

Records Retention and Records Management Update

Presented by:

Carrie Martin, CRM, CA

Records Management Officer Statewide

Louisiana State Archives

Overview

- What is the purpose of Records Management?
- Review of L.R.S. 44:411
- Definition of a Record
- Developing a Records Retention Schedule
- Records Disposal
- Imaging Surveys and Imaging Exceptions
- Questions

What is Records Management?

- The systematic application of management techniques to the creation, utilization, maintenance, retention, preservation, and disposal of records.
- In other words, whether records act as an asset or a liability in your agency depends on how they are managed.

Purpose of Records Management

- To provide and maintain accurate and complete information as required to manage and operate an agency efficiently;
- Process recorded information as efficiently as possible;
- Provide information and records at the lowest possible cost;
- To provide service to the customer/public.

Records Management Includes:

- Records Creation
- Mail Management
- Forms Management
- Reports Management
- Document Control
- Vital Records
- Micrographics
- Archives Management
- Electronic Records Management
- Correspondence Management
- Retention Scheduling
- Filing Systems
- Reprographics Management
- Legal Compliance
- Imaging
- E-mail Management
- Disaster Planning

L.R.S. 44:411

What You Need to Know

- Develop a retention schedule for your agency and submit it to the State Archives for review and approval.
- Get approval from State Archives prior to the disposal of your agency's records.
- Designate a records officer to act as liaison between the State Archives and your agency on all matters relating to records management.

L.R.S. 44:411

What You Need to Know

- Contact the State Archives in the event that your agency's records are damaged or under a threat of being damaged.
- Contact the State Archives in the event your agency is eliminated or terminated (to arrange for the transfer of the agencies records to the State Archives).
- Prior to the departure of the head of the your agency, make arrangements with State Archives to determine what should be transferred to the State Archives (if anything).

Tools for Success: How Records Management can Help

- Helps identify operational issues that need to be addressed in agency;
- Improves transparency and professionalism;
- Can save time, money and manpower in disaster response situations;
- Protects agency in many legal situations;
- Documents agency's history.

How Do We Get There?

- Appoint a Records Officer annually with State Archives;
- Develop and get an Records Retention schedule approved by State Archives;
- Process Disposal requests on a regular basis;
- Submit imaging survey/imaging exception as needed;
- Develop a disaster recovery and business continuity plan for agency and its records;
- Develop legal hold policy for agency and implement it when needed;
- Review Record Retention schedule for needed changes.

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. *L.R.S. 44:402*

What's a Records Retention Schedule?

- It is a set of disposition instructions prescribing how long, in what location, under what conditions, and in what form records series shall be kept. *L.R.S. 44:402*

What is a Records Series?

It 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)

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.

To Determine Retention Period

Consider for each record series the:

- administrative
- fiscal
- legal and
- archival values.

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 with Variable Retention Requirements

- Records Series that have a variable retention values should use Active to indicate a variable value.

Example: Traffic tickets (non-DWI) would be Active + 1CY in office, 2 CY in storage; destroy after Active + 3 CY; where active = until end of CY in which case closed.

Which Records to Schedule

- All Records should be scheduled:
 - regardless if they stay with your agency and never come to the State Records Center or Archives;
 - regardless of format (paper, electronic, microfilm, held by contractors, etc.);
 - regardless if they are exempt from public viewing.

Recent Changes to Retention Schedule Forms

Four columns added to make schedule easier to read

- Security Status – Method of Disposal
- Archival Status – Final Disposition
- State Records Center Use – Location
- Vital Records Identification – Priority List

Security Status

- 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 Status

- 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

- 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**
- Local Agencies should have an N in this column for each series.

Vital Records Identification

- 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 Definition

- **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.

Important Definition

- **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.

Useful definition

- **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.

Records Disposal

- Agencies are required to get approval to destroy records from State Archives prior to destruction of records (even if records have been scheduled) per L.R. S. 44:411.
 - An expedited disposal process has been developed for records converted from paper to electronic using emails to send and approve disposals.
 - Traditional disposal process still required for when retention periods have been met.

Disposal Process for Converted Records

Convert Records from Paper to Electronic/microfilm

- Use either SS ARC 930 (checking 5b imaging) or use SS ARC 930e to request authority to dispose of paper.
 - Once approval is given paper can be destroyed and electronic is now your original.

Once Retention Period has been met for Electronic Record

- Use SS ARC 930 (checking 5a) retention has been met
 - Once approval is given electronic images can be deleted per retention schedule.

Imaging Survey Requirement

LAC 4:XVII §1305

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

Imaging Survey vs. Imaging Exception

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

Damaged Records

- R.S. 44:411 requires agencies to notify the State Archives when their records are damaged or under the threat of being damaged.
- This requirement allows the State Archives to help agencies assess whether the records can be recovered or can be disposed of in an appropriate manner.
- It also helps document the loss of records for future. This includes fires, floods, pipe breaks, roof leaks, etc.
- The State Archives staff can also assist by providing technical assistance and guidance in securing and properly storing records that have been damaged and need to be salvaged.

Damage Assessment Forms and Resources

- Form, Instructions and advice are available on our website to assist you with addressing damage to your records.
- The SSARC 980 form should be completed and submitted as soon as possible to the State Archives by either fax, email or mail to the Records Management Section.
- Visit our website for more information:
<http://www.sos.la.gov/HistoricalResources/ManagingRecords/DisasterPreparationAndRecoveryInformation/Pages/default.aspx>

Additional Training Available

- The Records Management Section of the State Archives offers free Records Management Training classes on several key topics most months in Baton Rouge at the State Archives.
- Visit the following URL for more information:
<http://www.sos.la.gov/HistoricalResources/ManagingRecords/GetRecordsManagementTraining/Pages/default.aspx>

Additional Information for Purchasing/Contracting Agents

- Prior to Hurricane season, make sure you understand what your procurement procedures are before a storm hits. If you need three bids, can you use a state contract? If so, you need to get a copy of it so that you can prove it went through the proper process for FEMA, etc.
- FEMA records are NOT eligible to be destroyed until 3 years AFTER the FEMA closes out ALL of the STATE PWs, not just yours.
- If in doubt, ask us before you destroy records (even if you convert them from paper to image).

Questions?

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

Carrie Fager Martin, CRM , CA
Records Management Officer
Statewide
Phone: (225) 925-7552
E-mail: Carrie.martin@sos.la.gov

Teresa Hardy
Records Management Analyst
Phone: (225) 362-5181
E-mail: teresa.hardy@sos.la.gov

Angelle Hayes
Records Management Analyst
Phone: (225) 362-5182
E-mail: Angelle.Hayes@sos.la.gov

Courtney Chambers
Records Management Analyst
Phone: (225) 925-7695
E-mail:
Courtney.Chambers@sos.la.gov