I. POLICY

A retention schedule shall be established for all record material and records shall be disposed of as approved by the State Records Commission.

II. PROCEDURE

A. Purpose

The purpose of this directive is to provide instructions to staff for determining appropriate record retention periods.

B. Applicability

This directive is applicable to all correctional facilities, offices, programs and parole services within the Department.

C. Facility Reviews

A facility review of this directive shall be conducted at least annually.

D. Definitions

Non record material – includes material which is used in the course of business which does not depict the organization, function, policies, decisions, procedures, operations, etc. of the facility or Department.

Official record – the copy maintained by the originating office; and the copy maintained by other offices which is used to support entries to journals, ledgers, books of records, information systems, logs or analytical reports.

Record material – includes all books, papers, electronic records, maps, photographs or other official documentary materials, regardless of physical form or characteristics, made, produced, executed or received by any agency in the State in pursuance of State law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its successor as evidence of the activities of the State or of the State government, or because of the informational data contained therein.

E. Requirements

1. The Agency Records Retention Coordinator shall:
a. Obtain required approvals from the State Records Commission for the retention period of each series of records.

b. Maintain the approved Records Retention Schedule for all record series. The retention schedule shall include the minimum period of time the records described shall be retained. This may include the minimum period of time the records must be retained at the facility and when they may be transferred to the State Records Center for the remainder of the retention period. The retention schedule may also include the manner in which specific records must be retained permanently.

c. Distribute the approved Records Retention Schedule to all local Records Retention Coordinators and update the schedule when necessary.

2. Each local Records Retention Coordinator shall conduct periodic reviews of material at the facility to:

a. Determine whether the material is record or non record material.

b. Determine whether the record material is considered an official record which is subject to the records retention program.

c. Determine whether all official records are listed on the Records Retention Schedule. Report unlisted official records to the Agency Records Retention Coordinator to ensure an approved retention period is established. The report shall include:

   (1) Record series title;
   (2) Earliest record series date, and if the records series is obsolete, the latest record series date;
   (3) Current volume (cubic feet) of record series;
   (4) Estimated annual accumulation (cubic feet);
   (5) Arrangement of records (i.e., chronological, alphabetical, etc.);
   (6) A complete description of the types of records in the series; and
   (7) Recommended periods for retention at the facility and at the State Records Center.

3. The local Records Retention Coordinator shall ensure that:

a. All official records are preserved in accordance with Administrative Directive 02.95.105 and properly disposed of when appropriate in accordance with Administrative Directive 02.95.110.

b. All other records and non record material are disposed of as deemed appropriate or as indicated in other departmental directives.