

RECORDS INVENTORY AND RETENTION SCHEDULE COVER SHEET

Schedule Number (To be completed by DGS/Records Management Division)	2998
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Agency Information

Department / Agency	Office of the Public Access Ombudsman
Division / Unit	<i>N/A - Office of the Public Access Ombudsman is an independent office created by General Provisions Article § 4-1B-02 that is administratively supported by the Office of the Attorney General's Public Access Unit.</i>
Mission Statement/Link to division/unit website	https://news.maryland.gov/mpiaombuds/#

Schedule Information

Supersedes Schedule(s)	2810
Amends Schedule(s)	

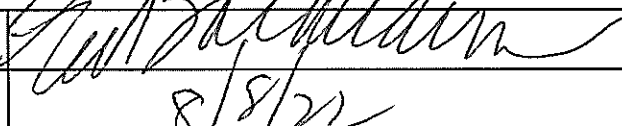
Preparer Information

Name of Preparer	S. Spencer Dove
Title of Preparer	Administrative Officer
Preparer Email Address	sdove@oag.state.md.us
Preparer Telephone Number	410-576-7035
Date	April 7, 2022

Agency Approval

Name of Agency Director	Lisa Kershner
Agency Director Signature	
Date	April 7, 2022

State Archivist Approval

State Archivist Signature	
Date	8/8/22

DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION RECORDS INVENTORY AND RETENTION SCHEDULE	Schedule No. 2998 (To be completed by DGS/Records Management Division)
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Records Series Title: Mediation Files	Page 1 of 9
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Record Series Content	This record series typically contains a request from an applicant or custodian for Ombudsman assistance, notes, working papers, and emails between the Ombudsman, an applicant, and a records custodian. Depending on the outcome of the mediation, the files may contain consent documents from the parties and an agreed resolution (either as emails or written agreement).
Record Series Function	Chronicle of assistance to applicant or custodian with PIA issues
Organization/Arrangement	Alphabetical for each fiscal year (July 1 through June 30)
Indexing System	Mediation File Index Database (Item 5)
Restrictions (Law or Regulation Citation)	§ 4-1B-04(d) of the General Provisions Article, § 3-1803 of the Courts & Judicial Proceedings Article (Maryland Mediation Confidentiality Act)
Formats (paper, electronic, etc.)	Electronic and paper
Volume (file drawers, gigabytes, etc.)	Paper. 6 File drawers. Electronic 8 gigabytes
Annual Accumulation (file drawers, gigabytes, etc.)	2 File drawers. 2 Gigabytes
Current Location	200 St. Paul Place, 19 th Floor, Baltimore MD 21202; and PAU Drive of the Office of the Attorney General
Audit Requirements	None
Date Span	12/20/16 to present
Completeness /Gaps	Complete

Schedule Item Number	1
Retention	Paper and digital files both retained in office 3 years after file is closed, then destroyed.
Justification for Permanent Retention	

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
 RECORDS INVENTORY AND RETENTION SCHEDULE

Schedule No. 2998

(To be completed by DGS/Records Management Division)

Records Series Title: Report Working Papers and Notes

Page 2 of 9

Record Series Content	This record series typically contains notes, working papers, and emails gathered by the Ombudsman to perform an investigation or to prepare a report.
Record Series Function	Documentation of research and deliberation for investigative and other reports.
Organization/Arrangement	Chronological
Indexing System	None
Restrictions (Law or Regulation Citation)	In general, records are open to public access, but in the case of investigatory reports and related materials the Ombudsman may possess some confidential and/or restricted records, e.g., §§ 4-301, 4-311, 4-344, 4-351 of the General Provisions Article. These records will be maintained in a fashion such that their status as confidential is identifiable.
Formats (paper, electronic, etc.)	Electronic and paper
Volume (file drawers, gigabytes, etc.)	5 File Drawers, 2 Gigabytes
Annual Accumulation (file drawers, gigabytes, etc.)	1 File drawer, 500 megabytes
Current Location	200 St. Paul Place, 19 th Floor, Baltimore MD 21202; and PAU Drive of the Office of the Attorney General
Audit Requirements	None
Date Span	2016 to present
Completeness /Gaps	Complete

Schedule Item Number	2
Retention	Paper and digital files retained in office 5 years after file is closed then destroyed.
Justification for Permanent Retention	

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
 RECORDS INVENTORY AND RETENTION SCHEDULE

Schedule No. 2998

(To be completed by DGS/Records Management Division)

Records Series Title: Investigative and Other Reports

Page 3 of 9

Record Series Content	This record series includes all final investigative reports and other official publications.
Record Series Function	Official reports mandated by statute or other legal authority.
Organization/Arrangement	Subject
Indexing System	None
Restrictions (Law or Regulation Citation)	None
Formats (paper, electronic, etc.)	Electronic and paper
Volume (file drawers, gigabytes, etc.)	< 1 file drawer. 1 megabyte
Annual Accumulation (file drawers, gigabytes, etc.)	< 1 report, 500 kilobytes
Current Location	200 St. Paul Place, 19 th Floor, Baltimore MD 21202; and PAU Drive of the Office of the Attorney General
Audit Requirements	None
Date Span	2016 to present
Completeness /Gaps	Complete

Schedule Item Number	3
Retention	Retain in office for 5 years then transfer to Maryland State Archives for permanent retention.
Justification for Permanent Retention	Official reports mandated by statute or other legal authority.

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
 RECORDS INVENTORY AND RETENTION SCHEDULE

Schedule No. 2998

(To be completed by DGS/Records Management Division)

Records Series Title: Administrative Files

Page 4 of 9

Record Series Content	This record series typically contains correspondence files, notes, working papers, and emails gathered by the Ombudsman to perform administrative functions that are not part of a mediation. Examples include staff memoranda, staff meeting agendas, caseload status updates, and redirecting inquiries from the public that do not fit within the mediation role of the Ombudsman. Note that hiring occurs through the Office of the Attorney General, so the Ombudsman's materials do not constitute the official employee documents.
Record Series Function	Documentation of administration activities of office, including correspondence, statistical analysis of program, and office procedures.
Organization/Arrangement	Chronological
Indexing System	None
Restrictions (Law or Regulation Citation)	Some materials may be subject to §§ 4-1B-04, 4-301, 4-311, 4-344 of the General Provisions Article or other legal protections.
Formats (paper, electronic, etc.)	Electronic and paper
Volume (file drawers, gigabytes, etc.)	2 file drawer, 2 gigabytes
Annual Accumulation (file drawers, gigabytes, etc.)	1 file drawer; 500 megabytes
Current Location	200 St. Paul Place, 19 th Floor, Baltimore MD 21202; and PAU Drive of the Office of the Attorney General
Audit Requirements	None
Date Span	12/20/17 to present
Completeness /Gaps	Complete

Schedule Item Number	4
Retention	Retain for one year then destroy.
Justification for Permanent Retention	

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
 RECORDS INVENTORY AND RETENTION SCHEDULE

Schedule No. 2998

(To be completed by DGS/Records Management Division)

Records Series Title: Mediation File Index Database

Page 5 of 9

Record Series Content	Finding aid for item 1. The index is in the form of an Excel spreadsheet and Access database. Includes fields for file number, date received, person requesting assistance, dispute description, and disposition date.
Record Series Function	Data collection for Ombudsman mediation activity
Organization/Arrangement	Alphabetical
Indexing System	None
Restrictions (Law or Regulation Citation)	§ 4-1B-04(d) of the General Provisions Article, § 3-1803 of the Courts & Judicial Proceedings Article (Maryland Mediation Confidentiality Act)
Formats (paper, electronic, etc.)	Electronic
Volume (file drawers, gigabytes, etc.)	1 gigabyte
Annual Accumulation (file drawers, gigabytes, etc.)	250 megabytes
Current Location	200 St. Paul Place, 19 th Floor, Baltimore MD 21202; and PAU Drive of the Office of the Attorney General
Audit Requirements	None
Date Span	2016 to present
Completeness /Gaps	Complete

Schedule Item Number	5
Retention	Paper and digital files both retained in office 5 years after file is closed, then destroyed.
Justification for Permanent Retention	

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
 RECORDS INVENTORY AND RETENTION SCHEDULE

Schedule No. 2998

(To be completed by DGS/Records Management Division)

Records Series Title: Program Aggregate Statistical Reports

Page 6 of 9

Record Series Content	This record series typically contains summary reports of Ombudsman caseload statistics and training activities published to the Ombudsman's website.
Record Series Function	Tracking of Ombudsman caseload and activities.
Organization/Arrangement	Chronologically
Indexing System	None
Restrictions (Law or Regulation Citation)	None
Formats (paper, electronic, etc.)	Electronic and paper
Volume (file drawers, gigabytes, etc.)	>1 file drawer, 3 Megabytes
Annual Accumulation (file drawers, gigabytes, etc.)	>1 file drawer, 4000 Kilobytes
Current Location	200 St. Paul Place, 19 th Floor, Baltimore MD 21202; PAU Drive of the Office of the Attorney General
Audit Requirements	None
Date Span	2016 - present
Completeness /Gaps	Complete

Schedule Item Number	6
Retention	Paper and digital files retained in office 5 years, then destroyed.
Justification for Permanent Retention	

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
 RECORDS INVENTORY AND RETENTION SCHEDULE

Schedule No. 2998

(To be completed by DGS/Records Management Division)

Records Series Title: Training and Outreach Materials

Page 7 of 9

Record Series Content	This record series typically contains training materials including presentations and formatted handouts for PIA trainings provided to custodians and the public. Outreach materials include hard copy and/or digital training handouts, website files, twitter posts, and blog posts.
Record Series Function	Education materials on the PIA.
Organization/Arrangement	Chronological
Indexing System	None
Restrictions (Law or Regulation Citation)	None
Formats (paper, electronic, etc.)	Electronic and paper
Volume (file drawers, gigabytes, etc.)	>1 file drawer, 1 gigabyte
Annual Accumulation (file drawers, gigabytes, etc.)	500 megabytes
Current Location	200 St. Paul Place, 19 th Floor, Baltimore MD 21202; and PAU Drive of the Office of the Attorney General
Audit Requirements	None
Date Span	2016 to present
Completeness /Gaps	Complete

Schedule Item Number	7
Retention	Paper and digital files retained in office 5 years after training/outreach conducted, then destroyed.
Justification for Permanent Retention	

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
 RECORDS INVENTORY AND RETENTION SCHEDULE

Schedule No. 2998

(To be completed by DGS/Records Management Division)

Records Series Title: Legislative Tracking and Comments

Page 8 of 9

Record Series Content	Letters of comment and research materials pertaining to proposed amendments to the PIA as well as the text of existing law.
Record Series Function	Tracks and documents comment provided to legislative committees or representatives concerning proposed or existing provisions of the PIA.
Organization/Arrangement	Chronological
Indexing System	None
Restrictions (Law or Regulation Citation)	None
Formats (paper, electronic, etc.)	Electronic and paper
Volume (file drawers, gigabytes, etc.)	>1 file drawer. 300 Megabytes
Annual Accumulation (file drawers, gigabytes, etc.)	100 megabytes
Current Location	200 St. Paul Place, 19 th Floor, Baltimore MD 21202; and PAU Drive of the Office of the Attorney General
Audit Requirements	None
Date Span	2016-present
Completeness /Gaps	Complete

Schedule Item #	8
Retention	Paper and digital files retained in office 5 years after end of legislative session, then destroyed.
Justification for Permanent Retention	

DEPARTMENT OF GENERAL SERVICES
 RECORDS MANAGEMENT DIVISION
 RECORDS INVENTORY AND RETENTION SCHEDULE

Schedule No. 2998

(To be completed by DGS/Records Management Division)

Records Series Title: Final Determinations Relating to Mediations

Page 9 of 9

Record Series Content	Final Determination is issued by the Public Access Ombudsman at the conclusion of a mediation as required by § 4-1B-04(b),(c) of the General Provisions Article.
Record Series Function	Tracks and documents Final Determinations issued by the Public Access Ombudsman at the conclusion of a mediation.
Organization/Arrangement	Chronological
Indexing System	None
Restrictions (Law or Regulation Citation)	§ 4-1B-04(d) of the General Provisions Article; § 3-1803 of the Courts & Judicial Proceedings Article (Maryland Mediation Confidentiality Act)
Formats (paper, electronic, etc.)	Electronic
Volume (file drawers, gigabytes, etc.)	300 Megabytes
Annual Accumulation (file drawers, gigabytes, etc.)	100 megabytes
Current Location	PAU Drive of the Office of the Attorney General
Audit Requirements	None
Date Span	Beginning July 1, 2022 and going forward
Completeness /Gaps	

Schedule Item #	9
Retention	Digital files retained in office 5 years after file is closed, then destroyed.
Justification for Permanent Retention	