

Records Retention Schedule Form Update

Secretary of State

Louisiana State Archives - Records Services Division

Records Management Section

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 **January 1, 2008**.
- **Agencies that have already submitted** a retention schedule for review, approval or renewal **before March 1, 2008** will **not be required to resubmit** schedule with new format (provided the schedule is **approved by June 30, 2008** – See below).
- **Agencies about to submit a retention schedule** for review, approval or renewal **can use the old form until February 29, 2008** (same requirement as above).

Implementing New Records Retention Schedule Forms

- Any schedule submitted for review, approval, or renewal on or **after March 1, 2008** or **not approved by June 30, 2008** 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.

Questions?

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