

Training Aid for Policy Project JR 2011-005 Record Retention August 2011

Residential JJ Training Element/Job Aid
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Juvenile Justice Record Retention

- Catalyst: 2009/2010 DHS Deputy Director initiative to revise record retention schedules
- Led to JR1 122 policy change-Use approved record retention schedules vice previous policy limits
- Record retention. What is a record?
Any media/document created by state employees.
in their official functions/duties.
- Retention schedule = legal authority to hold/destroy



Record Retention Highlights

- Retention based on general or agency-specific schedule
- Schedules approved by DHS, DTMB, AG, Admin Board
- Organized by item number, series title/description, agency retention, total retention, and approval date.
- Agency retention-period for record hold at the agency
- Total retention-period for record hold at Records Mgt Center (RMC), Lansing
- To hold at RMC, total retention must be longer than agency retention



Record Retention Codes

- Retention chosen by the user when schedule developed
- Based on reference point, codes and times
- Guide to codes at bottom of each schedule page
- Example: CR+2, retain for two years after creation
- Example: FY+5, retain for five years after the fiscal year of creation.
- Example: EVT+7, retain for seven years after the event where the event is transfer from the facility



Agency and Total Retention Example

- Assume Agency = FY+2, Total = FY+5
- For records created in FY ending Sep 30, 2011
- Retain at agency until Sep 30, 2013 (two years)
- Ship to RMC in Lansing for storage until Sep 30, 2016
- Note: When agency and total retention is the same, use of the RMC is neither required or authorized; agency destroys the records per the schedule
- Agency sets its own retention periods, schedule gets approved, then agency follows the schedule



Schedule Item Example

- Item Number 37930, Incident Reports
- Agency Retention is FY+3
- Total Retention is FY+3
- Answer: These records are held until the end of the third fiscal year in which they were created and then destroyed. Because agency and total retention are the same, there is no storage authorized at the Records Management Center (RMC) in Lansing



Record Retention for Juvenile Justice

- Uses general schedules plus three agency-specific
 - Director/Investigator (43/BJJDIR/)
 - Central Office/Administration (43/BJJCOA/)
 - State facilities (43/BJJFAC/)



Facility Youth File Maintenance

- Maintain youth file while youth is at the facility
- Youth file is case record + medical file + education file
- Facility builds skeletal file during residence



Youth File at Release

- Facility retains skeletal file + copy of medical file
- Case record sent back to DHS county caseworker
- Medical file sent back to DHS county caseworker
- Education file mailed to Education Unit (Whitmore Lake)
- Note: DHS county offices have their own record retention schedules that govern the case record



Required Review of Holdings (New)

- Reviews required by policy at least every 12 months
- Reviews determine if retention schedule needs to be changed (retention periods or new records)
- If change needed, change needs Admin Board approval
- Review is an internal check to ensure records are being properly held and destroyed per the schedule



Versatile Records Management Software

- Versatile-software for arranging boxed RMC storage in Lansing
- Work through DHS Records Mgt Officer to arrange access/training with DTMB
- Works in concert with procedures for organized packing and labeling of special boxes including bar-coding
- Proper packaging, labeling, and box construction crucial
- Versatile access must not be shared with others
- Rapid retrieval (less than 24 hours) possible

