INSTRUCTIONS FOR COMPLETING
RETENTION SCHEDULE CHANGE REQUEST

1. **CHANGE REQUESTED:** Check the appropriate box. Complete series # information if applicable.
2. **RECORD FORMAT:** Select the appropriate box/s. How are the records kept? In paper form, microfilm, imaging, computer, or other.
3. **HOW ARE THE RECORDS FILED:** Select the appropriate box and write directly by your selection how the records are arranged? Example: arranged alphabetically by employee's last name.
4. **HOW OFTEN ARE THE RECORDS REFERENCED:** Indicate each year if the records are referenced weekly, monthly or yearly and how often. Example: 1st year: 3 per week; 2nd year: 4 per month: 3rd Year: 6 per year.
5. **ORIGINAL OR COPY:** If these records are the original records select the original box. If these records are a copy, and another program or department is responsible for maintaining the original check this box.
6. **RATE OF ACCUMULATION:** Estimate amount of paper documents accumulated per year.
7. **REQUESTED RECORD TITLE:** *** Please enter the title of the records as you would identify the records in your office. For instance if the records are Invoices, then enter Invoices.
8. **DESCRIPTION: ***** Please document the following information:
   ⇒ What the records consist of. Usually this is a repeat of the title; but if the title does not clearly explain the records include a brief sentence expanding on the title.
   ⇒ Information found in the records. For example, time sheet information includes: name, social security number, pay period ending date, days worked, days off, hours worked, hours off, total hours for the period and signature of the employee and the supervisor.
   ⇒ Why are the records maintained or what do you use the records for. Examples: Records maintained for reference purposes, used for administrative purposes, retained for audit purposes, federally required to maintain the records, records used to initiate the payroll process and document hours worked.
   ⇒ If you indicated on number two above, **THIS IS A COPY**, please indicate who maintains the original.
9. **REQUESTED RETENTION AND DESTRUCTION SCHEDULE: ***** Please enter how long the records need to be retained based on your business practices; any laws, rules, or regulations or audit cycle (4 years if the records need to be audited).
10. **JUSTIFICATION FOR REQUESTED SCHEDULE:** Please note any rules, laws or statutes which require you to maintain the records.
11. **YOUR NAME:** Sign your name, date and telephone number.
12. **DEPARTMENT RECORDS OFFICER SIGNATURE:** Have your Records Officer sign, date, and include the telephone number.
13. **If completed by the Agency Records Officer, then email the form to BOA-RECMGT FRONT DESK.**
   *** **See "Records Retention and Destruction Schedule, Records Description and Retention"**

__PLEASE CALL RECORDS MANAGEMENT WITH ANY QUESTIONS 773-3589__

Retention Schedule Change Request	**Department:**
BOA Records Management Program	**Division:**
SFN 01224-0007 (12-01)	**Office:**

Program:

Records Officer:

Customer Number:

Instructions: Use this form to request a change in an existing Records Retention and Destruction Schedule Manual. Please type or print in the blanks provided. If you need additional space, use the back of this form. Your agency records officer or your department head must sign and date this form below before Records Management can act on your request.

#1
- ☐ Amend Series # ____
- ☐ Delete Series # ____
- ☐ Add New Series

#2 Record Format
- ☐ Paper
- ☐ Microfilm
- ☐ Imaging
- ☐ Computer
- ☐ Other ____

#3 Filing Method
- ☐ Alpha. ____
- ☐ Chron. ____
- ☐ Num. ____
- ☐ Other ____

#4 Reference Rates

Year 1	Year 2	Year 3
____ Per week	____ Per week	____ Per week
____ Per month	____ Per month	____ Per month
____ Per year	____ Per year	____ Per year

☐ **This is an original #5**
☐ **This is a copy**

Rate of Accumulation: ____ cubic ft/year **#6**
(3,000 documents =1 cubic foot)

Requested Record Title: **#7**

Description: (Include purpose for which the record was created and a sample of the type of information contained in the record series.)

#8

Requested Retention and Destruction Schedule: (If unknown, leave blank)

#9

Justification for Requested Schedule: (Include statutes, ARSD, federal laws, etc.)

#10

Your name: #11	**Date:**	**Telephone number:**
Department Records Officer Signature: #12	**Date:**	**Telephone number:**

RECORD RETENTION AND DESTRUCTION SCHEDULE
RECORD DESCRIPTION AND RETENTION

The following information is a guide in writing the description and retention for each record series in the Record Retention and Destruction Schedule (RRDS). Currently Record Management follows a three sentence format when writing the description. On an occasion a fourth sentence is used.

1. TITLES. A well written record title will assist you in associating the record series in the RRDS with the files in your office. How you refer to the records on a day to day basis should be the title used in the manual. Keep in mind the "universal" title used throughout the office should be the title associated with the file; and always avoid using "slang" titles.

2. DESCRIPTION. Will consist of the following sentences:
- The first sentence tells how the files or the records are arranged and what the records contain. For example on Personnel Files: This series is arranged alphabetically by name and contains a folder for each employee in the agency.
- The second sentence will be an itemized list of what is in the file. This sentence may vary because you may or may not know what is included. The beginning sentence may start in either of the following ways: Information includes: Information may include: Information may include, but is not limited to: For example on Personnel Files the second sentence may read as follows: Information may include but is not limited to: applications for employment, personal data sheets, personnel action notices, position description questionnaires, authorizations for payroll deductions, letters of reprimand and commendation, resumes, service record, notices of resignation, W-4 forms, training records, and supervisors' reports of employee separation.
- The third sentence will tell why the records are being kept. In other words, the purpose for maintaining the records. For example with the Personnel Files: These files serve as a history of the employees' service and training with the facility and provide payroll information. Examples of reasons for maintaining records may include: auditing purposes, administrative purposes, statute, laws, rules and regulations, and historic reasons.
- The fourth sentence, which is optional, will tell where else the record can be located, how long the record is kept in the alternate department, and why that department maintains the record. The fourth sentence identifies who owns a record and who merely uses the record. For example for Personnel Files for State Agencies: The originals are maintained by the Bureau of Personnel Human Resource Office for three years after employee termination.

3. Retention:
- The retention may be written to indicate the media in which the records are being maintained and how long the records are to be retained. For examples: Retain 1 year in office, then microfilm and maintain film for 9 years. Destroy after 10 years provided no litigation, claim, or audit is pending. In this example, the agency may have felt the administrative value of the records is 1 year; therefore, the agency maintains the records 1 year in office before sending to be microfilmed. On occasion the retention may not be written to be specific. For example: Retain 10 years, then destroy. How specific the retention is written will depend on the office policies on the handling of inactive records.

Record Retention Values

The following four values are used to evaluate and determine how long a record needs to be retained. After assigning the corresponding values to a record, the greatest value will be the retention.

1. Administrative Value:
   - The time frame a record needs to be retained to assist an agency in performing its normal day to day office functions.
   - The time frame a record is used to assist in the activities of an office.
   - The primary administrative value of a record is the initial use of the record for a certain transaction. When the transaction has been completed, the record no longer has administrative value.

2. Fiscal Value:
   - The time frame a record needs to be retained for financial/fiscal purposes.
   - The time frame is related to the financial transactions, auditing, budgeting and accounting functions of an agency.

3. Legal Value:
   - The time frame a record needs to be retained because the record contains proof of enforceable rights, obligations or other legal standing.
   - The value includes any record establishing: Ownership (titles); rights or privileges (drivers' licenses); obligation (contracts, leases and agreements); legal condition (court ruling, approved laws and regulations); and action taken by a governing body which affects the public (proclamations, meeting minutes).
   - The time frame a record needs to be retained if law dictates an entity to maintain a record.
   - The time frame a record needs to be retained if a law dictates how long a record is to be retained.

4. Historical Value:
   - The value found in a record which relates to a significant event or documents the history and development of an agency.
   - Vital Records are the official state records which contains information: required for a state agency to continue functioning during a disaster and/or required for an agency to reestablish operations after a disaster has ended.