Applying Records Retention and Disposition

Applying records retention and disposition starts with a record series item taken from a records schedule or agency file plan. For example, an agency might have records identified as client files as listed below:

Item number	Record Series Title	Agy retn	SRC retn	Disp code
00000034	Client Files	4*	3	1

*After case closes

Steps to applying a records schedule:

1. **When does the record retention begin?** Retention begins with the date of record. The date of record will be listed on agency file plan or contact your Agency Records Coordinator, Agency Records Liaison(s), and/or supervisor or manager for assistance.

2. **When does SRC records storage begin?** Upon completion of agency records retention, records may be transferred to the State Records Center. If the records on the agency file plan or records retention and disposition schedule are identified to go to the SRC after retention in the agency, contact the agency Records Coordinator (RC) regarding the proper procedure to follow.

3. **When and how is record disposed?** The disposition of records is to be carried out when the total records retention has expired. For specific instruction on how to carry out disposition, refer to Agency File Plan and/or contact Agency Records Coordinator, Agency Records Liaison(s), and/or supervisor or manager for assistance.

Above Example: Agency X has client files created in 2000, 2001, 2002, and 2005. Several client files created in 2000 and 2002 closed in 2005. How do I apply the records retention and disposition to the schedule item listed above for this example?

1. Retention begins when case closes. Therefore all records from 2000 and 2002 in the case that closed in 2005 begin their retention period starting in 2005 for 4 years (retain in the agency for 4 years).

2. At the end of the 4 year period, SRC storage begins in 2009. In 2009 the records would be shipped to the SRC and remain there until 2012.

3. At which time they will be disposed, as indicated by the disposal code of “1”. Code 1 means that the records are to be disposed of by “Routine Handling”, (refer to “How to Read a Records Retention and Disposition Schedule”).

Additional Items to know when applying records retention and disposition:

- Contact the RC when records are to be transferred to SRC and Archives. RCs will assist employees with determining the appropriate boxes to use, provide guidance on how to mark and seal the boxes, complete or assist in completing the necessary paperwork, etc.

- Contact Records Legal Liaison (RLL) for guidance on retention and disposition for records that are, or may become, part of litigation. Records that are, or may become, part of litigation cannot be disposed of without first consulting with the RLL. The RLL will determine whether the litigation is still active, an appeal period is still open or an appeal is pending and, if any of those are true the records may not be disposed.

- Coordinate with your supervisor/manager and RC for records that have a disposition code of 6. Electronic records, "Disposition Code 6 – Delete," may simply be deleted unless they contain sensitive or confidential information. If the records are of a sensitive or confidential nature they may require extra steps to be taken by IT, such as overwriting or destroying the media.