

Retention Management for Records and Information



Approved As

American National
Standards Institute (ANSI)
Standard

February 7, 2005

Retention Management for Records and Information



Consulting Editor: Mary L. Ginn, Ph.D.
Composition: Cole Design & Production
Cover Art: Brett Dietrich

ARMA International
13725 W. 109th St., Suite 101
Lenexa, KS 66215
913.341.3808

©2005 by ARMA International. All rights reserved.
Printed in the United States of America.

The text of this publication, or any part thereof, may not be reproduced without the written permission of ARMA International.

ISBN: 1-931786-26-7 (printed version)
ISBN: 1-931786-27-5 (PDF version)

Purchaser of PDF file is entitled to print one copy for reference. Other reproduction or redistribution is prohibited.

A4758
V4758 (PDF Version)

TABLE OF CONTENTS

Foreword	v
Acknowledgments	vi
1. Introduction	1
1.1 Scope	1
1.2 Purpose	1
1.3 Equivalency	1
2. Normative References.....	1
3. Definitions	2
4. Information Retention and Disposition Program	2
4.1 Program Description	2
4.2 Benefits of an Information Retention and Disposition Program	3
5. Information Retention and Disposition Program Organization.....	4
5.1 Information Retention and Disposition Policy Statement	5
5.2 Information Retention and Disposition Program Directives.....	5
6. Information Retention and Disposition Program Responsibility.....	5
6.1 Records and Information Retention Committee's Responsibility	5
6.2 Records Manager's Overall Program Responsibility	6
6.3 Department RIM Representative's Responsibility.....	6
7. Developing the Information Retention and Disposition Program	7
7.1 Program Development Strategies.....	7
7.2 Departmental Interviews	9
7.3 The Records Inventory	9
7.4 Analysis/Appraisal of Data	9
7.5 Information Values	9
7.5.1 Operational Value.....	9
7.5.2 Vital Record Value	9
7.5.3 Legal/Regulatory Value.....	10
7.5.4 Fiscal Value	10
7.5.5 Historical Value.....	10

8.	Review and Approval	11
8.1	The Information Retention and Disposition Schedule.....	11
8.2	Operating Procedures	11
8.3	Approval of Information Retention Schedules and Procedures.....	11
9.	Implementation	12
9.1	Publishing the Information Retention and Disposition Manual.....	12
9.2	Training	12
9.3	Information Retention and Disposition Program Compliance Review	12
10.	Disposition Procedures	12
10.1	Policy Considerations for Disposition and Destruction.....	13
10.2	Suspension from Disposition (Legal Hold).....	13
10.3	Verification of Records to be Dispositioned	13
10.4	Destruction of Records.....	13
10.5	Transfer of Records to an Archives or Other Repository	14
11.	Operating the Program	15
12.	Coordination with the Records and Information Management Program	15
Appendix A	16	
Sample Records Management Policy Statement.....	16	
Sample Electronic Records Policy Statements	19	
Appendix B: Sample Records Inventory Forms.....	20	
Appendix C: Sample Records Retention Schedules.....	23	
Bibliography.....	27	
Index.....	30	
About ARMA International	32	

FOREWORD

[This foreword is not part of American National Standard ANSI/ARMA 8-2005.]

Three informative appendices accompany this standard. Appendix A includes two sample records management policy statements – one policy statement for the entire RIM program and one policy statement specifically addressing electronic records stored on various media as well as electronic mail. These policy statements may be helpful to organizations that do not currently have a RIM policy or to organizations that are revising their current policy. Appendix B contains three sample inventory forms that provide examples of the types of information that should be collected during a records inventory. Appendix C contains four examples of records retention schedules that illustrate the variety of formats and the types of information that provide organizations detailed information about the length of time their records should be retained.

This material has been developed under the published procedures of ARMA International, which are designed to assure the appointment of technically competent committees having balanced representation. Although the procedures ensure the highest degree of care, neither ARMA and its members nor those participating in its activities accepts any liability resulting from compliance or noncompliance with the provisions given herein, for any restrictions imposed on materials or processes, or for the completeness of the text. ARMA has no power or authority to police or enforce compliance with the contents of this document. Any certification of product stating compliance with requirements of this document is made at the peril of the certifier.

Comments on the content of this publication should be sent to: ARMA International, Director of Professional Resources, 13725 W. 109th Street; Suite 101, Lenexa, KS 66215.

ACKNOWLEDGMENTS

ARMA International gratefully acknowledges the contributions provided by the following individuals who were instrumental in the development of this publication. (Participants' companies are those for whom they worked during the period in which this publication was developed.)

ARMA Standards Committee:

Sandi Williamson, Chair, Universal Studios,
Los Angeles, CA
John Bolton, CRM, Victoria, British Columbia, Canada
Jerry Brandes, Jenner & Block, Chicago, IL
Nancy Kunde, CRM, CA, University of Wisconsin,
Madison, WI
Robert McLean, The Wellcome Trust, London, England
Lawrence Medina, Lawrence Livermore National
Laboratory, Livermore, CA
Rainer Naus, CRM, AstraZeneca Pharmaceuticals,
Wilmington, DE
Alan S. Zaben, Edison, NJ

Records Retention Revision Task Force:

Barbara Benson, University of Washington, Seattle, WA
Steve Bose, Wisconsin Department of Health & Family
Services, Madison, WI
Robert Casey, Connolly, Bove, Lodge & Hutz LLP,
Wilmington, DE
Margaret Crockett, OSA, Budapest, Hungary
Linda Cusimano, CRM, Sandia National Laboratories,
Albuquerque, NM

Susan Diamond, Diamond Associates Ltd.,
Bensenville, IL
Marti Fischer, CRM, Iron Mountain Consulting Service,
Auburn, CA
Stephen Krehley, The Ford Foundation, New York, NY
Barbara Nye, Ictus Consulting, Sierra Madre, CA
Fred Pulzello, Morgan Stanley, New York, NY
Karen Shaffer, Miami University, Middletown, OH
Lori Van Rossem, Turner Broadcasting System,
Atlanta, GA
Mary White-Dollmann, CRM, Conoco, Houston, TX
Mary Zalenski, CRM, Chair, United States Surgical
Corporation, Norwalk, CT

Special thanks to the original Records Retention Subcommittee without whose efforts this task would have been much more difficult.

Special recognition is given to Nancy Kunde, John Bolton, and Alan Zaben who undertook the task of editing and recasting the document. This document is a proud reflection of their personal dedication, enthusiasm, and tenacity.

The Task Force also recognizes the contributions from ARMA International headquarters' staff members. Without their support and assistance, we could not have achieved these results. Diane K. Carlisle, CRM, Director of Professional Resources, provided leadership and support that helped us bring this project to a successful conclusion.



► 1. Introduction

A record, regardless of its format or the media on which it is recorded, supports decisions, justifies budgets and expenses, communicates ideas, confirms sales and purchases, documents rights, provides accountability, and otherwise provides information. This information may be required by executives, staff members, legal/regulatory authorities, stockholders, students, the public, and others on all aspects of an organization such as its policies, procedures, products, stocks, and financial matters.

The goal of an information retention and disposition program is to ensure that a record is identified, appraised, and maintained for an appropriate period of time in such a way that it is accessible and retrievable. It is disposed of – either destroyed or transferred for permanent preservation – at the end of the total retention period. The existence of, and compliance with, an information retention and disposition program is important to meet that goal and to avoid premature disposition and/or unauthorized disposal or retention of information.

1.1 Scope

This standard covers general principles in structuring an information retention and disposition program, including authority and responsibility, identifying and classifying records for retention purposes, and principles for determining retention periods for all records. The principles enumerated

apply to records on all media and in all formats, including but not limited to paper, microform, magnetic tape, personal computer hard disks, diskettes, and CDs. Organizations must apply these principles in compliance with the legal and policy requirements of the institutional context within which they operate.

1.2 Purpose

This standard provides guidance for establishing and operating an information retention and disposition program as a component of a complete records and information management (RIM) program. When implemented, the information retention and disposition program will define periods of time for which records are to be maintained, appropriate methods for disposition of records, and measures to be taken when disposition must be suspended. Such a program will help ensure compliance with operational, legal/regulatory, fiscal, archival, and other requirements.

1.3 Equivalency

Nothing in this standard is intended to preclude the application of new methods, technologies, or techniques for the protection of information.

► 2. Normative References

The following standards contain provisions that, through reference in the text, constitute provisions of this standard.