

**DEPARTMENT OF GENERAL SERVICES**  
**Records Management Division**  
*Records Management Handbook*

**Records Management Manual**

 **Records Reduction Manual** 

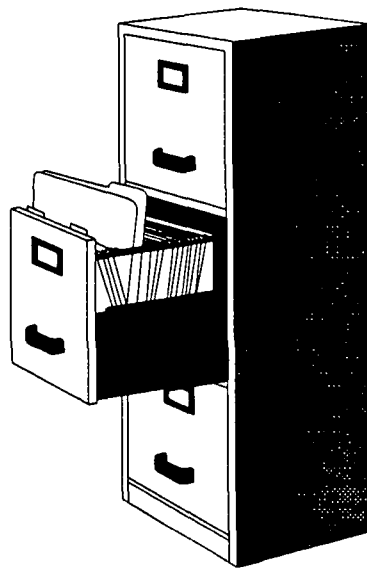
**Vital Records Protection Plan**

*Revised: January 1993*

*Issued: July 1993*

*Department of General Services*

# ***RECORDS MANAGEMENT MANUAL***



Revised: January 1993

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## **Glossary of Terms**

**Access** - Permission to use and reproduce records. Usually limited or qualified (restricted by the activity owning or having legal custody of the records).

**Active Records** - Records or materials which are maintained in the office of an activity for current daily operations and are referred to or used in the conduct of current work.

**Activity** - As used in this manual, refers to that level within an organization which is, or should be, responsible for management of that organization's records/files; such responsibility to include filing, file retention and file disposal actions. Size of the files managed could be as large as Department-wide or as small as the file/records for a two-person board. Organizational components synonymous with activity include: Departments, Agencies, Divisions, Branches, Sections, Units, Officer, Commissioner, Boards, Center, Cities, Towns, etc.

**Administrative Value** - The usefulness of records to an activity for carrying on its day-to-day work and future work.

**Aperture Cards** - A standard size tabulating card used to hold a microfilm image. The aperture card may be keypunched to permit mechanical retrieval.

**Appraisal of Records** - An analysis of all records within an activity to determine their administrative fiscal, historical, or legal value to that activity's operation.

**Archives** - A repository for records and information that have permanent historical value.

**Archival Records** - Permanent records which may be current or non-current and which must eventually be transmitted to the archives for preservation and permanent retention.

**Camera. Planetary** - A camera in which the film unit is suspended over a copyboard and is raised or lowered to achieve the desired reduction ratio. The documents remain motionless on the copyboard while they are filmed. Effectively used to film blue prints, charts, bound publications (books), etc.

**Camera. Rotary** - A camera in which documents are transported through the machine by rotating belts, while the image is reflected by several mirrors to the lens of the camera. Effectively used to film individual page(s) of letter and legal size documents

**Cartridge** - Plastic holder containing a roll of microfilm. The entire unit can be plugged into a microfilm reader and/or reader printer.

**COM** - Computer Output Microfilm. The process of translating computer generated information directly into readable language and recording it on microfilm.

**Cubic Foot** - That volume of paper records which will fill a space one foot high by one foot wide by one foot long. This is the basic measurement for record volumes.

**Custody**- The guardianship of records, whether it be physical or legal control of the records.

**Cutoff** - A specific period of time after which no new records are added to the file(s). Recurring files required to conduct an organizations business usually are cut off at the end of the fiscal or calendar year; incident filed (e.g., contracts, special projects, grants, etc.) are cut off upon completion of a specific action.

**Dispersal (of records)**- The distribution of copies of records outside their office of origin.

**Disposable Records** - Records of temporary (i.e., non-permanent) value which may be disposed of after a specific period of time. Disposable criteria must be specified in a specific Records Retention and Disposal Schedule applicable to such records.

**Document**- The media (usually paper) upon which information is written, transcribed or recorded.

**Filing System** - A planned method of indexing and arranging records, including guides and folders.

**Fiscal Value** - The usefulness of records for the administration of an activity's financial obligations.

**General Schedules** - (General Records Retention Schedules) - Schedules which set forth suggested retention periods for records common to many offices of State, county, or municipal government (e.g., Accounting Records, Personnel Records, Purchasing Records, etc.

**Hard Copy** - An original document or a paper copy made from microfilm. It can also refer to paper printout of computers; sometimes used to identify typewritten documents.

**Historical Value** - The usefulness of records for historical research: includes records which show an activity's origin, administrative development, and present organizational structure.

**Holdings** - All of the records in the custody of a given activity.

**Inactive Records**- Records having a very low reference rate; usually these records are no longer needed in the activity and should be retained in a low cost storage area (e.g., State Records Center, etc.)

**Information Request** - Synonymous with Reference Request. This request is part of the reference service provided for records stored at the State Records Center. (See also Paragraph IV D of this Manual.)

**Inventory**- An actual physical survey of all record series files, maintained by an activity, together with operational data concerning such files, volumes, and locations .

**Legal Value** - The usefulness of records which may contain evidence of legally enforceable rights or obligations of government or citizens.

**Magnetic Tape**- A tape or ribbon of any material impregnated or coated with magnetic or other material on which information may be placed. Commonly used as a media for housing computer programmed information.

**Microfiche**- Sheet of film on which many micro-images of related information have been printed in columns or rows.

**Microfilm**- Microfilm, or microfilming, is the photographic reproduction of a document on film. The document may be reduced anywhere from one-twenty-fourth to one-forty-eighth its original size, with such clarity that it can be enlarged back to its normal size, without loss of detail.

**Microforms** - Various types of microfilm formats such as: rolls, jackets, fiche, etc.

**Non-Records** - Materials created or acquired for reference, exhibition, or "back-up" such as: manuals, pamphlets, and informational letters; copies of "records" and documents used as working, reading, tickler and suspense files; shorthand notes and notebooks which have been transcribed; other temporary papers used to control internal work in progress including telephone messages, routing slips, preliminary drafts, and messages of a non-policy nature, and stocks of publications, office reference materials (dictionaries, thesaurus, telephone directories, etc.) and other reproduced documents.

**Public Records** - Any paper, correspondence, form, book, photograph, microform, magnetic tap, compact disk, computer storage media, map, drawing, or other document, regardless of physical form or characteristics, that has been made or received by a State, county or municipal agency in connection with the transaction of official business and needs to be preserved for informational value or as evidence of a transaction. All other records or documents required by law to be filed with or kept by an activity of the State, county or municipality.

**Reader** - A device capable of enlarging microimages to a size that can be read with the naked eye. The images are projected on a screen.

**Reader Printer** - A device that in addition to enlarging microimages to a readable size can also make paper copies (readable size) of selected images.

**Record** - See Public Record. **NOTE:** There is only one official record of anything in the Maryland Records Management System, and official record disposition must comply with procedures in this manual. All copies of a record may be treated as non-record material - their destruction does not require documentation.

**Records Center** - A low cost, centralized area for housing and servicing inactive or semi-active records whose reference rate does not warrant their retention in office space and equipment. The Maryland State Government Records Center is located at Jessup, Maryland at the corner of US Route 1 and Md. Route 175. It is maintained by the Records Management Division, Department of General Services. Records transferred to the State Records Center by a State activity are available for reference or return to the owning activity. Such records are currently stored and serviced at no cost to the activity except for that of the Records Center boxes.



**Record Copy** - A term used to uniquely identify or designate the (single) official record within an activity. All copies of that record/record copy should be treated as "non-record" or "working" material; those copies are not part of, nor are they included in, the Maryland Records Retention and Disposal Schedule system. In most cases, the "record" or "record copy" is the original document created within the activity. In the case of loss, destruction, or media change (e.g., paper to microfilm) of a "record copy," the owning activity may subsequently designate a copy or other type of reproduction as the (new) "record copy."

**Records Disposal** - Usually refers to destruction of records when they are no longer needed by the activity.

**Records Disposition** - Management planning and analysis to determine when records are no longer needed for current business. Determinations include: destruction, transfer to a records center, microfilming before destruction, or transfer to an archives.

**Records Management Program** - A comprehensive system that provides guidelines and procedures for efficient and economical control of records and information used and kept by activities of State, county and municipal government. It includes control of a piece of paper (or other records media) from its birth as a document to its final destination for disposal (recycle, burn, shred, etc.) or its transfer to the State Archives for permanent retention.

**Records Manager** - An individual who possesses enough familiarity with an organizational elements mission and files to provide meaningful data concerning files retention and disposition actions.

**Records Officer** - That person designated by an activity to coordinate the records management program of that activity.

**Records Retention and Disposal Schedule** - A document which lists and describes all records within an activity (office, branch, unit, etc.). When signed by the State Archivist, it officially authorizes either the destruction of records no longer essential to operations (normally after a specific time period) or provides for permanent retention of those records which have historical/archival value.

**Records Series** - A group of related records, normally used and filed under a single filing system and kept together as a unit for reference as well as retention and disposition purposes.

**Reference Request** - The term used to identify a specific request by an activity to remove (or make available) its records stored at the State Records Center. The documentation of that request is formalized by completion of Form DGS 550-8 (Fig. 3).

**Retention Period** - The length of time that must elapse before non-permanent records may be destroyed.

**Retrieval** - Recovering of information from records, whether through machine retrieval, review and/or copy of microfilm, or by recalling records from storage.

**Scheduling** - The actual determination and writing of retention periods for records.

**Security Copies** - Duplicates of records, stored in safekeeping facility, to provide backup for any records lost or destroyed. (See also Vital Records.)

**Silver Film** - Film composed of silver halides which release free silver on exposure to light and developer. Silver film is used for original negatives and prints.

**Storage Cartons** - Cardboard boxes used to hold records which will be kept in storage. Maryland State Government Agencies (who store records at the State Records Center) must use a specific/prescribed carton available only through Maryland State Use Industries.

**Transfer of Records** - Removal of records from office space and relocating in a (low cost) storage area such as the State Records Center, State Archives, etc.

**Transmittal of Records** - The physical or electronic movement of records or record information from one location to another.

**Vital Records** - Those records needed by a State, county or municipal governmental element for continuing operations and mission accomplishment. Such records require security storage or other means of protection. Where feasible, they should be located "off-site" so they may be used for record retention when "on-site" records are not available (due to fire, flood, or other disaster).

## I. INTRODUCTION

Each State agency is required by State Government Article, Title 10, Sections 631-634, to "develop a continuing program for the economical and efficient management of its records, including the establishment and/or revision of records retention schedules, in order to ensure proper and orderly disposal of records not required by the operations of the agency."

Major program objectives include moving records from State Government high-cost office space and filing equipment to the low-cost State Records Center as rapidly as practical and disposing of records no longer required. Experience confirms that 50 percent of an activity's records can be either transferred to the State Records Center or destroyed on site. Only current files and those needed for mission accomplishment should be kept in office space.

The key to effective records disposition is the records retention and disposal schedule. A schedule lists and describes the records of an organization and indicates when they shall be disposed of or directs their permanent retention. Records retention schedules, however, are of little value unless they are systematically maintained and applied to the records of the agency concerned.

The Records Management Division welcomes recommendations for the improvement of this manual. Suggested changes and additions should be directed to:

State Records Management Center  
7275 Waterloo Road (Rte 175)  
P.O. Box 275  
Jessup, Maryland 20794-0275

Current Records Management Center Telephone Numbers (Baltimore Local - Area Code 410) are:

State Records Center (Records Storage/Records Retrieval)	799-1379
Asst. Records Administrator (Microfilm/Computer-Output-Microfilm)	799-1728
State Records Administrator (Policy/Forms Program/Records Mgmt. Spec.)	799-1930

Local Reproduction of any portion of this manual is encouraged.

## PURPOSE

Purpose of this manual is to set forth standard policies and procedures for use by Maryland State Government Activities in the management, retention, and disposal of public records. Use by county and municipal governments of this manual is encouraged since their disposal of public records (either by records destruction, or transfer of permanent records to the Maryland State Archives) must be accomplished through use of a Records Retention and Disposal Schedule described herein.

## II. BACKGROUND

### A. AUTHORITY

A Hall of Records Commission was created in 1935. That Commission had authority to appoint an Archivist who would manage the Hall of Records which now preserves and repairs the historical documents placed under the Archivist's control.

In 1953, by an Act of the General Assembly, a program of records management was initiated for all Maryland State agencies under the direction of the Hall of Records Commission. By action of the Commission, the Archivist was given additional duties of Records Administrator and an Assistant Records Administrator was appointed to implement the new program. Later reorganization within the Hall of Records Commission established two separate and equal Divisions; the Archives Division, headed by the State Archivist, and the Records Management Division, directed by the State Records Administrator.

Although 1953 legislation specified only State agencies, earlier legislation required all public officials in the State of Maryland to make their records available to the Hall of Records prior to requesting authority for their destruction. They were also required to file with the Hall of Records a list of all records destroyed. In addition, provision was made for the transfer of archival material to the Hall of Records by any public official having such material in his custody.

In 1970, the Hall of Records, et al, were incorporated into the Department of General Services.

B. OBJECTIVES

1. Set forth information and guidance for control, preservation, retention and/or destruction of records of Maryland State, county, and municipal agencies.
2. Provide low cost storage facilities for noncurrent and/or inactive records of Maryland State Government agencies.
3. Provide dependable and effective reference service for State government records stored and maintained in the State Records Center.
4. Provide to State, county and municipal agencies, on a cost reimbursable basis, centralized microfilm service for both source documents and computer output.
5. Provide technical consulting services to State, county and municipal agencies in matters concerning records management which include but are not limited to:
  - a. records creation and control
  - b. records preservation
  - c. records retention and disposal
  - d. forms management
  - e. microfilm applications
  - f. records equipment needs

C. ORGANIZATION

Effective July 1, 1984, by Acts of the Maryland General Assembly:

1. The Hall of Records was renamed the Maryland State Archives and became an independent agency within the Office of the Governor. Further, the Hall of Records Commission was assigned as an advisory body to the State Archives.
2. The Records Management Division remained a part of the Department of General Services.

D. FINANCING

The Records Management Division of the Department of General Services receives an annual appropriation to cover costs of storing and servicing

State government records. The Division also provides, upon request, State, county and municipal agencies advice and guidance in writing records retention schedules and consultation concerning the purchase of filing and microfilm equipment.

COM (Computer Output Microfilm) and source document microfilming services are provided to State, county and municipal agencies on a cost reimbursable basis.

### III. RECORDS MANAGEMENT

#### A. GENERAL

Almost every activity of business or government is accomplished or documented through some form of paperwork. Information, instructions, directives and other communications are normally circulated through an organization on paper. Due to increased use of automatic data processing equipment, paperwork is created and distributed in such quantities that we soon bury ourselves unless proper controls are established.

When controlling the life cycle of paper, records management functions include but are not limited to, responsibility for the preparation of records retention and disposition plans and programs. The records manager is responsible for (1) determining what records exist; (2) establishing or ensuring that retention values are compatible with organizational missions and goals; and, (3) establishing their ultimate disposition. Some records with which the records manager is concerned when developing retention and disposition programs are archival in nature or will become archival when they are no longer current. Accordingly, decisions of the records manager in regard to the retention and/or disposition of records are subject to review by State Archivists. Such review should ensure that records of a permanent nature, or presumed to be permanent in nature when they become noncurrent, are retained. The archivist, after formalizing his decision by signing the Records Retention and Disposal Schedule passes the responsibility back to the records manager to ensure that archival materials are offered to the State Archives for permanent preservation.

#### B. RECORDS CONTROL

Principle stages in the life cycle of paperwork are records creation, records maintenance, and records disposition.

Techniques which may be applied to creation and maintenance of records include: correspondence management; forms control and design; reports management; files management; directives management; and, mail management. Each can be valuable during development of sound records management programs. However, because of their complexity and depth, there is a need to treat each in detail.

Records disposition requires a decision that determines when records are no longer needed for current operations. These determinations can result in records destruction, transfer to a records center, reproduction on microfilm and subsequent destruction of paper document microfilmed, or transfer to the State Archives for permanent preservation.

### C. ESTABLISHING A RECORDS MANAGEMENT PROGRAM

The establishment of an effective records management program can result in appreciable savings of money, manpower, time and space. Savings will accrue due to removal from office space of those records not immediately required for effective operations. This savings potential exists at virtually every government and business organizational level.

To implement an active records management program, the following management actions are suggested:

1. Appointment of a single Records Management Officer for the activity. That individual should provide activity-wide guidance and information concerning its Records Management Program and serve as contact point for program information. Ideally, all records management information, either into or out of the activity, should flow through this individual.
2. Designations of Records Managers at the lowest organizational level where knowledge of specific record series (i.e., files) exists or should exist.
3. Establishment, implementation and maintenance/updating of records disposition schedules and associated procedures. At a minimum,

existing schedules should be reviewed/updated every 10 years experience confirms and managerial prudence dictates such actions should be accomplished every 5 years.

4. Review and strict control of all requests for initial or additional filing equipment (media). At a minimum those requests should specify: workload requirements to justify the request; estimate of the time period (life) that equipment will be used before it will be replaced or declared surplus; and, if equipment similar to that requested is usable.

#### D. THE STATE RECORDS MANAGEMENT PROGRAM

The State Records Management Program operates under the guidance of the Records Management Division of the Department of General Services. The following services and facilities are provided:

##### 1. Records Retention Schedules

Records Management Specialists of the Records Management Division will provide, upon request, advice to State, county and municipal activities concerning preparation of new and revision of existing records retention and disposal schedules. Such advice and guidance may include suggested retention periods, in the office and in storage, and records disposal requirements. It is emphasized that schedules become effective only after approval by the State Archivist.

Instructions for the preparation of records retention and disposal schedules are contained in Chapter IV, Paragraph A on Page 11.

##### 2. Consultation on Records Problems

Records Management Division personnel will consult with and advise, upon request, officials of State, county and municipal activities on records problems. Often an activity fails to acquire information as promptly as needed simply because of an inefficient files operation. Such activity may request that the Records Management Division



perform a files survey to identify weaknesses in its current file operations and present recommendations for their solution. Also, the Records Management Division will provide a one day files management workshop at a mutually agreeable date, time and place.

3. Forms Management Program

The State Forms Manager's position is in the Records Management Division. Position incumbent coordinates the State government wide Forms Management Program by providing assistance and guidance to the Forms Officers of the various State activities. Incumbent will furnish county and municipal activities, on request, details of the State program, answer specific queries concerning that program, and provide a copy of current Forms Management Manual which describes the program.

4. State Records Center

The Records Management Division maintains a records center for noncurrent records of State agencies at Jessup on Rt. 175 near U.S. #1. This records center provides secure, clean and humidity-temperature controlled storage space, and reference service for all records transferred to its custody at no cost to the transferring agencies.

All records transferred should be packed in standard records center cartons available for purchase through State Use Industries. The cartons should be clearly marked and identified and the contents of the cartons should be listed on Records Transmittal and Receipt Forms (DGS 550-5).

Reference service to stored records includes information from the records; recall of a single piece of paper, a file folder or a complete box of records. Suitable working space is provided for in-person reference.

As stated above, only Maryland State Government non-permanent records may be stored at the Records Center. Thus, county and municipal governments must arrange as necessary for storage of their non-permanent (outside of hi-cost office space). All permanent records

must eventually be stored at the Maryland State Archives. If a county or municipality needs further information concerning building or leasing of a facility to store permanent records, please telephone the State Archives at (410) 974-3862.

Detailed instructions for transferring records to the records center are contained in Chapter IV, Section C, page 13. Instructions for obtaining reference service are outlined in Section D on page 17. Records Center procedures for the disposal of records in custody are found in Section E, page 18.

5. Centralized Microfilm Services

Centralized microfilm service is provided by the Records Management Division on a cost reimbursable basis for records which warrant microfilming. Source Document Microfilming is an expensive process and is usually restricted to voluminous records which are not subject to frequent changes or corrections and which must be retained in the office for a relatively long period of time. Other microfilm applications include records which require security copies, long term preservation and reference copies of bulky drawings and old records that are frequently used and subject to deterioration. The following advantages and disadvantages should be weighed before planning a microfilm project:

a. Advantages

1. Faster retrieval of information is possible.
2. Simplifies the distribution of records and saves mailing and transportation costs.
3. A 98% savings in storage space - the contents of a four-drawer file cabinet can be put in three rolls of microfilm.
4. Permits better preservation and security for vital records.

5. Hard copies can be made quickly and cheaply.
6. Provides economical storage for the retention of permanent records.

b. Disadvantages

1. Source Document Microfilming is relatively expensive. Records can be stored in the State Records Center for twenty-five years at the same cost to the State as it would be to microfilm them.
2. If the microfilm is not properly indexed, the film searching time may exceed the time required to find the records in a file drawer.
3. Blue or green copies, faint copies, deep shades of colored paper, photostats, blurred copies and other records with poor contrast are difficult to microfilm.
4. Comparison of documents may be difficult and time consuming because images cannot be placed side by side (prints must be made for this purpose).
5. Microfilm cannot be sent to a user who has no reader.

The Records Management Division has trained camera operators, various microfilm cameras and processing capabilities. The Division offers on a cost reimbursable basis complete service for microfilm programs including filming, developing, inspecting and duplicating.

State, county, and municipal governmental activity may obtain, upon request, (by telephone (410) 799-1930 or letter) current prices for all microfilming services proved by the State Records Management Center.

The Records Management Center also has a limited number of microfilm cameras for loan to State, county and municipal activities for short term use. Division specialists will train activity personnel and

assist in establishing efficient microfilming procedures, if requested. The only activity obligations are to maintain the camera in good working order and to pay for any supplies or repairs required.

6. Computer-Output-Microfilm Services

The Records Management Division operates a COM (computer-output-microfilm) service for State, county, and local government activities.

Data can be converted directly from magnetic tape or 3480 tape cartridges to 16 or 105 mm microfilm. Computer efficiency of selected applications is increased by use of the COM, and data processed information is made more accessible through the use of microfilm.

The COM is a device which records computer data on microfilm in readable form. The Records Management Division's COM unit consists of a mini computer, tape drives and a microfilm recorder. The recorder produces computer reports directly from magnetic tape or cartridge with no intervening paper copy. It is capable of recording at a speed of 90,000 characters per second and will record 1,500 frames (pages) in a period of five minutes. The COM system is supported by a film duplicator and a film processor. COM prices are available upon request. Operating offices using the film will need microfilm viewers or viewer/printers for data retrieval from the microfilm. A more detailed description of the COM system, its capabilities and applicability, is obtained in the COM section of the State of Maryland Data Processing Standards Manual.

Computer runs generating 100 pages of output or more, in which hard copy is not required outside of an operating agency, should be evaluated for COM adaptation.

The Records Management Division offers 1/2 day seminars on COM and Source Document filming at the State Records Management Center. State, county and municipal government officials should contact the Center, if interested.

7. Review of Activity Requisitions for Equipment

Title 10-634 (Annotated Code of Maryland State Government) has given the Records Management Division the responsibility for reviewing and recommending action on proposals (submitted to the Department of Budget and Fiscal Planning or Purchasing Bureau) for the purchase or rental of:

- a. Filing equipment
- b. Records storage space
- c. Microfilm equipment and services

Consulting service is available on request and is provided free of cost to agencies to resolve problems relative to the determination of the best filing equipment or information system for their needs.

8. Inspections

The Records Management Division is also responsible for the records management practices of State government activities under Title 10-634. Audits are performed on a recurring basis and recommendations made regarding records management practices of State agencies. Audit and recommendations may also be performed upon request.

9. County and Municipal Activities

The Records Management Division provides advice and assistance to county and municipal activities concerning records retention and disposal schedules and records management in general. Microfilm services are also available.

IV. RECORDS DISPOSITION PROCEDURES

A. INSTRUCTIONS FOR THE PREPARATION OF RECORDS AND DISPOSAL RETENTION

Records retention and disposal schedules must be prepared by each State, county and municipal activity to legally destroy a public record. There is only one record (i.e., the records copy) of anything within the records management system; all other copies of a record, regardless of media, are to be treated as non-record material. Disposition of a record must be through the Records Retention and Disposal Schedule; non-record copies may be disposed of as

desired. If guidance and assistance in preparation of a schedule is needed after reviewing this manual, the Records Management Division, telephone (410) 799-1930, should be contacted.

The preparation of records retention and disposal schedules involves four steps: (1) inventorying the records; (2) appraising, determining the value, of the records; (3) preparing the schedule; and, (4) obtaining authorization for use of the schedule.

1. Inventorying the Records - The first step in preparing a Records Retention and Disposal Schedule is physically inventorying the entire contents of a records series (i.e., "the files"). An Agency Records Inventory Form DGS 550-4 (see Figure 7) may be obtained from the State Records Management Center, telephone (410) 799-1930. (Additional copies of that form should be locally reproduced.) All applicable items on the Form 550-4 should be completed, especially items 19 & 20 which serve as contact point for questions regarding form contents. Particular emphasis in preparing entries for items below is suggested since they can be used to complete the Records Retention and Disposal Schedule.
  - a. Record Series Title (Item 4) - List the name or title given to the group or series of records being inventoried (e.g., "License Application File").
  - b. Record Series Description (Item 6) - Give a brief description of a typical file folder which includes the contents, such as reports, correspondence, contracts, form name(s) and number(s). In addition, the purpose or use of the record series is required.
  - c. Is Record Series Duplicated Elsewhere (Item 4) - If so, only the file containing the "record" must be on a schedule. Managerial determination/designation as to who "holds the record" is suggested so that only one activity needs to report the file.
  - d. Audit Requirements (Item 16) - Federal, State, county, municipal, independent, or internal audit requirements should be indicated. Completion or waiver of such requirement usually affects file retention requirements.

- e. Recommended Retention (Item 18) - Time period recommended for record retention. Such period is either permanent or non- permanent. Permanent records will eventually go to the Maryland State Archives. . . . suggested Item 18 entry is Permanent. Transfer periodically to the State Archives. Non-permanent records will eventually be destroyed either by their owner (or by the State Records Center). Examples of retention periods might be:

(1) Retain for three years, then destroy; (2) Retain for three years in office, then transfer to the State Records Center for an additional three years, then destroy; (3) Retain (in office) for three years or until all audit requirements have been completed, whichever is (sooner or longer) then destroy; (4) Retain until receipt of next issuance then destroy; or (5) Retain until no longer needed for accomplishment of office function, then destroy.

The State Records Center only accepts (MD State government) records whose disposal date is at least one (1) year after their receipt at the Center.

- 2. Appraising the Records - Appraising the records is accomplished from the information contained in the inventory coupled with the knowledge and experience of those individuals using the records on a recurring basis. The proposed dispositions for records should be the consensus of file users, taking into account all known legal or policy requirements for records therein. When appraising a record series, the administrative, legal, audit and historical values must be examined. The appraisers should answer such questions as:

- a. Do the records document the organization's general policy? Do they contain plans, methods, techniques and rules which the agency has adopted to carry out its mission? These would include record copies of instructions, organization charts and other material relating to the creation, organization, reorganization of the agency and the discontinuance or consolidation of functions, budgets and budget planning records; correspondence and memoranda delegating or defining powers and responsibilities, staff studies and special reports pertaining to the organization and policy of the agency, annual or progress reports, transcripts of hearings, minutes of meeting and conferences, and similar material pertaining to the organization's missions and functions from its establishment to the present.

- b. Do the records document citizenship, birth, death, marriage, legal proceedings, or private rights pertaining to property? Do they protect the State, county or municipality against claims, enforce statutes, executive orders, or rules and regulations?
  - c. Do the records document financial transactions which are subject to audit? Financial records subject to audit may be fully or partially described in a generalized Accounting Schedule (Figure 4A ). Where feasible, those schedules should be tailored to meet the activity's exact requirements.
  - d. Do the records document major changes in our society such as population growth and movement, industrial development, ecology, transportation, etc.?
3. Preparing the Schedule - After the value of the records has been established, the required retention period can be determined. Records with historical value must eventually be transferred to the State Archives for permanent retention. Records with legal value often will have retention periods which are determined by law. Otherwise, such records should specify retention periods determined by or concurred in by the activity's legal counsel wherever available.

It is, however, often difficult to set retention periods for records with administrative or research values. In deciding how long these records should be kept, file activity becomes an important factor. Records which continue to be administratively active for years after their creation should not be destroyed as early as records which quickly become inactive. In order to set a retention period for records with administrative value, it may be necessary to estimate how long they will be needed. This should not create great problems since, if at the end of an established or existing retention period, the records continue to have reference value, they can be retained in the agency office or in the State Records Center by changing the existing retention period through a schedule amendment.

Some records cannot be destroyed until a particular action (incident) takes place, i.e., contracts are closed, legal requirements are met, documents are superseded, records have been microfilmed and subsequently verified, etc. In these cases the retention period might read, "retain for three years and until all legal requirements have been met, then destroy", "destroy when superseded or cancelled", "destroy after microfilm has been validated.", etc.



Obtaining Authorization - The records retention schedule is prepared on Forms DGS-550-1, Records Retention and Disposal Schedule (Fig. 3) and, as needed, on Form DGS-550-1A, Continuation Sheet (Fig. 3A). Schedules are to be submitted in quadruplicate (4 copies) to Department of General Services, Records Management Division. The Agency Records Inventory Forms DGS-550-4, must be included with the four schedules. It is recommended that the agency retain a copy of these forms since all awarded sets will be filed within the Archives. Each of the four schedules should contain an original signature, in the lower left hand corner of Form 550-1, of the individual who approves the schedule content. Further, typed name and title of such individual should be provided in event additional information concerning schedule is needed. Schedules are reviewed within Records Management and then forwarded to State Archives for formal approval, evidenced by Archives' signature in lower right hand corner of 550-1. When the schedules have been signed by the Archivist, it is the legal authorization for disposition of records described thereon. Plan for receipt of approved schedule about one month following its forwarding to Records Management due to procedural requirements.

B. EXAMPLES OF GENERALIZED RECORDS RETENTION SCHEDULES

Sample Record Retention and Disposal Schedules for accounting and financial records, purchasing records, and personnel records are at Fig. 4A, 4B, and 4C. They were developed to show items which might be included in a schedule for such functions. The description verbiage and retention time frames are only examples; each activity needs to submit, in manner described above, schedules which set forth their specific operational requirements.

Retention schedules must be officially approved (i.e., signed by the State Archivist) before any retention/disposal of items described therein occurs. However, applicable copying and use of data shown in Fig. 4A, 4B, and 4C is encouraged to expedite the activities schedule preparation effort.

C. INSTRUCTIONS FOR TRANSFERRING RECORDS TO THE STATE RECORDS CENTER

1. Policy on Accepting Records

Arrangements for State government activities to transfer records are made by submitting a completed records transmittal and receipt form (DGS-550-5) to

the State Records Management Center. The State Records Center will accept records for transfer provided the following criteria are met:

- a. The agency has forwarded the necessary Transmittal forms to the State Records Center and the Center, after review, has granted its permission to transfer the records.
- b. All records are covered by a State Records Retention and Disposal Schedule.
- c. The scheduled disposal will not occur for at least one year following their receipt at the State Records Center.
- d. The records are packed in the approved Records Center cartons and clearly labeled. (See 2 & 5 which follow.)

## 2. Records Center Cartons

Standard cardboard containers are available to transfer files to the State Records Center. They must be purchased from State Use Industries through standard purchasing procedures. A records center carton has inside dimensions of 10" x 12" x 15" and holds one cubic foot of either letter or legal size records. Estimates of the total number of cubic feet to be transferred can be made by:

- a. Counting each full letter size file drawer as 1-1/2 cubic feet.
- b. Counting each full legal size file drawer as 2 cubic feet of records.
- c. Referring to Fig. 6 for conversion of other records to cubic feet.

## 3. Screening the Records

Before putting files in cartons, screen out all unnecessary non-record material and all records authorized for immediate disposal. Screening at the time of transfer results in savings and should be omitted only:

- a. If the need for the space occupied by the records is urgent.
- b. If the cost of screening outweighs the savings.

#### 4. Packing the Records

- a. Review and understand Fig. 5, "DIRECTIONS FOR ASSEMBLING RECORD CENTER CONTAINER", prior to any packing action. Failure to comply with guidance of Fig. 5 may result in the bottom of the box opening and scattering the records. Regardless of where such scattering occurs, records owner will have to collect and repack all records. Lastly, records received in the Records Center in improperly assembled boxes will not be accepted for storage.
- b. In packing the records, two record series, which should have different retention periods, should not be placed in the same carton. This is necessary because records disposal only involves complete boxes; individual files are not removed or repacked in other boxes.
- c. The records should be arranged in the cartons in a manner best suited to permit expeditious location of individual files. Usually this will be exactly the same arrangement that existed in the filing equipment from which they were removed.
- d. Folders shall not be placed on top of those filed in cartons. Such practice results in bulging of the cartons, making them difficult to close properly and weakens carton strength.
- e. Space should be allowed in the carton for interfiles or additional file insertions if such actions are necessary.
- f. If no file (carton) additions are expected, the records should be packed tightly enough to prevent "slumping" and wrinkling of paper, but not so tight as to hinder folder withdrawal. Usually, 1 - 2 inches of unused space is desirable.
9. Maps or drawings are to be packed no more than 50 to a roll with each roll considered one cubic foot.

#### 5. Identifying Cartons

Cartons are to be fully labeled or identified before transfer. They shall be numbered consecutively, starting with No. 1 for each transmittal. The number of each carton shall be placed in the upper left corner and a brief description of the contents will be placed in the center of the box. (Records Center personnel will place the accession number in the upper right corner.) Records Center cartons are clearly marked for the above entries which permit identification. Stickers are not acceptable.

6. Handling of Records Transmittal and Receipt Form by Agency

The transfer of records to the State Records Center requires the completion of Form DGS-550-5, Records Transmittal and Receipt (See Fig. 6). Copies of this form can be obtained from the State Records Management Center.

All of the cartons of records listed on a specific Transmittal should be disposable within the same calendar or fiscal year. In some cases, it may be necessary to complete more than one Transmittal form. Remember that for each Transmittal the numbering should begin over again with #1. Transmittals should be prepared by the transferring agency in duplicate and one copy forwarded to the office of the Records Center Manager in advance of transfer. When necessary, additional sheets of plain bond paper can be used to provide additional finding aids for records which cannot be fully described on the Transmittal form. The remaining form is to be sent with the records. Most of the items on Form DGS-550-5 are self-explanatory but a few require some explanation. The following instructions may prove helpful:

a. Item 3 - Description of Records

The description for each box should provide enough information to identify the records clearly for reference services and for the application of records retention schedules. Inclusive dates of the records should be provided.

b. Disposal Authority

The appropriate retention schedule and item number shall be cited. If a definite disposal date can be determined, it should also be noted. If permanent retention is scheduled, the State Archivist shall be contacted for transfer of such records to the State Archives.

7. Distribution of Copies of Records Transmittal and Receipt Form

After the Records Management Center has received the Transmittal form and the records have been transferred, one copy of the Transmittal form will be signed by the Records Center Manager and returned to the "owning" activity. This is the Agency's receipt. It provides the accession and location numbers which must be used when making future reference to the records. The other copy will be retained at the Center for maintenance and disposition of the records.

8. Shipping the Records

Transfer of records to the State Records Center shall be accomplished at the activity's expense. Prior to making arrangement for records shipment, contact the Records Center Manager to determine date(s) when record cartons can be accepted.

9. Microfilm Records

The State Records Management Center at Jessup provides storage facilities and service for security copies of microfilm of non-permanent records created in State offices and offices of the courts. For efficient management control in accessioning this film for future references, each transfer will follow the procedures outlined in Chapter IV, Par. C, Secs. 1, 4, 6, 6a, 7 & 8. In addition to these procedures, each microfilm reel container shall be labeled with the following identifying information:

- a. Complete name and address of the records creating office.
- b. Title of records series.
- c. Beginning and ending dates of records.
- d. Volume numbers and page numbers where appropriate or beginning and ending file titles.
- e. Reel number

If the microfilming contractor or film processing company is not required to furnish the above listed information, the film should be returned to the office of origin for labeling prior to its transfer to the State Records Center.

D. INSTRUCTIONS FOR OBTAINING REFERENCE SERVICE

1. Reference Service Available

A major benefit gained by State activities, whose records are stored at the Records Center, is reference service. That is, individual file folders, specific items within a file folder or an entire case folder(s) may be withdrawn from a storage box by records center personnel and returned to the owner of the records upon

request. That request must normally be initiated by submission of Form DGS-550-8, Fig. 7. However, telephone requests (only urgent requests are accepted by telephone), letter requests, and personal requests due to visits by individuals authorizing access to files involved are also honored. To control file access actions, completion of the Form DGS-550-8. is required. This entire form, which includes a carbon, must be forwarded/furnished the Records Center. Lastly, a separate Form DGS-550-8 must be completed for each request item.

## 2. Making the Request

When seeking service, activity personnel should either complete and forward the DGS-550-8 or provide in the phone call request:

- a. The name of the agency and the name, office address and telephone number of the person making the request.
- b. A description of the record or information needed.
- c. The accession or lot number of the transfer and the agency box number in which the requested records can be found. (Range and Section numbers assigned by the Center upon receipt.) This information is contained on the Records Transmittal and Receipt Form DGS-550-5 returned to records owner upon their acceptance by the State Records Center.

## 3. Visitors' Access to Records

Records or information contained with an activity's records, maintained by the State Records Center, will not be released to visitors unless the activity to whom the records belong gives written permission.

Activity officials, officials of other State or government activities, members of the press, private citizens who make personal visits to the Center to examine records, or messengers sent to pick up records must always provide:

- a. Personal Identification to include a picture or validation of individual's authorization for file access by another authorized to do so.
- b. Written authorization by activity owning records for file access. That authorization should specify files which can be accessed, whether file information may be copied, duration of access to files to include date/times as appropriate, whether file folder/data may be removed from the Records Center, etc.

#### 4. Special Restrictions on Use of the Records

Records use is also governed by any special restrictions established by the transferring agency. The restrictions are to be in writing and established prior to transfer of records.

In general these restrictions should be continuing in nature; whenever exceptions to such restrictions are necessary, they should be formalized by hard copy (e.g., a letter) document setting forth duration of such exceptions. Permanent updating of initial/ subsequent restrictions should specify effective date of the "new" restrictions and contain sufficient data to identify (and hence destroy or file) prior restrictions.

#### 5. Permanent Withdrawal of Records

When the return of entire boxes of records is requested and when agency officials determine that these boxes will not be returned to the Center, Center personnel must be advised that permanent withdrawal of the records is necessary. This information will result in the removal of these boxes from the Center holdings and permit the reuse of the shelf space on which the records were stored.

#### 6. General

- a. Center personnel will make every effort to complete all requests within one workday following receipt. Activities requesting actual file folders should use a planning time frame of one calendar week from day of forwarding request to actual document receipt due to transit and control times involved in document processing.
- b. All storage box contents withdrawn for activities use, other than those permanently withdrawn, must be returned to the Records Center for file insertion. A charge out system is used within individual cartons to indicate file removal; presence of such card indicates owner may have "missing" file in their possession.

#### E. RECORDS CENTER PROCEDURES FOR THE DISPOSAL OF RECORDS

Records being transferred to the State Records Center are to be scheduled for destruction at predetermined dates. This facilitates the orderly flow of temporary records from the activity to the Center and ultimately to their destruction, thereby releasing critical space in the State Records Center for new accessions.

Prior to the scheduled date of disposal of specified records stored in the Records Center, a letter (Fig. 8, Form DGS-550-7) is prepared and sent to the "owning" activity announcing the Center's intention of destroying the records as per the record life as specified in the valid Records Retention and Disposal Schedule thirty days from the date of the letter. Any circumstances which require further record retention necessitate the activity to send a written request for postponement of the disposal. Upon termination of the thirty day period, if no request for extension has been received, disposal of the records is accomplished. The Records Center letter, applicable to records which will be destroyed by Records Center personnel, should be retained by activity owning the records. Such letter serves as the activity record of the record destruction.

#### F. INSTRUCTIONS FOR DISPOSAL OF RECORDS AT THE AGENCY

The three chief elements of a records disposition program are: (1) transfer of permanent records (when no longer needed for frequent reference/use) to the Maryland State Archives; (2) retirement of noncurrent records to the low cost storage space at the State Records Center; and, (3) disposal of non permanent records not warranting further retention whether located in the activity or at the State Records Center.

Transfers to the Records Center (or other low cost storage facilities) merely involve a transfer of custody, not ownership, and a new location for the files. The best way for activities to avoid continuing expansion of their record holdings and the ensuing need for more space and file devices, is to cycle and vigorously dispose of unneeded records.

Current policy is that records which have one year or less remaining on their scheduled retention period will not be accepted by the State Records Center. In such instances, they should be retained by the activity for the required period of time and then destroyed.

##### 1. Use of Records Retention Schedules

- a. Ensure that records to be destroyed match the description of the applicable retention schedule and that they are "due" for destruction.
- b. Regardless of schedule disposition criteria, agency personnel should not dispose of records if they are still needed by agency for administrative, legal or fiscal purposes. If necessary, modify schedule by increasing retention period..
- c. If no existing schedule covers the records, they cannot be disposed of until a schedule has been prepared and approved by the State Archivist.



## 2. Screening for Disposal

To dispose of a block of files, it may be necessary to remove certain folders or documents which have continuing value.

Such removal is called screening and may involve either removal for retention or withdrawal of materials to be destroyed.

Folder by folder screening can be avoided by immediately removing closed cases from the files and placing them in a closed case file. Disposal of these files can then be accomplished as desired.

Screening is costly and should be avoided when possible.

## 3. When to Dispose of Records

Avoid interfering with current operations. Pick a slack period and during this period carry out a housecleaning of the files. Prepare records for transfer to the State Records Center and for disposal at the same time. If practical, disposal and/or transfer should be done once a year. A good time for these efforts is at the time file breaks or cutoffs are being made, usually at the end of the calendar or fiscal year.

## 4. Methods of Disposal

Disposable records may be sold as waste paper if their content is not considered to be privileged in nature. If content is privileged, records should be destroyed by shredding, burning or other techniques which obliterate record content; such destruction to be witnessed by (or supervised by) a State employee aware of records content. In event physical record destruction is unnecessary or their sale as waste paper will not be cost effective, they should simply be placed in a trash container.

## 5. Disposal Certification

Inclusion on an approved and currently valid records retention and disposal schedule coupled with expiration of the retention period applicable to records involved is authority for records disposal at activities level. Following the actual physical destruction of records, a certificate of records disposal (Form DGS-550-2, Fig. 9) must be prepared. A signed original is then forwarded to the Records Management Division (a copy should be retained within the activity). Receipt and validating of

Form DGS-550-2 entries concerning description, authorization, and inclusive date, within records management, legalizes the record(s) destruction. Foregoing is also applicable to county and municipal governmental activities. (Note: a current valid schedule must exist before any records disposal is legal!

State agencies for which this procedure varies are the Maryland Courts. They must forward a completed Proposal and Certificate of Records Destruction (Form DGS-550-9) to the State Archivist through the Records Management Division and receive the Archivist explicit approval prior to the destruction of any of their records. Only those records should be listed on the Proposal which are eligible for destruction according to the Records Retention and Disposal Schedule for the courts.

<b>INSTRUCTIONS</b> -- TYPE OR PRINT A SEPARATE FORM FOR EACH NEW REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)		<b>DEPARTMENT OF GENERAL SERVICES</b> RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 275 - JESSUP, MARYLAND 20794		<b>AGENCY RECORDS INVENTORY</b>  Page _____ Of _____	
1. DEPARTMENT/AGENCY		2. DIVISION		3. UNIT	
<b>DEFINITION - Records Series</b> - 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				5. EARLIEST YEAR / LATEST YEAR  _____ TO _____	
6. RECORD SERIES DESCRIPTION ( Briefly describe the types of information/documents/forms found in the Series. Include the purpose or function of the Series)					
7. RECORD SERIES FORMAT(S)  <input type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input checked="" type="checkbox"/> Legal Size <input checked="" type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input type="checkbox"/> Floppy Disk <input type="checkbox"/> Audio Tape <input checked="" type="checkbox"/> Video Tape <input type="checkbox"/> Other (Specify) _____		8. RECORD SERIES SEQUENCE  <input checked="" type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (Specify) _____		9. VOLUME <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel (s) <input type="checkbox"/> Computer Tape (s) <input type="checkbox"/> Other (Specify) _____ _____ Number	
11. FILE IS USED  <input checked="" type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly		12. FILE BECOMES INACTIVE AFTER  _____ Number <input type="checkbox"/> Month(s) <input type="checkbox"/> Year(s)			
13. CURRENT LOCATION(S) (Bldg., Floor, Room)		14. IS RECORD SERIES DUPLICATED ELSEWHERE? (If yes, specify agency or office)  <input type="checkbox"/> Yes _____ <input type="checkbox"/> No			
15. ACCESS RESTRICTIONS (If yes, cite law(s) & regulation(s)  <input type="checkbox"/> Yes _____ <input type="checkbox"/> No		16. AUDIT REQUIREMENTS  <input type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent			
17. IS AN INDEX SYSTEM USED? (If yes, explain briefly and describe any hardware/software)  <input type="checkbox"/> Yes _____ <input type="checkbox"/> No		18. RECOMMENDED RETENTION			
19. NAME AND TITLE OF PREPARER		20. TELEPHONE NUMBER		21. DATE	

# RECORDS MEASUREMENT GUIDE

(Conversion of Holdings to Cubic Feet)

<u>Equipment/Containers</u>	<u>Cu. Ft.</u>	<u>Docket Books (Court)</u>	<u>Cu. Ft.</u>
Letter Size Drawer	1.5	1 30" x 24" x 6"	2.0
Legal Size Drawer	2.0	1 15" x 12" x 6"	1.0
Lateral 36" Width Drawer	2.0	1 8" x 12" x 6"	.5
Lateral 42" Width Drawer	2.5		
Letter Size 12" Open Shelf	1.0	<u>Tab Cards</u>	
Letter Size 15" Open Shelf	1.0	5 14" Rows (Tab)	1.0
Box (15 x 12 x 10 & 15 x 12 x 12)	1.0	3 24" Rows (Tab)	1.0
		10 12" Rows (3 x 5)	1.0
		4 12" Rows (5 x 8)	1.0
<u>Magnetic Tapes (Reels)</u>		<u>Printouts (Computer)</u>	
10 (3/4" Width x 2400')	1.0	8-1/2 x 11" (18" thick)	1.0
12 (3/4" Width x 1200')	1.0	14-1/2 x 11" (10" thick)	1.0
30 (3/4" Width x 600')	1.0		
<u>Microfilm/Film (Reels)</u>		<u>Disc Pack (Computer)</u>	
50 (35 mm) 100'	1.0	2 3 Tier	1.0
90 (16 mm) 100'	1.0	1 5 Tier	1.0
		1 7 Tier	1.0
<u>Floppy Disc's (Word Processing)</u>		<u>Microfiche</u>	
600 2"	1.0	4 12" Rows (4" x 8")	1.0
300 5"	1.0		
150 8"	1.0		

Figure 2

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION <b>RECORDS RETENTION AND DISPOSAL SCHEDULE</b>		<b>Schedule No.</b>
<b>Agency</b>		<b>Page      of</b>
<div style="text-align: right; padding-right: 50px;">Division/Unit</div>		
<b>Item No.</b>	<b>Description</b>	<b>Retention</b>
Schedule Approved by Department, Agency, or Division Representative. Date _____ Signature _____ Typed Name _____ Title _____		Schedule Authorized by State Archivist Date _____ Signature _____

DGS 550-1 (Rev. 1/93)

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION <b>RECORDS RETENTION AND DISPOSAL SCHEDULE</b> (Continuation Sheet)		Schedule No. <hr/> Page                      of	
Agency		Division/Unit	
Item No.	Description	Retention	

DGS 550-1A (Rev. 1/93)

Figure 3A

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION <b>RECORDS RETENTION AND DISPOSAL SCHEDULE</b>		Schedule No. _____ Page 1 of 3
Agency _____		Division/Unit _____
Item No.	Description	Retention
1.	<p><b><u>ACCOUNTING RECORDS</u></b></p> <p>This series includes all standard STATE accounting forms as well as other accounting media which provide supporting data for the special and general accounting records.</p> <p>Changes in records format will not necessarily require revision of the retention schedule. However, should the scope or content of a records series be altered, the schedule may be amended to reflect such changes.</p> <p>Each agency will use all or some of the following records which are governed by the indicated retention period:</p> <p><b>A. <u>General Accounting Records</u></b>          Certificate of Deposit and Bank Deposit Slips          Distribution of Charges          Memorandum of Adjustments          Monthly Report of State Funds Collected and Deposited</p> <p><b>B. <u>Special Accounting Records</u></b>          Reports of audits conducted by the Legislative Auditors</p> <p style="padding-left: 40px;">Reports of audits conducted by persons or agencies other than the Legislative Auditors</p> <p style="padding-left: 40px;">Books of Final Entry - General Ledgers</p>	<p>Retain for three (3) years and until all audit requirements have been fulfilled, then destroy.</p> <p>Retain for ten (10) years then destroy.</p> <p>Retain permanently. Transfer to State Archives periodically.</p> <p>Retain permanently. Transfer to State Archives periodically.</p>
Approved by Department, Agency, or Division Representative. Date _____ Signature _____ Typed Name _____ Title _____		Schedule Authorized by State Archivist Date _____ Signature _____

DGS 550-1 (Rev. 1/93)

Figure 4A

DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
**RECORDS RETENTION AND DISPOSAL SCHEDULE**  
(Continuation Sheet)

Schedule No.

Page 2 of 3

Agency

Division/Unit

Item  
No.

Description

Retention

**C. Budget and Fiscal Planning Records**

Budget Estimates  
Budget Schedule Amendment  
Materials and Supplies Physical Inventory  
Report of Fixed Assets  
Report of Materials and Supplies  
Request for Position Action

Retain for three (3) years and  
until all audit requirements have  
been fulfilled, then destroy.

**D. Payroll Accounting Records**

Employee Roster Card File  
Payroll and Check Register  
Payroll Exceptions Time Report  
Payroll Transmittals  
Payroll Warrants

Retain for three (3) years and  
until all audit requirements have  
been fulfilled, then destroy.

**E. Miscellaneous Accounting Records**

Bank Books, Statements, and Deposit Receipts  
Budget Papers and Work Sheets  
Cancelled Checks, Check Copies and Check Stubs  
Delivery Orders and Receipts  
Gas Withdrawal Tickets and Mileage Reports  
Memorandum Receipt and Property Condemnation Reports  
Paid Bills and Invoices  
Paid Bonds and Coupons  
Periodic Financial Reports to Local/State Agencies  
Receipt Copies and Stubs  
Receiving Reports  
Reconciliation and Trial Balance Sheets  
Renewable Licenses  
Requisitions and Purchase Orders  
Stock Record Cards  
Time Sheets  
Withholding Tax Forms and Statements  
(Local, State, and Federal)

Retain for three (3) years and  
until all audit requirements  
have been fulfilled, then destroy.



**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No.**

**Page 2 of 3**

**Agency**

**Division/Unit**

Item No.	Description	Retention
	<p><b>C. <u>Budget and Fiscal Planning Records</u></b>            Budget Estimates            Budget Schedule Amendment            Materials and Supplies Physical Inventory            Report of Fixed Assets            Report of Materials and Supplies            Request for Position Action</p> <p><b>D. <u>Payroll Accounting Records</u></b>            Employee Roster Card File            Payroll and Check Register            Payroll Exceptions Time Report            Payroll Transmittals            Payroll Warrants</p> <p><b>E. <u>Miscellaneous Accounting Records</u></b>            Bank Books, Statements, and Deposit Receipts            Budget Papers and Work Sheets            Cancelled Checks, Check Copies and Check Stubs            Delivery Orders and Receipts            Gas Withdrawal Tickets and Mileage Reports            Memorandum Receipt and Property Condemnation Reports            Paid Bills and Invoices            Paid Bonds and Coupons            Periodic Financial Reports to Local/State Agencies            Receipt Copies and Stubs            Receiving Reports            Reconciliation and Trial Balance Sheets            Renewable Licenses            Requisitions and Purchase Orders            Stock Record Cards            Time Sheets            Withholding Tax Forms and Statements            (Local, State, and Federal)</p>	<p>Retain for three (3) years and until all audit requirements have been fulfilled, then destroy.</p> <p>Retain for three (3) years and until all audit requirements have been fulfilled, then destroy.</p> <p>Retain for three (3) years and until all audit requirements have been fulfilled, then destroy.</p>

DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
**RECORDS RETENTION AND DISPOSAL SCHEDULE**  
(Continuation Sheet)

Schedule No.

Page 3 of 3

Agency

Division/Unit

Item  
No.

Description

Retention

F. Purchasing Records

Actual Emergency and Repairs Report  
Copy of Contract Awarded  
Credit Memorandum  
Notice of Award of Contract  
Out-of-Schedule Requisition for Supplies  
Purchase Order  
Report of Partial Delivery  
Requisition for Supplies  
(also Agency Interoffice Requisitions)

Retain for five (5) years and  
until all audit requirements have  
been fulfilled, then destroy.

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION <b>RECORDS RETENTION AND DISPOSAL SCHEDULE</b>		Schedule No. _____ Page 1 of 2
Agency _____		Division/Unit _____
Item No.	Description	Retention
1.	<u>Purchasing Records</u>  This series applies to all State of Maryland Departments and Agencies and includes all standard purchasing forms as well as other purchasing media which provide supporting data for special and general purchasing records.  Purchasing records may include all or some of the following documents:  A. Actual Emergency and Repair Reports B. Advertising and Bids C. Agency Inter-Office Requisitions D. Bid and Quote File E. Bid Tabulation Records F. Copy of Contract(s) Awarded G. Credit Memoranda H. Inventory Dispositions I. Invoices/Expenditure Transfer Authorizations J. Issue Tickets or Receipts K. Materials/Supplies Specifications L. Monthly Expenditure Printouts M. Notice of Award of Contract(s) N. Unscheduled Requisitions for Supplies O. Packing Slips, Shipping Tickets, Bills of Lading P. Purchase Orders Q. Purchasing Register R. Receiving Reports S. Report of Delivery/Partial Delivery  <div style="text-align: center;">(Continued)</div>	Retain for five (5) years and until all audit requirements have been fulfilled, then destroy.
Approved by Department, Agency, or Division Representative. Date _____ Signature _____ Typed Name _____ Title _____		Schedule Authorized by State Archivist Date _____ Signature _____

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION <b>RECORDS RETENTION AND DISPOSAL SCHEDULE</b>		Schedule No. <hr/> Page 1 of 2
Agency _____		Division/Unit _____
Item No.	Description	Retention
1.	<p><u>Purchasing Records</u></p> <p>This series applies to all State of Maryland Departments and Agencies and includes all standard purchasing forms as well as other purchasing media which provide supporting data for special and general purchasing records.</p> <p>Purchasing records may include all or some of the following documents:</p> <ul style="list-style-type: none"> <li>A. Actual Emergency and Repair Reports</li> <li>B. Advertising and Bids</li> <li>C. Agency Inter-Office Requisitions</li> <li>D. Bid and Quote File</li> <li>E. Bid Tabulation Records</li> <li>F. Copy of Contract(s) Awarded</li> <li>G. Credit Memoranda</li> <li>H. Inventory Dispositions</li> <li>I. Invoices/Expenditure Transfer Authorizations</li> <li>J. Issue Tickets or Receipts</li> <li>K. Materials/Supplies Specifications</li> <li>L. Monthly Expenditure Printouts</li> <li>M. Notice of Award of Contract(s)</li> <li>N. Unscheduled Requisitions for Supplies</li> <li>O. Packing Slips, Shipping Tickets, Bills of Lading</li> <li>P. Purchase Orders</li> <li>Q. Purchasing Register</li> <li>R. Receiving Reports</li> <li>S. Report of Delivery/Partial Delivery</li> </ul> <p style="text-align: center;">(Continued)</p>	<p>Retain for five (5) years and until all audit requirements have been fulfilled, then destroy.</p>
Approved by Department, Agency, or Division Representative. Date _____ Signature _____ Typed Name _____ Title _____		Schedule Authorized by State Archivist Date _____ Signature _____

DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)

Schedule No.

Page 2 of 2

Agency

Division/Unit

Item  
No.

Description

Retention

T. Requisition Forms, Miscellaneous  
U. Requisitions for Supplies  
V. Warehouse Requisitions  
W. Automation Management Reports

2. Vendor List

Retain until superseded, then  
destroy.

3. Correspondence

Retain for three (3) years then  
screen and destroy all material  
not needed for conduct of  
business.

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION <b>RECORDS RETENTION AND DISPOSAL SCHEDULE</b>		Schedule No. <hr/> Page 1 of 3
Agency _____		Division/Unit _____
General Schedule Personnel Records		
Item No.	Description	Retention
<div style="border: 1px solid black; padding: 10px;"> <p><b><u>PERSONNEL FOLDERS</u></b></p> <p>1. This series applies to Departments of Personnel within Maryland State Government and includes all standard personnel forms as well as other personnel media which provide supporting data for both special and general personnel records.</p> <p>Upon selection for employment within the Department of _____ either as a new hire, transfer, reinstatement or temporary employee, a personnel folder is prepared. This folder may contain all or some of the following documents:</p> <ul style="list-style-type: none"> <li>A. Application</li> <li>B. Appointment Letter</li> <li>C. Correspondence Relating to New Appointment</li> <li>D. Personnel Payroll Form</li> <li>E. Personnel Position Action Request</li> <li>F. Personnel Recruitment Screening Report</li> <li>G. Personnel Transaction Form</li> <li>H. Retirement Form</li> </ul> <p>During continued employment, the folder may contain the following:</p> <ul style="list-style-type: none"> <li>a. Change of Address Forms</li> <li>b. Clearance File</li> <li>c. Charges for Removal</li> <li>d. Commendations</li> <li>e. Contractual Employment</li> <li>f. Counseling Sessions</li> <li>g. Disciplinary Actions</li> <li>h. Efficiency Ratings</li> </ul> </div>		
Schedule Approved by Department, Agency, or Division Representative.		Schedule Authorized by State Archivist
Date _____		Date _____
Signature _____		Signature _____
Typed Name _____		Signature _____
Title _____		Signature _____

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION <b>RECORDS RETENTION AND DISPOSAL SCHEDULE</b>		Schedule No. <hr/> Page 1 of 3
Agency _____		Division/Unit _____
General Schedule Personnel Records		
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Schedule Approved by Department, Agency, or Division Representative. Date _____ Signature _____ Typed Name _____ Title _____		Schedule Authorized by State Archivist Date _____ Signature _____

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE**  
(Continuation Sheet)

Schedule No.

Page 2 of 3

Agency

Division/Unit

Item No.	Description	Retention
	<ul style="list-style-type: none"> <li>i. EOE Statistical Reports</li> <li>j. General Correspondence</li> <li>k. Grievance Actions</li> <li>l. Health Insurance Benefits Forms</li> <li>m. Leave Forms</li> <li>n. Orientation Program</li> <li>o. Position History</li> <li>p. Probation</li> <li>q. Promotions</li> <li>s. Resumes</li> <li>t. Suggestion File</li> <li>u. Summer Employment</li> <li>v. Suspension Actions</li> <li>w. Training</li> </ul> <p>The final documents in the folder are a personnel payroll form and the following:</p> <ul style="list-style-type: none"> <li>i. Letter of Resignation</li> <li>ii. Retirement</li> <li>iii. Transfer</li> <li>iv. Dismissal</li> </ul>	
2.	<u>PERSONNEL I.D. NUMBER (PIN)</u>	Permanent, transfer periodically to the MSA
3.	<u>STATUS CARD FILE</u>	Retain for five (5) years, then destroy
4.	<u>HISTORY CARD</u> Upon being selected for employment within the Department of _____ either as new hire, transfer, reinstatement or temporary employee, a personnel history card is prepared.  This card contains the following data: <ul style="list-style-type: none"> <li>1. Name</li> <li>2. Address</li> </ul>	Retain for three (3) years after termination of employment and then destroy



**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE  
(Continuation Sheet)**

**Schedule No.**

**Page 3 of 3**

**Agency**

**Division/Unit**

Item No.	Description	Retention
	<p>3. Social Security Number 4. Telephone Number 5. Race 6. Sex 7. Birthdate 8. Increment Date 9. EOD (Entry on Duty) Date 10. Classification 11. Effective Date of Classification 12. Employment Status 13. Salary 14. Position Identification Number for employee</p> <p>Each reclassification, promotion, demotion, change in salary, extended probation, title change, change of address or telephone number is duly noted on the card. The last entry on the History Card would be one of the following:</p> <p>1. Resignation 2. Retirement 3. Transfer 4. Dismissal 5. Expiration</p> <p>The card would then be filed inside the personnel folder and filed in the inactive personnel file.</p>	
5.	Worker's Compensation First Report of Injury Reports	Retain for 5 years then destroy.
6.	Dept. of Personnel Part-time Quarterly Reports	Retain for 5 years then destroy.
7.	Dept. of Personnel Annual Reports	Retain for 5 years then destroy.
8.	Agency/Dept. Personnel Budget Reports	Retain for 5 years then destroy.

DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
**RECORDS RETENTION AND DISPOSAL SCHEDULE**  
(Continuation Sheet)

Schedule No.

Page 3 of 3

Agency

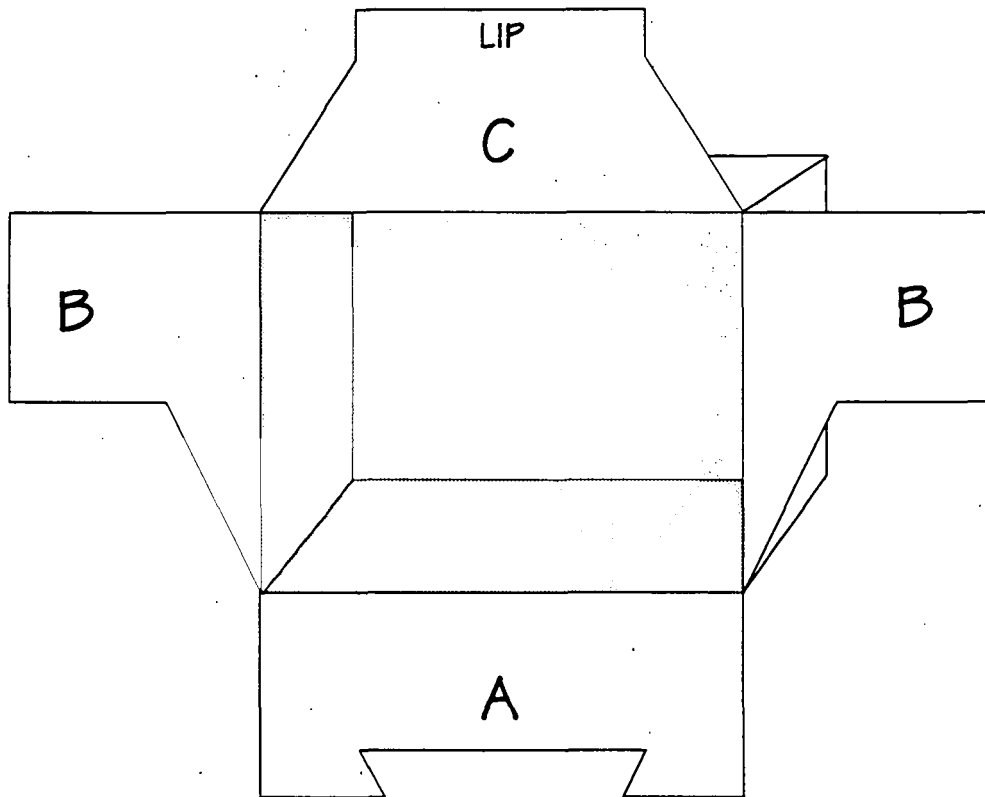
Division/Unit

Item No.	Description	Retention
	<p>3. Social Security Number</p> <p>4. Telephone Number</p> <p>5. Race</p> <p>6. Sex</p> <p>7. Birthdate</p> <p>8. Increment Date</p> <p>9. EOD (Entry on Duty) Date</p> <p>10. Classification</p> <p>11. Effective Date of Classification</p> <p>12. Employment Status</p> <p>13. Salary</p> <p>14. Position Identification Number for employee</p> <p>Each reclassification, promotion, demotion, change in salary, extended probation, title change, change of address or telephone number is duly noted on the card. The last entry on the History Card would be one of the following:</p> <p>1. Resignation</p> <p>2. Retirement</p> <p>3. Transfer</p> <p>4. Dismissal</p> <p>5. Expiration</p> <p>The card would then be filed inside the personnel folder and filed in the inactive personnel file.</p>	
5.	Worker's Compensation First Report of Injury Reports	Retain for 5 years then destroy.
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7.	Dept. of Personnel Annual Reports	Retain for 5 years then destroy.
8.	Agency/Dept. Personnel Budget Reports	Retain for 5 years then destroy.

# DIRECTIONS FOR ASSEMBLING RECORD CENTER CONTAINERS

1. Fold flap A inward.
2. Fold B flaps over A flap.
3. Fold flap C, pushing inward until lip snaps into place.

BOTTOM OF BOX BEFORE FOLDING



BOTTOM OF BOX AFTER FOLDING

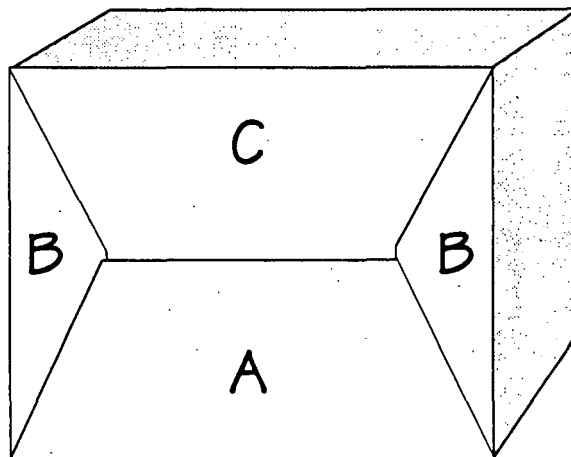


Figure 5

DEPARTMENT OF GENERAL SERVICES  
P.O. BOX 275, JESSUP, MD. 20794 (TELEPHONE 799-1379)  
**RECORDS TRANSMITTAL AND RECEIPT**

Directions: Please Type Or Print Clearly All Entries

A. Agency 1.		Accession No.	Date Rec'd
			RM Code
B. Division/Unit		Location Range                  Section(s)	No. of Cu. Ft.
C. Mailing Address			
D. Phone No.		Records Center Manager	
E. Agency Official		<b>To Be Completed At State Records Management Center</b>	

2. Box Numbers	3. Description of Records with Inclusive Dates	4. Disposal Authority Schedule, Item No. Disposal Date

## REFERENCE REQUEST

Directions: 1. Please print or type 2. Send both copies of form 3. Use a separate form for each request

<b>1. RECORDS REQUESTED</b>		
a. Case Name or Title		
b. Case Number	c. Date or Year	
d. Other Information		
<b>2. LOCATION OF RECORDS</b>		
a. Accession or Lot No.	b. Box No.	c. Record Center location
		Range(s)      Section(s)
<b>3. REQUESTOR</b>		
a. Name	b. Telephone No.	c. Date of Request
4. Name and Address of Requesting Agency		
<b>FOR RECORD CENTER USE ONLY</b>		
<input type="checkbox"/> Records Destroyed	<input type="checkbox"/> Additional information needed	
	_____	
<input type="checkbox"/> Records Missing From Box		
<input type="checkbox"/> Records Charged Out (name and date)	Date	Searcher's Initials
_____		

DGS 550-8 (Rev 1/93)

Mailing address: State Records Management Center  
P.O. Box 275  
Jessup, Maryland 20794

DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
STATE RECORDS CENTER  
P.O. BOX 275  
JESSUP, MARYLAND 20794-0275  
799-1379

TO:

SUBJECT: DISPOSAL CLEARANCE

The records listed on attached sheet are eligible for disposal. They will be destroyed as scheduled if no reply is received within one month from the date of this letter. If you do not concur in this action, please return this letter and justify continued retention on the space below. Cite Accession Number and include a new disposal date for these records.

Sincerely,

PAUL C. LAMBERSON  
RECORDS CENTER MANAGER

---

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PCL/rer  
DGS 550-7

Figure 8



## STATE RECORDS MANAGEMENT CENTER

### **RECORDS MANAGEMENT**

Administrator	799-1930
Forms Manager	799-1930
Records Specialist	799-1930

### **MICROGRAPHIC & LABORATORY SERVICES**

C.O.M. Services	799-1728
(Computer Output Microfilm)	
Source Document Microfilming	799-1729

### **RECORDS CENTER**

Manager	799-1379
Reference Service	799-1727



**William Donald Schaefer**  
Governor

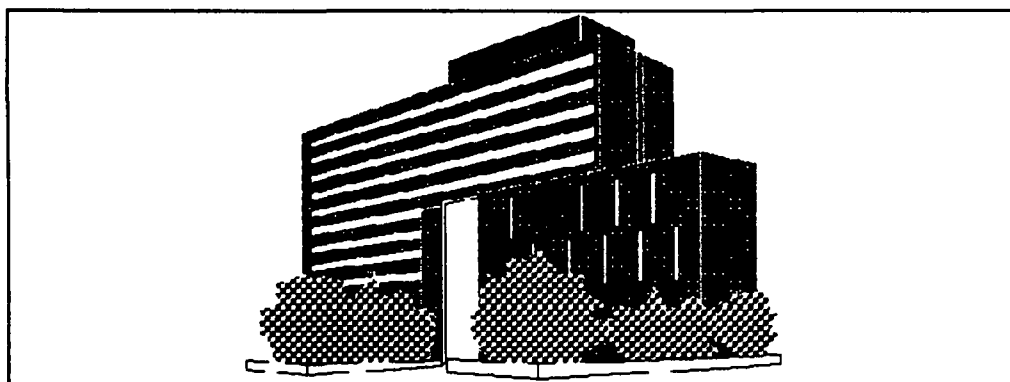
**Martin W. Walsh, Jr.**  
Secretary

**STATE OF MARYLAND**

**DEPARTMENT OF GENERAL SERVICES**

**RECORDS MANAGEMENT/SPACE MANAGEMENT**

**GUIDELINES FOR RECORDS REDUCTION**



Records Management Division  
7275 Waterloo Road  
Box 275  
Jessup, Maryland 20794

December 1990  
(Rev. 3/91)  
(Rev. 1/93)

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## **FORWARD**

There is a natural tendency among State employees to keep every scrap of paper that passes their desk. To have every record ever created at their fingertips is the desire of many employees.

Few realize that records can be stored at the State's Records Center for a fraction of the cost of storing them in office space. A cubic foot of records (two-thirds of a standard letter size file drawer) can be stored at the Records Center for \$3.00 per year. That same cubic foot of records stored in office space will cost \$35.00 per year if you include the cost of the file cabinet.

At a time when government is facing severe budget shortfalls, everything possible must be done to reduce operating costs. Storing the 125,066 cubic feet of records at the Records Center saves the State \$4.0 million per year. The Center has the capacity to store 175,000 cubic feet and is expecting another 30,000 cubic feet by 1994.

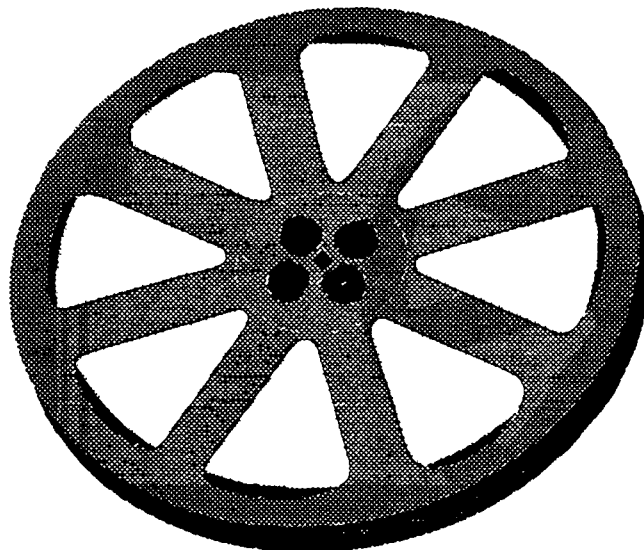
The procedures outlined in this booklet provide instructions to all Department and Agency Officials that have the responsibility for maintaining the records required to operate on a day-to-day basis. It provides recommended periods for retaining various records and suggestions on how to properly store your agency's most valuable records.

We encourage you to utilize these guidelines. Use office space for people, not boxes of records.

**Printed on Recycled Paper**

***Department of General Services***  
***Records Management/Space Management***

***Guidelines for Records Reduction***



***Revised January 1993***

STATE OF MARYLAND

DEPARTMENT OF GENERAL SERVICES

RECORDS MANAGEMENT/SPACE MANAGEMENT PROCEDURE (DGS-RM-9)

RECORDS STORAGE GUIDELINES FOR THE REDUCTION OF RECORDS

STORAGE SPACE IN THE OFFICE ENVIRONMENT

PURPOSE

To assist department and agency officials in reducing the need for storage of records in office space.

The Space Management Division and the Records Management Division of the Department of General Services, in response to problems relating to the storage of records in office space, have put together the enclosed procedure for agencies' use.

HISTORY

The Records Management Division of the Department of General Services has, for over three decades, provided direction for State agencies in the areas of Records Management.

Major program objectives include: (1) the creation or revision of records retention schedules in order to ensure prompt and orderly disposal of records not required by the operation of the agency; (2) moving records out of high-cost office space and into the low-cost State Records Center as rapidly as practical; and, (3) disposing of records no longer needed.

Experience in a number of agencies shows that at least 50 percent of their records can be either transferred to the State Records Center or else destroyed on site. Only active files should be kept in prime office space.

AUTHORITY

The key to effective records disposition is the records retention schedule which, according to State Government Article Title 10-633, each agency is required to establish and maintain. A retention schedule lists and describes the records of an organization and indicates when records should be disposed of or kept permanently. Records retention schedules, however, are of little value unless they are systematically maintained and used.

## RECORDS/SPACE MANAGEMENT INSTRUCTIONS

The storage of records in office space must be done within the confines of the instructions set forth in the Department of General Services' Space Management Manual which states that: SPACE REQUIRED FOR THE STORAGE OF RECORDS IN OFFICES MUST NOT EXCEED 10% OR 1,000 SQUARE FEET OF THE TOTAL AREA OCCUPIED, WHICHEVER IS LESS!

This rule can be utilized by agencies to determine whether or not they have a high density of filing space based on the total square feet of office space. When taking into account the space required for records in an office environment, a general rule is that each employee of the office will require one five drawer file cabinet. Remember, each file cabinet requires seven square feet of valuable office space.

Agencies must take steps to ensure that valuable office space required for its employees is not taken up with the storage of records no longer required in its day-to-day operation. When considering additional records storage space or a move to a new location, agencies must first scrutinize their record keeping practices.

### A. Three Steps to Reduce Records

Three major steps can be taken to ensure that your office keeps only the records required for daily operations. They are:

1. Reduce the length of time records are kept. This can be done by making certain that records are not kept any longer than required by statute or regulation. Also make certain that all agency records are listed on a Records Retention and Disposal Schedule and that retention periods are adhered to.
2. Trash/Recycle duplicate records.
3. Transfer all eligible inactive records to the Records Center. A record which does not have to be referred to more than once a month should be transferred to the Center. For the most part, records at the Center can be retrieved and either faxed or delivered to the requesting agency within 24 hours.

### B. Recommended Guidelines for Retention Schedules

The Records Management Division has established recommended guidelines in the form of General Records Retention Schedules that all agencies can utilize. These general schedules are for:

1. Accounting Records
2. Purchasing Records
3. Personnel Records

C. Meeting the 10%/1,000 Sq. Ft. Rule

When offices have done everything possible to reduce the amount of records stored in the office but cannot meet the 10%/1,000 sq. ft. rule, the Records Management Officer for that agency must present to the Records Management Division written justification for additional storage space. One note of caution: State records cannot be disposed of unless they are listed on an approved Records Retention and Disposal Schedule.

D. Review Need for Additional File Cabinets

Several agencies have established an internal policy, which we recommend, to control the growth of storage space. The internal policy requires a review by the Records Management Officer of all requests for the purchase of additional filing cabinets. This benefits the agency in two ways: (1) it allows the agency to ensure that the records to be filed are, in fact, needed records; and, (2) the agency can assure that the requested file cabinet will not be used to store records longer than absolutely necessary.

E. Important Guidelines for Storing Records

Additional instructions concerning space allocations are contained in chapters 4 and 7 of the Department of General Services' Space Management Manual. A copy of the Space Management Manual can be obtained by calling (410) 225-4325. We suggest that you review both chapters when faced with space shortages or requests for new space. The following information was extracted from those two chapters and can be utilized as a quick reference checklist:

1. Remember that storage space cost less to build than office space and obviously less to lease than office space.
2. Office space should never be used for bulk storage. Only work inventories of office supplies and materials should be kept in offices and always in standard supply cabinets. Secondary space such as basements should be used to locate supply operations.
3. Always follow the office area standards delineated by the Space Management Manual, Table 4-1 (Appendix D, attached).

4. Do not take up valuable office space with inactive files they can't be disposed of, send them to the Records Center.
5. Remember, an inactive file is one in which reference service does not exceed one reference per file drawer (or shelf) per month.
6. Use five drawer cabinets rather than four drawer cabinets whenever possible. However, existing four drawer file cabinets should not be replaced until they are no longer functional. Don't provide too much aisle space but just the right amount (See Appendix E, File Layout Space Requirement, attached).
7. Always, when purchasing new filing equipment, review the latest space saving options currently available on the market.

### RESPONSIBILITY

The Space Management Division is now responsible for the management and acquisition of new and renewed lease-hold agreements between State agencies and commercial landlords. This includes approving the location of leased space, reviewing space modifications, negotiating rental terms, preparing lease agreements, and establishing standards for the use of office space. The Space Management Division has established a formal Lease Enforcement Program which includes a Lease Enforcement Section. This section is responsible for upgrading the quality of facilities leased by the State so that employees and clients will have an appropriate environment in which to carry on State business. A Lease Enforcement Manual has been published which defines responsibility and which establishes standards for records storage. A copy of this manual can be obtained by calling (410) 225-4325.

While it is the responsibility of the Space Management Division to monitor the space used by agencies for the storage of records, it relies upon the Records Management Division to provide guidelines to ensure that records storage space in offices doesn't become excessive.

The Space Management Division will forward to the Records Management Division all requests by agencies for the leasing of space to store records. The Division will contact the agency and arrange to review their records management program with the intent of providing alternative solutions to their records storage problems. The Division will report to the Office of Space Management the results of its review and make recommendations as to whether or not the additional storage space is necessary.

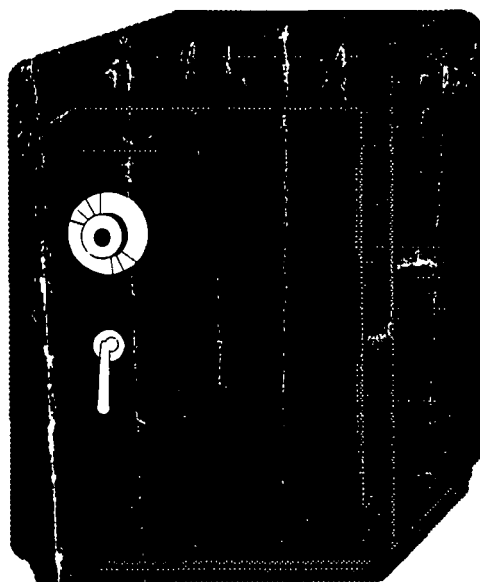


The Records Management Division can be contacted by calling (410) 799-1930. Requests by mail should be directed to the State Records Administrator, Records Management Division, 7275 Waterloo Road, P.O. Box 275, Jessup, Md. 20794.

To contact the Space Management Division mail your requests to Chief, Space Management Division, Room 601, 300 West Preston Street, Baltimore, Md. 21201, or call (410) 225-4325.

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION**

**Vital Records Protection Plan**



Revised: January 1993

## INTRODUCTION

Every agency in State government is unique, therefore, the Vital Records Protection Plan for each agency must take their mission into consideration. Vital records are defined as those documents that may or may not be archival, which, in the event of a disaster, would be required to continue the business of the agency with the least degree of effort, cost and disruption.

At no other time in business operations do records become as important as when a disaster occurs. Disaster is defined as any occurrence of fire, flood, storm, earthquake, explosion, epidemic, riot, sabotage or other condition of extreme peril caused either by an act of nature or person. These are day-to-day possibilities and preparation for their occurrence must be considered as part of the daily operation. For State government, preparedness means programming for continuity of management. Vital records protection consists of the safeguarding of those records which would be needed to:

- a. Resume or continue operations
- b. Recreate legal and financial status
- c. Fulfill obligations to employees and Maryland residents

This plan has been written to be as comprehensive as possible and, at the same time, limit the amount of material that is required in an emergency. The format was chosen to make it easy to find necessary information quickly.

Each section begins with a brief explanation of the section and a procedure checklist of actions to be completed immediately in the event of an emergency. Necessary phone numbers and names are included. Floor plans of the building are provided at the end.

These checklists were developed by the Records Management Division to assist State agencies in the development of their Vital Records Protection Program. The checklists are guidelines. Each list concentrates on a different aspect of the program. They are:

1. Item I - Outlines the procedures to develop a vital records protection plan
2. Checklist I - Designed to determine whether the agency has vital records
3. Checklist II - Designed to evaluate vital records programs for electronic/computer records with emphasis on security
4. Checklist III - Lists the potential risk factors that could affect records
5. Checklist IV - Concentrates on the proper storage

The format of these lists is a series of questions to be answered "Yes" or "No". A "Yes" answer to a question indicates an area that may require consideration or action associated with the agency's Vital Records Protection Program.

There are many possible emergencies. This plan was prepared to deal with the most likely ones. Instructions on restoration of damaged materials are not included. These can be found in the *"Handbook For The Recovery of Water Damaged Business Records"* by Julia N. Eulenberg. Copies of this publication may be obtained by calling or writing *Arma International* at 4200 Somerset Drive, Suite 215, Prairie Village, Kansas 66208, Phone: 913-341-3808.

## GLOSSARY OF TERMS

### DEFINITIONS:

***Computer Disk (Floppy and Hard)*** - Computer storage media, in the case of Floppy, a disk made of plastic covered with a magnetic coating; in the case of Hard disk, a rigid platter coated with a magnetizable substance.

***Dispersal*** - Wherein vital records are routinely distributed to other departments, individuals or organizations located elsewhere.

***Duplication*** - The act of reproducing the record specifically for its protection. The reproduction may be on the same medium, as in paper to paper or it may be transferred to another medium, such as paper to microfilm.

***Electronic & Machine Readable Records*** - Records contained on various medium (viz; magnetic tape, floppy disks, microfilm, optical disks, etc.) which are dependent on mechanical or electronic equipment to be read.

***Functional Records/Systems*** - Those systems without which the organization would collapse (be unable to function). Such systems would include the nominal ledger and production systems; such records would include licenses to operate, project drawings, procedure manuals.

***Magnetic Tape*** - A plastic tape with a magnetic surface for storing data as a series of magnetic spots.

***Microfilm*** - A film on which printed materials are photographed greatly reduced in size.

***Mission*** - The specific body of work for which the organization was created to do.

***Non-Permanent Records*** - Records which are necessary to carry on the business of the organization, but which do not have historical or other significant value.

***Permanent Records*** - Records of an organization which are deemed to have some historical or other significant value. These records would be eligible for retention in the Maryland State Archives.

***Records*** - Any material (regardless of its physical form) received, created or maintained in connection with the transaction of public business of a State agency or office.

***Vital Records*** - Documents which, in the event of a disaster, would be needed by State agencies to continue their business with the least degree of effort, cost, and disruption (these may or may not include archival records).

***Vital Records Protection Program*** - A program which recognizes what the essential functions of the organization are under normal circumstances and what records are essential to continue to perform those functions, both during and after an emergency. The program should be spelled out in a directive which outlines policy, objectives, and responsibilities for the management of the program and which provides procedures and guidelines for the maintenance of the organization's vital records.

***Vital Records Recovery Team*** - Members of the disaster team should represent the various record keeping areas of the organization (viz: Data Processing, Records Management, Security, etc.). They will be responsible for setting up a prevention program and a post-disaster and salvage operations program.

## STEPS TO DEVELOP A VITAL RECORDS PLAN

### ITEM I

Each State agency is a unique entity which has been assigned certain tasks and duties which need to be performed in order to meet their mission goals.

In order to ensure that the agency is able to accomplish this mission, in the event of a disaster, a Vital Records Protection Plan must be developed and implemented. The basic steps in this development should include, but are not necessarily limited to, the following items:

- I. Identify primary program mission.
- II. Identify vital records which may fall in one or more of the following categories:
  - A) Operational or Functional Records/Systems - those without which the organization would collapse or be unable to function. Such systems should include the nominal ledger and production systems; such records would include licenses to operate, project drawings, procedures manuals.
  - B) Costly Records Systems - those that may be of secondary importance but, if lost, the time and money necessary to replace them would alone constitute a disaster. Such systems would include corporate budget and planning and personnel systems; an example might be reports that were the result of expensive studies.
  - C) Legal Records/Systems - those which are necessary for the organization to operate legally, to protect itself or individuals, or which, if lost, would leave the organization open to crippling litigation. Such systems would include data protection monitoring and safety controls; an example might be Article of Incorporation, Constitution, Contracts, Insurance Policies, Union Agreements, Trademarks, Deeds.
  - D) Emergency Systems Plans - those systems which are not vital except in the case of an emergency. Such systems would include all door, safe, sprinkler, alarm systems. Such records would also include personnel lists, building plans, security clearances.
  - E) Vital Objects - those which satisfy any of the above criteria and which are necessary for the use of those records, but are not considered computer hardware. Such objects would be building keys and government seals.
- III. Identify which disaster is likely to affect these records.
  - A) Fire and fire containment materials.

- B) Water (due to flooding, bad plumbing or high humidity) and molds or corrosion resulting from water or humidity damage.
  - C) Impact damage (resulting directly or indirectly from fire, flood, earthquake, violent wind or bombing).
  - D) Infestation by insects or vermin.
  - E) Theft, vandalism or loss.
  - F) Electrical disturbances and other happenings such as undetected computer viruses that result in the loss of electronic data.
- IV. Identify the most cost effective method(s) to protect the records.
- V. Plan to respond to the likely disasters - document the plan.
- VI. Training and test the plan.



## CHECKLIST NO. I FOR VITAL RECORDS

The following questions will assist in evaluating the agency's mission and determine what records must be considered as vital records. Each records series must be reviewed. Use one checklist for each records series. Considering the mission of the agency:

RECORDS SERIES DESCRIPTION \_\_\_\_\_

### VITAL RECORDS

YES

NO

- |       |       |   |
|-------|-------|---|
| _____ | _____ | Is the record absolutely necessary to resume operations within one working day?   |
| _____ | _____ | Must it be maintained in original form to be legally admissible as evidence?  |
| _____ | _____ | Is it subject to litigation?  |
| _____ | _____ | Is it recorded information (paper, microfilm, magnetic tape, computer disc, etc.) of the type that cannot be reconstructed without great difficulty or great expense? |
| _____ | _____ | Is it necessary for employee payroll and benefits?  |
| _____ | _____ | Is it required for accounts receivable, capital assets or inventory?  |
| _____ | _____ | Is it an in-process record (i.e., research and development, project files, unpaid invoices)?  |
| _____ | _____ | Does it deal with rights and interests (i.e., debts owed to and by the State)?  |
| _____ | _____ | Is it a ledger, register, etc. proving payment?   |
| _____ | _____ | Is it necessary to identify major contracts with amendments?  |
| _____ | _____ | Does it consist of engineering drawings, production specifications?   |
| _____ | _____ | Does it identify bonds, notes, checks?  |
| _____ | _____ | Does it identify deeds, leases, titles, licenses, capital investments, taxes?   |

## VITAL RECORDS

YES

NO

\_\_\_\_\_ Does it identify Emergency Operations - statements of mission; plans for carrying out the mission; assignments of responsibility; predrafted policies and/or statements for the press; information concerning the location of vital records; copies of regulations and procedures for critical functions; lists of employees assigned emergency responsibilities; lists of suppliers for items and materials not readily available?

\_\_\_\_\_ Does it consist of maps and blueprints?

\_\_\_\_\_ Is it a health record of patients currently in State facilities for treatment?

\_\_\_\_\_ Does it consist of warrants, indices of institutionalized persons?

\_\_\_\_\_ Is it a supply of blank forms to be used during emergency period, (i.e., checks, invoices, letterheads and envelopes, purchase orders)?

\_\_\_\_\_ Is it a list of suppliers for plastic milk cartons, freezer facilities, freeze drying/vacuum drying facilities, freezer trucks, plastic trash barrels?

## CHECKLIST NO. II FOR PERSONAL COMPUTER (PC) SECURITY

One of the most important aspects of any security plan is the clear identification of what is most at risk and what truly merits full protection.

Electronic records and systems, especially those on personal computers, are much more vulnerable to negligence and crime than paper records. Security measures must be set up to protect the most important records and systems, and not just the equipment they reside on.

Security precautions for computer equipment should include the following:

YES	NO	
_____	_____	Limited access to systems, either by the use of passwords or with personal computers, power locks
_____	_____	Extreme care when handling floppy discs, hard discs or magnetic tapes
_____	_____	Inventory of data/information
_____	_____	Control of static electricity near computers
_____	_____	Data code or special instructions
_____	_____	Nightly locking of all rooms which contain mainframe or personal computers

### CHECKLIST NO. III FOR VITAL RECORDS STORAGE

Several methods are suitable for protecting vital records. The most important selection factor is the ratio of protection from hazards to the cost of that protection.

The least expensive protection method of vital records in an organization is dispersal of the information to other departments in the organization. Duplication of information is an effective protection method where the conditions for dispersal do not exist.

In order to provide adequate protection for vital records, which are required to conduct business after a disaster, there is a need to store these records in a specifically designated remote facility or area. This designated facility needs to be organized in such a manner as to allow the organization to return to a full time work status as soon as possible after a disaster.

Those personnel designated to lead the organization back to full time work status should be well versed in the overall set up of the policies and procedures of the alternative storage of the vital records.

Are copies of vital records stored:

YES      NO

- |       |       |   |
|-------|-------|---|
| _____ | _____ | In an area convenient to the site where the records will be accessible (should be alternate site) consider availability of transportation in an emergency?  |
| _____ | _____ | In secure equipment (i.e, safe deposit box, locked file cabinet, vaults, etc.)?   |
| _____ | _____ | By organizational unit?   |
| _____ | _____ | Clearly marked and/or numbered for easy identification?   |
| _____ | _____ | With a complete inventory (copies of the inventory kept at the site of the disaster may be destroyed in the disaster) and information regarding replacement of the files (includes program or other instructions for machine-readable records)? |
| _____ | _____ | Chronologically by date or numerically by inventory number?   |
| _____ | _____ | Clearly indicating that they replace old record copies (and whether the replaced records should be destroyed on site or returned to the organization or that they are additions (supplements)?  |
| _____ | _____ | Under conditions providing certainty of availability in time of emergency?  |

YES

NO

\_\_\_\_\_

\_\_\_\_\_

Periodically checked (at least annually) to ensure that they are current, complete, accessible and immediately usable?

\_\_\_\_\_

\_\_\_\_\_

So that provisions can be made for the confidential destruction of classified records, such as by shredding or burning?

## **METHODS OF STORAGE**

### **A. OFF-SITE STORAGE**

1. Duplicate copies of vital records are stored at a location remote from the facility where the original record is maintained.
2. A generally better and more reliable method of protection than on-side storage.

### **B. ON-SITE STORAGE**

1. Storage in safes, vaults, fire-resistant file cabinets on agency premises at or near the point of use.
2. Reliability of this protection method depends on quality of storage devices and building.
3. Equipment is rated and labeled by various organizations.

### **C. FIREPROOF SAFES**

1. Constructed for either paper or magnetic media.
2. Rated from 1-4 hours.
3. Use for small volumes to be kept close to point of use.
4. Class A safe, rated for 4 hours.

### **D. AUTOMATIC DISPERSION - records routinely dispersed in normal course of business.**

A viable protection strategy if:

1. It meets your Records Retention Schedule.
2. Can furnish copies.
3. Not too widely dispersed.

### **E. FREQUENCY AND DURATION OF PROTECTION - Daily, Weekly, etc.**

1. Protection should usually begin upon generation.
2. Both method of protection and duration should be identified.

## INVENTORY OF VITAL RECORDS

It is the responsibility of each agency to set up an inventory of the types of records in the organization, as well as to what media the records are kept on. The inventory should include both permanent and non-permanent records. SEE ATTACHMENT A.

Below is a sample of an inventory format utilized by the Records Management Division.

<b>Record Series Title and Media</b>	<b><u>Update Frequency</u></b>	<b><u>Retention Period</u></b>	<b><u>Location of Duplicate or Security Copy</u></b>	<b><u>Location in RMD</u></b>
Records Retention Schedules paper/microfilm	When superseded	Until superseded	Md. State Archives	4 drawer green paper safe to the right of the front doors in far right corner
Invoices (unpaid)	N/A	Until STARS Report	None	Out basket on counter to the left of the paper
Records Transmittals log/ sheets/computer paper/magnetic tape/computer disk-dBase III plus	Daily		Magnetic tape back-up in Records Center	Records operation room to left of the front doors in gray file cabinet
Current/In Progress Micro- film and COM Projects	Daily			COM room, camera rooms, and microfilm lab

### CHECKLIST NO. III FOR RISK ASSESSMENT

In order to provide a secure area for an agency's records, care must be taken in evaluating the environment where these records are stored. The following checklist will assist your agency in its evaluation of its work and storage areas.

Are the records located where they are subject to:

YES	NO	
_____	_____	Fire?
_____	_____	Bomb threat?
_____	_____	Theft?
_____	_____	Vandalism?
_____	_____	Insects or vermin?
_____	_____	Earthquakes?
_____	_____	Tornadoes?
_____	_____	Hurricanes?
_____	_____	Windstorms?
_____	_____	River, streams, lakes or large bodies of water?

Description of facility:

YES	NO	
_____	_____	Is the facility equipped with a halon fire suppression system?
_____	_____	Is the facility equipped with an unauthorized entrance alarm system?
_____	_____	Is the staff responsible for locking windows and doors at closing time?
_____	_____	Are there automatic security alarms?
_____	_____	Are there locks on all doors and windows?



YES

NO

\_\_\_\_\_ Is there strict control of all building keys, with locks changed when keys are lost?

\_\_\_\_\_ Is there strict supervision of non-staff who enter the building, especially cleaning and maintenance workers?

\_\_\_\_\_ Are there bars or toughened glass on ground floor windows (but ensuring that bars or grills can be opened in case of a fire)?

Is protection cost effective?

YES

NO

\_\_\_\_\_ Can the cost of protection be balanced against the cost of the loss?

\_\_\_\_\_ Can the cost of the recovery process be balanced against the cost of recreating and gathering the lost information?

## FIRE

The Vital Records Protection Plan must outline the precautions taken to prevent fires and what steps are necessary in the event of a fire.

The vital records storage area must have a separate fire alarm system or be tied in with the building's alarm system. The State's Records Center, for example, is alarmed directly into the Howard County Fire Department. The Division's alarm system will notify the Fire Department, Division Director, and Saratoga Street Security in the event of a fire. If the building is occupied, personnel should be evacuated according to the evacuation plan.

The Fire Department should be notified if potentially hazardous chemicals are stored in the building, the maintenance storage room and/or the records storage area. These chemicals may emit toxic fumes or be flammable.

Firefighters should also be notified if a potentially hazardous situation exists within the close proximity of the building housing the vital records.

Fire damaged records may also be water damaged records. Materials should be handled under proper supervision.

Temperatures above 125 - 150 degrees F. or 65.5 C. degrees will melt photographic or machine readable media.

### CHECKLIST FOR FIRE DAMAGE

- \_\_\_\_\_ 1. Make contact with the Fire Department.
- \_\_\_\_\_ 2. Notify the Fire Department of the hazardous chemicals in the building, and their location. Some examples are:

<u>SUBSTANCE</u>	<u>LOCATION</u>
Ammonia	_____
Alcohol	_____
Butyl Cellusolve	_____
Mineral spirits	_____
1, 4 - dicholorobenzene	_____
Diethylene glycol methyl ether	_____

SUBSTANCE

LOCATION

Petroleum distillates

\_\_\_\_\_

Photographic developing  
chemicals

\_\_\_\_\_

Print powder and toner

\_\_\_\_\_

- \_\_\_\_\_ 3. Give Fire Department copy of the floor plans (see floor plans).
- \_\_\_\_\_ 4. Contact staff members on disaster team - SEE LIST
- \_\_\_\_\_ 5. Contact office responsible for Services and Logistics for vehicles to evacuate documents or other aid.
- \_\_\_\_\_ 6. Check procedure for water damage - SEE PAGE 14

## **WATER DAMAGE**

Water damage is likely to occur during most disasters, not just during a fire. Speedy reaction to water damage can only happen if the disaster plan has comprehensive steps for handling this situation. Supplementary publications on salvaging water damaged materials can be a useful adjunct to the plan.

The fire alarm system for the building will alert the Fire Department. If there are sprinklers throughout the facility, the location of the water and sprinkler system controls should be indicated on the floor plans. Indications that the facility is/is not located on a floor plan should be part of the information available to the Disaster Recovery Team.

In severe flooding, the building should be thoroughly inspected for structural soundness. Severe flooding will also cause the sewer lines to back up. This will result in having the area contaminated with raw sewage.

In the event of water damage, the environment of flooded areas should be stabilized and controlled both before and during the removal of the damaged records. Mold and mildew will start to grow in 48 hours. Salvage operations should begin as soon as possible (see Salvage Operations). Members of the recovery team should be contacted (See list).

Dry documents on the vital records list will be evacuated first. These should be moved to the alternative site. Materials should be handled under proper supervision, with all personnel using gloves.

**CHECKLIST FOR WATER OR FLOOD DAMAGE** (Person or persons must be aware when entering a flooded area that touching electrical equipment, receptacles and switches could result in electrical shock.)

- \_\_\_\_\_ 1. Turn off heat in winter and use air conditioner if possible in summer
- \_\_\_\_\_ 2. Contact staff members on disaster team.
- \_\_\_\_\_ 3. Create maximum airflow with fans and open doors and windows
- \_\_\_\_\_ 4. If there is no electricity, rent portable generators (See List)
- \_\_\_\_\_ 5. Contact office responsible for Services and Logistics for vehicles to evacuate documents or other aid
- \_\_\_\_\_ 6. Evaluate damage to records and film
- \_\_\_\_\_ 7. Begin evacuation of DRY documents according to priority list and move to alternate site (see list of sites).
- \_\_\_\_\_ 8. Call in needed specialists
- \_\_\_\_\_ 9. Institute Salvage Procedures

## **CHECKLIST FOR HURRICANES OR SEVERE STORMS**

- \_\_\_\_\_ 1. Contact staff members on the disaster team
- \_\_\_\_\_ 2. Secure all windows
- \_\_\_\_\_ 3. Place all valuable objects at least two feet off the floor
- \_\_\_\_\_ 4. Secure all loose objects
- \_\_\_\_\_ 5. Remove bottom drawers from file cabinets
- \_\_\_\_\_ 6. Consider removal of vital records to a multi-story facility or to an alternate site
- \_\_\_\_\_ 7. Review water damage checklist
- \_\_\_\_\_ 8. Begin salvage operations when possible

### **NUCLEAR**

In the event of a nuclear disaster, either an accident or attack, there are no papers or film located in Records Management Division that would be necessary for the reconstitution of State government.

### **EARTHQUAKE**

Maryland has moderate low-level earthquake activity according to the Maryland Geological Survey. This means that earthquakes will be felt by most people but damage will be negligible in well constructed buildings.

## **CONCLUSION**

One of the primary missions of the Records Management Division of the Department of General Services is to assist all State and local governmental agencies in the preparation of a Vital Records Protection Program for their various departments.

The Division stands ready to provide agencies with the assistance and information required to establish a vital records protection program.

The Division's normal hours of operation are Monday thru Friday, 8:00 a.m. to 5:00 p.m. The Division can be reached by calling (410) 799-1930 or by FAX (410) 799-8532.

The Division's mailing address is:

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Jessup, Maryland 20794-0275