Committee and other statutorily required reports.	ten (10) years, then destroy. Transfer one copy to the Maryland State Archives after completion of the report.
4.	<p>3. Meeting Minutes</p> <p><u>Insurance Records</u> This series includes documents related to the procurement of Statewide commercial insurance policies, and claims adjusting activities processed through the State Insurance Trust Fund.</p> <p style="margin-left: 40px;">A. Insurance Policies, Endorsements & Non-Contract Related Records</p> <p style="margin-left: 40px;">B. Insurance Claim Files</p>	<p>Retain for five (5) years, then transfer to the Maryland State Archives.</p> <p>Retain in office for three (3) years after policy expiration date, then transfer to State Records Center; retain in SRC for four (4) years; then destroy.</p> <p>Retain in office for three (3) years after close of file, then transfer to State Records Center; retain in SRC for four (4) years; then destroy.</p>
5.	<p><u>Human Resources Records</u> This series includes personnel related forms, official records, HIPAA & Worker's Compensation documents, recruitment documents and any support utilized in the hiring, timekeeping, and ongoing personnel management on behalf of the Agency.</p> <p style="margin-left: 40px;">A. State Employee Official Personnel Files Standard Treasury personnel forms, as well as other personnel media which provide supporting data for official personnel files for regular and contractual employees.</p> <ul style="list-style-type: none"> • All employment related information and documents maintained on Treasury employees in the HR Office for the duration of employment, such as initial hire paperwork, position descriptions, performance evaluations, employee relations documents, reclassifications, records of training, discipline and separation information. 	<p>Retain in office for five (5) years after termination of employment; then destroy.</p>

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State Treasurer's Office		
Item No.	Description	Retention
	<p>B. Medical Files</p> <ul style="list-style-type: none"> • <u>Employee medical files</u>: Health Insurance and health benefit forms as well as any other HIPAA protected documents, Family Medical Leave Act requests and supporting documentation, State Employee Leave Bank enrollment and request forms and supporting documentation, EAP referral information and work status information, workability exams or 2nd opinions by independent medical evaluator and/or state medical director. • <u>Worker's Compensation Files</u>: Agency related worker's compensation claims, medical records and work status information. <p>C. Recruitment Files Individual files containing candidate interview sheets and exam/ranking documents, authorizations for release of information, candidate and eligible lists, copies of correspondence, and any other pertinent information from start to end of the recruitment process.</p> <p>D. Timesheet and Leave Record Files All information and documentation used in processing employee payroll and leave time on a bi-weekly basis, as well as any supporting documentation associated with internal or external leave reporting.</p> <p>E. Contingent Worker Personnel Files All personnel forms and documentation, as well as other personnel media, which provide supporting data for agency for all temporary, intern, contract, volunteer, vendor or other government employee.</p> <p>F. Miscellaneous HR Files Any documents created by STO HR including reports, correspondence, studies, etc. These records are for internal purposes only, and are not published.</p>	<p>Retain in office for five (5) years after termination of employment; then destroy.</p> <p>Retain in office for three (3) years; then destroy.</p> <p>Retain in office for five (5) years; then destroy.</p> <p>Retain in office for five (5) years after termination of contract; then destroy.</p> <p>Retain in office for five (5) years; then destroy.</p>

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State Treasurer's Office

Division/Unit

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Retention

6.

Executive Office Records

This series includes records generated & maintained by the State Treasurer & Chief Deputy Treasurer including committee reports, workpapers and related support utilized for the administration of the Office, State debt and all other functions carried out on behalf of the Agency and the State.

Retain in office for five (5) years, then screen annually and destroy material no longer needed for current business.

- A. Records generated and maintained by State Treasurer in relation to the Treasurer's Statutory and Constitutional responsibilities and the Chief Deputy Treasurer in relation to the administration of the Office.

7.

Information Technology Records

This series includes change management documents for Agency developed programs, IT User Privilege and Security records, and documents generated in the daily operations of the Division.

Retain in office for seven (7) years; then destroy.

- A. **Change Management Documents**
Change Management Documentation for Agency developed programs, such as Engineering Change Requests, Software Problem Reports, and Action Items.

- B. **User Privilege Records**
Records of changes made to user privileges.

Retain in office for current employees for duration of employment. Retain records of former employees in office until audit period is closed and final report has been issued; then destroy.

- C. **IT Security Records**
IT Security records such as documentation of completed audit log reviews for critical systems.

Retain in office until audit period is closed and final report has been issued; then destroy.

- D. **IT Operations Documents**
Includes documents generated in the daily operations of the IT Division such as daily operations checklists, check printing & control forms, ACH daily transmission reports, and support services check logs.

Retain in office until audit period is closed and final report has been issued; then destroy.

Attachment

Acronyms included in this retention schedule
include:

GAD - General Accounting Division
DAFR – Reports printed from FMIS/Rstars
OBA – Office of Budget Analysis
ETR – Exception Time Reporting
PTR – Positive Time Reporting
SBR – Small Business Reserve
MBE – Minority Business Enterprise
VSBE – Veteran designated Small Business
Enterprise

<u>Instructions</u> –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	AGENCY RECORDS INVENTORY
		PAGE <u>1</u> OF <u>8</u>

1. Department/Agency State Treasurer's Office	2. Division Budget & Financial Administration	3. Unit
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DEFINITION: RECORD SERIES: 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 Budget & Financial Administration Division Records	5. Earliest Year/Latest Year ____2012____ to ____current____
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6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.)
 This series includes all worksheets, forms and related support utilized for procurement, accounting, budgeting and other fiscal reporting functions carried out on behalf of the Agency and the State.

7. Record Series Format(s) List all <input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input checked="" type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Audio Tape <input checked="" type="checkbox"/> Floppy Disk <input checked="" 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 checked="" type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input checked="" type="checkbox"/> Other (specify) _subject / category_	9. Volume ____96____ Number <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input checked="" type="checkbox"/> Other (specify) _Box(15x12x10)____
		10. Annual Accumulation ____12____ Number <input checked="" type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify) _____

11. File is Used <input checked="" type="checkbox"/> Daily <input checked="" type="checkbox"/> Weekly <input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Annually	12. File Becomes Inactive After ____varies____ Number <input type="checkbox"/> Month(s) <input checked="" type="checkbox"/> Year(s) Varies depending on document type as listed on retention schedule.
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13. Current Location(s) (Bldg., Floor, Room) 80 Calvert Street Room 109 & Room B25	14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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15. Access Restrictions (If Yes, cite Law(s) & Regulation(s)) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Any personally identifiable information would be subject to PII restrictions.	16. Audit Requirements <input type="checkbox"/> None <input checked="" type="checkbox"/> State <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> Independent
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17. Is an Index System used? If yes, explain briefly and describe requirements <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	18. Recommended Retention Retention varies per document type, but general retention will be until audit period is closed and final report has been issued; then destroy. Those documents subject to specific retention requirements, such as contracts and procurement reports, will be retained in the office for the period required; then destroyed.
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19. Name and Title of Preparer Bernadette T. Benik; Chief Deputy Treasurer	20. Telephone Number 410-260-7080	21. Date November 14, 2014
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Instructions - 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		AGENCY RECORDS INVENTORY PAGE <u>2</u> OF <u>8</u>	
1. Department/Agency State Treasurer's Office		2. Division Treasury Management		3. Unit Banking	
DEFINITION: RECORD SERIES: 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 Treasury Management Records: Banking Documents				5. Earliest Year/Latest Year __2008__ to __Present__	
6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.) This series includes reports, statements, warrants, logs and related support utilized in the daily reconciliation, ACH & wire transfer processing and all other banking activities carried out by the Department, as well as processing of stop payments, reissues, recoveries and chargebacks related to Statewide disbursements.					
7. Record Series Format(s) List all <input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input checked="" 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 checked="" type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input checked="" type="checkbox"/> Other (specify) __subject/category__		9. Volume __700__ Number <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input checked="" type="checkbox"/> Other (specify) __Box (15x12x12)__ 10. Annual Accumulation __100__ Number <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input checked="" type="checkbox"/> Other (specify) __Box (15x12x12)__	
11. File is Used <input checked="" type="checkbox"/> Daily <input checked="" type="checkbox"/> Weekly <input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Annually			12. File Becomes Inactive After __7__ Number <input type="checkbox"/> Month(s) <input checked="" type="checkbox"/> Year(s)		
13. Current Location(s) (Bldg., Floor, Room) STO Rooms B-22 and 442			14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
15. Access Restrictions (If Yes, cite Law(s) & Regulation(s)) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Any personally identifiable information would be subject to PII restrictions.			16. Audit Requirements <input type="checkbox"/> None <input checked="" type="checkbox"/> State <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> Independent		
17. Is an Index System used? If yes, explain briefly and describe requirements <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			18. Recommended Retention Retain in office for one (1) year, then transfer to State Records for six (6) years, then destroy.		
19. Name and Title of Preparer Bernadette T. Benik; Chief Deputy Treasurer		20. Telephone Number 410-260-7080		21. Date November 14, 2014	

<p>Instructions - Type or Print a separate form for each new or revised record series. Forward with Records Retention Schedule (DGS 550-1)</p>	<p>DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 Waterloo Road, P.O. Box 275 Jessup, Maryland 20794 410-799-1930</p>	<p>AGENCY RECORDS INVENTORY</p> <p>PAGE <u>3</u> OF <u>8</u></p>
<p>1. Department/Agency State Treasurer's Office</p>	<p>2. Division Treasury Management</p>	<p>3. Unit Investment Services</p>
<p>DEFINITION: RECORD SERIES: A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.</p>		
<p>4. Record Series Title Treasury Management Records: Investment Documents</p>	<p>5. Earliest Year/Latest Year ___1977___ to ___Present___</p>	
<p>6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.) This series includes reports, statements, wire confirmations and all supporting documents related to daily investment and reconciliation activity of Statewide investments and cash balances managed by the Department.</p>		
<p>7. Record Series Format(s) List all</p> <p><input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm</p> <p><input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape</p> <p><input type="checkbox"/> Audio Tape <input type="checkbox"/> Floppy Disk</p> <p><input type="checkbox"/> Bound Book <input type="checkbox"/> Video Tape</p> <p><input type="checkbox"/> Other (specify) _____</p>	<p>8. Record Series Sequence</p> <p><input type="checkbox"/> Alphabetical</p> <p><input type="checkbox"/> Numerical</p> <p><input checked="" type="checkbox"/> Chronological</p> <p><input type="checkbox"/> Geographical</p> <p><input checked="" type="checkbox"/> Other (specify) ___subject/category___</p>	<p>9. Volume ___20___ Number</p> <p><input type="checkbox"/> File Drawer(s)</p> <p><input type="checkbox"/> Microfilm Reel(s)</p> <p><input type="checkbox"/> Computer Tape(s)</p> <p><input checked="" type="checkbox"/> Other (specify) ___Box (15x12x12)___</p> <p>10. Annual Accumulation ___2___ Number</p> <p><input checked="" type="checkbox"/> File Drawer(s)</p> <p><input type="checkbox"/> Microfilm Reel(s)</p> <p><input type="checkbox"/> Computer Tape(s)</p> <p><input type="checkbox"/> Other (specify) ___Box (15x12x12)___</p>
<p>11. File is Used</p> <p><input checked="" type="checkbox"/> Daily <input checked="" type="checkbox"/> Weekly <input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Annually</p>	<p>12. File Becomes Inactive After ___varies___ Number <input type="checkbox"/> Month(s) <input checked="" type="checkbox"/> Year(s)</p> <p>Varies until maturity for each investment and after audit requirements have been completed.</p>	
<p>13. Current Location(s) (Bldg., Floor, Room) STO Bldg. 4th Floor Room # 414 and Room # 442 and 1st Floor Room # 106</p>	<p>14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><u>General Accounting Division</u> retains the following records series: Investment Purchases, Investment Sales/Redemptions, Investment Coupon Redemptions and Daily Bank Wire Transfer Confirmations</p>	
<p>15. Access Restrictions (If Yes, cite Law(s) & Regulation(s)) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Any personally identifiable information would be subject to PII restrictions.</p>	<p>16. Audit Requirements</p> <p><input type="checkbox"/> None <input checked="" type="checkbox"/> State <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> Independent</p>	
<p>17. Is an Index System used? If yes, explain briefly and describe requirements <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>18. Recommended Retention Retain in Office till maturity for each investment and after audit period is closed and final report has been issued, whichever occurs last; then destroy.</p>	
<p>19. Name and Title of Preparer Bernadette T. Benik; Chief Deputy Treasurer</p>	<p>20. Telephone Number 410-260-7080</p>	<p>21. Date November 14, 2014</p>

<p>Instructions -Type or Print a separate form for each new or revised record series. Forward with Records Retention Schedule (DGS 550-1)</p>	<p>DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 Waterloo Road, P.O. Box 275 Jessup, Maryland 20794 410-799-1930</p>	<p>AGENCY RECORDS INVENTORY</p> <p>PAGE <u>4</u> OF <u>8</u></p>
<p>1. Department/Agency State Treasurer's Office</p>	<p>2. Division Debt Management</p>	<p>3. Unit</p>
<p>DEFINITION: RECORD SERIES: A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes</p>		
<p>4. Record Series Title Debt Management Records</p>	<p>5. Earliest Year/Latest Year ____ 1982 ____ to ____ current ____</p>	
<p>6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.) This series includes correspondence, workpapers, documents and related support pertaining to Bond Sale, Master Lease Records and State Debt Reports generated and/or utilized for debt management functions carried out on behalf of the State.</p>		
<p>7. Record Series Format(s) List all</p> <p><input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm</p> <p><input checked="" type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape</p> <p><input type="checkbox"/> Audio Tape <input checked="" type="checkbox"/> Floppy Disk</p> <p><input checked="" type="checkbox"/> Bound Book <input type="checkbox"/> Video Tape</p> <p><input type="checkbox"/> Other (specify) _____</p>	<p>8. Record Series Sequence</p> <p><input type="checkbox"/> Alphabetical</p> <p><input type="checkbox"/> Numerical</p> <p><input checked="" type="checkbox"/> Chronological</p> <p><input type="checkbox"/> Geographical</p> <p><input checked="" type="checkbox"/> Other (specify) _subject / category_</p>	<p>9. Volume ____ 30 ____ Number</p> <p><input checked="" type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify) _____</p> <p>10. Annual Accumulation ____ 2 ____ Number</p> <p><input checked="" type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify) _____</p>
<p>11. File is Used</p> <p><input checked="" type="checkbox"/> Daily <input checked="" type="checkbox"/> Weekly <input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Annually</p>	<p>12. File Becomes Inactive After ____ 23+ ____ Number <input type="checkbox"/> Month(s) <input checked="" type="checkbox"/> Year(s)</p>	
<p>13. Current Location(s) (Bldg., Floor, Room) 80 Calvert Street Room 108</p>	<p>14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Legal documents, Official Statements and contracts are also maintained by the Maryland Office of the Attorney General.</p>	
<p>15. Access Restrictions (If Yes, cite Law(s) & Regulation(s)) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Any personally identifiable information would be subject to PII restrictions.</p>	<p>16. Audit Requirements</p> <p><input type="checkbox"/> None <input checked="" type="checkbox"/> State <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> Independent</p>	
<p>17. Is an Index System used? If yes, explain briefly and describe requirements <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>18. Recommended Retention Eight (8) years after term of the bond or after the lease financing period, then destroy. Maximum bond and lease term is 15 years. Retain State Debt Reports for ten (10) years and related support for five (5) years, then destroy.</p>	
<p>19. Name and Title of Preparer Bernadette T. Benik; Chief Deputy Treasurer</p>	<p>20. Telephone Number 410-260-7080</p>	<p>21. Date November 14, 2014</p>

<p><u>Instructions</u> –Type or Print a separate form for each new or revised record series. Forward with Records Retention Schedule (DGS 550-1)</p>	<p>DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 Waterloo Road, P.O. Box 275 Jessup, Maryland 20794 410-799-1930</p>	<p>AGENCY RECORDS INVENTORY</p> <p>PAGE <u>5</u> OF <u>8</u></p>
1. Department/Agency State Treasurer's Office	2. Division Insurance Management	3. Unit
<p>DEFINITION: RECORD SERIES: A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.</p>		
4. Record Series Title Insurance Records		5. Earliest Year/Latest Year ____2007____ to ____current____
<p>6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.)</p> <p>This series includes documents related to the procurement of Statewide commercial insurance policies and claims adjusting activities processed through the State Insurance Trust Fund.</p>		
<p>7. Record Series Format(s) List all</p> <p><input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm</p> <p><input checked="" type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape</p> <p><input type="checkbox"/> Audio Tape <input checked="" type="checkbox"/> Floppy Disk</p> <p><input checked="" type="checkbox"/> Bound Book <input type="checkbox"/> Video Tape</p> <p><input type="checkbox"/> Other (specify) _____</p>	<p>8. Record Series Sequence</p> <p><input type="checkbox"/> Alphabetical</p> <p><input checked="" type="checkbox"/> Numerical</p> <p><input type="checkbox"/> Chronological</p> <p><input type="checkbox"/> Geographical</p> <p><input type="checkbox"/> Other (specify) _____</p>	<p>9. Volume ____700____ Number</p> <p><input type="checkbox"/> File Drawer(s)</p> <p><input type="checkbox"/> Microfilm Reel(s)</p> <p><input type="checkbox"/> Computer Tape(s)</p> <p><input checked="" type="checkbox"/> Other (specify) Box(15x12x10)_____</p> <hr/> <p>10. Annual Accumulation ____100____ Number</p> <p><input type="checkbox"/> File Drawer(s)</p> <p><input type="checkbox"/> Microfilm Reel(s)</p> <p><input type="checkbox"/> Computer Tape(s)</p> <p><input checked="" type="checkbox"/> Other (specify) Box(15x12x10)_____</p>
<p>11. File is Used</p> <p><input checked="" type="checkbox"/> Daily <input checked="" type="checkbox"/> Weekly <input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Annually</p>		<p>12. File Becomes Inactive After ____7____ Number <input type="checkbox"/> Month(s) <input checked="" type="checkbox"/> Year(s)</p> <p>7 Years after procurement date or file closure date.</p>
<p>13. Current Location(s) (Bldg., Floor, Room)</p> <p>80 Calvert Street Room 400</p>		<p>14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.)</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Contracts & related documents also retained by STO Procurement Division and the Maryland Office of the Attorney General. Claim records handled through litigation also retained with the Maryland Office of the Attorney General.</p>
<p>15. Access Restrictions (If Yes, cite Law(s) & Regulation(s))</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Any personally identifiable information would be subject to PII restrictions.</p>		<p>16. Audit Requirements</p> <p><input type="checkbox"/> None <input checked="" type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent</p>
<p>17. Is an Index System used? If yes, explain briefly and describe requirements</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>		<p>18. Recommended Retention</p> <p>Retain in Office for three (3) years after procurement date or claim close date, then transfer to State Records for four (4) years, then destroy</p>
19. Name and Title of Preparer Bernadette T. Benik; Chief Deputy Treasurer	20. Telephone Number 410-260-7080	21. Date November 14, 2014

<p>Instructions -Type or Print a separate form for each new or revised record series. Forward with Records Retention Schedule (DGS 550-1)</p>	<p>DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 Waterloo Road, P.O. Box 275 Jessup, Maryland 20794 410-799-1930</p>	<p>AGENCY RECORDS INVENTORY</p> <p>PAGE <u>6</u> OF <u>8</u></p>
<p>1. Department/Agency</p> <p>State Treasurer's Office</p>	<p>2. Division</p> <p>Agency Support Services</p>	<p>3. Unit</p> <p>Human Resources</p>
<p>DEFINITION: RECORD SERIES: A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.</p>		
<p>4. Record Series Title</p> <p>Human Resources Records</p>	<p>5. Earliest Year/Latest Year</p> <p><u>1981</u> to <u>current</u></p>	
<p>6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.) This series includes personnel related forms, official records, HIPAA & Worker's Compensation documents, recruitment documents and any support utilized in the hiring, timekeeping, and ongoing personnel management on behalf of the Agency.</p>		
<p>7. Record Series Format(s) List all</p> <p><input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm</p> <p><input checked="" type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape</p> <p><input type="checkbox"/> Audio Tape <input checked="" type="checkbox"/> Floppy Disk</p> <p><input checked="" type="checkbox"/> Bound Book <input type="checkbox"/> Video Tape</p> <p><input type="checkbox"/> Other (specify) _____</p>	<p>8. Record Series Sequence</p> <p><input checked="" type="checkbox"/> Alphabetical</p> <p><input type="checkbox"/> Numerical</p> <p><input checked="" type="checkbox"/> Chronological</p> <p><input type="checkbox"/> Geographical</p> <p><input checked="" type="checkbox"/> Other (specify) <u>subject / category</u></p>	<p>9. Volume</p> <p><u>96</u></p> <p>Number</p> <p><input type="checkbox"/> File Drawer(s)</p> <p><input type="checkbox"/> Microfilm Reel(s)</p> <p><input type="checkbox"/> Computer Tape(s)</p> <p><input checked="" type="checkbox"/> Other (specify) <u>Box(15x12x10)</u></p> <hr/> <p>10. Annual Accumulation</p> <p><u>3</u></p> <p>Number</p> <p><input checked="" type="checkbox"/> File Drawer(s)</p> <p><input type="checkbox"/> Microfilm Reel(s)</p> <p><input type="checkbox"/> Computer Tape(s)</p> <p><input type="checkbox"/> Other (specify) _____</p>
<p>11. File is Used</p> <p><input checked="" type="checkbox"/> Daily <input checked="" type="checkbox"/> Weekly <input checked="" type="checkbox"/> Monthly <input checked="" type="checkbox"/> Annually</p>	<p>12. File Becomes Inactive After</p> <p><u>varies</u></p> <p>Number <input type="checkbox"/> Month(s) <input checked="" type="checkbox"/> Year(s)</p> <p>Varies depending on document type as listed on the retention schedule. Typically 3 - 5 years.</p>	
<p>13. Current Location(s) (Bldg., Floor, Room)</p> <p>80 Calvert Street Room 109 & Room B25</p>	<p>14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.)</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>15. Access Restrictions (If Yes, cite Law(s) & Regulation(s))</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Certain personal and health related information may be subject to HIPAA and PII restrictions.</p>	<p>16. Audit Requirements</p> <p><input type="checkbox"/> None <input checked="" type="checkbox"/> State <input checked="" type="checkbox"/> Federal <input checked="" type="checkbox"/> Independent</p>	
<p>17. Is an Index System used? If yes, explain briefly and describe requirements</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>18. Recommended Retention</p> <p>Retain recruitment files, timesheets, and miscellaneous HR files for 3 - 5 years, and all other documentation for five (5) years after termination; then destroy.</p>	
<p>19. Name and Title of Preparer</p> <p>Bernadette T. Benik; Chief Deputy Treasurer</p>	<p>20. Telephone Number</p> <p>410-260-7080</p>	<p>21. Date</p> <p>November 14, 2014</p>

Instructions -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

AGENCY RECORDS INVENTORY

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1. Department/Agency

State Treasurer's Office

2. Division

Executive Office

3. Unit

DEFINITION: RECORD SERIES: 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

Executive Office Records

5. Earliest Year/Latest Year

2009 to current

6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.)
This series includes records generated & maintained by the State Treasurer & Chief Deputy Treasurer including committee reports, workpapers and related support utilized for the administration of the Office, State debt and all other functions carried out on behalf of the Agency and the State.

7. Record Series Format(s) List all

- Letter Size Microfilm
 Legal Size Computer Tape
 Audio Tape Floppy Disk
 Bound Book Video Tape
 Other (specify) _____

8. Record Series Sequence

- Alphabetical
 Numerical
 Chronological
 Geographical
 Other (specify) subject / category

9. Volume

96
Number

- File Drawer(s)
 Microfilm Reel(s)
 Computer Tape(s)
 Other (specify) Box(15x12x10)

10. Annual Accumulation

12
Number

- File Drawer(s)
 Microfilm Reel(s)
 Computer Tape(s)
 Other (specify) _____

11. File is Used

- Daily Weekly Monthly Annually

12. File Becomes Inactive After

5
Number Month(s) Year(s)

13. Current Location(s) (Bldg., Floor, Room)

80 Calvert Street Room ___ & Room B25

14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.)

- Yes No

Legal documents are also retained with the Maryland Office of the Attorney General.

15. Access Restrictions (If Yes, cite Law(s) & Regulation(s))

- Yes No

Any personally identifiable information would be subject to PII restrictions.

16. Audit Requirements

- None State Federal Independent

17. Is an Index System used? If yes, explain briefly and describe requirements

- Yes No

18. Recommended Retention

Retain State records in Office for five (5) years or until materials are no longer needed for current business; then destroy.

19. Name and Title of Preparer

Bernadette T. Benik; Chief Deputy Treasurer

20. Telephone Number

410-260-7080

21. Date

November 14, 2014

Instructions -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

AGENCY RECORDS INVENTORY

PAGE 8 OF 8

1. Department/Agency

State Treasurer's Office

2. Division

Information Technology (IT) Division

3. Unit

DEFINITION: RECORD SERIES: 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

Information Technology Records

5. Earliest Year/Latest Year

2007 to current

6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.)
This series includes change management documents for agency developed programs, IT user privilege and security records, and documents generated in the daily operations of the Division.

7. Record Series Format(s) List all

- Letter Size Microfilm
 Legal Size Computer Tape
 Audio Tape Floppy Disk
 Bound Book Video Tape
 Other (specify) 11x15 Green Bar Paper

8. Record Series Sequence

- Alphabetical
 Numerical
 Chronological
 Geographical
 Other (specify) subject / category

9. Volume

42
Number

- File Drawer(s)
 Microfilm Reel(s)
 Computer Tape(s)
 Other (specify) Box(15x12x10)

10. Annual Accumulation

14
Number

- File Drawer(s)
 Microfilm Reel(s)
 Computer Tape(s)
 Other (specify) _____

11. File is Used

- Daily Weekly Monthly Annually

12. File Becomes Inactive After

7
Number Month(s) Year(s)

13. Current Location(s) (Bldg., Floor, Room)

80 Calvert Street Room 103

14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office.)

- Yes No

15. Access Restrictions (If Yes, cite Law(s) & Regulation(s))

- Yes No

Any personally identifiable information would be subject to PII restrictions.

16. Audit Requirements

- None State Federal Independent

17. Is an Index System used? If yes, explain briefly and describe requirements

- Yes No

18. Recommended Retention

Retain in Office for seven (7) years or until audit period is closed and final report has been issued; then destroy.

19. Name and Title of Preparer

Bernadette T. Benik; Chief Deputy Treasurer

20. Telephone Number

410-260-7080

21. Date

November 14, 2014