



RECORDS MANAGEMENT

Directive: 11 – 100

Date of Issue: July 2013 Amends/Cancel: Chapter IX Sec 1

I. PURPOSE

The purpose of this Directive is to prescribe procedures for records management regarding:

1. The development and implementation of a continuing records management program for each Detachment, division and unit.
2. The organization and maintenance of current records.
3. The disposition of all record and non-record materials.

II. POLICY

It is the policy of the Department of General Services Maryland Capitol Police (DGS-MCP) to maintain files required by the Record Retention Schedule number 754 DGS Annapolis Buildings & Grounds and 898 DGS Baltimore Buildings and Grounds.

III. AUTHORITY

The Records Management Act of 1953, Annotated Code of Maryland, Article 54 establishes standardization of file and records.

IV. PROCEDURES

A. Management System for Law Enforcement Operations

1. This system will create a file system within the existing Department of General Services records system titled "Department of General Services' Police Law Enforcement Operations".
2. The system is intended to govern the management of DGS-MCP records that pertain to its law enforcement operation.
3. The system establishes
 - (a) What records will be maintained
 - (b) How they will be maintained

- (c) Retention period
- (d) Method of disposal

B. Guidelines for Filing

1. Do not file useless paper. The filing records should be restricted to those records listed in the department's filing schedule. Filing less has four primary advantages:
 - (a) Faster Finding,
 - (b) Faster Filing,
 - (c) Easier Disposal,
 - (d) Saves space, equipment and supplies.
2. Limit the number of copies of each document prepared to those which are specifically required, or requested, or which serve a valid purpose. Do not file the extra copies of:
 - (a) General Orders, Memorandums, Special Orders and other internal Directives.
 - (b) Incoming correspondence commonly known as the "courtesy copy".
3. Technical Reference Publication Library consist of copies of printed or reproduced pamphlets, magazines, technical reports and related publications maintained by choice, as a source of useful information. Supply catalogs and similar informative publications are not listed in the Filing System because they often involve numerous subjects and cannot be categorized under any specific topic. They may, in fact, be disposed of at the pleasure of the Commander.
4. Most duplicate files are maintained merely for convenience; seldom are they essential to the operation of the detachment. Duplicate files kept at various locations within an office may seem efficient, but they are costly to maintain and can be misleading because they do not always contain a complete history or sufficient background data necessary to make sound decisions. Furthermore, duplicate files can often undermine the main files.
5. Eliminate Extra Copies - Creation of extra copies should be limited to those which will be of significant value to the detachment and only when the responsibility for their maintenance can be firmly established. Shown below are some of the ways to minimize the creation and receipt of extra copies:
 - (a) Review and trim the distribution lists for correspondence and other papers dispatched from your detachment.

- (b) Discontinue sending extra copies unless there is a known need.
 - (c) Request to be removed from the distribution list, if information copies are routinely received from a particular office which do not concern your operation.
6. Review carefully the publications you are receiving. Request deletion from the mailing list of those not pertinent to the functions of your division/detachment.

C. Filing System and Arrangements

1. Case Files are the simplest and easiest of all to maintain and constitute the largest single type of file maintained by DGS-MCP. They consist of groups of file folders arranged in numerical, alphabetical, chronological or geographical sequence, each group generally containing the same types of papers which tend to document an action from its beginning to its end. The following are samples of some of the more common files with arrangement patterns as maintained by DGS-MCP.

TYPE	METHOD OF FILING
Daily Logs	CAD/RMS
Daily Radio	CAD/RMS
Warrants	Warrant Control Number
Accident Reports	Complaint Control Number
Criminal Investigations	Complaint Control Number
Personnel Records	Alphabetical

2. Technical reference files consist of printed reports, publications, manuals, law enforcement magazines, sales literature, specification manuals, supply catalogs, digests and similar reproduced or printed materials kept in the office or library only as a source of useful information. Since technical reference materials need to be organized and arranged along library lines, rather than in folders and cabinets, they have not been included in the filing outline. This does not mean that they should be maintained without any control. After carefully selecting those publications pertinent to your office, adequate measures should be taken to organize and maintain them in a manner best suited to the needs of your office. In this respect, the following should prove helpful.

- a. At least once a year, screen the file to remove:
 - (1) All rescinded and obsolete materials.
 - (2) Material which has been included in another publication maintained by the office.
 - (3) Material of no informational value.
- b. Use one of the following methods to arrange the file:
 - (1) SUBJECT arrangement if there are several documents which can be grouped by broad subject topics.
 - (2) SOURCE arrangement if there are reference materials from several sources and users request them by source.
 - (3) TITLE arrangement when users request documents by title.
 - (4) NUMBER arrangement when publications, such as catalogs, laws, and manuals are identified and requested by number.
- c. Use standard folders for filing letter size and near letter-size documents which do not have identifying information on the spine.
- d. Use binders for filing manuals and other publications which are changed and updated through the issuance of new pages.

D. Files Maintenance

- 1. The simplest and most convenient method of carrying out records disposition is to "cutoff" or "break" each -file regularly and start a new file. A files cutoff system prevents the accumulation of files beyond actual current needs, prevents the growth of files into cumbersome, unmanageable collections, simplifies the retirement and destruction of records in blocks, facilitates reference to current files and restricts the requirements for additional space and equipment.
- 2. Case files may be cutoff at the termination of a transaction. For example, when an investigation has been completed and the case finally adjudicated, the folder(s) can be marked with the date of termination and placed apart from open cases This applies to files which are designated with open and closed provisions only.
- 3. Chronological sequence files, such as accounting and fiscal, are easy to cutoff since they are initially filed by fiscal or calendar year. At the time of cutoff, simply move the files to an inactive file area until they can be transferred to State Record Management Center. Those files that qualify for immediate destruction will be destroyed in accordance with State of Maryland Guidelines for Records Reduction.

4. A charge out record will be made and substituted for all documents removed from the file for reference purposes. Information entered on the charge out record is used for locating the documents when it is removed from the drawer. When the documents are returned to the drawer, the entries are lined out and the record is available for reuse.
5. Drawer labels and folder labels also help to find files or file faster in correct folders. Drawer labels narrow the search to one drawer, guide labels to several folders and folder labels to the contents of one folder. Labels should be in large type and colored if possible, to help identify the contents.
6. Usually the first label read is the drawer label. It should normally show the file title, years covered and the segment of the file included in that drawer. Where possible, and sometimes as a necessity, a distinction between active and inactive files and the kind of file arrangement should also be shown as indicated below:

ADMINISTRATION -- ADM

ADM 1 (Records Management)
to
ADM 5 (Status Reports)

OPERATIONS -- OPS

OPS 3 (Warrants)
to
OPS 13 (Detention Log)

7. The second label usually needed is the guide label which should clearly show the contents of the folders which follow. In many instances, this label will be identical to the label on the first folder behind the guide. For numbered case files, guide labels should reflect numeric breakdowns of the file at regular intervals, perhaps at every group of 10 numbers. For alphabetical files, guide labels are not needed for each letter of the alphabet, but they should be placed at intervals to identify the largest and most used collection of folders and show the file code, as well as the topic.
8. The entire files system is designed and planned to direct the user speedily to one folder. If the label on the folder does not completely and exactly identify the contents, even the best files system falters. A good folder label should reflect in no more than three lines; the specific name, letter, geographic location, topic, number, code or symbol identifying exactly the contents of that folder. If folders are broken down in chronological order, indicate the segment kept in each particular folder.