

Imaging Policy & Imaging Exception Application

Presented by:
Records Management Program
Louisiana State Archives

Rev. 10/2018

Overview of Today's Presentation

- Review R.S. 44 laws regarding Imaging
- Imaging Survey vs Imaging Exception
- Review Imaging Survey Requirements required in LAC 4:XVII Chapter 13.
- Over view of Imaging Exception Application
 - Instructions
 - Forms
 - Submission Process
- Disposal Process for records that are imaged.
- Questions and Answers

General Revised Statues and Rules Involved in Imaging

- R.S. 44:39
- R.S. 44:36
- R.S. 44:411
- R.S. 44:415
- LAC 4: XVII Chapter 13
- LAC 4: XVII Chapter 15

LA. R.S. 44:39

§39. Microfilm and electronic digitized records; use as evidence

A. (1) All persons and public bodies having custody or control of any public records of the state of Louisiana or any of its subdivisions may utilize any appropriate form of the microphotographic process, or an electronic digitizing process capable of reproducing an unalterable image of the original source document, for the recordation, filing, and preservation of all existing public records, forms, and documents or records, forms, and documents hereafter accumulated which pertain to their functions and operations in order to maintain efficient and economical records management programs and to conserve storage space, provided that the use of such microphotographic or electronic digitizing processes are not otherwise prohibited by law and that all microforms produced comply with standards established by the division of archives, records management, and history of the Department of State in accordance with the provisions of R.S. 44:415.

LA. R.S. 44:39 (Continued)

- (2)(a) However, when electronic digitizing is utilized, the original source document or microfilm of such source document shall be maintained until such time as electronic digitizing is recognized as an acceptable means of records preservation.
- (b) Notwithstanding the provisions of this Subsection, the agencies and entities set forth in this Subparagraph shall not be required to maintain the original source document or microfilm thereof when such document has been preserved utilizing electronic digitizing pursuant to written operating standards providing for retention and back-up schedules in accordance with recognized computer operating practices which at a minimum provide the technical equivalent of back-up copies:
 - (i) Public safety services within the Department of Public Safety and Corrections.
 - (ii) All public retirement systems, plans, and funds.
 - (iii) Any further exceptions to the provision to maintain original source documents or microfilm thereof under this Subsection must be approved in writing by the state archivist.

LA. R.S. 44:39 (Continued)

- B. Any microfilm or electronically digitized copy, when satisfactorily identified, shall be deemed to be an original itself, and shall be admissible in evidence in all courts or administrative proceedings in any agency, whether the original document is in existence or not, and an enlargement or facsimile of a reproduction is likewise admissible in evidence, if the original reproduction is in existence and available for inspection under direction of the court or the administrative agency. Original records shall remain subject to subpoena.
- Amended by Acts 1950, No. 134, §1; Acts 1978, No. 364, §1; Acts 1986, No. 1075, §1; Acts 1987, No. 621, §1; Acts 1997, No. 373, §1; Acts 1998, 1st Ex. Sess., No. 73, §1, eff. May 1, 1998; Acts 1999, No. 301, §1, eff. July 1, 1999.

R.S. 44:36

- §36. Preservation of records
- A. All persons and public bodies having custody or control of any public record, other than conveyance, probate, mortgage, or other permanent records required by existing law to be kept for all time, shall exercise diligence and care in preserving the public record for the period or periods of time specified for such public records in formal records retention schedules developed and approved by the state archivist and director of the division of archives, records management, and history of the Department of State. However, in all instances in which a formal retention schedule has not been executed, such public records shall be preserved and maintained for a period of at least three years from the date on which the public record was made. However, where copies of an original record exist, the original alone shall be kept; when only duplicate copies of a record exist, only one copy of the duplicate copies shall be required to be kept. Where an appropriate form of the microphotographic process has been utilized to record, file, and otherwise preserve such public records with microforms produced in compliance with the provisions of R.S. 44:415, the microforms shall be deemed originals in themselves, as provided by R.S. 44:39(B), and disposition of original documents which have been microphotographically preserved and of duplicates and other copies thereof shall proceed as provided in R.S. 44:411

LA. R.S. 44:411

- §411. Selective retention of records; actions for recovery of records
- A. The secretary, acting through the state archivist, shall establish standards for the selective retention of records of continuing value, and monitor state and local agencies in the application of such standards to all records in their custody. To facilitate this application:
 - (1) The head of each agency shall submit to the state archivist, in accordance with the policies, rules, and regulations prescribed by the secretary and the implementational standards and procedures established by the state archivist, schedules proposing the length of time each state record series warrants retention for administrative, legal, or fiscal purposes after it has been created or received by the agency.
 - (2) The head of each agency shall also submit to the state archivist lists of state records in the custody of that agency which are not required for the transaction of current business and which lack sufficient administrative, legal, or fiscal value to warrant further retention and request that the state archivist authorize appropriate disposal.

LA. R.S. 44:411 (Continued)

- (3) Upon termination of employment with the state, unless otherwise directed by law, each agency head prior to transfer of his records to a successor, shall notify the state archivist to arrange for an appraisal to determine which record or records series should be retained in the agency office and which should be transferred to the custody of the division for permanent retention.
- (4) The records of any state agency, upon termination of its existence or functions, shall automatically be transferred into the custody of the division, unless otherwise directed by law.
- B. The secretary, acting through the state archivist, shall also notify the head of any such agency of any actual, impending, or threatening unlawful removal, defacing, alteration, or destruction of records in the custody of such agency that shall come to his attention, and initiate action through the attorney general for the recovery of such records as shall have been unlawfully removed and for such other redress as may be provided by law. In any case in which records or other materials of actual or potential archival significance are determined by the state archivist to be in jeopardy of destruction or deterioration, and such material is not essential to the conduct of daily business in the agency of origin, the secretary shall have authority to require and schedule transfer of said records to the physical and legal custody of the division and the state archivist.

LA. R.S. 44:411 (Continued)

- C. To insure that the above enumerated reports and notifications are submitted and implemented, the chief executive officer of each state agency shall designate a records officer to act as liaison between the division and the agency on all matters relating to records management.
- Acts 1956, No. 337, §11; Acts 1985, No. 238, §1, eff. July 6, 1985.

LA. R.S. 44:415

- §415. Centralized microfilm service
- The microfilm section of the records management program of the division shall be the centralized microfilm center for the state. All state agencies lacking existing internally established microfilming systems of their own, and those state agencies whose equipment or facilities are no longer adequate to meet the agency's need, shall contract with the division for microfilming services or shall obtain division approval for any such contract with any other vendor. All microfilming produced by state agency microfilming systems shall comply with standards established by the division in accordance with R.S. 44:405(A)(3). This provision shall not be applicable to any state agency where it can be demonstrated to be more economically feasible to continue the microfilming within the agency.
- Acts 1956, No. 337, §15; Acts 1985, No. 238, §1, eff. July 6, 1985; Acts 1986, No. 913, §1.

LAC 4:XVII Chapter 13

Chapter 13. Electronic Records

Subchapter A. Agency Responsibilities

§1301. Definitions

A. For the purpose of this Chapter the following definitions apply.

- **Agency Record:** a record as defined by R.S. 44:402.
- **Electronic Mail (E-mail):** a system that enables an agency to compose, transmit, receive and manage text and/or graphic electronic messages and images across networks and through gateways connecting other local area networks.
- **Long-Term Record:** a record with a total retention requirement of over 10 years but less than permanent.
- **Permanent:** a record with a total retention of life of the agency and/or the state and intended to be maintained in perpetuity.
- **Short-Term Record:** record with a total retention requirement of 10 years or less.
- **Transitory:** transitory records are records that have limited or no administrative value to the agency and are not essential to the fulfillment of statutory obligations or to the documentation of agency functions.

LAC 4:XVII Chapter 13 (Continued)

§1303. General

A. The head of each agency must ensure:

1. that a program is established for the management of state records created, received, retained, used, transmitted, or disposed of on electronic media;
2. that the management of electronic state records are integrated with other records and information management records management programs of the agency;
3. that electronic records management objectives, responsibilities and authorities are incorporated into pertinent agency directives and policies;
4. that procedures are established for addressing records management requirements, including, retention, access and disposition requirements;
5. that training is provided for users of electronic records systems, in the operation, care, and handling of the information, equipment, software and media used in the systems;
6. that documentation is developed and maintained about all electronic state records in a manner adequate for retaining, reading, or processing the records and ensuring their timely, authorized disposition; and
7. that a security program for electronic state records is established.

Imaging Survey vs. Exception

- **Imaging Survey is used for systems holding short term records (total retention under 10 years);**
 - Needs an approved records retention schedule;
 - Survey response document (no form for this; just answer the questions in section 1305);
 - Is NOT approved by the Archives; must be amended within 90 days of any system changed. Expires when schedule lapses.
- **Imaging Exception is used for systems holding long term records (with total retention of ACT+ 10 years or less).**
 - Needs an approved records retention schedule;
 - Imaging Exception application and accompanying documents;
 - Must be approved by Archives before it is valid;
 - Good for up to five years; Can be renewed.

LAC 4:XVII Chapter 13 (Continued)

§1305. Imaging System Survey; Compliance

A. In accordance with R.S. 44:413, each agency shall complete a State Archives Imaging System Survey and provide any amendments to their survey in a timely manner when original information provided is no longer accurate.

1. Survey Information. Each agency shall provide the following information to the State Archives:

- a. a listing of all records series maintained/managed by the system being surveyed;
- b. the hardware and software being used (including model and version numbers) including total storage capacity;
- c. the type and density of media being used by the system (magnetic, WORM, etc.);
- d. the type and resolution of images being produced (TIFF class 3 or 4, and dpi);
- e. the agency's quality control procedures for image production and maintenance;
- f. the agency's back up procedures for the system and where (on-site, off-site, Cloud) and how many sets of images exist;
- g. the agency's migration plan for purging images from the system that have met their retention period.

LAC 4:XVII Chapter 13 (Continued)

- 2. Initial Survey Implementation. Any agency with an imaging system in operation before June 1, 2003 shall
- submit their survey response to the State Archives by no later than July 31, 2003.
- 3. New Systems. In addition to completing the Imaging System Survey, any agency implementing an imaging system on or after June 1, 2003, must contact the State Archives prior to implementation to ensure that a retention schedule, approved by the State Archives, is in place and that the system can comply with their schedule's requirements.
- 4. Amending Imaging Survey Response. In the event that any changes in the initial information providing on an agency's Imaging Survey response, the agency shall submit an amendment to their survey response within 90 days of the change occurring.

LAC 4:XVII Chapter 13 (Continued)

- **§1307. Acceptable Means of Records Preservation**
- A. In accordance with R.S. 44:410, electronic digitizing (imaging) is an acceptable means for records
- preservation for the maintenance of short-term agency records, as defined in LAC 4:XVII.1301.

LAC 4:XVII Chapter 13 (Continued)

- **§1309. Short-Term Records**
- A. Agencies utilizing imaging for the creation and maintenance of short term records, may use imaging without maintaining the original or a microfilm copy of the original provided that:
 - 1. the records series has been included on the agency's retention schedule submitted to and approved by the State Archivist or his designee;
 - 2. a quality control inspection of the images is conducted prior to the destruction of the original source documents to ensure the visibility and accessibility;
 - 3. the proper approval has been secured from the State Archives prior to the destruction of the original source documents;
 - 4. the records series maintained on imaging systems are stored in such a manner as to comply with the retention requirements (i.e., like retentions on the same optical disk or subdirectory).

LAC 4:XVII Chapter 13 (Continued)

§1311. Long-Term and Permanent Records

- A. In accordance with R.S. 44:410, agencies utilizing imaging for the creation and maintenance of long term and/or archival records, may use imaging for administrative purposes provided that for preservation purposes the agency either:
 1. maintain the original source documents for the retention period listed on the agency's retention schedule; or
 2. produce a microfilm back up of the records and store the microfilm with the State Archives.

Application Forms Overview

- Application for Louisiana State Archives Imaging Exception to R.S. 44:39 (SSARC 970)
- Instructions (SSARC 970I)
- Imaged Records Series List (SSARC 972)
- Agencies List Worksheet (for joint projects only) (SSARC 971)
- Request for Expedited Disposal Request Process for Converted Documents (SSARC 930e)
- Quality Control Procedures
- Data Migration Statement

Imaging Exception Application

- Implemented in July 2010.
- Designed for records that have a variable active retention period and an inactive retention periods of 10 years (fiscal, calendar, federal or academic year) or less.
- DOES NOT APPLY TO RECORDS WITH PERMANENT RETENTION.
- Application must be **signed by agency records officer and Chief Executive of agency** and vendor's Representative (if a Service Bureau is used).
- Submit your applications to Carrie Martin at carrie.martin@sos.la.gov.

Imaging Exception Application

- Application Decision will have one of six responses:
 - Declined (with rationale)
 - 1 year exception
 - 2 year exception
 - 3 year exception
 - 4 year exception
 - 5 year exception
- Applications are reviewed by Records Management and Archives Acquisitions staff and they make final recommendation to State Archivist for decision authorization.

Imaging Exception Application

- Application has an application page and seven sections:
 - Agency Profile
 - Records Management/Indexing
 - System Configuration & Documentation
 - Quality Control
 - Disaster Prevention/Recovery
 - Vendor Information
 - Additional Contact Information

Agency Profile

- Agency Name
- Address
- Website
- Primary Contacts
 - Project Manager
 - Records Management
 - Information Technology

Records Management/Indexing

- Includes seven questions:
 - Designated Records Manager on file?
 - Approved Records Retention Schedule?
 - Can images be deleted in compliance with schedule?
 - Is expedited disposal approval requests being applied for?
 - Has minimum indexing of original records management system been maintained?
 - Will images from other agencies be maintained by system? (Use SS ARC 971)
 - Which section has responsibility for content entered into the imaging system?
- Also requires Imaged Records Series List (SSARC 972)

System Configuration & Documentation

- Capture Software and Retrieval Software provide:
 - Name of software used
 - Operating system used
 - Database(s) Type (db2, sql, Msaccess)
- File Format
 - Indicate format (single, multi-page TIFF, PDF, PNG, XML, Other)
 - Scan DPI (200 dpi, 300 dpi, 600 dpi, other)
- Storage Hardware
 - Technology Used (SAN, NAS, Local Server, Main Frame Storage, Cloud, other)
 - List the RAID level used on disks storing the images and if RAID is not used describe technology used to safeguard images in case of disk failure.

Quality Control

- Attach a copy of the quality control procedures for the system being documented.
- Guidance for quality control elements is available on our website.
- Percentage of images visually inspected
- QC is performed during (check all that apply)
 - Scanning process
 - Conversion process
 - Indexing process
 - Other

Disaster Prevention/Recovery

- Disaster Prevention/Recovery Plan Test Cycle
 - Monthly, Annually, Other
- Location(s) of Offsite Storage of backup media
- Backup Cycle
 - Daily, weekly, monthly, annually
- Backup Media
 - Optical Disk (WORM), CD, Tape, DVD, Other
- Backup Media Refresh Rate
 - Annually, Other
- Disaster Recovery Site: Hot, Cold
- Back ups are critical in protecting against Ransomware attacks!

Vendor Information

For each vendor involved provide:

- Vendor Type
 - IT Equipment, Software, Installation, Imaging Services
- Address
- Website
- Company Representative/Title
- Phone, Fax
- Email

Additional Contact Information

For other key players in the project, please provide the following information:

- Name
- Title
- Role
- Address
- Phone
- Fax
- Email

Data Migration Statement

- Each submission must have a Data Migration Statement included with it in order for the submission to be considered complete.
- Guidance is available on our web site on what should be included in the Data Migration Statement.

Expedited Disposal Approval Process

- Complete form SSARC 930e
- Once it is approved, you will receive an email with instructions on what to include in the subject line of your disposal requests.
- Expedited Disposals are transmitted via email.
- You will send all expedited disposal requests to:
 - Disposals@sos.la.gov
- You should receive a reply giving approval within 24 hours during Monday-Friday (non-holiday). If you do not receive a response within 24 hours telling you to postpone disposal, your disposal has been approved, PROVIDED it is eligible for disposal under the expedited disposal agreement.

Who Can use the Expedited Disposal Process

- Agencies who have an approved retention schedule, imaging survey, and expedited disposal application on file with our office;
- Agencies that have an active Imaging Exception approved by the State Archives and have completed the expedited disposal application.
- Agencies with records that have retentions with total retentions that are less than three years.

Disposal Process Overview

- Convert Records from Paper to Electronic/microfilm
 - Use either SSARC 930 (checking 5b imaging) or use SSARC 930e to request authority to dispose of paper.
 - Once approval is given paper can be destroyed and electronic is now your original.
- Once Retention Period has been met for Electronic Record
 - Use SSARC 930 (checking 5a) retention has been met
 - Once approval is given electronic images can be deleted per retention schedule.

Questions?

Records Management
Louisiana State Archives
PO BOX 94125
Baton Rouge, LA 70809
<http://www.sos.la.gov/records>
Fax (225) 922-1220
recmgmt@sos.la.gov

- Zach Tompkins, MLIS
Records Management Supervisor
Phone: (225) 922-0104
E-mail: zach.tompkins@sos.la.gov
- Carrie Martin, CRM, CA
Records Policy Planner
Phone: (225) 925-7552
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- Angelle Hayes
Archives Specialist
Phone: (225) 362-5182
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- Courtney Chambers
Archives Specialist
Phone: (225) 925-7695
E-mail: courtney.chambers@sos.la.gov
- Teresa Hardy
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Phone: (225) 362-5181
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§39. Microfilm and electronic digitized records; use as evidence

A.(1) All persons and public bodies having custody or control of any public records of the state of Louisiana or any of its subdivisions may utilize any appropriate form of the microphotographic process, or an electronic digitizing process capable of reproducing an unalterable image of the original source document, for the recordation, filing, and preservation of all existing public records, forms, and documents or records, forms, and documents hereafter accumulated which pertain to their functions and operations in order to maintain efficient and economical records management programs and to conserve storage space, provided that the use of such microphotographic or electronic digitizing processes are not otherwise prohibited by law and that all microforms produced comply with standards established by the division of archives, records management, and history of the Department of State in accordance with the provisions of R.S. 44:415.

(2)(a) However, when electronic digitizing is utilized, the original source document or microfilm of such source document shall be maintained until such time as electronic digitizing is recognized as an acceptable means of records preservation.

(b) Notwithstanding the provisions of this Subsection, the agencies and entities set forth in this Subparagraph shall not be required to maintain the original source document or microfilm thereof when such document has been preserved utilizing electronic digitizing pursuant to written operating standards providing for retention and back-up schedules in accordance with recognized computer operating practices which at a minimum provide the technical equivalent of back-up copies:

(i) Public safety services within the Department of Public Safety and Corrections.

(ii) All public retirement systems, plans, and funds.

(iii) Any further exceptions to the provision to maintain original source documents or microfilm thereof under this Subsection must be approved in writing by the state archivist.

B. Any microfilm or electronically digitized copy, when satisfactorily identified, shall be deemed to be an original itself, and shall be admissible in evidence in all courts or administrative proceedings in any agency, whether the original document is in existence or not, and an enlargement or facsimile of a reproduction is likewise admissible in evidence, if the original reproduction is in existence and available for inspection under direction of the court or the administrative agency. Original records shall remain subject to subpoena.

Amended by Acts 1950, No. 134, §1; Acts 1978, No. 364, §1; Acts 1986, No. 1075, §1; Acts 1987, No. 621, §1; Acts 1997, No. 373, §1; Acts 1998, 1st Ex. Sess., No. 73, §1, eff. May 1, 1998; Acts 1999, No. 301, §1, eff. July 1, 1999.

§36. Preservation of records

A. All persons and public bodies having custody or control of any public record, other than conveyance, probate, mortgage, or other permanent records required by existing law to be kept for all time, shall exercise diligence and care in preserving the public record for the period or periods of time specified for such public records in formal records retention schedules developed and approved by the state archivist and director of the division of archives, records management, and history of the Department of State. However, in all instances in which a formal retention schedule has not been executed, such public records shall be preserved and maintained for a period of at least three years from the date on which the public record was made. However, where copies of an original record exist, the original alone shall be kept; when only duplicate copies of a record exist, only one copy of the duplicate copies shall be required to be kept. Where an appropriate form of the microphotographic process has been utilized to record, file, and otherwise preserve such public records with microforms produced in compliance with the provisions of R.S. 44:415, the microforms shall be deemed originals in themselves, as provided by R.S. 44:39(B), and disposition of original documents which have been microphotographically preserved and of duplicates and other copies thereof shall proceed as provided in R.S. 44:411.

B. All existing records or records hereafter accumulated by the Department of Revenue may be destroyed after five years from the thirty-first day of December of the year in which the tax to which the records pertain became due; provided that these records shall not be destroyed in any case where there is a contest relative to the payment of taxes or where a claim has been made for a refund or where litigation with reference thereto is pending.

C. All existing records or records hereafter accumulated by the various services of the state or its subdivisions which participate in federal programs or receive federal grants may be destroyed after three years from the date on which the records were made in those cases where this provision is not superseded by guidelines for the operative federal program or grant requiring longer retention periods for the records in question; provided that these records shall not be destroyed in any case where litigation with reference thereto is pending, or until the appropriate state or federal audits have been conducted.

D. All existing records or records hereafter accumulated by the Department of Public Safety and Corrections, corrections services, pertaining to any adult offender shall be retained and may not be destroyed until after six years from the date the full term sentence imposed upon such offender expires, or six years from the date of death of the offender, whichever occurs first.

E.(1) The public records of a prosecuting agency, pertaining to a criminal prosecution that results in a conviction, in a manner other than a plea, shall be retained for a period of three years from the date on which a court of appeal affirms the conviction, the Louisiana Supreme Court denies writs, or the Louisiana Supreme Court makes its final ruling on the appeal, whichever occurs last.

(2) The provisions of this Subsection shall not apply to any records expunged as provided by law.

(3) Nothing in this Subsection shall be construed in any manner to affect or alter the provisions of R.S. 44:3 regarding the records of prosecuting agencies.

F. All existing records or records hereafter accumulated pursuant to R.S. 42:23 shall be preserved and maintained for a period of at least two years from the date on which the public record was made.

Amended by Acts 1950, No. 134, §1; Acts 1954, No. 473, §1; Acts 1978, No. 43, §1; Acts 1983, 1st Ex. Sess., No. 11, §1, eff. Jan. 19, 1983; Acts 1986, No. 1075, §1; Acts 1991, No. 310, §1; Acts 1997, No. 1269, §1, eff. July 15, 1997; Acts 2003, No. 322, §1; Acts 2010, No. 785, §1; Acts 2013, No. 363, §2, eff. June 17, 2013.

LA. R.S. 42:23

§23. Sonic and video recordings; live broadcast

A. All of the proceedings in a public meeting may be video or tape recorded, filmed, or broadcast live. However, any nonelected board or commission that has the authority to levy a tax shall video or audio record, film, or broadcast live all proceedings in a public meeting.

B. A public body shall establish standards for the use of lighting, recording or broadcasting equipment to insure proper decorum in a public meeting.

Added by Acts 1952, No. 484, §1. Amended by Acts 1972, No. 669, §1; Acts 1989, No. 172, §1; Acts 2010, No. 861, §23; Acts 2013, No. 363, §1, eff. June 17, 2013.

§411. Selective retention of records; actions for recovery of records

A. The secretary, acting through the state archivist, shall establish standards for the selective retention of records of continuing value, and monitor state and local agencies in the application of such standards to all records in their custody. To facilitate this application:

(1) The head of each agency shall submit to the state archivist, in accordance with the policies, rules, and regulations prescribed by the secretary and the implementational standards and procedures established by the state archivist, schedules proposing the length of time each state record series warrants retention for administrative, legal, or fiscal purposes after it has been created or received by the agency.

(2) The head of each agency shall also submit to the state archivist lists of state records in the custody of that agency which are not required for the transaction of current business and which lack sufficient administrative, legal, or fiscal value to warrant further retention and request that the state archivist authorize appropriate disposal.

(3) Upon termination of employment with the state, unless otherwise directed by law, each agency head prior to transfer of his records to a successor, shall notify the state archivist to arrange for an appraisal to determine which record or records series should be retained in the agency office and which should be transferred to the custody of the division for permanent retention.

(4) The records of any state agency, upon termination of its existence or functions, shall automatically be transferred into the custody of the division, unless otherwise directed by law.

B. The secretary, acting through the state archivist, shall also notify the head of any such agency of any actual, impending, or threatening unlawful removal, defacing, alteration, or destruction of records in the custody of such agency that shall come to his attention, and initiate action through the attorney general for the recovery of such records as shall have been unlawfully removed and for such other redress as may be provided by law. In any case in which records or other materials of actual or potential archival significance are determined by the state archivist to be in jeopardy of destruction or deterioration, and such material is not essential to the conduct of daily business in the agency of origin, the secretary shall have authority to require and schedule transfer of said records to the physical and legal custody of the division and the state archivist.

C. To insure that the above enumerated reports and notifications are submitted and implemented, the chief executive officer of each state agency shall designate a records officer to act as liaison between the division and the agency on all matters relating to records management.

Acts 1956, No. 337, §11; Acts 1985, No. 238, §1, eff. July 6, 1985.

§415. Centralized microfilm service

The microfilm section of the records management program of the division shall be the centralized microfilm center for the state. All state agencies lacking existing internally established microfilming systems of their own, and those state agencies whose equipment or facilities are no longer adequate to meet the agency's need, shall contract with the division for microfilming services or shall obtain division approval for any such contract with any other vendor. All microfilming produced by state agency microfilming systems shall comply with standards established by the division in accordance with R.S. 44:405(A)(3). This provision shall not be applicable to any state agency where it can be demonstrated to be more economically feasible to continue the microfilming within the agency.

Acts 1956, No. 337, §15; Acts 1985, No. 238, §1, eff. July 6, 1985; Acts 1986, No. 913, §1.

LAC 4:XVII Chapter 13. Electronic Records

Subchapter A. Agency Responsibilities

§1301. Definitions

A. For the purpose of this Chapter the following definitions apply.

Agency Record: a record as defined by R.S. 44:402.

Electronic Mail (E-mail): a system that enables an agency to compose, transmit, receive and manage text and/or graphic electronic messages and images across networks and through gateways connecting other local area networks.

Long-Term Record: a record with a total retention requirement of over 10 years but less than permanent.

Permanent: a record with a total retention of life of the agency and/or the state and intended to be maintained in perpetuity.

Short-Term Record: a record with a total retention requirement of 10 years or less.

Transitory: transitory records are records that have limited or no administrative value to the agency and are not essential to the fulfillment of statutory obligations or to the documentation of agency functions.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Secretary of State, Division of Archives, LR 29:957 (June 2003).

§1303. General

A. The head of each agency must ensure:

1. that a program is established for the management of state records created, received, retained, used, transmitted, or disposed of on electronic media;
2. that the management of electronic state records are integrated with other records and information management records management programs of the agency;
3. that electronic records management objectives, responsibilities and authorities are incorporated into pertinent agency directives and policies;
4. that procedures are established for addressing records management requirements, including, retention, access and disposition requirements;
5. that training is provided for users of electronic records systems, in the operation, care, and handling of the information, equipment, software and media used in the systems;
6. that documentation is developed and maintained about all electronic state records in a manner adequate for retaining, reading, or processing the records and ensuring their timely, authorized disposition; and
7. that a security program for electronic state records is established.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

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Subchapter B. State Archives Imaging Policy

§1305. Imaging System Survey; Compliance

A. In accordance with R.S. 44:413, each agency shall complete a State Archives Imaging System Survey and provide any amendments to their survey in a timely manner when original information provided is no longer accurate.

1. Survey Information. Each agency shall provide the following information to the State Archives:
 - a. a listing of all records series maintained/managed by the system being surveyed;
 - b. the hardware and software being used (including model and version numbers) including total storage capacity;
 - c. the type and density of media being used by the system (magnetic, WORM, etc.);
 - d. the type and resolution of images being produced (TIFF class 3 or 4, and dpi);
 - e. the agency's quality control procedures for image production and maintenance;
 - f. the agency's back up procedures for the system and where (on-site, off-site) and how many sets of images exist;
 - g. the agency's migration plan for purging images from the system that have met their retention period.
2. Initial Survey Implementation. Any agency with an imaging system in operation before June 1, 2003 shall submit their survey response to the State Archives by no later than July 31, 2003.
3. New Systems. In addition to completing the Imaging System Survey, any agency implementing an imaging system on or after June 1, 2003, must contact the State Archives prior to implementation to ensure that a retention schedule, approved by the State Archives, is in place and that the system can comply with their schedule's

requirements.

4. Amending Imaging Survey Response. In the event that any changes in the initial information providing on an agency's Imaging Survey response, the agency shall submit an amendment to their survey response within 90 days of the change occurring.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Secretary of State, Division of Archives, LR 29:957 (June 2003).

§1307. Acceptable Means of Records Preservation

A. In accordance with R.S. 44:410, electronic digitizing (imaging) is an acceptable means for records preservation for the maintenance of short-term agency records, as defined in LAC 4:XVII.1301.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Secretary of State, Division of Archives, LR 29:958 (June 2003).

§1309. Short-Term Records

A. Agencies utilizing imaging for the creation and maintenance of short term records, may use imaging without maintaining the original or a microfilm copy of the original provided that:

1. the records series has been included on the agency's retention schedule submitted to and approved by the State Archivist or his designee;
2. a quality control inspection of the images is conducted prior to the destruction of the original source documents to ensure the visibility and accessibility;
3. the proper approval has been secured from the State Archives prior to the destruction of the original source documents;
4. the records series maintained on imaging systems are stored in such a manner as to comply with the retention requirements (i.e., like retentions on the same optical disk or subdirectory).

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Office of the Secretary of State, Division of Archives, LR 29:958 (June 2003).

§1311. Long-Term and Permanent Records

A. In accordance with R.S. 44:410, agencies utilizing imaging for the creation and maintenance of long term and/or archival records, may use imaging for administrative purposes provided that for preservation purposes the agency either:

1. maintain the original source documents for the retention period listed on the agency's retention schedule; or
2. produce a microfilm back up of the records and store the microfilm with the State Archives.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Office of the Secretary of State, Division of Archives, LR 29:958 (June 2003).

Subchapter C. Electronic Mail (E-mail) Guidelines

§1321. Series Retention of E-mail

A. E-mail should be retained based on content not on media type or storage limitations. Agencies should not encourage employees to unilaterally discard E-mail because of artificial limits on E-mail box capacities.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Office of the Secretary of State, Division of Archives, LR 29:958 (June 2003).

§1323. E-Mail is Not a Records Series

A. E-mail should not be treated as a single record series for retention scheduling purposes. E-mail should be incorporated into existing records series maintained by an agency.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Office of the Secretary of State, Division of Archives, LR 29:958 (June 2003).

§1325. Types of E-Mail

A. There are two broad categories of E-mail: record and non-record, based on their administrative and retention requirements.

1. Transitory. Transitory records are records that have limited or no administrative value to the agency and are not essential to the fulfillment of statutory obligations or to the documentation of agency functions.

a. Examples. Transitory information can include the following: unsolicited and junk e-mails not related to agency work, listserv and other e-mail broadcast lists that require subscription (including newspapers), reminders for meetings and events (i.e. cake in the conference room, staff meeting moved from 2 p.m. to 3 p.m.), personal nonwork

related e-mails received by employees.

b. Retention. There is no retention requirement for transitory messages. Public officials and employees receiving such communications may delete them immediately without obtaining approval from the State Archives.

2. Record. Electronic mail records are records that have administrative value to the agency or are required to be maintained under state or federal law for a specified amount of time.

a. Retention. The retention requirement for e-mail records must follow suit with records with similar content found in other media (i.e., paper, film, electronic image). In the event that the content of the message does not fit into an existing record series on an approved retention schedule, the e-mail should be maintained in a manner consistent with R.S. 44:36 and should be added to the agency's approved retention schedule if the series is expected to remain active.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Secretary of State, Division of Archives, LR 29:958 (June 2003).

§1327. Maintenance of Electronic Mail

A. Records created using an e-mail system may be saved for their approved retention period by one of the following.

1. Print message and file in appropriate hard copy file.
2. Place in folders and save on personal network drive or C: drive.
3. Save to removable disk (including CD-ROM). 3.5" disks are not recommended for retention periods of more than one year due to the instability of this medium.
4. Transfer to an automated records management software application.
5. Managed at the server by an automated classification system.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Secretary of State, Division of Archives, LR 29:959 (June 2003).

§1329. User Responsibilities

A. It is the responsibility of the user of the e-mail system, to manage e-mail messages according to their agency's retention schedule.

1. It is the responsibility of the sender of e-mail messages within the agency's e-mail system and recipients of messages from outside the agency to retain the messages for the approved retention period.
2. Names of sender, recipient, date/time of the message, as well as any attachments must be retained with the message. Except for listserv mailing services, distribution lists must be able to identify the sender and recipient of the message.
3. User responsibilities may be mitigated by the use of a server level automated classification system.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Secretary of State, Division of Archives, LR 29:959 (June 2003).

§1331. Agency Responsibilities

A. Each agency should adopt and disseminate to their employees an agency Electronic Mail (E-mail) Proper Use Policy. The policy should include:

1. defining official use and set limits on personal use of electronic messaging (similar to limitations that exist for telephone, fax, and personal mail);
2. prohibiting the use of electronic messaging system to promote the discrimination (on the basis of race, color, national origin, age, marital status, sex, political affiliation, religion, disability or sexual preference), promotion of sexual harassment, or to promote personal, political, or religious business or beliefs;
3. prohibiting employees from sending electronic messages under another employee's name without authorization;
4. prohibiting the altering of electronic messages, including any attachments;
5. agency process for storing and maintaining electronic messages for the duration of the message's retention period;
6. notice that users of an agency's electronic messaging system should not expect a right of privacy and that electronic messages may be monitored for compliance and abuse.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Secretary of State, Division of Archives, LR 29:959 (June 2003).

§1333. Use of Records Management Application (RMA) Software

A. Agencies may use records management application (RMA) software to manage records in digital form. RMA

software categorizes and locates records and identifies records that are due for disposition. RMA software also stores, retrieves, and disposes of the electronic records that are stored in its repository. Agencies should use RMA software that complies with DoD 5015.2-STD, "Design Criteria Standard for Electronic Records Management Software Applications," as issued by the U.S. Department of Defense.

AUTHORITY NOTE: Promulgated in accordance with R.S. 44:405.

HISTORICAL NOTE: Promulgated by the Department of State, Office of the Secretary of State, Division of Archives, LR 29:959 (June 2003)

APPLICATION FOR LOUISIANA STATE ARCHIVES

IMAGING EXCEPTION TO LA. R.S. 44:39 SSARC 970

Mailing: PO Box 94125, Baton Rouge, LA 70804-9125
BEFORE completing this application, please read the Instructions:

Location: 3851 Essen Lane, Baton Rouge, LA 70809-2137

AGENCY NAME:

Application Package Checklist (please include all that apply in your package)

- Agency Records Management Liaison Designation Form (SS ARC 940)
- Application Page and Evaluation Form (SS ARC 970)
- Quality Control Procedures
- Data Migration Statement (all applications)
- Imaged Records Series List (SS ARC 972)
- Agencies List Worksheet (for Joint projects only) (SS ARC 971)
- Request for use of Expedited Disposal Request Process for Converted Documents (SS ARC 930e)

Agency Verification and Agreement:

I hereby certify that the documentation listed on and/or attached to this *Exception Application* is a true and an accurate reflection of the image processing system of the submitting agency upon this date. I understand that any future changes to the imaging system will require an amendment to the Louisiana State Archives for review for system compliance within 30 days of said change being implemented or any system migration. Failure to abide by the terms listed in this Exception Agreement will allow the exception to be revoked or amended by the Louisiana State Archives. Such revocation or amendment will be sent to the Records Management Officer and Chief Executive of each Agency under the agreement within 10 days after such action is taken.

Signature: Agency Records Officer

(Print Name)

Date

Signature: Chief Executive

(Print Name)

Date

Signature: Vendor's Representative (Service Bureau)

(Print Name)

Date

For Louisiana State Archives use only:

Records Management Yes No

Archives Acquisitions Yes No

Exception Request Number: _____

Exception Decision:

Response : 1 2 3 4 5 year exception
expiring on _____

Declined: _____ Rationale:

Signature: State Archives and Records Services

Date

EVALUATION FORM

1. Agency Profile:

Agency Name (include Department, Division, and/or Bureau when appropriate):

Address: (include Street Address, City, State and Zip Code):

Agency Web Site URL:

Primary Contacts:

Project Manager

Name:

Title:

Phone:

Fax:

E-mail:

Records Management

Name:

Title:

Phone:

Fax:

E-mail:

Information Technology

Name:

Title:

Phone:

Fax:

E-mail:

2. Records Management/Indexing:

Please complete the form Imaged Records Series List (SS ARC 972)

1. Agency has a current designated Records Management Officer on file? __ Yes __ No
2. Agency has/ Agencies have an approved Records Retention Schedule on file? __ Yes __ No
3. Does the System have the ability to delete images when retention periods have been met? __ Yes __ No
Explain: _____
4. Is expedited approval of disposal requests for converted records being requested? __ Yes __ No
(If yes, please complete the form Request for Expedited Authority to Dispose of Records SS ARC 930e)
5. Has the minimum indexing of the original records management system been maintained? __ Yes __ No
6. Will the images from other agencies be maintained in the system being described? __ Yes __ No
(If yes, please complete Agencies List Worksheet SSARC 971)
7. Which section/department within your agency (excluding IT), has responsibility for the management of the content that is entered into the imaging system?

3. System Configuration & Documentation:

1. Capture Software:

Name and Version of Software Used:
Operating System (and version) Used:
Database(s) Type (db2, sql, MSaccess):

2. File Format

Single-Page Tagged Image File Format (TIFF Group III or Group IV)
 Multi-Page Tagged Image File Format (TIFF Group III or Group IV)
 Portable Document Format (PDF) Version Used: 1. _____
 PNG
 Other: Please specify file format _____

Scan DPI: 200dpi black & white (minimum for small format documents)
 300dpi black & white (minimum for large format documents)
 Other: (please provide explanation)

3. Retrieval Software

Name and Version of Software Used:
Operating System (and version) Used:
Database(s) Type (db2, sql, MS Access):

4. Storage Hardware

A. Indicate below the Storage Technology(s) used to store the images (include **manufacturer and model # currently being used**) and Total Capacity used for each technology in Terabytes (TB).

Storage Area Network (SAN): _____
 Network Attached Storage (NAS): _____
 Local Server or Main Frame Storage: _____
 Other (Please Describe): _____

B. List the RAID level used on the disks storing the images RAID5, RAID1, etc.) If RAID is not used please describe the technology used to safeguard the images in case of disk failure.

4. Quality Control:

Please attach a copy of the quality control procedures for the system being documented in this application.

1. Percentage of images visually inspected: _____
2. QC is performed during (check all that apply)
 - Scanning process
 - Conversion process
 - Indexing process
 - Other: (please provide brief explanation)

5. Disaster Prevention/Recovery:

1. Disaster Prevention/Recovery Plan Test Cycle:
 Monthly Annually Other: (please provide brief explanation)
2. Location(s) of Offsite Storage of backup media (hardcopy, optical disk, magnetic tape, microfilm):
3. Backup Cycle: Daily Weekly Monthly Annually
4. Backup media: Optical Disk (WORM) CD Tape DVD Other _____
5. Backup media refresh rate: Annually Other: (please provide brief explanation)
6. Disaster Recovery Site: Hot Site and Location Address:
 Cold Site and Location Address:

6. VENDOR INFORMATION:

Vendor Company Name:

Vendor Type:

Equipment Software Installation Imaging Services Micrographics Services Hosting
Address: (include Street Address, City, State and Zip Code):

Web Site:

Company Representative Name:

Title:

Phone:

Fax:

E-mail:

Vendor Company Name:

Vendor Type:

Equipment Software Installation Imaging Services Micrographics Services Hosting

Address: (include Street Address, City, State and Zip Code):

Web Site:

Company Representative Name:

Title:

Phone:

Fax:

E-mail:

Vendor Company Name:

Vendor Type:

Equipment Software Installation Imaging Services Micrographics Services Hosting

Address: (include Street Address, City, State and Zip Code):

Web Site:

Company Representative Name:

Title:

Phone:

Fax:

E-mail:

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Title:

Phone:

Fax:

E-mail:

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Address: (include Street Address, City, State and Zip Code):

Web Site:

Company Representative Name:

Title:

Phone:

Fax:

E-mail:

Vendor Company Name:

Vendor Type:

Equipment Software Installation Imaging Services Micrographics Services Hosting

Address: (include Street Address, City, State and Zip Code):

Web Site:

Company Representative Name:

Title:

Phone:

Fax:

E-mail:

7. Additional Contact Information:

Please provide additional contact information. See Instructions for information on whom to include.

Name:

Title:

Role:

Address: (include Street Address, City, State and Zip Code):

Phone:

Fax:

E-mail:

Name:

Title:

Role:

Address: (include Street Address, City, State and Zip Code):

Phone:

Fax:

E-mail:

Name:

Title:

Role:

Address: (include Street Address, City, State and Zip Code):

Phone:

Fax:

E-mail:

Name:

Title:

Role:

Address: (include Street Address, City, State and Zip Code):

Phone:

Fax:

E-mail:

Name:

Title:

Role:

Address: (include Street Address, City, State and Zip Code):

Phone:

Fax:

E-mail:

LOUISIANA STATE ARCHIVES IMAGING EXCEPTION APPLICATION – INSTRUCTIONS

Mailing: PO Box 94125, Baton Rouge, LA 70804-9125

Location: 3851 Essen Lane, Baton Rouge, LA 70809-2137

Below are the instructions for inputting information in the *Imaging Exception Application*. Please review these instructions before completing this application for submission to the Louisiana State Archives, Division of Archives and Records Management.

The form and all supporting documentation should be completed as electronic documents, preferably in MSWord and submitted electronically for review.

Please submit the Certification Application with the required documentation attached in electronic format to:

Carrie Fager Martin, CRM
Carrie.Martin@sos.la.gov
Records Policy Planner
Division of Archives & Records Management
PO BOX 94125
Baton Rouge, LA 70804-9125
225-922-0002 (fax)

Records Management and State Archives personnel will review the application package for completeness and may request additional information for clarification. Once your application is complete, you will be asked to submit a final signed copy.

Should you have additional questions, please contact one of the following:

Carrie Fager Martin, CRM **Records Policy Planner**
225-925-7552 or **carrie.martin@sos.la.gov**

Zach Tompkins **Records Management Supervisor**
225-922-0104 or **zach.tompkins@sos.la.gov**

Melanie Montanaro **Archives Supervisor**
225-922- 1186 or **mcounce@sos.la.gov**

APPLICATION INSTRUCTIONS TABLE OF CONTENTS

__Application Page and Evaluation Form	Page 2
__Quality Control Procedures	Page 5
__Data Migration Statement	Page 5
__Imaged Records Series List (SS ARC 972)	Page 5
__Agencies List Worksheet (Joint projects only)(SS ARC 971)	Page 6
__Request for use of Expedited Disposal Request Process For Converted Documents (SS ARC 930e)	Page 6

COVER PAGE

Provide your Agency's Name.

APPLICATION PACKAGE CHECKLIST

Copies of all listed documentation must be submitted with every application.

AGENCY VERIFICATION:

This section attests to the truthfulness and accuracy of the information provided. The area is reserved for the mandatory signatures of the Chief Executive officer (head of the requesting agency) and the Records Management Liaison for the agency. If applicable, a vendor's representative can also sign (optional).

EVALUATION FORM

1. AGENCY PROFILE:

It is important to identify the specific Department/Division/Bureau seeking the exception. The "Primary Contacts" are the people who will manage communications with the State Archives and the paperwork involved with the system. Provide all of the indicated contact information for the Primary Contacts (Project Manager, Records Management, and Information Technology). In Section 8 there is space for additional contact information.

2. RECORDS MANAGEMENT/INDEXING:

Note the form "Imaged Records Series List" is required (see page 6 for more information);

1. If the agency has not yet submitted a Records Management Liaison (SSARC 940) to the State Archives for the fiscal year in which the application is being submitted (July 1-June 30th), the agency should submit one with the application form (SSARC 970).

2. Each agency must have a valid Records Retention Schedule approved by the State Archives on file at the time of their application. The Records Management Program provides training on developing retention schedules on a monthly basis at the State Archives, free of charge. Please visit our website at:
<http://www.sos.la.gov/HistoricalResources/ManagingRecords/GetRecordsManagementTraining/Pages/default.aspx>
3. If the system does not have the ability to delete the images when retention periods have been met, please explain in the space provided.
4. If the agency is requesting expedited approval of disposal requests for converted records, please check Yes. Note: This will allow the agency to submit future disposal requests to dispose of scanned originals via email. Please complete Request for Expedited Authority to Dispose of Records Form (SS ARC 930e).
5. Indexing for the image processing system *MUST*, at a minimum, have the same index functionality as the existing records management system. Please note any enhancement to the indexing that the agency may be considering. For example, if your paper files are arranged by account number, at a minimum your imaging system must provide for indexing records by account number.
6. If the agency will be hosting the records of other agencies in the system listed on the application, please indicate that fact and complete Agencies List Worksheet (SSARC 971).
7. List the office(s) (Records Management Unit, Service Bureau, or other unit) that oversee(s) the day-to-day management of the image conversion processing system.

3. SYSTEM CONFIGURATION & DOCUMENTATION:

(NOTE: THIS SECTION IS CONSIDERED CONFIDENTIAL)

1. Indicate the name of the software (and version), operating system required, and the database types used by the capture software for the system for which the agency is applying. Please note if this is a commercial standard off-the-shelf (COTS) application. Please include the manufacturer's name and version number.
2. Indicate that your agency is creating and storing the imaged records as Single Page TIFF Group III or IV files or Multi Page TIFF, Portable Document Format (PDF) with version of PDF being used (1.X) or Other format.

Indicate the resolution at which your agency is scanning the documents. A minimum of 200dpi and 300dpi is required for small format documents and large format documents respectively. If another dpi is being used please indicate and explain why.

3. Indicate the name of the software (and version), operating system required and the database types used by the retrieval software for the system for which the agency is applying. Please note if this is a commercial standard off-the-shelf (COTS) application. Please include the manufacturer's name and version number.

4. Indicate the applicable storage hardware used to store the images for future retrieval. This includes storage area network (SAN) devices, and network attached storage (NAS) devices, local server or mainframe units, or other devices. Please note if this is a commercial standard off-the-shelf (COTS) systems and equipment. Please include the manufacturer and model numbers for storage equipment and total capacity being used for the storage method.

Indicate the RAID level used to safeguard images in case of disk failure. If RAID is not used, describe the alternative technology/process being used to safeguard images.

4. QUALITY CONTROL:

The procedures used by the agency to assure quality control should be submitted with this application. Images should be visually inspected for quality control.

1. Indicate percentage of images that are visually inspected.
2. Indicate when quality control is performed (check all that applies).
3. Please attach a copy of the quality control procedures being used by the agency with this application.

5. DISASTER PREVENTION/RECOVERY

(NOTE: THIS SECTION IS CONSIDERED CONFIDENTIAL)

1. Indicate how often the DPR -Disaster Prevention/Recovery - is tested and reviewed – monthly, annually, or some other interval.
2. Provide the physical location (address) of the offsite storage facility being utilized for backup media (paper, magnetic media, optical media, and/or microfilm).
3. Indicate how often the image processing system is backed-up.
4. Indicate what media is used for the backup.
5. Indicate how often the magnetic and optical media are refreshed (recopied).
6. Indicate whether your agency has established a facility to be a 'Hot Site' or 'Cold Site' in event of a disaster.
 - a. A 'Hot Site' is a facility that is fully outfitted with furniture and equipment, where an agency can bring its backup tapes/disks, load them to existing hardware that is in-place, and bring its system back up again.
 - b. A 'Cold Site' is a facility that is essentially an empty shell or does not have the necessary furniture and equipment in-place.

6. VENDOR AND SUPPORT INFORMATION:

Identify the appropriate information regarding all vendor(s) and their representative. This includes IT equipment and software vendors, imaging service vendors (including the State Archives). For each vendor please check all provided services that apply. Feel free to cut and paste if you need more vendor listings.

7. ADDITIONAL CONTACT INFORMATION:

Complete contact information and the role for any additional people that are instrumental in this imaging system application. This would include supervisors of sections overseeing scanning, legal counsel for agency (or agencies) involved in the project, IT liaison from the agency regarding programming and/or technical support, and major vendors involved in the project. If additional contacts need to be recorded, please copy the page.

RECORDS SERIES LIST

Using the form Imaged Records Series List, enter the agency name, and records series title, and retention time as found on the agency's approved records retention schedule(s), and the inclusive dates (e.g. date forward, 2000 to current, etc.) for those series the agency intends to image.

QUALITY CONTROL PROCEDURES

Written procedures for ensuring the image quality control of the system should be developed and submitted with application. Agencies are also encouraged to include policies and procedures regarding document handling and preparation, scanning, and security but submission of those policies and procedures are not required for the application. Such policies and procedures can serve as a training manual for staff to ensure consistent scanning processes.

Guidance for quality control procedures for imaging surveys and imaging exception applications (RM-G-QualityControl) can be found on our website:
<http://www.sos.la.gov/HistoricalResources/PublishedDocuments/RM-G-QualityControl.pdf>

DATA MIGRATION STATEMENT

An agency needs a strategy for making certain that public records that are being imaged today are accessible, retrievable, and readable in the future. The Data Migration Statement shows that your agency recognizes the future need to move the electronic documents from old technology to new technology (storage media, hardware and software); is budgeting for these moves; and how it is positioning itself to be able to easily accomplish these moves.

Guidance on what to include in a data migration statement for imaging surveys and imaging exception applications (RM-G-DataMigration) can be found on our website:
<http://www.sos.la.gov/HistoricalResources/PublishedDocuments/RM-G-DataMigration.pdf>

AGENCIES LIST WORKSHEET (JOINT PROJECTS ONLY) -SS ARC 971

If the agency applying for the exception will be hosting images from multiple agencies in their system (records for other agencies), they must also complete the form *Agencies List Worksheet* and submit it with their application. This worksheet should be amended within 30 days of records from an agency not already included on the existing application being added to the system. Failure to do so will be a breach of the agreement authorizing the exception and may lead to a revision or revocation of the exception approval.

REQUEST FOR USE OF EXPEDITED DISPOSAL REQUEST PROCESS FOR CONVERTED DOCUMENTS -SS ARC 930E

Agencies that are applying for and receive an exception to the imaging policy (or submit imaging surveys) are encouraged to complete and submit with their application a request for use of expedited disposal request process for converted documents (SS ARC 930E). La. Revised Statute 44:411 requires an agency to get permission from the State Archives before records can be destroyed. La. Revised Statute 44:39 gives an image standing as the original if the original no longer exists.

By completing and following the expedited disposal process, agencies converting their documents from paper to electronic can do so in a manner that will show the courts (if need be) that they have complied with state statutes and that the electronic records in their imaging system are now deemed to be the originals.

ELIGIBLE RECORDS

Records that have a total records retention of ACT + 10 years (Calendar, Fiscal, Academic or Federal Fiscal) or less on a current records retention schedule approved by the Louisiana State Archives are eligible for an imaging exception.

NOTE: Records that have a permanent or longer term retention (more than ACT + 10 years) are not eligible at this time.

Some schedules may be able to be amended to revise series that have PERM retention periods to a retention of ACT + 10 years (where ACT = until the end of the year in which your agency ceases to exist) but these changes are considered on a case by case basis. Some series cannot be changed if the law requires PERM retention or the record series is historically or administratively significant (Minutes, college transcripts held by colleges and universities, cumulative grade cards for schools, land records, etc.).

IMAGING EXCEPTION VS. IMAGING SURVEY

Note: If the records you are wanting to image have a total retention of 10 years or less total (even if the word ACT is used in its definition), do not require an exception. Please complete the Imaging Survey and make sure you have a current records retention schedule approved by the Louisiana State Archives on file with our office. Imaging Surveys, unlike exceptions, do not require approval by our office.

APPROVAL PROCESS

Once your office has an approved schedule on file with our office we will review the imaging survey you submit. You will submit your request to the Records Policy Planner's office. Please note that this review process can take some time to complete. You will receive a summary email of the review with any changes that are needed before the application can proceed for approval.

Once we have all the information required for approval (including the signed version), it is reviewed one final time by the Records Management and Archives Acquisition staff and they make their recommendation.

The application is then sent for final approval to the Executive Office for review and final decision.

Once the decision has been made, the Records Policy Planner will notify the agency of the outcome and the next step.

Quality Control Procedures for Imaging Surveys and Exception Applications

Key Points:

- Each State Agency (see La. R.S. 44:402 for definition) is required by LAC 4:XVII Chapter 13 Electronic Records-Subchapter B – State Archives Imaging Policy, to complete and submit information regarding imaging systems they operate.
- Both the Imaging Survey (LAC 4:XVII section 1305) and the Application for Exception to R.S. 44:39 require agencies to provide information regarding the agency's quality control procedures for image production and maintenance.
- The purpose of this requirement is to make sure that agencies address this critical aspect of record conversion in the business process to ensure that they have a complete and legible electronic image before they seek permission to destroy the original document. Once the original is destroyed, it is hard to recreate the record if the image was not captured properly.

Quality Control Procedures in General:

- Most agencies first response is to say that they check to make sure the record is legible. However, it is important to describe what that means. A list of attributes is sufficient to give the producer a clear understanding of what is expected. This list could include:
 - Images are scanned at 100% of their original size
 - Images are scanned at a minimum of 300 dpi
 - Images are viewed as a thumbnail (small full representation of the image) to make sure entire document has been scanned/is not covered or skewed) before expanding to ensure quality of image is readable.
 - Index matches to file being scanned
 - File names should remain consistent
 - Provide all metadata available
 - Adjust brightness/contrast for any non-readable images and re-scan
 - Verify all documents transfer from capture software
 - Check file names to ensure no documents are missing
 - Make sure to check settings to ensure two sided documents can be captured
 - Remove only pages that are truly blank.

Quality Control for Imaging Exception Application:

- Section 4 of the Imaging Exception Application (SSARC-970) requires agencies to provide their quality control procedures and responses to two questions:
 - Percentage of Images visually inspected
 - This number should be higher than 80 percent.
 - QC (Quality Control) is performed during (check all that apply): Scanning Process, Conversion Process, Indexing Process, Other (Please provide brief explanation).
 - The Conversion process could occur converting from one electronic format to another (TIF to PDF) or migration from one system to another.
 - Other could include image audits, daily reviews of images being used by workers, etc.

Who to contact regarding Quality Control questions:

- Agencies that have a question regarding quality control questions can be sent via email to recmgt@sos.la.gov (put Quality Control in the Subject Line) or faxed to (225) 922-1220. If you need to speak to someone, please contact the Records Policy Planner at (225) 925-7552.

Data Migration Statement Guidance for Imaging Exception Applications

Key Points:

- Each State Agency (see La. R.S. 44:402 for definition) is required by LAC 4:XVII Chapter 13 Electronic Records-Subchapter B – State Archives Imaging Policy, to complete and submit information regarding imaging systems they operate.
- The Application for Exception to R.S. 44:39 require agencies to include a Data Migration Statement as part of their submission packet.
- The purpose of this requirement is to ensure that agencies are aware of the types of activities it will take to monitor and maintain their imaging/electronic system in a manner that their data can be accessible for the entire retention of the records series included in the exception.
- The Statement also shows the agency is able to communicate what steps they plan to take to safeguard their records for the entire life cycle and what it will take to keep the exception being renewed over time with the State Archives.

Data Migration Statement Components:

- Most agencies first response is to say that they that they will work to ensure that the images/records will be accessible for the total retention of the records series housed on the system. However, it is important to describe what that means. A list of activities that will lead to this goal is sufficient to give the reader a clear understanding of what the agency is intending to do and provides the agency with a set of activities that need to be prioritized to ensure that the records remain accessible and viable for their total retention period required. This list could include:
 - The agency will continue to monitor and researching the industry and upgrading as needed, the technology and equipment used in the system to ensure the images remain accessible and viable for the total retention of the records included on the system in a cost effective manner;
 - The agency will work to ensure that, in the event of any migration, that the data is checked to ensure it is migrated in a smooth process and that any data corruption issues are documented and corrected in a timely manner;
 - The agency, as part of its budget process, will make sure that the financial resources needed to maintain and upgrade the system are available in a timely manner to ensure continuity of the system.
 - When considering new systems and formats, the agency will consider ones with open architectures and open formats.

Who to contact regarding Data Migration Statement questions:

- Agencies that have a question regarding Data Migration Statement questions can be sent via email to recmgt@sos.la.gov (put Data Migration Statement in the Subject Line) or faxed to (225) 922-1220. If you need to speak to someone, please contact the Records Policy Planner at (225) 925-7552.



STATE OF LOUISIANA
SECRETARY OF STATE
 DIVISION OF ARCHIVES, RECORDS MANAGEMENT AND HISTORY

**APPLICATION FOR
 EXPEDITED PROCESS FOR
 REQUESTS FOR AUTHORITY
 TO DISPOSE OF RECORDS**
 SS ARC 930e (R 6/2018)

TO: SECRETARY OF STATE
 DIVISION OF ARCHIVES,
 RECORDS MANAGEMENT AND HISTORY
 P.O. BOX 94125, Capitol Station
 Baton Rouge, Louisiana 70804-9125

FOR ARCHIVES USE ONLY Application Received: _____ Imaging Exception Request No. _____ Exception Expiration date: _____ Imaging Survey/Schedule on File: [] Yes [] No Decision: _____ Date Returned to Agency: _____

FROM:

1. STATE OR LOCAL AGENCY

2. ADDRESS

3. NAME OF PERSON WITH WHOM TO CONFER 4. PHONE NUMBER WITH AREA CODE 5. EMAIL ADDRESS

_____	_____	_____
DATE SIGNED	SIGNATURE OF REPRESENTATIVE	TITLE

5. Certificate of Agency Representative:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records and that our agency will be transmitting disposal requests via email in the future for records that have been converted in accordance with our imaging exception policy, imaging survey or document conversion process for archival preservation. The records described in these requests proposed for disposal will be for the reason indicated:

- B1. ___ Records have been converted to Digital Images. B.3 ___ Records have met their retention (< 30 days).
 B2. ___ Records have been converted to Microfilm. B.4 ___ Records have met their retention (< 3 years).

Approved by:

_____	_____	_____
DATE	STATE ARCHIVES RECORDS MANAGEMENT REPRESENTATIVE	TITLE

Declined by:

_____	_____	_____
DATE	STATE ARCHIVES RECORDS MANAGEMENT REPRESENTATIVE	TITLE

Comments:



STATE OF LOUISIANA
SECRETARY OF STATE
 DIVISION OF ARCHIVES, RECORDS MANAGEMENT AND HISTORY

Print Form

**REQUEST FOR AUTHORITY
 TO DISPOSE OF RECORDS**
 SSARC 930 (R 1/12)

**TO: RECORDS MANAGEMENT SECTION
 DIVISION OF ARCHIVES, RECORDS MANAGEMENT AND HISTORY
 POST OFFICE BOX 94125
 BATON ROUGE, LA 70804-9125**

FOR ARCHIVES USE ONLY	
Your Disposal Authority Request has been:	
<input type="checkbox"/> Approved _____	Received: _____
	Processed: _____
<input type="checkbox"/> Rejected _____	Returned: _____
Reason: _____	
<input type="checkbox"/> YES <input type="checkbox"/> NO	Archives _____
<input type="checkbox"/> YES <input type="checkbox"/> NO	Rec Mgt _____
Method: <input type="checkbox"/> DUMP <input type="checkbox"/> SHRED <input type="checkbox"/> RECYCLE <input type="checkbox"/> BURN <input type="checkbox"/> DELETE <input type="checkbox"/> DeGAUSSE/ERASE <input type="checkbox"/> CRUSH	

FROM:

1. AGENCY NAME

2. ADDRESS

3. NAME OF PERSON WITH WHOM TO CONFER 4. TELEPHONE NUMBER WITH AREA CODE 4A. E-MAIL ADDRESS

5. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records and that the records described in this List or Schedule are proposed for disposal for the reason indicated:

- A. The records have ceased to have sufficient value to warrant further retention.
- B. The records will cease to have sufficient value to retain them after the date or event indicated.
 These records have been converted to Microfilm ; Digital Images.

DATE SIGNED

SIGNATURE OF REPRESENTATIVE

TITLE

6. Inclusive Dates	7. Description of Records (List Records Series Title if Records Appear on Agency Retention Schedule)