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COMMISSIONER OF ADMINISTRATION

State of Louisiana

Division of Administration
Office of Finance and Support Services

DIVISION OF ADMINISTRATION

DOA POLICY NO.: 24

EFFECTIVE DATE: July 1, 2013

SUBJECT: Records Retention Policy

AUTHORIZATION: Monique Appeaning
Monique Appeaning, Appointing Authority

I. POLICY:

Each Division of Administration (DOA) section/agency is responsible for establishing written policies and procedures to ensure compliance with Louisiana (LA) Revised Statute (R.S.) 44:411.

II. PURPOSE:

The purpose of this policy is to establish guidelines for records management, including developing and submitting a records retention schedule to State Archives for approval.

III. APPLICABILITY:

This policy is applicable to all sections/agencies within the DOA, both general and ancillary appropriations.

IV. PROCEDURES:

Each DOA section/agency is to develop and submit an SSARC 932 - Records Retention Schedule to Louisiana State Archives, a division of the Secretary of State's Office. This

schedule is a listing of the sections/agencies records with the retention requirements in order to meet its administrative, legal and financial needs for review and approval by the State Archives.

Until the retention schedule is approved, LA. R.S. 44:36 requires agencies to maintain its records for three years from the date the record is made (unless required longer by specific statute). Any updates and/or changes to existing retention schedules must be forwarded to the Division of Archives, Records Management and History for approval.

Once a records retention schedule is approved, the section/agency should begin to adhere to the retention requirements indicated on its schedule. Sections/agencies are required to get authorization to dispose of records (scheduled or unscheduled) from the State Archives before they actually dispose of the records. Sections/agencies should use form SSARC-930 to request permission to dispose of its records. It is important to note that the authorization is required even if the records in question appear on an approved records retention schedule.

Once a records retention schedule is approved, sections/agencies are required to review the schedule annually to see if any changes have occurred operationally or legislatively. In addition, the administrative rules governing records management requires that an agency renew its records retention schedule every five years.

V. RESPONSIBILITY:

Section/Agency Head:

The head of each state section/agency is responsible for designating a Records Officer to work with the Secretary of State's Division of Archives, Records Management and History on all matters related to records management. When designating a Records Officer, the Section/Agency Head must complete the SSARC 940 – Records Officer Designation form. The completed form must be submitted to the Records Management Section of State Archives.

If the designated Records Officer changes, the section/agency head or designee must notify State Archives of the change by completing and submitting a new SSARC 940 within 30 days of any such change.

Records Officer:

The Records Officer is responsible for all matters related to records management. The duties and responsibilities include, but are not limited to:

- Ensuring records retention schedule is current
- Completing transmittal forms to be included in each records storage box
- Packing boxes to send records to State Archives
- Monitoring records disposal notices

VI. QUESTIONS:

Questions regarding this policy should be directed to the Office of Finance and Support Services at 225-342-0700.

For additional information on maintaining official records in an efficient and economical manner, refer to "The Louisiana State Archives Records Management Handbook" located http://www.sos.la.gov/HistoricalResources/PublishedDocuments/RecordMgmtHandbook.pdf. The handbook provides information on how agencies can more effectively manage the records they create and maintain.

The SSARC 930, 932 and 940 can be located on the Secretary of State's website at http://www.sos.la.gov/HistoricalResources/ManagingRecords/GetForms/Pages/default.aspx.