

RECORDS INVENTORY AND RETENTION SCHEDULE COVER SHEET

Schedule Number <small>(To be completed by DGS/Records Management Division)</small>	2953
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Agency Information

Department / Agency	Public Safety & Correctional Services
Division / Unit	Division of Parole & Probation
Mission Statement/Link to division/unit website	https://www.dpscs.state.md.us/parole_and_probation/

Schedule Information

Supersedes Schedule(s)	Schedule No. 1461
Amends Schedule(s)	

Preparer Information

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Date	January 27, 2021

Agency Approval

Name of Agency Director	Martha Danner
Agency Director Signature	<i>Martha Danner</i>
Date	2021-03-02

State Archivist Approval

State Archivist Signature	<i>Timothy Baker</i>
Date	2021-03-02

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE	Schedule No. 2953 (To be completed by DGS/Records Management Division)
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Records Series Title: Parole and Probation Supervision Case Records	Page 1 of 6
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Record Series Content	Division of Parole and Probation (DPP) Field Notes; Special Reports; Correspondence; i.e., special condition verifications and/or program progress/completion letters; Court Order or Parole Release Order; Form 42-b – Response from Court/Parole Commission; Order of Abatement; Home & Employment Report (Parole/Mandatory Release Cases Only); Warrants, Subpoenas, Summonses; Alcohol and/or Drug Testing Results; Death Certificates; Investigation Reports; Intake and Classification Materials; DPP Victim Notification Letters/Forms; Offense Reports; Justice Reinvestment Act (JRA) Certificates & Intervention/Sanction Forms; Fines, Costs, Restitution Orders/Records; Photos of supervised individual
Record Series Function	Business-related correspondence and records created in the course of supervising individuals placed under the supervision of the Division of Parole and Probation by the Judiciary, Maryland Parole Commission, or via the Interstate Compact for the Supervision of Parolees and Probationers. Documents work assigned, work accomplished, transactions made, and actions taken by Division of Parole and Probation Agents, Drinking Driver Monitor Program Monitors and/or other agency personnel.
Organization/Arrangement	Alphabetically, then chronologically.
Indexing System	None
Restrictions (Law or Regulation Citation)	Reference: Maryland Annotated Code, Criminal Procedure Article, 10-221; and COMAR 12.15.01.11 (criminal history record information); Maryland Annotated Code, Health General Article, 4-302 (medical history data); Maryland Annotated Code, General Services Article (PIA), 4-329 (medical and psychological information); Code of Federal Regulations - 42 C.F.R. Part 2 and Maryland Annotated Code, 8-601 (substance abuse history information, treatment information, release forms, assessor impressions, identification information)
Formats (paper, electronic, etc.)	Loose paper, 8.5" x 11" and 8.5" x 14"; Electronic
Volume (file drawers, gigabytes, etc.)	Loose paper - 165,195 files (1,202.32 Cubic Feet); Electronic - 8 Terabytes
Annual Accumulation (file drawers, gigabytes, etc.)	Loose paper - 13,766 files (191.4 Cubic Feet); Electronic - 128 Gigabytes
Current Location	Division of Parole & Probation Field Offices
Audit Requirements	None
Date Span	2009 - Current
Completeness /Gaps	Complete, no gaps

Schedule Item Number	1
Retention	Retain paper records in the office for three (3) years from the date of case closure, then send to the State Records Center for an additional (7) years, then destroy. If records are stored electronically, then scan according to Maryland State Archives standards; retain in the Electronic Case Management System of record for a period of ten (10) years from the date of case closure, then destroy. Immediately destroy paper records subsequent to scanning and storing them in the Electronic Case Management System of record. Parole and Probation Supervision Records that have been ordered by the Judiciary to be expunged, should be retained in accordance with Retention Schedule Item Number 4 of this series, entitled, "Expunged Case Supervision Records."
Justification for Permanent Retention	N/A

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE	Schedule No. 2953 (To be completed by DGS/Records Management Division)
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Records Series Title: Parole and Probation Investigation Case Records	Page 2 of 6
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Record Series Content	Order for Investigation; Investigation Reports; Executive Clemency Reports; Correspondence
Record Series Function	Business-related correspondence and records created in the course of conducting Pre-Sentence Investigations ordered by the Judiciary, Executive Clemency Investigations ordered by the Governor for the consideration of pardons or commutations, and client Home and Employment history and status investigations. Documents work assigned, work accomplished, transactions made, actions taken by Division of Parole and Probation Investigators and/or other personnel.
Organization/Arrangement	Alphabetical, then chronological.
Indexing System	None
Restrictions (Law or Regulation Citation)	Reference: Maryland Annotated Code, Correctional Services Article, 6-112 (confidentiality of presentence investigation reports; limited disclosure of PSI reports); Maryland Annotated Code, Criminal Procedure Article, 10-221; and COMAR 12.15.01.11 (criminal history record information)
Formats (paper, electronic, etc.)	Loose paper, 8.5" x 11" and 8.5" x 14"; Electronic
Volume (file drawers, gigabytes, etc.)	Loose paper - 64,447 files (469.83 Cubic Feet); Electronic - 2 Terabytes
Annual Accumulation (file drawers, gigabytes, etc.)	Loose paper - 8,496 files (39.15 Cubic Feet); Electronic - 66 Gigabytes
Current Location	Division of Parole & Probation Field Offices
Audit Requirements	None
Date Span	2013 - Current
Completeness /Gaps	Complete, no gaps

Schedule Item Number	2
Retention	Scan records to Maryland State Archives standards; retain in the Electronic Case Management System of record for a period of ten (10) years from the date the investigation was completed, then destroy. Immediately destroy paper records subsequent to scanning and storing them in the Electronic Case Management System of record.
Justification for Permanent Retention	N/A

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

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Records Series Title: Offender Services Records	Page 3 of 6
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Record Series Content	Criminal history information; Assessor impressions; Identification information; Medical history data; Substance abuse history information; Treatment information; Release forms
Record Series Function	Business-related correspondence and records created in the course of conducting substance abuse and mental health assessments and evaluations of clients of the Division of Parole and Probation. Documents work assigned, work accomplished, and actions taken to assist clients in becoming compliant with conditions of supervision, in reaching and maintaining recovery, and referrals to services.
Organization/ Arrangement	Alphabetically, then chronologically.
Indexing System	None
Restrictions (Law or Regulation Citation)	Reference: Maryland Annotated Code, Criminal Procedure Article, 10-221; and COMAR 12.15.01.11 (criminal history record information); Maryland Annotated Code, Health General Article, 4-302 (medical history data); Maryland Annotated Code, General Services Article (PIA), 4-329 (medical and psychological information); Code of Federal Regulations - 42 C.F.R. Part 2, and; Maryland Annotated Code, 8-601 (substance abuse history information, treatment information, release forms, assessor impressions, identification information)
Formats (paper, electronic, etc.)	Loose paper, 8.5" x 11" and 8.5" x 14"; Electronic
Volume (file drawers, gigabytes, etc.)	Loose paper - 7476 files (54.50 Cubic Feet) ; Electronic - 64 Gigabytes
Annual Accumulation (file drawers, gigabytes, etc.)	Loose paper - 1466 files (10.68 Cubic Feet); Electronic -12 Gigabytes
Current Location	Division of Parole & Probation Field Offices located within Baltimore City
Audit Requirements	None
Date Span	2017 - Current
Completeness /Gaps	Complete, no gaps

Schedule Item Number	3
Retention	Retain paper records in the office for three (3) years from the date of case closure; transfer to State Records Center for an additional seven (7) years, then destroy. If records are electronically stored, then scan according to Maryland State Archive standards, and immediately destroy paper originals. Retain electronic records for ten (10) years from the date of the case closure, then destroy.
Justification for Permanent Retention	N/A

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE	Schedule No. 2953 (To be completed by DGS/Records Management Division)
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Records Series Title: Expunged Case Supervision Records	Page 4 of 6
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Record Series Content	Order for Expungement; Memorandum to Management Information Services Unit to expunge records from the Automated Management System; Picture; Division of Parole and Probation (DPP) Field Notes; Special Reports; Correspondence; i.e., special condition verifications and/or program progress/completion letters; Court Order or Parole Release Order; Form 42-b - Response from Court/Parole Commission; Order of Abatement; Home and Employment Report (Parole/Mandatory Release Cases Only); Warrants, Subpoenas, Summonses; Drug Testing Results; Investigation Reports; Intake and Classification Material; DPP Victim Notification Letters/Forms; Offense Reports; Justice Reinvestment Act (JRA) Certificates & Intervention/Sanction Forms; Fines, Costs, Restitution Orders/Records
Record Series Function	Business-related correspondence and records created in the course of supervising individuals supervised by the Division of Parole and Probation, whose records have been ordered by the Judiciary to be expunged, and therefore sealed. Documents the work assigned, work accomplished, transactions made, and actions taken by Division of Parole and Probation Agents and/or other personnel throughout the course of clients' supervision.
Organization/Arrangement	Alphabetically, then chronologically.
Indexing System	None
Restrictions (Law or Regulation Citation)	Reference: Maryland Annotated Code, Criminal Procedure Article, 10-108 (opening, review, or disclosure of expunged records); Maryland Annotated Code, Criminal Procedure Article, 10-221; and COMAR 12.15.01.11 (criminal history record information); Maryland Annotated Code, Health General Article, 4-302 (medical history data); Maryland Annotated Code, General Services Article (PIA), 4-329 (medical and psychological information); Code of Federal Regulations - 42 C.F.R. Part 2 and Maryland Annotated Code, 8-601 (substance abuse history information, treatment information, release forms, assessor impressions, identification information)
Formats (paper, electronic, etc.)	Loose paper, 8.5" x 11" and 8.5" x 14"; Electronic
Volume (file drawers, gigabytes, etc.)	Loose paper - 4,880 files (35.37 Cubic Feet); Electronic - 80 Gigabytes
Annual Accumulation (file drawers, gigabytes, etc.)	Loose paper - 447 files (3.26 Cubic Feet); Electronic - 8 Gigabytes
Current Location	Division of Parole & Probation Administration and Field Offices
Audit Requirements	None
Date Span	2016 - Current
Completeness /Gaps	Complete, no gaps

Schedule Item Number	4
Retention	Retain sealed records in the office for three (3) years after the date of the Form 4-508.1 - Order for Expungement of Records, then destroy by shredding. If records are electronically stored, then scan according to Maryland State Archive standards, and immediately destroy paper originals. Retain electronic records for three (3) years after the date of the Form 4-508.1 - Order for Expungement of Records, then destroy. Case Supervision Records that are not ordered to be expunged by the Judiciary are to be retained in accordance with Schedule Item Number 1 of this series, entitled, "Parole and Probation Supervision Case Records."
Justification for Permanent Retention	N/A

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE	Schedule No. 2953 (To be completed by DGS/Records Management Division)
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Records Series Title: Pending Warrant Service Supervision Records	Page 5 of 6
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Record Series Content	Division of Parole and Probation (DPP) Field Notes; Special Reports; Correspondence; i.e., special condition verifications and/or program progress/completion letters; Court Order or Parole Release Order; Form 42-b - Response from Court/Parole Commission; Order of Abatement; Home and Employment Report (Parole/Mandatory Cases Only); Warrants, Subpoenas, Summonses; Drug Testing Results; Death Certificates; Investigation Reports; Intake and Classification Material; DPP Victim Notification Letters/Forms; Offense Reports; Justice Reinvestment Act (JRA) Certificates & Intervention/Sanction Forms; Fines, Costs, Restitution Orders/Records; Photos of supervised individual.
Record Series Function	Business-related correspondence and records created in the course of supervising clients under the supervision of the Division of Parole and Probation for which a warrant has been issued and gone unserved for a period exceeding three (3) years. Documents work assigned, work accomplished, transactions made, and actions taken by Division of Parole and Probation Supervision Agents and/or other personnel throughout the course of clients' supervision.
Organization/Arrangement	Alphabetically, then chronologically.
Indexing System	None
Restrictions (Law or Regulation Citation)	Reference: Maryland Annotated Code, General Services Article (PIA), 4-316 (information pertaining to arrest and charging documents); Maryland Annotated Code, Criminal Procedure Article, 10-221; and COMAR 12.15.01.11 (criminal history record information)
Formats (paper, electronic, etc.)	Loose paper, 8.5" x 11" and 8.5" x 14"; Electronic
Volume (file drawers, gigabytes, etc.)	Loose paper - 36,134 files (263 Cubic Feet); Electronic - 1 Terabyte
Annual Accumulation (file drawers, gigabytes, etc.)	Loose paper - 224 files (1.63 Cubic Feet); Electronic - 4 Gigabytes
Current Location	Division of Parole & Probation Field Offices
Audit Requirements	None
Date Span	2009 – Current
Completeness /Gaps	Complete, no gaps

Schedule Item Number	5
Retention	Retain paper records in the office pending the service, recall or elimination of the case's applicable violation warrant. Upon service, recall, or elimination of the case's applicable violation warrant, retain in the office for three (3) years from the date of case closure; transfer to State Records Center for an additional seven (7) years, then destroy. If records are stored electronically, then scan according to Maryland State Archive standards, and immediately destroy paper originals; retain electronically stored records for ten (10) years from the date of the case closure, then destroy.
Justification for Permanent Retention	N/A

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE	Schedule No. 2953 (To be completed by DGS/Records Management Division)
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Records Series Title: Closed Personnel Records	Page 6 of 6
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Record Series Content	Hiring and Promotional Records (including but not limited to: Application for Employment, Resumes, Re-classification/Promotional Materials; Applicant Rating Forms; Acting Capacity Requests); Performance Evaluations; Training Records; Counseling and Disciplinary Records; Attendance Records; Compensation Records; Correspondence; Personnel Transactions; Letters of Commendation; Badge/I.D. Issuance; Accident Reporting Forms; Retirement Documents, Etc.
Record Series Function	Personnel-related records and correspondence created throughout the course of employment, which are used to manage staff and ensure personnel procedures are followed
Organization/Arrangement	Alphabetically, then chronologically.
Indexing System	None
Restrictions (Law or Regulation Citation)	The Maryland Public Information Act provides that personnel records are confidential and may not be disclosed by the custodian of the record, except to the person of interest of the record, or to the public official(s) who supervise the employee. This includes applicant and promotional records for employment. Reference: Maryland Annotated Code, General Provisions Article, 4-311 The State Personnel and Pensions Article and Criminal Procedure Article prohibit the disclosure of criminal history record information obtained as part of an applicant background investigation. Reference: Maryland Annotated Code, State Personnel and Pensions Article, 7-104; and Maryland Annotated Code, Criminal Procedure Article, 10-221; and COMAR 12.15.01.11
Formats (paper, electronic, etc.)	Loose paper, 8.5" x 11" and 8.5" x 14"; Electronic
Volume (file drawers, gigabytes, etc.)	Loose paper - 149 files (1.09 Cubic Feet); Electronic - 6 Gigabytes
Annual Accumulation (file drawers, gigabytes, etc.)	Loose paper 37 files (0.36 Cubic Feet); Electronic - 2 Gigabytes
Current Location	Division of Parole & Probation Administration and Field Offices
Audit Requirements	None
Date Span	2016 - Current
Completeness /Gaps	Complete, no gaps

Schedule Item Number	6
Retention	Retain in the office for four (4) years after employee terminates employment, then destroy.
Justification for Permanent Retention	N/A

DGS 550-15 (REV. 7/17)

