

Office of Technology Services

State of Louisiana

Division of Administration

JOHN BEL EDWARDS
Governor

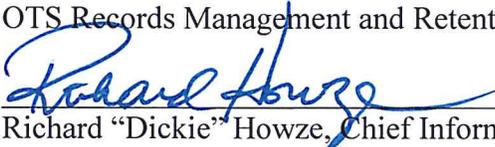


JAY DARDENNE
Commissioner of Administration

POLICY NO. 12

EFFECTIVE DATE: May 23, 2016

SUBJECT: OTS Records Management and Retention

AUTHORIZATION: 
Richard "Dickie" Howze, Chief Information Officer

I. PHILOSOPHY:

It is the policy of the Division of Administration, Office of Technology Services (DOA/OTS), to identify, maintain, safeguard, and dispose of records in compliance with state and federal laws and the guidelines established by the Louisiana Department of State, Division of Archives, Records Management and History, hereafter referred to as State Archives.

II. PURPOSE:

The purpose of this policy is to establish uniform guidelines for the management and retention of DOA/OTS records.

III. APPLICABILITY:

This policy is applicable to all DOA/OTS employees and pertains to records owned by DOA/OTS.

Note: While delivering services on behalf of another agency, DOA/OTS may have access to electronic records owned by the serviced agency. The ownership of such records remains with the agency and does not pass to DOA/OTS. DOA/OTS will take no action relevant to another agency's records without explicit instruction from an authorized representative of the agency. It is the responsibility of the owning agency to maintain an approved Records Retention Schedule for its records.

IV. PROCEDURES:

The following records management procedures are established for DOA/OTS:

- **Records Officer Designation:** The Chief Information Officer will designate an employee as Records Officer to serve as liaison between DOA/OTS and State Archives on all matters related to records management by completing the Records Officer Designation Form obtained from the Secretary of State website. Thereafter, at the beginning of each fiscal year, a new Records Officer Designation Form must be submitted. In the event there is a change of staff in that position, the Chief Information Officer will designate a new Records Officer by completing the Records Officer Designation Form and submitting it to State Archives within 30 days of the change.
- **Records Management:** All DOA/OTS records must have an associated Record Owner. The default owner is the section head for the area responsible for the record's creation or acquisition and ongoing maintenance. In cases where ownership is unclear, the Chief Information Officer will assign the owner. Record Owners may designate one or more Record Stewards to assist with records management activities.
- **Records Retention Schedule:** The Records Officer shall prepare the Records Retention Schedule for DOA/OTS using the form available on the Secretary of State website. The schedule, upon authorization of the Chief Information Officer, will be submitted to State Archives for approval. Thereafter, at the beginning of each fiscal year, the Records Officer will review the approved Records Retention Schedule and coordinate any updates that may be needed. Record Owners should notify the Records Officer whenever schedule changes are needed. Any modification of the approved schedule will be handled by the Records Officer and the State Archives designated representative.
- **Records Retention Schedule Renewal:** A Records Retention Schedule is valid for five years from the date of approval by State Archives. The Records Officer shall coordinate submission of a renewal schedule to State Archives ninety (90) days prior to the five-year anniversary.
- **Records Center Storage:** The Records Officer shall coordinate the transfer of records designated for temporary storage at the State Records Center pursuant to the rules, policies, and procedures established by State Archives. Record Owners will notify the Records Officer when records are packaged and ready for transfer per the approved Records Retention Schedule. The Records Officer will submit the appropriate transmittal forms to State Archives. No records shall be transferred until approval is received from State Archives.
- **Imaging Exception:** La. R.S. 44:39 allows agencies to convert paper records to electronic format; however, the original source documents must be maintained unless State Archives approves an exception. In the event DOA/OTS desires an exception, the Records Officer shall coordinate the imaging exception application process, submitting the appropriate exception forms to State Archives. No records shall be disposed of until approval is received from State Archives.

Note: Exceptions may only be granted for records approved for a retention of 10 years or less.

- **Records Disposal:** The Records Officer shall coordinate the disposal of records pursuant to the rules, policies, and procedures established by State Archives. Record Owners will notify the Records Officer when records are ready for disposal per the approved Records Retention Schedule. The Records Officer will submit the appropriate disposal forms to State Archives. No records shall be disposed of until approval is received from State Archives.
- **Agency Compliance:** DOA/OTS employees shall comply with and exercise diligence and care in preserving records for the period of time specified in the approved Records Retention Schedule.

V. RESPONSIBILITIES:

The following records management responsibilities are instituted for DOA/OTS personnel:

Chief Information Officer is responsible for:

- Approving the DOA/OTS Records Retention Schedule.
- Ensuring agency compliance with applicable records management laws, policies, and guidelines.
- Appointing the Records Officer.
- Assigning Record Owners when ownership is unclear.
- Approving records management requests and correspondence requiring agency head signature.

Records Officer is responsible for:

- Serving as the official liaison between DOA/OTS and State Archives.
- Communicating records management and retention requirements to DOA/OTS personnel.
- Preparing original, renewal, and updated Records Retention Schedules.
- Reviewing the Records Retention Schedule at the beginning of each fiscal year.
- Submitting a renewal schedule to State Archives ninety (90) days prior to the five-year anniversary.
- Coordinating the storage of records at the State Records Center.
- Coordinating the imaging exception application process.
- Coordinating the disposal of records.

Record Owners are responsible for:

- Assessing the retention requirements of the records maintained within their areas of control.
- Annually communicating retention requirements to the Records Officer.
- Monitoring assigned records to ensure retention compliance.
- Identifying records in need of storage, imaging, or disposal.
- Preparing records and supporting documentation for storage, imaging, or disposal.
- Notifying the Records Officer when records are ready for storage, imaging, or disposal.
- Assigning Record Stewards to assist with records management activities, if appropriate.

DOA/OTS employees are responsible for:

- Complying with this policy and the approved DOA/OTS Records Retention Schedule.

VI. QUESTIONS:

Questions regarding this policy should be directed to the Chief Information Officer. General or procedural questions about records management and retention should be directed to the Records Officer.

VII. VIOLATIONS:

Employees found to have violated this policy may be subject to disciplinary action, up to and including dismissal.

Records Retention Schedule

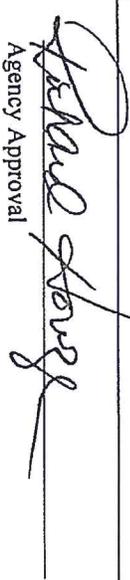
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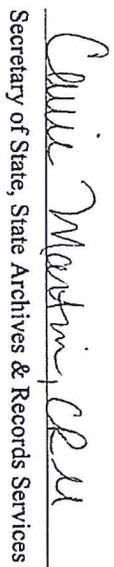
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Item Number	Records Series Title	Retention Period			Security	Archival	State Records Center	Vital	Remarks
		In Office	In Storage	Total					
1	Annual Master Plan	ACT + 7 FY		ACT + 7 FY	P	S	N	I	ACT = Until end of FY plan is adopted; Required by Legislative Act 712, 2014
2	Quarterly Reports	ACT + 7 FY		ACT + 7 FY	P	S	N	U	ACT = Until end of FY report is created or received; Required by Legislative Act 712, 2014
3	Strategic Plan	ACT + 5 FY		ACT + 5 FY	P	S	N	I	ACT = Until end of FY plan is created or superseded
4	Policies and Standards	PERM		PERM	P	S	N	I	
5	IT Governance (e.g. charters, reports, meeting minutes)	PERM		PERM	P	S	N	I	
6	Administrative Records	ACT + 3 FY		ACT + 3 FY	P	S	N	U	ACT = Until end of FY created or received
7	Correspondence – General (non-strategic, routine)	ACT + 1 FY		ACT + 1 FY	M	S	N	U	ACT = Until end of FY created or received
8	Correspondence – Policy and Strategy	PERM		PERM	M	S	N	I	
9	General Publications (e.g. newsletters)	ACT + 7 FY		ACT + 7 FY	P	S	N	U	ACT = Until end of FY document is published
10	Safety Records	ACT + 5 FY		ACT + 5 FY	P	S	N	I	ACT = Until end of FY created or received
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		Vital Record Identification Code V = Vital I = Important U = Useful		Agency Abbreviations MOU – Memorandum of Understanding DSA – Data Sharing Agreement SLA – Service Level Agreement ITB – Invitation to Bid RFP – Request for Proposal PW – Project Worksheet (REMA) e.g. – "For Example"

Agency Approval 

Date Signed 4/27/16

Secretary of State, State Archives & Records Services 

Date Approved 4/28/16

Records Retention Schedule

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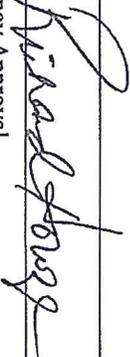
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Item Number	Records Series Title	Retention Period			Security	Archival	State Records Center	Vital	Remarks
		In Office	In Storage	Total					
11	Public Records Requests	ACT + 3 FY		ACT + 3 FY	P	S	N	I	ACT = Until end of FY received
12	Audit Responses (e.g. corrective action plans, reports)	ACT + 3 FY		ACT + 3 FY	M	S	N	U	ACT = Until end of FY final report is issued
13	Inter-Agency Agreements (e.g. MOUs, DSAs, SLAs)	ACT + 3 FY		ACT + 3 FY	P	S	N	I	ACT = Until end of FY agreement expires or terminates
14	Business Process Records (e.g. orders, status reports, logs, route sheets, delivery receipts, print samples)	ACT + 2 FY		ACT + 2 FY	P	S	N	U	ACT = Until end of FY created or received
15	Accounts Receivables (Invoices and billing records)	ACT + 3 FY		ACT + 3 FY	P	S	N	U	ACT = Until end of FY created or received
16	Agency Surveys (including responses and summaries)	ACT + 3 FY		ACT + 3 FY	M	S	N	U	ACT = Until end of FY survey is completed or response issued
17	Bid Records (e.g. standard ITBs, RFPs, and responses)	ACT + 3 FY		ACT + 3 FY	M	S	N	U	ACT = Until end of FY bid is closed or awarded; Bid responses may contain confidential information
18	Contracts (standard, non-exception)	ACT + 3 FY		ACT + 3 FY	P	S	N	I	ACT = Until end of FY contract expires or terminates
19	Procurement Records (standard, non-exception)	ACT + 3 FY		ACT + 3 FY	P	S	N	I	ACT = Until end of FY procurement process completes including delivery, acceptance, and payment
20	Grants (including agreements and all supporting documentation, standard, non-exception)	ACT + 3 FY		ACT + 3 FY	P	S	N	U	ACT = Until end of FY grant is closed out
Permitted Retention Period Abbreviations		Security Status Codes			State Records Center Use			Agency Abbreviations	
ACT – Active Period (when used define term in remarks column)		P – Public Record			Y – Yes			MOU – Memorandum of Understanding	
FY – Fiscal Year (July 1 – June 30)		M – May Contain Confidential Information			N – No			DSA – Data Sharing Agreement	
CY – Calendar Year (Jan 1 – Dec 31)		C – Confidential Information						SLA – Service Level Agreement	
AY – Academic Year (Aug 1 – July 31)		Archival Processing Codes			Vital Record Identification Code			ITB – Invitation to Bid	
FFY – Federal Fiscal Year (Oct 1 – Sept 30)		A – Transfer to State Archives			V = Vital			RFP – Request for Proposal	
MO – Months WK – Week DY – Day(s)		R – Retain in Agency Archives			I = Important			PW – Project Worksheet (FEMA)	
PERM – Permanent		S – Review by State Archives			U = Useful			e.g. – "For Example"	
		O – Other (Specify in Remarks)							

Agency Approval 

Date Signed 4/27/16

Secretary of State, State Archives & Records Services 

Date Approved 4/28/16

Records Retention Schedule

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

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Item Number	Records Series Title	Retention Period			Security	Archival	State Records Center	Vital	Remarks	
		In Office	In Storage	Total						
21	Project Management Records (standard, non-exception)	ACT + 3 FY		ACT + 3 FY	M	S	N	I	ACT = Until end of FY project is completed	
22	Application / System - Technical and Operational Documentation	ACT + 3 FY		ACT + 3 FY	M	S	N	V	ACT = Until end of FY application or system is discontinued or superseded	
23	Software Licenses	ACT + 3 FY		ACT + 3 FY	P	S	N	V	ACT = Until end of FY license expires or terminates	
24	Maintenance Agreements	ACT + 3 FY		ACT + 3 FY	P	S	N	V	ACT = Until end of FY agreement expires or terminates	
25	Domain / System User Authorizations	ACT + 3 FY		ACT + 3 FY	C	S	N	V	ACT = Until end of FY authorization is revoked or cancelled	
26	Data Center Visitor Logs	ACT + 3 FY		ACT + 3 FY	P	S	N	U	ACT = Until end of FY log is created or received	
27	Disaster Recovery / Continuity of Operations Plan	ACT + 3 FY		ACT + 3 FY	M	S	N	V	ACT = Until end of FY plan is superseded and (if applicable) all PWs created under plan are closed by FEMA	
28	FEMA Records	ACT + 3 FY		ACT + 3 FY	P	S	N	V	ACT = Until end of FY all PWs are closed by FEMA	
29	Medicaid Related Project Records	ACT + 6 FY		ACT + 6 FY	M	S	N	U	ACT = Until end of FY project is completed	
30	E-Rate Related Project Records	ACT + 10 FY		ACT + 10 FY	M	S	N	U	ACT = Until end of FY project is completed	
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		Security Status Codes			State Records Use		State Records Center		Agency Abbreviations	
		P - Public Record M - May Contain Confidential Information C - Confidential Information			Y - Yes N - No		Vital Record Identification Code V = Vital I = Important U = Useful		MOU - Memorandum of Understanding DSA - Data Sharing Agreement SLA - Service Level Agreement ITB - Invitation to Bid RFP - Request for Proposal PW - Project Worksheet (FEMA) e.g. - "For Example"	
		Archival Processing Codes								
		A - Transfer to State Archives R - Retain in Agency Archives S - Review by State Archives O - Other (Specify in Remarks)								

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Robert Long
 Agency Approval

4/27/16
 Date Signed

Quinn Martin
 Secretary of State, State Archives & Records Services

4/28/16
 Date Approved

Records Retention Schedule

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		In Office	In Storage	Total					
31	DOTD Related Project Records	ACT + 5 FY		ACT + 5 FY	M	S	N	U	ACT = Until end of FY project is completed
32	Records Management (e.g. retention schedules, disposal authorizations, certificates of destruction)	PERM		PERM	P	S	N	U	
33									
34									
35									
36									
37									
38									
39									
40									

Permitted Retention Period Abbreviations
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 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
 MOU – Memorandum of Understanding
 DSA – Data Sharing Agreement
 SLA – Service Level Agreement
 ITB – Invitation to Bid
 RFP – Request for Proposal
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 e.g. – "For Example"

Agency Approval: *Ronald Harris* Date Signed: 4/29/16
 Secretary of State, State Archives & Records Services: *Cassie Martin* Date Approved: 4/28/16