

Records Management Update

Carrie Fager, CRM

Records Management Officer Statewide

Louisiana State Archives - Records Services Division

Records Management Section

Secretary of State

Overview

- Discuss coming changes in Records Retention Schedule Form.
- Review updated classes available from State Archives.
- Review agency requirements outlined in R.S. 44:411.

Changes in Records Retention Schedule Form

- **Major Changes include:**
 - **Processing Box** in upper right hand corner.
 - **Standardized abbreviations** for retention periods included at the bottom of each page.
 - **Four Columns added** to make schedule easier to read
 - **Security Status** – Public to Confidential
 - **Archival Status**
 - **State Records Center Use**
 - **Vital Records Identification**
 - **Clear cut lines for approval signatures and dates** for both agency and State Archives and Records Services.

Processing Box

- Located in upper right hand corner of form.
- Includes:
 - Page _____ of _____
 - Use of Form Indication
 - Original Submission
 - Renewal
 - Replacement Page
 - Addendum Page

Standard Abbreviations for Retention Periods

- Retention Period Abbreviations

Abbreviation	Definition	Abbreviation	Definition
ACT	Active Period (when used, define term in remarks column	MO	Months
FY	Fiscal Year (July 1 – June 30)	WK	Week
CY	Calendar Year (Jan 1 – Dec 31)	DY	Day
AY	Academic Year (Aug 1 – July 31)	PERM	Permanent/Life of Agency
FFY	Federal Fiscal Year (Oct 1 – Sept 30)		

Four Columns Added for Clarity

To make the Records Retention Schedule easier to read, four additional columns were added.

They are:

- **Security Status**
- **Archival Status**
- **State Records Center Use**
- **Vital Records Identification**

Security Status

Column and Codes

- Uses one letter codes to denote different levels of access to records:
 - **P – Public Record**
 - Can be Recycled, Discarded by Landfill or by a more secure method of destruction.
 - **M – May Contain Confidential Information**
 - Should be disposed of in a secure manner (such as shred or burn).
 - May require reaction before public can view record.
 - **C- Confidential**
 - Defined by State or Federal law.
 - Record should be protected from unauthorized viewing.
 - Should be disposed of in a secure manner (such as shred or burn).

Archival Processing Column and Codes

- Uses one letter codes to denote archival processing instructions for record series.
 - **A – Transfer to State Archives**
 - **R – Retain in Agency Archives**
 - **S - Review by State Archives**
 - Screen for archival material at time of disposal.
 - Is the default instruction for records series.
 - **O – Other (Specify in Remarks)**
 - Transfer to another archival institution or agency for archival retention.

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State Records Center Use Column and Codes

- Uses one letter codes to denote State Records Center Usage.
- This column indicates if records are to be transferred to the State Records Center for duration listed in the “In Storage” retention period column.
 - **Y – Yes**
 - **N – No**

Vital Records Identification Column and Code

- Uses one letter codes to denote status of Records Series in Disaster Planning/Recovery.
- This column indicates the highest classification for the records series listed.
 - **V - Vital**
 - **I - Important**
 - **U - Useful**

Vital Record Identification

Code Definitions – Vital Record

- **Vital** – “Records that are fundamental to the functioning of an organization”...”They contain information necessary to recreate an organization’s legal and financial status and to preserve rights and obligations of stakeholders”.

- *Source: ANSI/ARMA 5-2003 p.3*

- These records are needed to operate within the first 30 – 45 days following a disaster.

Vital Record Identification

Code Definitions – Vital Record

- Not all records in the series may be vital.
- Records series with Vital designation will be included on agency's vital records schedule which will indicate what is considered vital and the frequency and method of protection/back up required to ensure access in the event of a disaster.

Vital Record Identification

Code Definitions – Important Record

- **Important** – “Records and information on variety of media determined to be of lesser value to an organization in restoring operations to a normal state following a disaster. If destroyed these records are replaceable at moderate cost.”

- *Source: ANSI/ARMA 5-2003 p.2*

- These records are needed to eventually needed to resume operations after the first 30 – 45 days following a disaster.

Vital Record Identification

Code Definitions – Useful Record

- **Useful** – “Those records that are helpful in operating an organization” ...”loss of these records would cause only minor inconvenience to the organization.”
- Source: ANSI/ARMA 5-2003 p.3
- These records are helpful after normal operations have been re-established following a disaster.
- Typically, these records have short retention periods or can be easily reproduced from other sources.
- This is the default status for records series.

Lines for Approval Signatures and Dates

- **Agency Approval Signature line and following date line is on the lower left hand side of form.**
- **State Archives and Records Services Approval Signature Line and Approval Date is on the lower right hand side of form.**

Implementing New Records Retention Schedule Forms

- **Form will be available** on the Secretary of State web site beginning **September 1, 2007**.
- **Agencies that have already submitted** a retention schedule for review, approval or renewal **before Sept. 1, 2007** will **not be required to resubmit** schedule with new format (provided the schedule is **approved by December 31, 2007** – See below).
- **Agencies about to submit a retention schedule** for review, approval or renewal **can use the old form until Sept. 30, 2007** (same requirement as above).

Implementing New Records Retention Schedule Forms

- Any schedule submitted for review, approval, or renewal on or after October 1, 2007 or not approved by December 31, 2007 will be required to use/transfer to the new records retention schedule form.
- Records Management Staff will assist agencies with the transfer to new records retention schedule form.
- Schedules should be sent to the attention of Records Management, PO BOX 94125, Baton Rouge, LA 70804 or faxed to (225) 922-1220. Drafts and Schedules to be reviewed can be e-mailed to Carrie.Fager@sos.louisiana.gov.

Changes in Classes Offered by State Archives

- Original Records Management 1 Class has been reorganized into three separate classes.
- Classes will be offered at least once a month.
- Classes are Free
- Each Class lasts one hour.
- Pre-registration (by COB day before) is requested.

Class Description – RM 1

- **Records Management 1 - Overview of Records Management Laws and Programs**
- This class is an introductory class for governmental agency Records Management Liaisons and other agency employees who want a better understanding about the records management laws in Louisiana and what their agency needs to know about records management in order to comply with these laws. The class will cover responsibilities of the Records Management Liaison, the Administrative Rules governing records management in Louisiana.

Class Description – RM 2

- **Records Management 2 - Records Retention Schedule Development and Revisions**
- This class is an introductory class on records retention schedules and their development and revision. This class is recommended for any agency needing to develop a records retention schedule for the first time or needing to review or revise their schedule. Class will include instruction on inventory methods and how to complete the new records retention schedule forms being implemented in FY 2008 by the Division of Archives, Records Management and History.

Class Description – RM 3

- **Records Management 3 - Vital Records Identification and Protection**
- This class is an introductory class on the importance of disaster planning (business continuity planning) from the records management perspective. The class will review the different classes of records (vital, important and useful) and how to assign those designations to existing and future records series. The class will also review the procedures for dealing with damaged records and what to do if a disaster strikes.

Agency Requirements in La. R.S. 44:411

- **Submit a records retention schedule for approval to the State Archives;** LAC 4:VII makes an approved retention valid for 5 years from the date it was approved.
- **Submit disposal requests prior to the destruction of agency records;** (can be faxed to 225-922-1220).
- **Submit a records management liaison (Records Management Officer) to the State Archives.** (Form available on web). *LAC 4:XVII* requires this form to be submitted every July 1 or more frequently if a change is made during the year.

Questions?

- **Carrie Fager, CRM**

Records Management Officer Statewide

Phone: (225) 925-7552

Fax: (225) 922-1220

E-mail:

carrie.fager@sos.louisiana.gov

Records Management

Louisiana State Archives

PO BOX 94125

Baton Rouge, LA 70809

<http://www.sos.louisiana.gov/records.aspx>

- **Sandra Hotard**

Archivist Specialist

Phone: (225) 925-7695

Fax: (225) 922-1220

E-mail: shotard@sos.louisiana.gov