



FILING AND RETENTION SCHEDULE

Directive: 11 – 101

Date of Issue: May, 2016

Amends/Cancel: 11-101 July, 2013

I. PURPOSE

The purpose of this Directive is to establish policies and procedures relating to the filing and retention of records, reports and correspondence.

II. POLICY

It is the policy of the Department of General Services Maryland Capitol Police (MCP) to establish and maintain files in accordance to procedures set forth in this Directive.

III. PROCEDURES

A. ADMINISTRATIVE FILES

These files consist of all correspondence, records and reports which relate to the internal management and general administration of all MCP.

ADM

1 Records Management

Contains a copy of applicable Filing and Retention Schedules.
Maintain the schedule as an ongoing file by updating when amended or revised.

1-1 Records Transmittal and Report

Contains completed copy of Form DGS-RM-11 Record copy maintained by the State Records Center. Retain for 25 years then destroy.

1-2 Certificate of Record Disposal

Upon destroying records, submit a DGS-550-2 form to State Records Center where record copy is maintained. Retain the non-record copy for one year, then destroy.

2 Orders

Contains a copy of all Directives and General Orders issued to announce policies affecting the entire department. Receipt or Appraisal of Orders, Memoranda and Manual Revisions Form 42 will be attached to the applicable General Order. This file also includes the General Order Issuance Record. Retain until order has been superseded, rescinded, or canceled, then move to inactive file.

2-1 Orders (Inactive)

Contains a copy of each Directive or General Order issued by the originating source which has been superseded, rescinded, or canceled. Record copy maintained by the originating source. Retain three years after order has been superseded, rescinded, or canceled, then destroy.

3 Special Orders (Active)

Contains a copy of all Special Orders which affect specific segments of activities and are of a temporary or self-canceling nature. This file also includes the Special Order Issuance Record. Retained by the originating authority until superseded, rescinded, or canceled, then remove to the inactive file. Orders received from other authorities shall be retained until superseded, rescinded, or canceled, then destroy.

3-1 Special Orders (Inactive)

Contains a copy of each Special Order issued by the originating source which has been superseded, rescinded, or canceled. Record copy maintained by the originating source. Retain three years after order has been superseded, rescinded, or canceled, then destroy.

4 Memoranda (Active)

Contains a copy of all Memoranda issued to disseminate information which does not warrant a formal order. This file also includes the Memoranda Order Issuance Record. Retained by the originating authority until superseded, rescinded, or canceled, then remove to the inactive file.

4-1 Memoranda (Inactive)

Contains a copy of each Memoranda issued by the originating source which has been superseded, rescinded, or canceled. Record copy maintained by the originating source. Retain three years after Memoranda has been superseded, rescinded, or canceled, then destroy.

5 Status Reports

Contains copies of those reports prepared by Commanders at originating source and

used to produce the Department Annual Report, as well as to review the operating efficiency of individual Detachments. Record copy maintained by the originating source. Retain three years and until no longer needed, then destroy.

6 Statistical Survey and Reports

Contains printouts from Uniform Crime Reports, Maryland Automated Accident Reporting System, Maryland Motor Vehicle Crash Report and related summaries. Create files as needed. Record copy maintained by originating source.

6-1 Uniform Crime Reports

Record copies and data retain for 5 years then destroy.

6-2 Related Summaries

Retain record copy, plus support data such as monthly and quarterly summaries one year, then destroy. Retain annual summaries used as support data ten years, then destroy. Non-record copies may be destroyed when no longer needed.

7 Daily Radio & Detachment Logs

Daily Detachment Logs: Contains a record of information not entered on the Computer Aided Dispatch System, including incoming and outgoing telephone calls recorded as needed. Attach the Post Designation Report, Daily Active Reports, Vehicle Inspection Report. Cutoff annually. Retain three years, then destroy.

8-1 METERS Message Log

Contains a record of monthly messages transmitted at the originating sources. Record copy of METERS Message Log maintained by the originator. Cutoff annually. Retain three years, then destroy.

8-2 METERS Messages (Open)

Contains the record copy of any METERS Message relating to the theft of firearms where a serial number is known. Retain for NCIC validation as long as needed or until property is recovered. When property is recovered, place record in ADM 8-3.

8-3 METERS Messages (Closed)

Contains the record copy of METERS Messages pertaining to stolen firearms that have been recovered and cleared from NCIC. Retain until information removal has been verified by semi-annual validation process. Retain until information removal has been verified by semi-annual validation process.

8-4 METERS/NCIC - Audit Reports

Audits conducted by the MSP. Retain for 4 years.

8-5 METERS/NCIC – Validations

Receipts/certification letters and validation procedures. Retain for two years.

8-6 METERS/ NCIC Training Correspondence

Letters relating to certifications and re-certifications for NCIC training. Retain for to years.

9 Command Meeting (Minutes)

Contains minutes of Command Level Meetings. Record copy maintained by Headquarters and retained for 3 years then destroyed.

10 Local Meeting (Minutes)

Contains minutes of meetings attended by Detachment Commanders and Assistant Commanders. Record copy maintained by local detachment. Retain three years, then destroy.

11 General Department Correspondence

This file contains all general correspondence. Retain three years or until no longer needed, then destroy.

12 Disaster Plans / Continuity of Operations

Matters relating to civil defense, fire, evacuation or similar non-record material. Maintain until revised.

13 Firearms Inventory

Quarterly & Annual Firearms Inventories. Retain for one year.

14 Applications for Access to Public Records – Pending

Applications for Access to Public Records, that are awaiting review, payment of fees or retrieval from storage or use. Applications awaiting payment of fees will be retained thirty days. When fee is received, place in ADM 14-1; if payment is not received, destroy.

14-1 Applications for Access to Public Records – Approved and Released

Applications for Access to Public Records, for which the fee has been received and copies of the records have been sent. Retain for 3 years then forward to State Records Center.

14-2 Applications for Access to Public Records – Denied Pending

Applications for Access to Public Records, which have been denied and on which an appeal has been entered. Retain until appeal resolved, then place in 14-3.

14-3 Applications for Access to Public Records – Denied and Closed

Access to Public Records, which have been denied and on which an appeal has not been entered or where, on appeal, the denial has been upheld. Retain for 3 years then forward to the State Records Center.

15 Memorandum of Understanding (MOU) - Active

Contains current ratified MOU's entered into by the agency. Retain until cancelled or amended.

15-1 Memorandum of Understanding (MOU) - Inactive

Contains all amended or cancelled MOU's. Retain for 3 years then destroy.

16 Legal Counsel Opinions

Contains all correspondence and opinions by DGS Legal Counsel affecting MCP operations. Retain until amended or superseded.

17 Security Card Applications Denied (Current Year)

This file contains applications for Maryland Security Cards provided to Contractors, Media, Lobbyists, and other non-state employee applications that upon review have been denied. Keep for current calendar year then move to ADM 17-3 unless pending appeal.

17-1 Security Card Applications Pending Appeal

This file contains all denied security card applications that have been appealed in writing to the Chief of Police. Upon review and final decision move to ADM 17 if in current calendar year or to 17-2.

17-2 Security Card Applications Denied (Closed)

This file contains all denied security card applications which have been finalized. Keep for 2 years then destroy.

B. PERSONNEL ADMINISTRATION

These files include correspondence which concern personnel classification, assignment, performance rating, leave, duty schedule and other related topics which document the status of uniformed and civilian employees.

PER

1 Employee Personnel File

- 1-1** Employee Position Description MS-22. Retain for 3 years after retirement or resignation.
- 1-2** Employment Application. Retain for 3 years after retirement or resignation.
- 1-3** Personnel Information. Retain most recent copy.
- 1-4** Emergency Essential Employee Acknowledgement. Retain most recent copy.
- 1-5** Requests to Engage in Secondary Employment. Retain for 3 years after withdrawal.
- 1-6** Performance Evaluations. Retain for 5 years.
- 1-7** Job Observation Material. Retain 3 years.
- 1-8** Personnel Counseling Records. Retain for 3 years.
- 1-9** Personnel Inspection Reports. Retain for one year.
- 1-10** Request for Promotion and recommendations. Retain last submitted.
- 1-11** Leave Donation/Leave Bank Applications. Retain for 3 years.
- 1-12** Attendance Control – Sick Leave Reporting. Retain for 3 years.
- 1-13** Leave Requests – Retain for 3 years.
- 1-14** Transfer Requests and withdrawals – Retain as long as employed.
- 1-15** Personnel Orders – Retain for 3 years after retirement or resignation.
- 1-16** Training Received and Requested - Retain for 3 years after retirement or resignation.
- 1-17** Letters of Appreciation. Retain for 3 years after retirement or resignation.
- 1-18** Awards and Commendations Retain for 3 years after retirement or resignation.

1-19 Equipment Loss/Damage Report – Retain for 3 years.

1-20 Departmental Accidents (excluding disciplinary action). Retain for 3 years.

1-21 Miscellaneous - Retain for 3 years after retirement or resignation.

2 Duty Schedules

Contains monthly on and off-duty status of personnel. Maintained electronically. Retain three years.

3 Auxiliary Personnel Records

Contains alphabetically filed personnel records for each sworn employee. Documents filed include duplicates or extracts of documents filed in the official personnel folder. Commanders will keep these files under lock and key.

4 Requests for Transfer

Contains current active requests for Transfer from one command to another. Retain requests until withdrawn or honored. Record copy maintained by Headquarters.

4-1 Withdraw of Transfer Request

Contains withdrawn requests for transfer. Retain for 5 years. Record copy maintained by Headquarters.

4-2 Requests to Change Shifts

Contains requests to change shifts within a command. Retain until withdrawn. Record copy maintained by local command.

4-3 Withdraw of Shift Change Request

Contains withdrawn requests to change shifts within a command. Retain for 5 years. Record copy maintained by local command.

5 Call-in Sheets

Form used to capture personnel who call in for sick and or emergency leave and those who are calling to report that they will be late. Retain for one year then destroy.

7 MCP Personnel Roster

The personnel Roster is maintained electronically. Retain until superseded.

8 MCP Organizational Charts

Retain until superseded.

9 Eligibility List

Contains lists of qualified applicants for various MCP classifications. Retain current list until superseded.

10 MCP Position Description

Contains position descriptions for MCP employee classifications. Retain until superseded.

11 Completed Position Descriptions

Contains requested and approved position reclassification. Retain until superseded.

12 MCP Interview Questions

Contains a list of questions for Police, Police Communications and Security Officers classifications. Retain until superseded.

13 Requests to Fill Vacancies

This file includes request to fill vacancies. Retain for 2 years, then destroy.

14 First Report Injury (IWIF)

Contains copies of employees' accident reports. Retain non-record copy for 2 years, then destroy.

C. FISCAL

These files consist of all correspondence, records, reports and materials which relate to the fiscal management of MCP.

FIS

1 Budget Requests

This file contains last two fiscal years of budget requests. Retain copy for two years.

2 Invoices Forwarded for Payment

Contains copies of invoices received directly from vendor and forwarded for payment. Record copy maintained by Finance Division. Retain for 3 years then destroy.

3 Cost Analysis

This file contains cost analysis reports generated for specific events or activities. Retain for 3 years then destroy.

4 Expense Reports

Contains copies of expense reports and credit card reports submitted to Finance Division. Retain for 1 year then destroy.

5 Capital Equipment Inventory

This file contains the current report of fixed assets as verified by the Detachment Commander. Retain for one year, then destroy.

6 Employee Work and Leave Reports

Contains non-record copy of signed payroll sheets. Retain for one year, then destroy.

7 Overtime and Compensatory Time

Contains overtime/compensatory time reports (Form 197). Retain for 3 years, then destroy.

7-1 Waiver of Overtime

Contains copies of employee waivers of overtime in lieu of compensatory time. Retain for 3 years then destroy.

7-2 Reimbursable Overtime Requests

This file contains a record of all requests for reimbursable overtime for each pay period. Retain for one year, then destroy.

7-3 Overtime Summary and Analysis

Contains summary and analysis reports regarding overtime control. Retain for 3 years.

8 Open Requisitions

This file contains copies of requisition for items that have not been received

8-1 Closed Requisitions

This file contains copies of requisitions of items that have been received. Retain one year, then destroy.

9 Equipment & Clothing Records

These files contain records of equipment and clothing contracts, specifications and clothing and equipment which have been disposed of. Retain for one year, then destroy or until no longer needed.

10 Vehicle Maintenance and Service Records

This file contains maintenance and service records for each vehicle assigned to the MCP fleet. The file will be created for each vehicle. Record copy maintained by Special Services Division (SSD) Agency Fleet Coordinator. Retain copy for life of vehicle then destroy.

10-1 Motor Vehicle Inspection Report (Initial)

This file contains the original motor vehicle inspection form. Retain for life of vehicle, then destroy.

10-2 Monthly Motor Vehicle Inspection Forms

This file contains the monthly Vehicle Inspection Reports. Record copy retained by SSD Fleet Coordinator. Retain for one year then destroy.

10-3 Damage Reports

This file contains copies of all Vehicle Damage Reports (Form 195) or Departmental Accident Reports for each vehicle. Record copy maintained by SSD Fleet Coordinator. Retain for the life of the vehicle then destroy.

11 Audit Report

Contains any fiscal report required or requested by Department of Budget and Management, or any other responsible authority. Record copy maintained by Finance Division. Non-record copy retained for 3 years.

12 Contracts

Contains copies of initial contracts for leased equipment, service contracts for MCP owned equipment, and copies of vendor contracts for other services. Retain for 3 years after contract expiration or termination.

13 Check Accountability Log

Contains original copy of tracking log for all MCP received checks. Retain for 3 years the destroy.

13-1 Check Accountability

Contains records of all checks forwarded to Finance Division. Retain for 3 years then destroy.

D. OPERATIONS

These files consist of correspondence and reports of all criminal and non-criminal investigations initiated at the detachment. Included are supportive documents such as lab reports, statements, records of impounded properties, and other related material required to complete the investigation.

OPS

1 Applicant Investigation

Contains log listing officer, civilian applicants along with the case number and other data on Pre-Employment Investigations. Record copy of log maintained by the Criminal Investigation Division. Retain log 3 years after investigations are complete, then destroy.

2 Warrants - Open

Contains all open warrants and related documents authorizing personnel to take into custody individuals named thereon. Retain until services or returned, then move to OPS 2-1.

2-1 Warrants – Closed

Contains all closed warrants and related documents. Retain for one year.

2-2 Criminal Summons - Open

Contains summonses mandating appearances before the competent authority. Retain until services or returned, then move to OPS 2-3.

2-3 Criminal Summons – Closed

Contains all closed warrants and related documents. Retain for one year.

3 Court Notification Log

This file shall contain a copy of the summonses, i.e., criminal/ traffic, issued to MCP personnel commanding their appearance in court. The file will contain an individual folder for each member of the detachment. Folders in the file will be arranged in alphabetical order according to the last name of the detachment personnel. The summonses will be maintained in ascending order, i.e., recently received summonses will be filed towards the front. Retain completed logs and file copy of the summonses for one year, then destroy.

4 Complaint Control Ledger (CAD/RMS)

The complaint control ledger is maintained within the CAD/RMS System.

4-1 Criminal Investigator Caseload Ledger

The criminal investigation Caseload Ledger is maintained on-line by CID. Retain for one year after all entries are closed.

5 Incident Reports (CAD/RMS)

Incident reports are maintained with the CAD/RMS System.

5-1 Incident Reports W/ Supplemental Documentation (Open)

Incident Reports with applicable supplemental documentation, (i.e. Request for Laboratory Examination and Examination Analysis Results, where applicable, and Witness Statement-Criminal Investigation, etc.) will be maintained in this file sequentially by Incident Report number and year. Open reports will be retained until suspended or closed.

5-2 Incident Reports W/ Supplemental Documentation (Suspended)

Suspended reports will be retained for 5 years, then forward to State Records Center.

5-3 Incident Reports W/ Supplemental Documentation (Closed)

Closed Reports will be retained for 3 years.

6 BOLO Reports

Contains copies of "Be on the Lookout" Reports. The record copy will be filed in the Detachment by date and area. Retain one year, then review for consideration for further retention or destroy. If the information gathered initiates or pertains to an open investigation, a photocopy of the report will be placed in the appropriate case folder.

7 Crime Prevention Reports

Contains copies of all Security Review and Survey Reports and Incident Reports relating to crime prevention. Record copy retained by the originating source. Retain 3 years, then destroy.

8 Motor Vehicle Crash Reports (ACRS)

Motor Vehicle Crash Reports will be maintained in the Maryland Automated Crash Reporting System (ACRS).

8-1 Motor Vehicle Crash Reports with Supplemental Documentation (Open)

Motor Vehicle Crash Reports with applicable supplemental documentation, (i.e. Request for Laboratory Examination and Examination Analysis Results, Witness Statements, etc.) will be maintained in this file sequentially by the CAD/RMS Incident Report number and year. Open reports will be retained until closed.

8-2 Motor Vehicle Crash Reports with Supplemental Documentation (Closed)

Retain for 3 years.

9 METERS/NCIC (Active File)

Contains copies of opened, closed or suspended Criminal Investigation Reports and Incident Reports having active MILES/NCIC entries for stolen vehicles, boats, guns, articles, securities, tags, unidentified persons and wanted persons. Retain reports in this file until MILES/NCIC entry is cleared, return reports to the appropriate file (opened, closed or suspended) and retain as schedule indicates.

10 Request for Police Reports

Contains all requests for copies of MCP reports. Retain three years from open date, then destroy.

11 Vehicle Report – Open

Contains all open Vehicle Reports with applicable supplementary reports attached. Record copy maintained by the originating source. Retain until closed then move to 11-1.

11-1 Vehicle Report – Closed

Contains all closed Vehicle Reports, Release Authorizations and applicable supplementary reports. Record copy maintained by the originating source. Retain for 3 years.

12 Citation Book Issuance Control Ledger

Contains a record of citation books issuance to officers. Coded by citation number and issued in sequential order. Record copy maintained by originating source. Retain completed forms 2 years, then destroy.

12-1 Traffic Citation Transmittal Form

Contains record of those citation copies which are forwarded to District Court on a daily basis. Record copy maintained by the appropriate court.

13 Warnings

Contains copies of the official MCP Warning issued. Retain 3 years from date of issue then destroy.

14 Safety Equipment Repair Orders

Contains the law enforcement agency copy of an SERO (Safety Equipment Repair Order) issued by MCP personnel. Retain for 18 months.

15 Property Records (Open)

Contains open property records filed consecutively by property record number, with related documents such as Request for Laboratory Examination Form, Crime Laboratory Division Evidence Receipt and/or Court Receipt for Property.

15-1 Property Records (Closed)

Contains all completely closed property records and all attachments. Retain nonrecord copy one year after full release, then destroy.

15-2 Detachment Property Log

The Detachment Property Log is maintained on-line. This file contains information pertaining to the control and inspection of all material being held by MCP detachments and disposition of same Form 99. Log will be maintained for five years, then destroy.

15-3 Property Inventory Reports

The file contains all quarterly inventory inspection reports and any associated documentation related to the inspections. Retain for 5 years then destroy.

16 Building Sign In/Out Logs

This file contains copies of sign in/out logs for each detachment with regards to after hours access and egress. Retain for two years, then destroy.

17 Contractor's Log

Contains the daily sign in/out, name and number of the contractor working at the Detachment. Retain one year, then destroy.

18 Key Control Logs

This file contains the daily record of keys issued and received by the Detachment. Retain one year, then destroy.

20 Special Work Orders

This file contains original copies of special work notifications for maintenance and contract work after hours. Retain for one year then destroy.

21 Special Details

This file contains correspondence which relates to special events/functions which occur on an annual basis. (Examples - Commission Week, Navy football). Retain for one year then destroy.

22 Parking

Contains correspondence pertaining to parking at DGS parking garages and parking lots. Retain list(s) for one year then destroy.

23 Radar/Laser Equipment Testing and Monitoring

Records of maintenance and use of radar equipment assigned to units. Retain as long as equipment is in use. Contains completed Radar Calibration/Inspection and Certification Reports which detail the accuracy of radar devices. Retain as long as the device is in use.

23-1 Radar/Laser Operator Certifications

This file contains an alphabetical listing of all MCP Radar operators and their certifications.

24 Driving While Under the Influence Cases - Open

Contains all open alcohol influence reports and all related documents. For a statted case on file for one year, solicit a decision from the State's Attorney's Office on the question of closing the case or retaining it on file and reassessing in one year. For open cases on file for 5 years, that do not involve personal injury, fatalities, property damage or damage to other vehicles, commanders will close the cases administratively and destroy the case files 30 days after informing the State's Attorney of the cases scheduled for destruction and the date they will be destroyed.

24-1 Driving While Intoxicated Cases - Closed

Contains all closed alcohol influence reports and all related documents. Record copy maintained by the originating source. Retain for one year after adjudication.

25 DR-15A Book Issuance Control Ledger

Contains a record of DR-15A Books issued to MCP personnel. Coded by form number and issued in sequential order. Retain for 3 years.

26 Criminal Arrest Juvenile Detention Log

Contains record of juvenile arrests. Contains copy of Detention Log for juvenile detentions only, for use in capturing data for Juvenile Justice Advisory Council survey. Retain for 3 years.

27 Semi-Annual Report On Juveniles Held in Lockups/Cells

Contains completed copy of the Semi-Annual Report On Juveniles Held in Lockups/Cells. Record copy maintained by Juvenile Justice Advisory Council.

28 Expunged Records

Contains all completely expunged records retained by Department in a secure location (i.e., locked closet, locked file cabinet). Retain for 3 years.

29 K-9 Activities

Contains copies of records of activities generated by K-9 personnel. Record copy filed at installation where K-9 handler is assigned. Non-record copy filed with Headquarters.

30 Standard Operating Procedures (SOP) - Active

Contains copies of current SOP's for each location and facility. Retain until superseded after which move to OPS 30-1.

30-1 Standard Operating Procedures (SOP) – Inactive

Contained SOP's that have been rescinded or replaced. Retain for 3 years then destroy.

E. TRAINING

Documents in this file consist of brochures, announcements, schedules and reports requiring attendance at, or participation in, training programs conducted at police academies and various institutions.

TNG

1 General Training Correspondence

This file contains all general training correspondence. Retain three years or until no longer needed, then destroy.

2 Academies and Special Courses

Contains informative materials relating to special schools available to DGS personnel.

3 Request for Special Assignment/Training Reports

Contains copies of requests for training or special assignment reports. Retain until action is taken on the request, then destroy.

4 Weapons Qualification (Combat Course)

Contains records of training and qualifications with department firearms recorded on MCP Qualifications/Rounds Score Sheet. Copy forwarded to Maryland Police Training Commissions. Original copy maintained by MCP Training Unit. Retain two years, then destroy.

5 In-service Program

Contains records of In-service training and scores. Record copy forwarded to Maryland Police Training Commissions. Non-record copy maintained by MCP Training Unit. Retain two years, then destroy.

6 MPTC Correspondence

This file contains all MPTC correspondence. Retain three years or until no longer needed, then destroy.

7 Training Curriculum

This file contains copies of all MCP training curriculum. Retain while in use and for 3 years thereafter.

8 Ad-Hoc Recommendations

Contains copies of reports and recommendations submitted by the Ad-Hoc Training Committee. Record copy maintained by the Training Unit. Retain for one year.