

# 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.