



BALTIMORE COUNTY
OFFICE OF CENTRAL SERVICES
Records Management Division

SCHEDULE NO.
C-742

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RECORDS RETENTION AND DISPOSAL SCHEDULE

SHERIFF'S OFFICE

ALL DIVISIONS

AGENCY

DIVISION

ITEM
NO.

DESCRIPTION

RETENTION

THIS GENERAL ORDER SHALL ACT AS THE RECORDS RETENTION AND DISPOSAL SCHEDULE FOR THE BALTIMORE COUNTY SHERIFF'S OFFICE.

THIS GENERAL ORDER CANNOT BE CHANGED IN ANY WAY UNTL IT ONCE AGAIN GOES THROUGH THE APPROVAL PROCESS AS WOULD ANY OTHER COUNTY SCHEDULE.

SCHEDULE APPROVED BY
RECORDS MANAGEMENT OFFICER

5/26/95 *Gerald A. Lunt*
DATE SIGNATURE

SCHEDULE APPROVED BY
COUNTY ADMINISTRATIVE OFFICER

6/12/95 *Murray Ke...*
DATE SIGNATURE

SCHEDULE APPROVED BY
AGENCY, OR DIVISION REPRESENTATIVE

6-1-95 *Yvonne M. P...*
DATE SIGNATURE

SCHEDULE APPROVED BY
STATE ARCHIVIST

DATE SIGNATURE

BALTIMORE COUNTY
SHERIFF'S OFFICE
TOWSON, MARYLAND

GENERAL ORDER

SUBJECT: ADMINISTRATIVE DIRECTIVES
TITLE: RECORDS MANAGEMENT

NUMBER: 1.9.1

REPLACES: N/A

AMENDS: N/A

EFFECTIVE DATE:
MARCH 1, 1994

ORDER OF THE SHERIFF:

INDEX:

SUB-SECTION 1: GENERAL PROCEDURES

SUB-SECTION 2: FILING AND RETENTION

REFERENCES: 44.2.13, 44.2.14, 51.1.5, 51.3.2, 52.2.7, 74.1.0,
81.1.1, 82.0.0, 82.1.2, 82.1.6, 82.1.11, 82.1.12, 82.2.2, 82.2.15

RECORDS MANAGEMENT

CALEA REF: 44.2.13, 44.2.14, 51.1.5, 51.3.2, 52.2.7, 61.2.0, 63.3.0,
74.1.0, 81.1.1, 82.0.0, 82.1.2, 82.1.3, 82.1.4, 82.1.5,
82.1.6, 82.1.11, 82.1.12, 82.2.2, 82.2.3, 82.2.4, 82.2.5,
82.2.6, 82.2.7, 82.2.14, 82.2.15

POLICY: The Baltimore County Sheriff's Office shall create, file and maintain written copies of all original records, files, orders, policies, procedures, directives, schedules and other information generated in the normal course of business as directed by this General Order.

PURPOSE: To establish a structured systematic storage of information in the normal course of business to facilitate the recollection, collation, management and disposition of data, reports, policies, schedules, instructions, directives, orders and all other information relevant to the efficient operation of the Agency.

Sub-Section 1: General Procedures**Authority**

1. This Records Management General Order and all additions, amendments, instructions, directives, and other records management materials are issued under the authority of the Sheriff and are to be administered by the Planning and Research Section unless otherwise provided for in this manual.
2. Separate retention schedules to cover those records which are unique to a particular bureau, division, section or unit will be established by the Research and Planning Section and maintained in addition to any filing and retention schedule as may be specified in this general order.
3. Additional files, records, or procedures will not be established without the prior approval of the Sheriff.

Scope

Unless otherwise ordered, the provisions of this general order shall apply to all bureaus, divisions, sections and units of the Baltimore County Sheriff's Office. Applications of the provisions herein is mandatory, and all material and instructions previously issued which are inconsistent with this general order are hereby superseded.

Responsibility

1. The Research and Planning Section has the overall responsibility for monitoring the creation, maintenance, and disposition of the agency's records. This responsibility includes, but is not limited to the following items:
 - a) Analyzing, developing, coordinating, and installing records management procedures, including filing procedures, to meet the needs of the agency.
 - b) Serving as liaison with other bureaus, divisions, sections or units which have the responsibility for keeping records unique to their duties, on matters relating to records management.
2. Supervisors where records are kept and used are responsible for implementing this filing system. The location of files will be left to the discretion of the senior supervisor at a location. However, bulky files such as oversized pages and computer print outs may be kept in binders, but must be properly labeled.
3. The objective in managing official records is to make them serve the purpose for which they were created as economically and efficiently as possible. This objective can be reached by constant adherence to the procedures established herein.

Guidelines for Filing

1. Do not file useless paper. The filing of records should be restricted to those records listed in the agency's filing schedule. Filing has four primary advantages:

- a) Faster Finding
- b) Faster Filing
- c) Easier Disposal
- d) Saves space, equipment, and supplies.

2. Limit the number of copies of each document prepared to those which are specifically required or requested or which serve a valid purpose.

3. Required records are the "official files" of the bureau, division, section or unit which should be completely separated from any other "official files". Other "official files" are those which actually document the functions and responsibilities of that bureau, division, section or unit. These include the fiscal, administrative, operations, legal, personnel and other related files.

4. "Unofficial files" consist of copies of printed or reproduced pamphlets, magazines, technical reports and related publications maintained by choice, as a useful source of information and generally include the "FBI Digest, supply catalogs, and similar information. They may, in fact, be disposed of at the pleasure of the commander.

5. Most duplicate files are maintained for convenience; seldom are they essential to the operation of the agency. Duplicate files at various locations may seem efficient, but they are costly to maintain and can be misleading because they do not always contain a complete case history or sufficient background data necessary to make a sound decision. Duplicate files can sometimes undermine the main files.

6. Eliminate extra copies. Creation of extra copies should be limited to those which would be of significant value to the bureau, division, section or unit when their responsibility for the maintenance of such records can be firmly established.

Filing Systems and Arrangements

1. Case files are the simplest and easiest of all to maintain and constitute the largest single type of file maintained by the Baltimore County Sheriff's Office. They consist of groups of file folders arranged in numerical, alphabetical chronological or geographical sequence an action from beginning to end. The following are samples of some of the more common files with arrangement patterns as maintained by the Baltimore County Sheriff's Office:

Event Reports	SD Number Order
Arrest Reports	Chronological
Arrest Files	Alphabetical
Daily Radio Logs	Chronological
Daily Activity Reports	Chronological
Warrants	Alphabetical
Accident/Sick Reports	Alphabetical
Personnel Records	Alphabetical
Internal Affairs Investigations	IAS Number Order
Medical Leave Report	Medical Report Number

2. Arrangement

- a) At least once a year, screen the file to remove:
 - 1) All material rescinded and obsolete materials
 - 2) Material which has been included in another publication maintained by the office
 - 3) Material of no informational value
- b) Use one of the following methods to arrange the file:
 - 1) SUBJECT arrangement - documents which can be grouped by broad subject topics, such as training, vehicles, radios, etc.
 - 2) SOURCE arrangement - documents which can be grouped by source and users request them by source.
 - 3) TITLE arrangement - documents that are requested by title.
 - 4) NUMBER arrangement - publications such as reports, catalogs, laws, and manuals which are identified and requested by number.
- c) Use standard folders for filing letter-size and near letter-size documents which do not have identifying information on the spine.
- d) Use binders for filing manuals, and other publications which are changed and updated through the issuance of new pages.

3. The primary purpose for maintaining card files is as an index or guide for information filed elsewhere, such as index card files used to reference arrests; ARI card files and warrant card file. Card files used for immediate reference to records should be easy to use and accurate.

Files Maintenance

1. The simplest and most convenient method of carrying out records disposition is to cut-off or break each file regularly and start

a new file. A files cut-off system prevents accumulation of files beyond actual current needs, prevents the growth of files into cumbersome, unmanageable collections, simplifies the retirement and destruction of records in blocks, facilitates reference to current files, and restricts the requirement for additional space and equipment.

2. Case files may be cut off at the termination of a transaction. For example, when an investigation has been completed and the case finally adjudicated, the folder(s) can be marked with the date of termination and placed apart from open cases. This applies to files which are designated with open and closed provisions only.

3. Chronological sequence files, such as accounting and fiscal, are easy to cut-off since they are initially filed by fiscal or calendar year. At the time of cut-off, simply move the files to an inactive files area until they can be transferred or destroyed in accordance with your records retention schedule, and prepare new folders for the current year.

3. A charge-out record will be made and substituted for all documents removed from the file for reference purposes. Information entered on the charge-out record is used for locating the document when it is removed from the drawer. When the documents are returned to the drawer, the entries are lined out and the record is available for re-use.

4. While guide cards are the principle signposts, drawer labels and folder labels also help to find or file faster in the right folders. Drawer labels narrow the search to one drawer, guide labels to several folders, and folder labels to the contents of one folder. Labels should be in large type and colored if possible, to help identify separate files. Captions should be accurate and complete to identify the contents.

5. The entire files system is designed and planned to direct the user speedily to one folder. If the label on the folder does not completely and exactly identify the contents, even the best files system falters. A good folder label should reflect in no more than three typewritten lines; the specific name, letter, geographic location, topic, number, code or symbol identifying exactly the contents of that folder. If folders are broken down in chronological order, indicate the segment kept in each particular folder.

FILING AND RETENTION SCHEDULE

1. Filing and retention schedules have been created for this agency and are listed in Sub-Section 2 of this General Order. This schedule lists those records used by the agency and guidelines for retention.

2. Each supervisor will receive copies of the retention schedule. In addition a copy is forwarded to the Sheriff and to each bureau commander. The original of all retention schedules will be kept and maintained by the Research and Planning Section.

RECORD COPY

Certain divisions, sections or units are required to keep a record copy of certain documents, reports, invoices, or other material until audited or because of other administrative necessities. A record copy must be kept at least three years.

DESTROYING RECORDS AND FILE

1. Supervisors will use discretion and good judgement in determining the method of destruction. As a general rule, records and files considered sensitive or confidential in nature, such as applicant and investigative files, should be shredded or otherwise destroyed.

2. When records or files are destroyed, a Certificate of Records Disposal form should be completed in triplicate; the original will be forwarded to the Research and Planning Section, a copy must be sent to the Baltimore County Records Management Officer, and a copy to be placed in the file cabinet or container where the records or files would have been located.

STORING RECORDS OR FILES

Records and files which must be maintained for future anticipated use or to comply with retention guidelines, which, for practical purposes cannot be stored at the site where these files are normally kept may be housed in various storage facilities available to the Sheriff's Office throughout the New Courts Building and the Administrative Offices.

Sub-Section 2: Filing and Retention Schedule

The Commander of Research, Planning and Inspectional Services will serve as Baltimore County Records Management liaison. The Records Management Section will be commanded by the Agency Forms Control Officer (AFCO) and will be responsible and accountable for files and/or records in the central records repository. * Files and/or records involving investigative, intelligence or internal affairs information is not considered part of the central records repository.

Orders

1. **Special Orders (R1)** - Contains a copy of all Special Orders which affect specific segments of activities and are of a temporary or self-canceling nature. This file contains may contain Memoranda, revisions, amendments or appendices to a specific Special Order.

a) All original Special Orders are kept permanently* by the Research and Planning Section in a log designed for that purpose. *Transfer periodically to the MD State Archives.

b) All other copies of Special Orders maintained at other sites will be retained until superseded, rescinded, or canceled, after which they may be destroyed.

2. **General Orders (R2)** - Contains a copy of all General Orders issued by the Sheriff to announce policies affecting the entire Agency. General Orders may have amendments, revisions, memoranda or appendices attached. All original General Orders and complete updated version of the manual containing all General Orders will be maintained by the Research and Planning Section. General Orders will be retained until superseded, revised, rescinded, canceled or updated, after which they may be destroyed.

3. **Personnel Orders (R3)** - Contains a copy of all Personnel Orders affecting permanent or temporary transfers, reassignments, duty status and training of personnel of this Agency and any appendices, amendments or revisions which may be included. All original Personnel Orders will be kept permanently in a log for that purpose by the Research and Planning Section. All copies of Personnel Orders at other agency site shall be retained until these orders have been expired, complied with, canceled, superseded, revised, rescinded, canceled or updated, after which they may be destroyed.

4. **Authority** - The Agency Forms Control Officer (AFCO) will head the Records Management Section and will be accountable for the collection, dissemination, retention and destruction of all Special Orders, General Orders, and Personnel Orders pursuant to the guidelines established in this General Order.

Reports

1. **Event Reports (R4)** - Contains all reports of crimes/incidents

made during the normal course of business by the Baltimore County Sheriff's Office. Original and two (2) copies of each report will be maintained by the Research and Planning Section for three (3) years in the active file, then three years in the inactive file, after which they may be destroyed. These reports include any and all supplements, notes, logs, statements, diagrams and any forms or paperwork which may be inclusive in the report as a whole filed under the applicable SD number.

2. **Vehicle Incident Reports (R5)** - Contains all reports of incidents involving motor vehicles (accidents, breakdowns, tows, etc.) during the normal course of business by the Baltimore County Sheriff's Office. Original and two (2) copies of each report will be maintained by the Research and Planning Section for three (3) years in the active file, then three (3) years in the inactive file, after which they may be destroyed. These reports include any all supplements, notes, logs, diagrams and other forms or paperwork which may be included in the report as a whole, filed under the applicable SD number.

3. **Arrest Reports (R6)** - A report containing all pertinent and applicable information on every arrest made by members of the Baltimore County Sheriff's Office during the performance of their duties and the legal exercise of their law enforcement powers on-duty or off-duty. Original and two copies of each report will be kept by the Research and Planning Section for three (3) years in the active file, then three (3) years in the inactive file, after which they may be destroyed, unless destroyed prior to the prior time limit by court ordered expungement. These reports include any and all supplements, notes, logs, diagrams, photos and other forms or paperwork which may be included in the report as a whole, filed under the applicable SD number.

4. **Juvenile Records (R7)** - All agency records pertaining to juveniles will be kept separate from those files containing other agency records and be the responsibility of the commander of the R&P Section. These records will be secured at the Records Unit of the Research and Planning Section at the Administrative Offices of the Baltimore County Sheriff's Office and access and/or dissemination of these records/files will be on a need to know basis only. These records include any and all arrest and event reports, supplements, notes, logs, diagrams, photos and other forms or paperwork which may be included in the report as a whole, files under the applicable SD number. Original and two copies of each report will be kept by the Research and Planning Section for three (3) years in the active file, then three (3) years in the inactive file, after which they may be destroyed, unless destroyed prior to the prior time limit by court ordered expungement.

5. **Authority** - The Agency Forms Control Officer will head the Records Management Section and will be accountable for the collection, dissemination, retention and destruction of all Event Reports, Vehicle Incident Reports, Arrest Reports and Juvenile Records pursuant to the guidelines established in this General Order.

Forms In General (R8)

All other forms contained on the active agency form list, contained in the supplement to General Order 1.4.1, not mentioned in this general order, and any other paperwork kept by the Baltimore County Sheriff's Office in the normal course of business will be kept four years, after which it may be destroyed.

Authority - The commander/supervisor of the division, bureau, section or unit where the forms are kept in the normal course of Baltimore County Sheriff's Office business will be accountable for the collection, dissemination, retention and destruction of all other forms pursuant to the guidelines set forth in this General Order.

Investigative, Intelligence, and Internal Affairs Records (R9)

All agency investigative, intelligence, or internal affairs records and files will be maintained by and secured at the Internal Affairs Unit located at the Administrative Offices, separate from other agency records due to their sensitive nature and to prevent compromise and protect the integrity of the system. Access to these records will be limited to individuals on a need to know basis as approved by the Sheriff and may include audio-visual monitoring equipment, tapes, and any surveillance vehicles. Files relating to any agency investigative or intelligence records must be kept 99 years and then destroyed.

Authority - The commander/supervisor of the Investigative Services Division will be accountable for the collection, retention and security of all investigative, intelligence, and internal affairs files/records. The Sheriff will be accountable for access to and destruction of these records.

Recording Legal Process (R10)**Warrants and Writs of Attachment (Criminal and Civil)**

1. A record system is provided in the Warrant Services Division office for the 24 hour access of all criminal and civil warrants and writs in the possession of the agency for the purposes of the service of those warrants. These warrants and writs will be kept in a system of clearly marked file cabinets in the Warrant office and will be kept secured at all times and will be retained only until served and/or recalled. Access to these files will be to authorized agency personnel only. All supervision, emergency communications dispatchers and warrant rotation personnel will have 24 hour access to this secured area on an as needed basis.

Authority - The commander/supervisor of the Warrant Services Division will be accountable for the collection, retention and security of all criminal and civil warrants and writs of attachment files/records and will be accountable for access to and destruction of these records.

2. A computerized record of all warrants and writs will be kept in the Baltimore County Warrant System. This system will contain all warrants and writs directed to the Baltimore County Sheriff's Office and the Baltimore County Police Department. The need for timely and accurate information of writs and warrants is continuous, not limited to conventional working hours. In the interest of continued public safety this multi-agency system provides immediate access to the status of warrants and writs on a 24 hour basis. Baltimore County Data Processing Section will determine the retention and/or deletion of all records pertaining to the Baltimore County Warrant System.

Criminal and Civil Legal Process (R11)

1. A computerize system known as the "Sheriff's Process Inventory System" is available and used by the agency to maintain an ongoing file of all legal process (other than warrants and writs of attachment) directed to the Baltimore County Sheriff's Office for service. Baltimore County Data Processing System will determine the retention and/or deletion of all records pertaining to the Sheriff's Process Inventory System. Information regarding each item of legal process, civil and criminal, is recorded with in this system, including the following elements:

- a) date and time received;
- b) type of legal process;
- c) nature of document;
- d) source of document;
- e) name of plaintiff/complainant or name of defendant/respondent;
- f) person to be served;
- g) address for service;
- h) deputy assigned for service;
- i) date of assignment;
- j) case number;
- k) date service is due;
- l) service disposition and date;
- m) reason, if not served.

2. Records of attempts of service of each legal process will be maintained on the piece of legal process as well as on the daily activity sheet (Form #110) of each deputy.

3. Access to the agency computerized process inventory system is on a 24 hour a day, 365 days a year basis for those agency personnel who have been given a security password and has authorized access to the computer information.

Communications Records (R12)

1. The Agency Communications Officer (ACO) is directly responsible for the communications function and answers to the commander of the Support Services Division, which is commanded by the Undersheriff. Agency communications records are described as those which pertain to radio traffic, NLETS, computer printouts relating to MILES, MVA, NCIC, etc. Also included are any audio tapes used to monitor or to keep a record of official radio transmissions of the Baltimore County Sheriff's Office personnel and dispatch.

2. All taped audio agency communications records will be kept for a period of ninety (90) days after which time it may be erased.

3. Any and all paper records, logs, reports or other permanent paper records kept in the normal course of agency business and deals with the daily activities relating to agency vehicles calling in and out of service, destinations and other pertinent information regarding vehicle traffic while performing agency duties will be kept for a period of one (1) year in an active file and two (2) years in an inactive file, after which time they may be destroyed.

4. The maintenance of the NLETS terminal/printer/computer and any messages/communications received/sent will be the responsibility of the Agency Communications Officer and all records pertaining to the terminal/printer/computer output will be destroyed by the Agency Communications Officer (ACO) or his/her designate immediately after the material is reviewed.

GENERAL CORRESPONDENCE (R13)

1. Includes original incoming letters, copies of outgoing letters, memoranda, studies, reports, directives, policies, and other materials related to the administration of the agency.

2. This material will be screened annually and destroyed if it is not needed for current business.

3. Directives, policies, and other material related to the planning and policy that illustrates the development of the agency, will be retained permanently for eventual transfer to the State Archives.

UNOFFICIAL PERSONNEL FILES (R14)

1. These are files that contain information on current members. These files may contain but are not limited to copies of applications, annual reviews, reprimands, and disciplinary actions, awards, doctor slips, accident reports, resumes, etc.

2. This material shall be screened annually and any material no longer needed for current reference shall be destroyed. Retain remaining items for two (2) years after termination, then destroy.

PAYROLL ATTENDANCE REPORT, LEAVE AND TIME SHEETS (R15)

1. These are files that contain office copies of members annual leave, daily time recordings, and payroll attendance markings.

2. This material shall be retained for one (1) year, and then may be destroyed.

BUDGET RECORDS (R16)

1. These records include annual budget submissions, monthly budget printouts, workpapers, or any other material that may be classified as budget records.

2. Annual submissions shall be retained for five (5) years, then be destroyed. All other budget related material shall be retained for two (2) years then destroyed.

GENERAL ACCOUNTING RECORDS (R17)

1. These records include office copies of Goods Received Memoranda, billing invoices, expense/travel reports, requisitions, petty cash vouchers, mileage reports, direct payment forms, paid bills, ticket books, purchase orders, deposit slips, receipt books, etc.

2. This material shall be retained for three (3) years, and may be destroyed.

SPECIAL ACCOUNTING RECORDS (R18)

1. These records include audit reports (internal or external, financial or program).

2. One (1) copy of this material is to be retained permanently for eventual transfer to the State Archives.

FIXED ASSETS FILE (R19)

1. These records include fixed asset printouts (including vehicles), IRA forms (office copy), lost/stolen forms (office copy), surplus forms (office copy), transfer forms (office copy).

2. Fixed asset printouts shall be retained for one (1) year, then destroyed. All other completed forms shall be retained for three (3) years, then destroyed.

Requests for Agency Records

Requests for agency documents will be directed by the policies and provisions as established in General Order 1.8.1, Sub-Section 10 of this manual.

Date: _____

Norman M. Pepersack, Jr.
Sheriff of Baltimore County