

# So We Have Records, Now What?

*Understanding how to write and  
maintain a Records Retention Schedule*

**Presentation Compiled by:**

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# Let's Review

- What is a RECORD?
  - A 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.
- What is a NON-RECORD?
  - Library and museum material developed or acquired and preserved solely for reference or exhibition purposes, extra copies maintained for convenience in reference or stocks of standard publications or processed documents
- What is RECORDS MANAGEMENT?
  - The systematic and administrative control of records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance, and disposition

# So we have Records, Now What?

- You must create and submit a Records Retention Schedule!
  - As defined in state law, a retention and disposition schedule is defined to mean “a set of disposition instructions prescribing how long, in what location, under what conditions, and in what form records series shall be kept”. (LA R.S. 44: 402)

# What is a Record Series?

- A record series 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))

# Why do we need a Retention Schedule?

- It is the LAW
- By law state agencies are required to have an approved Records Management Plan
- This plan must be reapproved every 5 years
- Each year your office/department should examine your schedule to determine if new records need to be added or if records need to be removed. If changes need to be made you will need to amend your retention schedule
- The plan must go through and be approved by the University Records Officer, The Secretary of States Office, and the Louisiana State Archives-Records Services Office

# Why is a Retention Schedule Important?

- Acts as the backbone for an agency's recorded information
- Ensures records can be located
- Ensures conformity with federal and state laws
- Provides consistency in maintenance of an agency's records
- Ensures records vital to the agency are identified and protected



# How to begin a Records Retention Schedule

- Inventory your organization's records that are created, received or maintained
- Determine how the records are used
- Identify what agency and legal requirements need to be taken into account
- Analyze the information gathered to determine retention value
- Draft a retention schedule, review it, and submit it to the records officer

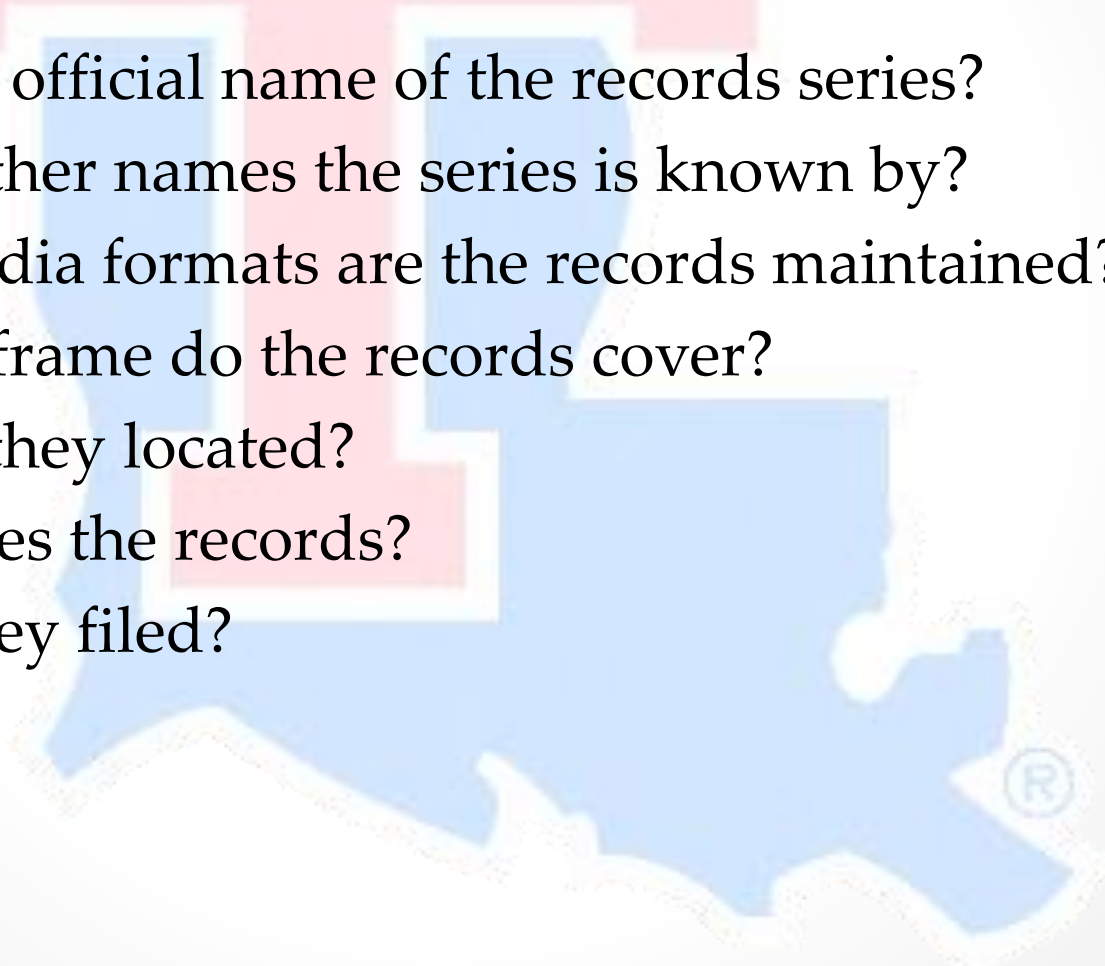
# How to Collect This Information

- Look at your past retention schedules
  - Are there new records that are being maintained?
  - Are there records that are no longer being maintained?
  - Are your retention periods correct?
  - If you don't have a copy of your retention schedule, ask the Records Officer
- Make a list of all of the records and non-records your department creates, receives, and maintains
  - What medium are these records (example, paper, electronic, etc.)
  - Where are they located?
  - What is their record series name?
  - How long do they need to be retained?
  - Are they vital, important, or useful?
- Form a committee and talk with everyone in the department about the records they are maintaining
- If you have questions about a record, ask the Records Officer



# Information to Collect

- What is the official name of the records series?
- What are other names the series is known by?
- In what media formats are the records maintained?
- What time frame do the records cover?
- Where are they located?
- Who receives the records?
- How are they filed?



# How to Determine the Retention Period

- Consider the administrative, fiscal, legal, and archival values of each records series
  - Administrative Value
    - Consult with the whomever maintains and uses the record to see how long they need the records to meet their administrative needs
  - Fiscal Value
    - Consult with your agency's financial section to see how long the records are required to be maintained for financial purposes
  - Legal Value
    - Conduct legal research on how long the law require the records to be maintained
  - Archival Value
    - Consult with the University Archivist to determine if records hold historical value
- We have compiled a listing of the most commonly used Retention Periods. It is found on the SCMA website under Records Management.

# Arriving at a Retention Period

- For each series, review the values (administrative, fiscal, legal, and archival)
- Archival values typically will win out over legal, financial and administrative needs
- Legal values typically set the minimum retention period for the record
- For archival values please consult the University Archivist **BEFORE** setting a value

# Arriving at a Retention Period Example

- Louisiana Purchase Documents
  - Administrative: 5 calendar years
  - Legal: Permanent
  - Financial: 3 fiscal years
  - Archival: Permanent
- Louisiana Purchase Documents have a retention period of PERMANENT because archival value trumps all other periods
- Long distance phone logs (federal program)
  - Administrative: 1 fiscal year
  - Financial: 2 fiscal years
  - Legal: 5.5 fiscal years
  - Archival: None
- Long distance phone logs would have a retention period of 5.5 fiscal years, because there is no archival value and legal values set the minimum for retention

# Points to Remember

## Part 1

- Record retention schedules are media neutral (includes all media). Figure out how long you need the record then apply appropriate storage media to ensure accessibility for the life of the record
- Record 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

# Points to Remember

## Part 2

- Define what you mean by “**active**”
  - See “[Defining Active](#)” in “Resources” on the Records Management Website
- Set a retention value for each series
- Define what you mean by year:
  - Fiscal year (FY) July-June
  - Calendar year (CY) Jan. – Dec.
  - Academic year (AY) Aug.-July
  - Federal Fiscal year (FFY) Oct. – Sept.
- **Email is not a record series**
- Spell out acronyms and uncommon abbreviations



# Points to Remember

## Part 3

- Agency/Division/Section
  - Agency will always be Louisiana Tech University
  - **Example:**
    - Louisiana Tech University/College of Liberal Arts/Deans Office
- The form provides abbreviations and codes that must be used.
- If there are other agency abbreviations there is a place to explain these in the lower right hand corner of the SSARC 932 (retention schedule) form

# Retention Period Abbreviations

- ACT – Active Period (when used define term in the “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 – Weeks
- DY – Days
- PERM - Permanent

# Retention Periods Most Often Used

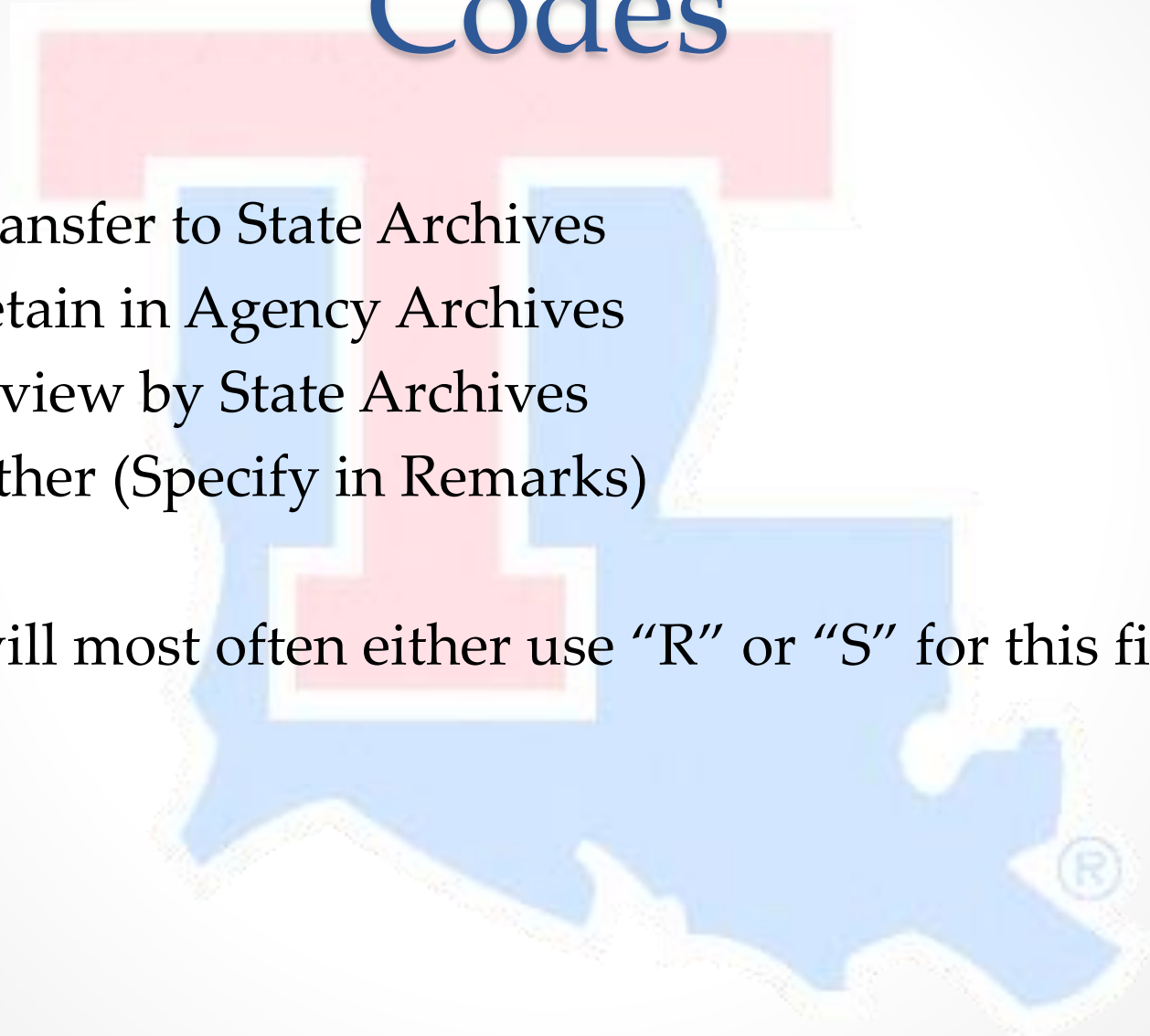
- ACT – Active Period (define in the “Remarks” column)
- FY – Fiscal Year
- CY – Calendar Year
- AY – Academic Year
- PERM – Permanent

# Security Status Codes

- P – Public Record – can be recycled, discarded by landfill, or by a more secure method of destruction
- M – May Contain Confidential Information- should be discarded of in a secure manner such as shredding or burning and may require authorization before public can view record
- C – Confidential Information – defined by State or Federal law, Record should be protected from unauthorized viewing and should be disposed of in a secure manner

# Archival Processing Codes

- A – Transfer to State Archives
  - R – Retain in Agency Archives
  - S – Review by State Archives
  - O – Other (Specify in Remarks)
- You will most often either use “R” or “S” for this field



# Vital Record Identification Code

- V – Vital

- If there was a fire in your department tomorrow what records would need to be saved to maintain the operations of your office?
- Example: Policies and Procedures

- I – Important

- Most records will be considered important. These records are important for the functioning of the office, but if lost the office would continue to operate
- Example: Student Worker Files

- U – Useful

- These are the least valuable records. If lost, the office would function normally without delay
- Example: General Correspondence



# State Records Center Use

- Y – Yes
- N – No
- We currently keep records either in individual department offices or in certain occasions in the University Archives at the Prescott Memorial Library. Hence, this field will almost always be N

●



# Sample SSARC 932

Records Retention Schedule										SS ARC 932 (01/12)	
Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125, Baton Rouge, LA 70804										Page 1 of 2	
Agency No _____ Agency / Division / Section _____ <b>Louisiana Tech University/Academic Affairs/Prescott Memorial Library SAMPLE</b>										Http://www.sos.la.gov	
Item Number	Records Series Title	Retention Period			Security	Archival	State Records Center	Vital	Indicate Use of Form		
		In Office	In Storage	Total Retention					<input type="checkbox"/> ORIGINAL SUBMISSION <input checked="" type="checkbox"/> RENEWAL <input type="checkbox"/> REPLACEMENT PAGE <input type="checkbox"/> ADDENDUM PAGE	Remarks	
1	Administrative/Faculty Records – Personnel Folders	PERM	0	PERM	C	R	N	✓	Folder maintained on faculty (Active and Inactive) from time of employment. Maintained in Director's Office		
2	Financial Records – Departmental Account Ledger/Purchase Requisitions & Orders	ACT + 3FY	0	ACT + 3FY	P	S	N	I	ACT = Until end of Fiscal Year generated		
3	Financial- Travel Authorizations & Expenses /Purchasing Card Statements/Phone Logs	ACT + 3FY	0	ACT + 3FY	P	S	N	I	ACT = Until end of Fiscal Year generated		
4	Financial Records – Faculty and Staff Leave Reports	ACT + 3FY	0	ACT + 3FY	M	S	N	I	ACT = Until end of Fiscal Year generated		
5	Financial Records – Classified Staff Timesheets	ACT + 3FY	0	ACT + 3FY	M	S	N	I	ACT = Until end of Fiscal Year generated		
6	Financial Records – Graduate Assistant Timesheets	ACT + 3FY	0	ACT + 3FY	M	S	N	I	ACT = Until end of Fiscal Year generated		
7	Financial Records – Student Worker Timesheets and Timecards	ACT + 3FY	0	ACT + 3FY	M	S	N	I	ACT = Until end of Fiscal Year generated		
8	Property/Inventory Records	ACT + 2FY	0	ACT + 2FY	P	S	N	I	ACT = Until end of Fiscal Year		
	Correspondence										
9	A: Policies and Procedures	PERM	0	PERM	P	R	N	I	Maintained in Director's Office		
<b>Permitted Retention Period Abbreviations</b> 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		<b>Security Status Codes</b> P – Public Record M – May Contain Confidential Information C – Confidential Information <b>Archival Processing Codes</b> A – Transfer to State Archives R – Retain in Agency Archives S – Review by State Archives O – Other (Specify in Remarks)		<b>State Records Center Use</b> Y – Yes N – No <b>Vital Record Identification Code</b> V = Vital I = Important U = Useful		<b>Agency Abbreviations</b>					

Agency Approval \_\_\_\_\_

Date Signed \_\_\_\_\_

Secretary of State, State Archives & Records Services \_\_\_\_\_

Date Approved \_\_\_\_\_

# Sample SSARC 932 pg. 2

## Records Retention Schedule

SS ARC 932 (01/12)

Louisiana Secretary of State, Division of Archives, Records Management and History Post Office Box 94125, Baton Rouge, LA 70804					Http://www.sos.la.gov				Page 2 of 2	
Agency No	Agency / Division / Section				Security	Archival	State Records Center	Vital	Indicate Use of Form	
	Louisiana Tech University/Academic Affairs/Prescott Memorial Library								<input type="checkbox"/> ORIGINAL SUBMISSION <input checked="" type="checkbox"/> RENEWAL <input type="checkbox"/> REPLACEMENT PAGE <input type="checkbox"/> ADDENDUM PAGE	
Item Number	Records Series Title	Retention Period			Security	Archival	State Records Center	Vital	Remarks	
		In Office	In Storage	Total Retention						
10	B: Donated Materials Acknowledgements	ACT + 3CY	0	ACT + 3CY	P	S	N	I	ACT = Until end of Calendar Year generated	
11	C: General Correspondence	ACT + 3AY	0	ACT + 3AY	P	S	N	U	ACT = Until end of Academic Year generated	
12	D: Transitory Correspondence	1AY	0	1AY	P	S	N	U	Dispose after 1 Academic Year	
13	Student Worker Evaluations	ACT + 1AY	0	ACT + 1AY	C	S	N	U	ACT = Until end of Academic Year in which student employee separates	
14	Donations and Accession Records	PERM	0	PERM	M	R	N	V	Maintained in University Archives	
15	Library Advisory Committee Meeting Minutes	PERM	0	PERM	P	R	N	I	Maintained in Director's Office	
16	Library Annual Reports	PERM	0	PERM	P	S	N	V	Maintained in Director's Office	
17	Software Contracts and Licenses	ACT + 1FY	0	ACT + 1FY	P	S	N	I	ACT = Until end of Fiscal Year generated	
<b>Permitted Retention Period Abbreviations</b> 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					<b>Security Status Codes</b> P – Public Record M – May Contain Confidential Information C – Confidential Information  <b>Archival Processing Codes</b> A – Transfer to State Archives R – Retain in Agency Archives S – Review by State Archives O – Other (Specify in Remarks)		<b>State Records Center Use</b> Y – Yes N – No  <b>Vital Record Identification Code</b> V = Vital I = Important U = Useful		<b>Agency Abbreviations</b>	

Agency Approval

Date Signed

Secretary of State, State Archives & Records Services

Date Approved

# After Completing your SSARC 932

- Once you have completed your SS ARC 932 Retention Schedule you need to send it electronically to the University Records Officer for approval
- The University Records Officer will look over your schedule, and will consult with you regarding any questions, concerns, or corrections
- After the University Records Officer approves the schedule it will be sent to Baton Rouge for further evaluation
- Baton Rouge may require further corrections or may sign off on your schedule

# After Your Schedule is Approved

- Once the schedule is approved by both Baton Rouge and the University Records Officer it is good for a period of **5 YEARS**
- **Every YEAR** your department should review your schedule to see if any changes need to be made. If changes are required you will need to amend your schedule
- After **5 YEARS** you will need to submit a new SSARC 932 retention schedule for approval



# Amending your Retention Schedule

- If you need to amend your Retention Schedule you can do so by filling out a new SSARC 932 form, and in the upper right hand corner checking the box renewal
- You are also required to send a memo along with your new SSARC 932 explaining the new changes and additions
- The memo should give as much detail as possible regarding the changes you would like to make to your schedule
- You will submit your proposed changes to the University Records Officer for review
- The Records Officer will review the changes and send it to Baton Rouge for approval
- Once approved the 5 year clock on your schedule will reset to the most recently accepted SSARC 932

# Request to Dispose SSARC 930

- In order to dispose of any records listed on your schedule you must submit for approval a Request to Dispose form (**SSARC 930**)
- You will fill out the form based upon your most current retention schedule and submit it to the University Records Officer
- Once it has been approved by the University Records Officer it will be sent to Baton Rouge for final approval
- Once final approval has been given you will be notified that you can begin destruction of the record
- You **CANNOT** destroy any records listed on your retention schedule without prior approval from the University Records Officer and the Secretary of States Office

6. Inclusive Dates	7. Description of Records (List Records Series Title if Records Appear on Agency Retention Schedule)

# Sample SSARC 930



STATE OF LOUISIANA  
SECRETARY OF STATE  
DIVISION OF ARCHIVES, RECORDS MANAGEMENT AND HISTORY

Print Form

REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS  
SSARC 930 (R 1/12)

TO: RECORDS MANAGEMENT SECTION  
DIVISION OF ARCHIVES, RECORDS MANAGEMENT AND HISTORY  
POST OFFICE BOX 94125  
BATON ROUGE, LA 70804-9125

#### FOR ARCHIVES USE ONLY

Your Disposal Authority Request has been:

[ ] Approved \_\_\_\_\_ Received: \_\_\_\_\_

[ ] Rejected \_\_\_\_\_ Returned: \_\_\_\_\_

Reason: \_\_\_\_\_

[ ] YES [ ] NO Archives: \_\_\_\_\_

[ ] YES [ ] NO Rec Mgt: \_\_\_\_\_

Method: [ ] DUMP [ ] SHRED [ ] RECYCLE [ ] BURN [ ] DELETE  
[ ] DeGAUSSE/ERASE [ ] CRUSH

#### FROM:

Louisiana Tech Univeristy / Academic Affairs / Prescott Memorial Library

1. AGENCY NAME

P.O. Box 10408, Ruston, LA 71272

2. ADDRESS

Nolan Eller

318-257-2935

recordsofficer@latech.edu

3. NAME OF PERSON WITH WHOM TO CONFER 4. TELEPHONE NUMBER WITH AREA CODE 4A. E-MAIL ADDRESS

#### 5. CERTIFICATE OF AGENCY REPRESENTATIVE:

I hereby certify that I am authorized to act for the head of this agency in matters pertaining to the disposal of records and that the records described in this List or Schedule are proposed for disposal for the reason indicated:

A. ☒ The records have ceased to have sufficient value to warrant further retention.

B. ☐ The records will cease to have sufficient value to retain them after the date or event indicated.

☐ These records have been converted to ☐ Microfilm; ☐ Digital Images.

University Records Officer

DATE SIGNED

SIGNATURE OF REPRESENTATIVE

TITLE

6. Inclusive Dates	7. Description of Records (List Records Series Title if Records Appear on Agency Retention Schedule)
2011 - 2012 FY	(7) Financial Records - Student Worker Timesheets and Timecards
2015-2016 AY	(11) Transitory Correspondence
2015-2016 FY	(17) Software Contracts and Licenses

# Certificate of Destruction

## SSARC 933

- Once a Record has been destroyed you need to submit a Certificate of Destruction form (SSARC 933).
- This form is not only evidence of the destruction of the record, but it completes the life cycle of the record
- This form along with all of the other forms mentioned in this presentation can be found on the SCMA Website under [Records Management](#) and Forms You Will Need.

SS

Print Form





# Where to Find Forms

- All forms can be found and downloaded from the SCMA Website under [Records Management](#)



[Special Collections,  
Manuscripts & Archives](#)  
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[Camp Ruston Collection](#)  
[The Frellsen Fletcher Smith  
Collection](#)  
[American Foreign  
Policy Center](#)  
[Records Management](#)

## Records Management



### RECORDS MANAGEMENT 101

[Is A Record A Record?](#)

[We Have Records, So Now What?](#)

### FORMS YOU WILL NEED

[Records Retention Schedule](#)

[Request for Record Disposal](#)

[Certificate of Destruction](#)

### SAMPLE FORMS

# For Further Information

- Visit the [Records Management](#) page on the SCMA website for links to further resources, sample forms, and past Retention Schedules
- Look at Policy 1306  
<http://www.latech.edu/administration/policies-and-procedures/1306.php>
- If you should have further questions or would like to inquire about further please contact the University Records Officer at [recordsofficer@latech.edu](mailto:recordsofficer@latech.edu) or call 257-2287 or 257-2935

# Sources for this Presentation

Louisiana Secretary of State's Office

<http://www.sos.la.gov/HistoricalResources/ManagingRecords/Pages/default.aspx>

Louisiana State Records Management Handbook

<http://www.sos.la.gov/HistoricalResources/PublishedDocuments/RecordMgmtHandbook.pdf>

University of Louisiana Monroe Archives

<http://www.ulm.edu/library/archives/records.html>

*Glossary of Archival and Records Terminology, 2005*

<https://www2.archivists.org/glossary>

National Archives and Records Administration

<https://www.archives.gov/records-mgmt>

University of Wisconsin-Milwaukee Archives

<http://uwm.edu/libraries/archives/uwm-records-management/>