

*Idaho Department of Corrections
Retention Schedule of the
Records Management Guide*

(This Schedule Revised November 2013)



BRAD LITTLE, GOVERNOR

Idaho State Historical Society
Janet L. Gallimore, Executive Director

TABLE OF CONTENTS

GUIDELINES	A-9-1
INTRODUCTION TO RECORDS RETENTION SCHEDULE	A-9-2
HOW TO USE THESE SCHEDULES	A-9-4
ADMINISTRATIVE RECORDS	1
Offender Correspondence	1
Bureau of Probation & Parole; Bureau of Education, Treatment & Reentry; Contract Prison Oversight Unit, and Director's Offices	1
Bureau of Prisons	2
Security Threat Group	3
FINANCIAL RECORDS	4
Inventory of Fixed Assets	4
HUMAN RESOURCES	9
Public Records Request	9
MEDICAL RECORDS	5
Medical File	5
Immunization Records, Records of Tuberculosis Treatment and/or Latent Tuberculosis Treatment	6
Civil Commitment Medial Records	7
PROPERTY RECORDS	8
Property Disposal Case Files	8
SG NUMBER INDEX	L-1
INDEX	1-1

APPENDIX 9: RECORDS RETENTION SCHEDULE FOR STATE GOVERNMENT AGENCIES

GUIDELINES

A record is recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

The following records retention schedule is reviewed and modified, if necessary, on a yearly basis. The schedule is designed to be a reference in designing individualized agency retention schedules and to provide a level of uniformity in records retention throughout Idaho state government. The State Record Center under the Idaho State Historical Society, should be contacted regarding proposed changes or modifications to the records in this schedule, or if activities of an agency require different retention.

All retention periods are filed by either the fiscal or calendar year. For all UNANNOTATED DUPLICATE COPIES, preferably destroy immediately after administrative need ends by either the fiscal or calendar year.

INTRODUCTION TO RECORDS RETENTION SCHEDULE

This schedule is intended for use within an agency's records management program. Regardless, until an agency creates a version of this records retention series specific to its facilities, these are the accepted and established time frames and limitations that should be adhered to.

Retention Schedule Headings Definitions	
Series #	Number associated with each schedule type
Series Title	A general description of the series
Office of Record	Office that commonly creates the record and holds it during its active period
Retention Period	Time to retain the record; life of the record
Transfer Instructions	Where a record goes after its active period
Archival	A – Indicates the record is or may be permanent and have historic value R – Indicates a required review by the Records Manager to determine value
Vital	X – Record is vital for immediate operation of the office of origin or the institution.
Guidance: Restricted Access	RA – Refers to the security needs of a record series. Must be justified. <i>Access to applicable records should be limited to authorized personnel and approved individuals due to privacy and educational interests. Questions about limits should be based on the type of records, its content and the nature of the request for access and use.</i> Records may contain, but are not limited to, confidential, personal or proprietary information.
Guidance: Authorities	Federal and State laws, regulations or requirements that pertain to the series. Where not specifically referenced, Idaho Code § 9-337 through 9-347 of the Public Records Law has been applied. Note that there are exemptions for the access requirements of this law. These may be noted as well.

Retention Codes (Refer to Records Regardless of Format; Type May Vary)	
AC	After closed, terminated, completed, expired, settled or last date of contract
AV	As long as administratively valuable
CE	Calendar Year End (December 31 st)
FE	Fiscal Year End (June 30 th)
LA	Life of Asset
PM	Permanent
UA	University Archives
US	Until Superseded

HOW TO USE THESE SCHEDULES

ESTABLISHING A SCHEDULE

This schedule assumes that:

- The person using it is knowledgeable about his/her office or agency's records;
- An inventory of the records of the office or agency will be performed;
- Time will be taken to apply the definitions to the records found on hand; and
- Records will not be destroyed or reorganized without supervision of the agency's Records Manager or consultation with the State Records Manager.

FUNCTIONS AND TYPES OF RECORDS

This schedule is intended to address records common to most offices and agencies of the State of Idaho. Not every type of record listed here will occur in every agency. Some agencies will discover they have records that do not appear to fit any of these series. For those records, contact the State Records Manager or the agency's Records Manager for guidance.

HIERARCHY OF RECORDS WITHIN AN AGENCY

Put simply, not every office holding a copy of a record is holding the *record copy*. An example is time sheets. The record copy of a time sheet is the one signed and sent to the payroll office. Any copies kept in other offices to confirm later payroll reports (e.g., proper charges to accounts, etc.) are a short-term record, as are any personal copies in other offices. The Office of Record is the payroll office.

When trying to assess the value of a record in the focus area, bear this concept in mind: Where does the ultimate responsibility for a document, report or record lie? There are instances where a record has value for different reasons in different offices. This is the primary reason a physical inventory of records is essential to this process.

WHEN A RECORD SHOULD BE RETAINED LONGER THAN ITS RETENTION

Documents, regardless of format or storage media (e.g., electronic files), associated with any dispute, audit or legal proceeding should not be destroyed or altered without consultation with the agency's Records Manager, General Counsel, Deputy Attorney General or the State Records Manager.

CONFIDENTIALITY, RESTRICTED ACCESS AND PUBLIC RECORDS

The need to limit access to a record type does not mean that it is unavailable as a public record.

- Requests for access to public records should be handled by personnel familiar with the requirements of the laws and regulations that apply to the information requested; and
- For some records flagged in this schedule as “RA – Restrict Access,” copies can be furnished where restricted information is blocked out or redacted to make it available to a public records request. An example is a contract that may be copied if social security number, names, etc., have been obscured.

Concerns about making records available to a public records request should be addressed to the agency’s Records Manager, General Counsel, Deputy Attorney General or the State Archivist.

CREATING AN AGENCY’S RETENTION SCHEDULE

Once an inventory is completed and a summary of the record series which occur in the agency’s office has been compiled, based on this general schedule, a set of decisions will need to be made to establish the Office of Record for each record type. **NOTE:** For many common series, like “correspondence,” the Office of Record will probably be the “office of origin” until it is time to transfer the inactive years of material to the State Record Center. Other records have obvious “homes,” like payroll records (Accounting or Payroll) and permanent or long-term personnel files (Human Resources). It should be noted that smaller-scale agencies may find that a central office becomes the Office of Record for many record types because of staffing or the preference of the agency director. For agencies with regional offices around the State, these decisions may seem problematic. However, with a careful focus on the needs of the offices within an agency and by consulting the State Records Manager, these decisions can be made to the benefit of all.

One of the established benefits of records management, with improved accountability of the Office of Record, is efficiency, in both expense and time, of being able to retrieve a record when it is truly needed, without multiple copies taking up space throughout an agency or an office.

HOW TO USE THE RETENTION SCHEDULE FORMAT

Please consider the sample inserted below. Microsoft Excel was used to create this version of the retention schedule document. The fields of the table should be adhered to for compatibility with other State agencies and offices within a given agency.

The *Records Retention Form*, an online Excel fill-in form document, may be accessed at <http://history.idaho.gov/records-center>

SAMPLE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0110	PERIODIC BUDGET REPORTS Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.		FE +3, then destroy			
SG1310	LOSS CONTROL INSPECTION REPORTS An annual self-inspection report used to identify potential hazards within the building or on the agency property. This record may also be used as evidence in defense of a claim. GUIDANCE: - Retain by agency until superseded or obsolete, then send to Risk Management.	Risk Management	US +12, then destroy			
SG18312	STUDENTS - FINANCIAL AID RECORDS - FFEL AND DIRECT LOANS Records related to borrower's eligibility and participation. All audit requirements to be met prior to disposal. GUIDANCE: - AC - End of the award year in which the student last attended. - Retention based on 34 CFR § 668.24		AC +3, then destroy			RA -Access: FERPA, Confidential Record.
SG18559	COMPUTER SYSTEMS - HARDWARE DOCUMENTATION Operational and maintenance requirements of computer hardware, such as operating manuals, hardware configurations, control systems. GUIDANCE: - Series may relate to property management schedules.		PM	A	X	RA -Access may be restricted as part of facility security plans.

NOTE: A column may be added for specific agency series numbers to allow for associating a records series with an in-house procedure or policy.

APPENDIX 9 – IDAHO DEPARTMENT OF CORRECTIONS, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3004	<p>OFFENDER CORRESPONDENCE – Bureau of Probation & Parole; Bureau of Education, Treatment & Reentry; Contract Prison Oversight Unit, and Director’s Office</p> <p>Correspondence received from offenders and their relatives and others regarding specific offenders, which is received in the Director’s Office and delegated to Bureaus of Probation & Parole, and Education, Treatment & Reentry, Contract Prison Oversight Unit, Director’s Office, and Commission of Pardons & Parole for response. This correspondence may be addressed to the governor, director, or leadership of the aforementioned bureaus legislative correspondence is responded from the Director’s Office.</p> <p>Offender correspondence includes hard and electronic versions of: original letters, e-mails, copies of response letters, duplicate copies of original letters with a different addressee name, subsequent correspondence, and research notes and results. Also included are concern forms and grievance related correspondence that are specific to life and safety issues that are a threat to the life, safety or health of staff members, offenders, or the public, or damage to Department or private property. Offender correspondence is logged into an electronic tracking log.</p> <p>Note: Offender correspondence that contains medical information is <u>not</u> recorded in the tracking log. It is forwarded to Health Care Services, Department of Correction, for response and filing.</p> <p>GUIDANCE: AC is defined as last date of correspondence response.</p>	<p>Bureau of Probation & Parole</p> <p>Bureau of Education, Treatment, & Reentry</p> <p>Contract Prison Oversight Unit</p> <p>Director’s Office</p>	<p>AC + 3 or if death occurs while in state custody, then death + 3; destroy</p>			

LEGEND:
Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPARTMENT OF CORRECTIONS, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3005	<p>OFFENDER CORRESPONDENCE – Bureau of Prisons</p> <p>Correspondence received from offenders and their relatives and others regarding specific offenders, which is received in the Director’s Office and delegated to Bureau of Prisons for response. This correspondence may be addressed to the governor, director, Commission of Pardons & Parole, or Bureau of Prisons leadership.</p> <p>Offender correspondence includes hard and electronic versions of: original letters, e-mails, copies of response letters, duplicate copies of original letters with a different addressee name, subsequent correspondence, and research notes and results. Also included are concern forms and grievance related correspondence that are specific to life and safety issues that are a threat to the life, safety or health of staff members, offenders, or the public, or damage to Department or private property. Offender correspondence is logged into an electronic tracking log.</p> <p>Note: Offender correspondence that contains medical information is <u>not</u> recorded in the tracking log. It is forwarded to Health Care Services, Department of Correction, for response and filing.</p> <p>GUIDANCE: AC is defined as offender’s full-term release date, meaning no longer under department’s supervision.</p>	Bureau of Prisons	AC + 3 or if death occurs while in state custody, then death + 3; destroy			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPARTMENT OF CORRECTIONS, ADMINISTRATIVE RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3006	<p>OFFENDER CORRESPONDENCE – Security Threat Group</p> <p>Correspondence in which the content contains information about security threat groups or other criminal intelligence information. This correspondence is received from offenders, and their relatives and others regarding specific offenders and is received in the director’s office and delegated to Bureaus of Probation & Parole, Education, Treatment & Reentry, and Prisons, and Contract Prison Oversight Unit for response. This correspondence may be addressed to the governor, director, or leadership of the aforementioned bureaus.</p> <p>Offender correspondence includes hard and soft versions of: original letters, e-mails, copies of response letters, duplicate copies of original letters with a different addressee name, subsequent correspondence, and research notes and results. Also included are concern forms and grievance related correspondence that are specific to life and safety issues that are a threat to the life, safety or health of staff members, offenders, or the public. Offender correspondence is logged into an electronic tracking log.</p> <p>GUIDANCE: This correspondence would fall under the jurisdiction of 28 Code of Federal Regulation; Part 23 which concerns retention requirements and limitations for criminal intelligence collected by criminal justice professionals. AC is defined as last date of correspondence response.</p>	<p>Contract Prison Oversight Unit</p> <p>Bureau of Prisons</p>	<p>AC + 5 or if death occurs while in state custody, then death + 5; destroy</p>			

LEGEND:
Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded
Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.
Vital: X-Record is vital for immediate operation of the office of origin or the institution
Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPARTMENT OF CORRECTIONS, FINANCIAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG0621	INVENTORY OF FIXED ASSETS These records are used to track and control capital outlay such as office equipment (chairs, typewriters, etc.) and other fixed assets including tools, machinery, and other large equipment.		AC +2, then destroy			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPARTMENT OF CORRECTIONS, MEDICAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3001	<p>MEDICAL FILE</p> <p>Records maintained by a correctional facility within the state of Idaho that pertain to the medical treatment of an offender while incarcerated at the facility. These records also include treatment records sent to the facility by private treatment providers and encompass their health, medical, dental, mental health and optical records. Such records are considered confidential and must be maintained within a separate file and are considered the property of the Idaho Department of Correction.</p> <p>Note: Radiology films are not part of a medical record and are maintained by medical contractor in the radiology room within each medical unit of the correctional facility.</p> <p>GUIDANCE: AC is defined as offender is no longer under state custody, meaning the offender has completed his/her sentence and is no longer on parole or probation.</p> <p>The medical record will be returned to IDOC Central Office/Central Records for staff removal of the immunization records, tuberculosis treatment records and latent tuberculosis treatment records</p>	Education Treatment & Reentry Health Care Services	AC + 6 or if death occurs while in state custody, then Death + 5			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPARTMENT OF CORRECTIONS, MEDICAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3003	<p>IMMUNIZATION RECORDS, RECORDS OF TUBERCULOSIS TREATMENT AND/OR LATENT TUBERCULOSIS TREATMENT</p> <p>Records containing immunization, tuberculosis treatment and/or latent tuberculosis treatment records. These records will be retained at IDOC Central Office and destroyed according to this retention schedule.</p> <p>GUIDANCE: AC is defined in this case as offender is no longer under state custody, meaning the offender has completed his/her sentence and is no longer on parole or probation</p>	Education Treatment & Reentry Health Care Services	AC + 50 or if death occurs while in state custody, then Death + 5			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPARTMENT OF CORRECTIONS, MEDICAL RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3002	<p>CIVIL COMMITMENT MEDICAL RECORDS</p> <p>Records maintained by a correctional facility within the state of Idaho that pertain to the medical treatment of an offender who was civilly committed and incarcerated at the facility. These records also include treatment records sent to the facility by private treatment providers and encompass their health, medical, dental, mental health and optical records. Such records are considered confidential and must be maintained within a separate file and are considered the property of the Idaho Department of Correction.</p> <p>GUIDANCE:</p> <p>AC is defined in this case as offender is no longer under state custody, meaning the offender has completed his/her sentence and is no longer on parole or probation. The medical record will be returned to IDOC Central Office/Central Records for staff removal of the immunization records, tuberculosis treatment records and latent tuberculosis treatment records.</p>	Education Treatment & Reentry Health Care Services	AC + 50 or if death occurs while in state custody, then Death + 5			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPARTMENT OF CORRECTIONS, PROPERTY RECORDS

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG1002	<p>PROPERTY DISPOSAL CASE FILES</p> <p>Case files on the disposal of real and related surplus property. Case files on sales of surplus personal property (including those transactions deviating from standard procedures), comprising of invitations, bid acceptances, lists of materials, evidence of sales, and related correspondence.</p> <p>GUIDANCE: - Retain by agency 3 years or after audit.</p>		AC +3, then destroy			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

APPENDIX 9 – IDAHO DEPARTMENT OF CORRECTIONS, HUMAN RESOURCES

Series #	Series Title (Additional Description)	Office of Record	Retention Period & Transfer Instruction (By Year)	Archival (A) or (R)	Vital (X)	Guidance
SG3007	<p>IDOC PUBLIC RECORDS REQUEST</p> <p>a. Approved Requests A request that is disclosed in its entirety must be retained by the person filling the request</p> <p>b. Denied Requests A request that is partially disclosed, or denied in its entirety must be retained by IDOC Central Records</p> <p>(For IDOC use <u>ONLY</u>)</p>	All IDOC offices, Facilities, Central Records	<p>a. AC + 30 days</p> <p>b .AC + 1 year</p>			

LEGEND:

Retention Codes: AC-After closed, terminated, completed, expired, settled or last date of contact; AV-As long as administratively valuable; CE-Calendar Year End (December 31st); FE-Fiscal Year End (June 30th); LA-Life of Asset; PM-Permanent; UA-University Archives; US-Until Superseded

Archival: A-Record is or may be permanent and have historic value; R-Required review by the Records Manager to determine value.

Vital: X-Record is vital for immediate operation of the office of origin or the institution

Guidance: RA-Refers to the security needs of a record series. Must be justified.

INDEX

SG0621	-----	4
SG1002	-----	8
SG3001	-----	5
SG3002	-----	7
SG3003	-----	6
SG3004	-----	1
SG3005	-----	2
SG3006	-----	3
SG3007	-----	9

INDEX

C

Civil Commitment Medical Records ----- 7

I

Immunization Records, Records of Tuberculosis
Treatment and/or Latent Tuberculosis
Treatment ----- 6
Inventory of Fixed Assets ----- 4

M

Medical Files ----- 5

O

Offender Correspondence
Bureau of Prisons ----- 2
Bureau of Probation & Parole; Bureau of
Education, Treatment & Reentry; Contract
Prison Oversight Unit, and
Director's Office ----- 1
Security Threat Group ----- 3

P

Property Disposal Case Files ----- 8
Public Records Request ----- 9