

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

Schedule No. 2158

Page 1 of 3

Agency  
 Department of the Environment

Division/Unit Water Management Admin  
 Board of Waterworks and  
 Waste Systems Operators

Item No.	Description	Retention
1	<p><b><u>CERTIFICATE HOLDERS' FILES</u></b></p> <p>These records include individuals who hold a current or expired temporary, operator's superintendent or limited certificate from the Board. A individual's record could include applications for certification in the various categories and classes, correspondence between the Board and the license holder, original transcripts from the individual's college or university, employment verification letters submitted on the applicant's behalf, the Board's application review sheet, copies of the certificates that the Board issued to the individual, correspondence and applications relating to the certification examinations, the certificate holder's applications for certificate renewal, information about training that the certificate holder completed to qualify for certificate renewal, information about any disciplinary action that the Board has taken against the individual, notes and telephone messages.</p>	<p>Retain records in the office file cabinets. Review files annually, remove and destroy records concerning certificates that expired more than ten years prior to the review date. Information that a certificate holder attached to a renewal application as verification of training completion can be removed and destroyed following the first State audit that occurs at the end of the three-year period in which the training occurred.</p>
2	<p><b><u>EXAMINATION FILES</u></b></p> <p>These records include the official examination results from the examination service, copies of examinations currently being used and archived copies of obsolete examinations.</p>	<p>Retain records in office file cabinets. Review files annually, remove and destroy examination results that are more than 15 years old, and any excess copies of obsolete versions of examinations</p>

Scheduled Approved by Department, Agency, or Division Representative.

Date 10/26/07

Signature *Robert M. Summers*

Typed Name Robert M. Summers

Title Director, WMA

Schedule Authorized by State Archivist

Date NOV 26 2007

Signature *Edward C. Papenfuss*

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

Schedule No. 2158

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Agency  
 Department of the Environment

Division/Unit: Water Management Admin  
 Board of Waterworks and  
 Waste Systems Operators

Item # .	Description	Retention
3	<u>ADMINISTRATIVE FILES.</u> These records include:	
a.	<b>Examination contract records-</b> copies of contracts for examination services, correspondence between the Board and the examination service, telephone messages and notes.	Retain in office file cabinets. Review files annually, remove and destroy all records that are more than ten years old.
b.	<b>Board member's records-</b> appointment letter from the Governor, expense reimbursement requests, correspondence between the member and the Board, telephone messages and notes.	Retain in office file cabinets. Review files annually, remove records of members whose terms expired > 1 year previous. Transfer appointment letter and other correspondence to the member's certificate holder's folder (if applicable), destroy all other documents.
c.	<b>Timekeeping records-</b> time sheets, medical slips from health care providers and leave cards	Retain in office file cabinets. Review files annually, remove and destroy records that are more than five years old.
d.	<b>General correspondence-</b> letters between the Board and individuals who have requested general information about operator and superintendent certification.	Retain in office file cabinets. Review files annually, remove and destroy records that are more than three years old.
e.	<b>Fiscal records-</b> daily and monthly reconciliation reports concerning monies received by the Board.	Retain in office file cabinets. Review files annually, remove and destroy records that are more than five years old.
f.	<b>Official Board meeting minutes</b>	Retain permanently, transfer periodically to the State Archives
g.	<b>Board Disciplinary Actions-</b> correspondence between the Board and those involved in the disciplinary action, legal documents drafted by the Board, hearing transcripts, internal memos, telephone messages and notes.	Retain in locked office file cabinet for 10 years after conclusion of action, then destroy.

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

Schedule No. 2158

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Agency  
 Department of the Environment

Division/Unit: Water Management Admin  
 Board of Waterworks and  
 Waste Systems Operators

Item  
 No.

Description

Retention

4

TRAINING PROGRAMS

These records include information about individual training programs that have been proposed as acceptable continuing education for certificate holders. The records include applications for training program approval, agendas and other information about the training programs, correspondence between the Board and the applicant, copies of review sheets completed by members of the Board's Training Review and Evaluation Committee, internal communications between the Committee and the Board, notes and telephone messages.

Retain records in the office file cabinets. Review records annually, remove and destroy records of training events that were held at least five years before the review date and will not be repeated.

Retain for 20 years records of training events that are being offered currently, then destroy.

**INSTRUCTIONS** -TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)

**DEPARTMENT OF GENERAL SERVICES**  
RECORDS MANAGEMENT DIVISION  
7275 WATERLOO ROAD  
P.O. BOX 275 - JESSUP, MARYLAND 20794

AGENCY RECORDS INVENTORY

Page 1 Of 4

1. DEPARTMENT/AGENCY  
ENVIRONMENT

2. DIVISION  
WATER MANAGEMENT ADMIN

3. UNIT BOARD OF WATERWORKS  
AND WASTE SYSTEMS OPERATORS

DEFINITION - Records series - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.

4. RECORDS SERIES TITLE : CERTIFICATE HOLDERS' FILES

5. EARLIEST YEAR / LATEST YEAR

1968 TO Present

6. RECORD SERIES DESCRIPTION (Briefly describe the types of information/documents/forms found in the Series. Include the purpose or function of the Series).

These records include individuals who hold a current or expired temporary, operator's superintendent or limited certificate from the Board. A individual's record could include applications for certification in the various categories and classes, correspondence between the Board and the license holder, original transcripts from the individual's college or university, employment verification letters submitted on the applicant's behalf, the Board's application review sheet, copies of the certificates that the Board issued to the individual, correspondence and applications relating to the certification examinations, the certificate holder's applications for certificate renewal, information about training that the certificate holder completed to qualify for certificate renewal, information about any disciplinary action that the Board has taken against the individual, notes and telephone messages.

7. RECORD SERIES FORMAT(S)

Letter Size      Microfilm  
 Legal Size      Computer Tape  
Bound Book      Floppy Disk  
Audio Tape      Video Tape  
Other (Specify)

8. RECORD SERIES SEQUENCE

Alphabetical  
Numerical  
Chronological  
Geographical  
Other (Specify)

9. VOLUME

File Drawer(s)  
Microfilm Reel(s)  
Computer Tape(s)  
Other (Specify)  
28  
Number

10. ANNUAL ACCUMULATION

File Drawer(s)  
Microfilm Reel(s)  
Computer Tape(s)  
Other (Specify)  
1.0  
Number

11. FILE IS USED- an individual record may be used

Daily      Weekly      Monthly

12. FILE BECOMES INACTIVE AFTER: CERTIFICATE HOLDER FAILS TO RENEW

                          Month(s)      Year(s)  
Number

13. CURRENT LOCATION(S) (Bldg., Floor, Room)  
MDE Baltimore Central Office, first floor

14. IS RECORD SERIES DUPLICATED ELSEWHERE? (If yes, specify agency or office)

Yes       No

15. ACCESS RESTRICTIONS If yes, cite law(s) & regs  
 Yes      No  
FOIA, PIA and Educational Rights and Privacy Act of 1974

16. AUDIT REQUIREMENTS

None       State       Federal      Independent

17. IS AN INDEX SYSTEM USED? (If yes, explain briefly and describe any software/hardware)

Yes       No

RECOMMENDED RETENTION

Retain records in the office file cabinets. Review files annually, remove and destroy records concerning certificates that expired more than ten years prior to the review date. Information that a certificate holder attached to a renewal application as verification of training completion can be removed and destroyed following the first State audit that occurs at the end of the three-year period in which the training occurred.

19. NAME AND TITLE OF PREPARER  
Douglas H. John, Board Secretary

20. TELEPHONE NUMBER  
(410) 631-3167

21. DATE      October 18, 2001

**INSTRUCTIONS** -TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)

**DEPARTMENT OF GENERAL SERVICES**  
RECORDS MANAGEMENT DIVISION  
7275 WATERLOO ROAD  
P.O. BOX 275 - JESSUP, MARYLAND 20794

AGENCY RECORDS INVENTORY

Page 2 Of 4

**1. DEPARTMENT/AGENCY ENVIRONMENT**

**2. DIVISION WATER MANAGEMENT ADMIN**

**3. UNIT BOARD OF WATERWORKS AND WASTE SYSTEMS OPERATORS**

**DEFINITION** - Records series - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.

**4. RECORDS SERIES TITLE :** EXAMINATION FILES

**5. EARLIEST YEAR / LATEST YEAR**

1975 TO Present

**6. RECORD SERIES DESCRIPTION** (Briefly describe the types of information/documents/forms found in the Series. Include the purpose or function of the Series).

These records include the official examination results from the examination service, copies of examinations currently being used and archived copies of obsolete examinations.

**7. RECORD SERIES FORMAT(S)**

Letter Size      Microfilm  
  
 Legal Size      Computer Tape  
  
 Bound Book      Floppy Disk  
  
 Audio Tape      Video Tape  
  
 Other (Specify)

**8. RECORD SERIES SEQUENCE**

Alphabetical  
  
 Numerical  
  
 Chronological  
  
 Geographical  
  
 Other (Specify)  
By examination category

**9. VOLUME**

File Drawer(s)  
 Microfilm Reel(s)  
 Computer Tape(s)  
 Other (Specify)  

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4  
Number

**10. ANNUAL ACCUMULATION**

File Drawer(s)  
 Microfilm Reel(s)  
 Computer Tape(s)  
 Other (Specify)  

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<0.5  
Number

**11. FILE IS USED-** an individual record may be used

Daily      Weekly      Monthly

**12. FILE BECOMES INACTIVE AFTER:** N/A

\_\_\_\_\_  
Number      Month(s)      Year(s)

**13. CURRENT LOCATION(S)** (Bldg., Floor, Room)  
MDE Baltimore Central Office, first floor

**14. IS RECORD SERIES DUPLICATED ELSEWHERE?** (If yes, specify agency or office)

Yes       No

**15. ACCESS RESTRICTIONS** If yes, cite law(s) & regs

Yes      No  
FOIA, PIA

**16. AUDIT REQUIREMENTS**

None       State      Federal      Independent

**17. IS AN INDEX SYSTEM USED?** (If yes, explain briefly and describe any software/hardware)

Yes       No

**RECOMMENDED RETENTION**

Retain records in office file cabinets. Review files annually, remove and destroy examination results that are more than 15 years old, and any excess copies of obsolete versions of examinations

**19. NAME AND TITLE OF PREPARER**  
Douglas H. John, Board Secretary

**20. TELEPHONE NUMBER**

(410) 631-3167

**21. DATE** October 18, 2001

**INSTRUCTIONS** -TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)

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AGENCY RECORDS INVENTORY

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1. DEPARTMENT/AGENCY  
 ENVIRONMENT

2. DIVISION  
 WATER MANAGEMENT ADMIN

3. UNIT BOARD OF WATERWORKS  
 AND WASTE SYSTEMS OPERATORS

DEFINITION - Records series - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.

4. RECORDS SERIES TITLE : ADMINISTRATIVE FILES

5. EARLIEST YEAR / LATEST YEAR

1975 TO Present

6. RECORD SERIES DESCRIPTION (Briefly describe the types of information/documents/forms found in the Series. Include the purpose or function of the Series).

**These records include:**

**Examination contract records-** copies of contracts for examination services, correspondence between the Board and the examination service, telephone messages and notes.

**Board member's records-** appointment letter from the Governor, expense reimbursement requests, correspondence between the member and the Board, telephone messages and notes.

**Timekeeping records-** time sheets, medical slips from health care providers and leave cards

**General correspondence-** correspondence between the Board and individuals who have requested general information about operator and superintendent certification.

**Fiscal records-** daily and monthly reconciliation reports concerning monies received by the Board.

**Official Board meeting minutes**

**Board Disciplinary Actions-** correspondence between the Board and those involved in the disciplinary action, legal documents drafted by the Board, hearing transcripts, internal memos, telephone messages and notes.

7. RECORD SERIES FORMAT(S)

Letter Size      Microfilm  
 Legal Size      Computer Tape  
 Bound Book      Floppy Disk  
 Audio Tape      Video Tape  
 Other (Specify)

8. RECORD SERIES SEQUENCE

Alphabetical  
 Numerical  
 Chronological  
 Geographical  
 Other (Specify)

9. VOLUME

File Drawer(s)  
 Microfilm Reel(s)  
 Computer Tape(s)  
 Other (Specify)  
 1  
 Number

10. ANNUAL ACCUMULATION

File Drawer(s)  
 Microfilm Reel(s)  
 Computer Tape(s)  
 Other (Specify)  
 <0.5  
 Number

11. FILE IS USED- an individual record may be used

Daily      Weekly      Monthly

12. FILE BECOMES INACTIVE AFTER: N/A

\_\_\_\_\_  
 Number      Month(s)      Year(s)

13. CURRENT LOCATION(S) (Bldg., Floor, Room)  
 MDE Baltimore Central Office, first floor

14. IS RECORD SERIES DUPLICATED ELSEWHERE? (If yes, specify agency or office)

Yes       No

15. ACCESS RESTRICTIONS If yes, cite law(s) & regs  
 Yes      No

FOIA, PIA

16. AUDIT REQUIREMENTS

None       State      Federal      Independent

17. IS AN INDEX SYSTEM USED? (If yes, explain briefly and describe any software/hardware)

Yes       No

RECOMMENDED RETENTION

Per Records Retention and Disposal Schedule for each type of record in this record series.

19. NAME AND TITLE OF PREPARER  
 Douglas H. John, Board Secretary

20. TELEPHONE NUMBER  
 (410) 631-3167

21. DATE      October 18, 2001

**INSTRUCTIONS** -TYPE OR PRINT A SEPARATE FORM FOR EACH NEW OR REVISED RECORD SERIES. FORWARD WITH RECORDS RETENTION SCHEDULE (DGS 550-1)

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AGENCY RECORDS INVENTORY

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1. **DEPARTMENT/AGENCY ENVIRONMENT**

2. **DIVISION WATER MANAGEMENT ADMIN**

3. **UNIT BOARD OF WATERWORKS AND WASTE SYSTEMS OPERATORS**

**DEFINITION - Records series - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.**

4. **RECORDS SERIES TITLE : TRAINING PROGRAM FILES**

5. **EARLIEST YEAR / LATEST YEAR**

1983 TO Present

**6. RECORD SERIES DESCRIPTION:**

These records include information about individual training programs that the Board has approved or disapproved as acceptable continuing education for certificate holders. The records include applications for training program approval, agendas and other information about the training programs, correspondence between the Board and the applicant, copies of review sheets completed by members of the Board's Training Review and Evaluation Committee, internal communications between the Committee and the Board, notes and telephone messages.

**7. RECORD SERIES FORMAT(S)**

Letter Size      Microfilm  
  
 Legal Size      Computer Tape  
  
 Bound Book      Floppy Disk  
  
 Audio Tape      Video Tape  
  
 Other (Specify)

**8. RECORD SERIES SEQUENCE**

Alphabetical  
  
 Numerical  
  
 Chronological  
  
 Geographical  
  
 Other (Specify)

**9. VOLUME**

File Drawer(s)  
Microfilm Reel(s)  
Computer Tape(s)  
Other (Specify)  
9  
Number

**10. ANNUAL ACCUMULATION**

File Drawer(s)  
Microfilm Reel(s)  
Computer Tape(s)  
Other (Specify)  
0.5  
Number

**11. FILE IS USED-** an individual record may be used

Daily       Weekly       Monthly

**12. FILE BECOMES INACTIVE AFTER:** N/A

                          Month(s)      Year(s)  
Number

**13. CURRENT LOCATION(S)** (Bldg., Floor, Room)  
MDE Baltimore Central Office, first floor

**14. IS RECORD SERIES DUPLICATED ELSEWHERE?** (If yes, specify agency or office)

Yes       No

**15. ACCESS RESTRICTIONS** If yes, cite law(s) & regs  
 Yes      No

FOIA, PIA

**16. AUDIT REQUIREMENTS**

None       State       Federal       Independent

**17. IS AN INDEX SYSTEM USED?** (If yes, explain briefly and describe any software/hardware)

Yes       No

**RECOMMENDED RETENTION**

Retain records in the office file cabinets. Review records annually, remove and destroy records of training events that were held at least five years before the review date and will not be repeated.

Retain for 20 years records of training events that are being offered currently.

19. **NAME AND TITLE OF PREPARER**  
Douglas H. John, Board Secretary

20. **TELEPHONE NUMBER**  
  
(410) 631-3167

21. **DATE** October 18, 2001