

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

Schedule No. C1138

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**Agency- Montgomery County Government (MCG)
General Schedule**

**Division/Unit
Administrative Record Series**

Item No.	Description	Retention
1-1	<p>The term Administrative Record Series is intended to cover a wide variety of records created in the normal course of business. The series may include:</p> <p>General</p> <ul style="list-style-type: none"> ○ Correspondence ○ Call Logs ○ Calendars- Records kept to document and facilitate the routine planning and scheduling of meetings, appointments, daily tasks, or similar activities. ○ Internal meeting minutes, attendance, agendas 	<p>Screen every three years and destroy material that is no longer needed for current business with the following exception: Transfer to the Maryland State Archive for permanent retention any material that serves to document the origin, development, and accomplishments of the office and has continuing administrative, fiscal, legal, or historical value.</p>
1-2	Policy and Procedures	Permanent. Screen every 10 years and transfer superseded versions to State Archives.

Schedule Approved by Department, Agency, or Division Representative.

Date February 17, 2011

Signature *Edward Buchanan*

Typed Name Edward Buchanan

Title Government Records & Imaging Coordinator

Schedule Authorized by State Archivist

Date 25 Feb 2011

Signature *Edward C. Quenfen*

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Item No.	Description	Retention
1-3	Program Creation <ul style="list-style-type: none"> ○ Design ○ Development ○ Implementation 	Screen every three years and destroy material that is no longer needed for current business with the following exception: Transfer to the Maryland State Archive for permanent retention any material that serves to document the origin, development, and accomplishments of the office and has continuing administrative, fiscal, legal, or historical value.
1-4	Budget <ul style="list-style-type: none"> ○ Approved- Records documenting the final annual financial plan approved by the County. May include budget message, financial summaries, revenues and expenditures, operating programs, position and wage analysis, overhead allocations, organizational charts, previous actual or budgeted amounts, and related data. 	Permanent, transfer to State Archives 5 years after approval.
1-5	<ul style="list-style-type: none"> ○ Reports ○ Recommendations ○ Changes 	Screen every 5 years and destroy all material not needed for conduct of business.
1-6	Performance Measures, Statistics	Screen every 10 years and destroy all material not needed for conduct of business.
1-7	Administrative Reports	Screen every 5 years and destroy all material not needed for conduct of business.

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Division/Unit
Administrative Record Series

Item No.	Description	Retention
1-8	Annual Reports	Permanent. Retain on-site 10 years then transfer to Maryland State Archives for permanent retention.
1-9	Hiring Management	Screen every 5 years and destroy all material not needed for conduct of business.
1-10	Training- These records consist of materials used in training, such as films, compact disks, electronic files, slides, commentaries, manuals, workbooks and other related data.	Screen every 10 years and destroy all material that is obsolete, superseded or the administrative need is met, and then destroy.
1-11	Legislative and Regulation Working Files- These records consist of copies of bills/regulations, proposed legislation, review letter, fiscal notes, departmental analysis, public comments, mailing lists, attorney notes and impact statements.	Screen every 10 years and destroy all material that is obsolete, superseded or the administrative need is met, and then destroy.
1-12	Publications- These are pamphlets, leaflets, studies, proposals and similar material printed by or for the county or any of its departments, subdivision or programs, and made available to the public, or the last manuscript report if not published.	Screen every three years and destroy material that is no longer needed for current business with the following exception: Transfer to the Maryland State Archive for permanent retention any material that serves to document the origin, development, and accomplishments of the office and has continuing administrative, fiscal, legal, or historical value.

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General Schedule**

Division/Unit
Board and Commission Record Series

Item No.	Description	Retention
2-1	Archival Administrative records may include, but are not limited to: <ul style="list-style-type: none"> ○ Minutes ○ Agendas ○ Annual Reports ○ Formation and Organizational history 	Permanent. Transfer to State Archives every 10 years.
2-2	Administrative records may include, but are not limited to: <ul style="list-style-type: none"> ○ Attendance reports ○ Testimony ○ Legislation ○ Membership lists ○ Appointment papers ○ General volunteer forms ○ Correspondence ○ Various other Miscellaneous documents 	Screen annually and destroy material that is no longer needed for current business with the following exception: Archive for permanent retention any material that serves to document the origin, development, and accomplishments of the office and has continuing administrative, fiscal, legal, or historical value.
2-3	Financial records are the same as noted in the General Financial Records Series but are related to a Board or Commission.	Screen annually and destroy material that is no longer needed for current business with the following exception: Archive for permanent retention any material that serves to document the origin, development, and accomplishments of the office and has continuing administrative, fiscal, legal, or historical value.

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Division/Unit
Compliance Record Series

Item No.	Description	Retention
4-1	Compliance Record Series Guidelines, Policies and Procedures	Federal law at 45 CFR164.530 states retention is 6 years from the date of creation or 6 years from date when document is last in effect, whichever is later, and then destroy.
4-2	Employee Compliance Training Records	Federal law at 45 CFR164.530 states retention is 6 years from the date of creation or 6 years from date when document is last in effect, whichever is later, and then destroy.
4-3	Incidents- Confidential compliance records that include some client identifying information, employee information, investigatory, and other sensitive information. Client requests related to their information, client complaints related to requests or related to how their information was used or disclosed. Reports of suspected violations of policy or law. Reports of suspected breaches. Investigations related to complaints or reported violations or breaches. Risk assessments. Breach notification letters and other mandatory notification. Recommendation for sanctions.	Federal law at 45 CFR164.530 states retention is 6 years from the date of creation or 6 years from date when document is last in effect, whichever is later, and then destroy.
4-4	ADA Compliance: Complaints/Grievances- Records required to be retained under Age Discrimination in Employment Act (ADEA) and Americans with Disabilities Act (ADA) containing results of physical examinations considered in connection with personnel actions. Note: These records are not personnel records and must be kept physically separate from employee personnel records in a separate location as required by the Americans with Disabilities Act.	Retain 4 years after resolution of case, and then destroy.

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Division/Unit
Contract Record Series

**Item
No.**

Description

Retention

5-1

Departmental Contract Records contain agreements and contracts of various kinds that document some form of agreement that is enforceable by law between Montgomery County and other parties, including but not limited to:

- Contract Monitoring Reports
- Contract Action Worksheets
- Contract Personnel Records
- Contract Renewal Documents
- Correspondence
- Insurance Certificates
- Invoices and supporting documentation
- Monthly/Quarterly/Annual Reports
- Notice to Proceed
- Purchase Orders
- Memorandum of Understanding
- Bond Verification, Special Conditions, Amendments
- Various other Miscellaneous documents

Retain 5 years from expiration of contract or until all audit requirements have been met, whichever is later, then destroy.

5-2

Request for Proposal (RFP) Solicitations

Retain 5 years from expiration of contract or until all audit requirements have been met, whichever is later, then destroy.

5-3

Unsuccessful bids and proposal files- These are solicited and unsolicited unsuccessful (rejected) bids and proposals to provide products or services to an agency by a private contractor/vendor.

Retain 5 years from expiration of contract or until all audit requirements have been met, whichever is later, then destroy.

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Agency	Montgomery County Government General Schedule	Division/Unit Financial Record Series
Item No.	Description	Retention
6-1	The Financial Record Series is intended to cover a wide variety of documentation related to Financial transactions and may include: <ol style="list-style-type: none"> 1. Direct Vouchers and supporting documentation. 2. Purchase Orders- These are forms authorizing the order to purchase supplies or equipment by the county. They contain the name of requesting agency, name of vendor, item, date ordered, delivery date, purchase order number, account charging, and authorized signature. 3. Reimbursement Requests 4. Financial Reports 5. Fee Collection 6. Bank Statements 7. Cancelled Checks 8. Grant Records- Records concerning approved federal, state, and private grants. May include applications, reports, records of equipment purchased with grant funds, and all relevant programmatic records 9. Bank Reconciliation Includes spreadsheets, book balance reports used for reconciliation of all bank accounts. 10. Bond Files- Working papers and final documentation related to the issuance of bonds for which the county is obligated. 11. Utility Records- Gas, Water and Electric invoices, tracking and conservation efforts. 12. Various other Miscellaneous Financial documents 	Retain for 7 years or until all audit requirements have been fulfilled, then destroy.

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Division/Unit
IT Systems Record Series

Item No.	Description	Retention
	<p>The IT Systems Record Series is intended to cover a wide variety of documentation related to Information Technology Systems and may include:</p>	
8-1	<p>System Documentation- System definitions, flowcharts, hardware/software infrastructure, program descriptions and documentation, work flow records, system specifications, etc</p>	<p>Destroy 1 year after system is superseded or obsolete.</p>
8-2	<p>Quality Assurance Records – Information verifying the quality of system, hardware or software operation including records of errors or failure and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records need as an audit trail to evaluate data accuracy.</p>	<p>Screen annually and destroy when administrative value ends.</p>
8-3	<p>Systems Application Development Documentation – Program code, program flowcharts, user guides, program maintenance log, system change notice, and other records that documents modifications to computer programs.</p>	<p>Destroy 1 year after system is superseded or obsolete.</p>
8-4	<p>Systems Security - Internet and service logs</p>	<p>Destroy in office after 5 years or when administrative value ends.</p>
8-5	<p>Systems Security - Computer Security Incidents</p>	<p>Screen annually and destroy when administrative value ends</p>
8-6	<p>Systems Security - Disaster Preparedness and Recovery- Records related to the protection and re-establishment of data processing of services and equipment in case of a disaster.</p>	<p>Destroy 1 year after system is superseded or obsolete.</p>
8-7	<p>Various other Miscellaneous Technology documents</p>	<p>Destroy in office after 1 year or when administrative value ends.</p>

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**Division/Unit
Personnel Record Series**

Item No.	Description	Retention
12-1	<p>Official Personnel Record- The Office of Human Resources (OHR) must keep the County's official personnel file for each employee. The official personnel file must not contain any information about an employee's medical or psychological condition. OHR must limit the documents in the official personnel file to:</p> <ul style="list-style-type: none"> ○ application that resulted in appointment, reappointment, promotion, transfer, or demotion; ○ employment history, including personnel action documents affecting appointment, reappointment, promotion, transfer, demotion, salary change, or other personnel action; ○ employee identifying information and emergency contact information; ○ payroll withholding documents; ○ insurance, retirement, and other records related to employee benefits; ○ documents submitted by the employee with the employee's application for employment or promotion to show that the employee has a degree, license, or certificate required for the current job or desired job, but not routine training records, such as verification of a class or conference attended; ○ performance evaluations from the last 5 years; ○ disciplinary actions other than written reprimands; ○ commendations; and ○ written reprimands from the last 12 months. 	<p>Retain 75 years after separation date, then destroy, with the following exception: Performance Evaluations should be destroyed after 5 years and written reprimands after 12 months.</p>

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Division/Unit
Personnel Record Series

Item No.	Description	Retention
12-2	<p>Employee Medical Records- The Manager of Occupational Medical Services is the custodian of employee medical records and must maintain the medical record of each employee. The Manager of Occupational Medical Services must limit the medical record of an employee to:</p> <ul style="list-style-type: none"> a. County medical examination records; b. records obtained or received from a health care provider about the fitness of an employee or applicant or a request for disability retirement; c. a medical waiver or release signed by the employee; d. a request by the employee's supervisor or department director for an additional or special medical examination and the record of an action taken in response to the request; e. result of a medical test, examination, or procedure including psychological examination or report; and f. information provided by the employee or other person that relates to the health or health care of the employee. <p>An employee's psychological or genetic records:</p> <ul style="list-style-type: none"> a. are subject to special restrictions on disclosure; and b. must be maintained in the employee's medical record. <p>Medical records are confidential. The Manager of Occupational Medical Services must maintain medical records in a secure location apart from other employee records.</p>	Retain 75 years after separation date, then destroy.

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Division/Unit
Personnel Record Series

Item No.	Description	Retention
12-3	<p>Departmental Personnel Records - These are the departments employee files for county employees and may contain:</p> <ul style="list-style-type: none"> ○ an employee's home address and phone number ○ current job information, which may include the job description and location ○ employee emergency contact information ○ training records ○ timesheet and leave data necessary to verify payroll ○ various other Miscellaneous personnel documents ○ leave records ○ performance evaluations and supporting documentation ○ commendations ○ disciplinary actions and written reprimands ○ notices received from the Employee Medical Examiner concerning the employee's duty status, work restrictions, and recommended accommodations ○ notes from health care providers submitted by employees during the last two years to confirm medical appointments, excuses from work, duty status, returns to work, and work restrictions 	<p>Retain 5 years after separation date, then destroy.</p> <p>Retain 5 years, then destroy.</p> <p>Retain 2 years, then destroy.</p>
12-4	<p>Supervisory Personnel Records - The supervisor may include in the supervisory file:</p> <ul style="list-style-type: none"> ○ copies of records contained in the department operating record ○ commendations and complaints from customers concerning the employee's job performance or conduct ○ notes made by the supervisor during a performance review or other counseling sessions with the employee ○ copies of the employee's completed work assignments, draft documents, or work in progress ○ written communications between the employee and the supervisor concerning performance or conduct issues 	<p>Non-permanent. Retain HIPAA documents for 6 years, then destroy. For all other material for bargaining agreement employees, screen annually and destroy material no longer needed for current business. For all other material for unrepresented employees, screen every two years and destroy material no longer needed for current business.</p>

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Division/Unit
Facility Record Series

Item No.	Description	Retention
13-1	Site Plans- final approved plans of buildings for which permits have been issued.	Retain 7 years after facility is vacated by Montgomery County Government, and then destroy.
13-2	Work Request Processing- tracking all facilities work requested including building maintenance, electrical, plumbing, landscaped, cleaning, trash removal, HVAC, Renovations, Telephone, Data, Moving Services	Retain 7 years after facility is vacated by Montgomery County Government, and then destroy.
13-3	Equipment/furniture manuals	Retain 7 years after equipment/ furniture no longer in use, and then destroy.
13-4	Disaster and Emergency Management Plans- Records concerning preparedness, evacuations, and operations in the event of a disaster (natural, accidental, or malicious). Includes but not limited to official copy of comprehensive plan and all background surveys, studies, reports, and draft versions of plans.	Continuous record. Maintain as a perpetual file by updating when amended
13-5	Inspection Reports - Records concerning the maintenance, repair and inspection of municipal owned facilities. Including plumbing, electrical, fire and other systems.	Retain 7 years after facility is vacated by Montgomery County Government, and then destroy.
13-6	Certificates of Occupancy - Documents issued by the municipality after the permitted construction activity is completed as evidence that all minimum requirements have been met before the building or structure can be occupied and used.	Retain until building is no longer standing then destroy.