

Course: Records Retention and Disposition

Learning Objectives

Upon completion of this course, you will be able to:

1. Describe the purpose and benefits of a records retention and disposition program.
2. Plan and implement a records inventory.
3. Develop a retention schedule based on inventory results and other considerations.
4. Determine the appropriate method of records disposition for a particular record.

Introduction

Section 1 Learning Objectives

Upon completion of this section, you will be able to:

1. Describe the purpose and benefits of a records retention and disposition program.

Section 1: Records Retention and Disposition Program

- A. Introduction
- B. Records Retention and Disposition Program
 1. Retention Procedures
 2. Retention Policy Statement
 3. Benefits of a Record Program
- C. Program Implementation

Section 2: Learning Objectives

Upon completion of this section, you will be able to:

1. Identify the role of a records inventory in a systematic records retention program.
2. Identify the steps used to conduct a records inventory.
3. Identify what information should be collected during an inventory.
4. Identify the methods used to conduct inventories.

Section 2: Records Inventory

- A. Introduction
 1. Role of a Records Inventory
 2. Purpose of a Records Inventory
- B. Steps for Conducting a Records Inventory
 1. Develop an inventory strategy
 - i. Record types (format)
 - ii. Program units

- iii. Records series
 - iv. Records inventory in a large organization
- 2. Prepare survey instruments
 - i. Select survey inventory method
 - 1. questionnaire
 - 2. consultation
 - 3. combination method
- 3. Conduct the records inventory
 - i. Role of the records manager
 - ii. Role of the document coordinator
 - iii. Inventory exceptions – common records
- 4. Compile and report inventory results
 - i. Inventory reports
 - ii. Inventory report examples

Section 3: Learning Objectives

Upon completion of this section, you will be able to:

1. Identify the role of retention schedules in the life cycle of a record.
2. Select the appropriate approach to use for creating a retention schedule.
3. Determine how long records should be kept.
4. Explain the role of the official copy in record retention.

Section 3: Retention Schedules

- A. Introduction
 - 1. Purpose of a Retention Schedule
 - 2. Business Benefits
- B. Retention Schedules
 - 1. Retention Criteria
 - i. Trigger dates
 - ii. Legal holds
 - iii. Exception to retention criteria
- C. Retention Schedule Approach
 - 1. General
 - 2. Program Specific
 - 3. Approach Comparison
- D. Retention Schedule Details
 - 1. Required Information
 - 2. Optional Information
 - 3. Official Copies
 - 4. Retention Period
 - 5. Implementing and Revising Retention Schedules
 - 6. Retention Period Criteria
 - i. Legal and regulatory
 - ii. Fiscal
 - iii. Operational

- iv. Historical
- E. Retention Schedules Approval

Section 4: Learning Objectives

Upon completion of this section, you will be able to:

1. Identify the purpose and role of records disposition in the life cycle of a record.
2. Select destruction methods for a variety of media.
3. Determine the correct disposition action for a variety of records.
4. Identify the purpose of a records transfer.

Section 4: Disposition

- A. Introduction
- B. Disposition Policy
- C. Disposition Actions
- D. Disposition Methods
 - a. Legal Hold
- E. Destruction
 - a. Destruction Methods Based on Sensitivity
 - b. Destruction Methods Based on Media
 - c. In House Destruction
 - d. Offsite Destruction Service
 - e. Certificate of Destruction
- F. Permanent Records
- G. Records Transfer
 - a. Sample Records Transfer Process
- H. Section 4 Exam