

**INSTRUCTIONS FOR COMPLETING
RETENTION SCHEDULE CHANGE REQUEST**
PLEASE CALL RECORDS MANAGEMENT WITH ANY QUESTIONS AT 773-3589.

For additional information see the enclosed “Records Description and Retention” and “Records Retention Values”.

1. Enter the proper Department/Division
2. Enter the proper Office/Program
3. Enter Records Officer’s Name
4. Enter appropriate Records Management Customer Number
5. Requested Change: Check the appropriate box. If applicable, complete Series #.
6. Record 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, then check copy. Specify the department or program responsible for maintaining the original.
7. Record Format: Select the appropriate box(s). If format is “Other”, then specify the record format.
8. If applicable, select and/or specify the storage location of the electronic record.
EDMS = Electronic Document Management System (used to manage the creation, storage, capture, distribution, retention, and retrieval of documents within a centralized repository).
9. Requested Record Title: **AVOID USING “SLANG” TITLES.** Enter the title of the records as you would identify the records in your office. The “universal” title used throughout the office should be the title associated with the file. For instance if the records are Contracts and Agreement, then enter Contract and Agreements.
10. **DESCRIPTION: ***** Please document the following information:
 - ⇒ How the series is arranged (i.e. This series is arranged alphabetically by....., chronologically by....., numerically by.....).
 - ⇒ 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.
11. Requested Retention Period: Enter how long the records need to be retained based on your business practices; any laws, rules, or regulations; or audit period (i.e. 4 years if the records need to be audited).
12. Justification for Requested Retention: Provide any rules, laws or statutes which require you to maintain the records and supports the retention period.
13. Your Name: Enter the name of individual completing the form, date and telephone number.
14. Department Records Officer Signature: Your Department Records Officer must sign before Records Management can act on the request. Have your Records Officer sign, date, and include the telephone number.
15. **If completed by the Agency Records Officer, then email the form to BOA-RECMGT FRONT DESK.**

**INSTRUCTIONS FOR COMPLETING
RETENTION SCHEDULE CHANGE REQUEST**

**Retention Schedule Change Request
BOA Records Management Program
SFN 01224-0007 (02/2018)**

Instructions: Use this form to request changes to Records Retention and Destruction Schedule Manual. Please type or print neatly. Your agency records officer must sign and date this form before Records Management can act on your request.

Complete one form for each record series request.

#1. Department/Division:

#2. Office/Program:

#3. Records Officer:

#4. Records Management Customer Number:

#5. Requested Change: Add New Series Amend Series #: Delete Series #:

#6. Record is the original
 Record is a copy (Specify the Department or Program responsible for maintaining the original.)

#7. Record Format: Paper Electronic Other (Specify):

#8. If applicable, select or specify storage location of the electronic record:

EDMS-(Specify System): Network (Shared) Drive Local Drive
 Other, Explain:

#9. Record Title:

Description: (*New or Amending record series: List how the series is arranged; what the series contains; list the type of information found in the series; and provide a reason why the record is being maintained or what the series is used for. For records series Deletes: Provide the reason for deletion.*)

#10.

Requested Retention Period: Based on Administrative, Fiscal, or Legal Values (If unknown, leave blank).

#11.

Justification for Requested Retention: Provide state or federal law, ARSD, etc. that supports the requested retention period.

#12.

#13. Your name:

Date:

Telephone #:

#14. Department Records Officer Signature:

Date:

Telephone #:

RECORDS 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 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.

RECORDS 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 re-establish operations after a disaster has ended.