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**

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