

Records Management Training
Records Management 2
Records Retention Schedule
Development and Revision

Presented by the
Louisiana Secretary of State
Division of Archives, Records Management
and History

Rev. 10/2018

Overview of Training Session

- Review key definitions
- Review the process for developing a records retention schedule
- Discuss methods of inventorying records
- Review process for records analysis
- Review changes in retention schedule form

Definition of Records Management

- Records management is: The systematic application of management techniques (planning, organizing, command, coordination and control) to the creation, utilization, maintenance, retention, preservation, and disposal of records.

What is a Record?

- document or any other material, regardless of physical form or characteristic, generated or received under law or in connection with the transaction of official business, or preserved by an agency or political subdivision because of other informational or legal value.

What is a Non-Record?

- Library and museum material developed or acquired and preserved solely for reference or exhibition purposes, extra copies maintained for convenience in reference or stocks of standard publications or processed documents.
- In other words, newspapers, library books, museum collections, copies of records, blank forms (after the first one).

The 411 on LRS 44:411 - What you need to Know

- Requires agencies to:
 - Develop and submit a Retention Schedule to the State Archives;
 - Get approval from State Archives prior to the disposal of agency records;
 - Prior to the departure of the head of the agency, make arrangements with State Archives to review the agency head's records to determine what should be transferred to the State Archives.

What's a Records Retention Schedule?

- As defined in state law, a retention and disposition schedule is defined to mean “a set of disposition instructions prescribing how long, in what location, under what conditions, and in what form records series shall be kept”. (LA R.S. 44:402)

What is a Records Series?

A records series is: “a group of related or similar records, regardless of medium, that may be filed together as a unit, used in a similar manner, and typically are evaluated as a unit for determining retention periods”.

LAC 4:XVII Chapter 3 section 301(a)

Why Do We Need a Retention Schedule?

- Acts as the backbone for an agency's recorded information.
- Ensures conformity with Federal and State laws.
- Provides consistency in maintenance of agency's records.
- Ensures records vital to the agency are identified and protected.

**How to Develop
a Records Retention Schedule**

- Inventory organization's records created, received or maintained;
- Determine how the records are used;
- Identify what agency and legal requirements need to be taken into account;
- Analyze information gathered to determine retention value;
- Draft retention schedule, review it, submit it.

Exercise #1

What records do you create, receive and/or maintain?

Create a list of the types of records you create, receive, and/or maintain. Take 2 minutes to complete this exercise.

Records Inventory Methods

- By Questionnaire
- By Committee/Interview
- By Physical Inventory
- Combination of any of the above.

Information to Collect

- Official Name of Records Series
- Other names the series is known by
- In what media formats are the records maintained
- What time frame do the records cover
- Where are the records located
- Who also receives the records
- How are they filed.

Why So Much Information?

- Helps to identify what can be disposed of after schedule is approved;
- Help identify records that are redundant or unnecessary;
- Assist in developing a disaster contingency plan and protect truly vital records;
- Identify if series could/should be converted to another media (or shouldn't be converted);
- Provide more accurate estimate of storage space needed for active records in the office and inactive records to be stored elsewhere.

Determining the Retention Period

Consider the administrative, fiscal, legal and archival values of each records series.

- Consult with the records custodian and users to see how long they need the records to meet their administrative needs.
- Consult with your agency's financial section to see how long the records are required to be maintained for financial purposes.
- Conduct legal research on how long the law require the records to be maintained.

**State Archives'
Appraisal Checklist**

- The State Archives has an appraisal checklist that can help agencies evaluate the administrative, legal and financial values for a records series. See the checklist in the accompanying handout.

Arriving at a Retention Value

- For each series, review the values (administrative, fiscal, legal and archival);
- Archival values typically will win out over legal, financial and administrative needs.
- Legal values typically set the minimum retention period for the record.

Arriving at a Retention Value Examples

- Louisiana Purchase Documents
 - Administrative: 5 calendar years
 - Legal: Permanent
 - Financial: 3 fiscal years
 - Archival: Permanent
- Long Distance Phone Logs (Federal program)
 - Administrative: 1 fiscal year
 - Financial: 2 fiscal years
 - Legal: 5.5 fiscal years
 - Archival: None

Points to Remember

- Records Schedules are media neutral. Figure out how long you need the record then apply appropriate storage media to ensure accessibility for the life of the records.
- Records Series have a life cycle. Don't break a series into multiple series by including words like active, inactive, closed or open in the series name.
- Records Series that have a variable retention value should use Active to indicate a variable value.
 - Example: Traffic tickets (non-DWI): Active + 1CY in office, 2 CY in storage; Total Retention Active + 3 CY; where active = until end of the CY in which case closed.

Points to Remember

- Define what you mean by active;
- Set a retention value to each series;
- Define what you mean by year:
 - fiscal year (FY) July - June
 - calendar year (CY) Jan. - Dec.
 - academic year (AY) Aug. - July
 - federal fiscal year (FFY) Oct. - Sept.;
- E-mail is not a records series;
- Spell out acronyms and uncommon abbreviations.

After the Schedule is Approved...

- Submit request for authority to dispose of records form to State Archives to purge records that have met or exceeded their retention requirements. Disposal requests can be sent to disposals@sos.la.gov for processing.
- Records that have yet to meet their retention but are inactive should be moved to storage (with appropriate level description to aid in retrieval of records if required).
- As new records are created or received, file them according to their retention requirements (especially e-mail and imaging systems).
- Communicate the retention schedule and your policies regarding agency records to all employees.

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.

Standard Abbreviations for Retention Periods

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 redaction 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.
- If a record is subject to legislative audit at any point in its lifecycle it is a vital record.

**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.**

Records Retention Schedule Forms

- 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 recmgt@sos.la.gov.

Quiz 2# Records Retention Review

- Turn to the page marked Quiz #2 in your handout. Review each line of the retention schedule. Beside each line in the space provided, indicate if the records series presented meets the criteria we have discussed today. Mark Y for yes it does or N for no it does not.

What Next?

- Develop your agency's Records Retention Schedule.
- Develop a Legal Hold Policy and Vital Records Program in your agency.
- Review Records Retention Schedule (once approved) annually for changes/updates.

Questions?

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1. Office or Department		2. Location/Building		3. Date	
4. Street Address _____ City _____ State _____ Zip/Postal Code _____ Parish _____		5. Contact Person		6. Phone No. / E-mail Address	
7. Title of Record			8. What Department Calls Record		
9. Description of Record (Include source if not created by office and any other office who receives record from office)					
10. Location of Record					
11. Purpose of Record				12. Is Record Still Created? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown	
13. Type of Record Original <input type="checkbox"/> Location of Duplicates _____ Duplicate <input type="checkbox"/> Location of Original _____				14. Is Record Imaged? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
15. Record Format <input type="checkbox"/> Letter <input type="checkbox"/> Plans/Drawings <input type="checkbox"/> Printout <input type="checkbox"/> Magnetic Media (indicate type) _____ <input type="checkbox"/> Form # _____ <input type="checkbox"/> Legal <input type="checkbox"/> Video/Audio Tape <input type="checkbox"/> Microfilm <input type="checkbox"/> Publication/Books <input type="checkbox"/> Binder <input type="checkbox"/> Other _____					
16. Filing Method <input type="checkbox"/> Alphabetic <input type="checkbox"/> Numeric <input type="checkbox"/> Chronologic <input type="checkbox"/> Subject <input type="checkbox"/> Alphanumeric <input type="checkbox"/> Geographic <input type="checkbox"/> Calendar Year <input type="checkbox"/> Fiscal Year <input type="checkbox"/> Other _____					
17. Record Characteristics <input type="checkbox"/> Vital <input type="checkbox"/> Confidential <input type="checkbox"/> Restricted <input type="checkbox"/> Important <input type="checkbox"/> Useful				18. Type of Equipment Use code - see back	
19. Range of Records (e.g. 1/1/98 – 6/30/01, Li – Ru, 200 – 550) _____ through _____		20. Does Record Have Historical/Archival Value? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown	21. Volume of Records _____ Filing Inches _____ Cubic Feet	22. Growth Per Year _____ Filing Inches _____ Cubic Feet	
23. Reference Rate _____ times <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Yearly <input type="checkbox"/> Other <input type="text"/>			24. Federal Funds? <input type="checkbox"/> Yes <input type="checkbox"/> No	25. External Audit Required? <input type="checkbox"/> Yes <input type="checkbox"/> No	
26. File Break/Cutoff <input type="checkbox"/> Month <input type="checkbox"/> Calendar Year <input type="checkbox"/> Fiscal Year <input type="checkbox"/> Academic Year <input type="checkbox"/> Other _____					
27. Department or Office Recommendations (Check all that apply) <input type="checkbox"/> Destroy immediately after cutoff. <input type="checkbox"/> Destroy _____ month(s) or _____ year(s) after cutoff. <input type="checkbox"/> Hold in active file area _____ month(s) or _____ year(s). <input type="checkbox"/> Transfer to _____ department after _____ month(s) or _____ year(s). <input type="checkbox"/> Transfer to Records Center after _____ year(s). <input type="checkbox"/> Transfer to Archives for permanent retention. <input type="checkbox"/> Microfilm for permanent retention after _____ month(s) or _____ year(s).					
28. Justification for Department or Office Recommendations					

Note: Attach Sample Copy of Record/Form

Additional Explanation Records Management Inventory Form

Title of Record : _____

Additional Explanation(s) for Item number(s):

1 4 7 10 13 16 19 22 25 28

2 5 8 11 14 17 20 23 26

3 6 9 12 15 18 21 24 27

Attach this page to the related Records Management Inventory Form.

-Ordinances, Minutes of Meetings, etc.

Westlaw and Lexis are legal subscription-base databases that can be used to conduct searches for both state and federal statutes and regulations.

Appraisal Checklist

The Division of Archives, Records Management, and History has developed an **Appraisal Check List** to help Records Officers when appraising the value of their records. This check list is designed to serve as a guideline so that nothing is overlooked in preparing the records retention schedule. The check list is divided into the following sections:

- Series Identification
- Administrative Value
- Legal Value
- Fiscal Value
- Historical Value
- Disposition Instructions

SERIES IDENTIFICATION

Records Series are documents or records that are normally filed together because they share a similar function or possess similar physical characteristics.

(1) What records comprise this series?

(2) Are there auxiliary files (microfilm, tab cards, printouts, indices) which are part of this series?

-If yes, are these covered in the retention schedule?

-If such files are maintained in another office, are they covered by the retention schedule?

(3) Are all records in this series needed for the same length of time?

(4) Is the series title an accurate description of the records?

ADMINISTRATIVE VALUE

RESEARCH:

(1) Is this series likely to be used in the development or effectiveness of a program or policy?

-If yes, how far into the future?

(2) Will these records provide raw data for research projects?

-If yes, when are these projects expected to occur?

-When will this data become obsolete?

(3) Is this series vital to the function of the office?

-If yes, for how long?

-If the series were lost, could the office carry out its function?

-If not, could the information be recovered from other sources?

-How long would that reconstruction take?

(4) Has any authoritative policy been issued covering the use and/or retention of these files?

-If yes, what policy and by whom?

-What retention?

REFERENCE:

(5) When should the file be cut off?

_____ Fiscal Year

_____ Audit

_____ Calendar Year

_____ Monthly
_____ Occurrence of an Event (Specify)
_____ Other (Specify)

(6) What is the current reference rate for this file?

-Records dated this year? _____ per _____
-Records dated last year? _____ per _____
-Records dated the preceding year? _____ per _____
-Records dated the previous year? _____ per _____

(7) How old are the records when they reach their peak reference rate?

_____ (year) _____ (month) _____ (other)

(8) How long must this file be in the office for day-to-day operations?

(9) When does the reference cease?

_____ (year) _____ (month) _____ (other) _____ (never)

DECISION:

(10) How long is this series needed for the administration of the function?

_____ total years/months

-The file should be cut off each:

_____ Fiscal Year
_____ Audit
_____ Calendar
_____ Month
_____ Other (Specify)

-Where should the file be kept?

_____ years/months in office (See Question 8); then
_____ years/months in Records Center then destroy

____years/months in local holding area then destroy
____permanently in Archives
____destroy

LEGAL VALUE:

FUNCTION:

(1) Does the enabling legislation for the function require the creation of this series?

-If yes, cite _____

(2) Does the agency's enabling legislation prescribe a retention schedule for these records?

-If yes, how long?

(3) Does any Federal legislation control the function and creation of these records?

-If yes, cite _____

(4) Are there any Federal regulations prescribing a retention period for these records?

-If yes, how long?

(5) Do these files control the legal operation of the State's Constitutional duties? (election, commissions, etc.)

(6) Do these files control judicial operations? (dockets, etc)

USE:

(7) Are these files the record of state licenses or regulations?

-If yes, how long are these controls valid?

(8) Will these files prove the State's claims to property?

-If yes, is this the best series to do so?

-Is the best series available?

(9) Are these records necessary for the State to prosecute an action?

-If yes, what is the limitation of these actions?

(10) Are these records necessary for the State to defend against an action?

-If yes, for how long?

(11) Are these records necessary to protect the rights of a citizen?

-If yes, for how long?

FISCAL VALUE:

FUNCTION:

(1) Do these files control or document the generation, expenditure or movement of public funds?

-If yes,

-Are these State funds?

-Are they Federal funds?

If yes, grants? _____ If yes, type grant _____

Revenue-sharing? _____

Other? _____

-Are these Parish funds?

-Are these City funds?

-Are these a combination of funds?

If yes, a combination of which sources?

(2) Do these files document

-Revenues owed the State?

-Obligations of the State?

-Bonds?

(3) How long are these records needed to administer these funds?

(4) What are the audit requirements of the funding authority?

REQUIREMENTS:

(5) Have any regulations been issued covering retention of audited records?

- If yes, what policy and by whom?
- What retention?

DECISION:

(6) How long must these records be kept to meet all fiscal and audit requirements?

_____ total years/months

HISTORICAL VALUE

GOVERNMENT:

(1) Does this record series document a specific State program?

- If yes, is this program adequately documented in this office?
- Is this program unique?
- Is this program a departure of previous State policy?
- Is this a new program?
- Will this program affect citizens beyond the immediate future?

(2) Does this series document the activities of an important government official?

(3) Do these files document the formation of public policy?

STATE:

(4) Do these records document the condition of the State or its citizens in detail at a definite point in time?

(5) Does this record series document the life of an important citizen?

(6) Do these records document a trend or move by the citizenry?

(7) Do these files document a significant event?

SOURCE:

(8) Is the information contained in this series available elsewhere?

-If so, which series better captures the historical data?

(9) Are these records contemporary with the activities documented?

-If yes, are these records authoritative?

DECISION:

(10) Do these files contain information of an historical nature?

-If yes, attach a note to retention schedule.

DISPOSITION INSTRUCTIONS

Enter information from all decision blocks:

Administrative	_____	(total years needed)
	_____	(years needed in office)
	_____	(cut-off period)
Fiscal	_____	(total years needed)
Legal	_____	(total years needed)
Historical	_____	(yes; permanent)
	_____	(no)

Select the cut-off period from administrative value; maintain in office as indicated in administrative value; then take the longest total years in the four decision areas for retention period; subtract the office period from total retention and retain for the balance in either Records Center or Archives.

Cut off at end of each _____, then,

Maintain in office _____ years/months for day-to-day operation, then,
Transfer to:
_____ Records Center for _____ years, then destroy
_____ Local holding area for _____ years, then destroy
_____ Archives for permanent retention
_____ Destroy

C. WRITING THE RECORDS RETENTION SCHEDULE

After an agency's records series have been identified, inventoried, and appraised, the Records Officer and/or Records Management Committee can write the formal records retention schedule. This schedule lists all of the agency's records and prescribes how long each records series must be retained. A properly developed records retention schedule can reduce an agency's records keeping costs, will help it in managing the growth of its records, and will provide the agency with a systematic plan for discarding records when their retention requirements are satisfied.

It is recommended the agency Records Officer and/or Records Management Committee use **Form SS ARC 932** to list its records series and their retention requirements. Once the records retention schedule has been written, it is recommended that it be reviewed by the agency's legal department prior to its being sent to the Division of Archives, Records Management, and History for final approval.

Agencies should revise their records retention schedules whenever new records series are created or deleted. It is further recommended that each agency review and update its records retention schedule every five years. Updates and changes to existing retention schedules must be forwarded to the Division of Archives, Records Management, and History for approval.

When writing the records retention schedule, each records series should be written without abbreviations or acronyms and be briefly described and legal citations, if applicable, should be indicated. Secretary of State **Form SS ARC 932** provides space for any special remarks by the form's preparer. The Records Officer, each member of the Records Management Committee, department heads, and others who deal with the agency's records should be provided a copy of the records retention schedule along with the agency's Records Management Manual. At least one updated copy of the retention schedule should be maintained off-site by the agency, in case it is needed during time of a disaster or state of an emergency.

Retention Development: Defining 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 below for endings based on record series type/scenario).

How to end the Definition of ACT:

- See the attached spreadsheet below for more specific information on which definition ending to select.
- To use the spreadsheet, look for the type of 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 might be handled even though they may not have the same retention period. (In most instances, 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 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 Teacher's 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 (agreements) expires or terminates.
Insurance policies	CY or FY	ACT = until end of the CY (FY) in which policy expires or terminates and all claimed have been closed out.

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Record Series	Year Type	Definition of ACTIVE
Vehicle 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 FEMA closes out entire state for event.
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.
Bids (Unsuccessful)	CY or FY	ACT = until end of CY (FY) in which acceptance time closes.
Meeting Recordings	CY	ACT= until end of CY in which the written minutes are adopted.
Log Files	CY	ACT = until end of CY in which generated.
Records that are replaced (Superseded or Revised)	CY or FY	ACT = until end of CY (FY) in which plan/report/record/license/policy is revised or superseded.
Records that have a straight number of years to be held (no closure or trigger event)	CY or FY	ACT= until end of CY (FY) in which created or received.
Employment applications	CY	ACT = until end of CY in which position is filled or posting is closed.
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	AY or CY	ACT = until end of AY (CY) in which student no longer is related.
Bond Records	CY or FY	ACT = until end of CY (FY) in which bond issue is paid off/closed out.
Case Records (Criminal)	CY	ACT = until end of CY in which final adjudication occurs.

Who to contact regarding Designations:

- 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 faxed to (225) 922-1220. If you need to speak to someone, please contact one of our Records Analysts at either (225) 362-5181 or (225) 362-5182, (225) 925-7695 or (225) 925-7552.

Human Resources Related Records Series Retention Guide For Louisiana Agencies

Disclaimer: The recommendations listed below are to be used as a guideline and should not be used without analysis of your agency's operational process and legal requirements being considered. Consult with your agency's attorney to ensure up to date legal guidance. NOTE: This guide does not replace the need for your agency to have an approved **records retention schedule** on file with our office as required by LA. R.S. 44:411 nor does this guide grant permission for such records to be destroyed without an approved **Request for Authority to Dispose of Records** form being processed by our office. Contact the Louisiana State Archives' Records Management Division if you have questions about this document. We can be reached via email at recmgt@sos.la.gov. Our web site address is: [Http://www.sos.louisiana.gov/records](http://www.sos.louisiana.gov/records).

Applications of Non-Hires

Includes: Resumes, applications, interview notes and related memos and correspondence for the position, background checks for unsuccessful candidates, drug tests for unsuccessful candidates.

Total Retention: ACT + 2 CY (Remarks: ACT= until end of CY in which position is filled or closed).

Civil Service Audit Files

Includes: Audit requests, correspondence and responses.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which audit completed).

EEO/Affirmative Action Reports and Files

Includes: reports, requests, correspondence and responses.

Total Retention: ACT + 2 CY (Remarks: ACT= until end of CY in which created or received).

Eligibility Documentation (Office of Group Benefits)

Includes: Documents necessary to prove employee and dependents are eligible to participate in Group Benefit Insurance programs (Health, Life, Dental, and Third Party) and related transmitting correspondence to and from Group Benefits.

Total Retention: ACT + 70CY (Remarks: ACT= until end of CY in which separates from agency).

Grievance Records

Includes: Complaints, records create/used during investigation (interviews, photographs, recordings, video, etc.), correspondence and decision related records.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which matter is closed/final decision rendered).

I-9's

Includes: I-9 forms. Note: Federal Law now allows this record to be maintained electronically but agencies must also comply with La. R.S. 44:39. This series SHOULD NOT be maintained in each personnel file but in a file Alphabetically (or by Social Security number) by employee. When employees leave the form should be moved to a close out file by year (maintained by same file order alpha or SSN) and close out file is destroyed when retention period has been met.

Total Retention: ACT + 3 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Job Specs/Position Descriptions

Includes: job specifications and position descriptions and related records used to maintain current positions.

Total Retention: ACT + 5 CY (Remarks: ACT = until end of CY record superseded or discontinued).

Job Study Files

Includes: Study requests, correspondence, records created/used during study (interviews, research, etc.) questionnaire responses and decision related records.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which study is completed completed).

Layoff/Layoff Avoidance/Reduction in Force Files

Includes: plans, decision related record, correspondence, records created/used during approval and notification process, and responses.

Total Retention: ACT + 3 CY (Remarks: ACT= until end of CY in which created or received).

Life Insurance Files

Includes: documentation of employee acceptance/sign up for actual plan.

Total Retention: ACT + 70CY (Remarks: ACT= until end of CY in which employee separates from agency).

Organizational Charts/Reporting Structures

Includes: charts, narratives, reports, lists

Total Retention: ACT + 10CY (Remarks: ACT= until end of CY in which agency ceases to operate).

Payroll Related Records

NOTE: Any record related to payroll is managed on a calendar year basis even if agency is funded on a fiscal or academic year basis.

Payroll Records:

Includes: Time and Attendance records, Time Sheets, leave requests, payroll reports, time cards, and prior payroll adjustments.

For agencies NOT paying into Teacher's Retirement

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which created or received).

For agencies paying into Teacher's Retirement-

Total Retention: ACT + 30 CY (Remarks: ACT = until end of CY in which employee separates from agency).

Legend: CY = Calendar Year (Jan 1- Dec. 31); FY = Fiscal Year (July 1-Jun 30). Updated April 2015

Payroll Tax related Records:

Includes: Correspondence related to payroll tax records, W-2's, 941's, 1099, W-4's, L-4's, direct deposit/paycheck deduction authorizations (especially those part of a cafeteria plan), garnishments, and bank authorizations.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which date tax paid or due whichever is later.)

Personnel Files**Personnel - Vital Information**

Includes: Comprehensive Employee Notification Forms, FLSA Overtime agreement form, 6.5g requests, salary calculations, Deferred Comp option for LASERS, Adjusted Service Date form, All retirement forms (enrollment, changes, beneficiaries, air-time, refunds, any LASERS, TRSL, LSERS form) employee retirement contribution reports (member statements with year to date contributions, copies of driver's license, birth certificates, death certificates, marriage license, name changes, all OGB documents (enrollment, changes, terminations, etc), all life insurance documents (enrollment, changes, terminations, beneficiaries), and military status form (DD-214). NOTE: The Equal Pay Act of 2009 (federal) requires each employer to maintain information on the rate of pay and the job title for each employee (classified, unclassified, full-time, part-time, student, retired or deceased) in the event that a pay discrimination suit is filed. To comply we recommend that agencies maintain every pay rate change and job title change for each employee (and maintain records that show such information for those former employees whose information may not already appear in their personnel file).

Total Retention: ACT + 70 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Personnel File – Non-Vital

Includes: current personnel data (name, home address, phone) application for employment, background check, authorization for former employers to release information, orientation checklists, agency policy acknowledgements, training and development records, commendations and reprimands, Authorization to fill, Personnel Action Requests, New Employee Request forms, Offer of Employment, Job Appointment justifications, Certification documents, restricted appointment documents, selective service certification, appointment affidavits, pre-employment checklists, disciplinary actions, deferred compensation (non-LASERS related), Transcripts, Requests and Reports related to Criminal background checks, Performance evaluations, FMLA files, medical files (including drug tests, disability claims, fitness for duty documentation, claim form, etc.), work schedule change forms, and International ACH transaction attestations. NOTE: These records may be maintained in separate files but have same retention.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Performance Evaluation System/Employee Rating Files

Includes: Annual PES Evaluations and reviews, related correspondence and documentation.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Legend: CY = Calendar Year (Jan 1- Dec. 31); FY = Fiscal Year (July 1-Jun 30). Updated April 2015

Performance Evaluation System/Employee Rating Files- Planning Records

Includes: Annual PES Planning sessions that are superseded by annual evaluation and reviews.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which created or received).

Policies and Procedures (Agency wide and Internal Department)

Includes: Published policies and procedures (maintain at least one copy of each even if superseded), related correspondence or memoranda that documents the purpose or need for change (also can be listed under Administrative Correspondence).

Total Retention: PERMANENT

Promotional/Job Vacancy Announcements/Lists

Includes: applications, preferred lists, referrals, eligibility lists, SF-9's, and resumes and related correspondence.

Total Retention: ACT + 2 CY (Remarks: ACT= until end of CY in which position is filled or closed).

Service Cards

Includes: Service Cards, Master Index of Employee Work History/appointments.

Total Retention: ACT + 70 CY (Remarks: ACT= until end of CY in which employee separates from agency).

Supervisor's File

Includes: Employee Position Descriptions, application information, Performance evaluation planning forms and related documentation, counseling records and training records.

If includes counseling for substance abuse

Total Retention: ACT + 2 CY (Remarks: ACT= until end of CY in which supervision ends).

If file does not include counseling for substance abuse

Total Retention: ACT + 1 CY (Remarks: ACT= until end of CY in which supervision ends).

Worker's Compensation Records

Includes: Initial Report, related correspondence, invoices, reports and related claim records.

Total Retention: ACT + 5 CY (Remarks: ACT= until end of CY in which settlement is reached).

Records Retention Schedule

Louisiana Secretary of State, Division of Archives, Records Management and History
 Post Office Box 94125, Baton Rouge, LA 70804

SS ARC 932 (01/12)

Page 1 of 1

Http://www.sos.la.gov

Indicate Use of Form
 ___ ORIGINAL SUBMISSION
 ___ RENEWAL
 ___ REPLACEMENT PAGE
 ___ ADDENDUM PAGE

Agency No	Agency / Division / Section	SAMPLE Department Human Resources Retention Schedule Guide							State Records Center	Security	Archival	State Records Center	Vital	
		Item Number	Records Series Title	Retention Period			Total Retention	Security Use						Vital Record Identification Code
				In Office	In Storage	In Retention								
1	Applications (Non-Hires)	ACT + 2 CY			ACT + 2 CY	M	S	N	I			ACT = until end of CY in which position filled or closed.		
2	Civil Service Audit Files	ACT + 5 CY			ACT + 5 CY	M	S	N	I			ACT = until end of CY in which audit completed.		
3	EEO/Affirmative Action Reports/Files	ACT + 2 CY			ACT + 2 CY	P	S	N	I			ACT = until end of CY created or received.		
4	Eligibility Documentation	ACT + 70 CY			ACT + 70 CY	C	S	N	V			ACT = until end of CY in which employee separates from agency.		
5	Grievance Records	ACT + 5 CY			ACT + 5 CY	M	S	N	I			ACT = until end of CY in which matter is closed/final decision rendered.		
6	Group Benefits Open Enrollment Materials (non-employee specific)	ACT + 1 CY			ACT + 1 CY	P	S	N	U			ACT = until end of CY in which enrollment ends.		
7	I-9's	ACT + 3 CY			ACT + 3 CY	C	S	N	V			ACT = until end of CY in which employee separates from agency.		
8	Job Studies	ACT + 5 CY			ACT + 5 CY	M	S	N	I			ACT = until end of CY in which study is completed.		
9	Layoff/Layoff Avoidance/Reduction in Force Files	ACT + 3 CY			ACT + 3 CY	M	S	N	I			ACT = until end of CY in which created or received.		
10	Life Insurance Files (employee Specific)	ACT + 70 CY			ACT + 70 CY	C	S	N	V			ACT = until end of CY in which employee separates from agency.		
Permitted Retention Period Abbreviations ACT – Active Period (when used define term in remarks column) FY- Fiscal Year (July 1- June 30) CY – Calendar Year (Jan 1 – Dec 31) AY – Academic Year (Aug 1 – July 31) FFY – Federal Fiscal Year (Oct 1 – Sept 30) MO – Months WK – Week DY - Day(s) PERM – Permanent														
Security Status Codes P – Public Record M – May Contain Confidential Information C – Confidential Information						State Records Center Use Y – Yes N – No			Agency Abbreviations EEO= Equal Employment Opportunity I-9 = Proof of Eligibility to work in United States					
Archival Processing Codes A – Transfer to State Archives R – Retain in Agency Archives S – Review by State Archives O – Other (Specify in Remarks)						Vital Record Identification Code V= Vital I = Important U= Useful								

Agency Approval
Date Signed
Secretary of State, State Archives & Records Services
Date Approved

Records Retention Schedule

Louisiana Secretary of State, Division of Archives, Records Management and History
 Post Office Box 94125, Baton Rouge, LA 70804

Agency No	Agency / Division / Section	SAMPLE Department Human Resources Retention Schedule Guide				Security	Archival	State Records Center	Vital	Indicate Use of Form ___ ORIGINAL SUBMISSION ___ RENEWAL ___ REPLACEMENT PAGE ___ ADDENDUM PAGE	Remarks
		Records Series Title	In Office	In Storage	Total Retention						
11	Organizational Charts/Reporting Structures	ACT + 10 CY		ACT + 10 CY	P	S	N	I	ACT = until end of CY in which agency ceases to operate.		
12	Payroll- Non-TRSL related	ACT + 5 CY		ACT + 5 CY	M	S	N	V	ACT = until end of CY created or received.		
13	Payroll – TRSL related	ACT + 30 CY		ACT + 30 CY	C	S	N	V	ACT = until end of CY employee separates from agency.		
14	Payroll Tax Records	ACT + 5 CY		ACT + 5 CY	C	S	N	V	ACT = until end of CY in which date tax paid or due whichever is later.		
15	Personnel – Vital Information Files	ACT + 70 CY		ACT + 70CY	M	S	N	V	ACT = until end of CY employee separates from agency.		
16	Personnel – Non-Vital Information Files	ACT + 5 CY		ACT + 5 CY	M	S	N	V	ACT = until end of CY employee separates from agency.		
17	Performance Evaluation System/Employee Rating Files – Planning Records	ACT + 5 CY		ACT + 5 CY	M	S	N	I	ACT = until end of CY created or received.		
18	Performance Evaluation System/Employee Rating Files	ACT + 5 CY		ACT + 5 CY	C	S	N	I	ACT = until end of CY employee separates from agency.		
19	Policies and Procedures (Agency Wide and Internal Department)	ACT + 10 CY		ACT + 10 CY	P	S	N	V	ACT = until end of CY in which agency ceases to operate.		
20	Promotional/Job Vacancy Announcements/Lists	ACT + 2 CY		ACT + 2 CY	M	S	N	V	ACT = until end of CY in which position is filled or closed.		
Permitted Retention Period Abbreviations		ACT – Active Period (when used define term in remarks column) FY- Fiscal Year (July 1- June 30) CY – Calendar Year (Jan 1 – Dec 31) AY – Academic Year (Aug 1 – July 31) FFY – Federal Fiscal Year (Oct 1 – Sept 30) MO – Months WK – Week DY - Day(s) PERM – Permanent				Security Status Codes P – Public Record M – May Contain Confidential Information C – Confidential Information Archival Processing Codes A – Transfer to State Archives R – Retain in Agency Archives S – Review by State Archives O – Other (Specify in Remarks)		State Records Center Use Y – Yes N - No Vital Record Identification Code V= Vital I = Important U= Useful		Agency Abbreviations TRSL = Teacher Retirement System of Louisiana	

Agency Approval
Date Signed
Secretary of State, State Archives & Records Services
Date Approved

Records Retention Schedule

SS ARC 932 (07/07) R2013-025

Louisiana Secretary of State, Division of Archives, Records Management and History
 Post Office Box 94125, Baton Rouge, LA 70804

<http://www.sos.la.gov>

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Agency No	Agency / Division / Section	Secretary of State/Archives and Records/Records Management				Security	Archival	State Records Center	Vital
		Records Series Title							
Item Number	Records Series Title	Retention Period			Total Retention	Security	Archival	State Records Center	Vital
		In Office	In Storage						
1	Agency Retention Schedules	PERM			PERM	P	A	N	V
2	Agency History Files	Act + 5 FY			PERM	M	A	N	I
3	Agency Retention Schedule Work Papers (includes drafts)	Act	5 FY		Act + 5 FY	M	S	Y	U
4	Records Officer Liaison Designations	Act + 3 FY	3 FY		Act + 6 FY	P	S	Y	V
5	Agency Disposal Requests	Act	5 FY		Act + 5 FY	M	S	Y	U
6	Secretary of State Disposal Requests	Act + 10 FY			PERM	M	A	N	I
7	Disposal Request Logs	Act + 9 FY			Act + 9 FY	P	S	N	I
8	Retention Schedule Approval Logs	Act + 6 FY			Act + 6 FY	P	S	N	I
9	Program Workshops/Seminar Files (handouts, attendance figures, and schedules)	Act + 3 FY			PERM	P	A	N	U
10	Program Workshops/Seminar Work Papers (includes registration and correspondence)	Act + 2 FY	3 FY		Act + 5 FY	P	S	Y	U

Indicate Use of Form
 ORIGINAL SUBMISSION
 RENEWAL
 REPLACEMENT PAGE
 ADDENDUM PAGE

Remarks

Obsolete Schedules moved to Agency History Files

Transfer to Archives 5 FY after agency is abolished

Act = Until end of FY in which schedule is approved

Act = Until end of FY in which created or received

Act = Until end of FY in which disposal was approved

Act = Until end of FY in which created or received
Transfer to Archives

Act = Until end of FY in which created or received

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Permitted Retention Period Abbreviations
 ACT – Active Period (when used define term in remarks column)
 FY – Fiscal Year (July 1 - June 30)
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Security Status Codes
 P – Public Record
 M – May Contain Confidential Information
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Archival Processing Codes
 A – Transfer to State Archives
 R – Retain in Agency Archives
 S – Review by State Archives
 O – Other (Specify in Remarks)

State Records Center Use
 Y – Yes
 N – No

Vital Record Identification Code
 V = Vital
 I = Important
 U = Useful

 3/28/13
 Agency Approval
 Date Signed

 3/28/13
 Secretary of State, State Archives & Records Services
 Date Approved

Records Damage Assessment Worksheet

Key Points:

- Each State Agency (see La. R.S. 44:402 for definition) is required by La. R.S. 44:411 to notify the State Archives in the event their records are damaged or under the threat of being damaged.
- Notifications are made using the Records Damage Assessment Worksheet form (SSARC -980) that can be found on our [Get Forms](#) section for the Records Management area of the Secretary of State's website (www.sos.la.gov/records).
- The Records Management area of the Secretary of State's website also has a page for [Disaster Preparation and Recovery Information](#) that including information on various aspects of recovering damaged records in various formats.
- It is important that your agency document your damage to prove the need for recovery services (worksheet combined with pictures and records retention schedule with Vital or Important Status can provide FEMA administrative need to recover records) or to request permission to destroy records that cannot be recovered or have met their retention and need to be discarded.
- This form works in conjunction with the Request for Authorization to Dispose of Records (SSARC-930) which may be required if records are to be destroyed with or without being converted to another format.
- Once the form has been completed, agencies should send a copy as soon as possible to the State Archives Records Management Program (see *Method of Submission* below).
- Agencies should also maintain a copy with your agency's records retention schedules and disposal authorizations as documentation of what has happened.

Completing the Form:

- Read and/or review the Louisiana State Archives | Records Management Program | Procedures document for the Records Damage Assessment Form (SSARC-980P).
- Procedures for completing forms can be found on the [Get Forms](#) section of the Records Management area of the Louisiana Secretary of State's website. Visit <http://www.sos.la.gov/records> to access this information.

Method of Submission:

- Completed worksheet forms can be submitted to the Records Management program via email to recmgt@sos.la.gov (Disaster Response in the Subject line); by fax to (225) 922-1220 Attn: Records Management or via U.S. mail to: Records Management (ATTN: Disaster Response), Secretary of State, P.O. Box 94125, Baton Rouge, LA 70804.
- If submitting by email or fax, it is NOT necessary to mail the original.

Who to contact regarding Designations:

- Agencies that have a question regarding damaged records, disaster preparation or recovery should be sent via email to recmgt@sos.la.gov or faxed to (225) 922-1220 or (225) 922-0002. If you need to speak to someone, please contact either the Records Policy Planner at (225) 925-7552 or Archives section Supervisor at (225) 922-1218.

Records Damage Assessment Worksheet

About the Form:

- The Records Damage Assessment Worksheet form (SSARC-980) can be found on the [Get Forms](#) page for the Records Management area of the Louisiana Secretary of State's website.
- Guidance about what agencies need to know about the form and how to submit it can be found on the [View Resources](#) page. Visit <http://www.sos.la.gov/records> to access the Records Management area.
- Please remember to **type or print the information you provide** on the Assessment Worksheet form.
- Once the worksheet is completed, send a copy to the Louisiana State Archives- Records Management Program (Attn: Disaster Response) as soon as it is possible. Also maintain a copy with your agency's record retention schedules and disposal authorizations as documentation of what has happened.
- If your agency is unable to send the form immediately, you are strongly encouraged to contact the Records Policy Planner at (225) 925-7552 or Archives Section Supervisor at (225) 922-1218 during normal business hours to report the disaster.

Completing the Form:

1. **Prepared by:** Provide the name(s) of the person(s) who physically inspected the records or provided information in completing the worksheet. Include contact phone number and email address. Indicate if phone number is a cell.
2. **Date:** Date the records were inspected.
3. **State or Local Entity:** Name of the agency being inspected.
4. **Parish:** The parish where the inspection took place.
5. **Location:** The physical address, building, floor, and/or room where the records were inspected.
6. **Type of Damage:** Select all types of damage that apply. Most are self-explanatory.
 - a. Note the difference between Clean Water and Dirty Water. The difference between the two is that Clean Water comes from cleaner sources (Fire suppression systems, rain through windows/roofs) than Dirty Water that comes from flooding, sewage back up, etc. This is important because of the additional hazards they can present.
 - b. Debris/Torn: Select this type if the records have residue from debris such as ceiling tile on them or if they were ripped, torn, dented, scratched in the incident.
 - c. If the building in which the records were found has had no power and had some sort of water/building damage, select heat/humidity in addition to any other types selected.
7. **Types of Materials Damaged:** Select all types that are found and damaged. Most are self-explanatory. If in doubt, select other and describe the material damaged.
8. **Replacement/Back Up Salvage:**
 - a. Materials over 50 years old: Select yes if the damaged materials are over 50 years old. If you are certain the records are less than 50 years old, then select no. For microfilm/microfiche, select this if the images on the film are over 50 years old (not the film stock itself). If unsure, indicate that in the space provided after Explain.
 - b. Are materials Replaceable: do backups, other copies or other sources for the materials exist? If so, then select yes. If unsure indicate that in the space provided after Explain.
 - c. Can backup copies be used and Originals destroyed: Select yes, if the backup copy has been located and is determined to be acceptable as a replacement. If not, select no.
 - i. Salvage done in house: Answer yes, if the agency feels they can recover the records on their own. If not, select no. Outside Help needed? Answer yes if records may have been contaminated, or the volume of records impacted require outside assistance.
9. **Comments:** Use this space to note any special details about the records that may impact an assessment of the records such as: The records series impacted, the retention value of the record series impacted (if known); if the records contain confidential information and level of damage. If not yet scheduled, any law the agency knows of that may impact the assessment of the record (requirements to maintain record or that record has met its retention requirement).

Records Damage Assessment Worksheet

Prepared by (with Contact Phone Number/Email)		Date																								
State or Local Entity	Parish																									
Location (Street Address /Building/Floor/Room) of Damage/Area																										
Type of Damage <table style="width: 100%; margin-top: 10px;"> <tr> <td><input type="checkbox"/> Fire</td> <td><input type="checkbox"/> Clean Water (Fire Suppression/Roof Leak)</td> </tr> <tr> <td><input type="checkbox"/> Smoke</td> <td><input type="checkbox"/> Dirty Water (Sewer/Flood)</td> </tr> <tr> <td><input type="checkbox"/> Soot</td> <td><input type="checkbox"/> Heat/Humidity</td> </tr> <tr> <td><input type="checkbox"/> Mold/Mildew</td> <td><input type="checkbox"/> Debris/Torn</td> </tr> <tr> <td><input type="checkbox"/> Computer Virus</td> <td><input type="checkbox"/> Ransomware/Computer Hack</td> </tr> <tr> <td><input type="checkbox"/> Other _____</td> <td></td> </tr> </table>			<input type="checkbox"/> Fire	<input type="checkbox"/> Clean Water (Fire Suppression/Roof Leak)	<input type="checkbox"/> Smoke	<input type="checkbox"/> Dirty Water (Sewer/Flood)	<input type="checkbox"/> Soot	<input type="checkbox"/> Heat/Humidity	<input type="checkbox"/> Mold/Mildew	<input type="checkbox"/> Debris/Torn	<input type="checkbox"/> Computer Virus	<input type="checkbox"/> Ransomware/Computer Hack	<input type="checkbox"/> Other _____													
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<input type="checkbox"/> Other _____																										
Types of Materials Damaged <table style="width: 100%; margin-top: 10px;"> <tr> <td><input type="checkbox"/> Storage Boxes</td> <td><input type="checkbox"/> Photographs</td> </tr> <tr> <td><input type="checkbox"/> Microfilm</td> <td><input type="checkbox"/> Magnetic Tapes (audio/data/video)</td> </tr> <tr> <td><input type="checkbox"/> Microfiche</td> <td><input type="checkbox"/> Magnetic Hard Disks</td> </tr> <tr> <td><input type="checkbox"/> Aperture Cards</td> <td><input type="checkbox"/> Magnetic Floppy Disks</td> </tr> <tr> <td><input type="checkbox"/> X-rays</td> <td><input type="checkbox"/> File Folders/Loose Papers</td> </tr> <tr> <td><input type="checkbox"/> Bound Volumes</td> <td><input type="checkbox"/> Film Negatives (Color or Black and White)</td> </tr> <tr> <td><input type="checkbox"/> Other _____</td> <td></td> </tr> </table>			<input type="checkbox"/> Storage Boxes	<input type="checkbox"/> Photographs	<input type="checkbox"/> Microfilm	<input type="checkbox"/> Magnetic Tapes (audio/data/video)	<input type="checkbox"/> Microfiche	<input type="checkbox"/> Magnetic Hard Disks	<input type="checkbox"/> Aperture Cards	<input type="checkbox"/> Magnetic Floppy Disks	<input type="checkbox"/> X-rays	<input type="checkbox"/> File Folders/Loose Papers	<input type="checkbox"/> Bound Volumes	<input type="checkbox"/> Film Negatives (Color or Black and White)	<input type="checkbox"/> Other _____											
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<input type="checkbox"/> Other _____																										
Replacement/Backup/Salvage (Use additional pages if necessary for explanations) <table style="width: 100%; margin-top: 10px;"> <tr> <td style="width: 60%;">Are Damaged Materials older than 50 years?</td> <td style="width: 20%;"><input type="checkbox"/> Yes</td> <td style="width: 20%;"><input type="checkbox"/> No</td> </tr> <tr> <td>Explain _____</td> <td></td> <td></td> </tr> <tr> <td>Are Damaged Materials Replaceable?</td> <td><input type="checkbox"/> Yes</td> <td><input type="checkbox"/> No</td> </tr> <tr> <td>Explain _____</td> <td></td> <td></td> </tr> <tr> <td>Can Backup Copy be Used and Original Discarded?</td> <td><input type="checkbox"/> Yes</td> <td><input type="checkbox"/> No</td> </tr> <tr> <td>Explain _____</td> <td></td> <td></td> </tr> <tr> <td style="text-align: right;">Salvage Done In-House?</td> <td><input type="checkbox"/> Yes</td> <td><input type="checkbox"/> No</td> </tr> <tr> <td style="text-align: right;">Outside Help Required?</td> <td><input type="checkbox"/> Yes</td> <td><input type="checkbox"/> No</td> </tr> </table>			Are Damaged Materials older than 50 years?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Explain _____			Are Damaged Materials Replaceable?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Explain _____			Can Backup Copy be Used and Original Discarded?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Explain _____			Salvage Done In-House?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Outside Help Required?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
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Outside Help Required?	<input type="checkbox"/> Yes	<input type="checkbox"/> No																								
Comments																										

Maintain original with your agency's retention schedules and disposal authorizations. When it is possible to do so, a copy should be sent to the State Archives – Records Management Attn: Disaster Response, to: P.O. Box 94125, Baton Rouge, LA 70804. Agencies are strongly encouraged to contact the State Archives at (225) 925-7552 or (225) 922-1218 during normal business hours to report any disaster impacting their records.

Appendix F

Salvage at a Glance

Material	Priority	Handling Precautions	Packing Method	Drying Method
Paper Documents & Manuscripts				
Stable media	Freeze or dry within 48 hours.	Don't separate single sheets.	Interleave between folders and pack in milk crates or cartons.	Air, vacuum or freeze dry.
Soluble inks (felt pens, colored pens, ball point pens)	Immediately freeze or dry.	Do not blot.	Interleave between folders and pack in milk crates or cartons.	Air or freeze dry.
Maps & Plans				
Stable media	Freeze or dry within 48 hours.	Use extra caution if folded or rolled.	Pack in map drawers, bread trays, flat boxes, on heavy cardboard or poly-covered plywood.	Air or freeze dry.
Soluble media: Maps and plans by photoreproductive processes, hand-colored maps	Immediately freeze or dry.	Do not blot.	Interleave between folders and pack as above.	Air or freeze dry.
Drafting linens	Immediately freeze or dry.	Avoid pressure. Inks can smear away	Pack like maps in containers lined with plastic.	Air or freeze dry. Air dry by separating sheets and interleaving.
Maps on coated papers	Immediately freeze or dry.		Pack like maps in containers lined with plastic.	Freeze drying preferred.
Books				
Books and pamphlets	Freeze or dry within 48 hours.	Do not open or close; do not separate covers.	Separate with freezer paper, and pack spine down in milk crate or cardboard box 1 layer deep.	Air, vacuum, or freeze dry.
Leather and vellum bindings	Immediately dry; or freeze if many books.	Do not open or close; do not separate covers.	Separate with freezer paper, pack spine down in milk crate or cardboard box 1 layer deep.	Air dry.
Books and periodicals with coated papers	Immediately freeze or dry.	Do not open or close; do not separate covers.	Keep wet; pack spine down in containers lined with garbage bags.	Freeze drying preferred. Air dry by fanning pages and interleaving.

Appendix F

Material	Priority	Handling Precautions	Packing Method	Drying Method
Parchment & Vellum Manuscripts				
	Immediately freeze or dry.		Interleave between folders. Pack oversize materials flat.	Air or freeze dry. Do not freeze dry gilded or illuminated manuscripts.
Works of Art on Paper				
Prints and drawings with stable media	Freeze or dry within 48 hours.	Don't separate single sheets.	Interleave between folders and pack in milk crates or cartons.	Air, vacuum, or freeze dry
Oversize prints and drawings	Freeze or dry within 48 hours.	Use extra caution if folded or rolled.	Pack in map drawers, bread trays, flat boxes, on heavy cardboard or poly-covered plywood.	Damp—air or freeze dry. Wet—freeze drying preferred.
Framed prints and drawings	Freeze or dry within 48 hours.	Handle with care - glass.	Unframe if possible, then pack as above.	Once unframed and unmatted, air or freeze dry.
Soluble media: Watercolors, soluble inks, and hand colored prints	Immediately freeze or dry.	Do not blot.	Interleave between folders and pack in milk crates or cartons.	Air or freeze dry.
Coated papers (e.g., posters)	Immediately freeze or dry.		Keep wet in containers lined with garbage bags.	Freeze drying preferred. Air dry by separating pages and interleaving.
Paintings				
	Immediately dry.	Drain and carry horizontally.	Face up without touching paint layer.	Air dry.
Computer Media				
Tapes	Immediately rinse off tapes soaked by dirty water. Dry within 48 hours if paper boxes and labels; otherwise, tapes can stay wet for several days. Do not freeze.	Do not touch magnetic media with bare hands. Handle open reel tapes by hubs or reel.	Keep tapes wet in plastic bags. Pack vertically in plastic crate or tub.	Air dry or test vacuum drying without heat.
Floppy Disks	Immediately pack. Do not freeze.	Do not touch disk surface with bare hands.	Keep wet. Pack vertically in plastic bags or tubs of cold water.	Air dry.
Compact Discs & CD ROMs				
	Immediately dry discs. Dry paper enclosures within 48 hours.	Do not scratch the surface.	Pack vertically in crates or cardboard cartons.	Air dry.

Appendix F

Material	Priority	Handling Precautions	Packing Method	Drying Method
Sound and Video Recordings				
Sound and Videotapes	Immediately rinse off tapes soaked by dirty water. Dry within 48 hours if paper boxes and labels; otherwise, tapes can stay wet for several days. Do not freeze.	Do not touch magnetic media with bare hands.	Keep tapes wet in plastic bags. Pack vertically in plastic crate or tub.	Air dry or test vacuum drying without heat.
Shellac and Acetate Discs	Immediately dry. Dry enclosures within 48 hours.	Discs are very fragile. Hold discs by their edges. Avoid shocks.	Pack vertically in ethafoam-padded crates.	Air dry, preferably with a record cleaning machine.
Vinyl Discs	Dry within 48 hours. Freezing is untested; if it is necessary, freeze at above -18° C (0° F). Freeze or dry enclosures within 48 hours.	Hold discs by their edges. Avoid shocks.	Pack vertically in ethafoam-padded crates.	Air dry, preferably with a record cleaning machine.
Black & White Prints				
Albumen prints	Freeze or dry within 48 hours.	Do not touch binder with bare hands.	Interleave between groups of photographs.	Air dry; thaw and air dry.
Matte and glossy collodion prints	Freeze or dry within 48 hours.	Avoid abrasion. Do not touch binder with bare hands.		Air dry; thaw and air dry; or freeze dry.
Silver gelatin printing out and developing out papers	Freeze or dry within 48 hours.	Do not touch emulsion with bare hands.	Keep wet. Pack in plastic bags inside boxes.	Order of preference: 1) air dry, 2) thaw and air dry, 3) freeze dry. Do not vacuum dry.
Carbon prints and Woodburytypes	Immediately freeze or dry.	Handle carefully – swelling of binder.	Horizontally	Air dry or thaw and air dry.
Photomechanical prints (e.g., collotypes, photogravures) Cyanotypes	Freeze or dry within 48 hours.	Do not separate single sheets	Interleave every 2 inches and pack in boxes or crates.	Air dry or freeze dry.
Color Photographs				
Dye transfer prints	Package to prevent damage – recovery rate is poor. Immediately dry.	Do not touch emulsion.	Transport horizontally.	Air dry face up.
Chromogenic prints and negatives	Freeze or dry within 48 hours.	Do not touch binder with bare hands.	Keep wet. Pack in plastic bags inside boxes.	Order of preference: 1) Air dry, 2) thaw and air dry, 3) freeze dry. Do not vacuum dry.

Appendix F

Material	Priority	Handling Precautions	Packing Method	Drying Method
Cased Photographs				
Ambrotypes Pannotypes	Recovery rate is low. Immediately dry.	Handle with care – glass supports and extremely fragile binder.	Horizontally in a padded container	Air dry face up. Never freeze.
Daguerreotypes	Immediately dry.	Handle with care – fragile surface, cover glass.	Horizontally in a padded container	Air dry face up. Never freeze.
Tintypes	Immediately dry.	Handle with care – fragile binder.	Horizontally	Air dry. Never freeze.
Negatives				
Wet collodion glass plates	Recovery rate is low. Immediately dry.	Handle with care – glass supports and fragile binder.	Horizontally in a padded container	Air dry face up. Never freeze.
Gelatin dry plate glass negatives	Freeze or dry within 48 hours.	Handle with care – glass.	Keep wet. Pack in plastic bags, vertically in a padded container.	Air drying preferred; or thaw and air dry; freeze dry.
Deteriorated nitrates with soluble binders	Immediately freeze or dry. Recovery rate may be low.	Do not blot.	Horizontally	Air dry; thaw and air dry; test freeze drying.
Deteriorated acetates	Immediate freeze or dry. Recovery rate is low.	Handle carefully – swelling of emulsion.	Horizontally	Air dry; thaw and air dry; test freeze drying.
Polyester-based film, nitrates, and acetates in good condition	Freeze or dry within 48 hours.	Do not touch emulsion with bare hands.	Keep wet. Pack in small plastic bags inside boxes.	Order of preference: 1) Air dry, 2) thaw and air dry, 3) freeze dry. Do not vacuum dry.
Transparencies				
Lantern slides, silver gelatin	Freeze or dry within 48 hours.	Handle with care – loose binding tapes and glass.	Vertically in a padded container	Air drying preferred; thaw, and air dry.
Color Transparencies				
Additive color transparencies (most are glass) Autochromes, Agfacolor, Dufaycolor	Package to prevent damage – recovery rate is very poor. Immediately dry.	Handle with care – loose binding tapes and glass.	Horizontally in a padded container	Air dry. Never freeze.
Chromogenic color transparencies, Mounted color slides and sheet films	Freeze or dry within 48 hours.	Handle by mounts or edges.	Keep wet. Pack in plastic bags inside box.	Order of preference: 1) Air dry in mounts if possible. 2) thaw and air dry, 3) freeze dry. Do not vacuum dry.

Appendix F

Material	Priority	Handling Precautions	Packing Method	Drying Method
Motion Pictures				
	Rewash and dry within 48 hours.		Keep wet. Pack in plastic pails or cardboard cartons lined with garbage bags.	Arrange with a film processor to rewash and dry.
Microforms				
Microfilm rolls	Rewash and dry within 48 hours.	Do not remove from boxes; hold carton together with rubber bands	Keep wet. Pack (in blocks of 5) in a cardboard box lined with garbage bags.	Arrange with a microfilm processor to rewash and dry.
Aperture cards	Freeze or dry within 48 hours.		Keep wet. Pack in plastic bags inside boxes.	Air dry, or thaw and air dry.
Jacketed microfilm	Freeze or dry within 48 hours.		Keep wet. Pack in plastic bags inside pail or box.	Air dry, or thaw and air dry.
Diazo and vesicular microfiche	Freeze or dry within 48 hours.		Interleave between envelopes and pack in milk crates or cartons.	Air dry, or freeze, thaw, and air dry.

This chart was originally published as an insert to the *WAAC Newsletter*, Vol. 19, No. 2 (May 1997), Betty Walsh, author, and Carolyn Tallent, editor. It was modeled on a table written by Julia Niebuhr Eulenberg, *Handbook for the Recovery of Water-Damaged Business Records* (Prairie Village, Kansas: ARMA International, 1986, out of print), 47-48. Used with permission of the author.

Appendix G

Drying Techniques for Water-Damaged Books and Records

Technique	Procedure	Speed	Direct Cost	Staff & Labor	Availability	Results
Air Drying	Items dried by circulating air in a low-temperature, low-humidity space	Days or weeks	Negligible	High	Very good	<ul style="list-style-type: none"> • swelling • cockling • blocking • inks running • mold threat
Dehumidification	Large, commercial dehumidifiers installed to dry building, furnishings, and collections <u>in situ</u>	Varies		Low	Good	<ul style="list-style-type: none"> • limited cockling, if used only on damp items
Freezer Drying	Items placed in self-defrosting freezer (under 10 degrees F) are frozen, then ice is slowly sublimated	Weeks or months	Negligible (if done at home)	Moderate	Very good	<ul style="list-style-type: none"> • swelling • blocking
Vacuum Thermal Drying	Items placed in chamber; vacuum drawn; heat introduced to melt and/or "boil out" water	4-6 weeks per load	\$3-5 per volume	Low	Good	<ul style="list-style-type: none"> • Potential • swelling • cockling • inks running • blocking • damage to film media
Vacuum Freeze Drying	Frozen items placed in chamber; vacuum drawn; small amount of heat introduced (below 32 degrees F); ice crystals drawn out by sublimation	1-2 weeks per load		Low	Good	<ul style="list-style-type: none"> • leather and vellum may warp • photos may lose gloss

Excerpted from Southeastern Library Network's *Drying Techniques for Water-Damaged Books and Records*. Atlanta: Southeastern Library Network, no date. Available at http://www.solinet.net/preservation/preservation_template.cfm?doc_id=115. (Accessed 10 March, 2003). Used with permission.

Risk Probability and Impact of loss or damage to records				
Impact	High	<ul style="list-style-type: none"> • Protect VR • Recovery Procedures in plan 	<ul style="list-style-type: none"> • Protect VR • Reduce Risks • Recovery Procedure in plan 	<ul style="list-style-type: none"> • Protect VR • Reduce Risks • Recovery procedures in plan
	Medium	<ul style="list-style-type: none"> • Recovery procedures in plan for important Records 	<ul style="list-style-type: none"> • Reduce Risks where possible • Recovery procedures in plan for important records 	<ul style="list-style-type: none"> • Reduce Risks • Recovery procedures in plan for important Records
	Low	<ul style="list-style-type: none"> • Accept and monitor risks 	<ul style="list-style-type: none"> • Protect useful and important records through management procedures 	<ul style="list-style-type: none"> • Protect useful and important records through management procedures.
		Low	Medium	High
Probability				

Source:ANSI/ARMA 5-2003 Page 5, Table 1

Records Retention Schedule

Louisiana Secretary of State, Division of Archives, Records Management and History
 Post Office Box 94125, Baton Rouge, LA 70804

SS ARC 932 (01/12)

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Http://www.sos.la.gov

Agency No	Agency / Division / Section	Records Series Title	Retention Period			Security	Archival	State Records Center	Vital	
			In Office	In Storage	Total Retention					
	Quiz #2 – Sample Agency		ACT+ 1 FY	3 FY	ACT + 3 FY	P	S	Y	I	
	Budget work papers		PERM	0 FY	PERM	P	A	N	V	
	Commission Board Minutes		ACT + 2 FY	1 FY	ACT+ 3 FY	M	S	Y	U	
	1994 Correspondence Files		0 FY	0 FY	PERM	C	R	N	V	
	Eligibility Files		ACT + 1 FY	2 FY	ACT + 3 FY	P	S	Y	U	
	ES-1 Files (including UPS and USPS reports)		ACT+2 FFY	0 FY	ACT+ 1 FY	P	S	N	V	
	Invoices- Grant Related		ACT + 2 FY	0 FY	ACT + 2 FY	P	R	N	U	
	Conservation Publications		ACT + 1 FY	0 FY	ACT + 1 FY	P	S	N	U	
	Spreadsheet Files		PERM	0 FY	PERM	P	R	N	V	
	Neilson Maps		ACT + 1 FY	0 FY	ACT + 1 FY	P	S	N	U	
	Wall Street Journals 2002-2005		ACT + 1 FY	0 FY	ACT + 1 FY	P	S	N	U	
	Permitted Retention Period Abbreviations					State Records Center Use Y – Yes N - No			Agency Abbreviations	
	ACT – Active Period (when used define term in remarks column)									
	FY- Fiscal Year (July 1- June 30)									
	CY – Calendar Year (Jan 1 – Dec 31)									
	AY – Academic Year (Aug 1 – July 31)									
	FFY – Federal Fiscal Year (Oct 1 – Sept 30)									
	MO – Months WK – Week DY - Day(s)									
	PERM – Permanent									

Indicate Use of Form
 ___X___ ORIGINAL SUBMISSION
 ___RENEWAL
 ___REPLACEMENT PAGE
 ___ADDENDUM PAGE

Remarks

ACT= until the end of the FY created or received.
 Image upon arrival. After inspection of images transfer originals to State Archives.
 ACT= until the end of the FY created or received. Screen for Archival Content.
 Imaged upon arrival; then paper moved to warehouse for storage.
 ACT= until the end of the FY created or received.
 ACT= until the end of the FFY grant is closed out.
 ACT= until the end of the FY created or received. Destroy Surplus printed publications after 2 FY. Keep imaged copy permanently.
 ACT= until the end of the FY created or received.
 ACT= until the end of the FY created or received.

