

## RECORDS INVENTORY AND RETENTION SCHEDULE COVER SHEET

<b>Schedule Number</b> <small>(To be completed by DGS/Records Management Division)</small>	2925
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### Agency Information

Department / Agency	Maryland Department of Transportation (MDOT) The Secretary's Office (TSO)
Division / Unit	Office of Policy and Regulations (OPR)
Vision Statement	OPR is responsible for five mission critical, enterprise-wide priorities for the Secretary, each of which has a major impact on the transportation business units (TBU) and Secretary's Office operations. These include all policies, directives, and supporting documents; Public Information Act requests; official Secretary's correspondence; regulations; and records management.

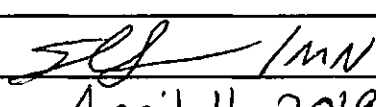
### Schedule Information

Supersedes Schedule(s)	
Amends Schedule(s)	

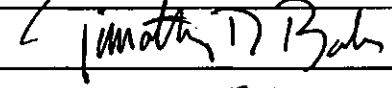
### Preparer Information

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Title of Preparer	Regulations and Records Manager
Preparer Email Address	cskipper1@mdot.maryland.gov
Preparer Telephone Number	(410) 865-1154
Date	April 11, 2019

### Agency Approval

Name of Records Officer	Sheilah F. Brous
Records Officer Signature	
Date	April 11, 2019

### State Archivist Approval

State Archivist Signature	
Date	5-17-19

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

Schedule No. **2925**  
 (To be completed by DGS/Records Management Division)

Records Series Title: Code of Maryland Regulations  
 (COMAR) Files

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Record Series Content	File folders containing signed copies of COMAR regulations and supporting documentation pertaining to all MDOT TBUs. COMAR regulations are drafted internally and submitted to the Division of State Documents (DSD) for publication in the Maryland Register.
Record Series Function	Document the processing and promulgation of MDOT regulations.
Organization/Arrangement	Numerical by regulation number
Indexing System	DSD COMAR Online system maintained by the Secretary of State: <a href="http://www.dsd.state.md.us/COMAR/ComarHome.html">http://www.dsd.state.md.us/COMAR/ComarHome.html</a>
Restrictions (Law or Regulation Citation)	MD Public Information Act General Provisions (GP) § 4-344
Formats (bound book, microfilm, pdf, tif, etc.)	Hardcopy: Paper Digital: PDF
Volume (file drawers, gigabytes, etc.)	6.5 file drawers 154 MB
Annual Accumulation (file drawers, gigabytes, etc.)	.5 file drawers 50 MB
Current Location	7201 Corporate Center Drive, Hanover, Maryland 21076 - Office of Policy and Regulations MDOT Computer Network - Shared Drive
Audit Requirements	Subject to internal audits
Date Span	1979 - Current
Completeness/Gaps	Complete

Schedule Item Number	1
Retention	Papers are scanned to Maryland State Archives standards once the regulation is approved. Retain paper and scans for 6 years from date of publication in the Maryland Register and then destroy.
Justification for Permanent Retention	N/A

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Schedule No. **2925**  
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Records Series Title: Public Information Act (PIA) Files **Page 2 of 10**

<b>Record Series Content</b>	Subject files containing original signed letters, training materials, tips, and payment/refund information related to PIA requests processed by OPR. PIA requests from October 2015 to present are processed through Intranet Quorum (IQ) software and all tracking data, along with letter response and some supporting documentation, is documented in that program. Supporting documentation may include redacted versions of responsive original record material. The series bears a high physical cost due to MDOT's voluminous body of official records.  IQ Software is a management tool which facilitates access to these records and maintains metadata, but it is not a record itself.
<b>Record Series Function</b>	Document the processing of PIA requests and facilitate training of new staff members. As no statute of limitations exists on appeal of a PIA response, this content has long-term value.
<b>Organization/Arrangement</b>	Alphabetical by subject (Paper) Chronological (IQ)
<b>Indexing System</b>	None
<b>Restrictions (Law or Regulation Citation)</b>	Presence of Personally Identifiable Information (PII) MD Public Information Act GP § 4-330
<b>Formats (bound book, microfilm, pdf, tif, etc.)</b>	Hardcopy: Paper Digital: PDF, Microsoft Word, Microsoft Excel, Microsoft Powerpoint, IQ data
<b>Volume (file drawers, gigabytes, etc.)</b>	¼ File Drawer 900 MB
<b>Annual Accumulation (file drawers, gigabytes, etc.)</b>	¼ File Drawer 225 MB
<b>Current Location</b>	7201 Corporate Center Drive, Hanover, Maryland 21076 - Office of Policy and Regulations MDOT Computer Network - Shared Drive Production IQ Server (on-premises) Large responsive document copies in offices which maintain the original record
<b>Audit Requirements</b>	Subject to internal audits
<b>Date Span</b>	2015 - Current
<b>Completeness/Gaps</b>	Complete

<b>Schedule Item Number</b>	2
<b>Retention</b>	(A) Where paper files are scanned, scan to Maryland State Archives standards and upload to the IQ system, then destroy paper originals. (B) Retain redacted copies of original documents for 4 years, then destroy. (C) Retain tracking documentation for 25 years or until no longer needed for current business, whichever is later, then destroy.
<b>Justification for Permanent Retention</b>	N/A

DGS 550-15 (REV. 7/17)

<b>DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE</b>	<b>Schedule No. 2925</b> (To be completed by DGS/Records Management Division)
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<b>Records Series Title:</b> Policy Files	<b>Page 4 of 10</b>
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<b>Record Series Content</b>	Subject files containing training materials and supporting documentation related to MDOT Policy development and maintenance. Some files include tracking content, version history, and comment history uploaded to Policy tracking software. These are related to but do not include final signed Policies. Access to these records is facilitated by the wiki-based MDOT Policy Manual on the agency's intranet, which serves as a comprehensive inventory of active policies but does not index metadata or content within each policy document; the associated inventory information is managed under Item 3B - Policies.
<b>Record Series Function</b>	Document the development of MDOT Policy and facilitate training of new staff.
<b>Organization/Arrangement</b>	Alphabetical by subject or numerical by Policy number
<b>Indexing System</b>	Inventoried by Policy number and name in MDOT Policy Manual on Intranet
<b>Restrictions (Law or Regulation Citation)</b>	MD Public Information Act GP § 4-344
<b>Formats (bound book, microfilm, pdf, tif, etc.)</b>	Hardcopy: Paper Digital: Microsoft Word, Microsoft Excel, PDF, PowerDMS Software
<b>Volume (file drawers, gigabytes, etc.)</b>	¾ File Drawer 1.35 GB
<b>Annual Accumulation (file drawers, gigabytes, etc.)</b>	¼ File Drawer 450 MB
<b>Current Location</b>	7201 Corporate Center Drive, Hanover, Maryland 21076 - Office of Policy and Regulations MDOT Computer Network - Shared Drive
<b>Audit Requirements</b>	Subject to internal audits
<b>Date Span</b>	1978 - Current
<b>Completeness/Gaps</b>	Complete

<b>Schedule Item Number</b>	3A
<b>Retention</b>	Retain for 3 years or until no longer needed for current business, whichever is later, then destroy. If papers are scanned, scans are reference copies only and destroyed when no longer needed.
<b>Justification for Permanent Retention</b>	N/A

<b>DEPARTMENT OF GENERAL SERVICES  RECORDS MANAGEMENT DIVISION  RECORDS INVENTORY AND RETENTION SCHEDULE</b>	Schedule No. <b>2925</b> (To be completed by DGS/Records Management Division)
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Records Series Title: Policies	Page 5 of 10
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<b>Record Series Content</b>	Final signed version of Policies adopted by MDOT. Access to these records is facilitated by the wiki-based MDOT Policy Manual on the agency's intranet, which serves as a comprehensive inventory of active policies but does not index metadata or content within each policy document.
<b>Record Series Function</b>	These official documents establish the standards and practices to which MDOT TSO and all TBUs must adhere.
<b>Organization/Arrangement</b>	Numerical by Policy number
<b>Indexing System</b>	Inventoried by Policy number and name in MDOT Policy Manual on Intranet
<b>Restrictions (Law or Regulation Citation)</b>	None
<b>Formats (bound book, microfilm, pdf, tif, etc.)</b>	Hardcopy: Paper Digital: PDF
<b>Volume (file drawers, gigabytes, etc.)</b>	¼ File Drawer 873 MB
<b>Annual Accumulation (file drawers, gigabytes, etc.)</b>	<1 cubic foot 100 MB
<b>Current Location</b>	7201 Corporate Center Drive, Hanover, Maryland 21076 - Office of Policy and Regulations MDOT Computer Network - Shared Drive MDOT Policy Manual - Intranet PowerDMS Software
<b>Audit Requirements</b>	Subject to internal audits
<b>Date Span</b>	1978 - Current
<b>Completeness/Gaps</b>	Complete

<b>Schedule Item Number</b>	3B
<b>Retention</b>	Scan to Maryland State Archives standards. Retain hardcopy and digital versions until superseded or rescinded, then transfer to Maryland State Archives. Transfer to the Maryland State Archives a copy of the MDOT Policy Manual inventory information alongside any associated records and then delete local copy of inventory information.
<b>Justification for Permanent Retention</b>	Policies signed by the Secretary of Transportation provide an understanding of how and why MDOT made significant decisions and evolved over time.

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Records Series Title: Secretary's Outgoing Letters

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<b>Record Series Content</b>	Outgoing letters from the Secretary of Transportation. Signed correspondence is delivered to OPR staff for scanning and filing. All scans are stored in the Intranet Quorum (IQ) system, which includes scanned copies of paper records alongside born-digital content. Material prior to December 2014 was stored in a local system called Workflow Control System (WCS), which was then discontinued in March 2015. Limited ongoing access to WCS content is provided by MDOT TSO Office of Transportation Technology Services (OTTS).  IQ Software is a management tool which facilitates access to these records and maintains metadata, but it is not a record itself.
<b>Record Series Function</b>	These records enable long-term review of outgoing correspondence, including supporting documentation.
<b>Organization/Arrangement</b>	Chronological
<b>Indexing System</b>	Indexed by metadata fields in IQ system, including recipient, date, and subject
<b>Restrictions (Law or Regulation Citation)</b>	MD Annotated Code GP § 4-311
<b>Formats (bound book, microfilm, pdf, tif, etc.)</b>	Hardcopy: Paper Digital: PDF, IQ data, WCS data (stored on portable media, including DVD)
<b>Volume (file drawers, gigabytes, etc.)</b>	4 file drawers of inactive papers 4 file drawers of active papers after scanning 12,131 uploaded documents
<b>Annual Accumulation (file drawers, gigabytes, etc.)</b>	4 file drawers 3,032 uploaded documents
<b>Current Location</b>	7201 Corporate Center Drive, Hanover, Maryland 21076 - Office of the Secretary (active papers after scanning) and 4 <sup>th</sup> Floor Supply Area (inactive papers) Production IQ Server (on-premises)
<b>Audit Requirements</b>	Subject to internal audits
<b>Date Span</b>	1998 - 03/2015: WCS system 12/2014 - Current: IQ system 2017 - Current: Paper files
<b>Completeness/Gaps</b>	Complete

<b>Schedule Item Number</b>	4
<b>Retention</b>	(A) Scan to Maryland State Archives standards, then retain paper originals until 11 months after the end of the calendar year in which they were created, then destroy. (B) Retain scans and born-digital content for 20 years or until no longer needed for current business, whichever is later, then destroy.
<b>Justification for Permanent Retention</b>	N/A

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Schedule No. **2925**  
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Records Series Title: Budget Documentation Page 8 of 10

Record Series Content	Periodic status reports and supporting documentation on office's proposed rate of expenditure, appropriations, obligations, invoices, apportionments and outlays.
Record Series Function	These records document the expenditures and projected financial needs of the office.
Organization/ Arrangement	Chronological
Indexing System	None
Restrictions (Law or Regulation Citation)	None
Formats (bound book, microfilm, pdf, tif, etc.)	Hardcopy: Paper Digital: PDF, Microsoft Word, Microsoft Excel
Volume (file drawers, gigabytes, etc.)	33.5 MB 1 cubic foot (paper in binders)
Annual Accumulation (file drawers, gigabytes, etc.)	11 MB <1 cubic foot
Current Location	7201 Corporate Center Drive, Hanover, Maryland 21076 - Office of Policy and Regulations MDOT Computer Network - Shared Drive
Audit Requirements	Subject to internal audits
Date Span	2016 - Current
Completeness/Gaps	Complete

Schedule Item Number	5
Retention	(A) Retain full fiscal year reports for 5 years, then destroy. (B) Retain all other budget reports for 3 years, then destroy.
Justification for Permanent Retention	N/A

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Records Series Title: Supervisor's Personnel Files

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Record Series Content	Unofficial records on positions, authorizations, pending actions, position descriptions, training records, individual development plans, telework agreements, leave requests, award recommendations, and other records on individual employees who fall under the supervisor.
Record Series Function	These records constitute reference material for supervisors on their immediate staff. Official personnel file is maintained by MDOT TSO Human Resources.
Organization/Arrangement	Alphabetical
Indexing System	None
Restrictions (Law or Regulation Citation)	Presence of Personally Identifiable Information (PII) MD Public Information Act GP § 4-311
Formats (bound book, microfilm, pdf, tif, etc.)	Hardcopy: Paper
Volume (file drawers, gigabytes, etc.)	1 file drawer
Annual Accumulation (file drawers, gigabytes, etc.)	<1 cubic foot
Current Location	7201 Corporate Center Drive, Hanover, Maryland 21076 - Office of Policy and Regulations MDOT Computer Network - Shared Drive
Audit Requirements	Subject to internal audits
Date Span	2016 - Current
Completeness/Gaps	Complete

Schedule Item Number	6
Retention	Review annually and destroy documents no longer needed for current business. Destroy remaining documents 1 year after employee separation or transfer.
Justification for Permanent Retention	N/A

<b>DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE</b>	<b>Schedule No.</b> 2925 (To be completed by DGS/Records Management Division)
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<b>Records Series Title:</b> Records Management Program Administrative Files	<b>Page 10 of 10</b>
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<b>Record Series Content</b>	Records include records management program surveys or evaluations, disposal certificates, records retention schedules, and transfer receipts. A copy of retention schedules, disposal certificates, and transfer receipts are maintained permanently by the Maryland State Archives (MSA).
<b>Record Series Function</b>	These files document the policies, procedures, and management of MDOT business records from creation to eventual disposition.
<b>Organization/Arrangement</b>	Alphabetical by subject or numerical by schedule number
<b>Indexing System</b>	Schedules and disposals indexed by the MSA Guide to Government Records: <a href="http://guide.msa.maryland.gov/pages/index.aspx">http://guide.msa.maryland.gov/pages/index.aspx</a>
<b>Restrictions (Law or Regulation Citation)</b>	None
<b>Formats (bound book, microfilm, pdf, tif, etc.)</b>	Digital: PDF, Microsoft Word, Microsoft Excel
<b>Volume (file drawers, gigabytes, etc.)</b>	614 MB
<b>Annual Accumulation (file drawers, gigabytes, etc.)</b>	307 MB
<b>Current Location</b>	MDOT Computer Network - Shared Drive
<b>Audit Requirements</b>	Subject to internal audits
<b>Date Span</b>	2017 - Current
<b>Completeness/Gaps</b>	Complete

<b>Schedule Item Number</b>	7
<b>Retention</b>	(A) Retain retention schedules until superseded, then destroy. (B) Retain all other records for 10 years, then destroy.
<b>Justification for Permanent Retention</b>	N/A