Agenda – Retention Schedule

- Definition
- Approaches
- Implementing
- Developing
- Adoption
- Implementing – Paper or Plastic?
A Retention Schedule Should:

- Provide retention requirements for the organization
- Reference legal and regulatory citations
- Comply with Federal & State laws and regulations
- Remain up-to-date with changing regulations
- Support the business need
- Should include a reference for non-record information
- Be suitable to implement in both physical and electronic records environments
Policy vs Retention Schedule

Policy
- Broad and stable (seldom changes)
- Approved by university leadership
- Approval is slow

Retention Schedule
- Detailed and fluid (ongoing change)
- Approved by the Records Management Committee
- Ongoing approval needs to be fast
# Departmental Retention Schedule

<table>
<thead>
<tr>
<th>Department Name</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>T</td>
</tr>
<tr>
<td>AACSB Accreditations Materials</td>
<td>P</td>
</tr>
<tr>
<td>Employee Files</td>
<td>10</td>
</tr>
<tr>
<td>Executive Lecture Files</td>
<td>P</td>
</tr>
<tr>
<td>External Relations Files</td>
<td>5</td>
</tr>
<tr>
<td>Kemper Scholarship</td>
<td>10</td>
</tr>
<tr>
<td>NAC Records</td>
<td>5</td>
</tr>
<tr>
<td>Presentation Tapes</td>
<td>P</td>
</tr>
<tr>
<td>Management Society History/Correspondence</td>
<td>P</td>
</tr>
<tr>
<td>Newspaper Clippings/Pictures</td>
<td>P</td>
</tr>
<tr>
<td>Student Association/Club Records</td>
<td>P</td>
</tr>
</tbody>
</table>

See Section II - General Retention

<table>
<thead>
<tr>
<th>T</th>
<th>FD</th>
</tr>
</thead>
<tbody>
<tr>
<td>P</td>
<td>P</td>
</tr>
<tr>
<td>P</td>
<td>P</td>
</tr>
</tbody>
</table>

T = Time
FD = Final Disposition

Should have:
P = Permanent
A = Archival
Departmental Retention Schedule

• Thousands of Record Types across the organization
• Inconsistent naming across departments
• Difficult to keep up-to-date
• Difficult to apply to information systems
Functional Retention Schedule

- Normally 100 to 200 Record Categories
- Promotes common naming of Record Types
- Can be updated more easily
- Aligns with the key business processes and information systems in an organization
Functional Retention Schedule Structure

Business Function

Human Resources (HUM)

Record Series
Where Retention is Managed

HUM03
Employee Recruitment and Selection
3 years

HUM07
Personnel Files Non-Medical
6 Years after Termination

Record Types
Inherits Retention

Applications
Resumes
Background Checks
Performance Appraisals
Promotions
Transfers
# Functional Retention Schedule

<table>
<thead>
<tr>
<th>Record Series Code</th>
<th>Record Series Name</th>
<th>Record Series Description</th>
<th>Retention Event</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>HUM01</td>
<td>Benefits Enrollment and Distribution - Employee Specific</td>
<td>Any recorded information related to participation in company-sponsored benefit plans. Includes health and life insurance, pension, 401K, disability, medical, vacation and sick benefits, leave of absence plans, educational assistance, savings plans and payroll direct deposit elections.</td>
<td>The retention period begins when the piece of content/object is marked final/declared a record.</td>
<td>75 years</td>
</tr>
<tr>
<td>HUM02</td>
<td>Benefit Plans - Plan Specific</td>
<td>Any recorded information related to company-sponsored benefit plans. Includes health and life insurance, pension, 401K, disability, medical, vacation and sick benefits, leave of absence plans, educational assistance, and savings plans.</td>
<td>Retain while benefit plans are active. The retention period begins when the benefit plan expires or is cancelled.</td>
<td>As long as plan is active + 6 years</td>
</tr>
<tr>
<td>HUM03</td>
<td>Employee Recruitment and Selection</td>
<td>Any recorded information related to employee recruitment including job postings and personnel requisitions. Also includes records for applicants not hired such as job applications, background check results, resumes, and interview notes. Refer to HUM07 for recruitment and selection information for applicants who are hired.</td>
<td>The retention period begins when the piece of content/object is marked final/declared a record.</td>
<td>3 years</td>
</tr>
</tbody>
</table>
Two Major Types of Records

• Individual Records (Subject)
  – Retention is managed for each Record
  – Time-based Retention
    • Retention begins at Creation
    • Administrative Records or Meeting Minutes

• Case-based Records (on average 2/3 of your records)
  – Retention is managed as a group of related Records
  – Event-based Retention
    • Retention is not known at Record Creation
    • Project Files – Retention begins at Project Closure
    • Contract Expiration – Retention begins when Contract Expires
    • Employee Files – Retention begins with Employee Departure
    • Asset Files – Retention begins with the Sale or Discontinuance of an Asset
Common Time-based Retention Language

Time-based:
• 3 = 3 years after creation
• 3 ECY = 3 years after the end of the calendar year
• 3 EFY = 3 years after the end of the fiscal year

Event-based:
• 6 years after contract expiration
• 3 years after project completion
• 6 years after termination
Examples from Retention Schedule

**Time-based**
- ADM01 – Routine Administrative Support
- COM01 – Audits
- FIN01 – Banking Transactions
- FIN05 – Capital Equipment Inventory
- HUM07 – Compensation Management
- STU13 – Transcript Requests

**Event-based**
- FIN05 – Capital Property / Fixed Assets
- FIN10 – Investment Management
- LEG01 – Contracts and Agreements
- LEG06 – Dispute Resolution and Litigation
- STU23 – Student Files
Implementing Retention Schedules

• Retention rules must be translated into your electronic records environment
  – Descriptive retention periods cannot be applied to electronic records
  – Most systems cannot handle Event-based rules
• Avoid Event-based retention whenever possible!
  – 6 years after termination/retirement → 50 years
  – 6 years after agreement/contract → 20 years
Challenges Applying Retention to Records

• Boxes of Paper Records
  – Boxes may contain records of various retention periods
  – Expired contracts are boxed, then stored for 6 years

• SharePoint or other Electronic system
  – Time-based works with the Created Date (can change)
  – How will the system know when a contract expires?
    • Someone needs to tell the system by entering a date/status
    • Data feed from a contracts system
Appling Retention to SharePoint

Retention is based on:

• Date Created
• Date Modified
• Manually Declared as a Record
Developing a Functional Retention Schedule

1. Meet with senior level management to:
   a. Identify functional areas (major business functions) of the organization
   b. Identify the main contact for each functional area (Legal, HR, Student Records)

2. Review example retention schedules from other organizations and identify each record category or records series that support each function (major business processes) HR Example

3. Meet with main contact (and possibly others) of each functional area:
   a. Identify the major processes that support each functional area
   b. Identify the records that support each major process (New Hiring Activities)
   c. Identify the “business need” for the records, in order to enable personnel to do their work
   d. Identify other individuals that have a more detailed knowledge of the identified processes

4. Meet with main contact for each major process to gain a better understanding of the process and the records that support the process

5. Repeat above steps as needed

6. Compile results into a spreadsheet and review with the Records Management Advisory Committee

7. Make adjustments to the draft retention schedule as needed
Developing a Functional Retention Schedule

8. Review draft Retention Schedule with Risk Management and Legal Departments
   • Identify citations that drive the retention for each records category
   • Review against Statute of Limitations (SOL) and Risk Management concerns (Insurance, Workers Comp, etc.)

9. Review findings with Records Management Advisory Committee

10. Meet with Function and Process contacts to review final retention periods for each records category

11. Review concerns with Records Management Advisory Committee, Legal and Risk Management

12. Repeat above steps as needed

13. Finalize retention schedule

14. Ongoing - Monitor/Review changes in laws and regulations and changes to business processes, review with department then update retention schedule

15. Obtain approval of changes from Records Management Advisory Committee
Implementing Retention at BYU

- General Retention Schedule (GRS) is Functional-based
- Published on the BYU Policy and Implementing Procedures site as an Implementing Procedure

### Department Retention Schedule

- Department Retention Schedule (DRS)
- Department Inventory (listing of records)
- Retention is derived from the GRS
- Each Department manages their own DRS, but approved by Records Management

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**Record Series Code** | **Record Series Name** | **Record Series Description** | **Retention Event** | **Retention Period**
--- | --- | --- | --- | ---
HUM01 | Benefits, Enrollment and Distribution: Employee Specific | Any recorded information related to participation in company-sponsored benefit plans, includes health and life insurance, pension, 401K, disability, medical, vacation and sick benefits, leave of absence plans, educational assistance, savings plans and payroll direct deposit elections. | The retention period begins when the piece of content/obtected is marked final/declared as records. | 75 years |
HUM02 | Benefit Plans - Plan Specific | Any recorded information related to company-sponsored benefit plans, includes health and life insurance, pension, 401K, disability, medical, vacation and sick benefits, leave of absence plans, educational assistance, and savings plans. | Retain while benefit plans are active. The retention period begins when the benefit plan specifics is suspended. | As long as plan is active + 6 years |
HUM03 | Employee Recruitment and Selection | Any recorded information related to employee recruitment including all postings and personal records, also includes records for applicants not hired such as job applications, background check results, resumes, and interview notes. Refer to HUM07 for retention and selection information for applicants who are hired. | The retention period begins when the piece of content/obtected is marked final/declared as record. | 3 years |
<table>
<thead>
<tr>
<th>Record Type</th>
<th>Record Category</th>
<th>Retention</th>
<th>Comments/Record Mgmt Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administered exams and coursework not returned to students</td>
<td>Academic Program &amp; Student Records</td>
<td>Destroy 1 year after end of semester.</td>
<td></td>
</tr>
<tr>
<td>Alumni Records – College &amp; Departmental</td>
<td>Academic Program &amp; Student Records</td>
<td>Transfer one copy of minutes, policy and historical correspondence to University Archives. Work with Alumni Office before disposing of alumni records. Records may be destroyed 3 years after being superseded.</td>
<td></td>
</tr>
<tr>
<td>Class Schedules</td>
<td>Academic Program &amp; Student Records</td>
<td>Destroy 1 year after end of semester.</td>
<td></td>
</tr>
<tr>
<td>Curriculum Documents (may include course proposals, course revisions, course requests, curriculum committee minutes)</td>
<td>Academic Program &amp; Student Records</td>
<td>Permanent, if not already maintained in eLearning Suite. Submit committee minutes to University Archives.</td>
<td></td>
</tr>
<tr>
<td>Course materials &amp; outlines (including GE course evaluation, syllabi, course descriptions and related documentation)</td>
<td>Academic Program &amp; Student Records</td>
<td>One copy of syllabi master copies of exams, course outlines and course descriptions should be transferred to University Archives, if not retained in eLearning Suite. Copies should be destroyed 1 year after superseded.</td>
<td></td>
</tr>
<tr>
<td>Department events (including flyers, brochures, news clippings, photos, video recordings, presentation materials, schedules of speakers and other related information)</td>
<td>Academic Program &amp; Student Records</td>
<td>Permanent. Transfer one copy of reports, promotional and publicity materials, press releases and photographs to University Archives.</td>
<td></td>
</tr>
<tr>
<td>Enrollment summaries</td>
<td>Academic Program &amp; Student Records</td>
<td>Permanent, transfer to University Archives.</td>
<td></td>
</tr>
</tbody>
</table>