

CHAPTER 3
RECORDS SERIES RETENTION AND DISPOSITION SCHEDULES PROCESS

671—3.1(305) Purpose. Records series retention and disposition schedules establish a timetable for the retention and eventual disposition of state government records. The process employed to develop or revise records series retention and disposition schedules is designed to ensure the evaluation of administrative, legal, fiscal and historical values for records series in order to establish appropriate periods of time for holding records in office and storage areas prior to final disposition by destruction or permanent preservation.

671—3.2(305) Form to use. A Records Series Inventory and Retention and Disposition Schedule Form is used for the inventorying of agency records and for the development or revision of records series retention and disposition schedules. The form is available from the state archives and records bureau of the department of cultural affairs.

671—3.3(305) Agency responsibility.

3.3(1) An agency head shall maintain or cause to be maintained an inventory of records that are made, produced, executed, or received by the agency pursuant to statute in connection with the transaction of official business of state government, whether those records are created or maintained in an electronic system or in a paper system.

3.3(2) An agency head shall initiate or cause to be initiated a new Records Series Inventory and Retention and Disposition Schedule Form for previously unscheduled records series and, when needed, a Records Series Inventory and Retention and Disposition Schedule Form for revision of an existing records series retention and disposition schedule, whether a records series is created or maintained in an electronic system or in a paper system.

3.3(3) An agency head shall provide or cause to be provided complete and thorough responses to the questions on the Records Series Inventory and Retention and Disposition Schedule Form and shall work in a collaborative manner with the state archives and records bureau so that the state archives and records bureau can finalize the records series retention and disposition schedule recommendations for presentation to the state records commission.

671—3.4(305) State archives and records bureau responsibility. The state archives and records bureau shall expeditiously review a Records Series Inventory and Retention and Disposition Schedule Form as drafted by an agency, analyze the data reported thereon, and work in a collaborative manner with an agency to finalize the records series retention and disposition schedule recommendations for presentation to the state records commission.

671—3.5(305) State records commission responsibility. The state records commission shall evaluate a records series retention and disposition schedule recommendation presented by the state archives and records bureau to ensure that the state archives and records bureau has considered the administrative, legal, fiscal and historical values when preparing the recommendation and to ensure that the records series retention and disposition schedule recommendation is consistent with other adopted records series retention and disposition schedules. The commission may:

1. Adopt the proposed records series retention and disposition schedule as presented;
2. Amend the proposed records series retention and disposition schedule as the commission deems appropriate; or
3. Return the proposed records series retention and disposition schedule to the state archives and records bureau for additional research before the commission takes final action.

671—3.6(305) Effective date. Records series retention and disposition schedules shall become effective 20 calendar days after commission approval.

671—3.7(305) Procedures. Detailed procedures, including a sample copy of the Records Series Inventory and Retention and Disposition Schedule Form, are available in the state records manual.

These rules are intended to implement Iowa Code Supplement chapter 305.

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