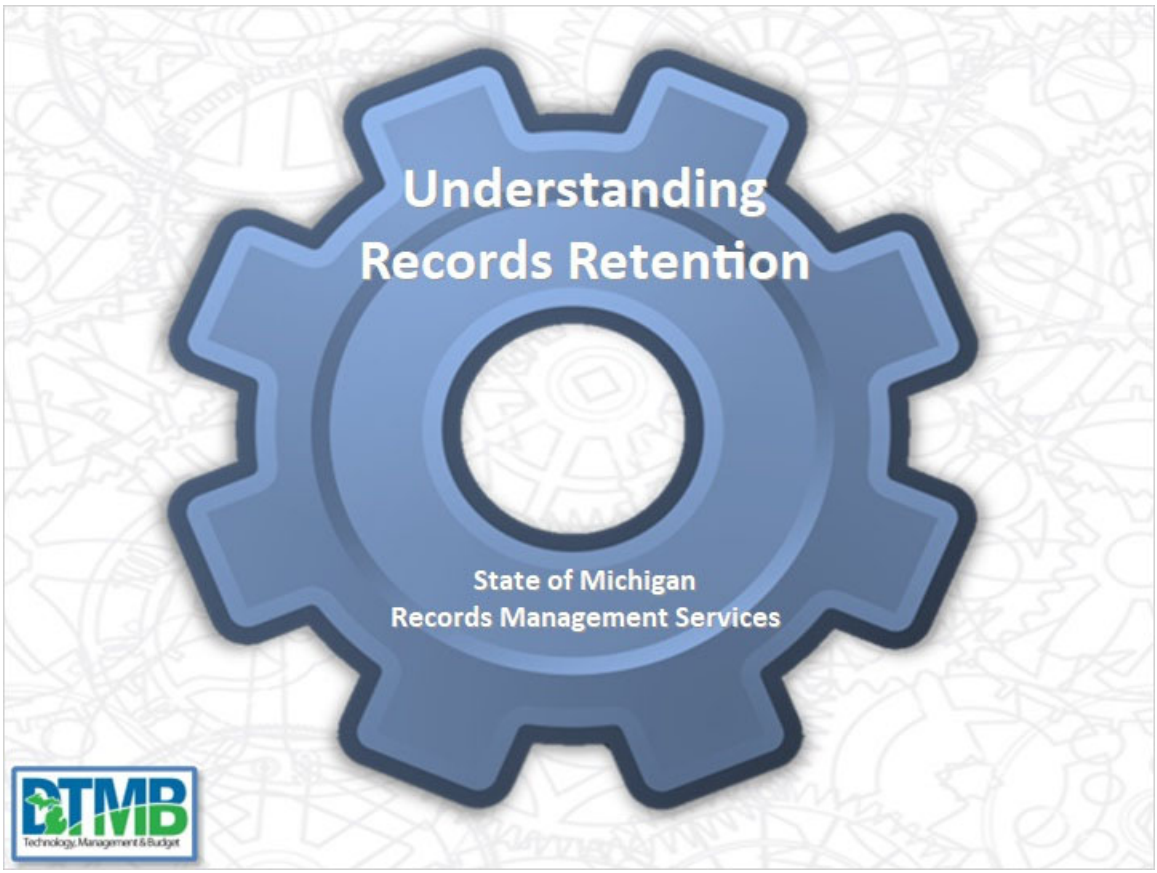
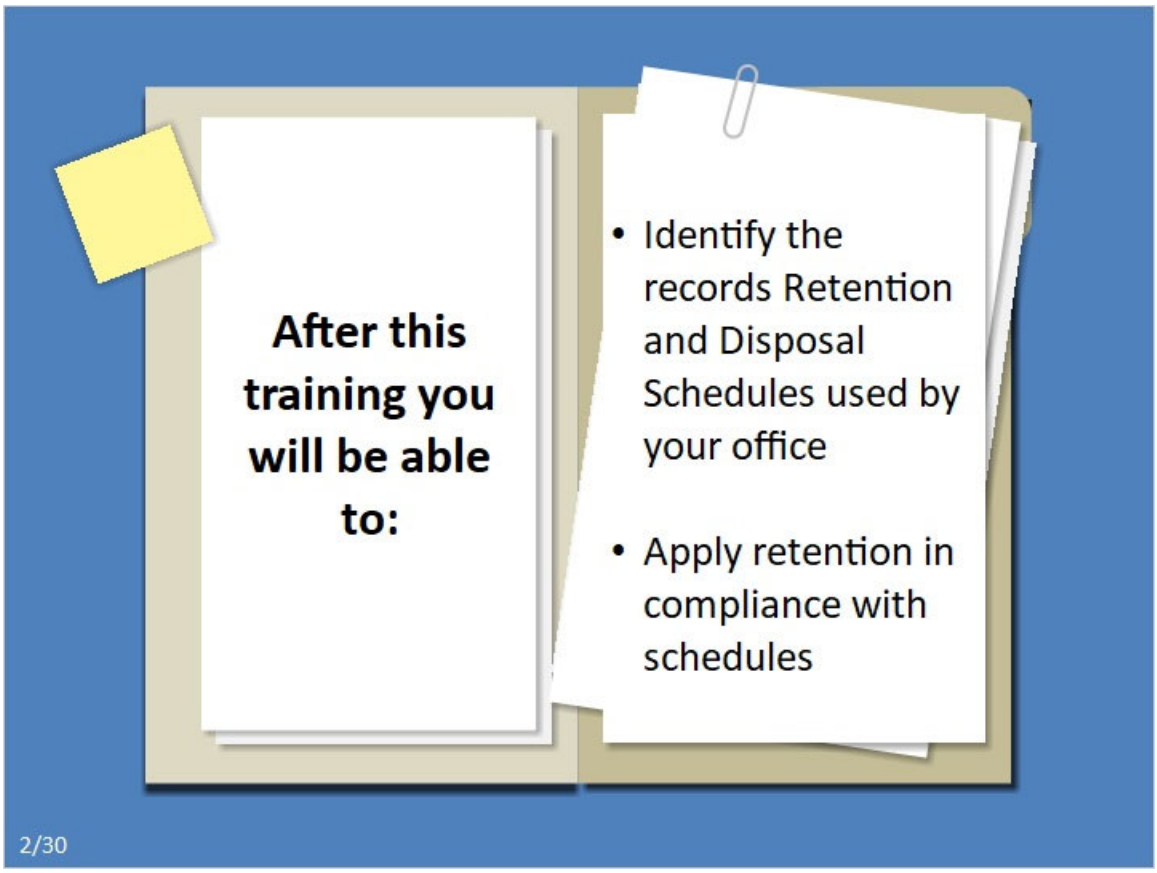
Understanding Records Retention



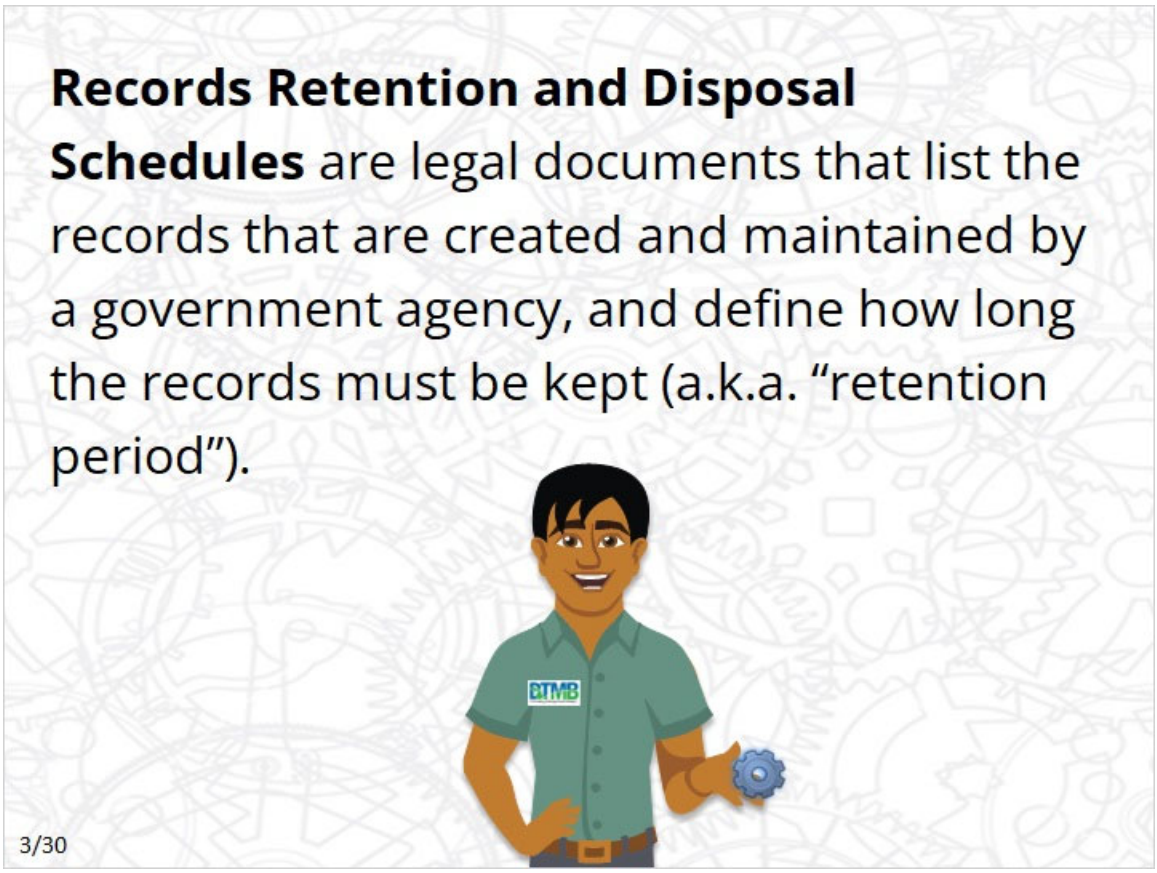
Notes:

Welcome to the online class, “Understanding Records Retention,” offered by the State of Michigan, Records Management Services.



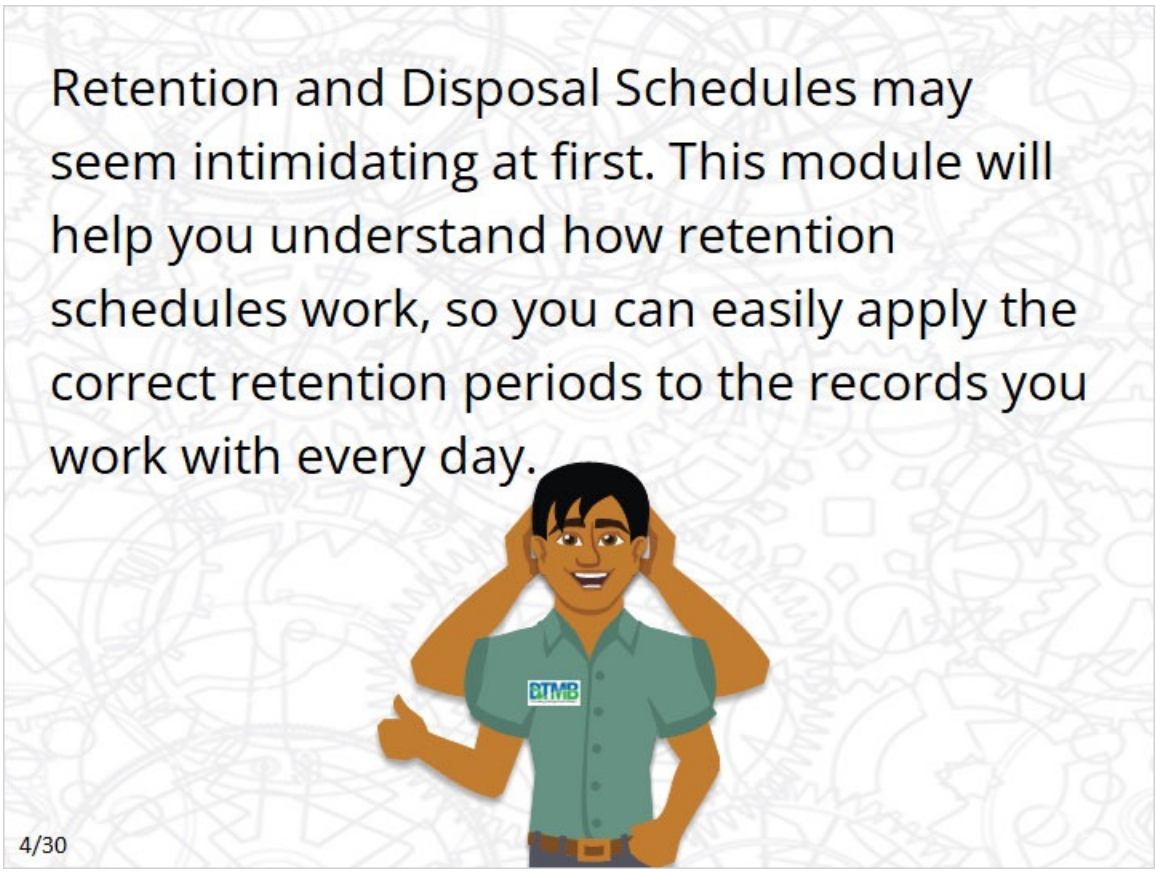
Notes:

After this training you will be able to identify the records Retention and Disposal Schedules used by your office, and apply retention in compliance with schedules.



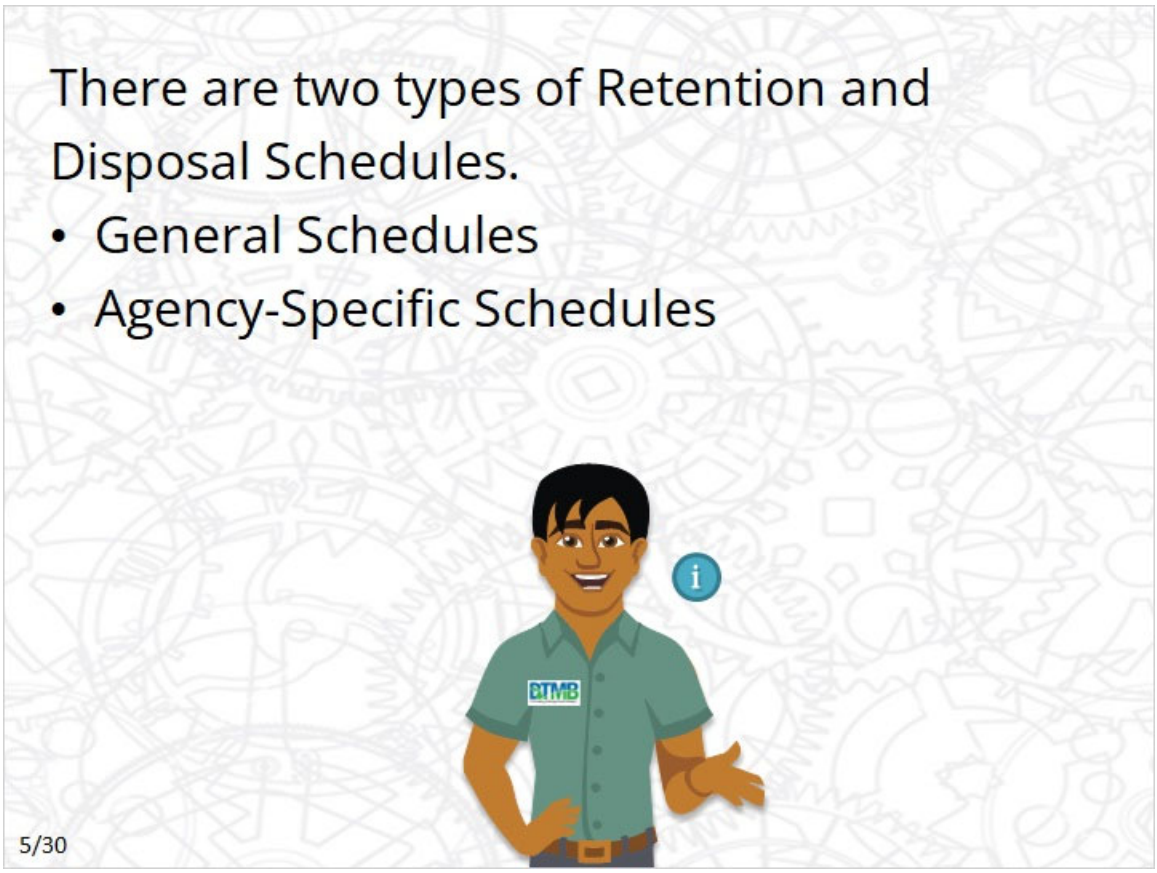
Notes:

Records Retention and Disposal Schedules are legal documents that list the records that are created and maintained by a government agency, and define how long the records must be kept (also known as the record’s “retention period”).



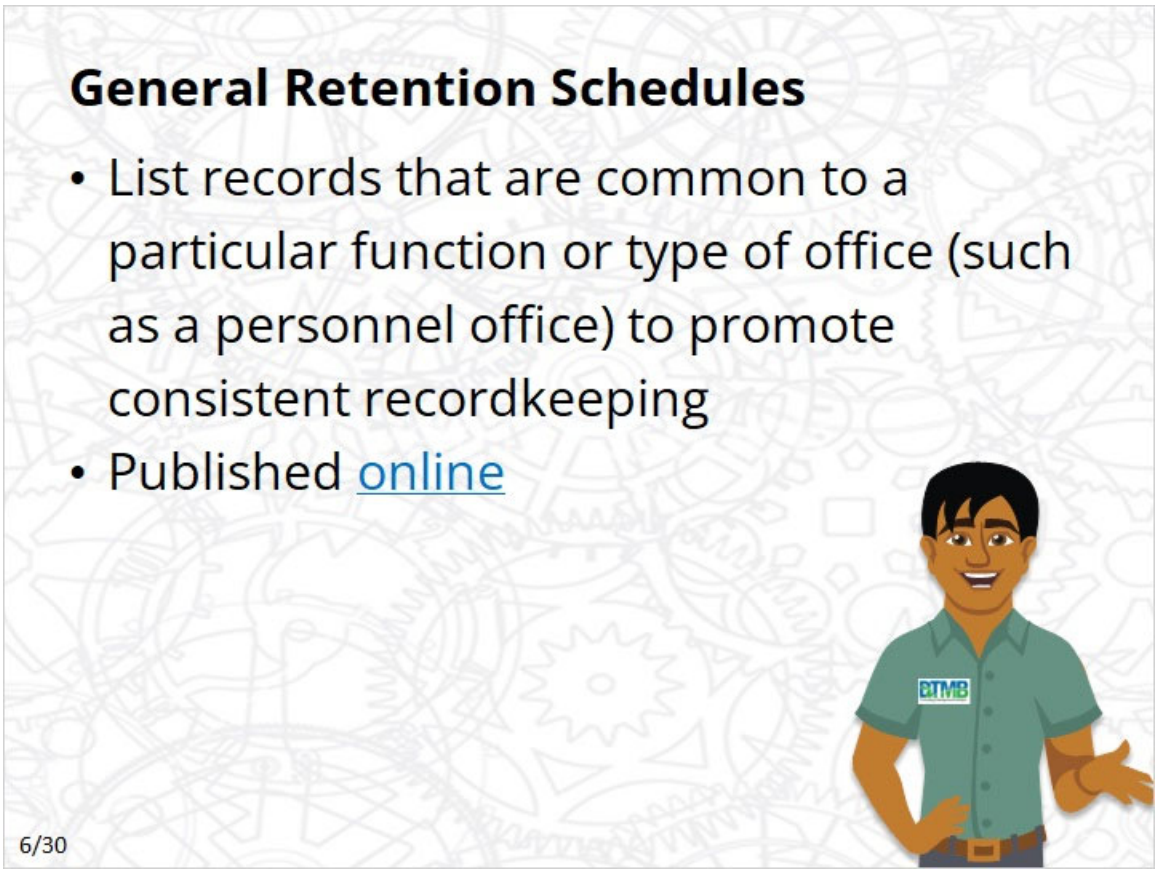
Notes:

Retention and Disposal Schedules may seem intimidating at first. This module will help you understand how retention schedules work, so you can easily apply the correct retention periods to the records you work with every day.



Notes:

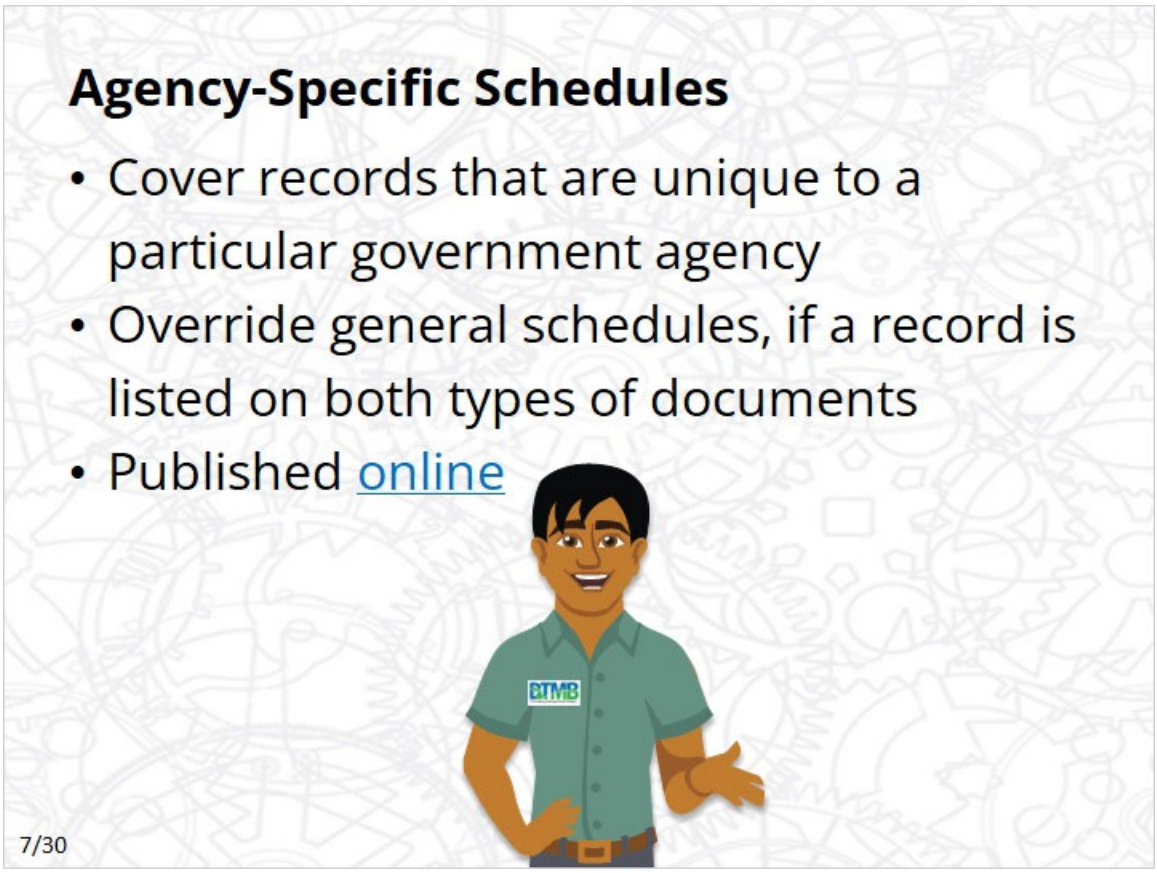
There are two types of Retention and Disposal Schedules: General Schedules and Agency-Specific Schedules. These two types of schedules work together, and all agencies need to refer to both to ensure they are managing all records. If an office only looks at one type of schedule, they will have an incomplete picture of their record retention requirements.



Notes:

General Retention Schedules list records that are common to a particular function or type of office (such as a personnel office) to promote consistent recordkeeping. General Schedules are published online.

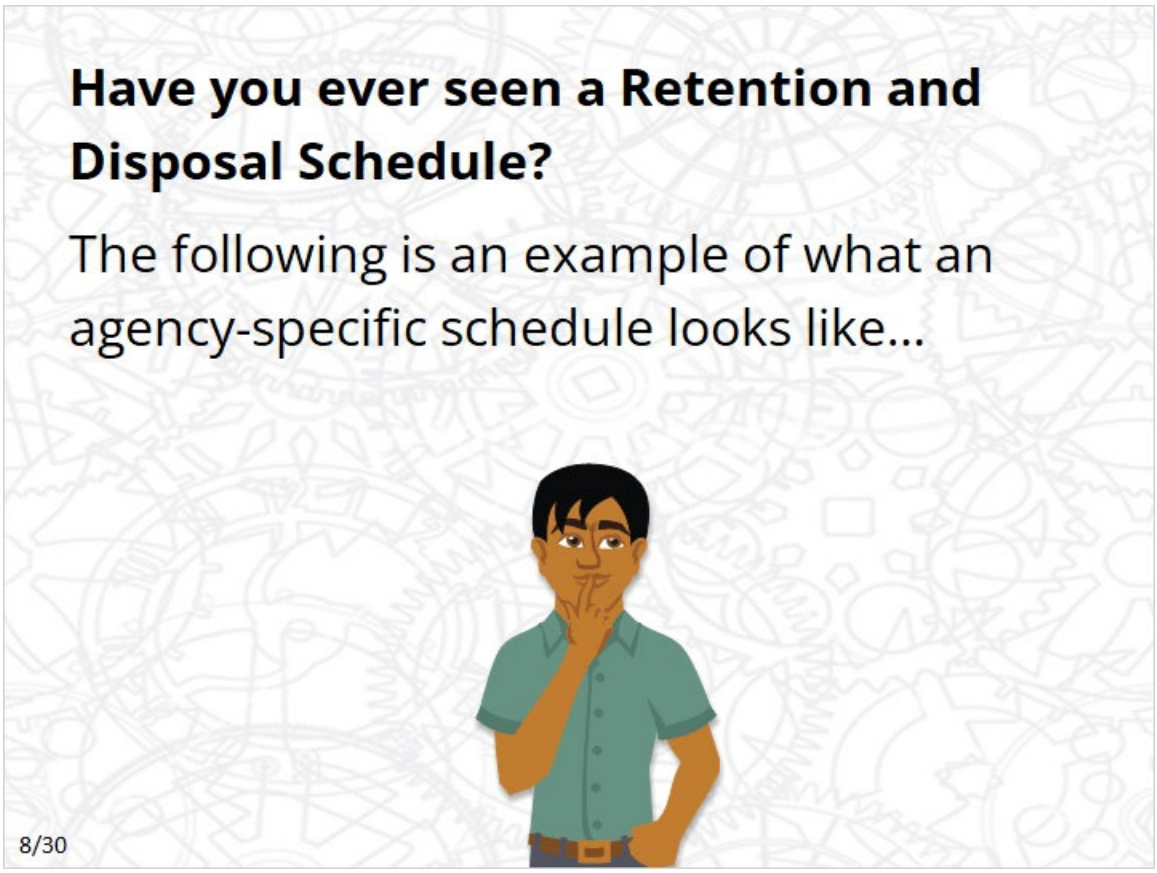
State government schedules can be accessed at https://stateofmichigan.sharepoint.com/sites/SOM-SPC-Records-Management/SitePages/Schedules.aspx, and local government schedules are online at https://www.michigan.gov/dtmb/services/recordsmanagement/schedules.



Notes:

Agency-Specific Schedules cover records that are unique to a particular government agency. They override general schedules, if a record is listed on both types of documents.

Specific schedules for state government are published online at https://stateofmichigan.sharepoint.com/sites/SOM-SPC-Records-Management/SitePages/Schedules.aspx. Specific schedules for local government schedules are not published.

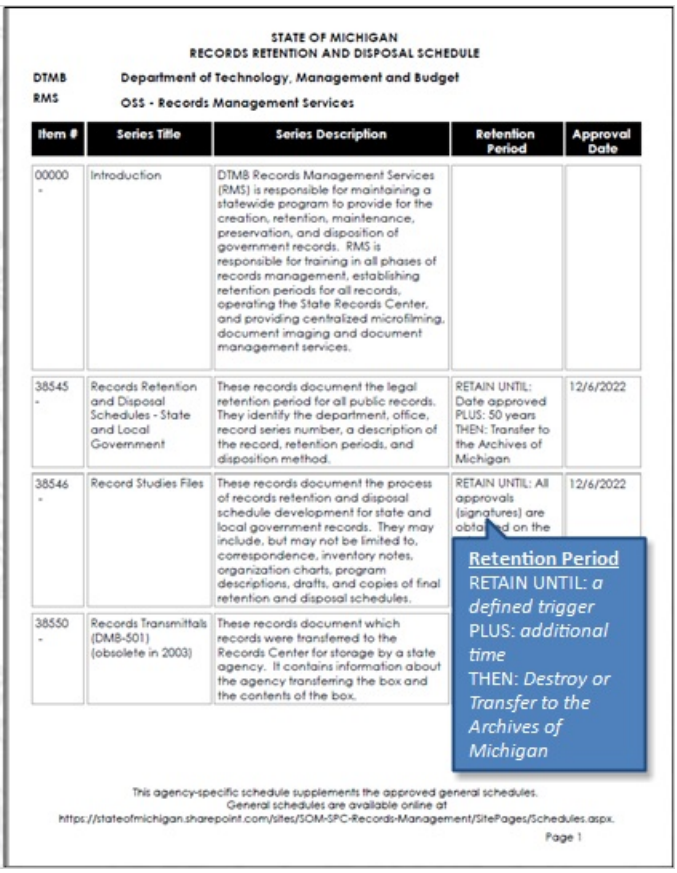


Notes:

Have you ever seen a Retention and Disposal Schedule? The following is an example of what an agency-specific schedule looks like…

Reading Schedules

Each item listed on a schedule is assigned a unique number. The schedule defines what the records are, how long they need to be kept, and their final disposition instructions.



STATE OF MICHIGAN
RECORDS RETENTION AND DISPOSAL SCHEDULE

DTMB Department of Technology, Management and Budget
RMS OSS - Records Management Services

Item #	Series Title	Series Description	Retention Period	Approval Date
00000 -	Introduction	DTMB Records Management Services (RMS) is responsible for maintaining a statewide program to provide for the creation, retention, maintenance, preservation, and disposition of government records. RMS is responsible for training in all phases of records management, establishing retention periods for all records, operating the State Records Center, and providing centralized microfilming, document imaging and document management services.		
38545 -	Records Retention and Disposal Schedules - State and Local Government	These records document the legal retention period for all public records. They identify the department, office, record series number, a description of the record, retention periods, and disposition method.	RETAIN UNTIL: Date approved PLUS: 50 years THEN: Transfer to the Archives of Michigan	12/6/2022
38546 -	Record Studies Files	These records document the process of records retention and disposal schedule development for state and local government records. They may include, but may not be limited to, correspondence, inventory notes, organization charts, program descriptions, drafts, and copies of final retention and disposal schedules.	RETAIN UNTIL: All approvals (signatures) are obta[illegible] on the	12/6/2022
38550 -	Records Transmittals (DMB-501) (obsolete in 2003)	These records document which records were transferred to the Records Center for storage by a state agency. It contains information about the agency transferring the box and the contents of the box.		

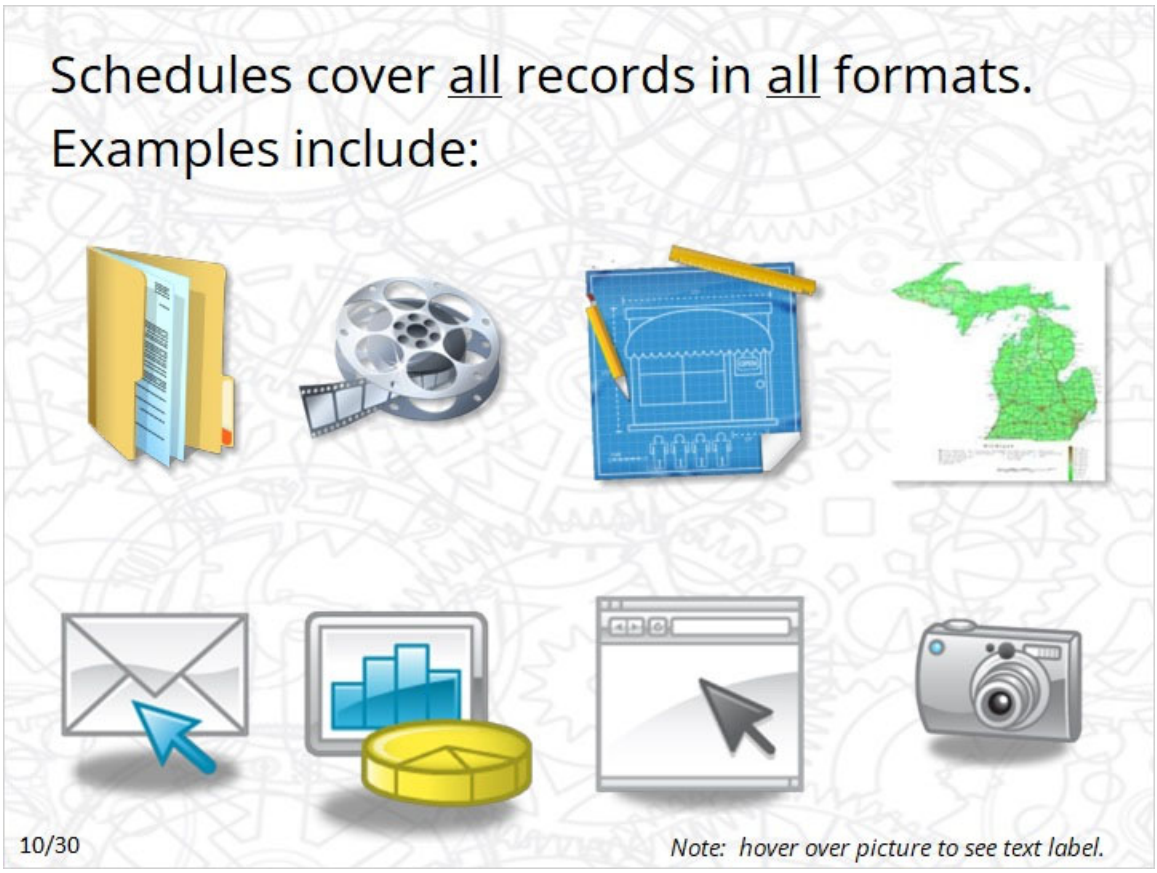
Retention Period
RETAIN UNTIL: *a defined trigger*
PLUS: *additional time*
THEN: *Destroy or Transfer to the Archives of Michigan*

This agency-specific schedule supplements the approved general schedules.
General schedules are available online at
https://stateofmichigan.sharepoint.com/sites/SOM-SPC-Records-Management/SitePages/Schedules.aspx.
Page 1

9/30

Notes:

Each item listed on a schedule is assigned a unique number. The schedule defines what the records are, how long they need to be kept, and their final disposition instructions.

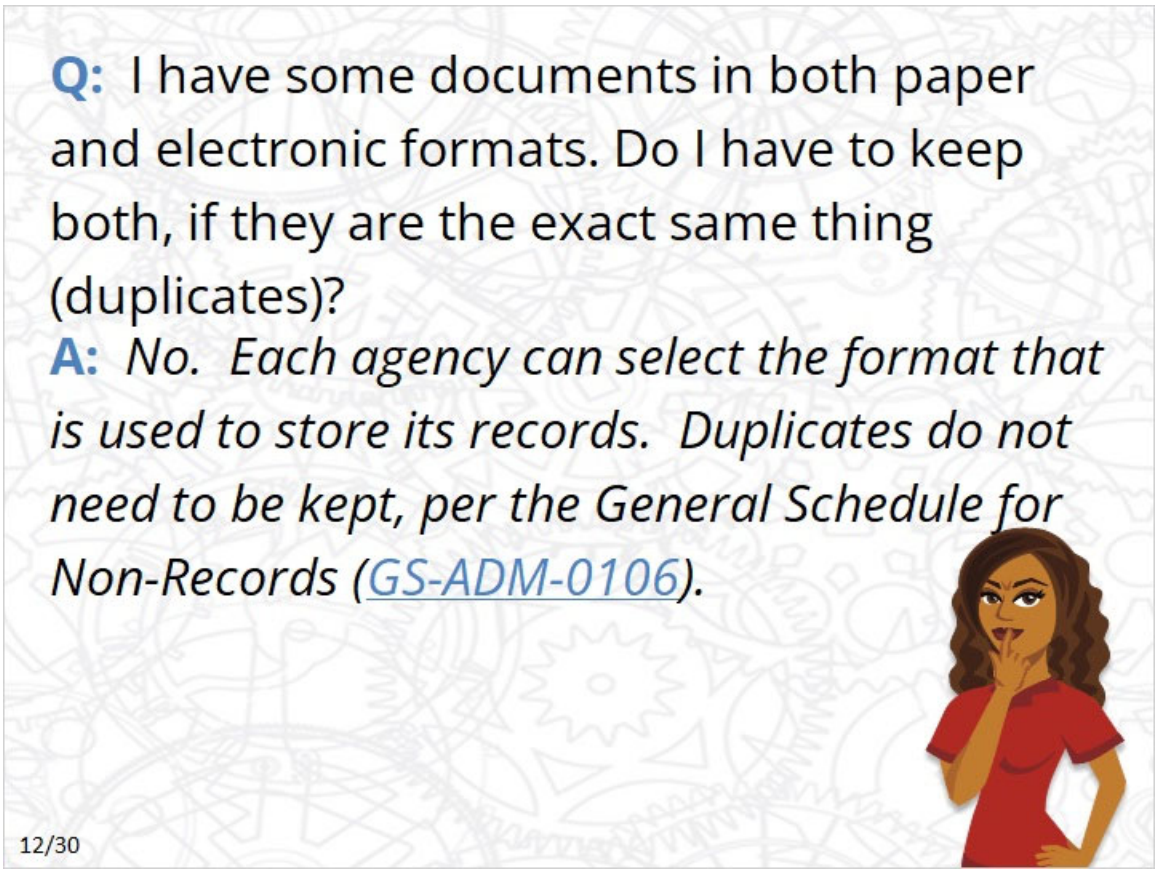


Notes:

Schedules cover all records in all formats. Examples include: paper files, microfilm, maps, email, text messages, social media postings, electronic data, electronic files, digital images, photos and videos (print and digital), etc.

Notes:

Schedules cover records, regardless of where they are stored. Examples include: file cabinets, microfilm, computer hard drives, cloud storage, electronic messaging systems (email, text, chat, social media, etc.), shared and individual network drives, storage boxes, external storage devices, etc.



Notes:

Question: I have some documents in both paper and electronic formats. Do I have to keep both, if they are the exact same thing (duplicates)?

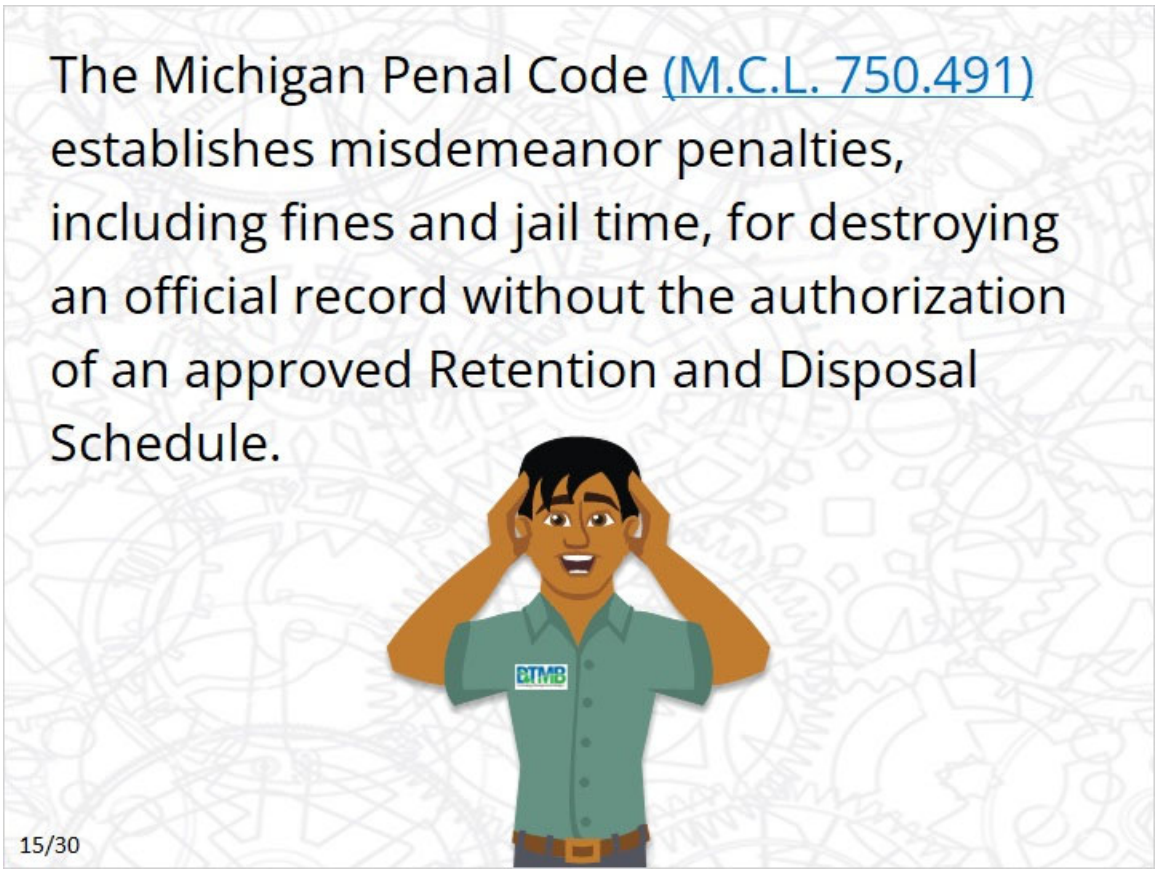
Answer: No. Each agency can select the format that is used to store its records. Duplicates do not need to be kept, per the General Schedule for Non-Records.

Notes:

Michigan law (M.C.L. 18.1285(2)) requires that all government records be listed on an approved Retention and Disposal Schedule. The Michigan Compiled Laws (M.C.L.) are available online at https://www.legislature.mi.gov/.

Notes:

Records cannot legally be destroyed without the authorization of a schedule. The default retention period for records that are not listed on a schedule is permanent, because there is no authorization to destroy them.



Notes:

The Michigan Penal Code (M.C.L. 750.491) establishes misdemeanor penalties, including fines and jail time, for destroying an official record without the authorization of an approved Retention and Disposal Schedule. The Michigan Compiled Laws (M.C.L.) are available online at https://www.legislature.mi.gov/.

A record's "retention period" sets the amount of time that an agency is required to keep a record. Some retention periods are very short, and some are very long.

The retention period is based primarily on how long the records are needed to support the agency's work activities, but various legal, financial and historical factors are also addressed.

16/30

Notes:

A record's "retention period" sets the amount of time that an agency is required to keep a record. Some retention periods are very short, and some are very long.

The retention period is based primarily on how long the records are needed to support the agency's work activities, but various legal, financial and historical factors are also addressed.

Schedules identify whether the records will be destroyed or transferred to the Archives of Michigan for permanent preservation at the end of the retention period.

17/30

Notes:

Schedules identify whether the records will be destroyed or transferred to the Archives of Michigan for permanent preservation at the end of the retention period. The Archives' website is https://www.michigan.gov/dtmb/services/archives-of-michigan.

Notes:

Retention and Disposal Schedules are reviewed and approved by: the agency creating the records, Records Management Services, Archives of Michigan, Attorney General, Auditor General, and the State Administrative Board.

Q: I have some records that are currently not listed on a schedule. How do I get them added to a schedule so I don't have to keep them forever?

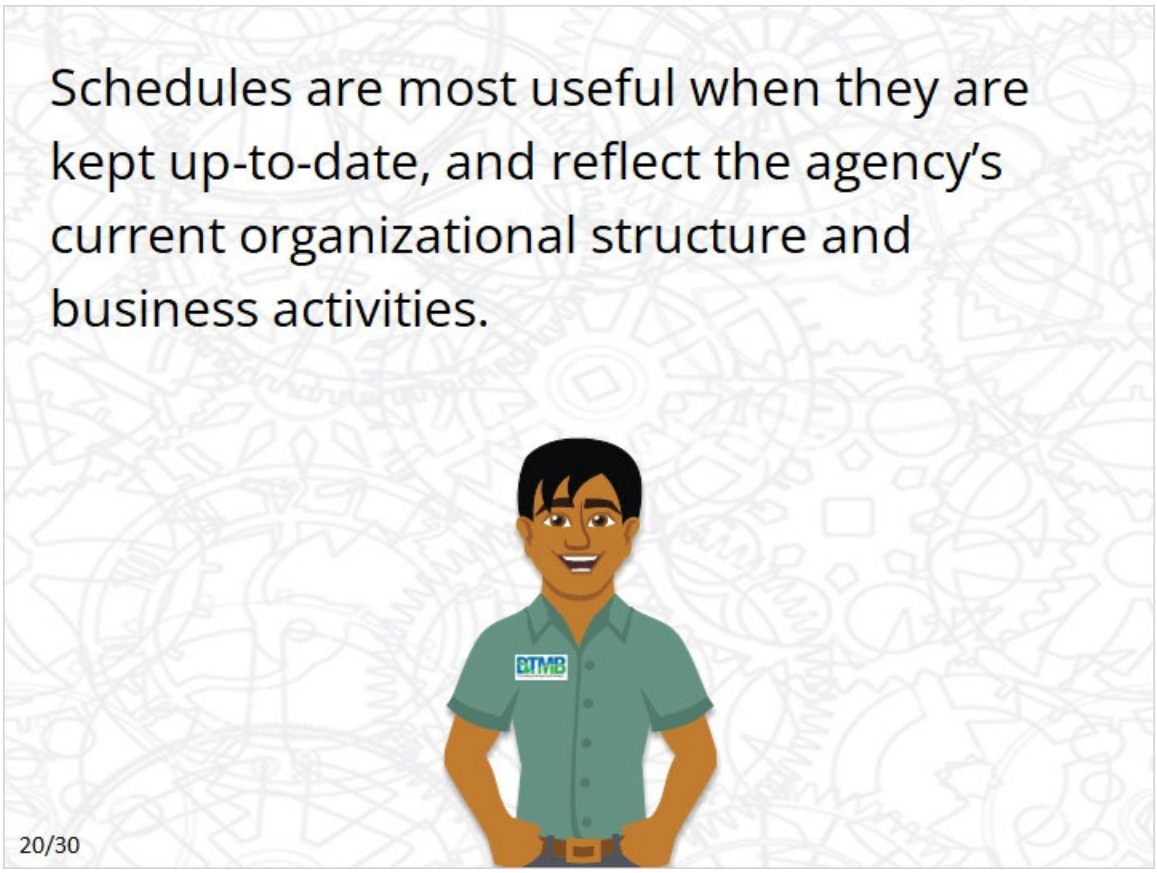
A: *Contact your department's Records Management Officer (RMO) for assistance. Schedule revisions are generally fast and easy. A list of RMOs is available online.*

19/30

Notes:

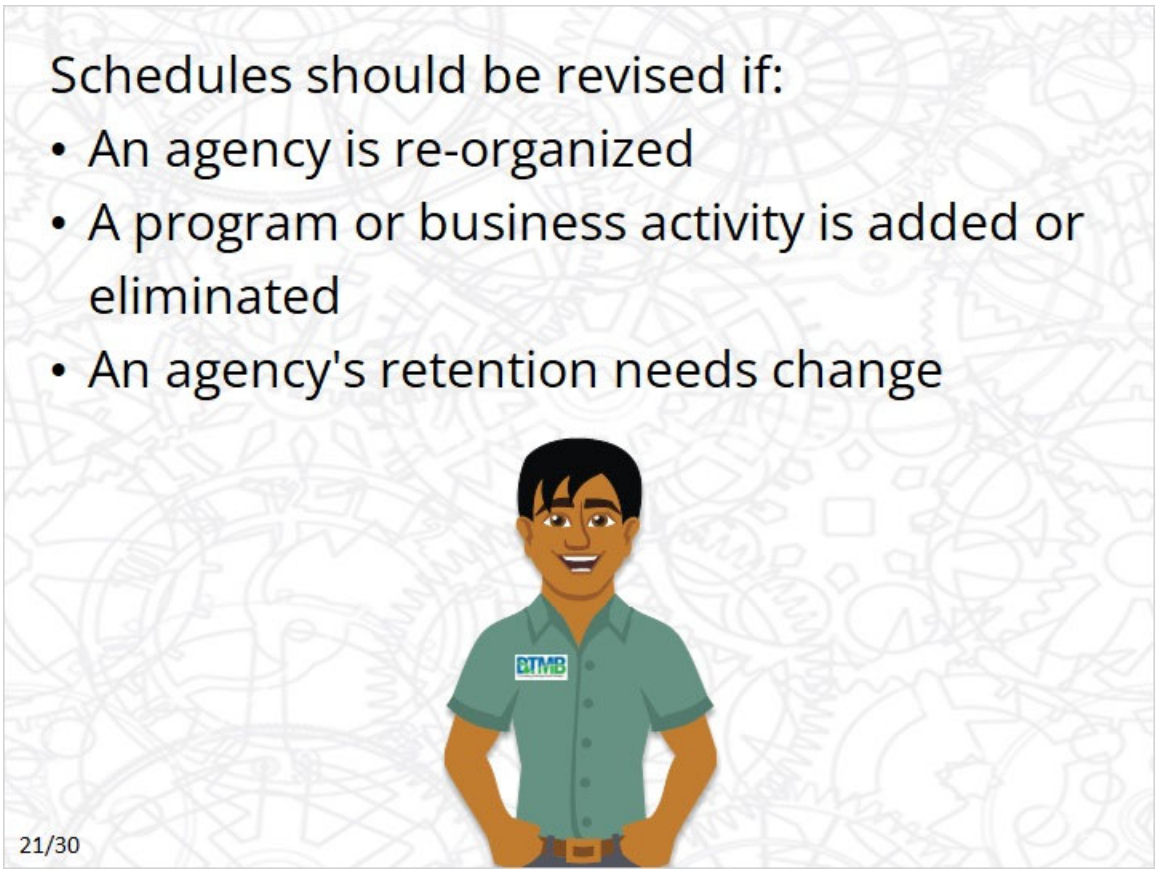
Question: I have some records that are currently not listed on a schedule. How do I get them added to a schedule so I don't have to keep them forever?

Answer: Contact your department's Records Management Officer for assistance. Schedule revisions are generally fast and easy. A list of RMOs is available online at https://stateofmichigan.sharepoint.com/:b:/r/sites/SOM-SPC-Records-Management/Shared%20Documents/RMOlist.pdf.



Notes:

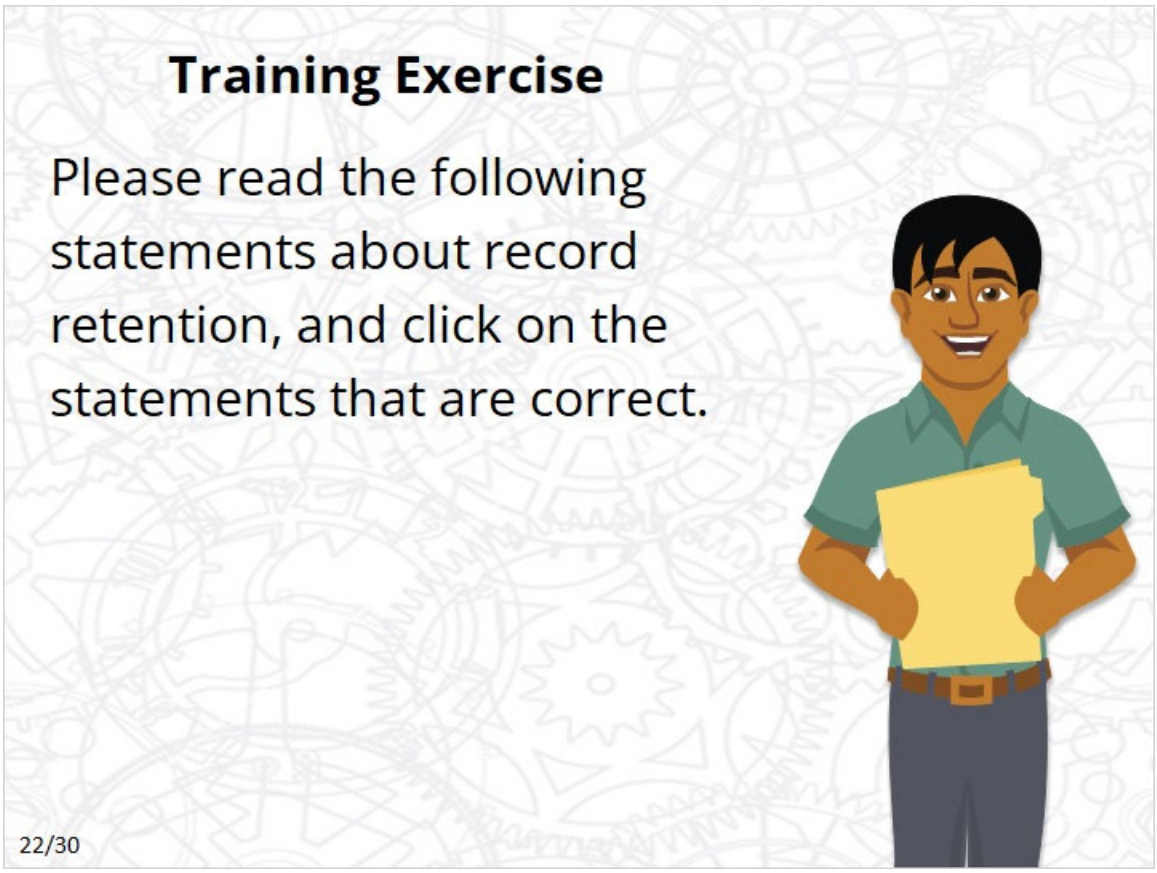
Schedules are most useful when they are kept up-to-date, and reflect the agency's current organizational structure and business activities.



Notes:

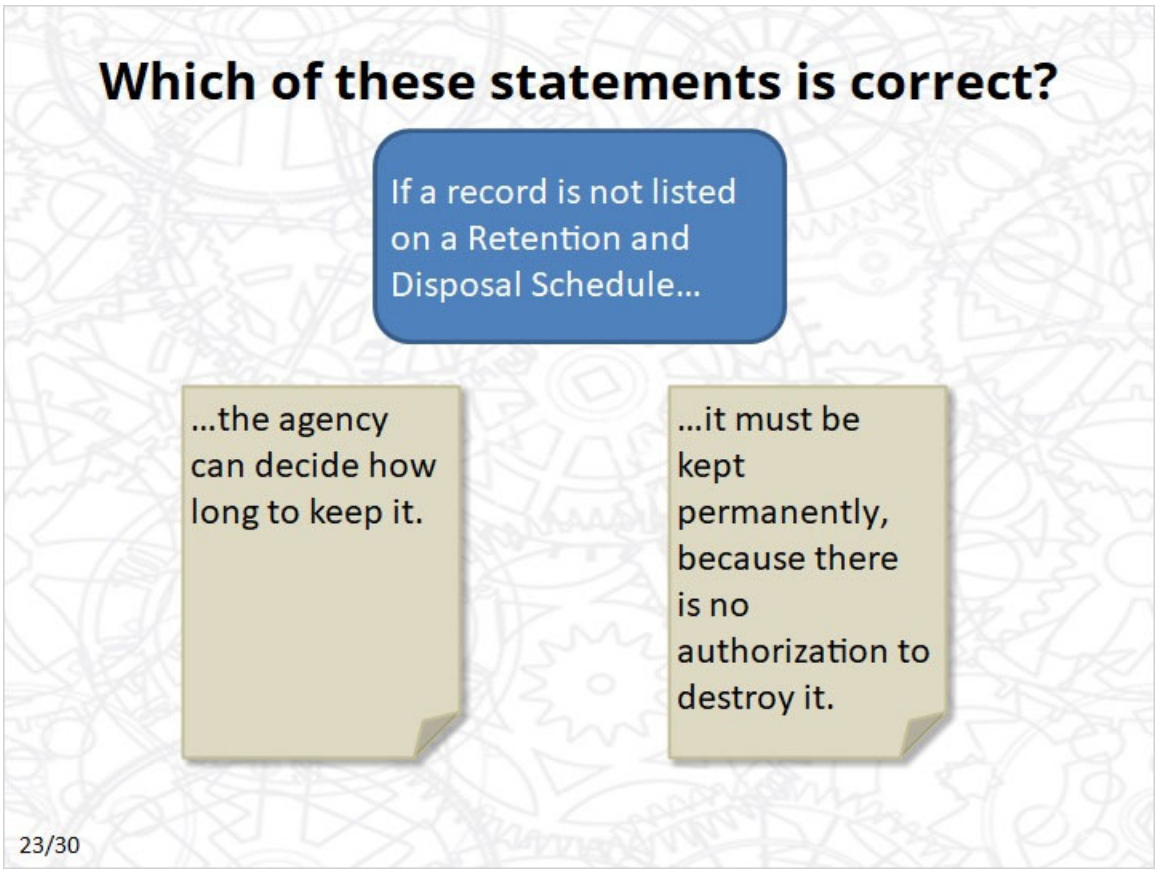
Schedules should be revised if:

- An agency is re-organized
- A program or business activity is added or eliminated
- An agency's retention needs change



Notes:

Training Exercise: Please read the following statements about record retention, and click on the statements that are correct.

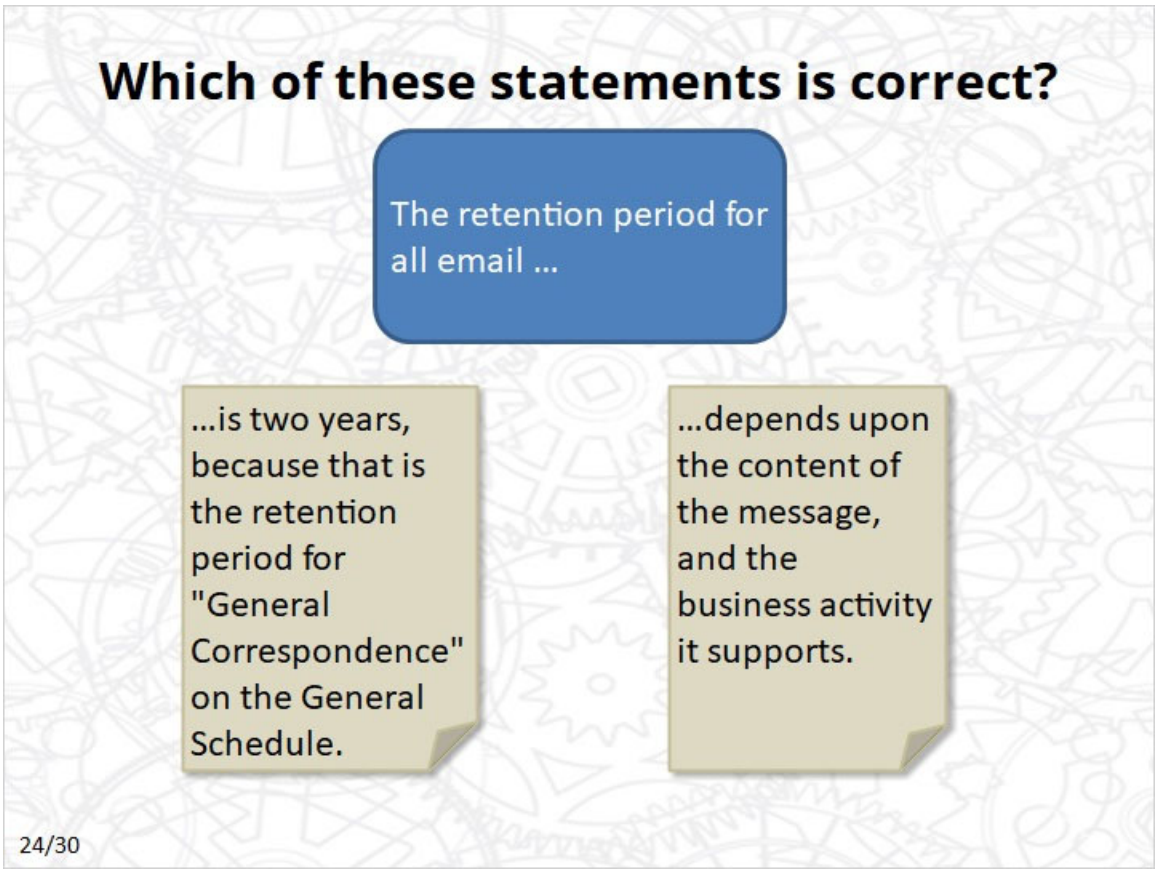


Notes:

Which of these statements is correct?

If a record is not listed on a Retention and Disposal Schedule…
…the agency can decide how long to keep it.
OR
…it must be kept permanently, because there is no authorization to destroy it.

The correct answer is that the records must be kept until a schedule is approved to authorize their destruction.

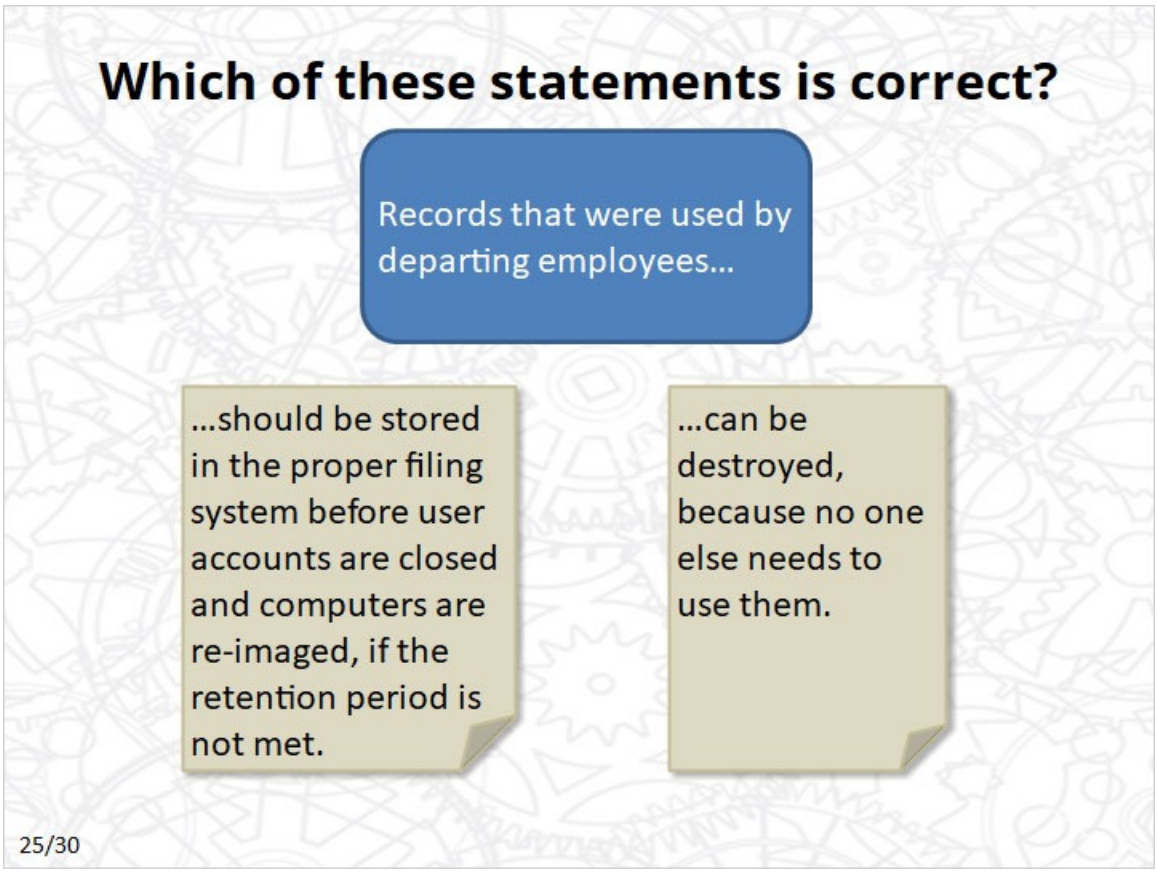


Notes:

Which of these statements is correct?

The retention period for email …
…is two years, because that is the retention period for “General Correspondence” on the General Schedule for Administrative Records.
OR
…depends upon the content of the message, and the business activity is supports.

The correct answer is that the retention period depends upon the message. For example, if the email relates to a contract, it should be kept as long as all other contract records.

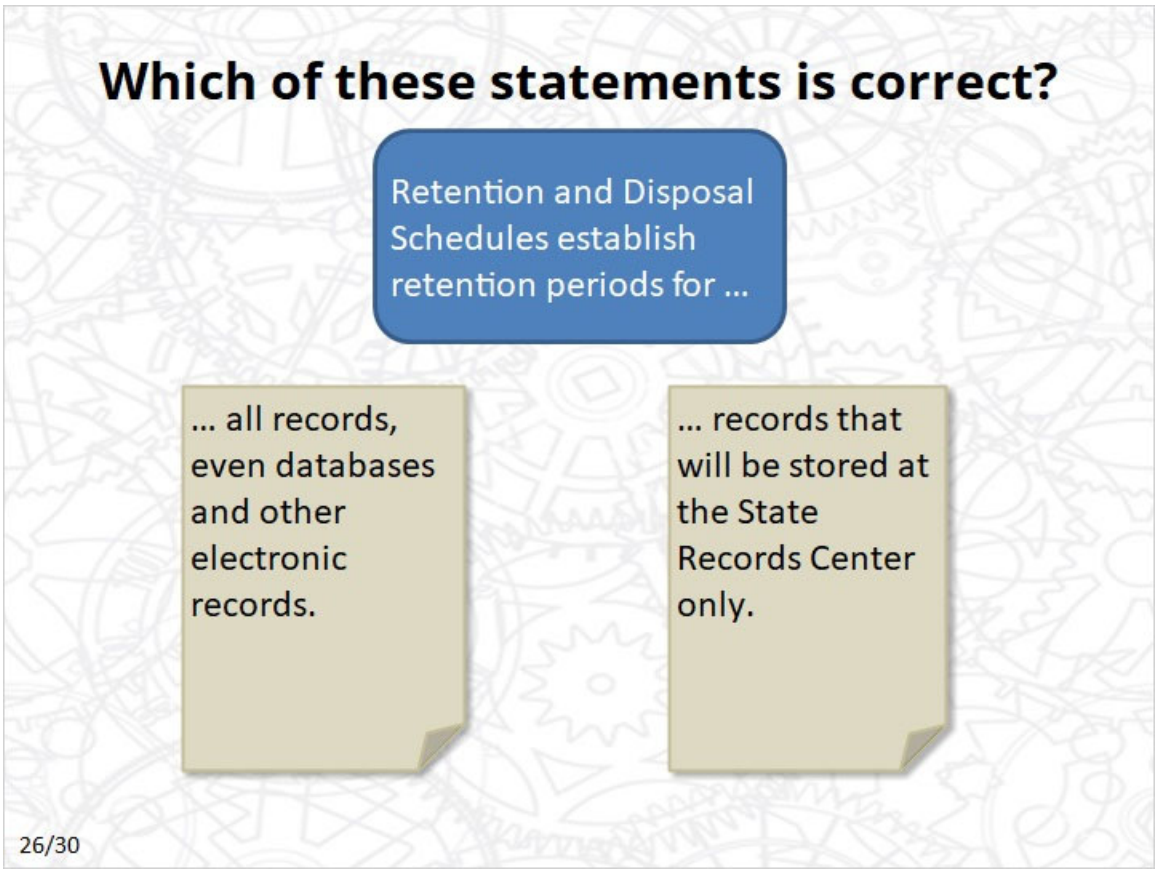


Notes:

Which of these statements is correct?

Records that were used by departing employees…
…should be stored in the proper filing system before user accounts are closed and computers are re-imaged, if the retention period is not met.
OR
…can be destroyed, because no one else needs to use them.

The correct answer is that the records are owned by the office, not the employee. So they should be stored in the proper filing system before the accounts are closed and the computers are re-imaged.

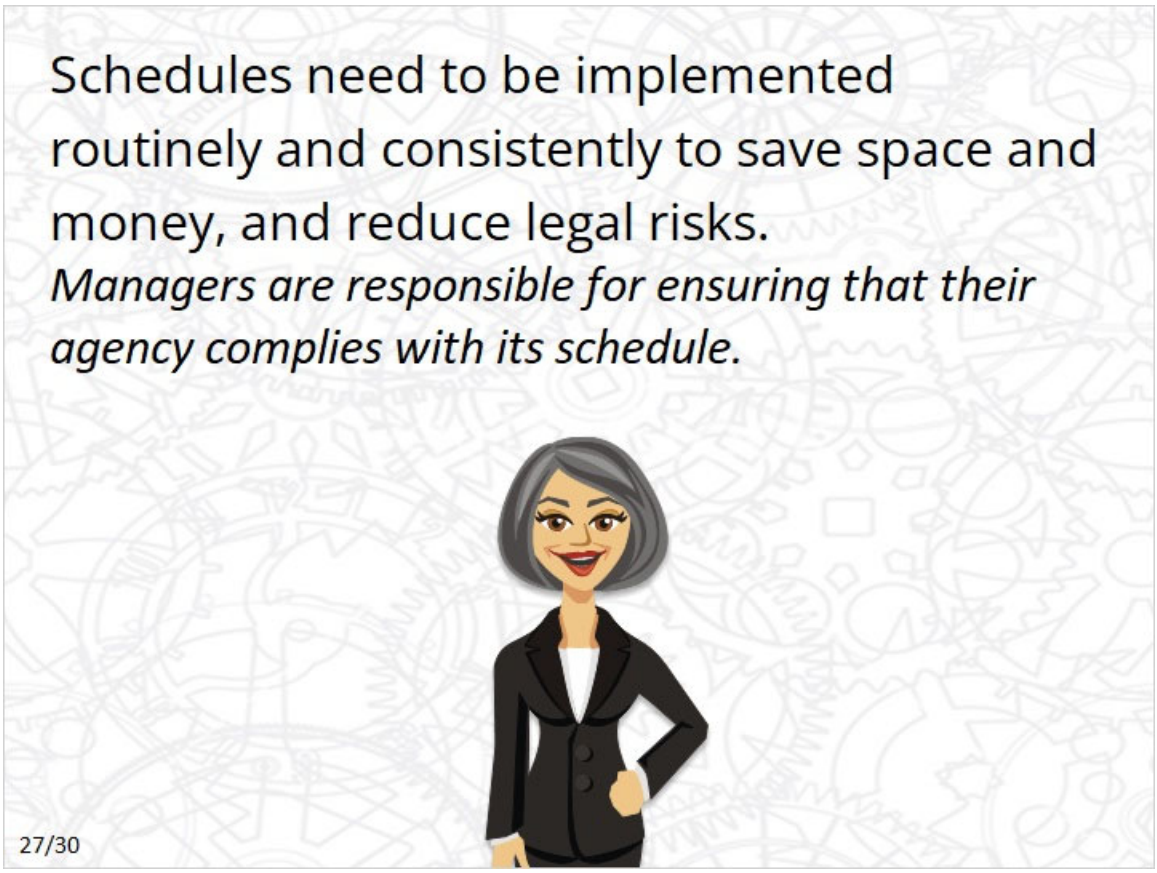


Notes:

Which of these statements is correct?

Retention and Disposal Schedules establish retention periods for …
All records, even databases and other electronic records.
OR
Only records that will be stored at the State Records Center.

The correct answer is that all records, regardless of format and storage location, must be listed on a schedule.

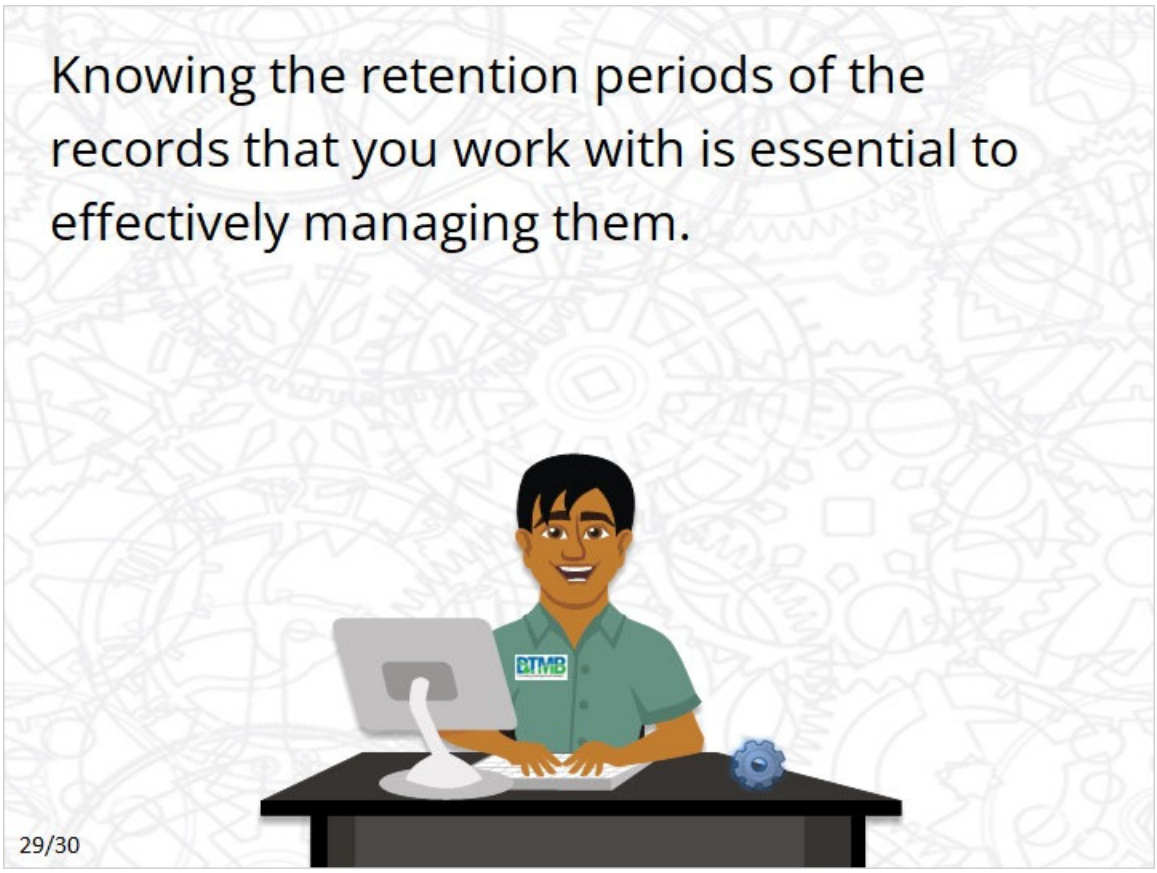


Notes:

Schedules need to be implemented routinely and consistently to save space and money, and reduce legal risks. Managers are responsible for ensuring that their agency complies with its schedule.

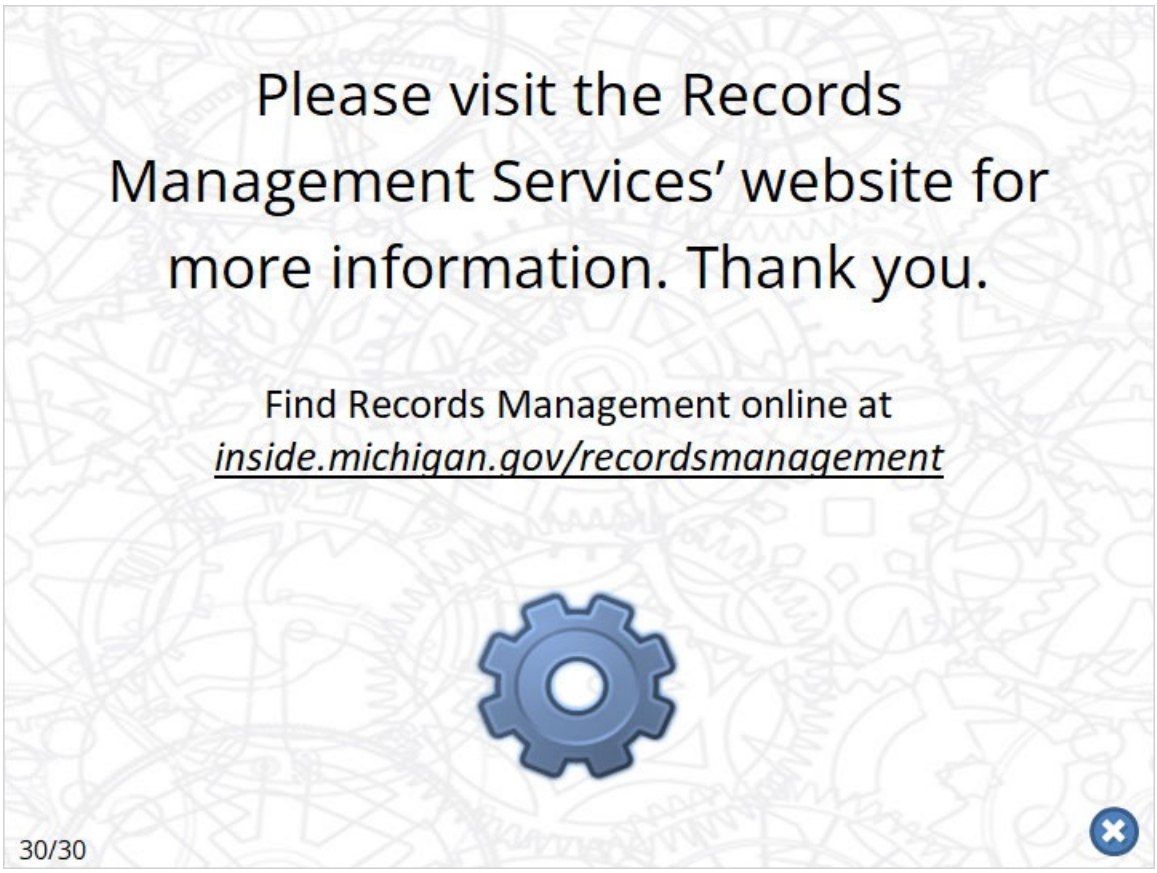
Notes:

Don't feel overwhelmed. Employees only need to know the retention requirements for a few types of records that support their own job duties. If you don't know how long to keep a record, ask your supervisor.



Notes:

Knowing the retention periods of the records that you work with is essential to effectively managing them.



Notes:

Please visit the Records Management Services' website for more information. Thank you.

Find Records Management online at inside.michigan.gov/recordsmanagement for state government, and www.michigan.gov/recordsmanagement for local government.