

General Retention Schedules

April 12, 2010

General retention schedules allow common types of records to be identified and their retention approved once, regardless of where or how often those records may be found. Agencies using records similar to general retention schedule descriptions may simply follow the retention length for that schedule, without notifying us further. If agencies need those records to interact with Archives' services, such as Records Center storage or microfilming, a new entry is made in Series Input to produce a series number, but it is then linked to the appropriate general schedule item.

General schedules come in two types: those appropriate for all entities within a government type, such as state government, counties, municipalities, special districts, or school districts; and agency-specific general schedules, for agencies that have multiple satellite offices that do exactly the same thing, but are scattered geographically. General schedules intended as a government-type schedule do not have agency numbers assigned to them. Agency-specific schedules do have agency numbers assigned to them, and it is the number for the top-level department.

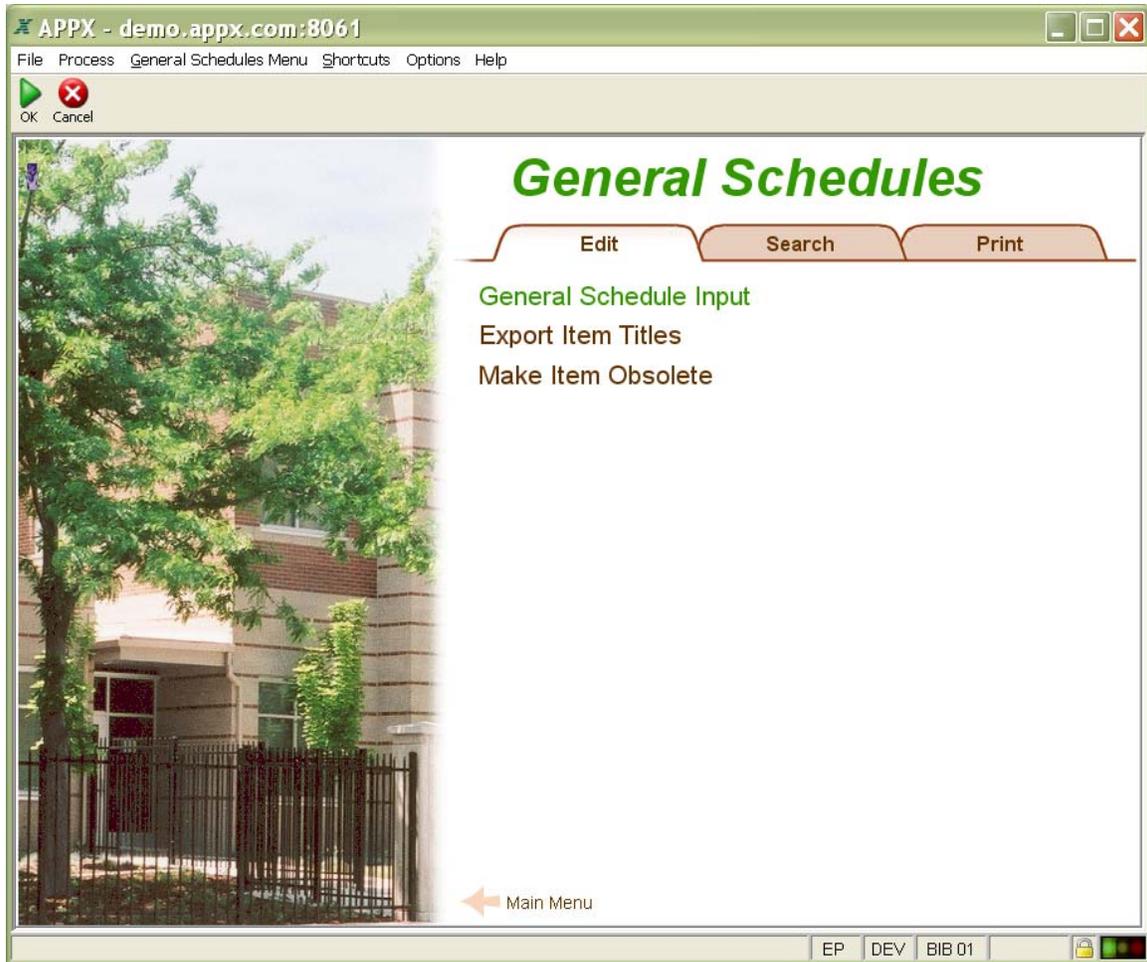
Each major type of general schedule publication is actually made up of a dozen or so "schedules" that are organized by a logical category, such as Administrative Records, Human Resources Records, or Financial Records. Within each of these schedules are individual items which are like series titles. The schedule categories are numbered and named, as are the individual items. To identify a schedule in Axaem, it will ask for the following: agency number (if applicable), government type (e.g. CNT, for Counties), schedule number (e.g. 1, for Administrative Records) and item number (e.g. 33, for Publications). All those pieces of data are required, and together form a unique key to the general schedule file in the database.

Viewing and Editing Existing Schedules

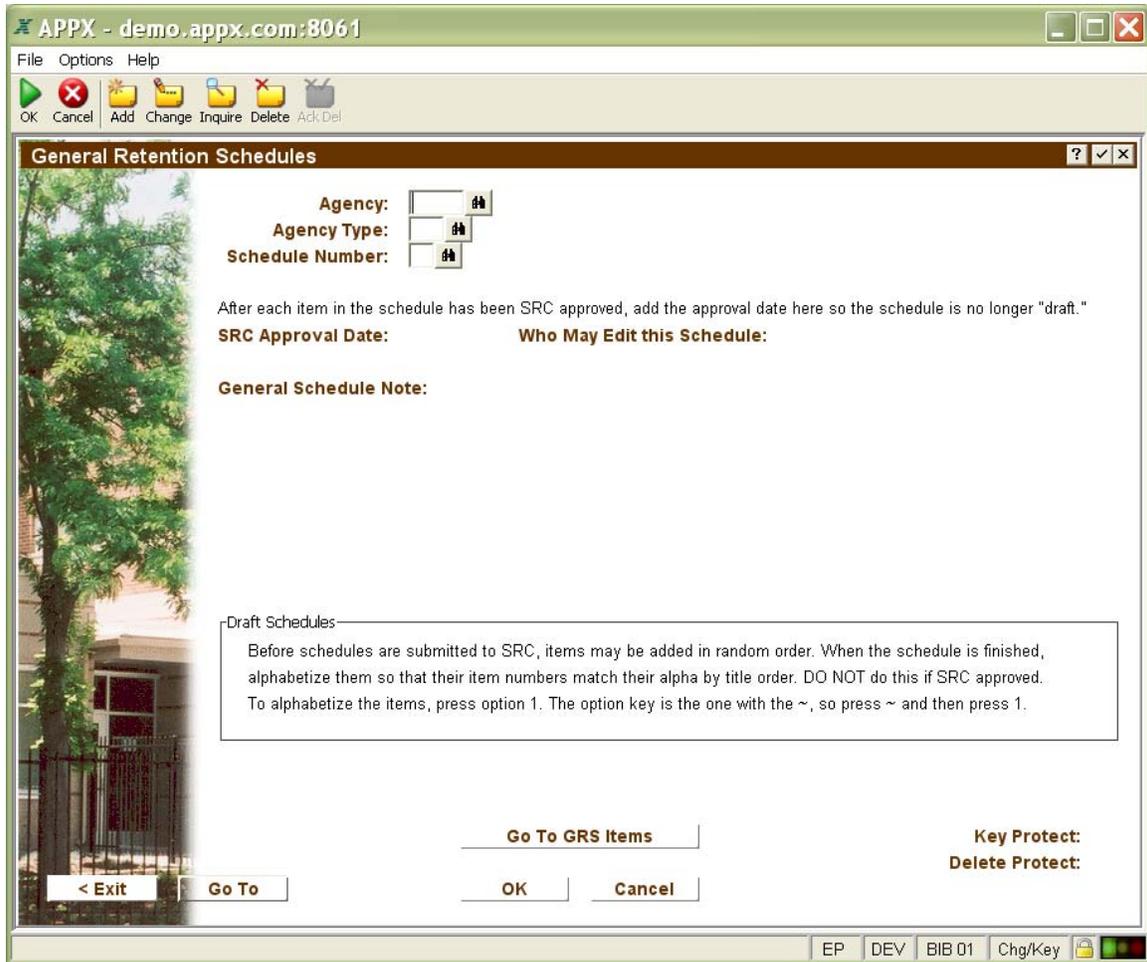
1. To see General Schedules, go to the Main Menu in Axaem and click General Schedules:



2. Then click General Schedule Input:



3. That will bring you to the following screen. Note that you are automatically in key-entry mode, where it is asking you which record you would like to see:



4. To look at the County schedule 1, Administrative Records, tab to the Agency Type field and type CNT.
 - a. If you wish to see a different schedule and do not know the code for the agency type you need, click the binoculars to the right of the Agency Type field for a list. Select an item from the list and hit Enter.
5. Then tab to the Schedule Number field, type 1, and click OK.
6. Axaem will bring up the record you requested.
7. To go to another schedule, click the Go To button and re-enter the information, then click OK.

APPX - demo.appx.com:8061

File Options Help

OK Cancel Add Change Inquire Delete Ack/Del

General Retention Schedules

Agency: []
 Agency Type: CNT County
 Schedule Number: 1 Administrative Records

After each item in the schedule has been SRC approved, add the approval date here so the schedule is no longer "draft."
 SRC Approval Date: 06/1991 Who May Edit this Schedule: EP [] [] [] []

General Schedule Note:

Draft Schedules—
 Before schedules are submitted to SRC, items may be added in random order. When the schedule is finished, alphabetize them so that their item numbers match their alpha by title order. DO NOT do this if SRC approved. To alphabetize the items, press option 1. The option key is the one with the ~, so press ~ and then press 1.

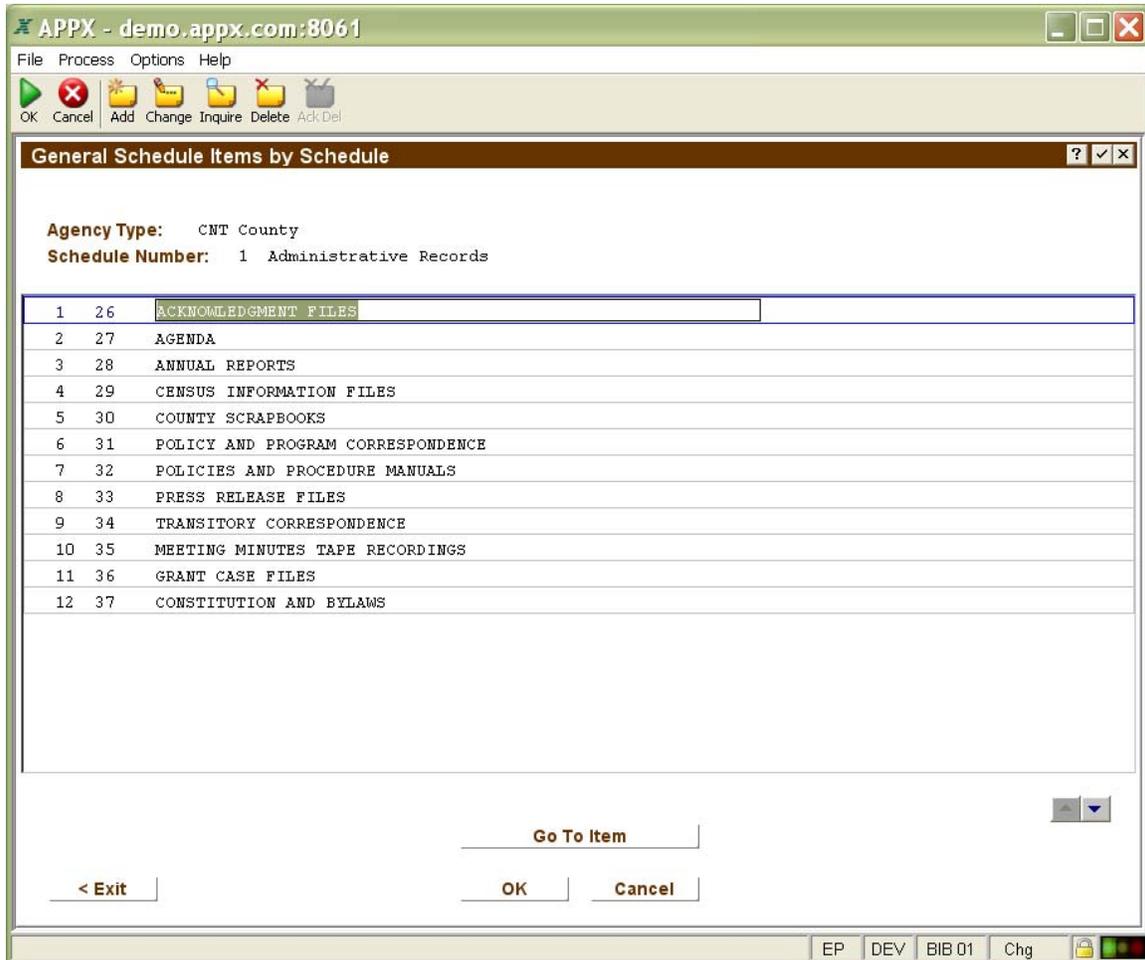
Go To GRS Items Key Protect:
 Delete Protect:

< Exit Go To OK Cancel

EP DEV BIB 01 Chg

8. The schedule category is created first on this screen. Afterwards, all the items are created underneath it. At this level, the data describes the whole schedule. Note that it has a government type, a schedule number, a name, a State Records Committee (SRC) Approval Date, and an indication of who may edit the schedule and items underneath. There is also space for notes regarding the schedule.
9. The SRC Approval Date is set manually after all items in the schedule have been approved by SRC. This has the effect of changing the schedule from Draft to Published status. Draft schedules print out differently than published ones.
10. Before a general schedule gets published, usually all the items are alphabetized so they print in title order, since they are generally first entered in random order, as the series are inventoried. Alphabetizing effectively renumbers the items. Never re-alphabetize a published schedule, since agency series will have been linked to specific item numbers, and now those numbers will mean something different. After the SRC Approval Date is set for the schedule, the system will not allow schedules to be re-alphabetized. **[Note: this function has been disabled by user request.]**
11. The Key Protect and Delete Protect fields are for safety, so that an entire schedule doesn't get deleted accidentally, or the schedule numbers overwritten when you are trying to navigate to some other schedule.

12. If you do need to delete a schedule which hasn't been published yet and has no items tied to it, uncheck the Key Protect and Delete Protect fields, then go into Delete Mode (F10) and click Acknowledge Delete (CTRL-F10). If items are tied to it, but they haven't been approved yet, first delete the items individually, then delete the schedule. Note that approved items no longer used should be made obsolete, not deleted. Items still tied to a schedule which has been deleted will be orphaned and not accessible.
13. To see the general schedule items belonging to this schedule, click Go To GRS Items.



14. The first column is the item number assigned. The second column is like a series number, in that it is the same kind of number used in Series Input, but it means the general schedule record rather than an agency's series, and is called the GRS key. The third column is the item's title. All general schedule items should have their titles in uppercase, be descriptive enough for agencies to apply them to records they use, and be named in a way that agencies can find the item (call a spade a "SPADE" and not "IMPLEMENT FOR DIGGING", etc.). You may scroll through these titles by hitting Page Down.

15. To see the data in the general schedule item, click Go To Item. Unless your initials are on the previous (first) screen allowing you to edit the schedule, you may not change any of the data listed here.

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File Process Options Help

GRS OK Cancel Add Change Inquire Delete Ack/Del

General Schedule Input ? ✓ ✕

GRS Key: 00036 Agency: []

This is a General Retention Schedule, not a regular series!

Type: CWT Schedule: 1 Item: 11

Schedule Name: Administrative Records

Title: GRANT CASE FILES

Search Title: GRANT CASE FILES

Access Points	Description	Retention
Appraisal	Miscellaneous Data	Series Attached
Classification	Notes	Variant Title

< Exit Go To OK Cancel Next >

EP DEV BIB 01 Chg

16. This is the same screen that you would see if you went to series 36 in Series Input. Even if you have rights to edit this schedule, it will not allow you to do so while in Series Input. You have to enter in via the General Schedule menus.
17. The descriptive subfiles here are similar to how they appear in Series Input except for Retention. Click Retention to see how this looks:

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File Options Help

OK Cancel Add Change Inquire Delete Ack-Del

General Schedule Input

GRS Key: 00036 Agency: _____

This is a General Retention Schedule, not a regular series!

Type: CNT Schedule: 1 Item: 11

----- Retention Maintenance -----

ORIGINAL 3 YER year
Retain by _____
after grant has expired
Destroy Y/N?

COPY 1 YER year
Retain by _____
after grant has expired
Destroy Y/N?

< Exit Go To OK Cancel Next >

EP DEV BIB 01 Chg

18. Note that there are two retentions listed on this screen: what happens to the original or record copy, and what happens to the duplicates. Next to the ORIGINAL label, there are two fields. The first indicates the time (a number), followed by the time unit, e.g. 3 YER to say “3 years.” The Retain By field is where you indicate who has it in case the owner is someone other than the creating office, e.g. Archives, or Treasurer’s office, etc. The field below Retain By is used to clarify conditional statements, and other notes. If the Destroy Y/N field is checked, the retention will be followed by “and then destroy.” If you do not check this, and the time unit isn’t PER for Permanent, then the retention will have no disposition.
19. In the above example, the retention ends up phrased as follows when printed:
 - a. Record copy: Retain 3 years after grant has expired and then destroy.
 - b. Duplicate copies: Retain 1 year after grant has expired and then destroy.
20. After a general schedule item has been added and edited to your satisfaction, and there is general consensus among the affected agencies regarding these records, go into Miscellaneous Data to submit the item to SRC. Click the Submit to SRC button, and it will change as seen below:

APPX - itshp8.state.ut.us:8060

File Process Options Help

CNVT
CTLG

MARC

Miscellaneous Data

Series: 30826

Retention Approval

Submitted to SRC **Audit Trail**

SRC Approved: 06/1991

Previously SRC Approved:

Other Approval:
(e.g. Administrative Office of the Courts)

Considered Scheduled:
(i.e. Disposition approved by Archives Director only)

Catalog

To upload changes to this series to the web catalog, you must click Convert.

Cataloged: by

Catalog Work File Created: 01/21/2005

Converted: MM/DD/CCYY hh:mm ss.th

Cataloged Before:

Physical Holdings

In Archival Custody:

Old Volume Data: Cubic Feet

Total Master Film: Cataloged Copies: Last Reel Number:

Who Did What

Analyst: UNK Unknown Person

Appraiser: UNK Unknown Person

Processed by: on

Series Added by: on

Series Changed by: APX on

< Exit

APX ARC BIB 00 Chg

21. Click Exit (F8) one or more times to go back and view other schedules or items.

Adding New Schedules and Items

22. To add a new schedule and new items, go to General Schedule Input and click Add Mode (F9).
23. Type the agency number if this is an agency-specific schedule (omit if government-type schedule), the schedule type, schedule number you want to assign, schedule name, and your own initials as the person who can edit this schedule. For example, see below:

APPX - demo.appx.com:8061

File Options Help

OK Cancel Add Change Inquire Delete Ack/Del

General Retention Schedules

Agency: 2 Agency Type: SG Schedule Number: 1 RECORDS CENTER RECORDS

After each item in the schedule has been SRC approved, add the approval date here so the schedule is no longer "draft."
 SRC Approval Date: MM/CCYY Who May Edit this Schedule: EP

General Schedule Note:

Draft Schedules—
 Before schedules are submitted to SRC, items may be added in random order. When the schedule is finished, alphabetize them so that their item numbers match their alpha by title order. DO NOT do this if SRC approved. To alphabetize the items, press option 1. The option key is the one with the ~, so press ~ and then press 1.

< Exit Go To Go To GRS Items OK Cancel Key Protect: Delete Protect:

EP DEV BIB 01 Add

24. Click OK once to allow Axaem to bring forward its lookup data, in this case the agency name and agency type. Note that the new schedule has not been saved yet. In general, if there are fields on screen which are keys to data in other files, there will always be lookup values, so the first click of OK brings those up and gives you a chance to change your mind if the value doesn't display what you were expecting. Screens that have no lookup data, or where the lookup data has already been displayed only need to have OK clicked once before the record is saved. See the lookup data in the screenshot below, and compare it to the one above:

APPX - demo.appx.com:8061

File Options Help

OK Cancel Add Change Inquire Delete Ack/Del

General Retention Schedules

Agency: 2 Archives

Agency Type: SG State Government

Schedule Number: 1 RECORDS CENTER RECORDS

After each item in the schedule has been SRC approved, add the approval date here so the schedule is no longer "draft."

SRC Approval Date: MM/CCYY Who May Edit this Schedule: EP

General Schedule Note:

Draft Schedules

Before schedules are submitted to SRC, items may be added in random order. When the schedule is finished, alphabetize them so that their item numbers match their alpha by title order. DO NOT do this if SRC approved. To alphabetize the items, press option 1. The option key is the one with the ~, so press ~ and then press 1.

Go To GRS Items

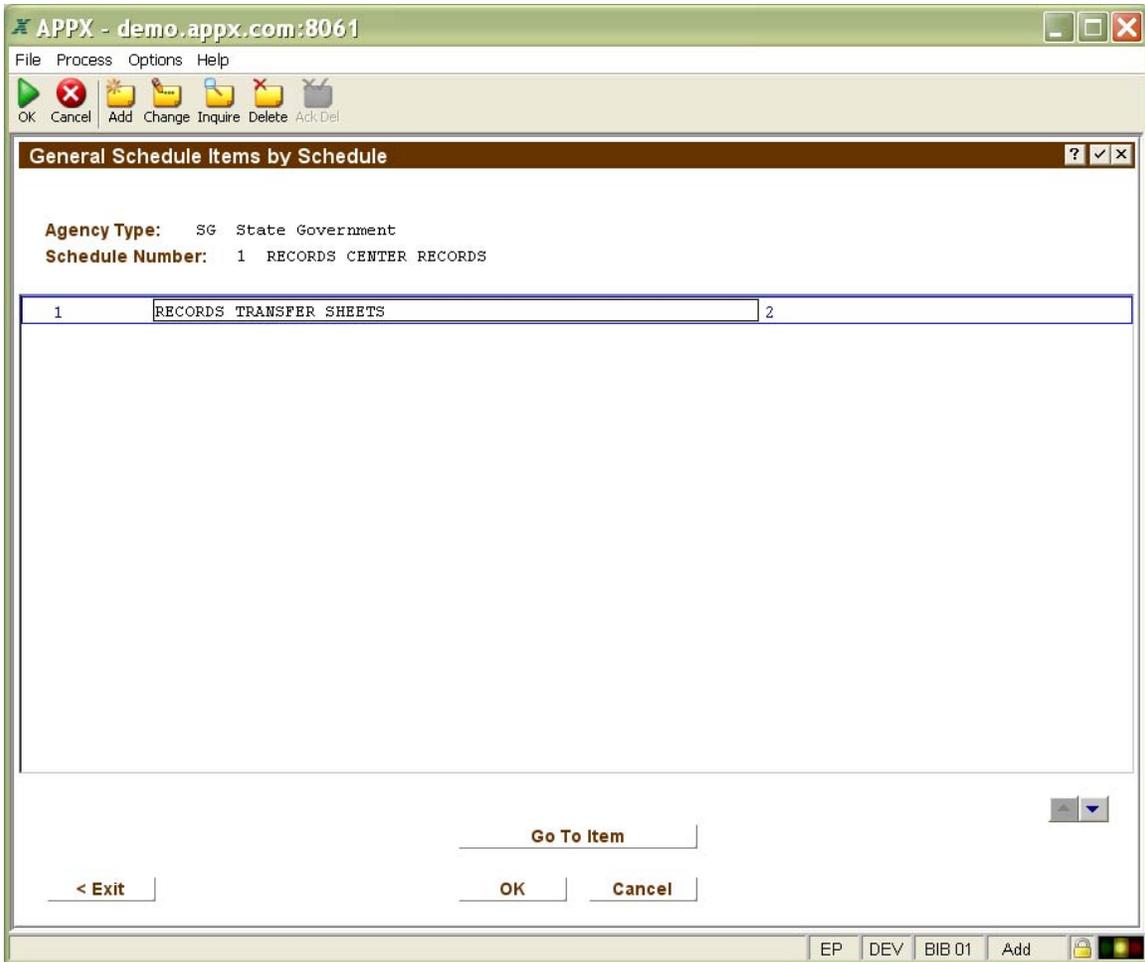
Key Protect:

Delete Protect:

< Exit Go To OK Cancel

EP DEV BIB 01 Add

25. Click OK to save the record. You know that the record has been saved when the system advances to the next process or next record.
26. Still in Add Mode, type the title for your first item in this schedule.
 - a. If you're adding an item to an existing schedule, and you were looking at it in Change Mode, click Add Mode (F9).



27. The item number is automatically assigned. Click OK to save this item and go to the descriptive information.

APPX - demo.appx.com:8061

File Process Options Help

GRS OK Cancel Add Change Inquire Delete Ack/Del

General Schedule Input

GRS Key: 00043 Agency: 2

This is a General Retention Schedule, not a regular series!

Type: SG Schedule: 1 Item: 1

Schedule Name: RECORDS CENTER RECORDS

Title: RECORDS TRANSFER SHEETS

Search Title: RECORDS TRANSFER SHEETS

Access Points	Description	Retention
Appraisal	Miscellaneous Data	Series Attached
Classification	Notes	Variant Title

< Exit Go To OK Cancel Next >

EP DEV BIB 01 Chg

28. Note that now you are in Change Mode for this screen, which is correct. It automatically assigned the GRS Key for the new entry. You may edit any of the descriptive screens as normal.
- Access Points added to a general schedule will automatically be added to any series that are linked to it. It's a quick way to make the system do a lot of cataloging for you.
 - Appraisal is generally not added for general schedules, although it may be useful for agency-specific general schedule items. Add appraisal on a case-by-case basis if the need is warranted.
 - Classifications (or access restrictions) in general schedules are considered a suggested classification for this type of record. Agencies may or may not agree with this decision for their own specific records. They must report their classification changes to us.
 - Descriptions should be inclusive enough for agencies to recognize the records in their office, without being so broad that anything could fit there, or so narrow that nothing really fits there. Focus on the reason records are created and the value that they have rather than the information contained. When a series is added in Series Input and tied to a general schedule, more contextual information should be added to the description, such as the

- name of the committee whose meeting minutes are being preserved, and whether or not the meeting files include tape recordings, etc.
- e. Nothing needs to be added to Miscellaneous Data. Use this screen only to submit the item to SRC for approval.
 - f. Notes may be added to general schedules, although usually they are not needed.
 - g. Retention is required, and should have entries for both the original and duplicate copies. General schedules are format-neutral. The content of the record is what counts, not what system was used to create that content.
 - h. Variant titles are only used with agency-specific general schedules.
29. When finished, click OK or End (F8), and you will be taken back to the item list, still in Add Mode.

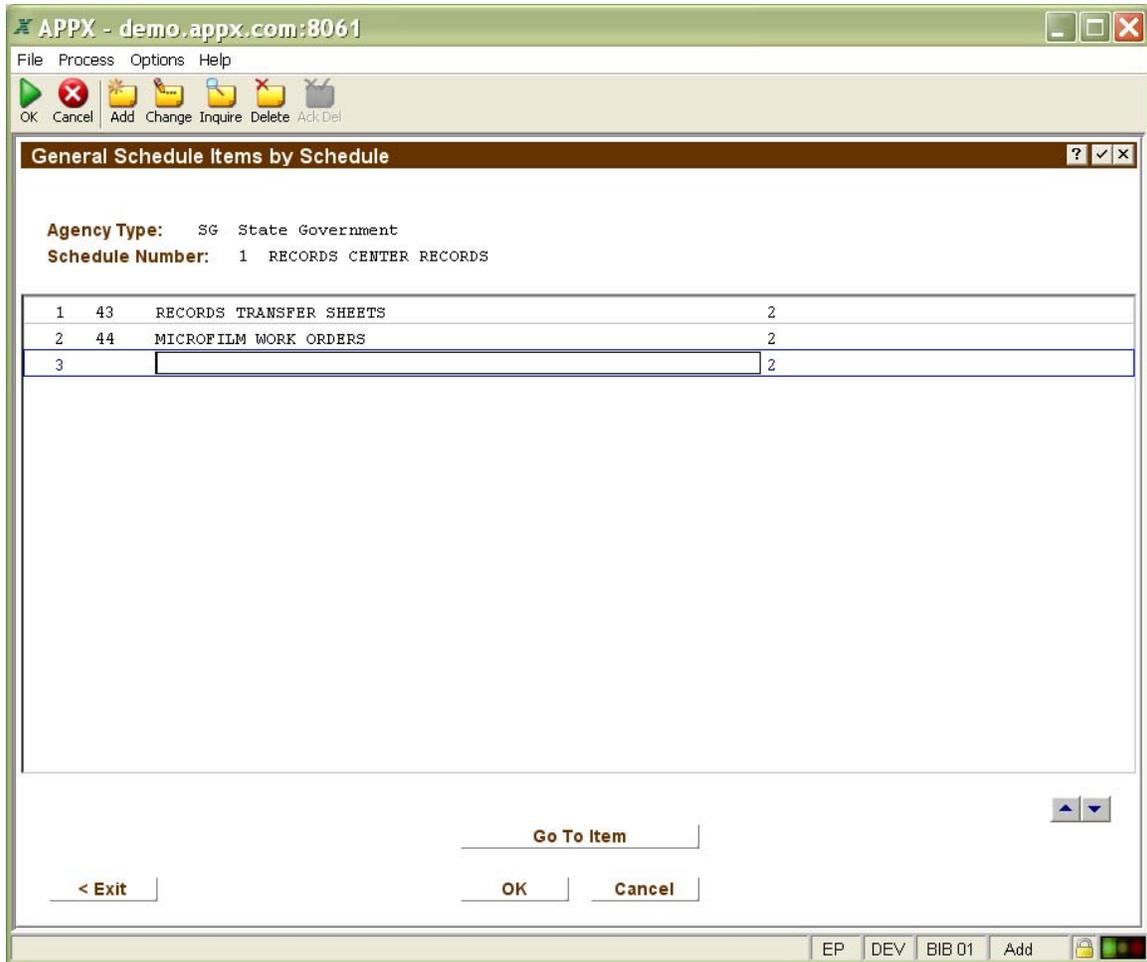
The screenshot shows a web-based application window titled "APPX - demo.appx.com:8061". The main content area is titled "General Schedule Items by Schedule". It displays the following information:

Agency Type: SG State Government
Schedule Number: 1 RECORDS CENTER RECORDS

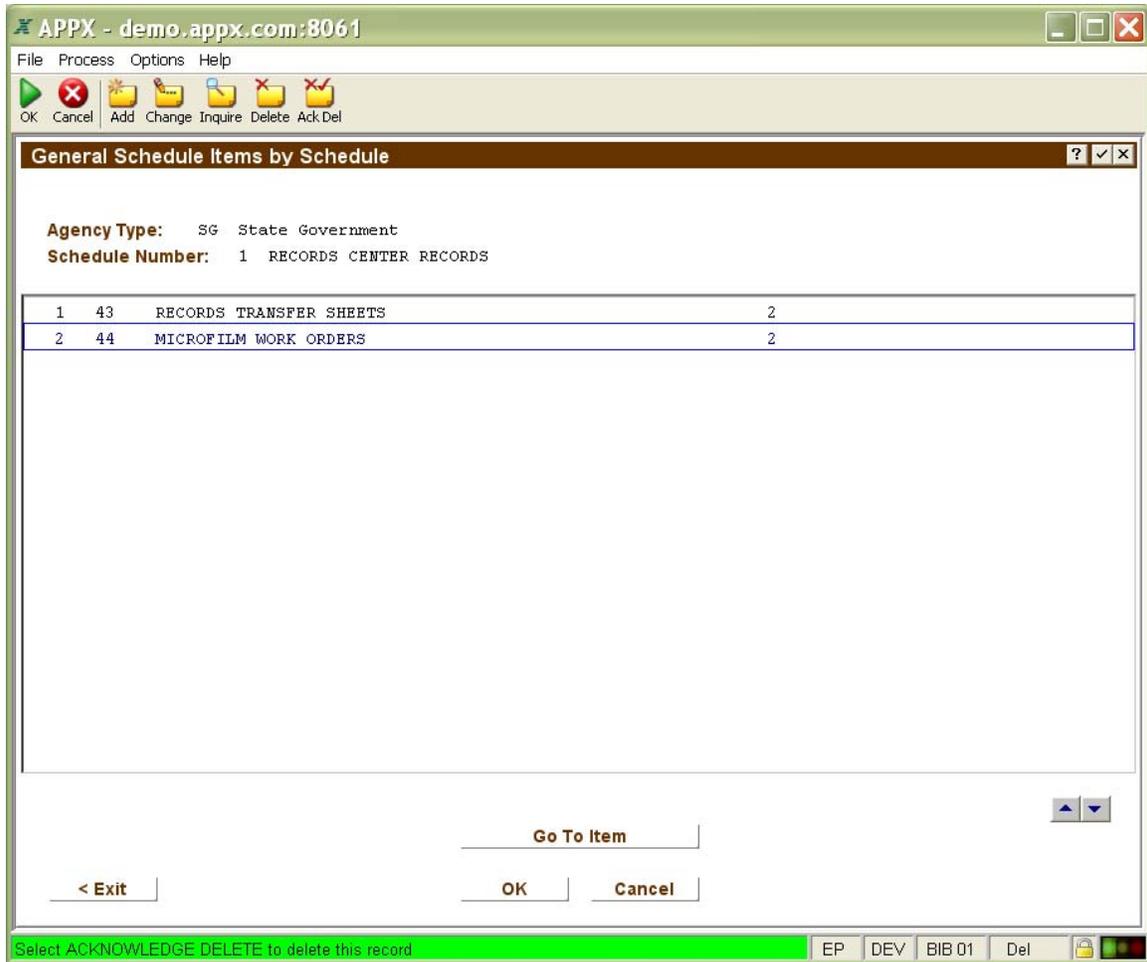
1	43	RECORDS TRANSFER SHEETS	2
2			2

At the bottom of the window, there are several buttons: "< Exit", "Go To Item" (with a dropdown arrow), "OK", and "Cancel". The status bar at the bottom right shows "EP DEV BIB 01 Add" and system icons.

30. Add your second item and continue on until complete.



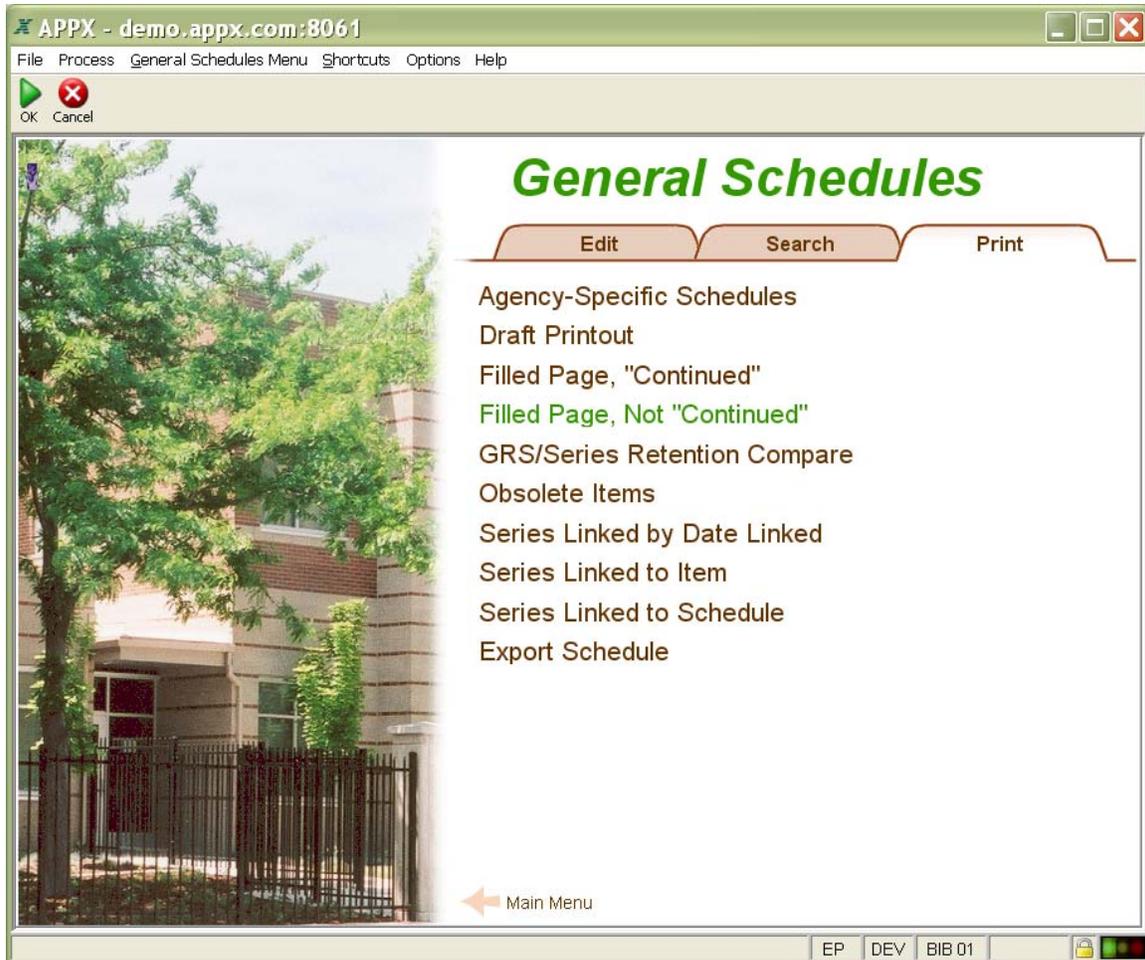
31. If you made a mistake and want to delete one of the items, select the item and click Delete Mode (F10). The Acknowledge Delete message will come up in green at the bottom of the screen. Click Acknowledge Delete (Ctrl-F10) for that record, and it's gone. Note that you are still in Delete Mode, so the next record will be selected asking if you also want to delete it. If not, go to Change Mode (F12).
- Only delete items that you know have never been used or even approved by SRC. If it has been used or approved, make the item obsolete instead, as described further below.



32. Click Exit or End (F8) to go back to the Schedule screen. If you have just been adding items, you will still be in Add Mode in the Schedule screen. If you want to add another schedule at this time, do so, otherwise, Exit back to the General Schedules menu.

Printing General Schedules

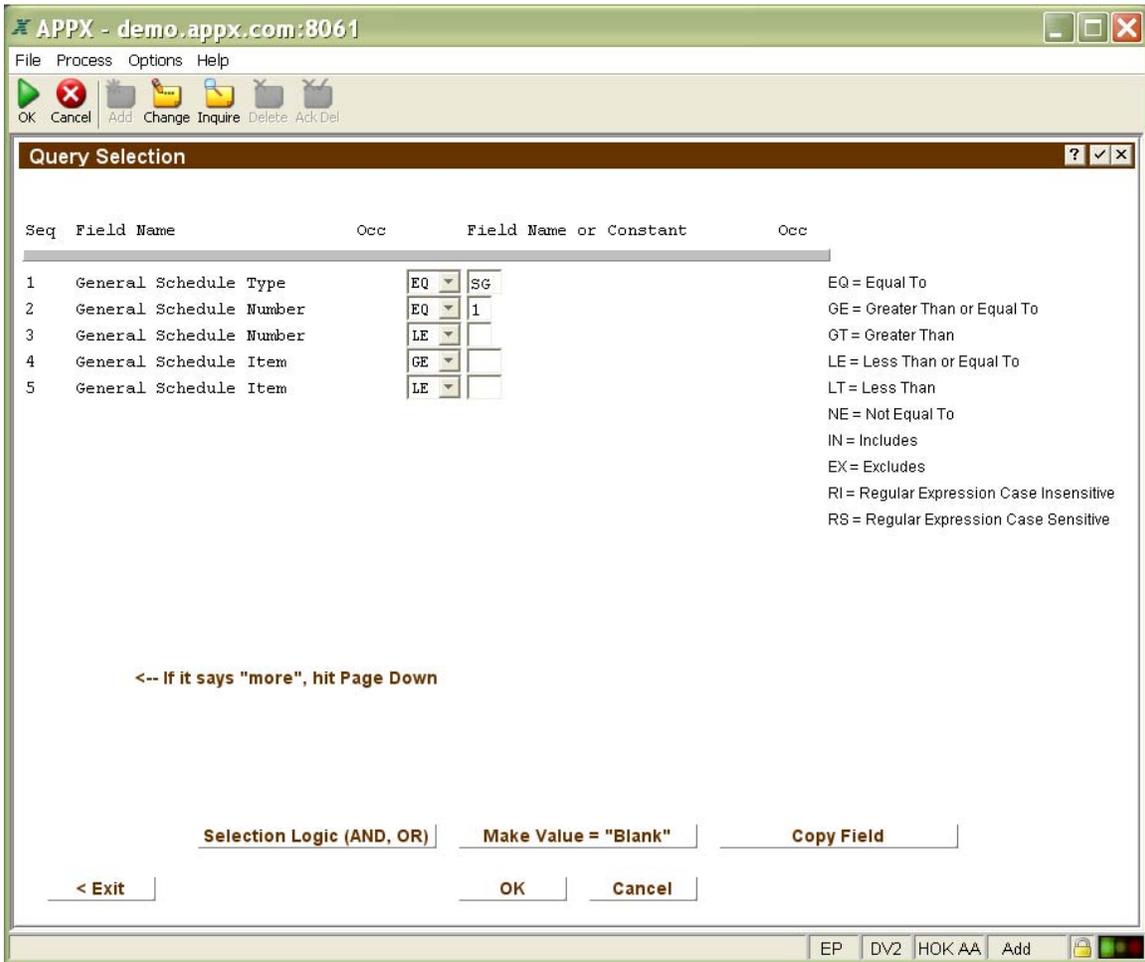
33. To print your general schedule or individual items, go to the Print tab on the General Schedules menu:



34. The first four options are for printing the actual schedules.
- Only use the Agency-Specific Schedules option if that is the type of schedule you want to print. It will ask for an agency number in the query screen, which you must provide to get the correct schedule printed out.
 - The Draft Printout will print any schedule, even if it has been published, but it will appear in draft form. If an item has been made obsolete, it will still print in the Draft Printout, but will say OBSOLETE under the schedule and item number. The schedule and item numbers also print first in this version.
 - Filled Page, “Continued” is used for published schedules. Only items which have been SRC-approved should appear here. When you run the report, it allows you to add page numbers starting at whatever number that schedule should be in the entire schedule handbook. When printed, the titles are listed first, with item numbers on the far right. A second report also prints at the same time, which is an index listing of all the items in alphabetical order.
 - The “Continued” vs. “Not Continued” option refers to page breaks within an item. If you don’t want a page break in the middle of an item, run the

“Not Continued” version. If you don’t mind that an item is continued on the next page (saving paper), use the “Continued” version.

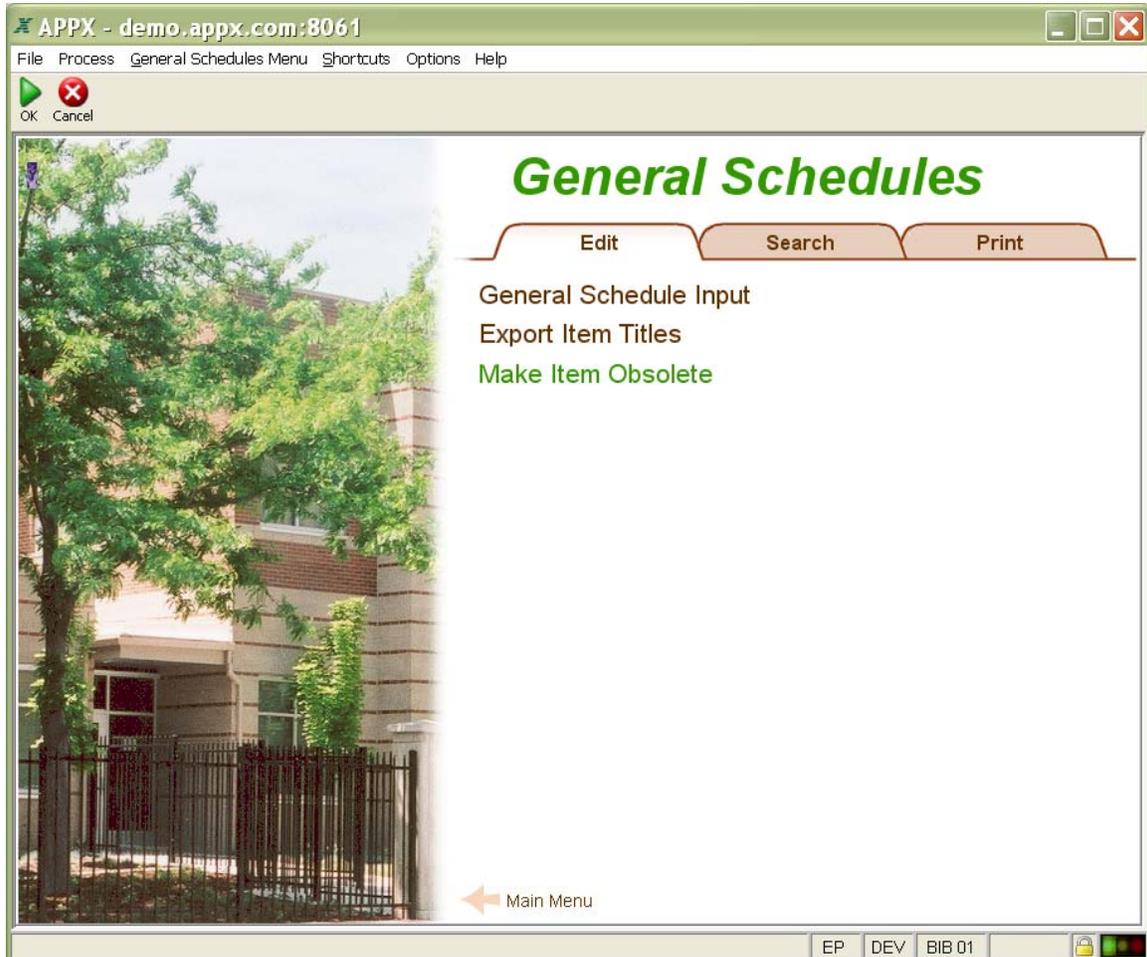
- e. The query screen for general schedules includes schedule and item number ranges to be printed. If you just want one schedule, change the LE on schedule number to EQ. Similarly, if you want everything to print except for one schedule number (such as schedule 8, Higher Education, on the State Schedule), use NE 8, meaning “not equal to” 8. You can set or bypass item numbers the same way. If you do not specify any of the schedule types, numbers, or items, everything in the database for General Schedules will print. Queries are used for limiting the number of records that you want.



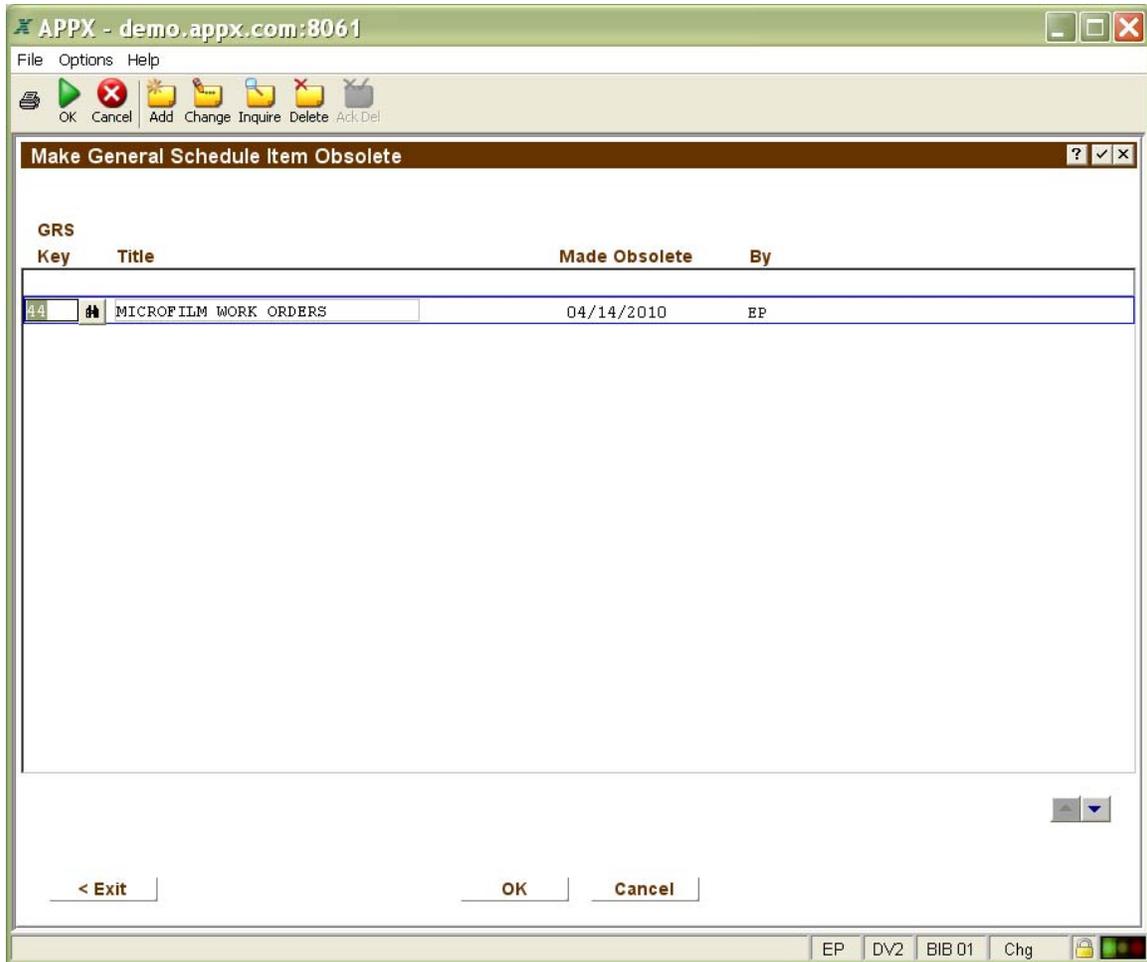
- 35. The other print options on the General Schedules menu are useful for identifying series problems, or for seeing how actively a general schedule item is being used.

Making Items Obsolete

36. On the Edit tab of the General Schedules menu, there is an option called Make Item Obsolete. What this does is list general schedules that are considered obsolete and should no longer print on published schedules. Series may still be tied to them, and they had been valid at one time, so they are not deleted from the system. This gives us a way a preserving a history of how schedules were used over the years.



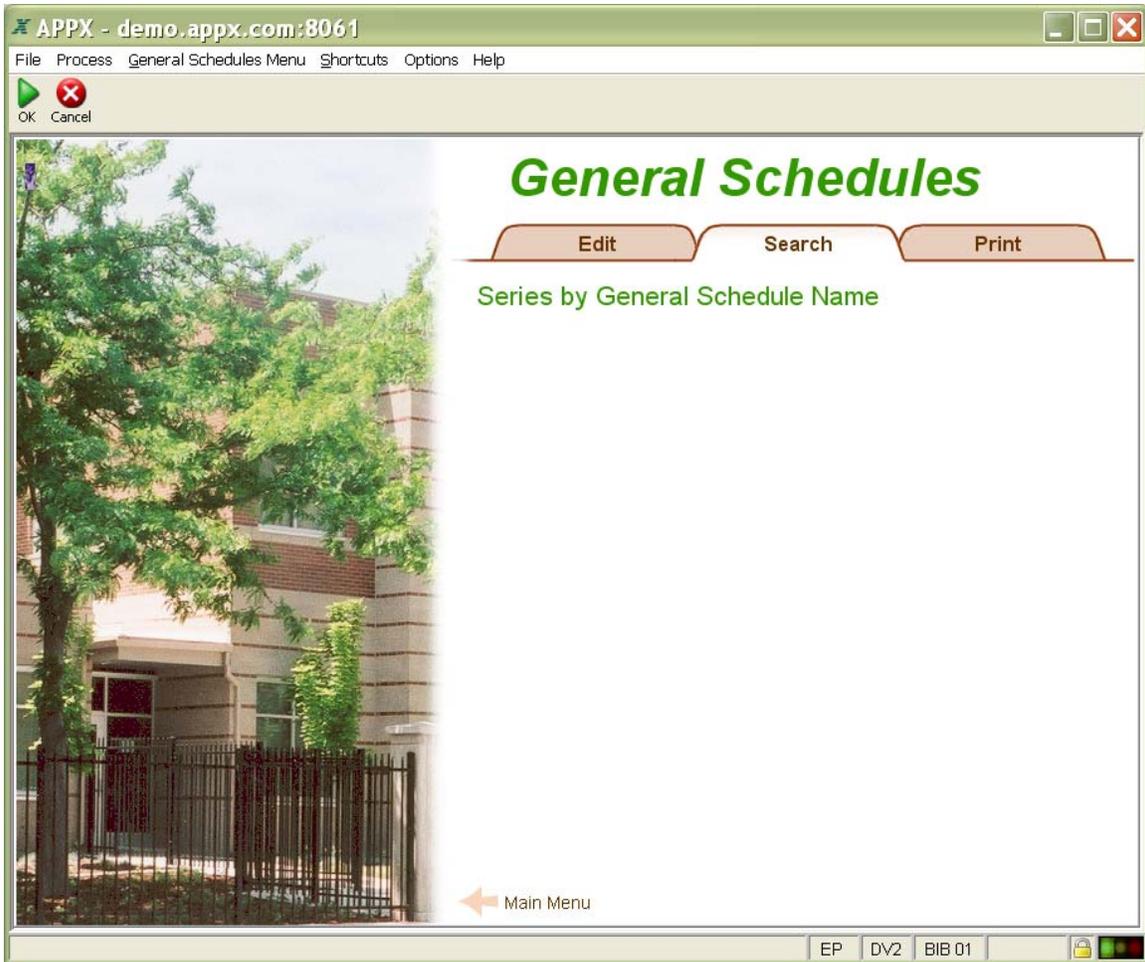
37. Click Make Item Obsolete to view the list:



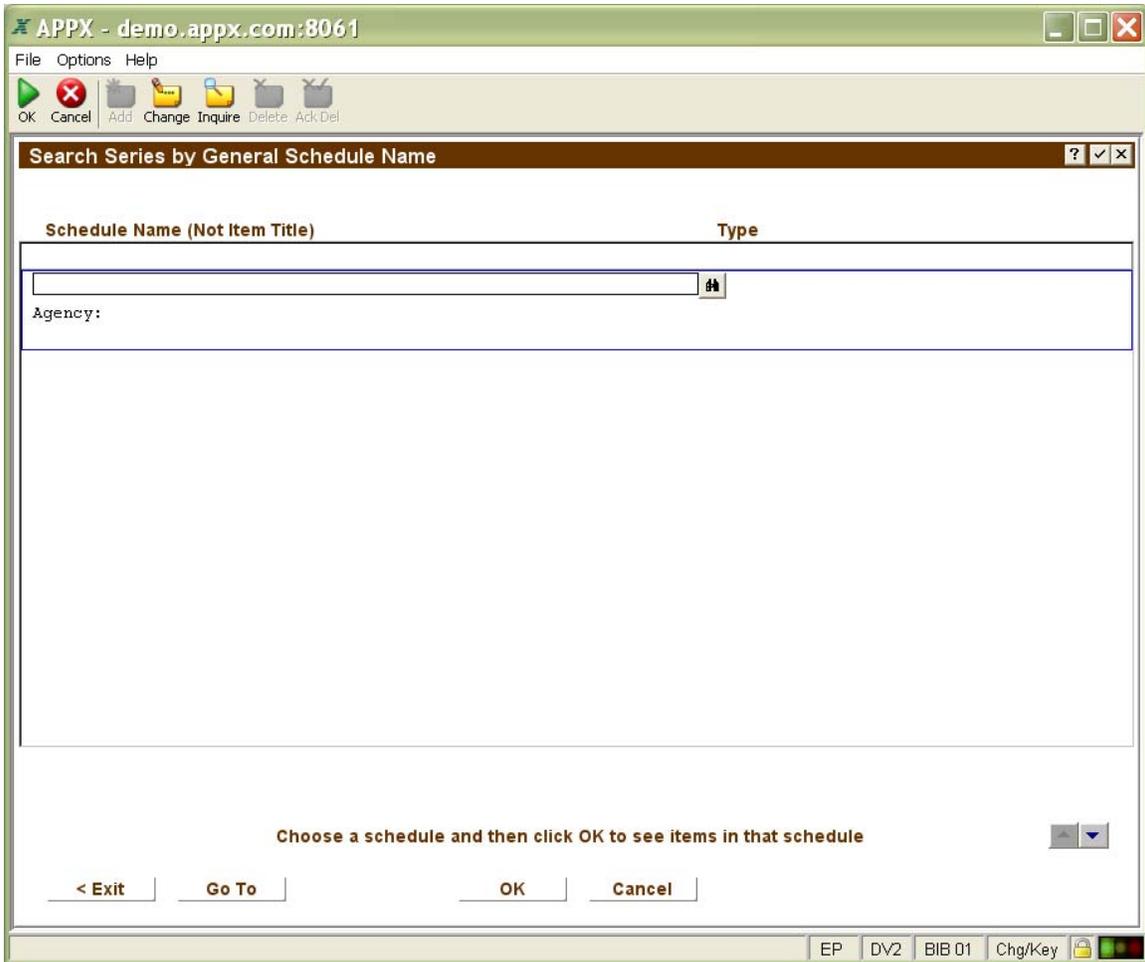
38. To add an item to this list, click Add Mode (F9), and type the GRS Key (i.e. series number), then click OK. The item is listed, followed by when it was made obsolete and by whom. Obsolete items will still print on draft schedules, but they will be clearly labeled as obsolete. They will not print on published schedules.
39. Click Exit (F8) to go back to the Menu.

Searching for Series by General Schedule Name

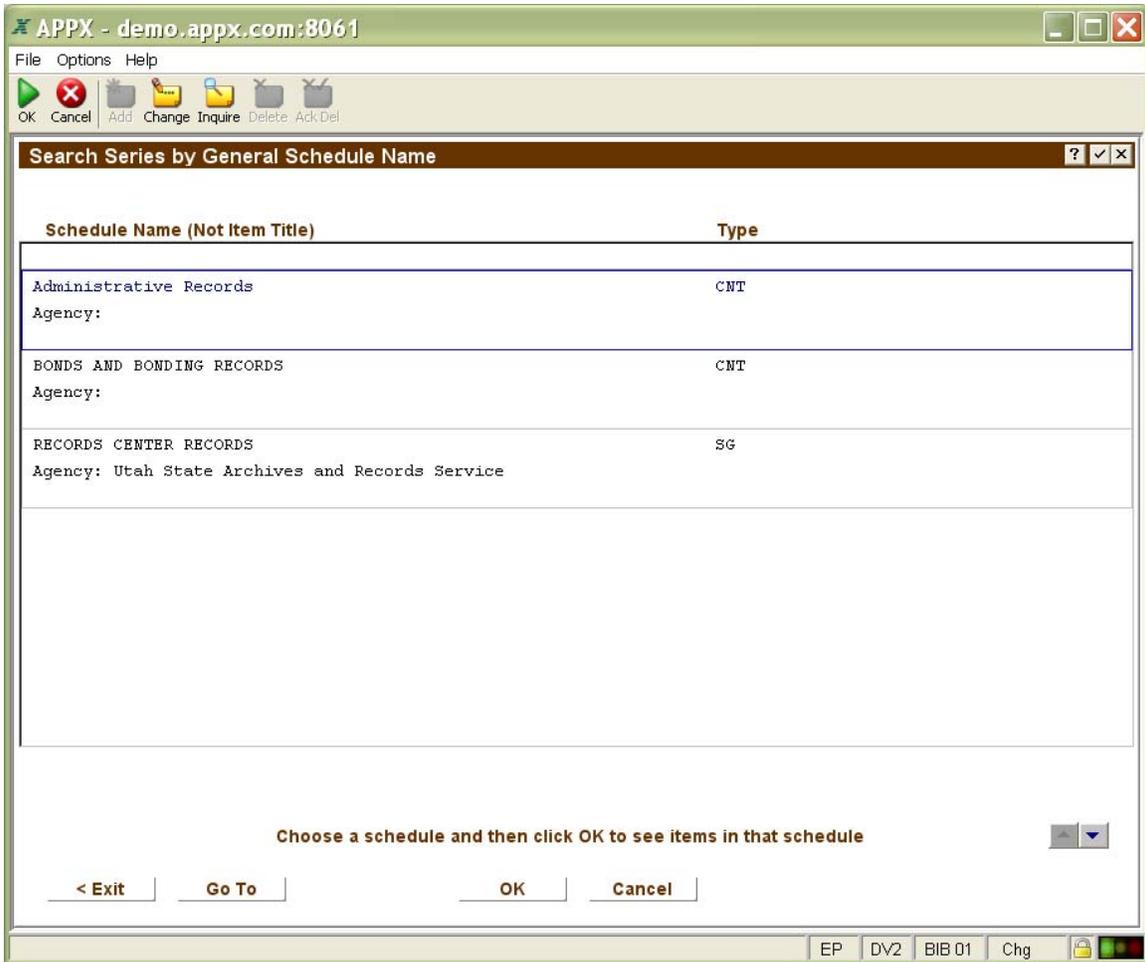
40. On the Search tab of the General Schedules menu, you may search for series by general schedule name (i.e. the schedule category, such as Administrative Records), not item title.



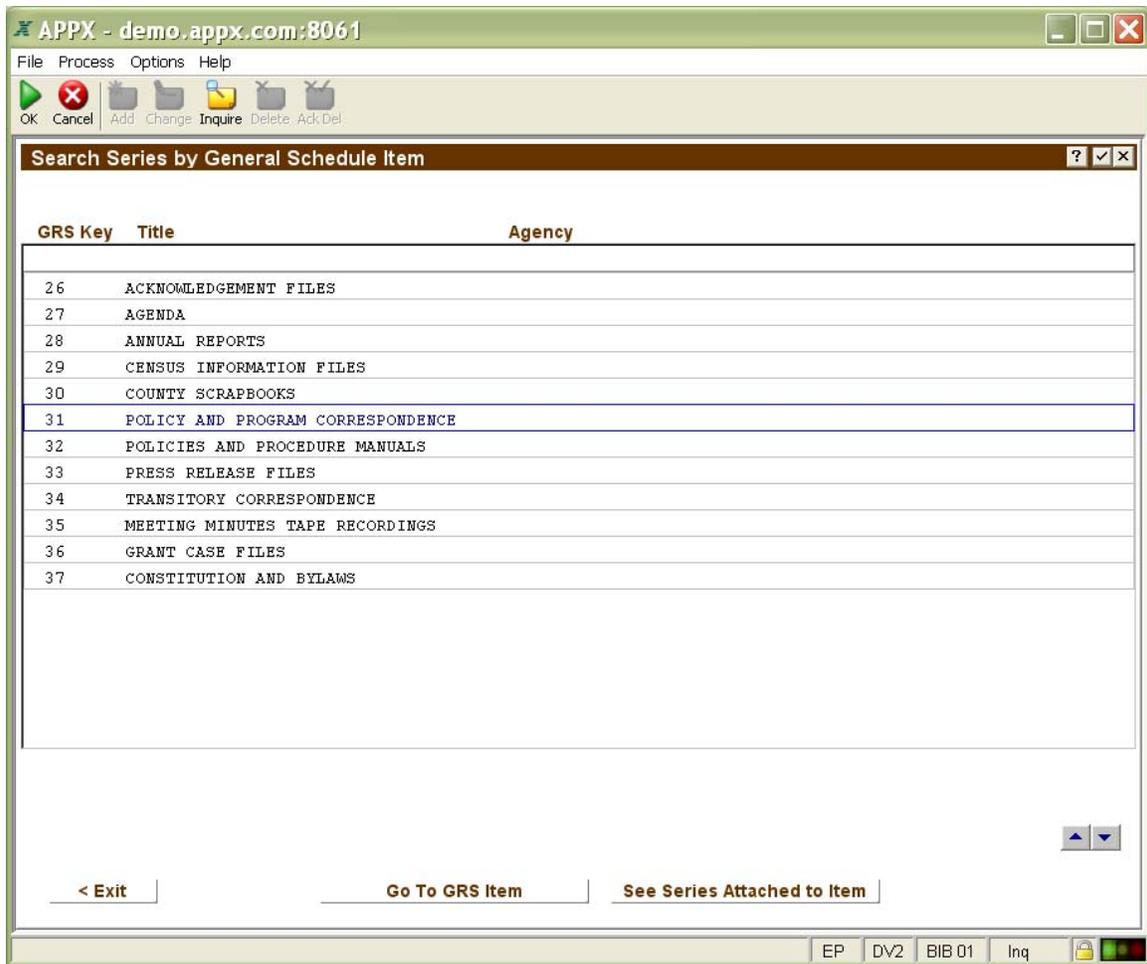
41. Click this option to see the search screen:



42. Type a schedule name and click OK. Note that the schedule names are case sensitive.

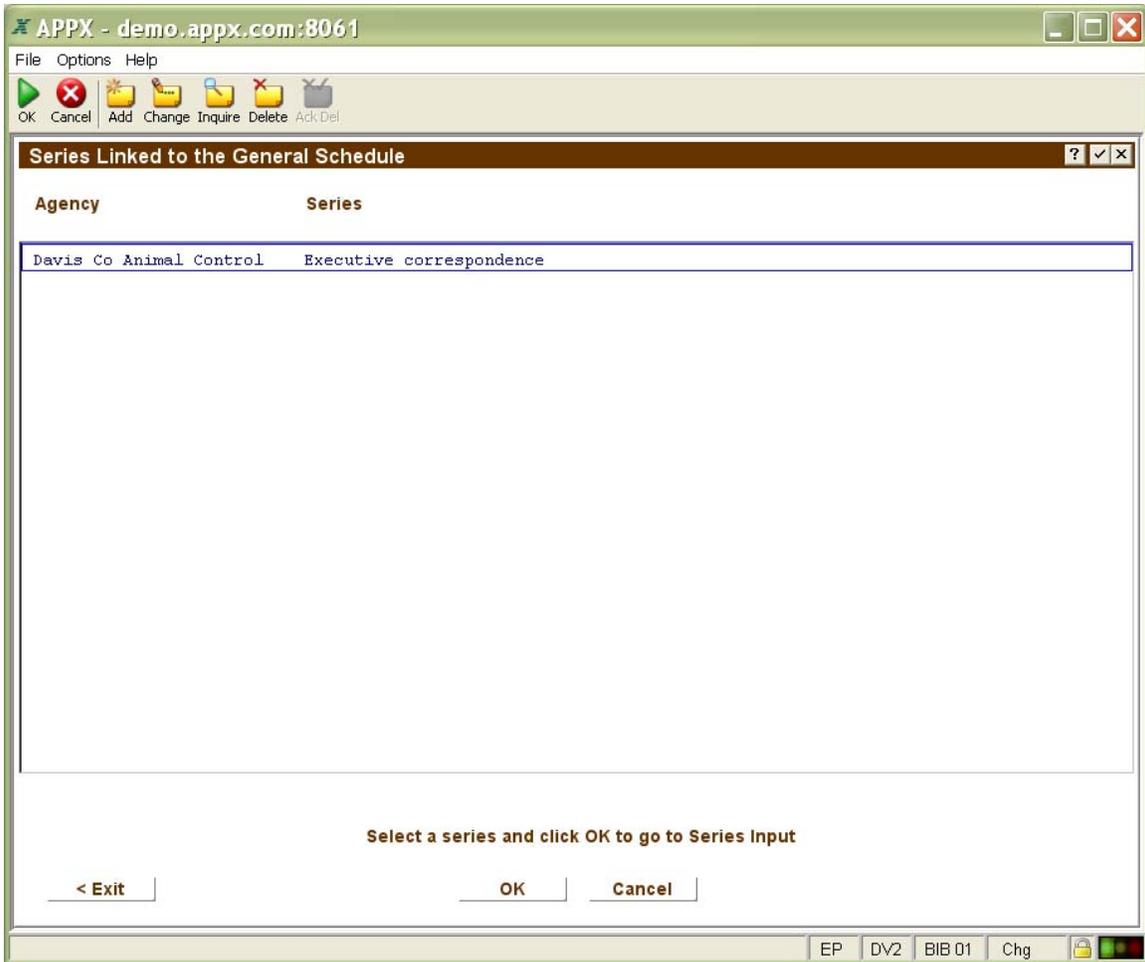


43. When you've found the schedule name you want, click OK to see the items in that schedule.

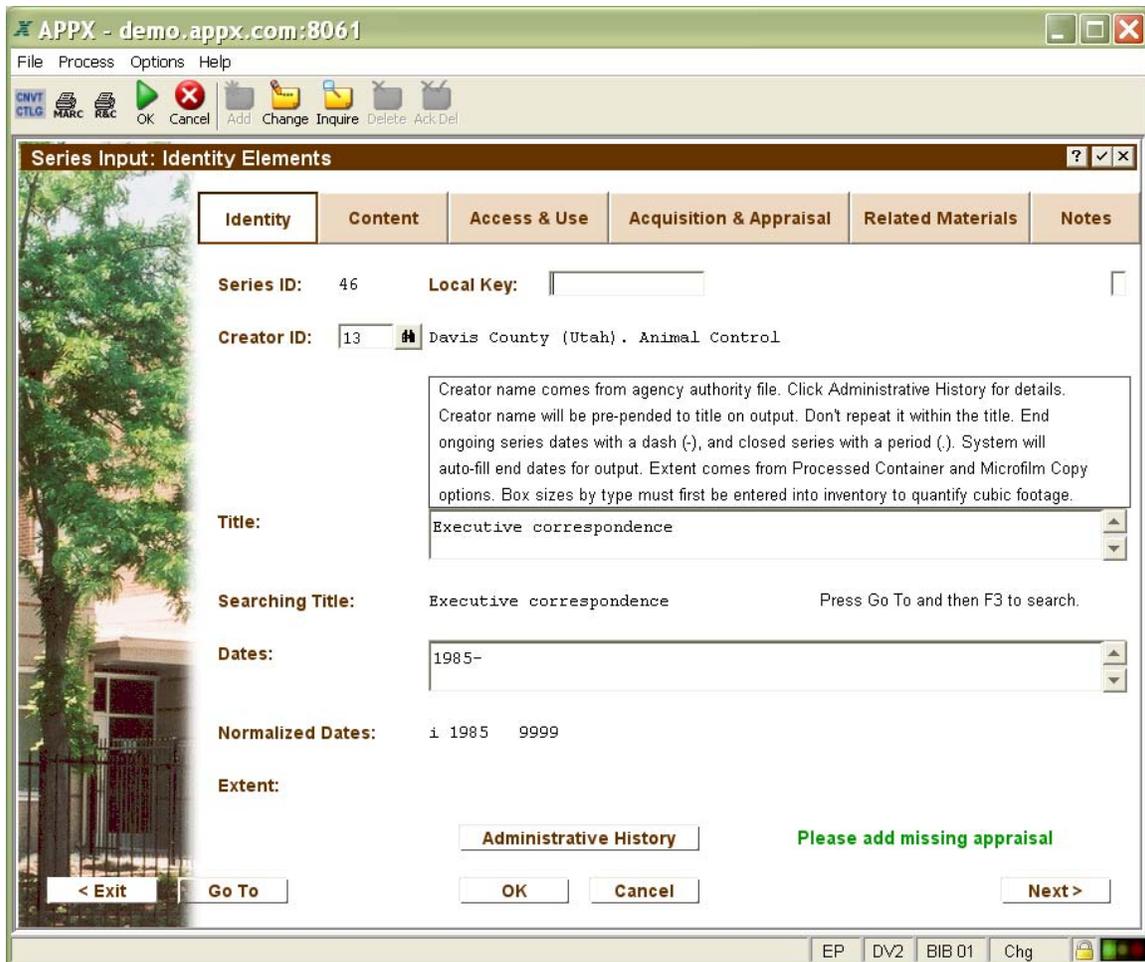


44. From here, you may either go to the GRS item or see series attached.

45. Click See Series Attached to Item:



46. This lists all the series tied to that general schedule item. Click OK to see the record in Series Input.



Linking Errors

47. A warning may appear at the bottom of the screen saying "Retention does not match general retention schedule." The series was tied to the general schedule, but the retention entered in for this series doesn't match.

Warning - Retention does not match general schedule retention!

48. Click the Acquisition and Appraisal Tab | Retention & Format button to see the Retention and Disposition screen.
49. Click Formats or OK to see both how the format was entered and what the retention should be according to the general schedule:

APPX - itac01spr.state.ut.us:8060

File System Process Format Management Options Help

OK Cancel Add Change Inquire Delete Ack-Del

Format Management

Series: 661 Adverse action files **Format Record:** 1 JSG 05/03/1999

Identify the format (media) being retained: **Record Copy:** **Audit Trail**

Format: P&P **Copy, Master, Duplicate:** **Date Range:** CCYY - CCYY **Accruals**

First Location: Where and how long will the records be retained? Then what happens?

Retain in: OFF **for how long:** 4 YER (YER=years, MON=months, UNT=until, PER=permanently)

after/until: filmed? **other:** final action

or until: filmed? **other:**

and then: film? **other:**

destroy? **transfer to:** (Finish retention under Second Location below unless ARC)

provided:

Second Location: After records are transferred, how long will they be retained? Then what happens?

Retain for:

after/until: filmed? **other:**

or until: filmed? **other:**

and then: film? **other:** N

destroy? **transfer to Archives?** **weed?**

provided:

Summary: Paper: Retain in Office for 4 years after final action and then destroy.

MASTER: 5 YER : or until case is resolved, whichever is greater COPY: 5 YER : _

Versatile: **Disposition:** AGENCY **will occur** 000/000 **years/months from box:**

< Exit OK Cancel Next >

APX ARC BIB 00 Inq

50. Note that the retention as entered says “Retain in Office for 4 years after final action and then destroy.” However, below the retention summary is the retention from the general schedule, which has been approved: MASTER: 5 YER or until case is resolved, whichever is greater. The copy should also be kept 5 years. So someone used the general schedule to make this series SRC approved for convenience, but they aren’t following the approved retention. This is incorrect.
 - a. If a retention for a general schedule is changed, the system will not automatically change the format retentions for all series that are linked to that schedule. You must run a report identifying each series linked to a general schedule whose retention has changed, and update the retention fields manually for those series.
51. The general policy is that you may extend the retention of a series linked to a general schedule up to three years, but you may not shorten it. Three years is an arbitrary number, but records kept longer than that create a resource drain for the agency and/or the Archives, and should go through the approval process separately as a unique series so that all involved understand why these records are special and need to be kept longer than most others of their type.
52. To see a list of all series tied to general schedules plus an indication of what the retention should be vs. what the retention for a series actually says, run the report

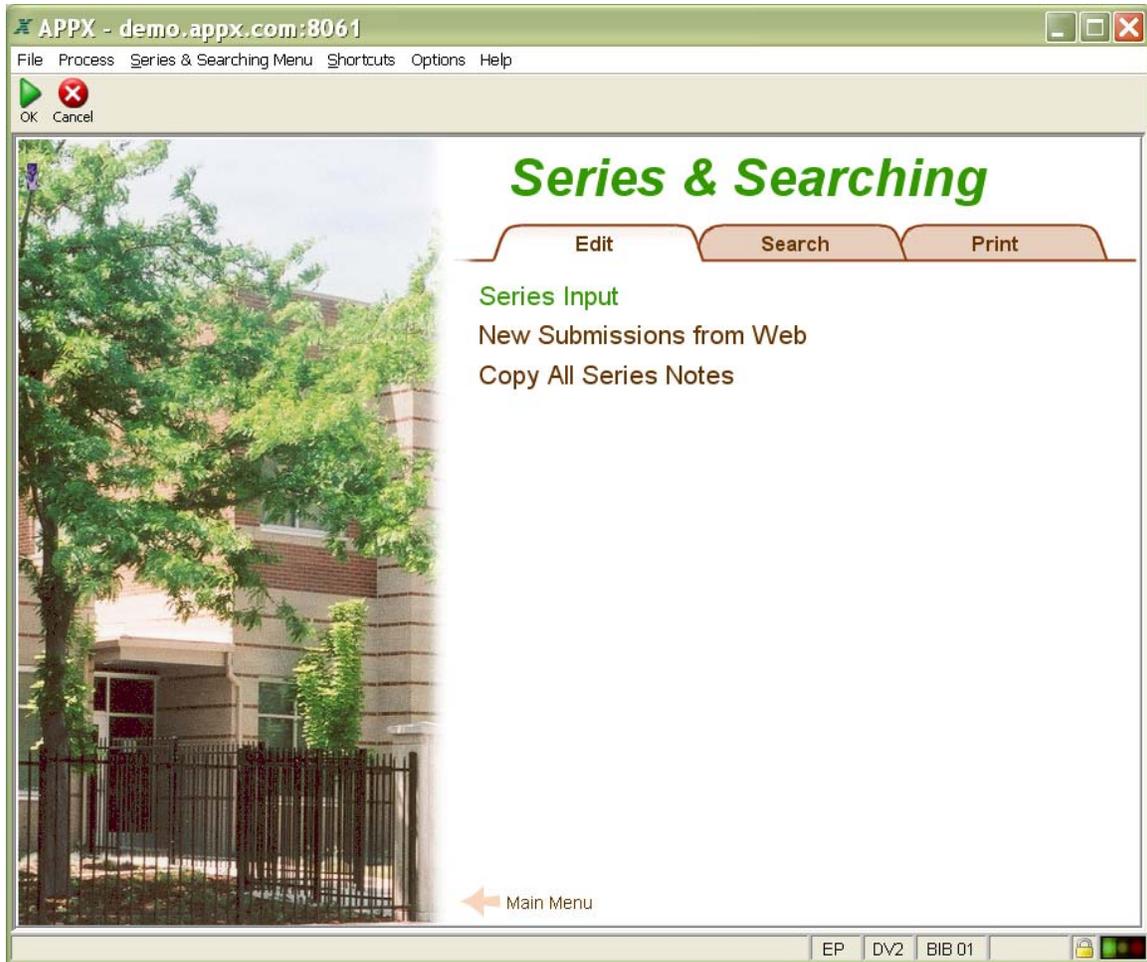
called GRS/Series Retention Compare from the Print tab of the General Schedule Menu.

Linking Series to General Schedules

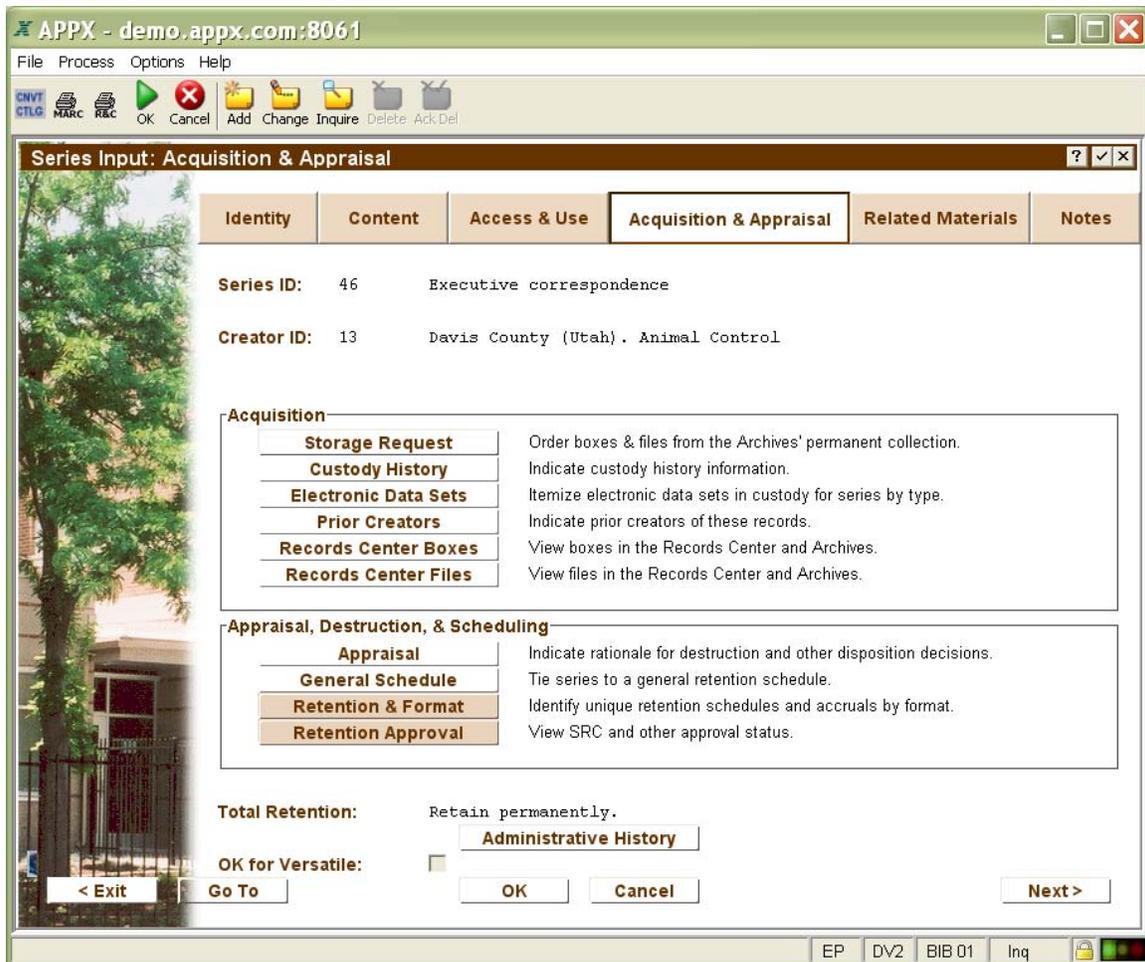
53. After general schedules have been added and approved by SRC, you will want to use them.
54. From the Main Menu, click Series & Searching.



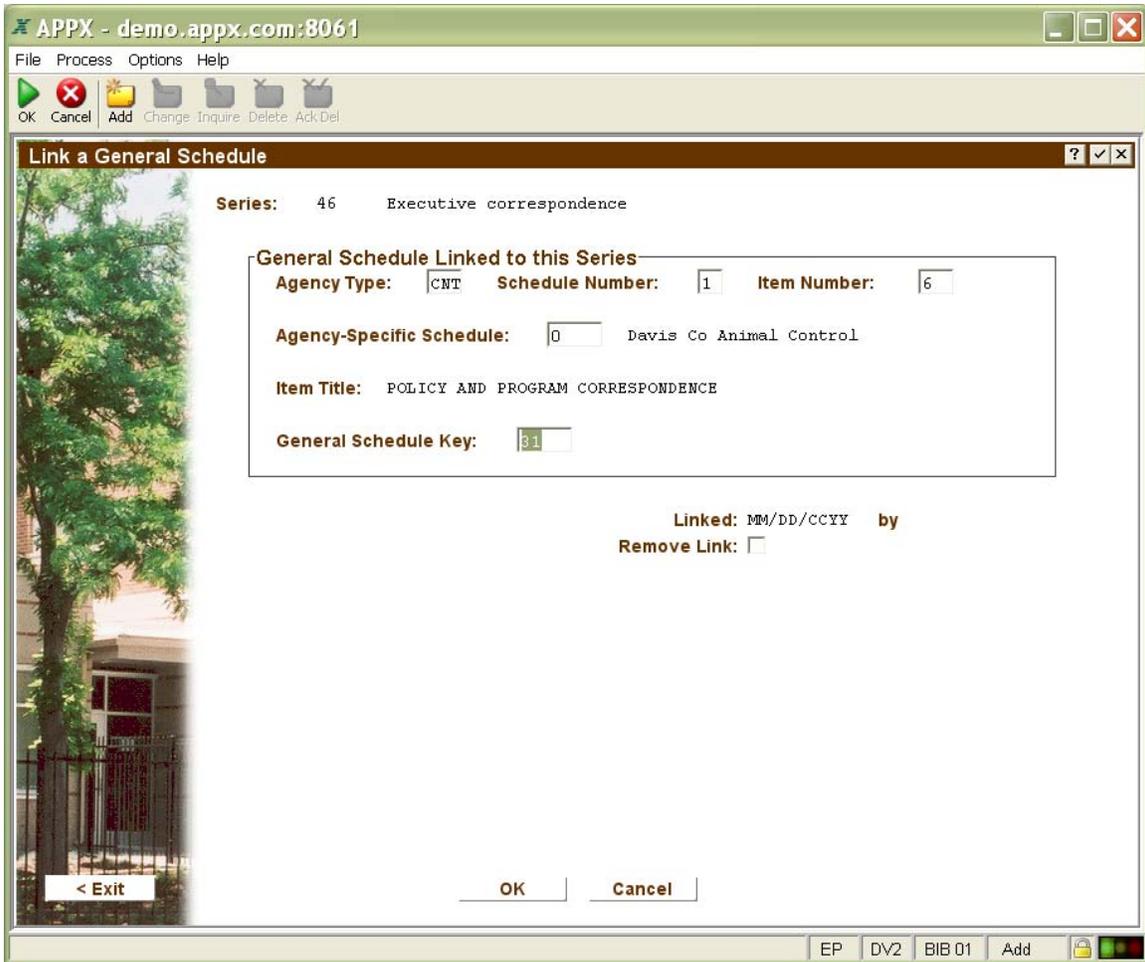
55. Then click Series Input.



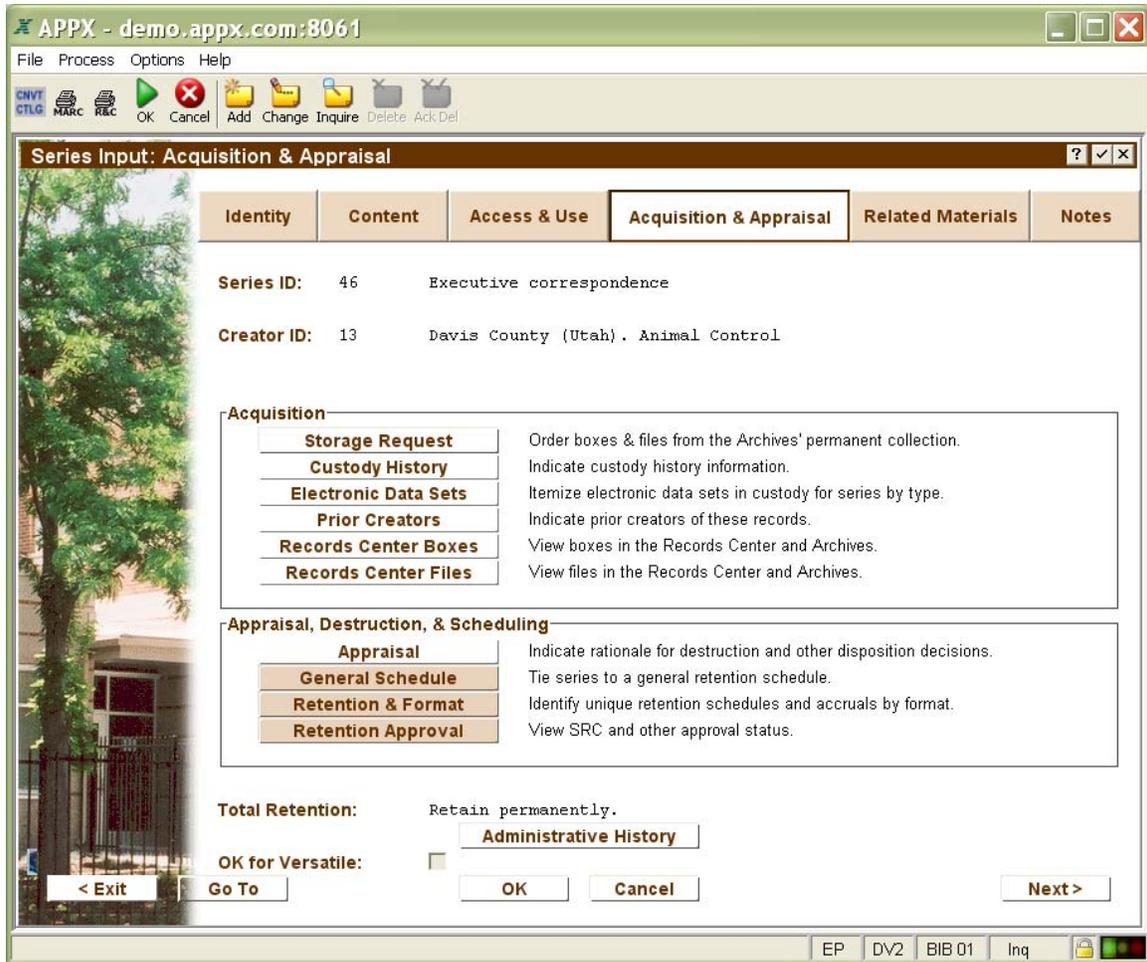
56. At the Series Input screen, you are in key-entry mode of Inquire Mode. Type the series number you have already added that you want to link to a general schedule. Click OK.
- Alternatively, go into Add Mode (F9) at the Series Input screen and add series data as normal to create a new series. If you want the general schedule description to become the series description, leave the series description blank. The same goes for appraisal. The data will automatically be pulled in when the link is created. You will need to add format information for the series, since general schedules only record total retention, and the system needs to know how long something will be in the office before it gets transferred to the Records Center, or if microfilming will take place. **Be sure that the retention you type is not less than what was approved by SRC, and if the general schedule retention ever changes, you must also change the series' retention.** You may link the general schedule to the series while in Add Mode, or wait until after the series has been created and edit the link in Change Mode.



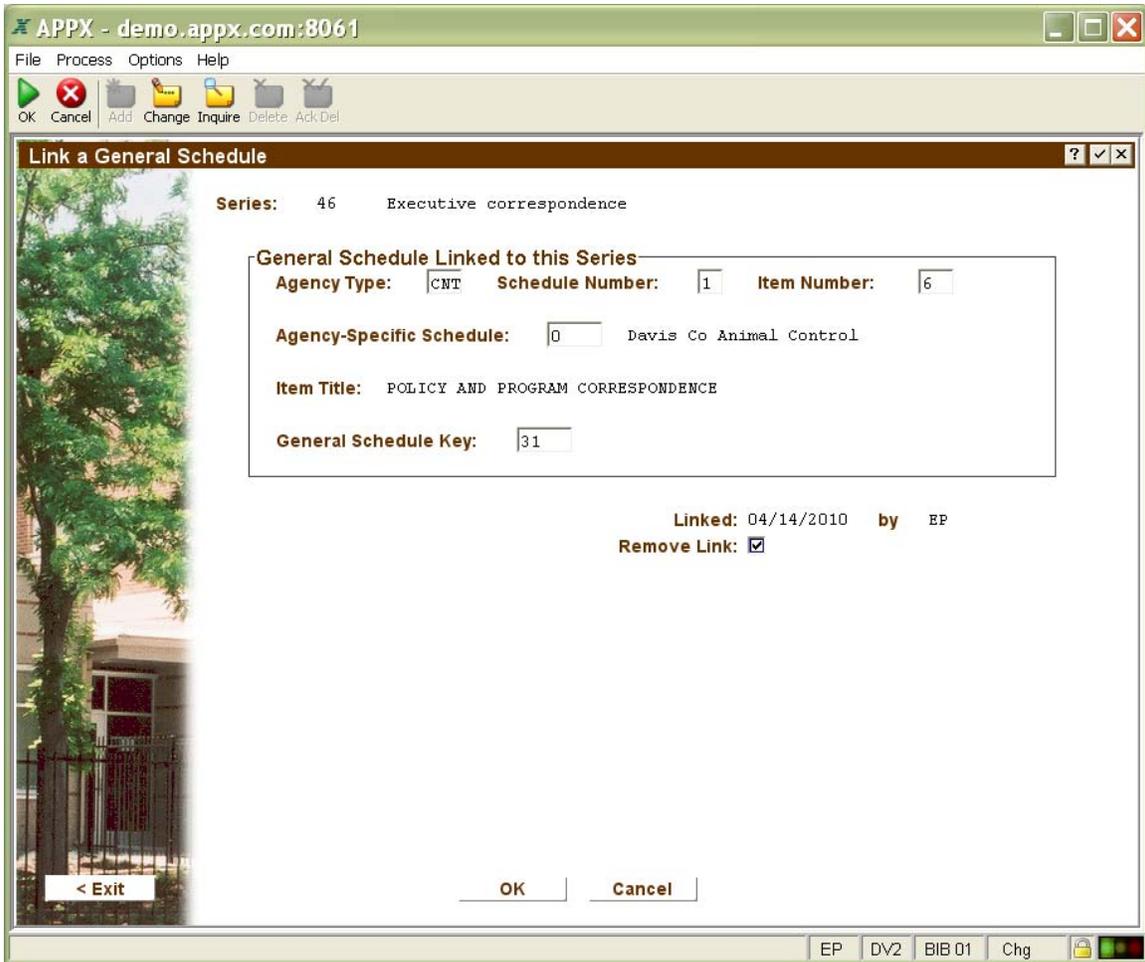
57. Note that the General Schedule Link button for this series isn't shaded. That means there's no general schedule link there yet. After the link has been made, the button will become shaded. Click the General Schedule Link button.
58. You will automatically be placed in Add Mode (F9). Type the schedule information (agency type, schedule number, and item number) in the appropriate fields. There's no way to look up this information on this screen, so you need to already be prepared with the numbers in hand.



59. Click OK to have Axaem bring back its lookup data, such as item title and general schedule key. Note that the link hasn't been saved yet.



60. Click OK to save the link. You will be taken back to the main Series Input screen automatically. The General Schedule Link button is now shaded, and the retention and disposition for the records have been approved.
61. If you decide to remove this link, click General Schedule Link. Go into Change Mode (F12). Check the Remove Link checkbox and click OK to save the record. The series is no longer linked to the general schedule.



62. Note that the General Schedule Link button on Series Input is no longer shaded, and the retention no longer approved.

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File Process Options Help

Series Input: Acquisition & Appraisal [?] [✓] [X]

Identity	Content	Access & Use	Acquisition & Appraisal	Related Materials	Notes
Series ID:	46	Executive correspondence			
Creator ID:	13	Davis County (Utah) . Animal Control			

Acquisition

Storage Request	Order boxes & files from the Archives' permanent collection.
Custody History	Indicate custody history information.
Electronic Data Sets	Itemize electronic data sets in custody for series by type.
Prior Creators	Indicate prior creators of these records.
Records Center Boxes	View boxes in the Records Center and Archives.
Records Center Files	View files in the Records Center and Archives.

Appraisal, Destruction, & Scheduling

Appraisal	Indicate rationale for destruction and other disposition decisions.
General Schedule	Tie series to a general retention schedule.
Retention & Format	Identify unique retention schedules and accruals by format.
Retention Approval	View SRC and other approval status.

Total Retention: Retain permanently.

OK for Versatile:

EP DV2 BIB 01 Inq