



State of Louisiana
Division of Administration
Office of Risk Management

SECTION NAME: Division of Administration, Office of Risk Management

EFFECTIVE DATE: July 1, 2009

SUBJECT: Record Management and Retention Policy

AUTHORIZATION:

Bud Thompson, Risk Director

Brett Poirrier, IT Manager

I. POLICY:

It is the policy of the Division of Administration/Office of Risk Management (DOA/ORM) to identify, maintain, safeguard, and dispose of records in compliance with state and federal laws and guidelines established by the Secretary of State, Division of Archives, Records Management and History.

II. PURPOSE:

The purpose of this policy is to establish uniform guideline to ensure that vital and important records are maintained in accordance with the **Office of Risk Management (ORM) Records Retention Schedule**.

III. APPLICABILITY:

This policy is applicable to all employees of the Division of Administration/Office of Risk Management.

IV. PROCEDURES:

- The Office of Risk Management will designate an employee as Records Officer to act as the liaison between the Secretary of State, Division of Archives, Records Management, and History on all matters related to Records Management and communicate that designation by completing the Records Officer Designation Form which is located on the Secretary of State, Division of Archives website at:

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- <http://www.sos.louisiana.gov/Portals/0/archives/pdf/ssarc-940.pdf>. In the event that there is a staff change in that position, the Office of Risk Management Director will submit to the Secretary of State, Division of Archives, Records Management and History a Records Officer Designation Form appointing a new Records Officer.
- The Office of Risk Management employees shall comply with the exercise diligence and care in preserving public records for the period of time specified on the approved Records Retention Schedule.
- The Records Officer or designate staff member shall coordinate the process of disposal of records pursuant to rules, policies and procedures established by the Division of Archives, Records Management and History. **NO Records should be disposed of until the proper process is followed.**
- The Records Retention Schedules will be reviewed at the beginning of each fiscal year. If modifications are necessary prior to that time, ORM Records Officer should be notified. Modifications to the approved schedule will be handled by the Records Officer or Staff and the Secretary of State, Division of Archives, Records Management and History designated representative.

V. RESPONSIBILITIES:

Office of Risk Management Section Head is responsible for:

Appointing the Records Liaison Officer and submitting the form to the Secretary of State, Division of Archives and History at the beginning of each Fiscal Year.

Appointing a representative from each Office of Risk Management unit to assist the Records Officer in matters related to records management.

Office of Risk Management employees are responsible for:

Comply with the approved Records Retention Schedules.

Notify the Records Officer when documents are ready for archiving and/or disposal.

Office of Risk Management Records Officer is responsible for:

Maintaining the Records Management Program for the Office of Risk Management and act as the Records Liaison Officer between ORM and Secretary of State, Archives and Records Management and History.

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Preparing forms and reports of records management required by the Division of Archives, Records Management and History.

Establishing the Retention Schedule and reviewing at the beginning of each fiscal year.

Arrange record storage for all units with the Division of Archives, Records Management and History.

Arrange proper disposal of records past the Retention Schedules.

Office of Risk Management Managers/Supervisor or designated personnel responsible for:

Notify the Records Management Liaison Officer of documents that need to be archived or disposed according to the Retention Schedule.

VI. QUESTIONS:

Questions regarding this policy should be directed to the Director or Records Liaison officer.

VII. VIOLATIONS:

Employees found to have violated this policy in any way may be subject to disciplinary action.