

State of Iowa Department of Corrections

Policy and Procedures

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Chapter 1: ADMINISTRATION & MANAGEMENT
Sub Chapter: GENERAL ADMINISTRATION
Related IDOC Policies: AD-GA-02, AD-PR-02
Administrative Code Reference: N/A
Subject: RECORDS RETENTION
PREA Standards: N/A
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Authority:

1. PURPOSE

To establish guidelines for the creation and retention of records within the Iowa Department of Corrections (IDOC), in accordance with the State Records Commission and Iowa Code. See [State Records Commission](#)¹ website for the [State Records Manual](#) and [Schedule](#).² For purposes of this policy and ease of access for staff, all records retention schedules pertaining to the IDOC have been pulled and placed into **AD-GA-18 Attachment A, Retention Schedule-IDOC Relevant**.³

2. POLICY

The IDOC shall make and maintain records that contain adequate and proper Documentation of the department's organization, functions, policies, decisions, procedures, and essential transactions. This Documentation is designed to furnish information that protects the legal and financial rights of the state and the persons directly affected by the department's activities.

This policy covers the definitions of key records management terms and outlines the specific procedures and responsibilities of the department head and designated records officers regarding records retention, inventory, and cooperation with state programs.

¹ <https://history.iowa.gov/research/state-government-record-management/state-records-commission>

² <https://history.iowa.gov/research/state-government-record-management/records-manual-schedule>

³ [AD-GA-18 Attachment A Retention Schedule-IDOC Relevant.xlsx](#)

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3. DEFINITIONS

As used in this Document:

- A. Record - "Record" means a document, book, paper, electronic record, photograph, sound recording, or other material, regardless of physical form or characteristics, made, produced, executed, or received pursuant to law in connection with the transaction of official business of the state government. "Record" does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes or stocks of publications and unprocessed forms. **See Iowa Code 8A.602(9).**
- B. Records Officer - A Records Officer is a year-round, full-time department official who possesses a broad understanding of programs and records of the department and who is designated by the director to coordinate the department's records program for the management of all department records regardless of format or final disposition. To effectively manage department records, the director may choose to appoint more than one records officer. **See Iowa Code 8A.610(1)(b).**
- C. Record Series - A records series is a group of records filed or stored together because they all relate to a particular subject, department business process, incarcerated individual, or client.
- D. Record Series Cutoff - The "cutoff" is the date from which the length of retention of a record series is calculated. Different record series will have different cutoff dates. When a cutoff date is determined for a particular record series that determines the prescribed retention period. Completion of the matters routinely documented by the record series is typically the appropriate cutoff. For example, case file closure, sentence discharge, transactional payment date, expiration of license, etc. are typical cutoff triggers. For convenience, it is also often appropriate to designate the end of year (fiscal or calendar, as needed) as the cutoff for retention schedule purposes.

- E. Record Series Retention - The retention period is the length of time after the cutoff that record information is routinely needed or is required to be kept by law.
- F. Records Retention Schedule - A calendar defining the length of time information should be retained according to identified administrative, fiscal, legal, and historical needs.
- G. State Archives - The repository where permanently scheduled records are preserved, with legal custody and access responsibility assumed by the State Archivist.

4. PROCEDURES

A. IDOC Director Responsibilities

1. Designation of Personnel
 - a. The IDOC Director shall designate one or more department employees, who possess a broad understanding of department programs, to serve as the records officers.
 - b. The department records officers will coordinate records programs within the department and act as the point of contact with the state archives and records program.
2. Record Inventory and Maintenance
 - a. The department shall inventory its records in accordance with State Records Commission policies. Such inventories shall be used to draft the department's records series retention and disposition schedules.
 - b. The department must identify, protect, and preserve vital operating records.
 - c. All mandated reports, newsletters, and publications must be prepared for electronic distribution, with a reference copy placed in an electronic repository for public access.
3. Economy and Efficiency

The IDOC Director/Designee shall ensure maximum economy and efficiency in the day-to-day recordkeeping activities of the IDOC.

B. Record Officer Duties

1. Oversee and facilitate department efforts to inventory, evaluate and schedule records and develop methods to control the creation, maintenance, and disposition of records. Notifies the State Archives and Records Program when new records series types are created and when changes in recordkeeping require new or revised schedules. Works with staff in the State Archives and Records Program to develop or revise records series retention and disposition schedules for all department records, regardless of physical form or format.
2. Assists department personnel in determining the correct records series schedules to apply to IDOC records. Reviews proposals to transfer agency records to the State Archives to assure conformity to the current approved schedules prior to signing and forwarding the transfer request to the State Archives and Records Program for final approval. Assists in the coordination of the physical transfer of records. Maintains records of records transferred from the department.
3. Assists the agency head in Documenting records officer(s) appointed by the agency head and forwards records officer Documentation to the State Archives and Records Program.
4. Attends training sessions and implements training programs to assist agency staff in following records management procedures.
5. Notifies and seeks advice from the State Archives and Records Program in the event of a Continuity of Operations/Continuity of Government issue related to agency records.
6. Ensures that records are kept in accordance with applicable state and federal laws and in accordance with the confidentiality provisions governing department records.

C. Records Retention and Destruction

1. Retention Periods

Records must be retained for the length of time specified by the retention schedule approved by the State Records Commission.

2. Destruction and Preservation

- a. At the termination of the retention period, record information shall be destroyed unless delayed by an outstanding departmental or legal need.
- b. Permanently scheduled records shall be preserved in the State Archives or, in specific instances, maintained by the department itself.

D. State Cooperation and Compliance

1. Program Cooperation

The IDOC must cooperate with the State Records Commission and the state archives and records program in developing and implementing government information policies, standards, guidelines, and disposition schedules.

2. Examinations and Modifications

- a. The Department must comply with requests from the State Records Commission or state archives to examine records under the department's control.
- b. If necessary, the IDOC Director as department head may petition the State Records Commission to create or modify information policies, standards, guidelines, or retention schedules.