

Retention Development: Defining Active (ACT)

Key Points:

- ACT is used to cover the variable portion of a retention period (usually the active life of the retention formula).
- Use of ACT allows records to be disposed of in a predictable routine manner (annually or monthly) that is more efficient than requiring disposal requests (required by L.R.S. 44:411 and L.R.S. 44:36) on a daily basis as records age out.
- Each time the word ACT is used in a retention formula it should be defined in the remarks column in the following manner: "ACT = until the end of the (CY, FY, FFY, or AY depending on type of year formula will be based on) in which..." (See the attached spreadsheet for endings based on record series type/scenario).

How to end the Definition of ACT:

- See the attached spreadsheet for more record specific information on which definition ending to select.
- To use the spreadsheet look for the type of record series that most closely behaves like the records you are trying to schedule.
- For example: A cooperative endeavor agreement would behave like a contract or agreement; a lawsuit's retention behaves in a similar fashion to how a criminal case file might be handled even though they might not have the same retention period. (They both would be held until final adjudication occurs.)
- The spreadsheet also indicates the typical type of year for that particular series.
- NOTE: Payroll and Time and attendance related records should be maintained based on a Calendar year basis to comply with Federal Tax requirements.

Record Series	Year Type	Definition of ACTIVE
Payroll, Time and Attendance, Leave Records	CY	ACT = until end of CY created or received.
Leave records (for employees paying into Teachers Retirement)	CY	ACT = until end of CY in which employee separates from agency.
Personnel Records (employee specific)	CY	ACT = until end of CY in which employee separates from agency.
Authorizations for deductions	CY	ACT = until end of CY in which superseded or discontinued.
Garnishments	CY	ACT = until end of CY in which paid in full/garnishment is lifted.
Contracts/Agreements	CY or FY	ACT = until end of CY (FY) in which contract (agreement) expires or terminates.
Insurance Policies	CY or FY	ACT = until end of CY (FY) in which policy expires or terminates and all claims have been closed out.
Bids (unsuccessful)	CY or FY	ACT = until end of CY (FY) in which acceptance closes.

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Contracts/Agreements	CY or FY	ACT = until end of CY (FY) in which contract (agreement) expires or terminates.
Insurance Policies	CY or FY	ACT = until end of CY (FY) in which policy expires or terminates and all claims have been closed out.
Vehicles and Movable Property Records	CY or FY	ACT = until end of CY (FY) in which asset is surplus or disposed.
Reports	CY or FY	ACT = until end of CY (FY) in which report was issued.
FEMA Grants	CY	ACT = until end of CY in which all PWs are closed out by State to FEMA.
Grant Files	CY or FY	ACT = until end of CY (FY) in which grant is closed out (or final grant report is issued).
Audit Files	CY or FY	ACT = until end of CY (FY) in which audit is completed.
For Records that have a straight number of years to be held (no closure/trigger event)	CY or FY	ACT = until end of CY (FY) in which created or received.
Project Files	CY or FY	ACT = until end of CY (FY) in which project closes out.
Licensure records	CY or FY	ACT = until end of CY (FY) in which license expires, lapses or terminates.
Student related records	CY or FY	ACT = until end of CY (FY) in which student no longer enrolled.
Bond Records	CY or FY	ACT = until end of CY (FY) in bond issue is paid off/closed out.
Case Records (criminal)	CY	ACT = until end of CY in which final adjudication occurs.

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Insurance Policies	CY or FY	ACT = until end of CY (FY) in which policy expires or terminates and all claims have been closed out.
Meeting Recordings	CY	ACT = until end of CY in which meeting is held and written minutes are adopted.
Audit Records	FY or CY	ACT= until end of FY (CY) in which final audit report is issued.
Records that are replaced (records that have been Superseded or Revised)	FY or CY	ACT = until end of CY (FY) in which plan/report/record/license/policy is revised or superseded.
Log Files	CY	ACT = until end of CY in which generated.
Employment applications	CY	ACT = until end of CY in which position is filled or posting is closed.

Who to contact regarding Defining Active:

- Agencies that have a question on how Active is used or how to select the appropriate definition of Active can contact our section via email at recmgt@sos.la.gov or by fax to (225) 922-1220. If you need to speak to someone, please contact one of our Records Analysts at either (225) 362-5181, (225) 362-5182, (225) 925-7695 or (225) 925-7552.