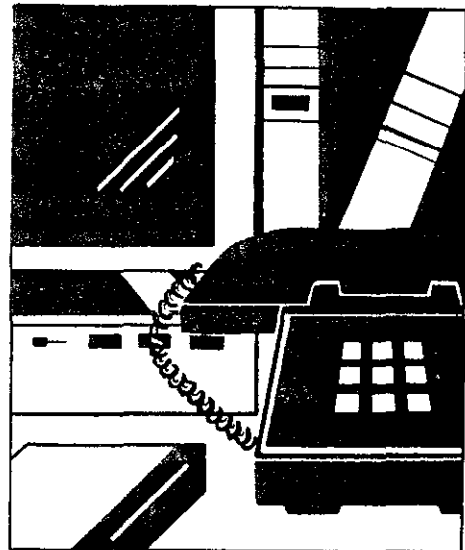# WELCOME TO RECORDS MANAGEMENT

The Maryland-National Capital Park
and Planning Commission

Montgomery and Prince George's Counties

"Records are the memory of an organization and a tool for sound decision making."

The Records Management Section was established to develop and maintain an effective storage and retrieval system for the Commission's official records. In effect, this unit is the Commission's "memory bank."

- Systems Development and Implementation
- Records Requirements
- Retention Scheduling
- Micrographics
- Indexing/Retrieval Systems
- Hardware Evaluation/Selection

- Records Inventory
- Vital Records Assessments
- Systems Implementation
- Quality Control
- Program Monitoring

This section is designed to protect the legal rights of the Commission and the public, establish an information system, and effect economies in the creation, maintenance and disposition of records. The Records Management Program includes: micrographics management, records retention, records storage, a "disaster recovery" program, and a complete inventory of Commission publications. The program is in compliance with local and state laws and regulations.

Examples of the types of records available are: all master plans, annual reports, budgets, transcripts of public hearings, and minutes dated back to 1927.

Most of this material has been reproduced on microfilm and a reader printer is available.

In making arrangements to use the Records Management files and facilities it is necessary to set up an appointment.

LOCATION:
Saddlebrook
12751 Layhill Road
Wheaton, MD 20906
Phone: 942-4859

RECORDS MANAGEMENT MANUAL

December 1992

Prepared by:
Department of Human Resources and Management
Management Services Division
Information Management Services
Records Management Services

RECORDS MANAGEMENT MANUAL

CHAPTER OUTLINE

GENERAL INTRODUCTION

Records Management is the application of systematic analysis and scientific control of records from their creation through processing, maintenance, protection, and final disposition. It is the management science of controlling the quantity, quality, and cost of records.

The Records Management Section was established to protect the legal rights of the Commission and the public, establish an information system, and effect economies in the creation, maintenance, and disposition of records. The records management program includes forms management, records management training for managerial and clerical staff members, records retention, records storage, official file of Commission publications, and compliance with local and state laws and regulations.

It is the purpose of this manual to outline standards and procedures for the management, retention, and disposal of public records by departments and offices of the Commission and to serve as a guide in the effective application of these standards and procedures.

CHAPTER 1

DEFINITIONS

Words and terms frequently used in records management work are listed alphabetically with general definitions as used in this MANUAL. Distinctions may be necessary ;n specific applications. All terms may not be included here.

ACTIVE (records), current working records or informational records to which frequent reference is made.

APPRAISAL (records), determining the value of records by studying their relationships and contents.

ARCHIVAL (records), or archives, (see Historical Records).

CONFIDENTIAL (records), those records which are so defined by law, or which are restricted to processing or use by specific individuals, and/or the contents of which require special protection.

DISPOSITION (record), a broad term meaning subsequent and/or final action on a record, including storage, transfer, disposal, or retention for microfilming.

ESSENTIAL RECORDS, records which are indispensable to the performance of essential Commission functions or the preservation of its legal rights.

FILES SERIES, a collection of documents, folders, or volumes arranged under a single filing system, or that are kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular form.

HISTORICAL RECORDS, those records of such significance to Commission or community development that they warrant perpetual preservation in original form.

INACTIVE RECORDS, closed files, or records of past actions to which reference is infrequent, and future informational value of which is negligible.

INVENTORY (records), an itemized list of records maintained at a given location or in a given department; also, the volume or period of a particular record or record series.

MICROFILM, a series of negative or positive images to smaller scale, produced by a photographic process; the process of reducing size or volume of paper records by microphotography.

NON-CURRENT MATERIAL, records or non-records which are no longer required in the performance of day-to-day duties or administrative activities.

NON-RECORD MATERIALS, or NON-RECORDS, printed books, magazines, newspapers and other library or museum materials made or acquired for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, stocks of publications, acceptances or refusals of invitations or engagements and other personal business of public officers, and such other categories as may be designated by the Hall of Records Commission from time to time.

PERMANENT (records), those records of enduring administrative, legal, fiscal, research, or historical value meriting indefinite preservation.

RECORD, regardless of physical form or characteristic, created or received by any department in pursuance of law or in connection with the transaction of public business, and preserved or deemed appropriate for preservation by that department or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, or operations of such department, or because of the informational data contained therein.

RECORDS CENTER, depositories established for housing non-current or inactive records, permanently, temporarily, or pending destruction, regardless of whether the records are hard copy or microfilm. A record center may also house archives.

RECORDS COORDINATOR, an employee of a Commission department, designated by the Records Manager to assist in carrying out the program in the department.

RECORDS MANAGER, the Commission employee responsible for developing and administering a continuing records management program for the records of each department of the Commission.

RECORDS RETENTION SCHEDULE, an itemized description of a record establishing retention periods and methods and disposition methods.

RETENTION PERIOD, the period of time for which a record must be retained in original or microfilmed form.

VITAL RECORDS: See "ESSENTIAL RECORDS".

CHAPTER 2

GENERAL INFORMATION

AUTHORITY:

The Records Management Section is responsible for the preparation of records retention schedules providing for the retention of Commission records of continuing value and for the prompt and orderly disposal of Commission records no longer possessing sufficient administrative, legal, or fiscal value to warrant their further preservation.

Records retention schedules and disposal certificates are developed to provide the basis of authority for retention and disposition of record materials.

Reports on the disposition of records shall be submitted to the Hall of Records by the Records Management Section.

APPLICATION OF RETENTION SCHEDULES:

All items, files, and file series defined as "records" shall be retained in accordance with approved retention schedules; no other method of disposition is authorized under the law.

OWNERSHIP OF RECORDS:

Records made in connection with the transaction of public business or in pursuance of law are public records and as such belong to the office, not to the officer; they are the property of the government and not the citizen; they are in no sense personal property of individuals.

RECORD MATERIALS:

A.   The Records Management Program defines the elements that are and are not essential in characterizing items or materials as "records". The following are records:

1.   Materials created or received by any department in pursuance of law or in connection with the transaction of public business.

2.   Materials that are preserved or deemed appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, or operations of the department.

3.   Materials preserved because of the importance and value of the information contained therein.

4. Records, as defined in the Program, must have at least one of the above elements.

B. Certain types of materials <u>are</u> <u>not</u> "records" as defined in the Records Management Program. These are called "non-records", or "non-record materials":

1. Printed books, magazines, newspapers, and other library or museum materials made or acquired for reference or exhibition purposes.

2. Extra copies of documents preserved only for convenience of reference.

3. Stocks of publications.

4. Acceptances or refusals of invitations or engagements.

5. Other personal business of public officers.

CHAPTER 3

VALUES OF RECORDS

AUTHORITY:

The Records Management section is responsible for establishing standards for effective management of Commission Records, providing for the retention of records of continuing value, and disposing of records no longer of value to warrant their further preservation.

GENERAL:

A. Records (items defined as having the necessary characteristics of records, have varying periods of usefulness. Some records outlive their usefulness within a short time of their creation. They have served their purpose when the transaction for which they were created is completed. Other records retain a value long after creation and/or their initial use is over.

B. Values should be considered progressively as they appear in evaluating or appraising records.

　　1. Values for administrative, legal, and fiscal uses.

　　2. Values for the protection of the civil, legal, property, or other rights of the Commission and/or the public.

　　3. Values for functional documentation.

　　4. Values for historical and research purposes.

ADMINISTRATIVE, LEGAL, AND FISCAL USE VALUES:

A. <u>Administrative Value</u> - Records are made as administrative aids in accomplishing the objectives for which the particular department or office exists.

B. <u>Legal Values</u> - Records are said to have legal value if they contain evidence of legally enforceable rights or obligations of the Commission.

C. <u>Fiscal Values</u> - Certain records pertaining to the financial transactions of the Commission and its departments have fiscal value, e.g., budgets, ledgers, allotments, payrolls, and vouchers. Some of these records retain their value for extended periods after the end of their immediate use, for protection against possible legal action or to account for the expenditure of public funds.

CITIZENS' RIGHTS VALUES:

The Commission, or certain departments, may be the "office of record" for specific civic, legal, and property rights of private individuals. The Commission is responsible for the preservation of the records for whatever period is necessary to protect these rights. The Commission is not responsible, however, for maintaining records that incidentally might contain evidence useful to private citizens or litigants in connection with the settlement of disputes in which the Commission itself has no interest, or for satisfying idle curiosity. The records responsibility for the Commission in relation to private citizens, then, is one of protecting rights rather than promoting private personal interests.

FUNCTIONAL DOCUMENTATION VALUE:

Records containing adequate and authentic evidence of a department's organization, functions, policies, decisions, procedures, operations, or other activities should be preserved. Foremost in this category are the following:

A.   Policy Records - relating to organization, plans, methods and techniques, or rules and by which the department carries out its responsibilities and functions should be preserved.

B.   Operating Records are the bulk of records accumulating in any department. They seldom evidence policy, organization, function, or procedure. A sample might be preserved to show how policies were put into operation, how procedures were followed, and how problems were met, which are not reflected in documents at the policy level.

C.   Housekeeping Records pertain to personnel, fiscal, procurement, and property control activities. These records contain little evidence of import to understanding the functions of the department. The evaluation of these records usually is affected by related records of the Personnel Office, Budget Office, and Finance Department. These records will be covered by retention schedules for these units.

D.   Information Records - Publications produced by departments generally fall into two categories:

   1.   Publications produced in the performance of substantive functions.

      Record copies of such publications should be retained only if basic to a proper understanding of departmental organization, functions, or policy formulation.

   2.   Publicity material produced for informational or promotional activities.

Record copies of such publications should be retained for possible inclusion in the archives.

RESEARCH VALUES:

A. Records appraisal for research value is based on the information contained rather than documentation. Appraisal must rest upon research values to the historian, political scientist, geographer, economist sociologist, statistician, and others.

B. Statistical Records are of continuing value only if they contain significant information about individuals, corporations, etc., preferably on a comparative basis. To be significant the information should be of such a character that it could not be obtained elsewhere and would have value for a diversity of studies.

   1. Masses of raw statistical data need not be preserved after the data has been extracted satisfactorily.

   2. Masses of unusable data need not be retained longer than necessary to determine their unreliable character.

   3. Masses of usable data seldom will be used at all if not used promptly.

   4. Masses of usable data should not be retained indefinitely on the chance that they may be some day employed.

   5. All these considerations apply still more to the data assembled on applications, registrations, and other administrative forms than they do to data assembled on regular questionnaires.

C. Scientific or Research Records containing data on experiments or investigations have a value based on their importance to the history of the program and/or the conduct of further research. Few Commission programs engage in the type of research contemplated by this category. However, to the extent that some Commission activities do, or might record such information, the material should be held for possible archival interest.

   Evaluation of all research-type records should consider, as discouragement to excessive retention:

   1. Research records may have significance for a particular case, application, or experiment only.

   2. Research records may be intelligible only to the persons who recorded or prepared them.

HISTORICAL VALUES OF RECORDS:

Narrative history has been characterized as an account of the way things didn't happen. The purpose of preserving important and unique documents is to provide future historians with the best account of how important things did happen; at least, the best that can be provided by present historical and research method. The most important factor in evaluating historical records is distinguishing between records of real historical merit and those which are nostalgic or at best interesting if evaluated on personal, limited, or current taste. A healthy concern for history encourages preservation for significant research; an unhealthy concern demands excessive preservations and exaggerates trivia or chance in historical designations. No standard can establish a precise balance point for the type, volume, and length of preservation for many public records. What is valueless today may be important tomorrow, and vice versa. The impossibility of precise standards requires statement of some general principles, however, to guide the identification and preservation of historical records in order to eliminate from perpetual preservation a host of items which satisfy only idle curiosity. These cannot be applied with absolute consistency. Final determination as to historical values usually are made by a trained archivist. Even then archivists may disagree, and prophecies as to what future historical scholars may need can be made only in the light of current knowledge.

AGE OF RECORDS:

The age of records alone is seldom the determining factor in establishing their historical values. Many old records are not historical and many current records may have considerable value for future historical research.

TYPES OF RECORDS:

Records of real historical value, or potential historical value, are more frequently found in some types of records than in others. Some general guidelines on the basis of type alone can be established for this purpose:

A.   Executive Records - The records of the departments and agencies of the executive branch of government constitute the largest volume of public records, and are those toward which most records management legislation and effort are directed. Most items of lasting historical merit probably will be found in the general files at the higher organizational levels.

Records of historical significance most frequently are kept and found in smaller record accumulations. This is because important documents seldom are widely distributed in their original form.

Important subject folders in correspondence files of officials are a good example of sources of historical documents in small volume (e.g., minutes of meetings).

B.   Legislative Records - All official legislative records i.e., those having a direct or indirect bearing on legislation, not minor correspondence, routine reports, housekeeping items, etc.) are determined to be of historical value until determined to be otherwise by approved Records Retention Schedules.

C.   Judicial Records - This pertains to the records of courts and therefore, we will not concern ourselves with this designation in discussing Commission records.

VOLUME OF RECORDS:

The volume of records alone bears no direct relationship to their preservation values for historical purposes.

A.   Control of volume preserved - Control must be exercised over the volume of records preserved. Most authorities and recent experience agree that a major problem lies in preserving too much rather than too little. "Even the most convinced advocates of conservation in the historical interest have begun to fear that the historian of the future dealing with our own period may be submerged in the flood of written evidence. The scholarly interest in records is often in inverse ratio to their quantity: the more records on a subject, the less the interest." (Quoted from a publication by the National Archives.)

B.   Reappraisal - Archival holdings require constant reappraisal of what experience has shown to be unrealistic accumulations. The assurance of routine reappraisal should not be used as a rationalization for clinging to accumulations of questionable or no historical merit.

C.   The volume of records which will filter into historical preservation will depend upon a department's activities, but some overall guidelines can be established:

    1.   Series of records rarely have historical significance.

    2.   Lone documents merit preservation no more than a series unless they are important or unique for other sound historical reasons.

    3.   Realism requires an overall maximum on permanent preservations of about one percent of currently produced records.

    4.   A small volume of records and well-selected documents is best for historical research.

5. The proportion of public records requiring permanent retention diminishes as other kinds of documentary materials increase in quantity (e.g., libraries, businesses, private individuals).

HISTORICAL IMPORTANCE OF RECORDS:

Importance and uniqueness are historical record characteristics which require item-by-item or group-by-group identification and preclude broad standards. Some points can be emphasized to eliminate detailed perusal of large quantities of materials which will yield little of real historical interest.

A. Importance

    1. Subject - is the subject of present or future historical importance?

        Records on the origins of significant governmental undertakings should be preserved, at least for further review.

    2. Document - Does the record document an important official action or event or provide insights into it?

    3. Persons - Do the records pertain to persons of historical significance individually or collectively, or to important social and community development?

    4. Other Factors - Records pertaining to significant things and events are sometimes historical.

B. Level of Government - The County level of government produces relatively few records of long-term historical interest in broad public programs. Historical interest in these programs generally will center at the State and National level and in summary or published sources. Some exceptions:

    1. Programs or program innovations in which the Commission has pioneered.

    2. Program applications which are unique to the program or which are not characteristic of counties generally.

C. Other Sources - The importance of retaining public records decreases as the number and variety of other sources of record information increases. Libraries, businesses, various organizations, and individuals themselves maintain information once available only at court houses and churches, if available at all. Record information for public preservation should be limited to significant items of general interest or general items of significant interest.

D.   Concentration - Records that represent concentrations of information are the most suitable for archival preservation, for archival facilities are almost always pressed for space to house records.

E.   Obviously Non-historical Materials - The following general groupings do not have the characteristics for perpetual historical preservation:

1.   Records which are merely old, interesting, quaint, different, unusual, or some other descriptive term which indicates preservation for rumination rather than research.

2.   Records which would require an exaggeration of trivia or chance to justify a designation of "historical".

3.   Records of, or pertaining to, particular individuals or employees held for retention on the gamble that a historian or researcher might some day find in the records a "missing clue" to some aspect of the life or career of an individual who later becomes famous.

4.   Records of genealogical value only.

CHAPTER 4

ESSENTIAL RECORDS
(INDISPENSABLE OPERATING RECORDS)

AUTHORITY:

Specific authority for separate and protected preservation of vital or essential records of the Commission is not assigned to the Records Management Section by law. This general responsibility for retention and storage of Commission records of continuing value infers the necessary authority to assure protection of essential records and documents.

PURPOSE:

This chapter establishes guides and standards for designating a record "essential" for purposes of duplication and special preservation against natural disasters or civil disorders.

GENERAL:

The exercise of prudence, as well as the Federal Civil Defense Act, requires that governmental agencies, as part of their emergency relocation planning, provide safe maintenance for records which are indispensable to the performance of essential governmental functions or essential to the preservation of legal rights of individual citizens. A major task, then, is deciding which are and which are not "essential" records.

APPRAISAL STANDARDS FOR ESSENTIAL RECORDS:

Standards of appraising essential records vary markedly from appraisal for retention purposes.

1.   Essential records must be appraised or evaluated only in regard to their importance in carrying out emergency functions or protecting legal rights.

2.   The selection of essential records is not concerned with the archival or research value of a file.

3.   Emergency operations may be carried out without telephones, files, easy transportation, and consultation.

4.   Records which have no lasting value may be vital in carrying on the job to be done at the outset of an emergency or under emergency conditions.

5.   Emergency operations may be carried out by others less acquainted with normal operations, and thus will be more dependent upon records

information than acquired knowledge. Records inadequate for use by others are inadequate for emergency purposes.

6. The temptation to earmark entire series of records for duplicating when only a few papers in the file are indispensable should be resisted.

7. Much of what most employees do from day to day would not be done in an emergency.

IDENTIFICATION OF ESSENTIAL RECORDS:

It is difficult to imagine the conditions under which emergency functions will be carried out; it is even more difficult to imagine which records will be vital in carrying out the job to be done under those conditions. In identifying essential records, there are a few types that almost every department or agency evaluates in the same way.

1. General Administration and Management

    a. Statements of mission in an emergency

    b. Plans and programs for carrying out this mission

    c. Delegations of authority

    d. Any pre-drafted regulations or announcements to be issued immediately upon the outset of an emergency

    e. Actions programs drafted in skeleton forms

    f. Information as to the whereabouts of vital operating records

    g. Information about agency personnel, property, and activities sufficient to provide a basis for damage assessments

    h. Security copies of basic legislation, regulations, and procedures; (many of these would be temporarily inoperative in an emergency)

2. Personnel

    a. Rosters of employees (in the form of a telephone directory or payroll copy)

    b. Rosters of employees' skills which may be useful during and after a disaster

      c.   Availability of employees for duty must be determined through a pre-arranged reporting system, since this cannot be known in advance

3.   Legal Rights: A distinction should be made between records which support legal rights re-establishable by affidavit and well known to those involved and records of legal rights maintained by the Commission as the statutory office of record, particularly if those involved are unlikely to know the details of the records. Some examples:

      a.   Equity of employees' in retirement funds

      b.   Earned leave records

      c.   Land records

4.   Fiscal

      a.   Periodic summaries of financial status

      b.   Records of significant amounts of money due the Commission

      c.   Records of certain debts owed by the Commission (e.g., bonds, purchasing and procurement records generally would not be considered essential records for preservation by government, there being an assumption that the seller should preserve what is needed to prove his claim)

      d.   Records of loans made by the Commission, if any

5.   Public Services

      a.   Engineering drawings

      b.   Explanations of complex utility processes

      c.   Lists of supplies of items and materials not everywhere available

      d.   Maps, showing locations of utilities, distances, etc.

ANALYSIS OF ASSIGNED MISSION:

A.   Determination of indispensable records for activities peculiar to individual agencies must be made by the department in the light of the emergency mission for which it is responsible.

B.   The records designated as essential will be influenced greatly by whether:

1. The emergency mission is simply a continuation of a normal, non-emergency program under emergency conditions, or,

2. The emergency mission is a new or differing program which is not a normal function of any existing agency.

C. For emergency missions which largely are continuations of a normal program, the agency will need security copies of these records showing the current status of the program.

1. Location of stocks of medical and other supplies

2. Records and plans of building construction

Items essential under 2 and 3 above are those vital for repair and rescue work as well as for determining the relative safety of structures still standing.

3. Records and plans of public utility systems

4. Summary information necessary to continue and expand a going program.

D. For emergency missions administering a program which is not a part of normal Commission functions, the agency will want to safeguard:

Background material as to how the work was done in previous emergencies or how it should be done. These materials often are available in printed or published form. They are important in getting the program off to a fast and effective start.

a. Forms used, reports required, regulations, and procedures.

b. Critical evaluations of the success of comparable prior programs.

CHAPTER 5

DISASTER RECOVERY PROGRAM

Every business and industrial facility should be prepared to cope with the hazards and disasters of today's complex world. Storms, fires, explosions, sabotage and civil disturbances, all pose continuing threats. Without a current emergency operations plan that details who, what, when and where, complimented with operating procedures for coping with emergency situations, the capability to respond and recover form an emergency could be seriously impaired.

A.   Are You Ready for Disaster?

Is your facility (plant, shop, office building) ready for disaster? How should you prepare? What kind of disasters might occur? Floods? Hurricanes? Explosions? These are only a few of the questions which must be answered in order to develop and implement an effective plan to cope with such disasters.

In analyzing and assessing the vulnerability of individual facilities, you must consider environmental, indigenous, and economic factors. These-are bases for:

1.   Estimating the likelihood of damage, either by direct effects or by indirect effects resulting from dependency on a facility damaged elsewhere;

2.   Making plans for protective measures within individual facilities or complexes of facilities to minimize damage and casualties; and

3.   Reviewing insurance policies for liability and coverage.

For planning purposes, you must assume that most disasters considered likely will arrive with very little warning, have a rapid development, and have a potential for substantial destruction. The likelihood that the kinds of disaster events cited would ever strike your company may be very small; but you should have the capability to react, cope with, and recover from any emergency situations that could occur at your location. The following discussion of specific hazards also includes some survival tips for protecting people, equipment, and other company property from the direct effects of these hazards.

B.   Preseason Storm Preparedness Measures

For those areas that experience seasonal storms such as hurricanes, tornadoes, heavy snow or icing conditions, and flooding, make the following preseason preparations as appropriate to the size of your facility:

1.   Contact your local government or the National Weather Service and learn winter storm warnings that pertain to your areas.

2.   Inform employees of storm safety rules.

3. Establish a system for early release from work and "employee stay-home" announcements.

4. Designate flood evacuation and snow emergency routes and place identifying signs within the yard areas of the company facilities.

Flooding

If your community has a history of recurring floods, the community's minimum requirement is to establish continuing communications with the National Weather Service. For example, flood forecasts and warnings should be telephoned to the local police headquarters or some other centralized facility at agreed-upon periods. The location of your office with respect to potential flooding is critical and planning must be done accordingly. Therefore, you should contact your local and/or State Emergency Management Agency to determine vulnerability of your office's location and to obtain information and maps, where appropriate, and other details pertaining to flood plains and other flood prone areas.

Move Records and Equipment. Placing items up off the ground onto shelves and tables may provide enough clearance to prevent damage from minor flooding. In multistory buildings, items can be moved to an upper level. Relocation to another facility may be required if the expected flood water elevation will be more than 2 or 3 feet above the facility's floor level. In new construction, key pieces of equipment, such as emergency generators, can be located above an expected flood water elevation by steel support legs, by bolting to wall supports, or by placement in upper stories or on roofs. Quick-disconnect electrical plugs can be installed to permit rapid removal and reinstallation of larger machinery.

Facility Fires

Because prompt and well directed action can be decisive in escaping a major fire loss, it is important to have in place an organization to prepare for and conduct emergency functions. The size, style, and makeup of your office's emergency organization will depend on many factors such as building size, the hazard present, the type and condition of available fire equipment, and the nearness and reliability of the local fire department.

The biggest single need usually is not personnel and equipment. Most often it is the ability to respond quickly and to confine the fire to manageable limits before it reaches the disaster stage. This calls for a prefire plan of action for mutual aid response by existing local fire organizations. Where such plans exist at the time of a large fire, the emergency usually is manageable, with life and property loss held to a minimum. For the safety of employees, install a fire alarm system with automatic notification to the local fire department and smoke detectors; adequately mark fire escapes and assure that they are accessible at all times; post evacuation plans in prominent areas throughout the building; conduct periodic fire drills; and install a fire suppression (water sprinkler) system where practical.

Hazardous Materials

Several thousand chemicals and other hazardous materials in daily use can cause an emergency which would affect a substantial number of employees and others in the neighborhood of the facility. These effects could include massive injury to the eyes, respiratory system, and skin; massive contamination of a community; explosions; and fires. Facility officials should ensure that extreme care is taken in the use of hazardous materials in all processes, production stages, storage, and shipment. Management should also be aware of their use in neighboring facilities.

Post throughout the building a plot plan indicating the location, hazardous properties, and characteristics of individual chemicals and their potential hazardous reaction to each other. Your plot plan will organize most of the basic information needed to make response decisions for onsite hazards and will be valuable for both planning and for operations when an incident occurs. Provide a copy of this plot plan, including location of storm drains, shutoffs, hydrants, etc., to the local fire department along with a company calldown list of who to notify during an emergency in nonworking hours.

C.   Identifying and Protecting Vital Records

VITAL RECORDS--those necessary to ENSURE THE SURVIVAL OF BUSINESS constitute a small part of a company's records, usually no more than 2 percent. Therefore, it is important that vital records be given maximum protection from every disaster. Indeed, for some businesses the information contained in their records is the single most valuable asset. The loss of processing and trade secrets, drawings, formulas, and the like could easily end a prospering business.

What Records are Vital?

What records must a company have in order to function? This varies depending upon the type of business; i.e., manufacturing, financial, institutional, and so forth. But there are certain fundamental records vital to any corporate organization; for instance, the incorporation certificate, the bylaws, the stock record books, ownership and leasing documents, insurance policies, and certain financial records.

Selecting Records to be Protected

The vital records protection program is an administrative device for safeguarding vital information, not for preserving existing records. Management begins to protect vital records by systematically determining what information is vital and which records contain this information. If a record contains vital information, it should be protected against every possible peril. But, if a particular record does not contain vital information, it has no place in the company's vital records protection program--even though it may have other value to the company.

The following procedure is suggested for analyzing a company's vital records:

A middle management project team analyzes a company's vital records information needs in four steps. (The logical team leader is the company records manager.)

Step 1. The project team classifies company operations into broad <u>functional</u> categories. These categories will be different in each company, but in general they should include at least:

Finance: bill payment, account collection, and cost accounting.

Production: research, engineering, purchasing, and related activities.

General Administration: personnel, legal, tax records, public relations, and similar staff activities.

Step 2. The project team determines the role of each function in an emergency. Not every current company function and activity will be essential to prompt postdisaster recovery. Some activities must be suspended during the recovery period; some can be eliminated completely despite possible inconvenience. If elimination or curtailment of an activity after a disaster will restrict the company's ability to restore some essential aspect of its operations, then that activity is vital; the information needed to maintain it is also vital and should be protected.

Step 3. The project team identifies the minimum information that must be readily accessible during a postdisaster emergency to assure that vital functions perform properly. For instance, to stabilize customer account collections, it may be necessary to have the most recent account statement of the outstanding balance at the time of the disaster as well as a record of subsequent purchases and payments. Or, to clarify field parts inventory conditions, it may be necessary to have access to a copy of the most recent sales agents' reports. (This step may disclose that some of the records needed in an emergency are not created in the routine of daily business. In such a case, a system should be developed to assure that these records are available for possible postdisaster use.)

Step 4. Finally, the team identifies the particular records that contain this vital information and the departments in which they are, or should be, maintained.

In today's society, the majority of vital information is processed by computers and captured on the distinctive media associated with electronic data processing or on microfilm. In some businesses, however, certain vital information must be maintained as hard copy paper records. The same planning considerations should be given to protecting both kinds of vital records.

<u>Protecting Vital Records</u>

Vital records may be protected by dispersal of duplicated copies or be secured in protected onsite or offsite storage. The dispersal of duplicate vital records lends

greater assurance that the information needed to reconstitute the business after a disaster would be available in an undamaged location. While onsite storage in fireproof files, vaults, or safes may be acceptable for temporary storage of vital documents and records, a significant disaster could damage or destroy the buildings. Offsite storage in a vital records facility located outside the risk area offers the advantages of quick retrieval from a single location, security, air and humidity control, and trained staff.

Prior to determining the best method for protecting vital records, consider the hazards to which your site, buildings, and computer equipment are vulnerable and the consequences an emergency resulting from these hazards would impose. Figure 3 lists some of the possible consequences that could be expected from individual hazard threats.

Safeguarding Vital Computer Information and Records

Effective protection of vital computer information is more complicated than safeguarding paper vital records for the following reasons:

1.   Formerly dispersed information is consolidated, which intensifies its exposure to possible destruction or compromise. Paradoxically, this consolidated information becomes, through remote data transmission equipment, more accessible to more people. Greater accessibility to this information means greater chances for compromise and the introduction of error.

2.   The data processing medium is extremely vulnerable to a wide variety of perils; fire, water, dirt, static electricity, transients (surges) over electricity and telephone lines, and hazardous chemical gases, to name a few. Even a sharp blow through careless handling can rearrange and render worthless the magnetic data impulses that it records.

Other reasons why effective protection of the vital information is complicated are:

1.   Information transmitted over a distance for remote computer processing or handled by a computer service bureau is out of the company's direct control and custody for an extended period of time.

2.   The computer and the physical area in which it is located must be protected along with the vital information which is so closely linked to it.

3.   The adequacy and validity of the programs used to process this information and related computer operations documentation must be safeguarded to assure the usefulness, currency, and accuracy of the basic information.

Much of what already has been said about selecting and protecting vital records applies to records processed by a computer. Many of the general measures taken to protect vital data processing operations and records are measures that ordinarily should

be taken to assure the general efficiency of the computer and its use by the company. However, procedures used to protect vital data processing records must be compatible with the information system design policies and the computer programming concepts used by the company.

In protecting paper or microfilm vital records, it is necessary to safeguard only the record itself. In contrast, in protecting vital data processing records there are three distinctive elements: (a) the computer facility, (b) the physical data processing media, and (c) the inherent integrity of the information itself.

If the computer facility is located in an urban high-rise controlled-environment building, consider the possible fire effects of two basic building construction features: (a) Heat circulation openings between the exterior and interior building walls may encourage fire to spread by breaching fire walls, and (b) sealed windows may intensify heat buildup by offering no openings through which it might dissipate naturally.

Safeguarding Data Processing Media

Data processing tapes and disks containing vital information may be protected by placing them in specially insulated records containers which have been approved by Underwriters Laboratory for temperatures up to 150°F. Underwriters Laboratory does not certify a fire door that will protect the contents of a records vault or file room at 150°F during a fire. Thus, data processing media containing vital information can only be physically safeguarded by placing them in specially insulated records containers.

Vital records magnetic tape files and the computer programs used to process them can be provided with additional protection by copying them in card image form onto duplicate tape reels to be dispersed for storage at a geographically remote company operating location. The principles behind protecting paper vital records by dispersal apply here as well. To avoid possible fraud, these dispersed tapes should be placed in the custody of the internal auditor at the location where they are stored. Where data files are updated periodically, three generations of the file can be retained—the current version and two previous ones. The grandfather (oldest) version of the vital records file is stored offsite until replaced by a later version. When the vital information file is maintained on a disk file, a snapshot (complete copy of its contents at a specific time) is made periodically by copying file content onto a tape. The two oldest snapshot tapes are stored offsite until replaced in turn by later snapshots. In both instances, these offsite stored tapes can be used with related transaction records to reconstruct files damaged in a disaster or by computer processing error.

Assuring Information Integrity

The integrity of computer processed vital records is maintained by limiting data access to authorized users and then by careful control over data input and user file access, program content revisions, and computer facility operating practices. In each of these areas, some protection will be provided by normal data processing management practices. However, special attention should be given to their impact on computer

processed vital records.

1. <u>Input and file access</u>. Input data editing routines can be designed to detect and automatically reject spurious information. Vital records processing programs also can be designed to limit selectively user access to key file segments and to restrict user ability to modify certain types of information in the file. In addition, the resident supervisor or operating system program should maintain a log inaccessible to assigned computer operators. This log should routinely record programs processed, files used, computer operator assigned, and travel use rate and elapsed time. Where the computer facility services a data transmission network, this log also should record user terminal identification, and the type of inquiry made. Computer facility supervisors and company security officers should review the log jointly at least once weekly and investigate questionable inquiries and apparent irregularities.

2. <u>Program content revisions</u>. Computer programs used to process vital information should be fully documented. A current copy of this documentation should be stored offsite with the dispersed file copy tapes. Programs purchased or leased from another company should receive protection equal to that given to company-developed programs. Programs from outside sources may have been adapted in some way to the company's specific data processing needs. Documentation incorporating all the necessary features for such an adapted program may be difficult or impossible to obtain from the supplier on short notice. Company computer facility operating policies will determine full documentation file content, but the program segment of it should encompass at least the following: A plain English narrative description of what the program does; definition of transaction content; block or program logic diagrams; decision tables source coding; assembly listing; a register of checkpoints, error messages, interruptions, together with restart and recovery instructions; and a description of input, output, and transaction processing controls.

D. <u>Major Planning Considerations for Emergency Operations</u>

From the foregoing and your own deliberations, it is apparent that the development of an emergency operations plan involves a variety of activities that cannot be defined here altogether explicitly. Certain planning considerations (direction and control, alert and warning, and the protection of employees and company equipment and facilities) will require attention whatever the emergency. These planning considerations tend to be interwoven with variations that depend somewhat on the particular combinations of hazards that threaten the company. For planning to be truly comprehensive, it must be based on the considerations cited, with additional attention given to unique characteristics of pertinent hazards.

Successful emergency and disaster preparedness is the business of dealing with whole sequences of undesirable events. While in some instances all you may be able

to do is warn personnel to hasten evacuation and attempt to get more outside help, it is valuable to recognize as many of the potential complications that might arise as possible.

Evacuation. The goal of this function is to evacuate people and move resources (equipment, supplies, inventory) out of threatened areas. Evacuation is an expedient option that depends on sufficient warning time to get away from an impending disaster. An assortment of evacuation options should be available to the decision maker that are tailored to the different types of hazards. The plan should establish clear and detailed procedures for carrying out complete or partial evacuations from buildings, the facility site, or an entire area in an organized and consistent manner. While the functional procedures for an area evacuation include ingredients of a major plan, they are an integral part of the company's overall emergency operations plan. Therefore, it is very important that evacuation planning be coordinated with all other elements of the company emergency operations plan as well as with the government authorities in the respective communities involved.

_____ Identifying the individual responsible for issuing evacuation orders and how they will be announced?

_____ An alternate EOC site to serve as a backup if the primary EOC is not able to function?

_____ Identifying the personnel assigned to the EOC for emergency operations?

_____ Describing EOC functions, layout, concept of operations, duties of staff, use of displays, and process to bring the EOC to full readiness on a 24-hour basis?

_____ Protecting resources (essential personnel and equipment) during disaster situations?

Emergency Services. Implementation of the plan depends on the availability of trained personnel. Emergency services for security, firefighting and rescue, medical and health, and engineering should be geared to the size and complexity of the facility involved and to the problems likely to arise. In many business and industry firms~ emergency duties can be assigned to teams from the regular company organizations. In this guide the individuals that perform emergency services are identified as emergency response team (ERT) members. They form the nucleus of the operating forces that will be called upon to accomplish vital jobs during an emergency. ERT duties may require one or two individuals at a small facility or involve several dozen people in a large organization. (It is always safer to have teams of two or more.) Large size is not necessary to be effective--preparations for the functional response is necessary. Two major benefits derive from an ERT: a faster response time and a greater technical knowledge of the company's facilities, processes, and materials. The latter attribute will enable the ERT to deal with emergency tasks with optimum effectiveness. ERT members should develop quick reaction checklists for their specific tasks in the event of an

emergency. The ERT's collectively perform the services that allow the company to react to and recover from disaster events. The teams also are involved in implementing evacuation operations.

Emergency Information. This functional activity should increase employee awareness of hazards and provide active channels for informing and advising them about appropriate actions before, during, and after emergencies. Effective collection and dissemination of information will help to control rumors and minimize dysfunctional responses. Plans for developing and disseminating information materials on preparedness, safety measures, evacuation procedures, etc., should be covered. Consideration should be given to establishing procedures for dealing with the media during an emergency in case the company's facility is affected by a disastrous situation.

_____ Direction and control of ERT personnel during operations?

_____ Designating a representative for each ERT to report to the EOC to advise decision makers, to coordinate with other operating forces, and to direct and control the team response?

_____ Storing fire control equipment where it will be accessible despite direct hazard effects (earthquake, fires, etc.)?

_____ Assuring that team members know how to operate rescue equipment?

_____ Advising decision makers about the risks associated with hazardous materials?

_____ Arranging transportation for vital records, supplies, and equipment.

_____ Ensuring that vital records are evacuated?

_____ Identifying critical equipment to be evacuated and explaining how and by whom it will be moved?

_____ Describing the alerting and communication systems for signalling impending or immediate evacuation for each type of evacuation your facility requires?

_____ Identifying and protecting valuable and sensitive tools, instruments, machinery, and materials? Precious metals, original drawings and blueprints, and vital records should be placed in locked storage or moved to safer locations if needed and time permits.

_____ Precautions, as necessary, to protect equipment during shutdowns and to preserve it over extended periods of nonuse?

_____ Maintaining drawings showing locations of utility key valves, switches, feedlines, and hazardous areas?

_____ Backup electrical power to the EOC and essential production lines?

_____ Preparing and maintaining a resource list that identifies source, location, and availability of earthmoving equipment, dump trucks, fuel, etc., to support disaster response/ recovery operations?

_____ Damage assessment reports?

_____ Restoring utilities to critical and essential facilities?

_____ Postdisaster repairs and restoration of facility and

_____ Sanitation services for emergency facilities?

_____ Maintaining adequate water supply after shutdown for drinking, firefighting, decontamination, and sanitation?

General. (The following may not be applicable to every emergency service.)

Does your plan or checklist have provisions for:

_____ Maintaining current notification/recall rosters for each ERT.

_____ Obtaining appropriate equipment, and protective clothing (as necessary) for ERT members to perform emergency tasks in a hazardous material, chemical, environment?

_____ Assuring that ERT members understand how and when to use response equipment, and protective clothing?

_____ Establishing a routine for team members to check for contamination

_____ Standard operating procedures for each response team describing how the team will accomplish its assigned tasks and how it will deal with the various hazards?

_____ Entering into mutual aid agreements with other private sector companies, State and local government service agencies, and volunteer agencies?

_____ A plot plan (site plan, map of buildings and grounds) including: Utility shutoff locations; water hydrants and mains; storm drains and sewer lines, fences, gates; natural gas, chemical pipelines; name of each building; and street names and street number directions?

_____ A building plan (floor plan for each building) including: room layout indicating the materials to be typically found in each room or area, with notes on quantities and storage container; alarm (and detector) locations-- with file on equipment specifications and maintenance; fire extinguisher locations; exits, stairs, elevators, escape routes; sprinkler layout and control point; HVAC system control point (mechanical room, boiler room) and notes on control for smoke ventilation and air distribution system; and notes on type of construction of walls, floors, and roof?

THE DISASTER AREA

1. Fire extinguisher should be available.

2. Reduce temperature to 50-60 degrees and 40% relative humidity. Do not add heat until air circulation and dehumidification has been established.

3. Fungal and bacterial organisms and the fumigants are health hazards.

4. Precautions such as vaccinations, respirators, face masks, and safety clothing may be necessary.

5. Remove contaminated materials from the area.

6. Fumigate any records that show signs of mold or fungus.

7. Remove wet furniture, rugs and trash as soon as possible.

8. Stop flow of water.

9. Remove all magnetic media and determine location of back-up.

10. Photographic records should be closed off and installation of gas extinguishment system. (Halon).

11. Be careful of hazardous contamination; asbestos insulation and electrical systems and fixtures containing PCB's. IF CHEMICAL CONTAMINATION OCCURS-EVACUATE AREA UNTIL AUTHORIZED TO RETURN.

FIRE DAMAGE

1. Caution when opening file cabinets. There is danger of delayed ignition and flash flames (up to 3 days later).

2. Fragile records-enclose in mylar folder and copy on office copier, then discard original.

3. Magnetic images can be distorted or obliterated by levels of heat and moisture.

4. Buy fireproof storage units that are rated for magnetic media.

5. Prevention-Clean equipment regularly, keep area dust-free and do not store paper near equipment. Do not store combustible material in the area.

6. Check media labels for legibility.

7. Prepare damage assessment report.

8. Dry tapes-drain excess water from reels, check the hubs, separate tape flanges and hand dry with lint-free cloth.

9. Clean media. Use tape cleaner, never use a tape drive. Remove cleaning blades from cleaner.

10. Temperature of 125-300 degrees (fire) can cause serious damage.

11. Ashes and smoke are harmful to media and equipment.

12. Do not use fireproof file cabinet for magnetic media.

WATER DAMAGE

1. Will damage photographic, magnetic media and data proc. equip.

2. Contaminants result from mud, smoke and residue.

3. Recovery not always successful.

4. Vital records should always be stored away from originals; back-up disks and media.

5. Never use water-soluble pens esp. with accounting records.

6. Do not use inexpensive magnetic media.

7. Check quality and stability of paper and printing methods.

8. Steel file cabinets do not provide protection.

9. Fireproof cabinets protect paper not photographic & magnetic medias.

10. Irreplaceable records should be stored in one-hour fire-resistant file cabinets.

11. Freezing data buys you time but does not dry.

12. 48-60 hours to complete salvage of wet records-without having to cope with restoration problems.

13. 60-72 hours-bacterial & fungal growth are likely.

14. Fiche dupes prior to 1970 cannot be restored.

15. Within the first 24 hours photographic materials will become sticky and adhere to each other-color dyes will begin to fade.

16. Magnetic media can not be used until cleaned and dried and their protective coverings or containers replaced. Rust may appear.

17. Water spots can cause equipment damage and loss of data.

18. Fungal growth will destroy media and cause loss of data.

19. Water will damage file cabinets.

20. After 2-3 hours the breakdown damage begins.

21. Wet records are heavy-caution opening file cabinets.

22. Wet records expand and deform file cabinet.

23. Move into dry area - spread to dry.

24. Give color film the highest priority - clean & dry immediately.

25. Keep film wet and after 60 hours freeze.

26. Add formaldehyde to water to stabilize emulsion layer of film and to inhibit mold formation.

27. Add salt to water to strengthen emulsion layer.

29. Add ice to water to keep below 67 degrees - DO NOT USE DRY ICE.

30. Wash off mud and other contaminants.

31. Keep film wet while transporting it to lab.

32. Inks used 011 mylars are vulnerable to damage.

33. Blueprints and sepias are water soluble.

34. Original linens will lose sizing and dissolve inks and dyes. KEEP IN PLASTIC ENVELOPES.

DISASTER RECOVERY HANDBOOKS

1. Federal Emergency Management Agency (FEMA), <u>Disaster Planning Guide for Business & Industry</u>, Washington, DC, 1987.

2. Peter Waters, <u>Procedures for Salvage of Water-Damaged Library Materials</u>, Washington, DC, 1975.

3. Julia N. Eulenberg, <u>Handbood for the Recovery of Water Damaged Business Records</u>, Prairie Village, Kansas, 1986.

CHAPTER 6

NON-RECORDS

AUTHORITY:

Non-record materials may be disposed of by the public official having custody of them when deemed no longer necessary for the operation of the office.

NON-RECORD MATERIALS:

A.   Materials defined by law as non-record are listed in Chapter 5, <u>General Information</u>. In clarification of, and not in expansion of, the general categories of non-records established by law, the following items are administratively determined to be "non-record":

    1.   Printed books, magazines, newspapers, and other items received for informational purposes and retained for reference purposes only, regardless of the source from which purchased.

    2.   Other materials made or acquired for reference or exhibition purposes, including displays, posters, maps, charts, models, and pictures which are not of documentary or historical significance.

    3.   "Reading file" copies of correspondence.

    4.   "Tickler," "follow-up," or "suspense" copies of correspondence.

    5.   Duplicates of documents maintained in the same file or series of files.

    6.   Extra copies of printed or processed materials of which official copies have been retained for record purposes.

    7.   Extra or carbon copies of documents or correspondence prepared for informational purposes or circulation, the original of which may be assumed to be in the appropriate official files (e.g., sender and addressee).

    8.   Stocks of publications, processed documents, and forms in excess of reasonably projected needs, whether the stocks result from purchase or are Commission initiated.

    9.   Privately purchased books, publications, correspondence, and other records and materials pertaining to personal matters.

B. Materials not appropriate for preservation because they lack documentary and/or informational value might include items which are accumulated ;n processing or producing records, but do not acquire record character themselves. The following ordinarily may be considered non-records:

1. Preliminary or intermediate drafts of letters, memoranda, reports, maps, or other papers, and preliminary worksheets and informal notes that do not represent significant or basic steps in the preparation of record copies of documents.

2. Letters of transmittal which do not add any information to that contained in the transmitted material. (The use of letters of transmittal is discouraged; noting the date of transmittal on the sender file copy should suffice. Letters of transmittal, and particularly descriptive ones, tend to detract from the transmitted material and reduce likelihood of Its perusal.)

3. Memoranda or other papers that do not serve as the basis or as significant steps for official actions.

4. Shorthand notes, including stenographic notebooks and stenotype tapes which have been transcribed or will not be transcribed.

5. Informal memoranda, informational memoranda, or other documents which do not serve as a basis for official action.

C. The most difficult area in distinguishing records from non-records is that of carbon or extra copies of documents. Two questions should be applied:

1. How important is it?

2. Is the original readily obtainable elsewhere?

SEGREGATION OF NON-RECORD FROM RECORD MATERIALS:

Department personnel are responsible for establishing and maintaining files in such a manner as to segregate easily non-record from record materials.

AUTHORITY TO DISPOSE OF NON-RECORDS:

Non-record materials may be disposed of when deemed no longer necessary for the operation of a particular department by the Department Head and the Records Management Section. Heads of departments and such subordinate personnel as may be designated by them, are authorized to dispose of all non-record items in their custody, subject only to individual department requirements and such Commission requirements as the Records Management Section may determine.

NON-RECORD RETENTION SCHEDULES:

Items and files determined to be "non-record" are exempt from the legal requirement of retention schedules.

PERIOD OF NON-RECORD RETENTION:

Non-record materials usually should be disposed of immediately upon expiration of their usefulness for reference or informational purposes.

CHAPTER 7

RECORDS SCHEDULING

AUTHORITY:

The Records Management Section has express responsibility for the preparation of records' retention schedules for the retention and disposal of Commission records.

The Records Retention Schedule is a legal document authorizing specific disposition at special intervals, and in most cases requiring it. Its approval assumes disposal of inventories in excess of those authorized, and emphasis is on continuing application. The Records Retention Schedule, therefore, will be prepared by the Records Management Section and will contain no reference to inventories other than annual accumulations. Proper completion and action on the Records Retention Schedule are the basic elements of the records retention aspects of the Records Management Program.

MARYLAND NATIONAL CAPITAL PARK & PLANNING COMMISSION-ADMINISTRATION

AGENCY		DIVISION

Item No.	Description	Retention
	This is our 1990 Retention Schedule attached for your approval. Original Records can be destroyed after microfilming or after the retention period has expired. All microfilm will be retained permanently. Transfer permanent records no longer needed by Maryland National Capital Park & Planning Commission to the Maryland State Archives.	

Schedule Approved by Department, Agency, or Division Representative

5/23/90   _Signature_   E.D.

Date	Signature	Title

Schedule Authorized by

8/21/90

Date	State Archivist

Fig. 8

DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
NOTE: *ALL RECORDS NOT LISTED ARE CONSIDERED NON-RECORD COPIES AND MAY BE DISPOSED OF WHEN NO LONGER NEEDED.*				
1 General Correspondence File	Retain permanently all correspondence pertaining to the policy and history of the Commission.	Dept./Div. Head Office	Dept./Div. Head Office	Dept./Div. Head Office
File consists of original incoming, copies of outgoing and information copies of letters, memoranda, bulletins, reports and other material arranged by subject.	Any other files (day files, tickler, correspondence) should be kept 1 year.	All Staff	All Staff	All Staff
2 Agenda and Minutes				
Contains proceedings of meetings.	Retain permanently on microfilm.			
- Planning Board	Retain permanently on microfilm.	Chairman's Office		Chairman's Office
- Park Commission	Retain permanently on microfilm.	N/A		Chairman's Office
- Executive Committee	Retain permanently on microfilm.		Executive Dir. Office	
- Commission Meetings	Retain permanently on microfilm.		Executive Dir. Office	
- Dept. Head	Retain permanently on microfilm.		Executive Dir. Office	
Employee Management Conference Board	Retain for 5 years in office.		Executive Dir. Office	
Employee Advisory Council	Retain for 5 years in office.		Executive Dir. Office	
- Closed Sessions (of above listed meetings)	Retain permanently.	Chairman's Office	Executive Dir. Office	Chairman's Office

DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
- Back-up Files (notes and supporting documents relative to the business of each meeting.)	Retain for 6 months in office.	Chairman's Office	Executive Dir. Office	Chairman's Office
- Public Hearing & Meeting Tapes	Retain until transcribed, then re-use.	Chairman's Office	Executive Dir. Office	Chairman's Office
3 Financial Disclosures				
5.70 - Commissioners	Retain permanently.	Chairman's Office		Chairman's Office
5.71 - Appointed Officials & Employees - Public Financial Disclosure Statements - Confidential Disclosure Statements	Retain permanently.	Dept. Head Office	Executive Dir. Office	Dept. Head Office
4 M-NCPPC Publications This file contains the record copy of documents of presumed lasting value produced by, for, or about the Maryland-National Capital Park and Planning Commission.	Retain 1 copy on microfilm.		Budget & Mgmt. Office (Records Mgmt.)	
5 Transcripts of Public Hearings	Retain permanently on microfilm.	Chairman's Office	Budget & Mgmt. Office (Records Mgmt.)	Chairman's Office
6 Certificates of Records Disposal Certificates of record disposal are filed with the Records Management Division of the State of Maryland. One copy is kept in office.	Retain permanently on microfilm.		Budget & Mgmt. Office (Records Mgmt.)	
7 Employee's Personnel Folders Files contain all information pertaining to the employee's work record (files separated into active and inactive.)	Career - Retain until termination of employment, microfilm and keep permanently in office. Non-Career (Temporary and Intermittent) - Keep three years, then destroy.		Personnel Office (Employee Services Section)	

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
8	**Employment Applications** File contains applications for employment with the M-NCPPC including resumes, if supplied, and record of application review by supervisors for position openings.	Retain 3 years then destroy unless EEOC, Human Relations or other legal proceedings are involved. If so, retain for seven years, then destroy.		Personnel Office (Employment & Testing Section)	
9	**Classifications/Reclassifications** File contains: reclassification actions, specifications, salary surveys, general administration (old policies, procedures, research data, salary charts, etc.).	Retain permanently.		Personnel Office (Pay & Classification Section)	
10	**Deferred Compensation** A tax sheltered savings plan	**Members Records** Retain permanently in office. **Minutes & Correspondence** Retain permanently on film. **Deferred Compensation Documents** Retain 3 years in office.		Personnel Office	
11	**Grievance File** File contains investigative and related material pertaining to grievance filed by employees or groups of employees regarding any condition of employment.	Retain for three years in office or until grievance settled, whichever is longer. Then destroy.		Admin. Mgmt. Office	
12	**Damage Recovery Files** Records of collection actions against persons who damage Commission property.	Retain for 4 years or for 1 year after collection, and until all audit requirements have been fulfilled, then destroy.		Budget & Mgmt. Office (Risk Mgmt. Section)	

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
13	**Insurance Policies** Casualty and Liability contracts with insurance companies, fidelity bonds.	Retain permanently on microfilm.		Budget & Mgmt. Office (Risk Mgmt.)	
14	**Insurance Litigation and Claim Files** Confidential case files of claims and suits against the Commission.	Retain until claim or suit is satisfied, then destroy after an additional 5 years.		Budget & Mgmt. Office (Risk Mgmt.)	
15	**Insurance Enrollment Cards** (Group Insurance)	Retain in office for duration of employment. Upon termination of employment place record in inactive personnel file.		Personnel Office (Health & Safety Section)	
16	**Employee Medical Records** Pre-employment medical exam reports.	Retain until termination, then to Personnel inactive files.		Personnel Office (Health & Safety Section)	
17	**Record of Industrial Hygiene Surveys** Technical investigation reports from Maryland OSHA staff and contract professionals re: environmental health stressors in the work place.	Retain for five years in office, then destroy.		Personnel Office (Health & Safety Section)	
18	**Records of Employee Exposure to Specific Hazards** MOSHA compliance records for exposure to carcinogens, and other hazardous materials.	Retain for 40 years or until death of the employee, which ever is sooner, then destroy.		Personnel Office (Health & Safety Section)	
19	**Records of Health Claims for Exposed Employees** MOSHA compliance records.	Retain for 40 years, then destroy.		Personnel Office (Health & Safety Section)	

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
20	Workers' Compensation Information File	Retain file permanently in office.		Personnel Office (Health & Safety Section)	
	File contains claims, physicians' reports, employee's first report of injury.				
21	Monthly Premium Reports to Health Insurance Companies	Retain for the length of policy coverage, then destroy after an additional 4 years.		Personnel Office (Health & Safety Section)	
22	Third Party Injury Reports	Retain for 3 years, then destroy. Juvenile - reports, keep age of majority plus 3 years. Then destroy.		Personnel Office (Health & Safety Section)	
23	Claim file for Insurance Companies (Medical, Dental and Life)	Retain until all claims are satisfied or until all audit requirements have been fulfilled, then destroy.		Personnel Office (Health & Safety Section)	
24	Budget Preparation File	Retain in office for 7 years, then destroy.		Budget & Mgmt. Office	
	File includes Budget submissions: budget instructions; revenue and tax base projections; legal budget matters; and special budget analysis.				
25	Approved Administrative Practices File	Retain one copy on microfilm permanently.		Administrative Mgmt.	
	These are approved administrative policies and procedures regarding the internal operations of the Commission. Files contain original and published copy with significant related background papers.				
26	Merit System Rules & Regulations	Retain permanently.		Personnel Office	
	Official Commission policies governing personnel practices and procedures.				

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
27	**EEO/AA Report** A report provided by the Affirmative Action Officer that reflects the statistical profile of the Commission by race, sex, and individual department. Additionally, the report provides for information pertaining to the status of the department attaining their established goals by EEO category for minorities and females.	Retain permanently.		Executive Dir. Office	
28	**Risk Management Program** All materials pertaining to the Risk Management Program.	Retain for 7 years in office.		Budget & Mgmt. Office	
29	**Litigation Files/Legal** Files contain correspondence and pleadings of court actions filed by the Commission or against the Commission.	Inactive files should be retained for at least three years. Important briefs, pleadings and supporting material should be retained on microfilm permanently.	Legal Office	Legal Office	Legal Office
30	**Land Files** - Deeds and Titles to property acquired by Commission - Property Appraisals - Property Surveys - Right of Ways	Permanent. Microfilm, then retain original permanently in office.		Accounting Office	

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
31	General Accounting Records Journal Entries and Supporting Documentation Chart of Accounts General Ledger Accounting Reports of General Ledger Interim and special purpose Financial Statements Copies of Financial Statements posted in Newspapers as Required by Article 28 Audit Reports by Internal & External Auditor Year-End Audit Workpapers	Permanent.		Accounting Office	
32	Cash Management Records Certificates of Deposit and Bank Deposit slips Investment Transaction Records Bank Books, Statement, and Deposit Receipts (R.A.) & Supporting Documents	Retain for 6 years and until all audit requirements have been fulfilled, then destroy. Retain for 3 years, then destroy.		Accounting Office	
33	Payroll Accounting Records W-2 Report of Employee Earnings to IRS Employee Earnings/Deduction Record Payment Records for All Witholdings Record of Notification Required by IRS Payroll Distribution of Expense Report Leave Records Time Cards	Retain for three (3) years and until all audit requirements have been fulfilled, then destroy. Permanent Retain for 5 years, then destroy.		Payroll Office	

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
34	Miscellaneous Records	Retain for three (3) years and until all audit requirements have been fulfilled, then destroy.		Accounting Office	
	Adopted Budget Transmitted from Budget Office				
	Check Copies Supporting Documentation				
	Periodic Financial Reports to Local/ State Agencies				
	Year End Audit Workpaper Files				
	Bank Reconciliation and Supporting Workpapers				
	Form 1099, Report of Payments to Vendors to IRS				
	Cancelled Checks	5 years then destroy.		Audit Office	
	Labor Distribution Report	Monthly - 2 years. Year end - permanent		Data Processing Office	
	Time Labor Sheets	5 years then destroy.			
35	Purchasing Record	Retain for three (3) years or until all audit requirements have been fulfilled, then destroy.		Purchasing Office	
	Copy of Contract Log				
	Notice of Award				
	Purchase Order				
	Purchase Requisitions				
	Bid Tabulation Documents				
	General Correspondence				
	MFD Director				
	Purchasing Reports				
36	Audit Records	Retain for three (3) years or until all audit requirements have been fulfilled, then destroy.		Audit Office	
	Materials and Supplies Physical Inventory				
	Report of Fixed Assets				
	Report of Materials and Supplies				

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
37	Tax Anticipation Certificates of Indebtedness These records are promissory notes, signed by the Chairman and the Secretary-Treasurer of the Commission.	Retain for 5 years after the notes are redeemed or until all audit requirements have been fulfilled, then destroy.		Sec.-Treasurer's Office	
38	Record of Bond Sales Files include marked bonds and redeemed coupons and cremation schedule.	Retain until bond redeemed and until all audit requirements have been fulfilled, then destroy.		Sec.-Treasurer's Office	
39	Bond Register The register is a record of serial bonds issued by the Commission to pay for Land Acquisition and Park Development. The register sheets give information on each issue, the County of issue, purpose, date of issue, interest rates, and name of fiscal paying agent.	Retain in office permanently.		Sec.-Treasurer's Office	
40	Commission Bonds and Coupons Bonds and Coupons, Paid and Cancelled Monthly Certified Statements Cremation Certifications Audits Other Reports	Retain for six months after the bonds are paid in full, then destroy. Retain for three years after maturity and entry into ledgers then destroy.		Sec.-Treasurer's Office	
41	Bond and Interest Ledger Accounts These are the record of the history of all bond issues as to principal and interest payments, and of redemptions.	Retain final entry ledgers permanently.		Sec.-Treasurer's Office	
42	Escrow Agreements	Retain as long as agreements are in effect, then destroy after 3 years if all funds are fully accounted for.		Sec.-Treasurer's Office	

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
43	Contracts			Accounting Office	
	Capital Improvement Contracts	Permanent			
	Grants	Permanent			
	All Other Contracts	Retain for 3 years, then destroy.			
	Misc. Expenditure	Retain for 3 years, destroy:			
	Misc. Revenue	Retain for 3 years, then destroy.			
	Recreational Facility				
	Agreements (RFA)	Retain for 3 years, then destroy.			
	Memorandum of Understanding	Retain for 3 years, destroy.			
	Other Contracts (i.e. Donations)	Permanent.			
44	M-NCPPC Employees' Retirement System	Retain permanently (hard copy or microfilm).		Retirement Office	
	Files are established by names of participants of the M-NCPPC Employees' Retirement System and include all documents related to employee participation in the system. Documents also include those transferred by the State Retirement System at the time of the establishment of the Commission's plan and withdrawal from the State System effective July 1, 1972.				
45	Retirement System Documents	Retain in office for three years or until all audit requirements have been fulfilled, then destroy.		Retirement Office	
	File consists of audited financial statements, actuarial valuations, investment transaction documents, and all disbursements by the M-NCPPC Employees' Retirement System.				
46	Minutes of the Retirement System	Retain permanently on microfilm.		Retirement Office	
	All minutes of the Retirement System Board Meetings				

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	BI-COUNTY	MONTGOMERY CO.
47	Merit System Board Files File contains documentation from appellant, his/her representative, the Commission attorney, management, transcript (if hearing is held), and Board's decision.	Retain permanently on microfilm.		Merit System Board Office	

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
48	Amendments to Zoning Ordinance and Subdivision Regulations Original amendments as passed.	Microfilm and retain microfilm perma-nently in the office.	Development Review Division Information & Permits (Zoning Amendment)	Development Review
49	Art Work, Place Dummies and Place Negatives Camera ready art of individual publications pages and color separa-tions for maps.	Retain in office until no longer needed, then destroy.	Information Mgmt. Division (Mapping & Graphics Section)	Mapping & Graphics Section
50	Zoning Book Sepias These are originals from which zoning atlas sheets are produced.	Microfilm all originals then retain sheets until superseded and replaced and then destroy sheets withdrawn.	N/A	Mapping & Graphics Section
51	House Number and Street Name Changes and Assignments This file is a record of assignments of and changes in house numbers and street names, including the name of the area or subdivision, block and lot number, name of the owner or occupant, the old street name or house number, if any, the new name or number, and the date of change. Changes are made on the reference copies of the plats and maps.	Retain entries until superseded and then destroy.	Information & Permit Review Div. (Property Address Section)	Information Office
52	Street Names Index Roll file contains street name, block number, area designation, census tract, map grid no., and 200 scale page no.	Retain until updated or superseded, then destroy.	N/A	Information Office

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
53	**Street Profiles** These are approved profiles showing approval of all agencies such as DOT ans WSSC.	Retain permanently.	N/A	Urban Design Division
54	**Subdivision Plats** This is a file of the original subdivision plats showing date of approval by M-NCPPC and date of filing with the clerk of the Circuit Court. These plats are lithoprinted for the subdivision.	Retain permanently.	Development Review Division	Development Review Division
55	**Subdivision Record Plat Books** These are a public file in book form and contain all the approved subdivisions in the Regional District of Montgomery and Prince George's Counties, filed numerically.	Retain permanently on microfilm.	N/A	Information Office
56	**Index for Subdivision Record Plat Books** Maintained by lot, block and subdivision on roll file, in alphabetical order by subdivision name.	Retain permanently.	N/A	Information Office
57	**Subdivision House Numbers File** These are duplicates of preliminary subdivision plans.	Retain permanently.	N/A	Information Office

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
58	**Site Plans** Site Plan files consist of all materials submitted and prepared during staff review and Planning Board action on individual plans. File content in-cludes: plan submission documents, site development and grading plan, landscaping plan, staff design studies, staff and agency referrals, staff reports, public inquiries, enforce-ment agreements, and homeowner association documents.	Microfilm and destroy hard copy. Retain permanently.	Development Review Division	Urban Design Division
59	**Zoning Applications** Complete files which include the application, technical staff reports.	Retain Planning Board file until official file microfilmed. Retain microfilm permanently in office and hard copy stored in Records Center for 1 year.	Information & Permits - Review Div.	Development Review Division
60	**Special Exceptions** Complete files include the applica-tion, maps, technical staff reports.	Retain Planning Board file until official file microfilmed. Retain microfilm per-manently in office and hard copy stored in Records Center for 1 year.	Information & Permits - Review Div.	Development Review Division
61	**Departure from Design Standards** Complete files include the applica-tion, maps, technical staff reports, correspondence, and Planning Board Decisions.	Microfilm and store hard copy in Records Center for 1 year. Retain microfilm permanently in office.	Information & Permits - Review Div.	N/A
62	**Zoning Maps (Atlas)** This is the official zoning map for Prince George's and Montgomery Counties, with any and all amend-ments.	Microfilm all maps, then retain sheets until superseded and replace and then destroy sheets withdrawn.	Information & Permits - Review Div.	Information Office

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
63	Reproducible Street Address Maps Mapping of all premise addresses in Prince George's and Montgomery Counties.	Retain permanently.	Information Mgmt. Division (Mapping & Graphics Section)	Information Office
64	Street Address Books Maps at 200 scale include subdivisions, plat outlines, and address information.	Retain sheets until superseded and replaced, then destroy sheets withdrawn.	Information & Permits - Review Div.	Information Office
65	Nonconforming Use Files Complete files include the applications, plats, and technical staff reports.	Microfilm and retain hard copy in Records Center for 1 year. Retain microfilm permanently in office.	Information & Permits	N/A
66	Permit Cover Sheets Inter-departmental review work sheets on residential, commercial and use occupancy permits.	Microfilm and destroy hard copy. Retain microfilm permanently in office.	Information & Permits	N/A
67	Pre-Preliminary and Preliminary Plats on Subdivision Applications to create legal building lots; precedes record plats.	Retain Planning Board file until official file is microfilmed, then destroy hard copy and retain microfilm permanently in office.	Development Review Division	Development Review Division
68	Comprehensive Rezoning Files Official departmental and Commission files compiled in the Comprehensive Rezoning process. Information on briefings, outlines, charts, budget and work program information, administrative policy and procedure, work session material.	Retain in office of record until superseded, then destroy after three (3) years.	Area Plans Division	Community Plans Division

	DESCRIPTION	RETENTION PERIOD	PR GEORGE'S CO.	MONTGOMERY CO.
69	Master Plans General Plan, Subregional Plans, Area Master Plans, Functional Plans, Special Treatment Area Plans and comprehensive Master Plans. (Original text material, page-sized maps, original artwork for plans, maps, photographs, etc.)	Retain in office until superseded send to Records Center for permanent retention.	Information Mgmt. Division (Mapping & Graphics Section)	Mapping & Graphics
70	Sectional Map Amendments Correspondence, original text materials, maps, policies, reports, comments, and miscellaneous other data.	Retain permanently on microfilm. Destroy hard copy.	Area Plans Division	Development Review Division
71	Reservation Plats These become record plats. Duplicates of records in county office. At conclusion of final survey of a large piece, these plats reserve from taxes remainder of property not acquired in a given year, free from taxes for five years.	Retain for six years in office then destroy after the reservation has expired.	Transportation & Public Facility Planning Division	Information Office
72	House Number Site Plan File This file contains detailed drawings of buildings not identified as lot and block. There are multiple addresses on one piece of property, such as apartments, shopping centers and industrial. Two copies - one in file and one filmed.	Retain microfilm and originals in office, permanently.	N/A	Information Office

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
73	Development Plans and Schematic Development Plans These are the officially approved and signed plans. 2 copies	Retain 1 copy permanently in Zoning Case file and 1 copy on microfilm permanenly.	N/A	Development Review Division
74	200 Scale Photogrammetry: (5 foot intervals) These are used as background data for plans and studies.	Retain in office permanently.	Information Mgmt. Division (Mapping & GraphicsSection)	Mapping & Graphics
75	Historic Preservation Ordinance Implementation Historic Resource Inventory Forms Historic Site/District Public Hearing Files Historic Area Work Permit Files Tax Credit Files Environmental Setting Files	Retain permanently.	Area Plans Division (E/S) (Historic Preservation Section)	N/A

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
76	**Topographic and Park-taking Line Maps** This file contains: 1) park-taking line maps. The topographic maps are prepared from aerial surveys of the Stream-Valley Parks and proposed park areas. The master copy is on blue linen and is used to prepare Stream-Valley Survey maps and Development Plats and Maps which are the working copies in planning. The Park-taking Line Maps are topographic maps showing the extent, actual or proposed, of park metes and bounds. 2) Hand-drawn topographic maps of certain areas of the Stream-Valley parks. Individual trees are shown with their circumference and popular names. The maps are sometimes consulted in preparing the Development Plats and maps.	Microfilm after updated or superseded and destroy hard copy. Retain microfilm permanently in office.	Park Planning	Park Planning
77	**Applications for Federal Grants** a. Land & Water Conservation Fund Act.	Retain until grant completed, then microfilm and destroy hard copy. Retain microfilm in office permanently.	Park Planning	Park Planning
	b. Memorial Tree Planting Program Records (Chart showing ``In memory of/honor of,'' donor's name, park preference, location, number and variety of tree, date received from E&D, name of nursery, dates ordered, received, planted, E&D notified, application no., monies donated and total.	Microfilm and destroy hard copy. Retain microfilm permanently in office.	Maintenance & Development	N/A
	c. Open Space (HUD) (Title VII of Housing Act Material and applications.)	Microfilm and destroy hard copy. Retain microfilm permanently in office.	N/A	Park Planning

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
	d. Outdoor Recreation Land Loan of '68. (Program Open Space)	Retain until loan expiration and for three years or until audit completed.	Park Planning	N/A
	e. Patuxent River Watershed Act.	Microfilm after updated or superseded and destroy hard copy. Retain microfilm permanently in office.	Park Planning	N/A
	f. SCS Public Law 986	Retain in office until updated or superseded, then destroy.	Park Planning	Park Planning
	Land Appraisal Records (includes pertinent correspondence)	Retain three (3) years in office, then microfilm and keep permanently.	Park Planning	Park Planning
78	Record of Park Property Surveys Includes name of owner of property, park where located, section, parcel, acreage, name of engineer who made survey.	Microfilm after updated or superseded and destroy hard copy. Retain microfilm permanently in office.	Park Planning	Engineering & Design
79	Land Acquisition Surveys When agreement has been made, information as to owner or rough area of land to be acquired is referred to Engineer and Design to survey property. This is then sent to surveyor with request for survey. Survey retained for review and approval, with legal description. After approval, copy of plat and the survey are forwarded to Legal Department. The Legal Department arranges with owner to acquire property, to record description and establish settlement.	Retain in office until survey and acquisition complete, then include in record or park property surveys, and microfilm.	Park Planning	Park Planning
80	Development Plans and Working Papers Grading plans, paving plans, landscape plans, consultants plans.	Microfilm after updated or superceded and destory hard copy. Retain microfilm permanently in office.	Engineering & Design	Engineering & Design

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
81	Records of Extensive Road Building Projects Includes reviews and approval of contract, drawings and specifications, approval of billing, field inspection and related correspondence for major roadway construction projects.	Retain for 20 years after project completed, then destroy.	Engineering & Design	Engineering & Design
82	Storm Drainage Plans Show where storm drain terminates and affects park property.	Microfilm after updated or superseded and destroy hard copy. Retain microfilm permanently in office.	Engineering & Design	Engineering & Design
83	Records of Design and Construction Design and construction of parking areas, entrance roads, multi-use courts, grading and seeding of ball fields and adjacent road areas.	Retain in office until updated or superseded, then microfilm. Destroy hard copy. Retain microfilm permanently in office.	Engineering & Design	Engineering & Design
84	Cost of Recreation Centers Development Plans Includes contract documents.	Retain for three years after project completed or until all audit requirements have been fulfilled, then destroy.	Park Planning	N/A
85	Stream Valley Survey Maps These maps are prepared from the Topographic Maps and are usually divided into sections and the sections enlarged for detailed planning. They record property lines and the park projects as planned. The maps after completion are submitted to the National Capital Planning Commission and to WSSC for approval pursuant to Subtitle 4, Article 28, Annotated Code of Maryland.	Microfilm after updated or superseded and destroy hard copy. Retain microfilm permanently in office.	Park Planning	Engineering & Design

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
86	Traverse Field Computations and Bench Marks This series of Stream-Valley park map record the traverse computations made in the field and the bench marks established by the surveyors.	Retain until map updated or super-seded then microfilm and destroy hard copy. Retain microfilm permanently in office.	Park Planning	Engineering & Design
87	Computations of Coordinates These coordinates were principally taken in Rock Creek Park. Coordinates are employed in plotting property lines on topographic maps and existing buildings and landmarks.	Retain until map updated or super-seded then microfilm and destroy hard copy. Retain microfilm permanently in office.	N/A	Engineering & Design
88	Recreation Area Maps (NCPC Requirement) These files contain maps which are related to recreation area planning and show topography, surveys, and development of the areas.	Retain until map updated or super-seded then microfilm and destroy hard copy. Retain microfilm in office.	Park Planning	Engineering & Design
89	Bids for Plant Materials for Parks and Buildings	Retain in office for three years or until all audit requirements have been fulfilled, then destroy.	Park Planning & Design	Park Planning & Design
90	Contracts on Bids and Proposals for Construction	Retain for three years after completion of contract or until all audit require-ments have been fulfilled, then destroy.	Park Planning & Design	Park Planning & Design
91	Blue Prints of Commission-Owned Buildings	Retain microfilm permanently in office. Hard copy kept permanently at Rec-ords Center.	Park Design	Park Planning
92	Titles (Automobiles)	Retain until vehicle disposed, then destroy.	Supervisor - Equipment Maint.	Supervisor - Equipment Maint.

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
93	Property Records for Vehicles Folders contain Title No., Serial No., date of purchase vendor, description, year, cost and trade in value, and to whom assigned.	Retain until vehicle disposed, then destroy.	Supervisor - Equipment Maint.	Supervisor-Equipment Maint.
94	Vehicle Maintenance Reports	Retain until vehicle replaced or until all audit requirements have been filled, then destroy.	Supervisor-Equipment Maint.	Supervisor-Equipment Maint.
95	Work Orders/Service Requested	Retain original one year, then destroy.	Maintenance & Development	Maintenance & Development
96	Park Permit Office a) Receipt books b) Key deposit slips cancelled c) Permit correspondence d) Seasonal permit records e) Ballfield records f) Reports of attendance records g) Certificate of deposit and bank slips h) Monthly reports of collections i) Purchase orders copies and requisitions j) Reservation books - daily	Retain 3 years, then destroy	Park Permits	Park Permits
37	Property Management Office a) Former Tenant files	Retain 2 years, then destroy	Property Management	Property Management
	b) Budgetary and financial information	Retain 3 years, then destroy		
	c) Records of inspections, losses, modifications to Commission facilities. Filed by facility name.	Retain for 10 years, then destory. Material having continuing legal or administrative value, retain until value ceases, then destroy.		
	d) Record of rent received from and owed by tenants. As rent is received it is recorded in the general ledger.	Retain for 5 years or until all audit requirements have been fulfilled, then destory.		

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
93	Park Police Records		Park Police Offices	Park Police Offices
	a) Criminal Reports	Retain permanently on microfilm.		
	b) Field Contacts	Retain permanently on microfilm.		
	c) 1. Police employee background information 2. Applicant background infor.	Retain 3 years after termination of employment. Retain 5 years.		
	d) Juvenile Records (Confidential)	"Sealed" when 21 years old. Keep permanently in office.		
	e) UCR Reports	Retain record copies plus support data such as monthly and quarterly summaries five years then destroy. Retain annual summaries used as support data ten years, then destroy. Destroy non record copies when no longer needed.		
	e) Property Reports (found and stolen) (contraband, evidence)	Retain in office for 2 years, destroy. Retain on microfilm.		
	f) Traffic and Parking summons	Retain in office for 3 years, destroy.		
	g) Vehicle reports (reports on recovered stolen autos or impounded vehicles)	Retain in office until closed, destroy.		
	h) Stolen Vehicle Report	Retain 3 years, then destroy.		
	i) Daily activity reports	Retain 1 year, then destroy		
	j) Maryland Uniform Criminal/Civil Citation 1. Criminal 2. Adult Civil 3. Juvenile Civil	Retain 3 years in office, 5 years at Records Center, then destroy.		
	k) Watch Rosters	Retain 1 year, then destroy.		

	DESCRIPTION	RETENTION PERIOD	PRINCE GEORGE'S CO.	MONTGOMERY CO.
	Park Police Records (Cont.)		Park Police Offices	Park Police Offices
	l) Call for service card (CCN) - Stat Card	Destroy when superseded or obsolete.		
	m) Fingerprint Cards	FBI maintains permanently.		
	n) Crime scene photos	Retain permanently.		
	o) Old traffic accident photos	Retain for 3 years, after date of accident, then destroy.		
	p) Inactive Police Files	Retain 2 years, then destroy		
	q) Alarm/Radio Logs	Retain 1 year, then destroy.		
99	Historical/Archival Files Consists of newsclippings, photographs, press releases, historical correspondence.	Retain in office with eventual transfer to Records Center for permanent retention.	Historian's Office	Historian's Office

CHAPTER 8

RECORDS DISPOSAL

AUTHORITY:

The Records Management Section is responsible for the prompt and orderly disposal of records according to approved retention schedules.

DESTRUCTION:

To prevent the disclosure of information, which might be prejudicial to private persons or the public interest, the records should be destroyed by shredding, or incineration.

DEPARTMENT OF GENERAL S CES
STATE RECORDS MANAGEMENT CENTER
7275 Waterloo Road (Rte. 175)
P.O. Box 275
Jessup, Maryland 20794-0275

CERTIFICATE OF RECORDS DISPOSAL

Reporting Agency

Division or Bureau

PREPARE IN DUPLICATE

Retain one copy and forward
original to above address

No.	Description of Records Include Title and/or Form Number	Authorization For Disposal		Inclusive Dates of Records Disposed of	Volume (Cubic Feet)	Date of Disposal	Method of Disposal
		Retention Sched. No.	Item No.				

I hereby certify that the above listed records were disposed of as indicated.

DGS 550-2

Signature _____   Title _____   Date _____

CHAPTER 9

RECORD STORAGE

AUTHORITY:

The Records Management Section is responsible for organizing and administering a records storage center for the inactive records of the Commission.

GENERAL:

Central record storage saves valuable operating space and equipment. Central storage systemizes inactive records for reference purposes and disposes of stored records at the expiration of authorized retention periods.

PREPARATION OF RECORDS FOR STORAGE:

A. Responsibility of Departments: The preparation of records for transfer to and storage in central records storage centers is the responsibility of the transferring department. Improper preparation may result in non-acceptance by the Records Management Section.

B. Storage Cartons and Containers: A standard corrugated box is available from the Records Management Section for record transfer and storage purposes. This box shall be used for all transfers to storage centers, except when a specific transfer method is approved by the Records Management Section.

C. Labeling the Carton or Container: Cartons or containers transferred to central record storage will be identified by authorization number, schedule number, record year, and box number.

D. Records Transfer: A Records Transmittal and Receipt Form will be completed for each transfer transaction. The form will serve as a department receipt for records transferred and will further identify the contents for reference purposes.

E. Confidentiality of Stored Records: Records stored are public documents and reference will be provided for any bona fide inquirer. Records defined as confidential and restricted for reference use, should be noted on the Transmittal and Receipt Form, even if noted on the approved Record Retention Schedule.

F. Custody of Stored Records: Direct access is limited to personnel authorized by the Records Management Section.
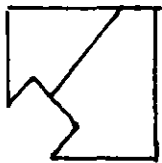
RECORDS TRANSMITTAL
AND RECEIPT FORM

FROM: (NAME & ADDRESS)	TO BE COMPLETED BY RECORDS MANAGEMENT
	ACCESSION NUMBER:
(SIGNATURE & TITLE)	LOCATION: DEST. DATE:
	SIGNATURE:

BOX NUMBER	DESCRIPTION OF RECORDS WITH INCLUSIVE DATES

(FORM 33-REV. 10/87)

CHAPTER 10

REFERENCE TO STORED RECORDS

AUTHORITY:

The Records Management Section is authorized to organize and administer a records storage center for the inactive records of the Commission.

PURPOSE:

This chapter establishes the policies under which, and the procedures by which, reference may be made to stored records.

GENERAL:

Central records storage not only saves valuable operating space and equipment, it saves time by providing quick reference service by personnel trained and experienced in reference work. Records to which no referral is expected probably will never get to the storage center. If the central records referral service is not simple and quick, one of the big advantages and cost savings features of the Records Management Program is lost. Information reference is provided to improve the conduct of public business; it is not provided to satisfy idle curiosity.

METHODS OF SECURING STORED RECORD INFORMATION:

The determination that the necessary item of information or document is in a stored record should be made from the Records Retention Schedule in this MANUAL. Do not request information from records already destroyed on the basis of the disposal schedule. Available information should be requested in one of the following ways:

1.   Telephone requests: Reference will be provided by telephone:

   a.   If the requested information is brief and factual.

   b.   If the document does not have to be seen.

   c.   If a copy of the document is requested.

   d.   To verify availability of a document for personal review.

COPIES OF RECORDS:

To preserve the integrity of stored files, stored records generally may not be removed from the records center. Copies (photocopies) of records will be provided when requested, or when the record information cannot be excerpted easily.

Copies should not be requested for minor items of information.

CLOSED STACKS:

Stored records are maintained in coded locations and are not externally identifiable to other than Records Management Personnel. Department employees are excluded from storage areas except upon specific authorization of the Records Manager.

IDENTIFICATION OF INFORMATION:

Persons requesting information should provide the record authorization number, box number, and item identification or so much of this information as may be available.

CHAPTER 11

INTRODUCTION TO MICROFORMS

AUTHORITY:

The Records Management Section is responsible for administering a Microfilm Program to insure the protection of essential records and the preservation of archival records. Additionally, the section is responsible for assisting in the development of microfilm systems which will increase the efficiency and economy of office operations.

CARE OF MICROFORMS AND MICROFILM EQUIPMENT:

The camera microfilm or master negative of Silver Halide is generally stored as the archival or security copy. This allows the reproduction of replacement or additional working copies should the need arise. Because Silver Halide microfilm is easily scratched, the master negative should never be used as a working copy. Working copies produced on Diazo microfilm are much more durable and scratch resistant.

Deposits of dust and dirt on the film will contain hard particles that can scratch the emulsion as it passes through a reader or printer. Storing microfilm in closed metal cabinets usually offers sufficient protection against dust in normal applications. In general, the quality of the image displayed or the paper copy provided is directly related to the cleanliness of the optical system and the printing mechanism of the reader/reader-printer. Microfilm's worst enemy is dust. Dust on reader screens, mirrors, and other optical elements decreases light and illumination levels, sometimes significantly. Dust particles on the film or film-holding mechanism damage the film and, when enlarged 20 to 40 times, may look like confetti on the screen and impair readability.

Preventive maintenance will make a considerable difference in the long-term usability of equipment Use of a dust cover when equipment is not in use is recommended. Following the manufacturer's recommendation -- cleaning the screen, lens, internal mirrors, and condenser elements -- should be done on a routine basis.

MICROFILMING REPORT

DEPARTMENT/DIVISION:_____

REQUESTORS NAME:_____PHONE NUMBER

TITLE OF RECORD:_____

RECORDS MANAGEMENT USE ONLY

CAMERA SET UP: _____16mm   _____35mm

DUPLICATION: _____HOW MANY   _____COLORS

TITLING:LEFT SIDE_____MIDDLE_____RIGHT SIDE
        _____
        _____

DISPOSITION:_____STORE AT CENTER   _____HOW LONG

            _____RETURN TO OFFICE _____DESTROY AFTER FILMING

OTHER COMMENTS:_____
               _____
               _____

CLERK'S NAME:_____CAMERA USED:_____

DATES FILMED:_____HOURS USED:_____

JPPLIES USED: ROLLS OF FILM:_____DUPES MADE:_____

JOB COMPLETION DATE:_____

FICHE DELIVERY: BY HAND_____ INTER-OFFICE MAIL:_____

CHAPTER 12

MICROFILMING RECORDS

AUTHORITY:

The Records Management Section is expressly responsible for microfilming records, whether or not the ultimate destruction of the original record is involved.

Microfilming is a recommended technique for improving the filing, handling, referencing, and reproduction of active and/or inactive records, and microfilming applications may be proposed:

1. As substitutions for paper and other full-size records where a substantial savings in time, space, and equipment will result or can be projected.

2. When the quality or quantity of public service will be speeded or otherwise improved.

3. As an integral part of an improved paperwork management system for operating procedures.

4. For providing security copies of essential records as a protection against natural or man-made disasters.

5. For providing economical reference to records retained semi-permanently, nonhistorical records retained permanently, or open reference to historical documents.

For more detailed information call the Records Management Office.

CHAPTER 13

FORMS MANAGEMENT

AUTHORITY:

The Records Management Section is responsible for establishing standards and developing procedures for the identification, review, and approval of forms to insure that:

A.   Forms and their related procedures are designed to contribute to the efficiency of operations.

B.   Unnecessary and duplicate forms are eliminated.

C.   Information serving similar functions is consolidated into standard forms where practical.

D.   The usefulness of forms is increased through proper design.

E.   Costs associated with processing are reduced.

F.   Savings are achieved through efficient procurement and supply procedures.

G.   The Forms Management Program will consolidate total management of forms into one responsible area.

H.   New or revised forms should not be introduced into a system without the proposed form or revision being processed through the Records Management Section.

DEFINITIONS:

a.   FORM - All printed material with blank spaces for insertion or choice of variable data used to record or transmit information.

b.   FORM MEMO - Preprinted memoranda with blank spaces and printed on Memo Letterhead (Form 23) or Commission stationery (Form 109).

c.   FORM LETTER - Preprinted letters with blank spaces usually with a salutation and a formal close and printed on a letterhead.

RESPONSIBILITIES:

An effective Forms Management Program requires the accomplishment of specific

duties and responsibilities as follows:

The Records Management Section will:

1. Establish standards and develop procedures for the identification, review, and approval of forms.

2. Provide for the continuing review and analysis of approved forms for need and design.

3. Provide assistance in the revision of existing forms or in the development of new forms and related procedures.

4. Establish and publish procedures for the submission, review, approval, and identification (system of numbering) of forms.

5. Assign a form number and edition date to each approved new or revised form.

6. Establish an historical file and a functional file of approved forms and maintain a current list of approved forms.

REVISION OF FORMS:

Forms must be evaluated continuously for format, simplicity and effectiveness. Once a decision is made to revise a form, the Forms Coordinator will incorporate the desired changes in a pencil draft.

CREATION OF NEW FORMS:

The following development pattern for creating a new form is essential for effective forms management:

A. Establishing the need. In establishing the need for a new form a complete analysis of the procedure which the form is to serve must be accomplished. Analysis will govern the need and design requirements of the proposed form. These requirements are the basis for forms design.

B. Forms design. Forms design is the outgrowth of procedures analysis. The well-designed form will:

    1. Facilitate operations.

    2. Provide accurate and dependable information.

    3. Be economical to print, prepare, and use.

C. <u>Forms approval</u>. Once the need for a new form has been established and pencil design drafted, the Forms Coordinator will submit the proposed form to the Records Management Section for approval. Any changes to the original pencil design will be coordinated with the originator for proofing prior to forwarding the proposed form for printing. Forms requiring an M-NCPPC form number are subject to this control.

    1. <u>The need for information.</u> In challenging the need for the form or for the information to be requested, the following questions will assist in making these determinations:

        a. Do the related procedures need revision?

        b. Will the need for the form justify the work generated by its preparation and use?

        c. Is each proposed item necessary?

        d. Is each copy needed?

        e. Can the form be combined with others?

        f. Will the addition of another form, item, or copy simplify work?

D. <u>Principles.</u> Simplicity is the fundamental principle of forms design. In the interest of simplicity:

    1. The sequence of items should be logical.

    2. The amount of writing should be minimal.

    3. The characteristics of the writing machine used should be utilized to their fullest.

    4. Layout should achieve good visual effect. These principles should become more meaningful as illustrations and examples of their application are provided in the following pages.

For more detailed information contact the Records Management Office.

CHAPTER 14

FILES MANAGEMENT

AUTHORITY:

The Records Management Section is responsible for the establishment of standards and procedures for the effective management of arranging, filing, and retrieving of public records within the Commission.

GENERAL:

The objectives of files management are as follows:

A.   To standardize procedures for the control of both active and inactive files.

B.   To provide a system for classifying and organizing department files so that:

    1.   Records can be retrieved rapidly.

    2.   Completeness of records is insured.

    3.   The selection and retention of records of archival value are facilitated.

    4.   The disposition of noncurrent records is accomplished promptly.

C.   To avoid using prime office space and filing equipment for the storage of noncurrent records.

TYPES OF RECORDS:

A.   <u>Active Records</u>

Current working records or informational records to which frequent reference is made. Active records will be maintained in or near the department responsible for utilizing the files.

B.   <u>Inactive Records</u>

When records within the Commission become inactive (status having been determined by reference frequency), they will be moved to the storage center, or destroyed in accordance with the approved retention schedule. Inactive records are also classified as noncurrent records.

C.   Official and Private Records

All documents defined as records and copies of such documents made or received by any Commission official or employee in the course of conducting Commission business are "official" records, and are the property of the Commission. Official records, while being used frequently in the conduct of current business, are maintained in the custody of the Commission's "official custodian" who is responsible for the functions that the records document.

GROUPING OF RECORDS:

For purposes of control, records are grouped as follows:

Basic File Types

Official records will generally fall into one of the following types:

1.   General Correspondence (Subject File). The records inventory within the Commission identified many records series which are arranged by subject. Such record series consist of letters, memorandums, telegrams, reports, enclosures, and miscellaneous materials arranged alphabetically by subject.

2.   Case Records. "Case Files", "Project Files", and "Document Files" are essentially synonymous terms for the largest single type of file in the Commission. Records which are case filed contain material relating to a specific action, event, person, organization, location, product, or thing. The papers may cover one or many subjects concerning a case or project but will always be filed by a name or number under the appropriate subject classification. Typically, a case file handles a transaction or relationship from its inception to its close. Case records may be said to be specialized subject records, the specialization being the "name or number" filing feature. Case working papers consist of the voluminous background and working materials accumulated in connection with project type cases. Files of this type generally consist of supporting correspondence, initial drafts, reference material, reports, or projects, and are of temporary value only...if the record keeper can distinguish the working papers from important case papers, action should be taken to segregate them. The record keeper may keep this short-lived correspondence in the same folder with the important papers, but segregate them within the folder, or they may be filed in separate folders.

3.   Reference Materials. These files are used for material of a reference value only. They generally consist of reports periodicals, special

studies, and manuals for internal department information or instruction.

4.   <u>Cards.</u> The physical size and format of cards makes them a logical separate file group. Common sizes used as indexes, catalogs, or summaries are 3 by 5 or 5 by 8 inches. Arrangement can be either alphabetical or numerical.

5.   <u>Film, Tape, or Disk Records.</u> These records have the form of graphic images or of electronic or other mechanical reproductions of sounds or coded information. They are usually kept separate because of their physical characteristics.

PLANNING AND ARRANGING FILES:

A.   <u>Official File (Office of Record)</u>

    1.   Each official file shall maintain the permanent and current records of the office it serves. These offices of record shall be located at departmental levels where effective documentation of assigned functions and responsibilities can be assured.

    2.   In establishing official files, consideration shall be given to the following:

        a.   Are the files maintained as near as practicable to the departmental element that uses the files most frequently?

        b.   Can arrangements be made for one office to service the records of another when functions are closely related?

        c.   Can duplicate or convenience files be eliminated?

B.   <u>Unnecessary Filing</u>

The following measures may be employed to avoid unnecessary filing:

    1.   Eliminate file copies of routine communications which require no record, such as:

        a.   Requests received for publications (attach the requesting letters to material sent).

        b.   Form letters; when a simple notation on the incoming letter will suffice, no retained record is necessary. A copy showing distribution will suffice.

c.   Copies of letters furnished solely for information, unless it is known they will be referred to subsequently.

2.   Limit "extra copy" files to those which prove necessary to those offices having justification for their maintenance.

3.   Reduce the quantity of technical reference documents; by clipping and filing only those articles of importance.

4.   Eliminate the filing of periodicals, brochures, catalogs, and other printed matter received for general information.

C.   <u>Establishing a File System</u>

1.   <u>Separating Files Into Basic Types</u>. The physical characteristics of records will govern their initial classification into the following four basic groups:

a.   Conventional paper files such as correspondence, working papers, case files, etc.

b.   Specialized media such as engineering drawings, maps, punch cards, photographs, etc.

c.   Microforms

d.   Magnetic tape

2.   <u>Subdividing Files Into Record Series</u>. A record series is the largest practical grouping of separately organized and logically related materials which are normally used and filed as a unit because they: 1) consist of the same form, 2) relate to the same subject, 3) relate to the same activity, or 4) have certain common physical characteristics (maps, blueprints, etc.). The primary purpose of the record series grouping is to permit identification of the series as a unit for purposes of establishing retention periods. Each record series must have a suitable title and/or numbers to permit positive identification.

Additional considerations which aid the record keeper in deciding which separate record series to establish are:

a.   The disposal factor which takes into consideration the differing retention periods; for example, working papers are kept separate from essential papers to facilitate earlier disposal of the working papers.

b. The volume factor may influence the need for separating case records from general correspondence.

c. The completeness factor may require photographs and correspondence to be combined despite the advantages of filing records with different physical characteristics separately.

Inasmuch as the file group and the record series are both categories of records having similar characteristics and retention periods, the file type (group) and the record series are frequently identical groups of records. The step of further subdividing the record series into separate files or collections of 10 to 75 similar papers must now be determined.

3. Basic Filing Arrangements. After determining which records will be filed as separate record series, select a method of arranging each series. Regardless of the filing arrangement selected, most files should have a "cutoff" which is usually a calendar or fiscal year. This cutoff will permit the transfer, retirement, or disposal of files in complete blocks. Documents of continuing value should be retained in the current block offices so as not to be lost or destroyed when files become noncurrent and eligible for destruction.

The nature of the file and its function will suggest the use of one of the following arrangements:

a. Numerical. This system is used to arrange records normally identified and referred to by number. As a general rule, with the exception of subject codes, do not assign numbers to documents for the sole purpose of file arrangement. This practice requires the establishment of indexes to locate the document.

b. Chronological. This system is used to arrange files in date sequence when the date is the primary means of reference. It is frequently used as a secondary arrangement with other arrangement patterns.

c. Geographical (location). In this arrangement, papers are filed by area, region, country, state, county, etc., when the geographical location is the primary means of reference.

d. Organizational. The grouping of documents by the name of the pertinent organization is the primary means of reference; they are arranged by particular levels of administration and subdivided by subordinate elements arranged alphabetically by the organizational designation.

e. Alphabetical. This arrangement is used to file documents by name of persons, companies, agencies, etc. in alphabetical sequence.

f. Subject. The grouping of documents by subJect is the primary means of reference.

4. The Files Spectrum

a. The goal of every filing system is the organization of information in such a way that the user with a question knows where to find the answer. Many filing systems, especially case files, employ the single search criterion--the name of a person, place, or thing, or the number of the document itself. "Case files," such as alphabetically arranged personnel folders and transactions files in numeric order, are examples of simple file structures employing a single search criterion.

b. At the opposite end of the files spectrum are diverse collections of technical and scientific papers for which users' needs are often unpredictable. In between these two extremes of the simple, highly structured case file ·and the complex unstructured file are numerous structured files of varying degrees of complexity. These files do not lend themselves to arrangement by name or number and are known as subject files because the predominant characteristic of the document is the subject involved.

5. The record keeper must determine how records users will usually describe a document when it is needed.

a. Identifying the most frequently used filing feature. A correspondence file will develop a much different group of filing features than a file of forms, reports, or directives. When a file contains a mixture of these types of documents, the task of the record keeper is to decide which documents will be used most frequently. If you are unable to establish which feature predominates, you must resort to indexes for reference by more than one filing feature.

Perhaps the second feature may be used as the basis for a secondary arrangement within the primary arrangement. As an example, the volume of papers within a geographical file by cities may require a further breakdown by names of individuals. This arrangement is best if 1) "cities" are the most frequently used feature of the entire file group, and 2) users will call for papers more frequently by "names of

persons" within any one city than by any other feature. Other subarrangements are organizations within geographical locations, or names within subjects.

b.   Selecting the best filing arrangement. For each of the following types of records, select an arrangement based upon the features which predominate.

    1)   <u>Correspondence</u>.   Users will request letters, memorandums, and telegrams by one or more of the following six filing features.

        (a)   surnames (names or titles) of individuals or organizations.

        (b)   names (titles) of projects, products, transactions, or things.

        (c)   locations (geographic or political divisions).

        (d)   numbers (symbols) assigned to transactions, commodities, locations, projects, individuals, or organizational units.

        (e)   dates prepared or used.

        (f)   subject topic describing the informational content.

    2)   <u>Forms</u>. The most common filing features of a form are:

        (a)   title of form (presumably the form subject).

        (b)   surnames (names or titles) of individuals or organizations.

        (c)   numbers (symbols) assigned for transaction control or other identification.

        (d)   dates.

    3)   Reports. Some principal filing features of reports, namely:

        (a)   title of report (presumably the main subject).

        (b)   subjects in addition to the main subject.

(c)   surname of author.

(d)   name of originating organization.

(e)   number of project or contract with which identified.

(f)   number assigned for control.

(g)   date of issuance.

Some file systems place recurring or periodic reports under a category "reports", subarranged by report title or by form title if the report is a form.

4)   Directives. Directives have a system of their own. They are filed numerically in accordance with the Commission's system, in looseleaf binders.

c.   Choosing how the feature will be captioned. When the selection of the most frequently used feature has been made, the record keeper must decide how that feature should be worded on the folder labels. This solution, in turn, will control the arrangement of folders in the file.

6.   The Suspense File

The suspense file is an essential element of any files management operation used to provide a simple and efficient method for handling files or documents that will require attention at a future date. The contents of the file will consist principally of material charged out of the various files of the office; however, any document, memorandum, or informal note may be placed in the file for action at a future date.

1.   Purpose. The suspense file serves the following purposes:

a.   It ensures the return of file material to a specified person on a given date.

b.   It eliminates the necessity for maintaining various types of reminders to take certain future action.

c.   It discourages persons from keeping file material in or on their desks for long periods of time while awaiting reports or future action.

d. It provides a simple but efficient method whereby file material may, though in a suspended state, be readily available for use.

2. Operation. To set up a suspense file, take 31 file folders and number them from 1 to 21, placing each number on the tab of the file folder. Next, depending on the magnitude of the office operation involved, take two letter size file guides and prepare inserts showing the current month and the following month; or label a file guide for each of the 12 months. Set the guides in a file drawer with the folders arranged in numerical sequence behind the guide for the current month. Each morning inspect the suspense folder for that day. Remove material found there and deliver it to the person requesting its return. Then place the file folder in its correct numerical sequence behind the guide for the following month. When correspondence, documents, or files are received marked for suspense, proceed as follows:

a. Prepare a charge-out form in the usual way except that in the space provided for "date charged out" write the word "suspense" and the date when it is to be returned to the person requesting it.

b. File the charge-out form where the material would normally be filed if suspense were not requested.

c. File the material in the suspense file behind the appropriate month guide and in the folder corresponding to the date when material is to be needed.

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