

**NCTPA
POLICIES, PRACTICES, AND PROCEDURES MANUAL**

SECTION 14: RECORDS MANAGEMENT

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CHAPTER 1 AUTHORITY AND PROGRAM STRUCTURE

Section 1.1. Authority and Definitions

1.1.1 Authority

1.1.2 Definition of Record

A record is a document, book, paper, photograph, computer-generated or stored data, sound recording or other material, regardless of physical qualities, that is made or received by an agency or institution according to law or in connection with official business.

A file generally consists of related records or documents collected or organized together. As a practical matter, this manual will use the terms record and file interchangeably, since in most cases a file, as well as the individual items of information in it, is treated as an agency record.

The following are not records:

- library or museum material made or acquired and preserved solely for reference or exhibition
- an extra copy of a document kept only for reference, a stock of publications or processed documents, or
- any records, correspondence, notes, memoranda, or other documents associated with a matter conducted under an alternative dispute resolution procedure in which personnel of an agency participated as a party, facilitated as an impartial third party, or facilitated as the administrator of a dispute resolution system or organization.

A duplicate (convenience, information or reference) copy of a document may become a record by default if it replaces an original that has been lost or destroyed.

1.1.3 Essential (Vital) Records

A vital record is a record that is necessary for NCTPA to do any of the following after a disaster:

- resume or continue operations,
- reaffirm authority and activity, including legal and financial positions, and/or
- protect the rights and interests of the agency and its customers.

Chapter 6, "Vital Records," discusses procedures to protect vital records.

Section 1.2. Program Objectives, Scope, Responsibilities

1.2.1 Objectives of Records Management

The objectives of the NCTPA records management program are to:

- ensure that NCTPA complies with statutory requirements related to the retention and destruction of official agency records,
- develop and implement procedures to protect official NCTPA records including vital records,
- develop records management procedures that can be implemented with minimal impact on agency employees at all levels,
- reduce needless duplication and storage of records, while ensuring that records deemed valuable by law, NCTPA policy and/or the need for efficient management are retained, protected and made accessible,
- save time, space and money in managing agency records, and
- guide, coordinate, consult and provide records management services for NCTPA.

1.2.2 Scope of Records Management

The scope of NCTPA's records management program includes:

- developing and maintaining a records retention schedule approved by the NCTPA Board of Directors,
- developing and publishing records management procedures,
- developing and disseminating procedures for protecting vital NCTPA records,
- providing guidance and assistance to help agency offices manage records efficiently and in compliance with the requirements of statute and agency policy,
- coordinating the storage and disposition of official NCTPA records in accordance with approved retention policy,
- maintaining a schedule of charges for copies of NCTPA records,
- maintaining an administrative documents currency list, and

1.2.3 Responsibilities

NCTPA assigns each unit within the agency responsibility for the proper management of official records and the NCTPA Board of Directors authorize the Executive Director to appoint a records management officer to administer the agency's records management program.

Board Secretary has overall responsibility to develop and manage NCTPA's records management program. Each office is responsible for implementing the program internally.

1.2.4 Responsibilities of the Records Management

The Records Management Unit (hereafter referred to as "records management") is responsible for NCTPA's records management program, and is charged to:

- research, develop and recommend records management policies to NCTPA management,
- maintain a current, approved records retention schedule for NCTPA,
- coordinate NCTPA's records management program with outside agencies as required,
- develop and publish records management procedures,
- provide records management consultation, coordination and services to NCTPA,
- manage records storage for offices,
- maintain an NCTPA records destruction log for the period specified under the Secretary of State Local Government – Records Management Guidelines February 2006 including Records Retention Schedule,

1.2.5 Responsibilities of Agency

Divisions and offices are responsible for

- compliance with NCTPA records management policies and
- implementing NCTPA records management procedures, including:
 - identifying vital records and taking measures to protect them,
 - retaining official records for the required retention period, whether locally or in remote storage facilities,
 - coordinating the timely destruction of records when they become eligible preparing and submitting record destruction logs to NCTPA records management,
 - preparing records for imaging by scanning, and inspecting/accepting the imaged version before authorizing original records to be destroyed.

1.2.6 Employees with Specific Responsibilities

1.2.6.1 NCTPA Records Management Officer

The NCTPA Records Management Officer is responsible for the development and overall management of the agency's records management program and is designated by the Executive Director as the NCTPA records management officer for coordinating the program.

1.2.6.2 Records Administrators

Records Administrators are responsible for implementing and managing the records management program. Their responsibilities include coordination of records management procedures within office, including the periodic submission of records destruction logs to the NCTPA records management officer. Records administrators may also assist offices in their areas with the development of internal procedures to manage records and maintain record copy responsibility lists.

1.2.6.3 Records Coordinators

Records Coordinators manage records for specific offices or operational areas. Their general responsibility is to implement records management procedures in their own offices. Specific responsibilities may include:

- developing and maintaining file plans,
- completing records inventories as needed,
- managing office files in accordance with the records retention schedule,
- assisting in identifying official (record copy) records or files,
- assisting in identifying vital records and implementing measures to protect them,
- preparing and transferring records for storage or imaging,
- coordinating records destruction authorization with records custodians, and
- completing a records destruction log and transmitting the log to the records administrator for forwarding to NCTPA records management.

1.2.6.4 Records Custodians

Records Custodians are typically the managers of individual offices or operations who have responsibility and control of records. Their general responsibilities include:

- generation of records,
- protection of records,
- assisting public information coordinators in responding to requests for information under the California Public Records Act,
- ensuring retention of record copies for the required period of time,
- authorizing destruction of records when they have met their required retention period, or
- justifying selection of records for further retention after they become eligible for destruction.

CHAPTER 2 RECORD COPY RESPONSIBILITY

Section 2.1. The Record Copy Concept

2.1.1 Definition

Only one copy of a record or file designated as the official copy is required to be retained to fulfill statutory records retention requirements. This copy is called the record copy. Other “convenience” or “information” copies are not subject to retention requirements, and may be destroyed without formality when they no longer have administrative value.

2.1.2 Characteristics of a Record Copy

A record or file is usually a record copy when:

- it is the original record or file; it may or may not bear an original signature,
- it originates or is retained at the office responsible for the operation or function the record or file concerns,
- it was originally a convenience, information or other non-record copy to which significant annotations or signatures have been added, and/or
- it was originally a convenience or information copy, but has been retained past the destruction of the original record copy becoming by default the record copy.

It is possible for the same document to be present in two or more units of the agency and be the record copy in each unit if it serves a different function in those units. When in doubt about the status of a record, it is safest to handle it as a record copy.

2.1.3 Convenience Copies as Public Information

- The California Public Records Act, Government Code §§6250 – 6276.48, "Public records" includes any writing containing information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics. "Public records" in the custody of, or maintained by, the Governor's office means any writing prepared on or after January 6, 1975.
- "Writing" means any handwriting, typewriting, printing, photostating, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing any form of communication or representation, including letters, words, pictures, sounds, or symbols, or combinations thereof, and any record thereby created, regardless of the manner in which the record has been stored.
- If a convenience copy remains in an organization after the record copy has been destroyed, the convenience copy becomes the record copy until such time as it is destroyed.

Section 2.2. Record Copy Responsibility

2.2.1 Definition

Record copy responsibility refers to the responsibility for maintaining the official copy of an NCTPA record in accordance with the retention policy in the agency's records retention schedule. Specific organizational units typically have responsibility for the creation, maintenance and retention of official records related to their functions.

2.2.2 Determining Responsibility

Typically, the office that creates the record, or has primary responsibility for operations related to the record, or that performs the final action on a form, document or other record, is the office with record copy responsibility. This is particularly the case when an office has "sign-off" or approval responsibility related to a function documented in the files and the office is responsible for maintaining the official file.

Consider the relationship of the file to the office's function. Files related to an office function often contain mixed original records and convenience copies. Some duplication is inevitable. It is unnecessary and impractical to micromanage files on a document by document basis. The best practice in this circumstance is to treat the file as a record copy and manage it accordingly.

2.2.3 Coordinating Responsibility

If your unit creates new records or files that do not appear to correspond to existing listings on the records retention schedule, contact the NCTPA records management officer to coordinate the determination of record copy status and any required revisions of the records retention schedule.

2.2.4 Records Retention Policy

The NCTPA records retention schedule identifies official NCTPA records and lists the required minimum retention period for record copies. The schedule lists types of records that are common to most, if not all units and offices, including some types of records that are specifically maintained and unique to specific offices.

Chapter 3, "Records Retention Schedule," contains detailed information on the structure and maintenance of the Records retention schedule.

The office with record copy responsibility retains the record for the required retention period listed in the NCTPA Records retention schedule, whether the record is kept in the office or in storage. The record custodian in that office is responsible for approving and documenting the destruction of the records.

Non-record copies may be retained in individual offices as needed for information, convenience or other purposes, and may be destroyed without formality when they no longer have administrative value. Be sure to remember the cautionary note on convenience copies in Section 1.

Section 2.3. Record Copy Responsibility Lists

2.3.1 Using the List

Each unit develops and maintains a record copy responsibility list based on the current approved Records retention schedule. The list identifies the office(s) responsible for the record copies of specific records, and can help to reduce redundancy in record keeping.

Offices or units may consider the use of record copy responsibility lists as an aid in reducing duplication and coordinating disposition of convenience copies when record copies are destroyed.

Records administrators should maintain an up-to-date record copy responsibility list and make it available to other offices either by distributing copies or posting the list to the agency H:\ drive.

2.3.2 List Structure

The record copy responsibility list contains sufficient essential information from the records retention schedule to identify records management requirements, and provides a column on the right side of the document to enter the office(s) responsible for official copy of described records. Below is an example of a record entry from a page of the record copy responsibility list. The table following the example describes information in the columns on the list.

Example of a Record Copy Responsibility List Entry				
Agency Item Number	Record Series Title	Ret. Period	Remarks	Responsible Office
ROW07	Sign Permit Files: Records related to advertising sign permits, including renewals, transfers, and fees collected.	AC+3	AC = Expiration/termination of permit. <i>VITAL RECORD</i>	ROW

Record Copy Responsibility List Field Descriptions	
Block	Description
Agency Item Number	The agency item number references the listing of the record series on the current approved NCTPA records retention schedule.
Record Series Description	A record series is a file or group of files that has a similar function and retention requirement.
Total Retention	This block indicates the required total minimum length of time to retain the record copy of the record series.
Remarks	May contain information such as coding explanations, exact location of records, etc.
Responsible Office	Identifies the office(s) that maintains the record copy. It may be convenient to complete this block for exceptions only. For accounting records (ACC) that are maintained by the accounting office, you may choose to leave the block blank. If the particular accounting records are maintained by another office, fill the block in. There will be instances where all offices have responsibility for certain types of records, such as general correspondence.

CHAPTER 3 OFFICE RECORDS AND FILE MAINTENANCE

Section 3.1. Purpose and Responsibilities

3.1.1 Purpose

NCTPA maintains a records retention schedule approved by the Board of Directors. The schedule documents NCTPA records retention policy and is based on requirements in federal and state statutes, rules and regulations, and requirements.

An approved records retention schedule

- fulfills requirements of state law and agency policy,
- secures NCTPA's statutory authority to retain, store and dispose of agency records,
- guides units and offices on the minimum retention requirements for record copies, and
- documents NCTPA's business practice regarding records retention.

The current, approved NCTPA records retention schedule is located on the H:\ drive under Records Management.

3.1.2 Responsibilities

3.1.2.1 NCTPA Records Management Officer

The NCTPA Records Management Officer has overall responsibility for developing and maintaining the records retention schedule and coordinating its periodic recertification.

3.1.2.2 *Records Administrators*

The Records Administrators coordinate records management in offices. They are responsible for helping their areas to implement the records retention schedule and coordinating revisions to the schedule when necessary.

3.1.2.3 **Records Coordinators and Custodians**

The Records Coordinators and custodians manage records in specific offices or units and implement the records retention schedule in their file management activities. They may also make recommendations on revisions to the records retention schedule.

Section 3.2. Description and Organization

3.2.1 Description

The records retention schedule is located in the Appendix: Secretary of State Local Government - Records Management Guidelines February 2006. The schedule:

- lists official NCTPA records grouped into record series,

- identifies retention requirements; i.e., the minimum period of time official records must be kept before they are eligible for destruction,
- describes characteristics of records, such as confidentiality, archival status, record medium and whether the record is vital, and
- provides additional information on the handling of records in detailed remarks.

3.2.2 Organization

The records retention schedule is organized in two parts.

The first part lists record series common to all offices and includes accounting; administrative; administrative operational; automation; personnel and safety records, and records series related to specific district operations. The common schedule is inclusive. Not all offices have all record series, but may refer to the guidance in the common schedule for those records they have. By maintaining a record copy responsibility list (see Chapter 2, "Record Copy Responsibility List") each unit is able to tailor the agency records retention schedule to its own operations.

The second part of the schedule lists unique record series maintained by specific offices.

Section 3.3. Schedule Contents

See APPENDIX A – Secretary of State Local Government – Records Management Guidelines February 2006.

Section 3.4. Revising the Schedule

3.4.1 Revising Existing Entries

Changes in legal or regulatory requirements, agency functions and organization, or business requirements may necessitate a revision of the records retention schedule.

Often the records management officer will initiate revisions, but input from the functional area experts in the unit or office is very important. If the need for a revision of an existing item on the Schedule arises, an email or memo to records management from the records administrator requesting the change is sufficient to initiate a revision process.

3.4.2 Adding New Records Series

The records retention schedule was developed after a thorough review of historical and current documentation on agency records and coordination with offices. The NCTPA records management officer continually monitors changes to statutes, rules and regulations governing agency functions as well as the impact of internal organizational changes to maintain a current schedule.

When developing a new type of record or file, first review the schedule to see if the new record or file matches an existing record series description in the schedule of common records, or, in offices, if the records relate to an existing

unique record series. If a match is not apparent, contact Records Management to discuss the records. The records management officer may be able to offer insight in relating the new records to an existing record series.

If a new record series must be added, the records coordinator in the responsible office then completes Form (Records Inventory Worksheet) to furnish descriptive documentation supporting the addition of an official records series to the NCTPA Records retention schedule, and forwards it through the records administrator to the NCTPA records management officer.

A Records Inventory Worksheet is not necessary when

- the record or file matches a record series on the Records retention schedule,
- the record or file is a new record or file in an existing record series listed on the records retention schedule, and the record series title is still appropriate. If you think the existing title needs to be revised, contact the NCTPA records management officer, (707) 259-XXXX or by e-mail.
- the retention period or minor changes in the characteristics of the records for an existing record series is changing. (You can coordinate this change by e-mail or memo with the NCTPA records management officer.)

3.4.3 Coordination and Approval of Revisions

The NCTPA records management officer drafts a proposed revision to the records retention schedule and coordinates the revision or addition with the requesting records administrator. During this coordination, the records management officer may revise the record series description and retention procedures for any related records with any other offices involved. The records management officer then coordinates revision of the schedule with approval from the NCTPA Board of Directors.

Upon approval, the records management officer posts the revised records retention schedule and related documents, including the record copy responsibility list template.

CHAPTER 4 FILE MANAGEMENT

Section 4.1. Organizing Files

4.1.1 Overview

NCTPA offices already have some sort of organized file arrangement or file plan in place. This chapter can prove helpful when the need arises to

- create, revise or overhaul a filing system,
- develop or revise a file plan index to files, or
- use the file plan to manage files for retrieval, storage and disposition.

4.1.2 Methods

Organize files for retrieval of information, *not* merely for storage. How you refer to files when you want to retrieve them suggests their most appropriate arrangement. Basic file organization is typically hierarchical, moving from broad categories of information to specific contents. The following table describes typical ways to organize files.

Ways to Organize Files	
Arrangement	Description
Alphabetical	Used for retrieving files by names (of cases, individuals, organizations, subjects, etc.) and is typically the most useful identifier for significant groupings in files.
Numerical	Appropriate for files that are identified and retrieved by number, such as contracts, purchase orders, vouchers or permits.
Alphanumeric	Combination of letters and numbers is common. An example is project records filed by county, control section and job number.
Location	Locations may range from broad geographic areas to exact locations such as states, districts or counties, or even a reference marker.
Date	Date filing is a useful way to organize records when access to them is based on date.

4.1.3 File Inventory, Sorting and Grouping

The basic steps in organizing files are to:

- inventory files to determine what you have,
- sort and group files and folders in a way that serves your retrieval needs, and
- develop accurate file and folder identifications.

4.1.4 Inventory

Manual inventory techniques involve the use of index cards to represent file contents. The cards can be arranged and rearranged to represent file contents graphically as an aid to organizing the files and trying new groupings. The cut and paste function can be used on a PC for the same purpose.

Begin the inventory by listing or noting on a card each file folder title or description. Indicate its location (cabinet and drawer, individual office, etc.). A single list item or card can represent a number of individual folders. This is particularly helpful when the files are large and individual folder titles change frequently. For example, you may simply note that individual project folders are arranged by county, control-section and job number, or project number or highway number – however you choose to arrange them – rather than listing each folder title.

It may also be useful to indicate how much space the folders take up (number of cabinets, drawers, etc.).

4.1.5 Sorting and Grouping

The next step is to sort and group the cards or list entries representing file folders into a logical order that supports retrieval needs. This process collects similar folders together and creates an outline of your files that moves from the individual folder to a minor group of similar or related folders, which will be filed under a broad grouping based on major functions or areas of activity.

4.1.6 Minor Groups

Minor groups bring together similar file folders which may correspond to several related but different record series described in the NCTPA records retention schedule. Minor groups consist of different files or folders that relate to similar types of activity or function. For example, groups including Budget Files, Contracts and Agreements, Material Issues and Purchasing, and Annual Equipment Inventory may be gathered together under the basic function of office administration. In some cases, a group may have only one type of file, for example project files.

4.1.7 Major Groups

A major group is a *broad* grouping of file folders that corresponds to major functions or areas of activity for an office. The following table lists and describes sample major groups found in many offices. Major groups will vary from office to office. A minor group in one office may be a major group in another office. A major group containing only one type of file or very few folders may not necessarily need to be subdivided into minor groups.

Samples of Common Major Groups	
Major Group	May include files/folders related to
Administration	Budgeting, contracts, purchases, minor equipment transfers and inventory, routine materials issues, work schedules, complaints, open records requests production reports and other records related to the routine administration of an office and/or its functions and programs.
Organization and Management	Authorizing directives, organization plans and charts, administrative or general correspondence (see Correspondence below), internal reviews or audits, planning files, performance and program reports, legislative files (impact statements, proposed legislation, rules, etc), and personnel records.
Case, Program, Project or Subject Files	Files directly related to the office's primary functions, programs or other areas of activity: <ul style="list-style-type: none"> • Case files cover a transaction or event from beginning to end. Case files are usually retained through the end of the transaction or event and then for an additional period. For example these file types may range from proposed legislation to grant program, equipment or purchasing files. • Program files may generally remain useful for an indefinite period or are handled periodically (each fiscal year, biennium, etc.). They may contain varying types of records, from forms to correspondence, from research to special reports. • A subject name for a major group of files may be useful when the group consists of a single type of files, such as employee files. • Project files develop during the course of a specific project and become inactive at some point when the project is concluded.
Technical or Reference Material	Anything from handwritten notes to general agency correspondence, printed reports, publications or special studies or records from other files that have been retained past retention requirements for reference may be included in this category.
Non-Standard Records	Film, audio or video records, photographs, drawings, card files and/or other records kept apart from the rest of the files because of their size or shape.
Correspondence	Correspondence is usually a type of document contained in a file, but may be a minor group included with other major groups.

4.1.8 Arranging the Inventory

After identifying and naming the major and minor groups, arrange the cards or set up the listing following a basic outline model. It will make the relationship between major groups, minor groups and file contents easier to visualize. It will also help identify a file arrangement that best contributes to actual retrieval and file management needs in the office and can serve as the basis for a file plan.

1. Major group title
ABC Minor group title
 - 1) File folder title
 - 2) File folder titleDEF Minor group title
 - 1) File folder title
 - 2) File folder title (or description of how folders are filed — project number, etc.)
2. Major group title
ABC Minor group title
 - 1) File folder title
 - 2) Etc.

4.1.9 Problems in File Organization

Basic organization moves from the broad functional area to subdivisions of the area to the specific files. The most common problems in organizing files are:

Too many major groups with only one or two minor groups in each result in a complex and confusing filing system. Limiting the major groups to the broadest categories of major functions or areas of activity for the office helps reduce major groups to a manageable number.

Too many minor groups with only one or two folders in each, result in too many subcategories to remember and can increase the chance of misfiles. Major groups may have a number of minor groups. Carefully determining the scope of major groups will help you control the number of minor groups. A simple and balanced system reduces misfiles and lost records. It costs approximately \$100 each time a file is misplaced in a large office.

4.1.10 File Coding

File coding is a shorthand identification of the major and minor group and folder number to identify where records are located and simplify routine filing and retrieval. File codes on folder labels and in file plans should mean something to users and help identify the contents of the file.

For example, a folder label has 3.CON 2 entered in the upper left corner. This file code represents the *second* file folder in the minor group *Contracts* (CON), in major group number 3, which may be business or project records that include contracts as a minor group. The label may also contain the contractor's name, the contract number or other identifying information.

The following table lists acronyms used in file codes of minor groups found in many offices. Create other codes as needed.

Minor Groups and Codes			
Code	Minor Group(s)	Code	Minor Group(s)
ACC	Accounting, Stock Accounts, etc.	MAN	Manuals
ADM	Administrative Operations, Administration (may include accounting, budget, etc.)	MAP	Maps and charts
AGO	Attorney General's Office	MAT	Materials Files, Materials Records
AGR	Agreements	MGT	Management, Program Management, etc.
AUD	Audits	MNT	Maintenance
BUD	Budget	OM	Office Manager
CLM	Claims	PER	Personnel, Human Resources
CON	Contracts, Contract Monitoring, etc.	PIO	Public Information, Public Relations
COR	Correspondence	PMT	Permits
CUR	Current Directives, Current Project, etc.	POL	Policies
DIR	NCTPA Directives, Administrative Circulars, Administrative or Announcements, etc.	PRE	Preliminary Bids, Preliminary Plans, etc.
DBE	Disadvantaged Business Enterprise	PRG	Program Files (or files related to ongoing functional programs, etc.)
EEO	Equal Employment Opportunity	PRO	Project Files, Procedures
EQP	Equipment (use MAJ or MIN if needed)	PUB	Publications, Public Hearings
FIN	Financial	PUR	Purchases, Purchase Orders
GEN	General Correspondence, General Reports, etc.	REF	Reference
INR	Internal Reviews, Internal Audits, Sunset	REG	Regulations
IPE	Investigation and Planning Expense	REQ	Requirements, Requisitions, Requests
ISS	Issues	RES	Resident, Research
LED	Ledgers	RPT	Reports
LEG	Legal, Legislative, Legislature	RRX	Railroad Crossing
LET	Letting Files, Letters	SAF	Safety
LIC	Licenses	TOR	Tort Claims
LIT	Litigation	TRN	Transitory Files, Reading Files

4.1.11 Organizing and Labeling File Folders and Guides

Each file folder holds a specific set of related records. There are a number of ways to arrange file folders within a major or minor group. Keep the following in mind when organizing files:

- Think about retrieving information rather than storing paper.
- Use specific titles for major groups, minor groups and file folders, leaving no room for misinterpretation. Do *not* use "Miscellaneous" as a title; it is another word for "lost."
- Arrange folders functionally and logically. The arrangement should relate directly to office functions and provide the most convenient access to the most active files.
- Arrange folders for easy management. Separate files that are purged routinely from files retained for a long time. (Or, graphically identify frequently purged files with colored labels.) The less that retention periods vary among various folders, the easier it is to manage the files.
- Include reference to automated or non-standard records and files. Use file guides to tell users that automated or imaged files exist, where they are and how to access them.

Section 4.2. Developing a File Plan

4.2.1 Definition and Content

A file plan is an index to the information in the files. The plan helps employees locate files. It can also be used to help offices identify and manage record copy files in accordance with the records retention schedule. The outline of file title and location information developed during a file inventory can serve as the basis for a file plan.

File plans may be simple lists or comprehensive descriptions of the various records in the files containing enough information to eliminate most guesswork in files management. The first three items in the table below are basics for any file plan. Following those are additional items of information you may want to include in your file plan.

File Plan Content	
Block	Description
File Codes (if used in files)	File codes consisting of numbers and letters assigned to major groups, minor groups and file folders help users locate records and simplify all aspects of filing and retrieval.
File Title/Description	File titles or descriptions identify major groups, minor groups and individual file folders. Major and minor group titles and descriptions may also appear on file guides in file cabinet drawers.
Location	Files may be located in a variety of places. The file plan should guide users to the right place. For small offices, a general location statement may suffice. Larger offices may need to develop a numbering system for file cabinets and drawers or include a map or layout of the file cabinets with the file plan. Indicate any files maintained at individual workstations or custodians responsible for specific electronic records.
Record Copies	You may want to identify record copy files to help file management procedures related to retention and disposition of records.
Retention Requirements	You may want to include retention periods for record copy files. Although information and convenience copies need to be retained only as long as needed, some offices include retention periods for them on the file plan if it is important to keep the records for specific periods.
Agency/Item	For record copy files, the agency item number from the NCTPA records retention schedule is necessary when completing the records destruction log after purging files. Having it on the file plan is a convenient reference.
Remarks	Information on confidentiality, vital record status, archives review requirements, special handling or any explanatory remarks.

Coordinating review and acceptance of the plan during its development among those who are responsible for and/or use the files helps to ensure filing accuracy. The file plan is a dynamic document that should be revised as needed.

Section 4.3. Implementing the File Plan

4.3.1 3Procedural Steps

Implementation of the file plan includes

- preparing file guides,
- preparing labels for file folders and drawers,
- coding records,
- cross-referencing files,
- organizing files according to the file plan, and
- distributing the file plan.

4.3.2 Preparing File Guides

Prepare a file guide (divider) for each major and minor group of file folders.

Major group guides should include the major group number and title, “1. ORGANIZATION AND MANAGEMENT,” for example minor group guides should include the appropriate major group number, minor group code, and minor group title. For a minor group of audit folders within the major group of organization and management, the guide label would consist of “1. AUD Audits.” Major group guides should be distinguishable from minor group guides at a glance. An easy way to do this is to use a second-position guide (center tab) for major groups and a first-or third-position guide (tab on the left or right) for minor groups.

Note: For electronic files, microfilm files or files located away from the file cabinets, prepare a guide that tells where to find the files. For example, if files are maintained electronically on a server, a directory address, such as “SEE H:\Folder\Sub-folder name” may be useful.

When using color coded folder labels as a file management tool, use plain white guide labels to avoid having to prepare new file guides every year.

4.3.3 Preparing Folder Labels

Use color-coded labels to distinguish folders maintained on a periodic (fiscal or calendar year) basis, and white for folders that are not routinely purged which remain in the files year after year.

The folder label describes where a folder belongs in the files and what is in it. Each label should include the file code, folder title or content description and, if needed, a date for the contents.

Although space on labels is limited, including additional information, such as identification of record copies and destruction date can be helpful in file management.

For extensive or complicated filing systems, labeling systems using large, easily visible letters, numbers and dates in varying color combinations and tab configurations are available from commercial vendors. Bar code technology is also commercially available for large file systems with significant retrieval activity.

4.3.4 Preparing File Drawer Labels

Use file drawer labels to identify the contents of each drawer. If room permits, list the titles and/or codes, dates or other identifying information for beginning and ending major and minor groups in the drawer.

4.3.5 Coding Records for Filing

Ease of retrieval and successful file management depends on accurate filing. Entering the file code on a document tells at a glance where it belongs in the files. The most effective method of coding is to enter the appropriate file code, consisting of the major group number, three-letter minor group acronym, and appropriate folder number in a prominent place, such as the upper right corner on each document as a routine office procedure when documents are created or received. This can be automated somewhat by including the file code in headers or footers on template documents related to particular functions or activities. It

may not be feasible to code all existing files, but when a file is retrieved, it can be coded for accurate refiling.

Documents copied and filed in different locations need more than one code. Circle the code for the file folder where the particular copy of the document belongs.

4.3.6 Cross-References

Avoid filing multiple copies of records. When a record appears to belong in more than one place, prepare a file guide pointing to the proper location of the record. This method reduces the chance of inadvertently retaining convenience copies after the record copy has been destroyed.

An alternative is to use the "Remarks" area on the file plan to cross-reference files.

4.3.7 Organizing Files According to the File Plan

To arrange (or rearrange) the files in accordance with the file plan:

- Remove all paper clips.
- Staple multi-page documents together. (This allows you to see if other unrelated records have been inadvertently clipped together.)
- Arrange all file guides and file folders according to the file plan.

4.3.8 Distributing the File Plan

Keep a copy of the file plan available at a central location for reference by employees. Making the plan available in an office's server is an efficient method of dissemination. It may be helpful to insert a copy of the file plan at the front of each file drawer.

In large offices with dispersed files, the records administrator should collect individual units' file plans in a central location as an aid to auditing and general records management functions. *Note:* It can be helpful to maintain a file of previous file plans to use when records need to be retrieved from storage.

4.3.9 Charge-Out Records

When a user removes a file folder from the files, the folder should be replaced with a charge-out record card containing the date of removal, a brief description of the folder removed (label information usually suffices), and the name and phone number of the user.

Standard charge-out record cards are available from NCTPA supply sources. It is a good idea to keep a few cards at the front of each file drawer. When a user returns a checked out folder, the user's name can be marked out and the card re-used.

Section 4.4. Using the File Plan to Manage Records

4.4.1 Managing Files for Retention

The NCTPA Records retention schedule lists retention requirements for certain *types* of records, (i.e., record series). Record series are described in fairly general terms on the records retention schedule. The file plan can be used to relate specific files to broader record series descriptions to establish a proper retention period.

A detailed file plan that identifies record copies reduces confusion and uncertainty when purging files.

4.4.2 Purging Files

Review files at least annually to remove inactive records for storage or to destroy eligible records. Since most NCTPA records are filed and retained on a fiscal year basis, purging can be undertaken while new files are being set up for the next fiscal year. Purge transitory, convenience or information files more often, if needed. The file plan can be a helpful tool, if it identifies record copy files and includes retention periods.

File Purging Procedure	
Step	Action
1.	Print out a copy of the file plan to mark up indicating files to be stored and files eligible for destruction.
2.	Make a list of the records to be stored in sufficient detail for efficient retrieval. Form "Records Transfer and Service Request" is a document designed for that purpose. An index of files being purged for immediate destruction may be more general, but should contain sufficient information to identify the records being destroyed to enter on a records destruction log, if they are record copies.
3.	Identify any records with an archives review requirement on the records retention schedule.
4.	Remove files to be stored at a different location and place them in an appropriate container, such as the standard document box (DHT 0019879) available from supply sources. Since most required retention periods are relatively brief, it may be convenient simply to designate unused file cabinets or drawers as storage areas for documents being retained. Records kept only in electronic format may be moved to off-line storage media or special folders set up for storage. For security, electronic storage folders should be maintained on servers, and not on desktops. See Chapter 5, "Electronic Records" for specific information and requirements related to retention of electronic records. Custodians of records in an electronic document management system (EDMS) can change the status property to declare documents or collections of related documents as records for retention purposes. A search based on a combination of properties, such as record type, date, and status can identify documents meeting the criteria that designate them as records. Custodians can review and delete drafts, notes or working copies and revise any status properties to "Final" or "Complete" to declare the documents as records and to initiate their retention.

5.	Coordinate a review of records eligible for destruction with the appropriate manager, supervisor, custodian and/or records coordinator responsible for the records to authorize destruction on the records destruction log or identify any records that must be withheld from destruction. Refer to Chapter10, "Records Destruction," for detailed procedures.
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CHAPTER 5 ELECTRONIC RECORDS

Section 5.1. Definition

5.1.1 Definition of Electronic Record

An electronic record is any information created, used and retained in a form that only a computer can process. Electronic records may reside on a hard disk, optical disk, CD-ROM or other storage media, such as diskettes or tapes.

Any agency record may be created or stored electronically. Certified output from electronically digitized images or other electronic data compilations is accepted as original agency records by any court or administrative agency of this state unless barred by a federal law, regulation, or rule of court.

The definition of a record can range from a single document to entire files of different types of applications and media related to the conduct of official business. In this chapter, the term record and file may be used interchangeably to describe official records, as distinguished from the use of these terms to describe specific data sets in the computing environment.

Section 5.2. Guidelines for Managing Electronic Records

5.2.1 Introduction

Records management principles and requirements apply to official records that are created and maintained in any medium. Records retained electronically must be individually accessible by authorized users, protected with appropriate security to maintain their integrity, and disposed of or, if necessary, prepared for transfer to archives.

This section discusses:

- working files and record copies,
- retaining electronic records,
- using offline media,
- maintaining offline media,
- environmental considerations and care of media,
- protecting record integrity,
- record security,
- security for confidential electronic records,
- considerations in document imaging,
- e-mail as an official record,
- e-mail and confidential records,
- retention of e-mail records, and
- destruction procedures.

5.2.2 Working Files and Record Copies

Electronic working files such as raw data, drafts, working copies, etc. ordinarily only need to be retained until their purpose is served or they are updated. Any

resulting official record to be kept electronically is retained for the required period without change. Electronic record copies are identified by medium codes of "O" or "E" on the NCTPA Records retention schedule.

Many electronic records in their final, "official" form are still printed out, and ultimately retained in conventional paper files. It is important to remember that if the electronic record remains on the system after the printed version is destroyed, it becomes the record copy by default, and is subject to legal discovery and open records demands. If an electronic draft or working copy of a record remains in a records system or on a disk after the destruction of the official record, the electronic draft or working copy becomes the record copy.

5.2.3 Retaining Electronic Records

Records administrators should conduct routine procedures to coordinate the retention and disposition of electronic records within their organization.

Avoid retaining official records on individual desktop PCs, as the practice exposes records to potential loss when employees leave or when equipment and software is upgraded.

Retain inactive electronic records on a server or on offline electronic media. Servers are routinely backed up and offer a virtual central file room for retaining electronic records that are individually accessible. Memory capacity is a consideration in planning for the retention of electronic records. Electronic forms and documents containing macros consume significant amounts of memory. Since the retention period for the majority of agency records is relatively brief and the likelihood of having to retrieve any particular record during its retention is low, a routine procedure to move electronic records to offline media such as CD is probably the best compromise.

Make directories to organize records storage, either by custodian or function, and set up folders by destruction year, interpreted as the first calendar or fiscal year the records become eligible for destruction after their required retention has been met. Then create subdirectory folders with a brief record title for the records to be retained until the particular destruction year. In most cases these will be the same year after year for any given office. It may be helpful for logging records destruction to include the Agency Item Number from the NCTPA records retention schedule in record folder names.

Include electronic records management procedures in written office operating procedures.

5.2.4 Using Offline Media

Using offline electronic media, such as diskette, tape or compact disk for storage combines the efficiency of leaving the records in their electronic format with the convenience of having the records on physical media that can be managed in the same way as records in any other hard medium. Individual offline media should contain a single record series or closely related record series that have the same destruction date. Records must be individually accessible. Do not use routine backup media for record keeping purposes. Records being retained on diskettes

or other portable media for retention are to be kept on media dedicated to that purpose only.

Electronic storage media must have an external label or an index that includes:

- name or other identifier of the organizational unit responsible for the records;
- descriptive title of the contents;
- dates of creation and authorized disposition date;
- security classification;
- identification of the software (to include specific application if appropriate) and hardware used; and
- operating system title and version.

5.2.5 Maintaining Offline Media

Offices retaining electronic records must establish a schedule for recopying electronic agency records maintained on electronic media to ensure that no information is lost.

- Recopy records maintained on floppy disks (diskettes) a minimum of once a year.
- Records on more durable media should be inspected and copied on a regular interval if they are retained for more than five years or if the media is frequently used to access the records. Most agency records have a retention period shorter than five years.
- Offices maintaining electronic records on offline media must have a migration strategy in place to ensure the availability and usability of the electronic record across hardware and software changes until the expiration of its retention period.
- Keep electronic media away from sources of electromagnetic radiation such as magnets and motors.
- Protect diskettes. Keep diskettes in a clean space with dust protection and out of direct sunlight. Avoid touching the surface of diskettes or other storage media; skin oils can interfere with their ability to store data.
- Maintain proper temperature and humidity. For records retained less than 10 years, an air-conditioned office environment usually suffices. Ideally, diskettes and cassettes should be kept in 65°F to 75°F temperature and 30% to 50% relative humidity. Optical data storage media are more environmentally tolerant, requiring 14°F to 122°F temperature and 10% to 90% relative humidity.

5.2.6 Protecting Record Integrity

To maintain record integrity is to ensure that records are not changed, damaged or destroyed before their retention period is over. Extra care is necessary when relying on an electronic record keeping system. Electronic records must be maintained in a usable format until their authorized disposal date, and can be easily altered or accidentally deleted. It is important to establish and follow procedures that require enough deliberation in managing electronic files and

records to reduce the likelihood of inadvertent alterations or deletions of records. Procedures may include identifying custodial responsibility for specific records retained electronically, and using security features to limit access to the records during their retention to the records administrator and the designated custodian only. The procedure should include a method of logging any access or retrieval of the record during its retention.

5.2.7 Securing Confidential Records

Every employee is responsible for exercising appropriate care for official records.

Security measures for retaining confidential electronic records include:

- Create the original record on a CD/DVD so that the information is not part of any directory on a hard drive.
- The most secure method for retaining electronic records is to copy them to offline media, which can be physically secured under lock and key, with access limited to authorized persons.
- If retaining confidential records on a PC or server is unavoidable, limit access to the records by the use of additional password or operating system security.
- Remember that deleted records are still on the hard drive even though they are not shown on the file directory. Consult with your information resources manager to ensure the removal of the record from the disk itself after it has been copied to offline media or otherwise deleted.

The only sure way to destroy confidential files on portable storage media is to physically destroy the media.

5.2.8 Document Imaging

Base the decision to convert documents or records to digital images on an actual business need. Keeping records “just in case” a legal need *may* arise is not a legitimate business need.

The costs to scan simply for retention purposes are not usually justified in comparison to the lower cost simply to box and store records that have a relatively short retention period and that are not subject to frequent retrievals. Imaging is a good solution for retaining records that are subject to frequent retrieval during their retention. Imaging also offers savings in space and filing equipment for voluminous records, and can be useful for maintaining duplicate copies of records as part of a vital records protection program.

Selection of the image file format is a consideration. Adobe Acrobat’s portable document format (PDF) offers some functionality in imaged documents, and, since the reader has been made freely available, PDF has become a de facto standard. If the requirement for an imaged record is simply to retain it without a need for any added functionality, use of the Tagged Image File Format (TIFF), a graphic file format developed by Aldus and Microsoft, is sufficient and usable by standard image viewers.

Length of retention of the imaged records is also a consideration. Changes in technology do not generally represent a threat to the ability to access and read records being retained on a particular electronic medium for fewer than five years. Migration strategies and the budgeting necessary to implement them are an important consideration in any planning for long-term retention of records on electronic or digital media.

In most cases it is best to implement scanning from a point forward. Backfile conversion (scanning of files currently in storage) is normally not cost-effective.

Integrating scanning procedures into the workflow can address both active file retrieval and record storage needs while avoiding the added separate step in the handling of records that batch processes involve. For example, scanning files when they would normally be closed and filed can spread the workload over time. The scanned images

Document imaging as a routine business practice in written and dated internal office procedures. Include information on when in the record or document's life it is scanned, quality control measures employed, disposition of the original record or document, retention of the imaged records, procedures for authorization and destruction of the CD.

5.2.9 E-mail Records

E-mail created or received using NCTPA resources and/or in the course of NCTPA business is an agency record and is subject to the same requirements that relate to all official agency records. Most e-mail records have a short-term value, but the content may be such that the email is subject to retention in accordance with the requirements for a particular record series in the NCTPA records retention schedule.

Because of volume, e-mail presents a potentially expensive liability in terms of discovery or open records requests. See the subheading, "E-mail Best Practices in Section 4, "Legal Issues and Electronic Records," for guidelines to reduce negative exposure in e-mail records.

Since e-mail systems and servers have varying storage capacities, techniques to retain e-mail can include:

- organizing e-mail into specific cabinets or folders related to record series for retention in the e-mail system,
- saving e-mail to an appropriate electronic storage directory related to the record series, or
- printing the e-mail and retaining it with hard copy records in the appropriate file.

5.2.10 Destruction of Electronic Records

The procedures for destroying electronic records at the end of their retention periods are the same as for other records, and require proper documentation of destruction. See Chapter 10, "Records Destruction Log."

Destroy convenience or information copies, working drafts and other non-record copies when they have served their purpose.

Electronic records having archival value must be maintained by the agency except as otherwise determined by the state archivist. Electronic records must be retained with the hardware and software appropriate to retrieve and read the record. Offices choosing to retain archival records electronically must establish a migration strategy to ensure that the records are retrievable and readable with whatever technology is currently in use in the agency. An alternative is to print the records out on acid-free paper, and to contact records management to coordinate their handling with the state archivist.

Section 5.3. Records Management in an EDMS

5.3.1 Introduction

It is critical to include agency records management policy and procedures in planning for the implementation of an electronic document management system (EDMS). This section discusses records management planning considerations and gives an overview of how records management works in an EDMS.

Since the records management process involves human and technical interactions, records administrators have a role in planning for an EDMS implementation. Users perform their business functions and processes, and are typically unfamiliar with records management requirements that begin once their work is completed. The records management process in an EDMS involves collaboration between the records administrator, the system administrator and the records custodians on a routine basis to ensure that records in the system are declared, retained and destroyed in accordance with agency policy and procedure.

5.3.2 Planning Considerations

Records management planning considerations in an EDMS involve:

- Delegation of record (a collection of related documents)-level “ownership” responsibility and authority.
- Establishing document ownership, authoring and viewing rights.
- Coordination with users to relate documents to types of records.
- Determining when a document or collection of documents becomes a “record” for retention purposes.
- Evaluating overall records retention requirements for the various types of records maintained by the organization.
- Determining what documents are added to the system.
- Determining length of retention and disposition of original hard copy documents after scanning and addition to the system.
- Establishing procedure and responsibility for records management functions in the EDMS.

- Determining a policy on signatures (i.e., requiring the “Final” document (record) to be signed or requiring incoming documents bearing signatures to be scanned for adding to the system).
- Determining how long to retain drafts or versions after a document becomes a "record."
- Determining how to manage copies of documents downloaded to desktops.
- Determining the need, if any, for a long-term (“archival”) component in the EDMS.
- Developing a procedure to identify and preserve electronic records required by the State Archives (if applicable).
- Developing and documenting system-based records management policies and procedures.

5.3.3 Ownership Responsibility and Authority

“Ownership” of records includes the responsibility for their proper security, integrity, retention, and the authority to destroy records when they become eligible. It includes the authority to withhold records from destruction when appropriate or necessary. The responsibility and authority typically belong to a management level most directly involved with the records.

5.3.4 Determining User Rights

Employees with ownership and authoring rights can add documents to the system, check them out, perform functions on them and change property information. Those with viewing rights can access the documents, but cannot make changes to them. Assignment of rights can have a bearing on the accuracy with which documents are added to the system, which in turn affects their retrievability. Limiting ownership rights once records have been declared for retention purposes can help maintain the integrity of records stored in the system.

5.3.5 Identifying Record Types

Documents are organized in the EDMS in classes based on business functions. During planning, users identify the types of records their function generates. A record type must be assigned as a required property, or characteristic, when users save a document to the system.

That property, when combined with other document information in a searchable database of document properties, provides a means to manage groups of documents that comprise records.

In most functional document classes the number of different types of records is limited, and users will already be familiar with the types of records they normally handle.

5.3.6 Declaring a Record

Include procedures and the assignment of responsibility for the orderly and timely review of records to initiate retention in the system and to authorize destruction

when the records become eligible. For retention and disposition purposes, a document or collection of documents becomes a record at the point it becomes inactive. For example, records managed on a fiscal year basis typically begin their retention at the end of the fiscal year. In an EDMS, the document status property, such as “Final” or “Completed,” in combination with the latest date of the document can be used to establish when it becomes a “record” in the sense the term is meant here. Other properties such as program or project name can associate various component documents in a record.

This process should be integrated with other routine file management procedures.

5.3.7 Evaluating Retention Requirements

Planning for an EDMS offers an opportunity to review records retention practices and requirements. In addition to unnecessary exposure to legal and open records demands, retaining records beyond their minimum requirement can eventually impact system performance and efficient accessibility to documents. Most agency records have short retention requirements and can be retained directly on the EDMS.

Consider measures to protect the integrity of the records during retention. The assignment of specific user rights, the capacity to track document versions, and routine automatic system backups contribute to the security and integrity of records retained on an EDMS.

Limiting ownership rights to specific custodians once documents or collections of documents have been declared as records for retention purposes enhances the ability to maintain record integrity during the document/record life cycle in the system.

5.3.8 Selecting Documents to Add

Not every document needs to be added to an EDMS. This is particularly true for nonfunctional related announcements, copies, e-mails lacking content, etc. Developers should establish what the system will contain along with considerations of user rights.

5.3.9 Scanning Considerations

Scanning is a straightforward process and the quality of the scanned image can be verified immediately. Document any requirement to retain the hard copy original for any period after initial scanning in the internal policy and procedural materials governing the operation of the EDMS.

5.3.10 Authority Considerations

Planning should include establishing authority to conduct routine records management procedures in the EDMS. Records administrators may want to coordinate a standard procedure for global status changes for groups of documents/records routinely managed on a periodic basis, such as fiscal year or calendar year. Custodians/owners may change the status of a document or

collection of documents for the purpose of records retention, and should coordinate these status changes with the records administrator.

5.3.11 Signature Considerations

Planners should determine a policy on signatures. In some circumstances, it may be desirable to require that the “Final” document (record) to be signed and scanned, and to require that incoming documents bearing signatures be scanned for adding to the system.

5.3.12 Version Control

While the retention of drafts or early versions of documents may have occasional value, that value must be weighed against risks posed by legal discovery or open records demands. The proliferation of drafts and versions may also interfere with accurate retrieval. It can also make file management more difficult. A policy to retain either a limited number of drafts or versions, or to limit the length of retention of drafts and versions of a document after the final or completed document is issued or signed, may help address the risks.

5.3.13 Copies on Desktops

Copies of documents saved to desktop work stations are the equivalent of photocopies in personal files, and present the same risks in terms of discovery. EDMS access rights can control the number of users who may download, but the possibility remains. Policy on downloading copies is a planning consideration and should be included in operational procedures and user training.

5.3.14 Evaluating Archival Needs

While storage is cheap and abundant, it is not infinite. A library may eventually contain hundreds of thousands or even millions of documents. Locating and accessing the desired document can become tedious and complicated, particularly if document naming conventions are insufficient to avoid confusion. It is important to consider how records retained for lengthy periods of time are actually used and the impact on document handling and workflow when evaluating any alternative strategies/technologies for archiving.

In the NCTPA EDMS system design, there is a status property titled “Reference,” which may be used for documents being retained beyond their eligible destruction date. As a matter of use policy, requiring an owner to explain the use of that property in the document comments field can help subsequent users, authors or owners understand the reason for the extended retention.

Use of a single platform to manage documents/records is preferable to using separate “islands of technology,” such as scanning large EDMS files to CD/DVD for archiving or retention.

The document processes are simpler, more straightforward and less expensive. For EDMS implementations that will involve a significant archival component, a FileNET IS (Image Services) library is a tool better suited to constantly growing document repositories. It is a standard online repository which can be accessed using the same client interface as the EDMS. Since the documents reside on a

system compatible with the core technology, they will migrate along with the core technology. IS scanning would require different document processing steps and software, but it is still standard within the FileNET application in NCTPA. Since records destruction is somewhat more complex and expensive in the IS environment, it is not an appropriate technology for records with short retention requirements.

5.3.15 State Archives Requirements

Certain agency records cannot be destroyed until they have been reviewed by the State Archives for historical value. These records are identified in the NCTPA Records retention schedule. There are relatively few records affected by this requirement, but when they occur in an EDMS, steps to preserve them, either online or converted to offline media must be part of the planning. NCTPA Records management can assist in planning a strategy to meet this requirement.

5.3.16 Documenting Procedures

Records management policy and procedures related to an EDMS implementation should be written, dated, and included in general office procedures to establish them as a normal and routine business practice. The procedures should include information related to:

- any special retention requirements (i.e. retention of original documents after scanning),
- frequency of review for destruction,
- an authority list of document owners who can authorize disposition or further retention of records,
- any requirements for documenting why records are withheld from destruction after they become eligible,
- internal policy on archiving and any routine review and purging procedure conducted
- for records retained under an AV (as long as administratively valuable) retention period.

5.3.17 Records Management Procedures in an EDMS

Records management procedures in an EDMS are the same as those for records in any medium. They include procedures to:

- ensure retention of inactive official records for the appropriate period,
- dispose of drafts and copies,
- conduct routine housekeeping procedures to delete transitory documents or documents containing no value (“trash”) from the system,
- identify records/documents that are eligible for destruction,
- coordinate approval of, or withholding from destruction, by the appropriate authority,
- ensure accurate and timely revision of status properties for documents and collections of documents (records) involved in audits, investigations,

litigation or open records requests and revision of record type properties for further revision of the affected records after conclusion of the action,

- conduct the actual destruction of the records, and
- document their destruction.

In addition, there must be policies and procedures to ensure the integrity of the electronic record during its retention.

Managing records in an EDMS involves the collaboration of the records administrator, the custodian/owner of the records and the EDMS system administrator.

Assignment of the "Record Type" property when adding a document to the library relates the document to its retention requirement in the NCTPA records retention schedule. Changes in document status determine when it becomes subject to retention requirements.

Records administrators should include routine procedures to coordinate the declaration of documents as records for retention purposes with records custodians, document owners and EDMS system administrators at the same time other routine records management activities take place. Refer to the following chapters for more detailed information:

- Chapter 4, "File Management"
- Chapter 10, "Records Destruction."

Section 5.4. Legal Issues and Electronic Records

5.4.1 Legal Use of Electronic Records

In general, the California Rules of Court allow for the use of electronic records as evidence.

Each judge may admit or exclude evidence on the basis of the court's independent evaluation. The court must believe that the records admitted are trustworthy; i.e., that they clearly and accurately relate the facts as originally presented or in summary form.

Since electronic records have systemic vulnerabilities, the following additional efforts can help to assure their trustworthiness:

- Add procedures related to the management of records that are converted and retained as digital images to the written procedures that document the handling of the records in the routine course of business. Dated procedures should document when in the record's life it is converted, quality control measures employed to verify the digital image, and disposition of the original electronic or hard copy record.
- Establish procedures to limit through security rights the ability to access documents being retained as a record in an EDMS to a single custodian or the system administrator, and to control alteration of the record content or properties by requiring the record document to be checked out and the changed document to be saved as a separate document.

- Update the NCTPA Records retention schedule as necessary. An approved records retention schedule can have an important impact on court proceedings by documenting a record's existence, medium, and retention period. The fact that a record is on the schedule shows that the agency produces it regularly. Refer to Chapter 3, "Records Retention Schedule," for procedures to update the schedule.
- Maintain a records disposition log. Courts generally accept the defense that records have been destroyed under an approved records retention schedule. This is an especially effective defense if there is documentation over a period of time to prove that the records have been routinely destroyed in compliance with the retention period specified on the schedule. A records disposition log, carefully maintained, can serve this purpose. For detailed information, see Chapter 10, "Destruction of Records".
- Keep records to establish equipment and software reliability. A daily operations log indicating the absence of any malfunctions is generally adequate. Since a record's contents may change if equipment is not operating properly, evidence that the equipment was operating reliably on the day an electronic record was prepared may be required. Record contents may also be affected by computer program errors. Evidence related to program code development; revision and testing documentation might be required. An expert may examine the program to determine accuracy and reliability. The specific version of the program used to process the electronic record being entered into evidence may be required. A different version of the program may be considered if it is the only one available. However, the absence of the exact version may raise serious questions about the trustworthiness of the record. Print records out. Printouts prepared in the ordinary course of business are perceived as more trustworthy than printouts prepared for trial. Printouts can serve as an audit trail documenting data integrity, even though time has elapsed between creations and printing of the record.

5.4.2 E-mail Best Practices

Some simple common-sense measures can help reduce the expense involved in searching emails for discovery or open records requests.

- Dispose of purely transitory e-mails as soon as they have served their purpose.
- Maintain a short auto delete and backup interval (recommend 30 days).
- Limit the number of recipients to as few as possible.
- Include specific identifying information such as Parcel Number, County CS Number, Purchase Order Number, etc. in the subject line.

The following guidelines can help reduce potential negative legal impacts arising from email messages.

- Do not include substantial content concerning sensitive subjects in e-mail.

- Devote the same attention you would to any formal written communication to e-mail messages.
- Be *very* careful with informality. Without the benefit of inflection and visual cues, what may be humorous in one context can appear entirely different on the page in another context.
- Do not talk like a lawyer; avoid “legal” content.
- Do not vent or complain.
- Never admit fault or liability.

CHAPTER 6 VITAL RECORDS

Section 6.1. Identifying Vital Records

6.1.1 Vital Records

A vital record is the recorded information that is essential for the continuation or reconstruction of an agency. It is those records that are important in establishing the legal and financial position of the agency and/or those important in preserving the rights of an agency, its employees or clients:

- resume or continue operations,
- reaffirm authority and activity, including legal and financial positions, and
- protect the rights and interests of the agency and its customers.

Although all agency records serve a purpose, only about 5 percent of an agency's records are truly vital as defined above.

6.1.2 Identifying Vital Records

Vital records are *only* those records that are essential for NCTPA offices to carry out their responsibilities following a disaster. Vital records are identified in the NCTPA records retention schedule.

Vital records may consist of:

- **operational** records necessary to resume or continue operations,
- **legal** records for proof of authority or activity,
- **fiscal/financial** records, especially those related to receivables, and/or
- **governmental** records necessary to protect the rights and interests of the agency, its employees and the public.

6.1.3 Responsibility for Vital Records

Offices that maintain vital records are responsible for:

- identifying vital records and making sure they are listed as vital on the NCTPA Records retention schedule,
- implementing vital records protection procedures to back up vital records, and
- advising the NCTPA records management officer on backup records locations, contacts and sources for records retrieval and reconstruction.

6.1.4 Common Vital Records

Vital records are not necessarily permanent records or records with archival value. Vital records may be vital for only a part of their total retention.

Common vital records include:

- active contracts and agreements, with all amendments and supporting documentation
- financial records

- accounts receivable (vendors will provide copies of lost or damaged accounts payable)
- loans or money transactions
- general ledgers
- records proving payment
- employee records
 - payroll
 - benefits
- operations and manufacturing records
 - engineering drawings
 - in-process project records
 - research and development notes, reports, plans, formulae
 - production/design specifications
 - equipment inventory
- negotiable instruments
 - checks
 - bonds
 - notes
- ownership records
 - deeds
 - titles
 - leases
 - patents and trademarks
 - licenses
- insurance policy information.
- If a record you consider vital is not identified as vital on the records retention schedule, annotate your file plan or record copy responsibility list to make employees aware of the need for special handling for the records. You may also include:
 - ***Special instructions.*** For example, the record may be vital only for a specific period of time within a longer retention period.
 - ***Backup protection.*** If the backup protection method is dispersal through *routine* distribution, indicate the agency offices that are the primary and secondary contacts. This may include another building which may have a copy as part of routine operations. If the record is dispersed through *planned* distribution, indicate the location of the backup copy. Additionally, note any special storage equipment used and its specifications.
 - ***Persons authorized to access the records.*** If the records are kept in secured storage, include information on contact persons for access.

Section 6.2. Threats and Protection

6.2.1 Introduction

This section contains information on:

- potential threats to records

- methods of protection
- storage equipment and conditions

6.2.2 Potential Threats to Records

Potential threats to records include:

- fire
- water
- theft and sabotage
- natural disaster
- civil disaster
- accidental destruction
- neglect
- misplacement
- age

6.2.3 Methods of Records Protection

Offices with record copy responsibility for vital records are responsible for taking measures to protect those records. Four effective methods of protection in the order of their expense are:

Record Protection Methods	
Method	Description
Duplication and Dispersal	<p>Dispersal is the practice of maintaining copies of a vital record in more than one location on the assumption that a disaster is unlikely to affect two different locations at the same time.</p> <p>There are two types of dispersal: routine and planned. Either way, you should document specific remote storage locations in disaster recovery procedures (see Chapter 7, "Disaster Recovery Planning.")</p> <ul style="list-style-type: none"> • Routine dispersal is frequently used in an agency with more than one office location. In the course of regular business, vital records are sent to several different locations for use and reference. As long as these records are maintained at two or more locations, <i>and</i>, as long as employees are aware that the records are vital, additional protection may not be required. • Planned dispersal is the distribution of a copy of a vital record specifically for protection purposes. The copy can be in any medium or format. The copy is sent to another storage location until the records are no longer considered vital or retention requirements are met. • Periodic inspection and duplication can arrest the aging process to some degree.

<p>On-site Storage</p>	<p>On-site storage involves storing backup copies in special storage equipment in or near the office location. Fire-resistant files or vaults are used most often. Use storage equipment designed specifically for the record medium (paper, film, electronic) and uses it only for vital records.</p> <p>Place equipment carefully, with disaster prevention in mind. Equipment should be on an outside wall, if possible. In fires, structures tend to collapse toward the center, where the fire burns hotter and longer. Do not store vital records in a basement. Basements collect water from efforts to extinguish fires, and flooding is an obvious danger.</p>
<p>Off-site Storage</p>	<p>Off-site storage involves storing backup copies in a remote location and is best for records that are referenced infrequently. Offices may develop storage areas or choose to use a commercial off-site storage facility.</p> <p>Considerations in selecting a commercial facility include:</p> <ul style="list-style-type: none"> • speed of access to the records • access control and security at the facility • environmental conditions (temperature, humidity, protection from outside air infiltration and electromagnetic fields, insect and rodent control) related to the type of record media stored • whether the facility meets American National Standard Institute standards for storage • availability of auxiliary power to maintain environmental conditions in the event of utility power failure • availability of insurance for the center and the records • type of fire prevention, detection and suppression systems used • type of filing index system used • procedures for receipt, transfer and disposal of records • existence of an established disaster recovery plan • availability of duplication and reproduction equipment • client references
<p>Microfilm or Scanning to Optical Media</p>	<p>Microfilming or scanning to optical media offer backup protection by creating duplicate copies. Because of the expense and labor involved in imaging, this alternative should only be considered for records that are vital through a lengthy retention.</p> <p><i>Note:</i> Do not store microfilm or CDs in fire-resistant cabinets. In a fire, the insulation in the cabinet creates steam on the inside</p>

	of the cabinet. Moisture and heat at relatively low temperatures will destroy film and plastic while not harming paper. Microfilm and electronic media require periodic inspection and possibly duplication when used to retain records for lengthy periods of time, especially if the media is stored in unfavorable conditions.
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6.2.4 Storage Equipment and Conditions

Records protection equipment, such as fire resistant file cabinets, safes or vaults, is rated for safety and damage resistance. Labels on the equipment certify that it has been tested for its capacity to withstand specified levels of intense heat, sudden cooling and severe impact.

The American National Standards Institute (ANSI), National Fire Protection Association

(NFPA), and the Underwriters' Laboratories, Inc. (UL) have established standards for the storage of records media.

Damage begins when temperature and humidity exceed the following levels:

Record Damage Thresholds		
Medium	Temperature	Humidity
Paper	350°F	100%
Microfilm (silver base)	150°F	85%
Magnetic	150°F	85%

Note: Optical media are environmentally more tolerant than other media.

Ideal storage conditions:

Ideal Storage Conditions		
Medium	Temperature	Humidity
Paper	60-70°F	50-60%
Microfilm (silver base)	65-70°F	20-30%
Magnetic	65-75°F	30-50%
Optical	14-122°F	10-90%

Mark all vital records storage containers to indicate the vital status of their contents.

CHAPTER 7 DISASTER RECOVERY PLANNING

Section 7.1. Overview

7.1.1 General -- Steps in Disaster Recovery Planning

Disaster recovery planning includes the following steps:

- disaster prevention measures,
- development of a disaster recovery plan, and
- development of disaster recovery and records salvage procedures, as part of the plan.

7.1.2 Definitions

A **disaster** is generally defined as an event that causes widespread destruction and distress.

When a disaster causes the irreparable loss of information, it may be called a **catastrophe**.

This chapter contains information that can help prevent disasters and help to keep any that may occur from becoming catastrophes.

Section 7.2. Disaster Prevention

7.2.1 Recognizing Threats to Records

Recognizing potential threats to records can help prevent disasters. The four most common threats to records include:

- fire
- water
- theft and sabotage
- adverse environmental conditions
 - flood
 - tornado or hurricane
 - earthquake.

Other threats include:

- civil disaster
- accidental destruction
- neglect
- misplacement
- deterioration by age.

7.2.2 Methods of Protection

The table below lists the four most common threats to records and ways to protect records from damage.

Record Threats and Methods of Protection	
Threat	Protection
Fire	<p>To minimize chances that a fire will start and maximize chances for quickly extinguishing any fires that do start:</p> <ul style="list-style-type: none"> • Do not store records near a heater, radiator or other heat source. • Prohibit smoking in record storage areas. • Do not store records with chemicals, cleaning supplies, etc. • Remove paper clutter from storage areas. • Observe approved records retention periods to ensure the timely destruction and removal of records, thereby reducing the amount of potential fuel. • Make sure electrical wiring is safe. When possible, avoid the extended use of lighting or equipment with cords around storage areas. After using such appliances, unplug them before leaving the area. • Comply with all local fire, electrical, plumbing, heating and construction codes. • Have fire extinguishers available near the records. Have them inspected regularly, and train staff to know where they are located and how to use them. • Clearly mark escapes routes and exits. Hold regular fire drills to practice emergency procedures. • Periodically evaluate fire prevention systems in use, such as smoke detectors and/or sprinkler systems. • Try to store records against an outside wall. In fires, structures tend to collapse toward the center where fire burns hottest and longest.
Water	<p>Water damage may occur as a result of other forms of disaster. Water damage and flooding often occur as a result of efforts to put out a fire. Winds and wind-driven rain can break windows and damage records. Also, routine structural failures such as backed-up drains and sewers, or broken pipes, can cause water damage.</p> <p>To reduce the likelihood of water damage to records:</p> <ul style="list-style-type: none"> • Avoid storing records in basements, under water pipes, or directly on the floor. • Locate all drains and have them checked regularly. • Regularly inspect the sprinkler system, and check the general condition of the records storage site for susceptibility to flooding. • Look for any potential water hazards during routine inspections of plumbing.

	<ul style="list-style-type: none"> • Do not install carpet in storage areas. It retains moisture, prevents drainage and, if wet, will create humidity and temperature problems. • Try to store records in an area without windows.
Theft and Sabotage	<p>Security is the key to protecting records from theft and sabotage. Consider the following when determining who will have access to individual record series:</p> <ul style="list-style-type: none"> • whether the records are classified as open or confidential, • characteristics of the record medium, • whether the records include vital records, • physical features of the building where the records are used or stored. <p>Conduct an initial security analysis and periodic evaluations of security in records storage areas and active files areas. The following basic protective measures will improve security.</p> <ul style="list-style-type: none"> • Determine who needs access to specific record series and limit the number of employees who handle these records. • Limit access to record storage areas. • Be aware that terminated employees may pose security risks. Be sure they turn in all relevant identification and keys before leaving. • Ensure that all access control systems, intrusion detection systems and alarm systems receive regular maintenance. • Make security checks at closing time to ensure all exits and windows are locked, all equipment has been turned off or unplugged, all lights and water faucets are off, no cigarettes are smoldering in ashtrays and no unauthorized persons are in the building. • Keep the exterior of the facility well lit at night. • Establish procedures to follow in the event of theft or vandalism.
Environmental Conditions	<p>The most important factor in protection from environmental conditions is avoidance of extremes. Avoid storing records in attics, basements or warehouses that are not in some way climatically controlled. To help retard natural deterioration, provide at least:</p> <ul style="list-style-type: none"> • air-conditioning • air circulation • temperature stabilized within a range of 60-75 degrees Fahrenheit. <p>Most modern paper deteriorates continuously due to high levels of paper acidity. Atmospheric pollution intensifies this</p>

	<p>problem. Microforms and magnetic media may deteriorate unless there are controls for temperature, humidity, pollution and light. Some protective measures in addition to the above are to:</p> <ul style="list-style-type: none"> • Avoid storing records in areas where there is smoke, dust or chemical fumes produced by paints or copying devices. • Protect all records from direct sunlight and bright lights. • Keep the storage area free of food, beverages and plants to avoid soiling the records or attracting insects or rodents.
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Section 7.3. Developing a Disaster Recovery Plan

7.3.1 General -- What the Plan Involves

Divisions and offices should develop a written disaster recovery plan appropriate to their own operations. Even minimal preparation can have a significant impact on the success of efforts to recover NCTPA records.

The following pages contain information to use in developing a disaster recovery plan.

Developing a disaster recovery plan involves:

- stockpiling emergency supplies and arranging services
- establishing a disaster recovery team
- developing disaster recovery and records salvage procedures
- contingency planning.

7.3.2 Emergency Supplies and Services

In an emergency, self-reliance is critical. In any major disaster, NCTPA is likely to have to assist with recovery efforts for other agencies and the public while managing its own recovery.

Initial disaster recovery plan development should include:

- stockpiling emergency supplies
- arranging necessary services to aid in disaster recovery.

Check supplies and re-confirm service agreements periodically. After a wide-scale disaster, these resources may not be readily available. Suppliers or service organizations may have their own damages to deal with, or they may be helping someone else.

7.3.3 Disaster Recovery Team

The Agency should establish in-house disaster recovery teams to resume or sustain operations after a disaster, including handling recovery of their records. The teams should develop and practice disaster recovery and records salvage procedures. Teams may also want to train office employees in disaster recovery.

Each team member should have two copies of the office's disaster recovery plan, one at the office and another at home.

7.3.4 Recovery Team Responsibilities

Ideally, a disaster recovery team should consist of at least four members, including a team leader. Each team member should have an alternate. Responsibilities of team members are as follows:

- **Team leader:** Acts as point of contact for local emergency service agencies; performs overall management of the team's disaster recovery and records salvage procedures; coordinates with other offices; authorizes expenditures for wages, supplies, transportation and services; and is liaison with NCTPA customers and/or the public.
- **Recovery and salvage supervisor:** Assembles, trains, and directs work crews for recovery and salvage procedures. Controls the flow of work and materials.
- **Coordinator of support services:** Assembles supplies and equipment and may arrange such things as food for work crews.
- **Record keeper:** Inventories damaged records. Assesses damage and salvage required. Performs or supervises recovery and salvage procedures.

7.3.5 Disaster Recovery and Records Salvage Procedures

Each unit is responsible for developing emergency procedures to follow in a disaster and making sure employees are familiar with them.

Include these essential procedures in any disaster recovery plan:

7.3.5.1 Activate Recovery Team

Once the building has been declared safe to enter, the team leader should contact the team and brief them on procedures and priorities to be met. The recovery team should then:

- assign specific responsibilities to members
- set up a communications center and obtain services, supplies and equipment
- make arrangements to take care of physical needs (food, water, hygiene) of personnel involved in the recovery.

7.3.5.2 Establish Security and Safety

For security and safety, restrict access to damaged area(s), allowing only essential personnel to enter. This minimizes opportunities for further damage to records and injuries to personnel. Use security guards, sign-in/out registers, and/or identification badges to restrict access.

Basic safety precautions include:

- Inspect disaster areas for hidden hazards, such as shorted motors or broken electrical wires.
- Avoid standing water and wet carpets, which make it dangerous to use electrical equipment.
- Install and use temporary wiring properly.

- Handle fire- or water-damaged files carefully. Wet records are heavy and fragile. Use care lifting record boxes or opening file cabinets.
- Use face masks and protective gloves. Wash or clean clothing as soon as possible to reduce health hazards from fungi and bacteria.

7.3.5.3 Assess Damage

Inspect damaged areas as quickly as possible. Avoid handling records, if possible. Take photos to document record damage. Keep the following questions in mind:

- How much damage has occurred?
- What kind (fire, smoke, soot, clean or dirty water, heat, humidity)?
- Is it confined to one area or is the entire building damaged?
- How much of the records holdings are affected?
- What type(s) of records media have been damaged (paper, microforms, photographs, magnetic tapes, diskettes)?
- Are the damaged records easily replaced? (Are backup copies stored off-site? Are the damaged records convenience copies? Can they be replaced with copies from other offices?)
- If the damaged records are irreplaceable, what is their value? (How important are these records to the business of NCTPA?)
- What is the order of priority to recover damaged essential records?
- Can the in-house recovery team salvage records or is outside help needed?

NOTE: Take steps to stabilize the environment while assessing the damage (see below).

7.3.5.4 Stabilize Environment

Take steps to stabilize the environment while the damage assessment is taking place. Mold can appear on records in 48 hours and is encouraged by high humidity and temperatures. Quickly reducing the humidity and temperature can reduce the risk of mold and buy time for recovery.

The following procedures will help stabilize the environment:

- Keep the air constantly circulating.
- Arrange fans to expel humid air outside.
- Use dehumidifiers if they are helpful. (Dehumidifiers may help in small, enclosed areas. Operating them may raise the temperature, however, and they tend to freeze up in colder temperatures.)

Immediately pump standing water from the area. Use caution -- standing water can conceal hazards. Remove wet debris and carpeting. The following equipment should be readily accessible:

- portable generators, in case of power failure

- shop vacuums capable of handling water (pumps may be needed to remove large quantities of standing water)
- fans to circulate the air
- thermometers, hygrometers or other tools to measure temperature and humidity.

7.3.5.5 Treat Water-Damaged Records

Water-damaged records are the records most likely to be salvaged. See the next table for methods of treating water-damaged records.

7.3.5.6 Perform Post-Disaster Assessment

Assessing the disaster recovery plan is essential. Share the results with divisions and offices and revise the plan if needed. Assess the following:

- effectiveness of recovery procedures
- areas for improvement
- sources and supplies
- any off-site facilities used.

7.3.6 Salvaging Water-Damaged Records

The records most likely to be salvaged after a disaster are those that have water damage. A number of options are available for treating water-damaged records. The steps to follow vary according to the record medium and are described below.

7.3.6.1 Paper

When paper records are slightly damp, air-drying (natural drying) may suffice. If records are soaked, they should be freeze-dried, regardless of quantity.

- Air-drying: To air-dry paper records, hang the paper on lines. You may want to interleave pages with special blotter paper as a preliminary step before hanging the paper.
- Rooms used for drying areas should have good air circulation and low humidity. Use fans, dehumidifiers and/or air conditioning. Handheld hair dryers (set on cool) may be used to speed drying.
- Freeze-drying: The most effective procedure for stabilizing water-damaged records and archival materials is to blast-freeze them to a temperature of -20 degrees F, and then dry them using a thermal vacuum process.

Freezing allows time to estimate recovery costs, prepare and coordinate subsequent steps in the drying and recovery operation, and clean up the disaster site. In addition, freezing stabilizes water-soluble materials (inks, dyes, etc.), that may disperse during air drying.

Thermal vacuum drying causes water to pass from a frozen state to a vapor without returning to a liquid form. It reduces stains and removes the odor caused by smoke. Determining a source for thermal-vacuum drying services should be part of disaster planning.

7.3.6.2 Microfilm

In recovering microfilm or microfiche, speed is essential to avoid the breakdown of film emulsions and the onset of bacterial growth which destroys images.

Immerse the film in clean, cold, preferably distilled water. Send the film to a professional laboratory for cleaning. Generally, film should not be frozen because ice crystals may harm it.

7.3.6.3 Electronic Media

Off-site storage of backups is the best possible disaster recovery strategy for electronic records. If electronic records on portable media are water-damaged, do not use them until they are thoroughly clean and dry and their housing or containers have been replaced. This reduces the possibility of damage to equipment, especially for disk drives.

7.3.7 Contingency Planning

Contingency planning combines emergency preparation with routine office procedures to help the office continue operations with as little interruption as possible after a disaster.

The real disaster is failure to prevent avoidable situations.

For effective contingency planning, do the following:

- Keep your office file plan up-to-date. Know which records your office has record copy responsibility for, and be ready to carry out disaster recovery and salvage procedures for those records.
- Be aware of alternate locations for records. You may use this information to replace records quickly after a disaster. Offices that are related by function are often alternate locations for the same record, even though only one office may be designated as the office of record. Part of a disaster preparedness plan could include:
 - Notation of alternate locations on the file plan, or
 - Securing a copy of any procedures manual or internal office procedural material that may include information on alternate locations for records.
- Keep a current list of contact persons for various types of records.
- Keep identification and protections for vital records current. Carry out vital records protection as described in Chapter 6, "Vital Records" in a disciplined manner.
- Back up electronic records routinely and frequently. Dispersal of a second backup copy at another, off-site location is a good protective measure.

Section 7.4. Disaster Recovery Plan Checklist

7.4.1 General

This section consists of a checklist of information that may be helpful for offices to include when preparing a disaster recovery plan.

Any written plan should be dated each time it is revised to show its currency. Plans should be reviewed and updated on a regular, periodic basis.

7.4.2 Initial Contact to Call in the Event of a Disaster:

Each division and office (and individual offices within them) should establish a point of initial contact for disaster reporting and initiation of disaster recovery efforts.

7.4.3 Disaster Recovery Team:

A disaster recovery team should be appointed to manage recovery efforts. It is useful to develop a "telephone tree" to arrange who is to call whom on discovery of a disaster.

7.4.4 Emergency Services to be Called in the Event of a Disaster

Maintain a directory of emergency services to be contacted in the event of a disaster.

7.4.5 Locations of In-House Emergency Equipment and Supplies

It may be helpful to include a map or floor plan with the location of emergency equipment and supplies marked as part of the disaster recovery plan. Location may actually be the office for which the plan is being developed or in another building that is accessible.

7.4.6 Sources of Off-Site Equipment and Supplies

Use a separate list for off-site equipment and supplies. If any of the items are maintained onsite, modify your location table and note the location.

7.4.7 Salvage Priority List

To quickly identify and prioritize records to recover, attach a copy of the office's file plan.

This attachment should identify all *vital* record series for which your office has agency record copy responsibility. You may also wish to identify non-vital record series that should be recovered in order for the office to resume or continue operations immediately.

Note on the file plan the location and record medium of the backup copy for each vital record series. Note offices and contacts for non-vital records necessary to continue business.

Assign each vital and non-vital record series a salvage priority using numerical values:

1. Salvage at all costs (records of historical value or non-vital records that are important to NCTPA operations and would be difficult to reconstruct).
2. Salvage if time and resources permit (records that are of less importance or that would be easier to recreate than those with a priority).
3. Dispose of as part of general cleanup (examples are convenience copies with the record copy at another location).

The following questions will help you determine salvage priority:

1. Are the records duplicated elsewhere?
2. Can the records be replaced? At what cost?
3. Would it cost more to replace or restore the records?
4. How important are the records to NCTPA?

7.4.8 Follow-Up Assessment

After recovery, prepare a written report assessing the effectiveness of your office's disaster recovery plan. Include photographs. Note the plan's effectiveness and evaluate sources of supplies, equipment and any off-site services or facilities used. Attach the report to a copy of the disaster recovery plan used.

Modify and/or update the plan as needed.

CHAPTER 8 INACTIVE RECORD STORAGE

Section 8.1. Overview

8.1.1 Introduction

This chapter contains guidelines and procedures for inactive hard copy records storage.

Generally, office space should be used to file and store only active records. A common measure for identifying active records is one reference per month per file or file drawer.

Records kept for a specific period of time during which they are most likely to be referenced, (for example, the current fiscal year) may also be considered as active.

Proper implementation of the NCTPA Records retention schedule and use of inactive records storage

- reduces the volume of records and the equipment and space needed to accommodate them,
- increases the filing and retrieval efficiency in the office,
- minimizes the cost of storing official agency records for the required retention period,
- preserves accessibility to records during their required retention periods, and
- ensures proper coordination and documentation of the destruction of official records.

8.1.2 Records Eligible for Storage at a Records Center

Only official record copy records or files as identified on the NCTPA records retention schedule are eligible for storage at a records center. Information or convenience records or files are ineligible for storage, since they can be disposed of without formality once their administrative value has been met.

A record series with a retention code of AV (as long as administratively valuable) is *not* eligible for remote storage outside of the responsible division or office unless a specific retention period and destruction date is assigned to it.

For assistance contact the NCTPA records management officer at (707) 259-8631, or by email.

8.1.3 Storage Locations

For divisions and offices, eligible records are stored at

- The NCTPA records center at 707 Randolph St., Suite 100, or

Offices may store inactive records locally or at off-site storage facilities.

8.1.4 Selecting Records for Storage

Points to consider when evaluating whether to transfer records to storage include:

- volume of records and required minimum retention period
- how frequently the records are needed or used
- the urgency of need when they are required
- time required for retrieval
- availability, cost and use of office space and filing equipment vs. the lower cost of storage
- viability of imaging (see Chapter 9, "Storing or Scanning?") or imaging on optical or CD/DVD media in the following cases:
 - volume of records and length of required retention
 - need to retain records in office due to high volume of reference
- eligibility of the records for storage

Section 8.2. Transferring Records to Storage

8.2.1 Procedural Overview

Transferring records to storage involves:

- indexing the records in sufficient detail to enable efficient retrieval,
- including reference to their Agency Item Number on the NCTPA Records retention schedule, which is necessary in documenting their destruction and verifying eligibility for storage,
- noting the date the records will be eligible for destruction,
- noting any records with a State Archives review requirement,
- boxing the records in appropriate containers,
- marking the boxes with identification of their location, and
- indicating the storage location on the records index.

8.2.2 Division and Office Procedure

Division and Office Procedure	
Step	Action
1.	Verify that records are eligible for storage: <i>Only</i> record copies are eligible for inactive storage at a records center. If you have questions, contact Records Management at (707) 259-8633 or by e-mail.
2.	Order standard document storage boxes (DHT# 19879).
3.	Prepare records for transfer. Remove extra copies, routing slips and any other material not to be retained. Leave records in their original file folders and sequence. It may be helpful to include file guides from the original files.
4.	Pack boxes. Each box holds 13 inches of letter-size, or 10 inches of legal-size records, with 2 inches of handling room. <ul style="list-style-type: none"> • Pack only one record series to a box. • Pack only records with the same destruction date in a box. • Be sure to leave handling room. Do not overstuff boxes. NOTE: While packing, complete the Records Series Title block and

	Description & Date of Records block on Form, Records Transfer and Service Request Form.
5.	Number boxes. With a black felt-tip marker, number boxes sequentially beginning with 1. Mark the number (about one inch high) to the left of the handhold cutout on the box end. Be sure to: <ul style="list-style-type: none"> • Number the box, not the lid, because lids are interchangeable. • Do not write any other information on the box. • Make sure the numbers correspond to how boxes are listed on Form (see below).
6.	Complete a Form, Records Transfer and Service Request Form. Section 3 contains the instructions. After completing the form: <ul style="list-style-type: none"> • Keep a copy of the form for your files. • Place the original Form on top of the records in box 1. • Do not tape lids to boxes.
7.	Ship boxes to storage. <ul style="list-style-type: none"> • Stack boxes no more than six high. • Stack boxes in numerical order, top to bottom, left to right. • If boxes are stacked more than four high, it is a good idea to shrink-wrap them.

8.2.3 Proper Packaging and Documentation

Records will be returned to the sender if they are sent for storage

- in any container other than the standard document box (DHT#19879)
- in a container bearing any markings other than the box number, as indicated in step 5 of the procedures above, and/or
- with an inaccurate or incomplete Form, Records Transfer and Storage Request Form.

Section 8.3. Transmittal and Storage Documentation

8.3.1 Uses of Form, Records Transfer and Service Request Form

Divisions and offices sending records for storage or destruction *must* use Form, Records Transfer and Service Request Form.

- serves as a manifest for records in transit that is checked to ensure that all records shipped are received,
- serves as an index and locator for your records in storage,
- is used to provide the office of primary responsibility (OPR) a detail listing when destruction of the records is coordinated, and
- provides an audit trail to document the storage and disposition of official agency records in accordance with the agency's approved Records retention schedule.

8.3.2 Instructions for Completing Form XX

One form can be used to transmit a number of boxes of records. Although you may transmit multiple boxes with varying destruction dates with a single form, records management recommends transmitting a single record series with a single destruction date with each form to reduce the possibility of confusion or errors.

The following table describes the blocks on the form and the information necessary to complete it.

How To Complete Form XXXX		
Step	Block Name	Action
1.	Division, Section/Location	Enter the complete return address of the sender. Include division or office, section and location. It is a good idea to note the phone number of the sending office's records coordinator.
2.	Individual Receiving Records	Leave blank. Completed by recipient.
3.	Sending Records administrator	Enter the name of the records administrator for the Division or Office here. The records administrator for the sending office signs or initials here.
4.	Sending Records coordinator	Enter the name of the records coordinator (the person completing the form and sending the records) for the sending office here.
5.	Date	Enter date of shipment.
6.	Request the accompanying records be...	Check one box to indicate disposition or handling instructions.
7.	Remarks	Enter notes or special instructions, such as whether the records being transferred are vital records, or records subject to state archives review requirements, etc.
8.	Storage Location	Leave blank. Completed by recipient storing the records.
9.	Box No.	List each box number (i.e., 1, 2, etc.).
10.	Records Title Series	For each box, enter the record series title from the NCTPA Records retention schedule. Since these titles are broad and may include several types of records, select the part of the title that most accurately describes the records. You do not have to copy the entire title. Abbreviate, if necessary. (Remember, each box shall contain only <i>one</i> record series).
11.	Agency Item No.	For each record series, enter the agency item number from the NCTPA records retention schedule. This entry is required for records sent for

		storage or the State Records Center, or for coordination of archival review. <i>Note:</i> For record series common to all NCTPA offices, add your office's functional account number to the agency item number. For example, if the agency item number for a common records series is ADM09 and the records belong to a unit whose functional account number is 18, enter 18ADM09.
12.	Description & Date of Records	Enter information sufficiently specific to identify the records in each box for your retrieval purposes. Always include the date of the records. It may be enough to list only beginning and ending file names, dates, number sequences or other identification sufficient to identify box contents. If a more detailed description is needed or there is not enough room on Form XXXX, attach a separate listing or index to the transmittal form.
13.	Destruction Date (Year)	Enter the date records are to be destroyed in accordance with the NCTPA Records retention schedule. Use this format: MM/YY. Calculate the destruction date based on the code in the Total Retention Period block on the NCTPA Records retention schedule. If the code is FE+3 (end of fiscal year plus three years) enter 09/and the third fiscal year after the <i>end</i> of the fiscal year of the records.

When the form is complete and you are ready to send the records, retain a copy for your pending file and place the original under the lid of box number 1 of your shipment.

Section 8.4. Receipt and Storage Location

8.4.1 Receipt Procedures

On receipt of records transferred to storage, records management:

- Verifies that the records are eligible for storage at a records center. Records management checks the enclosed Form XXXX, Records Transfer and Service Request against the NCTPA Records retention schedule. Records will be returned to the sender if:
 - Form XXXX is missing, incomplete, inaccurate or illegible.
 - Records transferred are not record copies.
 - Records are not packed in standard document storage boxes.
- Verifies that the beginning and ending records in each box correspond with the information on Form XXXX.
- Determines where to store the records.

- Acknowledges receipt and assigns storage locations. Records management provides the sending office with documentation that the records have been received by sending a copy of the transmittal with the storage locations entered. The type of documentation the sending office receives depends on where the records are stored.

Section 8.5. Retrieving Records

8.5.1 Procedure

To retrieve records from storage, contact records management at (707) 259-8631 or by email and request the records by referring to the storage location information from your copy of the records transmittal.

You may request the entire box or a specific folder.

8.5.2 Monitoring of Checked-Out Records

When you request records from storage, records management will obtain your name, office and phone number for a checkout file.

Every six months, records management contacts employees who have checked out records to verify that the records are still in the possession of that person, and to encourage the return of the records to storage if they are no longer needed.

When you are finished with the records, simply return them to records management via email. Records management will return them to their original storage location.

Section 8.6. Storage Areas and Equipment

8.6.1 Introduction

For any offices maintaining an inactive records storage area, this section contains information on

- storage area requirements,
- box identification, and
- types of storage boxes available.

8.6.2 Essential Requirements for Storage Areas

- Make sure storage areas are secure. Provide protection from:
 - The elements: A windowless, air-conditioned environment is best.
 - Insects: Food and drink should not be allowed in the storage area.
 - Fire: A storage area with a fire-suppression sprinkler system is ideal. Suitable fire extinguishers should be accessible. Smoking in or near the storage area should be strictly prohibited. Do not store volatile substances in or near the same place as records.
 - Access by unauthorized people.
- Use shelving. Metal shelves are best. Keep the bottom shelf at least two or three inches off the floor. For fast retrieval, you may organize the shelving area by record types, fiscal years, etc. Use shelf labels.

- Stack boxes. If shelving is not practical or available, stack boxes on pallets or some other support that keeps them off the floor. Cardboard document storage boxes may be stacked up to six high. It helps to insert 1/4-inch plywood between boxes. Cut plywood sheets a little larger than the lids of the boxes. Attach a large label identifying the stacked records to a box on the outside of the stack, or even individual outside boxes. Retrieval is more difficult with this storage method.

8.6.3 Record Location Aids

Index stored records in sufficient detail to retrieve them. Form XXXX is designed to capture this information. Include the location (pallet number, shelf location, etc.), a reference to the Agency Item Number on the NCTPA records retention schedule, and the date the records become eligible for destruction on the index. Furnish a copy of the index in a pending file, arranged by destruction date, to your records administrator. The list can serve as a detail attachment when documenting records destruction.

For quick retrieval, attach an index or list of contents to each box. Avoid adhesives that attract insects. You may also want to place a copy of the index inside the box.

Mark boxes visibly to identify the contents and destruction date. Include only records with the same destruction date in any single box. Use different colored markers for different destruction dates, and avoid colors that fade in sunlight. Mark any boxes that contain either vital records or records requiring review by the State Archives before destruction.

8.6.4 Types of Storage Boxes

Although the standard document storage box is the only type allowed at the NCTPA records center, there are occasions when other types of boxes may be needed for local use. The table below describes several types of storage boxes.

Storage Box Descriptions	
Box	Type Description
Standard Document Storage Box	Standard document storage boxes are one cubic foot in volume, measuring 10 x 12 x 15 inches. They hold letter- and legal-size documents and have removable lids. Empty boxes fold flat for storage. Request these boxes from local supply rooms (DHT #19879).
Permafile Box	These boxes are also known as transfer boxes. The standard size is 10 x 12 x 24 inches, and the legal size is 10 x 15 x 24 inches. The boxes are collapsible and reusable. Each has the same volume as a file drawer. Permafile boxes are commercially available. While useful for storing some types of records such as rolled maps or large documents, Permafile boxes have some disadvantages: <ul style="list-style-type: none"> Weight: a full box weighs up to 100 pounds.

	<ul style="list-style-type: none"> • Hazards: the metal reinforcing strip can cut hands and rip clothing. • Inefficient use of space: Boxes cannot be stacked more than four or five high without crushing the box on the bottom. Legal-size boxes do not fit standard shelving.
Bankers Box	These cardboard boxes slip into metal-reinforced cardboard shelving units. They are the same size as standard document storage boxes. Bankers' boxes are an inexpensive way to store records. However, the shelving units will not support more than seven or eight full boxes in a stack, and you must dismantle an entire stack to replace a worn unit. The units tend to weaken with time and use, and may become dangerously unstable.
Custom Box	Plastic or wooden boxes to store construction project records. Each project has its own box, which simplifies moves and transfers.

CHAPTER 9 SCANNING RECORDED

Section 9.1. Overview

9.1.1 Introduction and General Guidelines

Document imaging involves the conversion of hard copy original documents or records to an alternative medium. This chapter discusses procedures. See Chapter 5, "Electronic Records," for information on electronic imaging.

Records listed on the approved NCTPA records retention schedule with permanent or long term (more than 20 years) retention periods or archival requirements may be retained on microfilm. Record series that are microfilmed are identified on the schedule with a medium code of "M" or "O." (For "O," microfilm must be specified as a record medium in the Remarks block.)

9.1.2 Storing or Scanning?

The majority of agency records require retention for fewer than five years. For all but permanent or archival records, storage is the easiest and cheapest way to retain existing hard copy inactive records until their destruction date.

Scanning records to an electronic or optical system is an increasingly attractive alternative to maintaining traditional hard copy files. Scanning is most efficient when done during workflow at the time a record would ordinarily be filed. Batch scanning of files for electronic storage is almost as labor-intensive as microfilming.

9.1.3 Scanning Job Specifications

Records management develops specifications for scanning jobs in consultation with the customer. Specifications are developed when scanning is first requested and then reused to direct the vendor on job requirements whenever the record series needs to be scanned.

Specifications include information describing:

- record series,
- format (CD, DVD, tape or other media),
- information on reduction ratio (size of the image),
- orientation (arrangement of images on the file),
- reduction ratio related to user's equipment,
- scanning cycles (if appropriate for frequently scheduled jobs),
- distribution, and
- special indexing or handling instructions.

9.1.4 Preparing Records for Scanning

In most cases documents are scanned on a high-speed copier. The sheets cannot have any fasteners or tears that will jam the copier. Tape small documents to an 8½ x 11- inch sheet of paper and make photocopies of photographs on a copier with a setting that will produce a usable image.

9.1.4.1 Purge and Organize

Remove all duplicate copies and unnecessary materials. If there is a choice between original documents, carbons or photocopies use the original documents to ensure optimal image quality. Arrange all folders in the sequence in which they are to be filmed.

Prepare an index of the records. List each folder or subdivision of records to be scanned in its proper order. It is convenient to create and insert target sheets while indexing the records.

Target sheets are 8 ½ x 11- inch pages that are based on the index and scanned with records to visually identify separate files or records. They serve a purpose on film similar to that served by file guides and folder labels in a file cabinet.

In the case of oversized documents, cut them into a size consistent with the surrounding documents, Prepare a target with a drawing showing all of the parts. Label each part (A, B, C, D, etc.). This will show users how the parts fit into a whole document.

9.1.5 Transferring Records

Divisions and offices call (707) 259-XXXX, to arrange shipment of records when approved by records management.

9.1.6 Records Certification

Records management inserts certification sheets in records that are scanned to attest that the records are direct reproductions of the originals, and have been prepared for scanning in accordance with NCTPA standards and procedures.

The service bureau that performs the actual scanning also inserts signed certification sheets, stating that the scanned images are true and correct reproductions of the original records, at the beginning and end of the file.

9.1.7 Scanning Production

Scanned records are produced in original and duplicate copies. The vendor that produces the file is responsible for:

- scanning the records
- processing (developing) the scan
- editing the product to ensure that all images are accurate and legible.

9.1.8 Scan Inspection

On receipt of completed scan or file, records management:

- inspects the scan to ensure that the beginning and ending targets and the index are correct, and
- spot checks for legibility of images.

Records management returns any file that has discrepancies to the vendor for necessary retakes. The vendor will insert special target sheets to identify images that have been retaken or inserted into the file.

9.1.9 Customer Acceptance of Scan

After initial inspection and any necessary corrections, records management ships the completed file to the customer. It is the *customer's* responsibility to inspect the file thoroughly before accepting it. Enclosed with the completed file is a memo from records management to the customer to coordinate acceptance of the file and disposition of the original records.

9.1.10 Distribution of Scan

Scanned files are distributed as follows:

9.1.10.1 Divisions and offices: Records management keeps the original file for security. The customer keeps the duplicate.

9.1.11 Disposition of Original Records

When the customer accepts scanned records and authorizes disposition of the originals, records management handles destruction of the originals. If you want the original records returned after scanning, be sure to indicate it on your original Form XXXX request.

9.1.12 Reviewing Files for Deterioration

Offices maintaining scanned records must conduct an ongoing review of selected media for signs of deterioration. Contact records management to arrange duplication of media showing signs of deterioration to new media.

Section 9.2. Scanning Storage, Equipment and Maintenance

9.2.1 Storage Environment

Records with a retention period exceeding ten years must be stored in a temperature that does not exceed 70° Fahrenheit, and a constant relative humidity of 35% must be maintained with a maximum variance of +/- 5.0% relative humidity in a 24 hour period.

Records with a retention period of less than ten years must be kept in an environment where the maximum temperature does not exceed 77° Fahrenheit, and the relative humidity is maintained in a range between 20% and 50%, with a maximum variation of +/- 5.0% relative humidity in a 24 hour period.

A typical air-conditioned office environment with stable temperature and humidity where media will have minimum exposure to light and contaminants is generally adequate for film to be retained for ten years or less.

Section 9.3. Emerging Technologies

Large backfile conversions of records to digital images are generally not practical unless the records are subject to a high rate of retrieval and reproduction. Records converted to digital are subject to the requirements for electronic records described in Chapter 5, Electronic Records.

CHAPTER 10 RECORDS DESTRUCTION

Section 10.1. Overview

10.1.1 Authorization for Destruction

The NCTPA records retention schedule, approved by the Board of Directors on November 17, 2010, authorizes NCTPA to dispose of any record copy listed on the approved schedule once the required retention period has been met.

NOTE: Records involved in an audit, litigation or open records request cannot be destroyed until conclusion of the action involving those records.

10.1.2 Advantages of Timely Disposal

Disposal of records that are of no further value in a timely and routine manner

- reduces unnecessary exposure to legal discovery and open records demands,
- reduces the need for filing equipment and storage space, and
- makes it easier to retrieve remaining records.

10.1.3 Records Eligible for Destruction

Official (record copy) records are eligible for destruction when they have been retained for the total retention period in the NCTPA Records retention schedule.

Non-record convenience or information copies and e-mail of a transitory nature may be destroyed without formality once their purpose has been served.

10.1.4 Withholding Records from Destruction

Records involved in an audit, investigation, litigation or an open records request shall not become eligible for destruction until the final conclusion of the action and satisfaction of the retention requirements pertaining to records related to the action.

Take steps to identify and preserve records involved in such actions as soon as you become aware of the possibility of the action.

Section 10.2. Destruction Procedures

10.2.1 Destruction of Records Retained Locally

Divisions or offices may destroy records retained locally once the total retention period has been met. The responsible office must document the destruction of official agency records on a Records Destruction Log, and forward the log through the records administrator to NCTPA records management.

10.2.2 Destruction of Stored Records

For division or office records stored at the NCTPA records center, the NCTPA records manager advises the records administrator of the scheduled destruction date of eligible records by memorandum with copies of the original transmittals for the records attached as a detail reference.

The records administrator receiving the destruction coordination memo acknowledges receipt of the memo by initialing it and returning it to records management, and advises the records coordinators who sent the records for storage.

The memorandum includes a suspense date by which the office responsible for the records must respond to prevent or postpone the destruction of any particular records that may be involved in an audit, litigation or a public information request.

No response within the suspense date means that the division or office certifies that all retention requirements have been met, and authorizes destruction of the records in accordance with the approved NCTPA Records retention schedule.

10.2.3 Extended Retention

If it is necessary to retain records for an additional period, you *must* contact Records Management by the suspense date in the records destruction coordination memo. Records management will need the reason for postponing destruction and an estimated destruction date.

This contact may be by telephone, memorandum, e-mail or even by a handwritten note on the destruction coordination memo itself. It is important that records management have documentation on file to support any extended retention request.

Records management will retain the records and will include them in future destruction coordination communications to monitor their status. The responsible office can request their destruction at any time.

10.2.4 EDMS Procedure

During periodic file management activities, the records administrator and EDMS system administrator collaborate with record custodians to develop searches based on combinations of document properties such as record type, status and date to retrieve and report records in the EDMS that have met their retention and that are eligible for destruction. Once developed, the searches can be saved to be run again at the next interval with only a revision of the date value.

The records administrator then coordinates a review of the eligible records with the records custodian to obtain authorization to destroy or to identify any documents or records to be retained further. Retain the list report with any annotations to attach to the records destruction log.

Custodians choosing to retain documents or collections of documents in a particular record type beyond their eligible destruction date must update the status property with an appropriate status description and complete a brief description of the reason for withholding the document(s) in the document comment property for future reference.

On approval to destroy, the system administrator deletes the documents/records from the EDMS. In an EDMS, the documents themselves are deleted, *not* just the pointer to them.

Section 10.3. Records Destruction Log

10.3.1 Logging Destruction

The records administrator maintains a log of records destroyed by that office. At least annually, the division or office must forward a copy of the log to records management. Records management maintains the official disposition log for the entire agency.

10.3.2 Maintaining the Log

Records administrators for divisions and offices may find it convenient to share the electronic records destruction log with records coordinators who perform records management file purging, storage and destruction procedures on a routine basis. As the coordinators complete the logs, the records administrator can compile them into a single records destruction log for the organization.

The records destruction log for a division or office may consist of a single document or a collection of individual logs from the offices and sections in the organization. Division and office records destruction logs may be submitted to records management in a batch mode once a year, or submitted as individual offices complete them.

Records management maintains the NCTPA records destruction log on a fiscal year basis. Division and office logs forwarded to Records Management will be filed according to the fiscal year during which the records are destroyed.

10.3.3 Information on the Log

The records destruction log includes the following information about records that are destroyed:

- reference to the Agency Item Number of the records on the NCTPA Records retention schedule
- sufficient description of the records destroyed, including:
 - record series title,
 - date of records,
 - quantity/volume of records,
- date of destruction
- name of records administrator (or a designee) authorizing destruction of records and certifying that retention requirements, such as applicable audits, etc., have been met. Additional information such as detail listing of file contents, indexes or other descriptive material may be attached to the log.

Section 10.4. Confidential Records

10.4.1 Destruction of Confidential Records

Shredding is the method of destruction to be used for *all* confidential records.

Follow these procedures to shred confidential records in any medium:

- Use private shredding facilities, or shred records on-site.

- If records are to be recycled after shredding, make sure that recycling contractors certify confidentiality from pickup through ultimate disposition.
- The records administrator (or records coordinator) certifies on the disposition log that the records have been shredded.

Offices:

- Send records to records management for handling. Records management arranges shredding services with a vendor.

If no shredder is available and the quantity of records is small, dispose of confidential records in the following way:

- Cut or tear records by hand into small pieces.
- Mix pieces thoroughly, and place them in several different containers with other trash.
- Discard containers separately at varying intervals.

10.4.2 Destruction of Non-Confidential Records

Recycling is the preferred method of destruction for non-confidential records. Non-confidential records do not need to be shredded before recycling. Other methods of destroying non-confidential records are:

- Pulping
- general disposal (commercial trash removal, bulk disposal, use of local landfills)
- erasure or re-recording over magnetic media, audio or video media.

Note: Methods other than burning records and depositing them in landfills are preferable.

Section 10.5. Archival Review

10.5.1 Archival Records

Certain records series may be required to be reviewed by the State Archives before destruction to determine whether the records may have sufficient historical value to be retained by the State Archives. Other records *must* be sent to the State Archives. These requirements are identified in the NCTPA Records retention schedule.

10.5.2 Identifying Archival Records

The best time to identify records with archival requirements is when listing them on a file plan. Identify records requiring archival review in the remarks block on Form and on any index documentation when preparing records for storage.

When referencing the NCTPA records retention schedule to complete the Records Destruction Log prior to actual destruction of records, check again to make sure there is no archival requirement for the records series.

10.5.3 Handling Archival Records

Records management coordinates archival review for applicable records with the archives. Offices processing records with an archival requirement at the end of their retention must prepare a Form, "Records Transfer and Service Request," pack the records in a suitable *unmarked* document box and ship the records to records management for further coordination with the state archives.

10.5.4 Archival Records in an EDMS

Any electronic record with an archival requirement in the records retention schedule must be retained in the electronic system indefinitely.

The records administrator should advise records custodians to change the document status to "Archival Review" for any subject documents during the review and reporting of records eligible for destruction. It may be useful to create and designate a special folder for retaining these documents.

An alternative is to print the records on acid-free paper and forward them to records management for submission to the archives. For this alternative, follow the procedures in Chapter 8 to prepare and box records for storage, complete Form, and to ship the records.

APPENDIX A

SECRETARY OF STATE

LOCAL GOVERNMENT RECORDS MANAGEMENT GUIDELINES

FEBRUARY 2006



SECRETARY OF STATE

LOCAL GOVERNMENT

RECORDS MANAGEMENT GUIDELINES

SECRETARY OF STATE DEBRA BOWEN

ARCHIVES DIVISION
RECORDS MANAGEMENT

(916) 653-3834

FEBRUARY 2006

**LOCAL GOVERNMENT
RECORDS MANAGEMENT GUIDELINES**

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LOCAL GOVERNMENT RECORDS MANAGEMENT

GUIDELINES

California Government Records Management Program

2-1000

Background

2-1010

In 1968 the Legislature passed the California Public Records Act (PRA) ([Government Code, Section 6250 et seq.](#)) which is modeled after the federal Freedom of Information Act and details what government information is, and is not, available to the public. In general, all records are open to the public except 28 specific exemption categories listed in PRA, Section 6254. The PRA applies to all records, in whatever form, maintained by either state or local public agencies.

In 1978 the Information Practices Act (IPA) ([California Civil Code, Section 1798 et seq.](#)) became effective to protect personal privacy rights for individuals. The IPA is modeled after the Federal Privacy Act of 1974 and supercedes portions of the PRA. It does not apply to local public agencies except under voluntary contractual agreements.

The State Records Management Act ([Government Code, Section 14740-14774](#)) requires the Director of the Department of General Services (DGS) to establish and administer the state's records management program. The program applies "... to the creation, utilization, maintenance, retention, preservation, and disposal of state records." DGS administers the program through the State Administrative Manual (SAM), Chapter 1600 and the California Acquisition Manual (CAM).

SAM and CAM require every state agency to establish Records Retention Schedules which, when approved, become the legal authority for the agency to dispose of official public records. Retention schedules are the key element in effective records management programs for both government and private industry. State agencies must revise and update their schedules every five years or whenever a change occurs that impacts the keeping or disposing of agency records. The Records Management Act, SAM and CAM do not apply to local public agencies.

Since, with the exception of the PRA, legislation and directives establishing the state Records Management Program **do not** apply to local government, county and/or city government agencies do not have a standardized program of accountability for their treatment of public records. Nor does local government have standard retention periods for various record categories other than certain record types identified in government codes that mandate specific local programs. To alleviate this situation the 1999 legislature added [Section 12236](#) to the Government Code, which states in Section 12236 (a) "The Secretary of State shall establish the Local Government Records

LOCAL GOVERNMENT – RECORDS MANAGEMENT GUIDELINES

Program to be administered by the State Archives to establish guidelines for local government retention and to provide archival support to local agencies in this state.”

These guidelines are an initial attempt to provide some standards and structure to the local government records management effort. Other attempts at standardization include the California City Clerks Association’s 1998 list of common local government records and recommended retention periods. The goal of the State Archives in compliance with GC 12236 is to consolidate information resources and provide local government with a single source for archival and records management support and guidance.

Authority

2-1020

- California Public Records Act (Government Code, Section 6250 et seq.)
- Government Code, Section 12236

Definitions

2-1030

- **Active Records** – As a measure of activity for records that are referred to at least once a month per cubic foot of records. Also – As a retention period for a Perpetual Record that remains “active” until some event occurs to change its status, at which time it has fulfilled its function. (See also **Perpetual Record**)
- **Administrative Records** – Records commonly found in all offices and typically retained only for short time periods – less than five years. Examples include subject, chronological, budget, and policy files.
- **Archival Records** - Records with enduring value because they reflect significant historical events, document the history and development of an agency, or provide valuable research data.
- **Discovery** – The pretrial disclosure of pertinent facts or documents by one or both parties to a civil action or proceeding. Anything requested during discovery must be disclosed if it exists – even non-records and records that should have been destroyed earlier. Discovery effectively freezes selected holdings until released by opposing attorney or the court.
- **Local Government** – Government Code, Section 6252 states: “‘Local Agency’ includes a county; city, whether general law or chartered; city and county; school district; municipal corporation; district; political subdivision; or any board, commission or agency thereof; other local public agency; or nonprofit entities that are legislative bodies of a local agency pursuant to subdivisions (c) and (d) of Government Code, [Section 54952](#).”

LOCAL GOVERNMENT – RECORDS MANAGEMENT GUIDELINES

- **Non-Records** - Material not usually included within the definition of records, such as unofficial copies of documents kept only for convenience or reference, working papers, appointment logs, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition. Also, documents such as rough notes, calculations or drafts assembled or created and used in the preparation or analysis of other documents. (See also **Discovery**)
- **Permanent Records** – Records that are required in perpetuity, usually identified by statute or other written guidance. Examples include original birth certificates, death certificates, Spanish land grants, etc.
- **Perpetual Records** – Records retained for an indefinite period of time and then stored or destroyed after some event takes place. Examples include office personnel files which are kept until a person leaves the office, policy files kept until the policy is changed, contract files kept until the contract terminates, etc.
- **Program Records** - Records that relate to the primary function of the agency in response to its daily mission. Examples include lien files, recorders files, election files, probate records, medical records, etc.
- **Public Records** - Any information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics.
- **Records** - All papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents produced, received, owned or used by an agency, regardless of physical form or characteristics.
- **Records Retention Schedule** - A list of all records produced or maintained by an agency and the actions taken with regards to those records. A retention schedule is an agency's legal authority to receive, create, retain, and dispose of official public records. It assists the agency by documenting which records require office or temporary storage, which records have historic or research value, and which records should be destroyed because they no longer have any administrative, fiscal, or legal value. In the event of litigation, courts accept a retention schedule as establishing an agency's "normal course of doing business".
- **Retention Period** – The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function. Then a record should be disposed of as soon as possible in accordance with an approved Records Retention Schedule.

Records Management

2-2000

Principles

2-2010

According to Government Code, Section 14740, California's Records Management Program is designed to "...apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of state records". Effective Records Management ensures that records are kept **only** as long as they have some administrative, fiscal, or legal value.

When records no longer fulfill the value for which they were created, they should be destroyed unless they also have some historic or research significance. If that is the case the records should be preserved by an appropriate historical agency. Staff members should realize that an effective records management program is not only cost effective, it will also make their jobs easier. They should also know that records retained beyond their value "just in case" only extend the agency's legal liability in the event of adverse litigation.

These principles apply to all levels of government.

Inventory

2-2020

The first step in records management is a records inventory. Agencies need to know what records they have, where the records are kept, the volume, and how the records are used. This information is essential for developing a Records Retention Schedule to document the agencies normal course of doing business.

The Records Inventory Worksheet, state form STD 70, is available to assist agencies in gathering information needed in a records management program. Regardless of the form used, the following information should be obtained during any inventory of agency records:

- Record Series - A record series is a group of similar records arranged under a single filing system or kept together as a unit. They deal with a particular subject (budget, personnel, etc.), result from the same activity (arrest reports, property assessments, etc.), or have a special form (blueprints, maps, etc.). The title of each record series should be as accurate as possible, since future references to the records will be by the record series name. Avoid vague titles such as "Corporate Papers", "Official Documents", or "Vital Correspondence".
- Media – Determine the media for each record series such as paper, microfilm, etc. Also note if the same record exists in several medium.

LOCAL GOVERNMENT – RECORDS MANAGEMENT GUIDELINES

- Years covered – Determine the period of years covered by each record series. (Example: 1994-98).
- Activity Level - The amount of activity involving a record determines where the record should be stored. Active records need to be readily available and are generally stored in the office because they are accessed frequently. Inactive records that are still needed but only accessed occasionally should be warehoused in low cost storage.
- Volume – Note the volume of each record series by the cubic feet of space they occupy. This number is a spot count and should represent only those records on hand at the time of inventory. A typical file drawer or archive box contains approximately one cubic foot of actual records. Folders, separators, tab cards, etc. are not considered part of a record.

Appraisal and Scheduling

2-2030

After the inventory, sound records management requires a realistic appraisal of records in relation to their period of usefulness and their value to the agency that owns them.

The appraisal will:

- Establish reasonable retention periods.
- Identify records that can be destroyed immediately.
- Identify records that should be transferred to low cost storage.
- Identify vital and/or confidential records.
- Identify records with historic and/or research value.
- Determine the method of disposition.

Once records are inventoried, determine the immediate and future usefulness of the records. In general, records should be retained only as long as they serve the immediate administrative, legal and/or fiscal purposes for which they were created. When records no longer serve these purposes, they should be disposed of or preserved for archival purposes, whichever is appropriate.

Records with administrative value are created to help accomplish the functions for which an agency is responsible and have administrative value only as long as they assist the agency in performing current or future work. Their administrative use is exhausted when the transactions to which they relate are complete and from that point on they lose value rapidly.

Records with legal value contain evidence of legally enforceable rights or obligations of the agency. Examples are records that provide the basis for action, such as legal decisions and opinions; fiscal documents representing agreements, such as leases, titles and contracts; and records of action in particular cases, such as claim papers and legal dockets.

LOCAL GOVERNMENT – RECORDS MANAGEMENT GUIDELINES

Fiscal records pertain to the financial transactions of the agency, such as budgets, ledgers, allotments, payrolls and vouchers. After some records have served a basic administrative function, they may still have sufficient fiscal value to justify additional retention to protect the agency against court action and/or audits.

Some records will also have enduring value because they reflect significant historical events or document the history and development of an agency. Others contain accumulated data that can be useful for both scientific and genealogical research. At the local level historical societies and/or public libraries may be able to assess this potential value for the agency.

The final step in appraising records is determining their retention period. Keeping records, either in offices or storage areas, is very expensive and the actual or potential value of the records must be weighed against the cost. Most managers tend to keep records too long “just in case” and unwittingly extend the agency liability for as long as the records exist. Except for perpetual records, most administrative records should only be kept two or three years and certainly not more than five. Program records (unique and representative of the function of the office) are typically large files and kept for longer periods of time. Attachment A contains recommended retention periods for common administrative records maintained by several state agencies.

Questions to ask are how serious would it be if a particular record 5 or 10 years from now were unavailable? What are the chances of it being needed? Are the consequences serious enough to justify keeping a large volume of records for long periods of time at considerable cost? Is the information available anywhere else? What would it cost to reconstruct the record if necessary? Answering these questions will lead to a more realistic approach to the problem of determining how long records should be kept.

Establishing retention periods may also involve negotiation with the people who use the records. They should be encouraged to look realistically at their need for the records. Don't accept the answer that 'the records are used all the time and therefore must be kept permanently'. “Permanent” retention is very expensive, rarely necessary, and usually must be justified by a specific written requirement such as a statute, legal opinion, government code, etc. The State assumes “permanent” to mean 500 years! Will your records really have any value 500 years from now?

Once retention periods have been established for all records, a Records Retention Schedule can be developed. The schedule formalizes the retention and disposition of the agency's records and establishes the agency's “normal course of doing business”.

Retention Schedules**2-2040**

A properly prepared and approved Records Retention Schedule is an agency's legal authority to do whatever needs to be done with records and documents entrusted to the agency's care. It certifies the life, care, and disposition of all agency records. If subpoenaed records have been destroyed, agency schedules (AND EVIDENCE OF COMPLIANCE WITH THOSE SCHEDULES) will defend the agency's actions. However, to prove there was no adverse intent when records were destroyed, schedules must be specific and consistently used. Adverse intent (to keep records out of court) is both a civil and criminal offense.

The state uses two forms to create Records Retention Schedules: the Records Retention Schedule Approval Request, [STD Form 72 \(pdf\)](#); and the Records Retention Schedule, [STD Form 73 \(pdf\)](#). The Form 72 contains signature elements from the agency involved, the Records Manager, the approval authority, and an archival review. The Form 73 is the schedule itself and contains an agency description or mission statement plus the listing of all agency records. Both of these forms are for state agencies but could easily be adapted/modified for use by local government.

Use of these or similar forms help an agency ensure their schedule contains all the elements necessary to withstand legal scrutiny. The signatures of the program manager (record custodian) and agency Records Manager attest to the completeness and accuracy of the information on the schedule. The approval authority should be the government body having administrative authority over the agency. For local government this authority could be the County Board of Supervisors, County Administration, Mayor's Office, City Administrator or similar government functions. Archival review at the local level could be from a county or city historical society, historical museum, library, or similar organization.

In state government schedules are considered current for five years unless amended sooner due to a significant change in an agency's record keeping practices. A change of mission, added functions, new programs, etc. would all trigger an amendment to an existing schedule. Regardless of any amendments, a new schedule must be prepared and approved after five years to ensure the schedule accurately and completely reflects the agency's records holdings and disposition. Renewing schedules more frequently is always an option, and is required in some states. Local government agencies should adopt whatever cycle is most practical within their jurisdiction.

Physical location, complexity, and activity levels of records are some of the factors to consider when determining how many schedules are needed to support an agency's records management program. Small agencies housed in one facility with narrowly focused missions may only need one schedule for the entire agency. Larger, more complex agencies may need many schedules to efficiently and effectively document the varied records maintained by the agency. For example, County Health Services in a large populous county would probably require separate schedules for Children's Services, Mental Health, Health Promotion, Elder Care Services, etc. On the other

hand, a small county Health Services Agency might use a single schedule and list record series in groups under each different agency function.

Disposition of Records

2-2050

Once records have fulfilled their administrative, fiscal, or legal function they should be disposed of as soon as possible in accordance with their Records Retention Schedule. A properly completed schedule provides an agency with the legal authority to dispose of records entrusted to its care. Disposition may include sending appropriate records to an archival facility, recycling unneeded records, and/or destroying unneeded confidential records. Remember, in the event of litigation the court will want to know what the agency does in the normal course of doing business. Your Records Retention Schedule spells out the normal course of business for how your agency handles and disposes of its records.

In general, most agencies keep records well beyond the record's administrative, fiscal, or legal value "just in case" the records may be desired for future purposes. That is one of the worst reasons to retain records because excess records over-burden staff, slow response times to public requests, and extend the agency's legal liability. A court can not demand an agency produce documents that have been destroyed in accordance with accepted and documented (your retention schedule) industry practices.

Summary

2-2060

Records Management's primary concern is the efficient, effective and economical management of information. The guiding principle of Records Management is to insure that information is available when and where it is needed, in an organized and efficient manner, and in a well-maintained environment. Records Management is more than retention schedules and the disposition of records; records management also encompasses all the record-keeping requirements that allow an organization to establish and maintain control over information flow and administrative operations. Records Management seeks to control and manage records through the entirety of their life cycle, from their creation to their final disposition.

In today's litigious society Records Management is more important than ever but unfortunately is still overlooked and under-funded at all levels of government. In court an astute attorney can discredit an agency in the eyes of a judge or jury by attacking the way the agency handles its records. The fact that the records may refute or support a particular position is obscured by the attack on how the agency accounts for and handles those records. The agency's legal position in the litigation may be influenced by how well or how poorly they comply with accepted records management practices.

A sound records management program doesn't cost – it pays. It pays by improving customer service, increasing staff efficiency, allocating scarce resources, and providing

a legal foundation for how an agency conducts its daily mission. It helps identify and justify opportunities for new technology. Microfilm, optical disk, optical character recognition, workflow, e-mail, bar code, and other related technologies cannot be adequately evaluated and cost justified without a good records management program. Other benefits of effective records management include:

- Space Savings
- Reduced expenditures for new filing equipment
- Increased efficiency in information retrieval
- Compliance with legal, administrative, and fiscal retention requirements
- Identification and protection of vital records
- Control over creation of new records
- Identification of records with research value
- Identification of records with historical value

Acknowledgement

2-2070

The California State Archives would like to acknowledge the League of California Cities and the City Clerks Association of California for their major contribution to these guidelines. Attachment C represents several years of effort by the League and the Association to provide standard retention periods for record series common to most city jurisdictions. Attachment D – County Records Retention Guidelines has been permanently removed.

Please forward comments and/or corrections to these retention periods to the California State Archives.

For assistance in developing a Records Management Program or to comment on this web site please contact:

*Laren Metzger
Deputy State Archivist
Secretary of State
Archives Division
1020 O Street
Sacramento, CA 95814
(916) 653-3834, Fax (916) 653-7134
lmetzer@sos.ca.gov*

Administrative Records - Typical Retention Periods

Type of Record	Years	Remarks
<u>Correspondence</u>		
Chron Files	2	
General/Public	3	
Controlled	2	
Reports	3	
Subject Files	3	
Reproduction/Printing Requests	2	
<u>Financial</u>		
		>4/7 = 4 yrs for state funds/7 for federal funds<
Expense Reports	4/7	Or until audited, whichever is first
Budgets	4/7	Or until audited, whichever is first
Billing/Accounting Reports	4/7	Or until audited, whichever is first
Budget Change Proposals	4/7	Or until audited, whichever is first
Budget Change Concepts	4/7	Or until audited, whichever is first
Audits	4/7	
Invoices	4/7	Or until audited, whichever is first
Fees/Receipts	4/7	Or until audited, whichever is first
Checks/Ledgers/Registers	4/7	Or until audited, whichever is first
Cal Stars Reports	Active+1	Active until new budget approved*
Cost Recovery - Federal	Active+7	Active until claim paid then 7 or until audited, whichever is first*
Cost Recovery - State	Active+4	Active until claim paid then 4 or until audited, whichever is first*
Grants	Active+2	Active until end of grant year*
<u>Equipment/Supplies/Space</u>		
Inventory	Active	Active until revised*
Purchase Request/Order	Active+4/7	Active until items received(4/7 if subject to audit)*
Service Orders/Authorizations	Active	Active until service performed*
Vendor Information	Active	Active until revised*
Building Maintenance/Leases	Active	Active until lease terminates*
Inspection Reports/Moves/Space	Active	Active until revised/rescinded/superseded*
Equipment Maintenance	Active+2	Active until maintenance complete*
Hardware/Software Documentation	Active	Active until revised/rescinded/superseded*
Vehicle Files	2	
<u>Personnel</u>		
Duty Statements	Active	Active until revised*

Employee Records	Active+1	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, Confidential Destruction. (CD)*
Attendance	Active+1	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, CD.*
Travel	Active+1	Active until travel complete. PRA 6254, IPA 1798.40, CD.*
Training	3	PRA 6254, IPA 1798.40, CD.
Applications	2	PRA 6254, IPA 1798.40, GC 12946, CD.
Interview Documents	2	PRA 6254, IPA 1798.40, CD.
Affirmative Action	Active	Active until revised*
Merit Awards	3	PRA 6254, IPA 1798.40, CD.
Superior Accomplishments	3	PRA 6254, IPA 1798.40, CD.
Labor Relations	2	
Production/Assignment Logs	2	
Overtime Logs	2	PRA 6254, IPA 1798.40, CD.
Action Requests/Grievances	2	PRA 6254, IPA 1798.40, CD.
Toxic Exposure Reports	Active	Active until employee leaves/terminates. PRA 6254, IPA 1798.40, CD. Transfer Rpt with employee.*
<u>Policy/Procedure/Organization</u>		
Policies (All)	Active	Active until revised*
Procedures (All)	Active	Active until revised*
Compliance Requirements	Active	Active until revised*
Organization Charts	Active	Active until revised*
Mission Statements	Active	Active until revised*
Associations	Active	Active while membership is current*
Meetings/Minutes/Agendas	2	
Activity Reports	2	
Studies/Statistics	3	
Feasibility Studies	5	
Request for Proposals	3	
Delegation Orders	Active	Active until revised/superseded/Revoked*
Conferences/Committees	3	
Contracts	Active+4/7	Active until contract terminates/+4/7 if subject to audit*
Emergency Preparedness	Active	Active until revised*
Public Hearings	5	
Health/Safety	3	
Plans and Goals	Active	Active until revised/rescinded/superseded/Complete*
<u>Records Management</u>		
Records Retention Schedule	Active	Active until revised*
Records Transfer List (STD 71)	Active	Active until disposal of records*
Records Destruction Authorization	4	

Forms File	Active+1	Active until revised/rescinded/superseded*
Legislation/Regulations/Legal		
Bill Analysis	3	PRA 6254
Research Information	3	PRA 6254
Proposed Legislation/Regulations	4	PRA 6254
Legal Opinions	Active+1	Active until issues resolved*
Law Suits/Small Claims	Active+1	Active until litigation complete*
Enrolled Bill Report	4	PRA 6254
PRA/IPA Files	2	
Public Relations		
Clippings	2	
Press Releases	2	
Speeches	2	

* “Active” retention is for Perpetual Records that remain “active” until some event occurs. After the event occurs the records are disposed of or may require retention for an additional short period of time.

The “Remarks” section of a retention schedule also identifies records not subject to public disclosure because of code or statute, as well as any other unusual or significant characteristics about a record series. PRA refers to the California Public Records Act and IPA refers to the Information Practices Act. CD stands for Confidential Destruction.

Most administrative records are small in volume and the records retained for less than five years.

Program Records:

There are no typical retention periods for program records because they are unique to the individual office. They represent the reason the office exists and their retention is usually specified in some statute or regulation that established the office or program. A few program records may be identified for permanent retention however most will be retained for a specific number of years, or as perpetual records with an “Active” period, just like administrative records.

Most program records are large in volume and may be required much longer than administrative records. As with administrative records, program records should be retained only as long as they have some administrative, fiscal, or legal value. After that they should be disposed of in accordance with an approved Records Retention Schedule.

Records Management and Archives Resources

Many resources exist to assist you in your records management program. This list is not all-inclusive but will provide you with several contacts where you can ask questions and receive professional answers to many records management issues. All of these resources provide information free of charge and some also offer membership in the organization, which entitles you to additional benefits.

AIIM - Association for Information and Image Management, International.

AIIM is a global industry association connecting users and suppliers of enterprise content management (ECM) technologies - tools and methods that help capture, manage, store, preserve and deliver content in support of business processes. AIIM is a neutral and unbiased source of information. They produce educational events and conferences, provide up-to-the-minute industry information, and are ANSI/ISO-accredited for standards development. Local chapters provide networking and educational opportunities throughout the country.

World Headquarters
1100 Wayne Avenue, Suite 1100
Silver Spring, MD 20910
1-800-477-2446
<http://www.aiim.org/>

ARMA International – Association of Records Managers and Administrators.

The mission of ARMA International is to provide education, research, and networking opportunities to information professionals, to enable them to use their skills and experience to leverage the value of records, information, and knowledge as corporate assets and as contributors to organizational success. ARMA has a network of local chapters that provide educational opportunities for members and non-members alike.

ARMA International
4200 Somerset Dr., #215
Prairie Village, KS 66208
1-800-422-2762
<http://www.arma.org/>

NAGARA – National Association of Government Archives and Records Administrators.

NAGARA is an association dedicated to the improvement of federal, state, and local government records and information management. Their goal is to promote the availability of our documentary legacy by improving the quality of records and information management at all levels of government

NAGARA

48 Howard Street

Albany, NY 12207

1-518-463-8644

<http://www.nagara.org/>

NARA – National Archives and Records Administration

Major source for national archives and records management issues and policies.

Develops standard Record Retention Schedules for federal agencies.

National Archives and Records Administration

700 Pennsylvania Avenue, NW

Washington, D.C. 20408

1-800-234-8861

<http://www.archives.gov/index.html>

COSHRC

Council of State Historical Records Coordinators

Provides internet links to all State Archives and Records Management Offices.

<http://www.coshrc.org/arc/states.htm>

InterPARES

International Research on Permanent Authentic Records in Electronic Systems

Source for international research papers seeking to recommend standards in the electronic records industry.

<http://inter pares.org/>

CA Secretary of State

Provides records management guidelines for local government agencies through the California State Archives web site.

California State Archives

1020 O Street

Sacramento, CA 95814

(916) 653-3834

lmetzer@sos.ca.gov

CA Department of General Services – California Records and Information Management (CalRIM)

CalRIM establishes guidelines for state agencies to manage their records programs, including the management of electronic records and using technology such as imaging.

CalRIM provides training, Master Service Agreements to streamline the contracting process for records and imaging technologies and consultation, and other services to

help customers establish and maintain effective records programs. CalRIM also reviews and maintains all state agency records retention schedules.

Department of General Services
Procurement Division
California Records and Information Management Program
1500 5th Street, Suite 101
Sacramento, California 95814
(916) 324-4809
<http://www.osp.dgs.ca.gov/calrim/default.htm>

LOCAL GOVERNMENT RECORDS RETENTION GUIDELINES

**August 1999
City Clerks' Association of California
California State Archives 2002 Version**

LOCAL GOVERNMENT RECORDS RETENTION GUIDELINES

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Disclaimer

Local Government Retention Schedule Guidelines

The guidelines as enclosed have been endorsed by resolution of the General Assembly of the League of California Cities, and by the City Clerks Association of California. They represent extensive research as to the *minimum legal requirements* for the retention of local government records and do not reflect the administrative, operational, financial or historical needs of the jurisdiction. It is strongly recommended that cities consult with legal counsel when formulating their retention schedules so as to best meet their particular needs.

The committee's research was as complete as possible and reviewed by many legal officers but may not include every record series pertinent to local government. The guidelines are just that and are fluid, very much subject to additions and updates which will be coordinated through the office of the State Archivist under the Secretary of State.

Reference to retention periods, unless otherwise indicated, refers to the current year plus the years shown. For example, Cu + 2 refers to the Current year plus two, or 1998 plus years 1997 and 1996.

RECORDS RETENTION CLASSIFICATIONS – CITY GOVERNMENT**August 1999****ADMINISTRATION**

Audit
Community Services
Elections
General Subject
Grants
Human Resources
Information Services
Legal/Legislative
Municipal Clerk
Policies & Procedures
Public Information
Public Financing Authority
Risk Management

DEVELOPMENT

Administration
Building
Code Enforcement
Engineering
Environmental Quality
Housing
Municipal Facilities
Planning
Property
Redevelopment

FINANCE

Accounting
Administrative Services
Fixed Assets
License
Payroll
Purchasing
Reports
Treasurer

PUBLIC SAFETY

Animal Control*
Emergency Management
Fire Safety
 Administration
 Personnel
 Property
 Reports
Hazardous Materials
Health & Welfare
Law Enforcement
 Administration
 Investigations
 Patrol
 Services

PUBLIC WORKS

Parks
Sanitation/Solid Waste/
 Wastewater
Streets/Alleys
Utilities
Water

TRANSPORTATION

Administration
Airport
Ground Transportation
Harbor

*Anticipate will be addressed by County Officials

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LEGEND

Records Retention

AC = Active
AU = Audit
CU = Current Year
E = Election
P = Permanent
T = Termination

AD = Adoption
CL = Closed/Completion
DOB = Date of Birth
L = Life
S = Supersede

CITATIONS

B&P – Business and Professions

H&S – Health & Safety

CAC – California Administrative Code

**HUD – Housing and Urban
Development**

CCP – Code of Civil Procedure

**OSHA – Occupational Safety & Health
Act**

CCR – Code of California Regulations

PC – Penal Code

**CEQA – California Environmental
Quality Act**

**POST – Police Officers Standards
Training**

CFR – Code of Federal Regulations

UFC – Uniform Fire Code

EC – Election Code

USC – United States Code

**FMLA – Family & Medical Leave Act,
1993**

WIC – Welfare & Institutions Code

GC – Government Code

ADMINISTRATION

Record Series	Retention	Citation	Descriptor
AUDIT			
Annual Financial Report	CL + 2	GC34090	Independent auditor analysis
Bonds	CL + 10	GC34090; CCP 337.5	Final bond documentation
Budget	P	GC34090	Annual operating budget approved by Legislative Body
Budget Operating (copies)	S	GC34090	Departmental Reference
Hearing or Review	AU + 2	GC34090; OMB A-128	Documentation created and or received in connection with an audit hearing or review
Reports	AU + 4	GC34090; OMB A-128	Internal and/or external
Reviews, Internal/External Periodic	CU	GC34090; GC6250	Daily, weekly, monthly, quarterly or other summary, review, evaluation, log, list, statistics, except a report
COMMUNITY SERVICES			
Libraries	CU + 2	GC 34090	Books, art, gifts, donations, exhibits, theatre, music, special events, etc.
Plaques	P		Historic value
Sports Organization	S + 2		
ELECTIONS			
Affidavit Index	CL + 5	EC 17001	
Applications, Absentee Ballots and Envelopes	E + .5	EC 17505; EC 17302	From date of election
Assisted, Challenged Voters List	E + .5	EC 17304	From date of election
Ballots	E + .5	EC 17302	From date of election; ballots submitted to precincts/City Clerk that were not used - unless contested (EC 17302(c)) retention by court order
Ballots Prop. 218 (Assessment Districts)	P	California Constitution Art. XIII	Property related fees (Assessment Ballot proceeding)
Calendar	E + 2	GC 34090	
Canvass	P	GC 22932; EC 17130; EC 2653	Notifications and Publication of Election; Records used to compile final election results, including tally sheets, voting machine tabulation, detailed breakdown of results; special election results
Certificates of Election	T + 4	GC 81009(a) (d)	Certificates of election; Original reports and statements
Charter Amendments/ Measures	P	GC34458-60; GC34090	Chapter designations by Secretary of State following adoption of voters

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Fair Political Practices			
Administration/ Campaign Statements and Conflict of Interest	CU + 5		FPPC Opinions
Campaign disclosure, Elected	P	GC81009(b) (g)	FPPC Filings
Campaign disclosure, Not Elected	E + 5	GC81009(b)	FPPC Filings
Campaign disclosure - Unsuccessful (all other committees)	E + 7	GC81009	FPPC Filings
Candidate Statements	E + 4		Sample ballot retained permanently.
History	P	GC 34090	History of elections, sample ballots, certificates of destruction, other resolutions re: elections
Statement of economic interest - Elected Officials	T + 7	GC 81009(e)	FPPC Filings
Statement of economic interest - Not Elected	E + 5	GC 81009(b)	FPPC Filings
Lobbyist Registration	P	EC 81009(b)	Statements
Maps, Precincts/Voter Information	E + 2	GC 34090; EC 17501; EC 17301	
Nomination Papers Successful Unsuccessful	E + 4 E + 2	EC 17100 GC 81009(b)	
Notifications and Publications	E + 2	GC 34090	Proof of publication or posting, certification and listing of notice of posting; copy of newspaper notice and certification of offices to be voted for at forthcoming election
Oaths of Office	T + 6	GC34090; 29 USC 1113	Elected Officials
Petitions	.75	EC 17200, 17400; GC 7253.5; EC 14700 + GC 3756:8	From date of filing or election; Initiative, referendum, recall, Charter Amendments

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Precinct Records	E + .5	EC 17503	From date of election: Precinct official material; declaration of intention, precinct board member applications, orders appointing members of precinct boards and designating polling places Includes notice of appointment of office and record of service
Roster (Of Voters)	E + 5	EC 17300	From date of election; Initiative, referendum recall, general municipal election, Charter Amendments
Voter Affidavits	CL + 5	EC 17000	
Voter Registration Signature Copy	CU + 5	EC 17000	Fire, special or school district
GENERAL SUBJECT			
Administration	P	GC 34090	
Biographies	CU + 2	GC34090	
Classifications and Appointments	P	GC 34090; GC 12946; 29 CFR 516.6(2); 29 CFR 1602.4	Includes supplemental Personnel records. Wage rate tables 2 years.
Correspondence/ Originating Department	CU + 2	GC34090(d)	If not attached to agreement or project file
Goals & Objectives	CU + 2	GC34090	Departmental goals & objectives
Policies & Procedures, Departmental	S + 5	GC34090(d)	Retain while current
Promotional Marketing			
External	CU + 7		
Internal	2		
Reports			
Departmental	CU + 2	GC34090	Special/or final summary, review or evaluation
Staff	CU + 2	GC34090	Non-agenda related, includes supporting documentation
Special Projects	CU + 2	GC34090	
Support Services	CU + 2	GC34090	Reproduction; printing; postal/mailing services, other internal resources
Travel Records	CU + 2	GC34090	
GRANTS			
Community Development Block Grant and Urban Development	T + 4	GC34090; 24 CFR 570.502 24 CFR85.42*	Applications, reports, contracts, supporting documents; *OMB Cir. A-102, A-110, A-128
Federal and State	CL + 5	GC34090	Refer to grant application close-out procedure
Financial Records	CL + 5	GC34090	Refer to grant application close-out procedure
Unsuccessful	CL + 2	GC34090	Applications not entitled

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
HUMAN RESOURCES			
Benefit Plan Claims	P	GC6250 et seq; OMB A-129 29 CFR 1602.30; 32; Lab Rel Sec 1174*	May include dental, disability, education, health, life and vision including dependent care and Employee Assistance *29 CFR 1637.3; 29 USC 1027; 29 CFR 1627.3; 29 USC 1113
Benefit Plan Enrollment, Denied	CL + 4	GC34090; OMB A-128	
Bond, Personnel Fidelity	T + 2	GC34090	Employee Fidelity Bonds
Employee Handbook	S + 2	GC 34090	General employee information including benefit plans
Employee Programs	CL + 2	GC 34090; GC 12946	Includes EAP and Recognition
Employee Rights General Employees Safety (Police)	T + 2 T + 5	GC12946; 29 CFR 1602; 29 USC 211 (e); 203(m); 207(g)	May include Arbitration, grievances, union requests, sexual harassment and Civil Rights, complaints, disciplinary actions
Hourly Employees	T + 6	GC12946; GC34090*	*29 CFR 1627.3, Labor Relations Section 1174
Immigrant		Immigration Reform/Control Act 1986 Pub. L 99-603	I-9's
Medical Leave	CL + 30	FMLA 1993 US OSHA; 29 CFR ; 1910.20*	May include Family leave; certifications; tests; W-4's; *29 CFR 1602.30.32; 49 CFR 193-9;
Motor Vehicle Pulls (DMV)	CL + 7	GC12946, *	*CA 91009; 8 USC 1324 (a)
Negotiation	P	29 USC Sections 211(c), 203(m), 207(g)	Notes, notebooks, correspondence, contracts, and Memorandums of Agreements

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Non-Safety Employees	T + 3	Reference: 29 CFR 1627.3; CCR Sec 1174; 29 CFR 1602.30.32; GC6250 et seq; 29 CFR; GC 12946, 34090*	Non-safety employees may include: Release Authorizations; Certifications; Reassignments; outside employment; commendations disciplinary actions; terminations; Oaths of Office; evaluations-pre-employee medicals; fingerprints; identification cards (ID=s) *1607.4; 29 CFR 655.202; 29 CFR 516.6 et seq; 45 CFR 1068.6(a)
Personnel Records (copies)	CU + 2	GC34090; GC6250	Attendance; evaluations; drafts; worksheets; postings
PERS, Social Security, SSI	P	29 CFR 1627.3(2); GC 12946, 34090	EEOC/ADEA
Recruitment	CL + 3	Reference: GC12946; GC6250 et seq; 29 CFR 1602 et seq 29 CFR 1607; 29CFR 1627.3	Applications, resumes, alternate lists/logs, indices; ethnicity disclosures; examination materials; examination answer sheets, job bulletins; eligibility; electronic database
Reports	CU + 2	GC34090	Employee statistics, benefit activity; liability loss
Safety Employees	T + 5	Reference: 29 CFR 16273; CCR Sec 1174; 29 CFR 1607.4; *	Police, fire, emergency employees may include; Release Authorizations; Certifications Reassignments; outside employment; commendations disciplinary actions; terminations; Oaths of Office; evaluations-pre employee medicals *29 CFR 1602.30.32; 29 CFR 655.202; 29 CFR 516.6 et seq; 45 CFR 1068.6(a)
Surveys and Studies	CU + 2	GC 12946, 34090; 29 CFR 516.6(2); 29 CFR 1602.14	Includes classification, wage rates
Training Records Non-Safety	CU + 7	GC6250 et seq	Employee applications, volunteer program training, class training materials, internships;
Personnel (by name)	T + 7	GC34090	Paperwork documenting officers internal and external training
Safety	CU + 2	GC34090	Certifications/designations
Vehicle Mileage Reimbursement Rates	S + 2	GC 34090	Annual mileage reimbursement rates

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
INFORMATION SERVICES			
Internet, World Wide Web	S + 2	GC34090	Management/Policies and supporting documentation
Inventory, Information Systems	S + 2	GC34090	Hardware/Software Inventory logs; systems manuals
Network Information Systems (LAN/WAN)	CU + 4	GC34090; CCP 337.2; 343	Configuration maps and plans
Program Files and Directories	CU + 2 CU + (2 mos.) CU + 1 CU + .5	GC34090; GC34090.7	Annual backup Daily backup Monthly backup Weekly backup
Tapes Information Systems	CU + 2	GC34090	System Generation
LEGAL/ LEGISLATIVE			
Agendas	CU + 2	GC34090	Original agendas and special meeting notices, including certificates of posting, original summaries, original communications and action agendas for Council, Boards and Commissions
Agenda Reports (Master, Subject Files)	CU + 2	GC34090 (d)	Documentation received, created and/or submitted to Council
Appeals, Civil	CU + 3	CCP 583.320(a)(3); GC 34090	
Applications, Boards, Commissions, Committees	CL + 2	GC34090	Not selected
Applications, Boards, Commissions, Committees	T + 5	GC34090; GC40801	Selected
Articles of Incorporation	P	GC34090; CCP 337.2	
Case Log	CL + 7	CCP 337.2; 343	From Close of cases listed; Chronological listing of cases
Case Records - (High Profile)	P	GC6254	Significant cases which have importance/or set legal precedence. Includes logs, complaints, police reports, court orders, motions, notes, briefs
Case Records	CO + 7	42 USC s1983	Includes logs, complaints, police reports, court orders, motions, notes, briefs, closing statements (unless minors - 3 years after attaining 18)
Contracts and Agreements Excl. Capital Improvement	T + 5	CCP 337.2, 343; B&P7042.5; *	Includes leases, equipment, services or supplies *PU7685; 48 CFR:2; GC53066
Incl. Capital Improvement	P	2.08.110;*	Construction *GC37090a; 4004; H&S 19850
Index, Attorney Case	L	GC6254	Including notations on activities related to case

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Legal Advertising	CU + 4	CCP 343, 349 et seq.; GC 911.2; GC 34090	Includes public notices, legal publications
Logs, Attorney Service Request	CU + 2	GC34090	Service request, summaries of monthly requests
Minutes	P	GC34090(d) ; GC36814; GC40801	Official minutes and hearing proceedings of governing body or board, commission or committee
Notices, Meeting	CU + 2	GC 34090.7, 54960.1(c)(1)	Special meetings
Opinions	S + 2	GC34090; GC6254	Confidential
Ordinances	P	GC34090(d) 40806	Charter amendments; municipal code
Petitions	CU + 1	GC50115; GC6253	Submitted to legislative bodies
Resolutions	P	GC34090(d) 40801	Legislative actions
Tapes, Audio/Video	CU + 3 mos.	GC 34090.7	When used for minute preparation and may have historical value.
MUNICIPAL CLERK			
Assessment Districts	P	GC 34090	Original documentation
Inventory, Records	CU + 2	GC34090; 80 OPS Atty. Gen. 106	Inventory of non-current or inactive records holdings and location, indices. Tapes may be recycled.
Municipal Code	P	GC 34090	Supplements included
Public Records Request	CL + 2	GC 34090	
Records Management	CL + 2	GC34090	Document includes retrieval, transfers - inactive
Records Management Disposition Certification	P	GC34090	Documentation of final disposition or records
Records Retention Schedules	S + 4	CCP 343	
POLICIES/ PROCEDURES			
General Administrative	S + 2	GC34090; 40801	All city policies and procedures
Policy, Council/ Proclamations	S + 2	GC34090	Policies, directives rendered by Council not assigned a resolution or ordinance number
PUBLIC FINANCING AUTHORITY			
Administration	P	GC 34090	

ADMINISTRATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Financial Records	P	GC 34090, 40802, 53901	
Management Reports	2	GC 34090	
PUBLIC INFORMATION			
Brochures, publications, newsletter, bulletins	S + 2	GC 34090	
Calendar, City	CU + 2	GC 34090	
Media Relations	CU + 2	GC 34090	Includes cable, newspaper, radio, message boards, presentations.
RISK MANAGEMENT			
Accident Reports - City Assets	CL + 7	29 CFR 1904.2; 29,*	Reports and related records * CFR 1904.6
Bonds, Insurance	P	CCP 337.2; 343	Bonds and insurance policies insuring city property and other assets
Claims, Damage	CL + 5	GC34090; GC25105.5	Paid/Denied
Incident Reports	CL + 7	29 CFR 1904.2; 29 CFR 1904.6	Theft, arson, vandalism, property damage or similar occurrence (excluding fire/law enforcement)
Insurance, ACCEL JT Powers Agreement	P	GC34090	(Authority California Cities Excess Liability Insurance) B Accreditation/ MOU=s/agreement/agendas
Insurance, Certificates	P	GC34090	Insurance certificates filed separately from contracts, includes insurance filed by licensees
Insurance, Liability/Property	P	GC34090	May include liability, property, Certificates of Participation, deferred, use of facilities
Insurance, Workers Compensation	P	GC6410; 29 CFR 1910.20	Indemnity; PERS - working files - originals with Administrator
Photographs, Negatives, Film	CL + 2	GC34090	
Risk Management Reports	CL + 5	OMB 1220- 0029; 29 CFR1904.4; GC 34090	Federal OSHA Forms; Loss Analysis Report; Safety Reports ; Actuarial Studies
Workers Compensation	P	CCR 14311; 15400.2; CA Labor Code 110-139.6	Claim Files, Reports, Incidents (working files) originals filed with Administrator

DEVELOPMENT

Record Series	Retention	Citation	Descriptor
ADMINISTRATION			
Benchmark Data	CU + 2	GC34090d	Horizontal, vertical & control
Bids & Proposals (Unsuccessful)	CL + 2	GC34090d	
Bonds Development	CL + 10	CCP 337.5	Housing; Industrial Development
Security	CL + 2	GC34090	Documentation created and or received in connection with the performance of work/services for the city, or for parcel maps and subdivision work
Code Books	P	GC34090e	National Electrical Code, Uniform Building, Fire, Mechanical, Plumbing & Supplements
Contractor	CU + 2	GC34090d	Current listing
Correspondence	CU + 2	GC34090d	Working documentation
Development Conditions	L	GC34090	Mitigation measures; filed with case files
Development Agreements	P	CCP337, 337.1(a), 337.15; GC34090;4 8 CFR 4.703	Infrastructure contracts, franchises. Original maintained for 7 years.
Development Standards	P	GC34090a	Landscape mediums, parkway landscape development, public works construction
Drawings, Project Plan	CU + 2	GC34090d	Does not include those usually filed with case or project
Franchises	P	GC65864, 65869.5, 34090*	Including subdivision agreements, contracts for sale or purchase of property, cable, grant of easements and/pr involving construction of improvements *CCP 337.2, 343; AC16023
General Subject Files	CU + 2	GC34090d	Internal working files including correspondence
Grants, Community/Urban Development (includes CDBG)	CL + 4	24CFR 570.502(b) (3); 241CFR 85.42 & OMB Cir. A- 110, Attach. C; *	Project files, contracts, proposals, statements, reports, sub-recipient dockets, Environmental review, grant documents, applications, inventory, consolidated plan, etc. Includes Section 108 loan guarantee *OMB Cir. A-102 & 128, HUD regulations
Historic Preservation Inventory	2	GC34090d	Historic structures & landmarks
Incident Files	2	GC34090d	Emergency Call Outs
Land Uses, nonconforming	P	GC34090a	Building or site usage which does not conform to current standards
Logs	CU + 5		Logs, registers or similar records listing permits, certificates of occupancy issued; may include inspection, building activity, daily, plan check, utility

DEVELOPMENT(CONTINUED)

Record Series	Retention	Citation	Descriptor
Maps & Plats	P	GC34090a	Engineering & field notes and profiles; cross-section of roads, streets, right-of-way, bridges; may include annexations, parks, tracts, block, storm drains, water easements, bench marks, trees, grading, landfill, fire hydrants, base maps, etc.
Master Plans, Annual	S + 2	GC34090	Special or long range program plan for municipalities – coordination of services; strategic planning
Permits, Construction	P	GC34090a; H&S19850; 4003; 4004	Plans, building, signs, grading, encroachment, including blueprints and specifications
Permits, Other	CL + 2	GC34090d	Alterations, encroachment, excavations, road, street sidewalks & curb alterations, transportation, swimming pool drainage, temporary uses, etc.
Photographs	S + 2	GC34090d	Aerial photographs
Projects, Not Completed or Denied	CL + 2	GC34090d	Building, engineering, planning
Reports	CU + 2	GC34090	Activity, periodic
Seismic Retrofit Program	P	GC34090a	Includes Certificates of Compliance
Street Names and House Numbers	P	GC34090a	Street dedications, closings, address assignment/changes
Studies, Special Projects & Areas	CL + 2	GC34090d	Engineering, joint powers, noise, transportation
Surveys	P	GC34090a	Recording data and maps
BUILDING			
Blueprints, Specifications	CL + 2	GC34090d	Submitted by contractors with application for permit and builds for Certificate of Occupancy
Certificates	L	GC34090a	Compliance, elevation, occupancy which affect real property
Construction (Approved)	P	GC34090a; 4003; 4004; H&S 19850, 19853	New commercial and residential construction, tenant improvements room additions, spa, signs, block wall, remodel including security bonds
Inspection	CL + 2	GC34090d	Correspondence, fees, appeal requests, reports
Permits	P	GC34909a; H&S 19850; 4003;4004	Plans, building, signs, grading, encroachment permits
Signs (Temporary)	S + 2	GC34090d	Home occupations, off-premise signs
CODE ENFORCEMENT			
Abandoned Vehicles	CL + 2	GC34090d	
Case Files	CL + 2	GC34090d	Building, housing and mobile home code violation records including inspections; public nuisance rubbish and weed abatement, vehicle abatement, citations, massage parlor permits, general
Liens & Releases, Supporting Recorded	CL + 2 P	GC34090	Utilities, abatement, licenses

DEVELOPMENT(CONTINUED)

Record Series	Retention	Citation	Descriptor
Logs	CU + 2	GC34090d	Lien Recovery, citations, complaints
Regulations	S + 2	GC34090d	Includes rules
Reports, Federal and State	P	GC34090a	Code enforcement statistics; may contain records affecting title to real property or liens thereon
Violations, Building, Property & Zoning	CL + 2	GC34090d	Supporting code enforcement activity
ENGINEERING			
Capital Improvement Projects	CL + 10	CC337.15	Supporting documents including bidders list, specifications, reports, plans, work orders, schedules, etc.
Construction Tracking, Daily	P	CC337.15	Assesses value of real property
Drawings, Traffic Control Plan	P	GC34090a	Signs, signing & striping, road construction
Flood Control	CL + 2	GC34090d	Storm Drains
Special Districts	P	GC34090a	Supporting documents re: improvement, lighting, underground utility; bonds, taxes & construction
Street/Alley (Abandonment/ Vacation)	CL + 2	GC34090d	Relinquishment of rights and fee title
Traffic Signals	CL + 2	GC34090d	Counts, collisions, accidents
ENVIRONMENTAL QUALITY			
Air Quality (AQMD)	CU + 7	CCP 338(k); GC34090	Participants/voucher logs, Total Daily Mileage Survey (TDM); various local authorities; Commute Alternative
Asbestos	P	GC34090a	Documents abatement projects, public buildings
California Environmental Quality Act (CEQA)	P	GC34090a + CEQA Guidelines	Exemptions, Environmental Impact Report, Mitigation monitoring, negative declaration, notices of completion and determination, comments, statements of overriding considerations
Congestion Management	CU + 2	GC34090d	Ride sharing, trip reduction
Environmental Review	CL + 2	GC34090d	Correspondence, consultants, issues, conservation
Pest Control	CU + 2	GC34090d	Pesticide applications, inspections & sampling, documents
Soil	CL + 2	GC34090d	Analysis, construction recommendations
Soil Reports	P	GC34090d	Final Reports
HOUSING			
Bonds	CL + 4	CCP 337	Revenue Bond Documentation
Programs	CL + 3	24 CFR 570.502(b)(3); 24 CFR 85.42 & OMB Cir. A-110, #C	Includes comprehensive Housing Authority Strategy, Meeting Credit Certificate, Housing bond advisory, HOME, In-Lieu Housing Mitigation, Low/Moderate Housing, Rental Housing Assistance

DEVELOPMENT(CONTINUED)

Record Series	Retention	Citation	Descriptor
Redevelopment Budgets	P	GC 34090, 40802, 53901	Includes annual audit
Bond Issues	P	GC43900 et seq.	
MUNICIPAL FACILITY			
Capital Improvements, Construction	P	2.083110; GC34090a; 4004; H&S 19850; GC34090a	Contains records re: Planning, design, construction, conversion or modification of local government-owned facilities, structures & systems
Facility Rentals/Use	CU + 2	GC34090	Permits, contracts, diagrams, schedules, insurance binders
Maintenance & Operations	CU + 2	GC34090d	Service requests, invoices, supporting documentation; buildings, equipment, field engineering, public facilities including work orders and graffiti removal
PLANNING			
Case files, Planning and Zoning	P	GC34909a; H&S 19850; 4003;4004	Pertains to real property. May include blueprints, drawings, maps, plans, reports, evaluations, correspondence, uses, permits, variances, studies, appeals, compliance certificates, lot line adjustments or other planning-related matters brought before legislative body
Certificates	L	GC34090	Retain during life of structure
Flood Records	CU + 2	GC34090	
General Plan and Elements	P	GC34090	Includes sphere of influence
General Plan Amendments			
Approved	CL + 2	GC34090	
Denied	CU + 3	GC65103; *	* GC50110
Interpretations	CU + 2	GC34090	
Maps, Plans, Drawings, Exhibits, Photos	P	GC34090; H&S 19850; GC34090.7	Zoning, tentative subdivision, parcel, land use map, aerial photos, specific plans
PROPERTY			
Abandonment	P	GC34090a	Buildings, Condemnation, Demolition
Acquisition/Disposition	CL + 10	GC34090a; GC6254	Supporting documents re: sale, purchase, exchange, lease or rental of property by City
Annexation Case Files	P	GC34090a	Reports, agreements, public notices
Appraisals	CL + 2	GC34090; GC6254(h)	Exempt until final acquisition or contract agreement obtained
Deeds & Promissory Notes	P	GC34090a *	* 24 CFR 570.502(b)(3); 24 CFR 8.42 & OMB Circ. SA-110
Maps, City Boundary	P	GC34090d	Recorded maps, surveys, monuments
Lot Split Cases	P	GC34090	
Relocation Files	CL + 2	GC34090	e.g., Redevelopment

FINANCE

Record Series	Retention	Citation	Descriptor
ACCOUNTING			
Accounts Payable	AU + 4	GC34090	Invoices, check copies, supporting documents
Accounts Receivable	AU + 4	GC 34090	
Applications	CL + 2	GC34090	Utility connections, disconnects, registers, service
Assessment Districts	P	GC 34090	Collection information; Original documentation files with municipal clerk
Bank Reconciliation	AU + 5	GC34090; 26 CFR 16001-1	Statements, summaries for receipts, disbursements & reconciliation
Billing Records	AU + 2	GC34090	Customer name, service address, meter reading, usage, payments, applications/cancellations
Budget	AU + 2	GC 34090	
Budget adjustments, journal entries	AU + 2	GC34090	Account transfers
Checks	AU + 5	GC34090; CCP 337	Includes payroll, canceled & voided checks
Deposits, Receipts	AU + 4	GC 34090; CCP 337	Checks, coins, currency
Invoices	AU + 2	GC34090	Copies sent for fees owed, billing, related documents
Journals			
Utility Billing	CU + 2	GC34090	Billing including monthly activity
Ledger, General	P	GC34090; *	* CCP 337
Voucher	AU + 4	GC34090; CCP 337	Account postings with supporting documents
Taxes, Receivable	AU + 3	CCP338	
Warrant Register	AU + 2	GC 34090.7	
ADMINISTRATIVE SERVICES			
Budget Operating (copies)	S	GC34090	Departmental Reference
Budget, Proposed	CU + 2	GC34090	Presented to Council
Adopted	P	GC 34090	
FIXED ASSETS			
Inventory	AU + 4	GC34090; 26 CFR 301 65-1(F)	Reflects purchase date, cost, account number
Surplus Property			
Auction	AU + 2	GC34090	Listing of property
Disposal	AU + 4	GC34090; CCP 337	Sealed bid sales of equipment
Vehicle Ownership & Title	L	VC 9900 et seq.	Title transfers when vehicle sold
LICENSE			
Business	T + 4	GC34090; CCP 337	Paid & reports

FINANCE (CONTINUED)

Record Series	Retention	Citation	Descriptor
PAYROLL			
Adjustments	AU + 4	GC 34090 29 CFR 516.5 – 516.6	Audit purposes
Employee Time Sheets	AU + 6	GC34090; 29 CFR 516.2*	Signed by employee for audit & FEMA Reports *20 CFR 516.6(1); IRS Reg. 31.6001-1(e)(z); R&T 19530; LC 1174(d)
PERS Employee Deduction Reports	T + 4	GC34090; CAC 22- 1085-2	Record of deductions (<i>PERS Public Employee Retirement System</i>) *26CFR 31.6001-1;29 CFR 516.5, 516.6, LC 1174(d)
Register	P	GC34090; GC37207	Labor costs by employee & program
Salary Records	T + 3	GC34090; 29 CFR 516.2	Deduction authorization, beneficiary designations, unemployment claims, garnishments
PURCHASING			
Bids, RFQ's, RFP's Successful Unsuccessful	AU + 4 AU + 5 CU + 2	GC34090; CCP 337; *	Requests for Qualifications; Requests for Proposals regarding goods and services * GC 25105-1; GC 34090
Requisitions			
Purchase Orders	AU + 4	GC34090; CCP 337	Original documents
Stores	CU + 2	GC34090	Completed forms for ordering
Vendor Register	P	GC34090	Alpha vendor listing of purchase orders, invoices, account numbers and check date
REPORTS			
Audits	P	GC 34090	
Deferred Compensation	T + 5	GC34090; 26 CFR 16001- 1*	Records of employee contributions and city payments *29 CFR 1627.3(2)
Federal and State Tax	AU + 4	GC34090; 29USC 436 *	Forms 1096, 1099, W-4's and W-2's *26 CFR 31.6001.1-4; IRS REG 31.6001-1(e)(2);R&T 19530;29 CFR 516.5-516.6
Financial, Annual	AU + 7	GC 34090.7	
Investment Transactions	P	GC34090; CCP 337; GC 53607	Summary of transactions, inventory & earnings report
Labor Distribution	AU + 2	GC34090	Costs by employee & program
Meter Reading	CU + 2	GC34090	
State Controller	P	GC34090	Controller may destroy after 5 years
Utility Rebates	CU + 2	GC34090	
TREASURER			
Bank Statements	AU + 2	FC 3368, 30210; GC 43900 et seq.	Financing authority

FINANCE (CONTINUED)

Record Series	Retention	Citation	Descriptor
Bonds			
Account Statements	CL + 10	GC34090; CCP 337.5	Monthly statement of transactions.
Administration	CL + 10	GC34090; CCP 337.5	Supporting documents
Bonds and Coupons	CL + 2	GC34090; 53921	Paid/canceled

PUBLIC SAFETY

Record Series	Retention	Citation	Descriptor
EMERGENCY MANAGEMENT			
Mutual Aid, Strategic Plans	S + 2	GC34090	
FIRE SAFETY ADMINISTRATION			
Books, Fire Code	S + 3	GC34090.7 CCP 340.5	Include OPS manuals
General Orders, Policies/Procedures	S + 2		
Inspections, Fire Prevention	CL + 3	UFC 103.34	Alarm/sprinkler systems, prevention efforts
Investigations, Evidence Arson	P	PC 799	Support prosecution resulting in homicide
Investigations, Evidence Arson	CL + 6	PC 800	Great bodily harm, inhabited structure or property
Journals, Fire Station	CU + 2	GC34090	Activities, personnel, engine company
Permits, Uniform Fire Code	CL + 2	GC34090	
PERSONNEL			
Exposure	T + 30	29 CFR 1910.1020	Sampling results, collection methodology, background
Exposure	T + 1	29 CFR 1910.1020	Laboratory reports and worksheets
Medical	T + 30	29 CFR 1910.1020	
Medical	T + 2	29 CFR 1910.1020; *	Employees less than one year *GC34090
Training	T + 2	GC34090	Certifications/designations
PROPERTY			
Apparatus/Vehicle	CU + 2	GC34090 CCP 340.5 *	Repair and Maintenance *8 CAL Code Reg. 3203 (b) (1)
Inventory, Equipment & Supplies	CU + 2	GC34090	
Logs, Fire Equipment/Gear	CU + 2	GC34090	
REPORTS			
Incident	CL + 3	GC34090 CCP338 *	Dispatch and daily logs *CCP 340.5
Field, Non-fire and Logs	CU + 2	GC34090	
Fire, Non-arson and Logs	CU + 2	GC34090	

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Investigations, Evidence Arson	CL + 3	PC 801; UFC 104.32	Structure
Weed Abatement	CL + 2	GC34090	Reports, assessments, resolutions, documentation
HAZARDOUS MATERIALS			
Hazardous Waste Disposal	CU + 10	CAL OSHA; 40 CFR 122.21	Documentation re handling and disposal of hazardous waste
Permits, Hazardous Materials Storage	CU + 2	GC34090	Departments consistently recommend permanent retention of environmentally sensitive materials.
Programs, Household Hazardous Waste	S + 2	GC34090	
Training Materials	S + 2	Cal Code *	Standards and Administration *Reg. 3204(d), et seq.
Underground Storage Tank Compliance Maintenance & Operation.	P CU + 2	GC34090a GC34090	Documents re: storage Location, installation, removal, remediation
LAW ENFORCEMENT ADMINISTRATION			
Accounting/Cash Reconciliation	CU + 2	GC34090	
Alarm Records	CU + 2	GC34090	
Claim Files	CL + 6	PC 832.5	Claim copy, correspondence, photographs, supporting documents relative to incidents involving the Police Department filed by citizens
Department Manual	S		Changes to manual are recorded in the General Orders (permanent)
Equipment Communication Inventory	T + 2 S + 2	GC34090 GC34090	Retained until termination of equipment use; Manuals, instructions, procedures Listing of equipment assigned to division, to whom it is assigned
Reports Activity	CU + 2	GC34090	Weekly/monthly/quarterly/ annual activity/statistical reports by division. Retain only one form for retention period
Chemical Emissions Survey Response Files	CU + 2 CU + 2	GC34090 GC34090	Surveys, responses, correspondence with other agencies requesting statistical data
INVESTIGATIONS			
Administrative/Internal	CL + 5	PC 832.5 EVC 1045 GC 12946 PC 801.5; 803(c) VC 2547	Initiated by citizens complaints or internally initiated; includes complaint, reports, findings

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Asset Forfeiture Investigations/ Proceedings Case File	CL + 2	GC34090	
Notifications	CU + 2	GC34090	To legal property owner prior to case filing that property is subject to asset forfeiture proceedings. If case is filed, notification becomes part of forfeiture case file.
Case Books, Investigative	CL + 2	GC34090	Retained by division until a case is suspended/closed; transfer to Records Division to be filed with associated Daily Report (DR) file
Case Files Homicide Investigator's File	P	PC 799	
Narcotics (No arrest, Narcotics Cases)	CL + 2	GC34090	Retained by division until no longer useful for investigative purposes
Officer Involved Shootings	CL + 25	GC34090	
Court Daily Schedule	CU + 1	GC34090.7	Printouts of daily court scheduling
Sign-In Logs	CU + 2	GC34090	Logs officers' names, time in/out for court appearances
Tracking System Records	CU + 2	GC34090	Database records subpoena number, officer name, case number, defendant name, district attorney name, court information disposition
Evidence, Disposition Forms			Attach to duplicate Property Report, file w/DR in Records Division
Fingerprint Applicants Files	T + 2	GC34090	Paperwork authorizing fingerprinting and background checks for city employment applicants and business license applicants
Inked/Palm Cards	AC + 20		Persons booked into detention facility; (Copies distributed to county, state, federal agencies)
Records Latents		Approp. PC Section	1) Retain for applicable case statute of limitation; 2) or until evidence in case is destroyed; Hard copy and digitized
Suspect, Adult/Juvenile	CL	Law Enforcement Management Guide by POST	Adults/juveniles suspected of a crime, taken for comparison. Destroy after original purpose achieved
Guns, Dealers Record of Sale	CU + 6	PC 12070	Applicants, Monthly Gun Audits, Applications Denied, Stolen (DOJ File)
Informant Files	T + 10		Legal notifications, identification information, payment information, activities information

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Record Series	Retention	Citation	Descriptor
Jail	CU + 6	GC34090	Daily report of staffing, bookings/releases, transfers, transportation
Daily Logs			
Inmate Record			Dependent on facility's classification; see Laws and Guidelines for Local Detention Facilities by Board of Corrections (State of California)
Inspection Files	CL + 6		Inspections by various agencies
Surveys	CL + 2	GC34090	Prepared quarterly, forwarded to State Board of Corrections
Licenses	CU + 2	GC34090	
Bicycle			
Bingo, Mace	CU + 2	GC34090	
Business	T + 1	GC34090	
License Review Board			
Administrative Files			
Duplicate (Pink),	CU + 2	GC34090	Original to licensee, Blue duplicate to DOJ; Pink duplicate retained by agency; renewals issued annually by local agency
Secondhand			
Dealer,			
Pawn Brokers			
Logs	S		
Auto Theft			
Case	CU + 1		
Assignment			
Daily	CU + 2	GC34090	
Activity			
Officer	CU + 2	GC34090	Daily activity of incidents not reported by use of official report
Report	CU + 2	GC34090	Report numbers, type, names, dates retained for research value
Summary			
Investigative	CL + 10	GC34090	Retained by division until cases are suspended and closed
(Pre-Arrest)			
Juvenile	CU + 2	GC34090	Logs document juvenile processing per CYA
Detention			
Property	CU + 2	GC34090	Logs items coming into and going out of property room
Control			
Rap Sheet	CL + 2	GC34090	Requests for criminal history
Subpoena	CU + 2	GC34090	Subpoenas received/served daily
Pawn Slips/Tickets	CU + 3	B & P 21628	
Photographs			Crime Scene, Registrant/Applicant, Photo file, Accident. Retain according to practical and functional association.
Daily Report	T	GC34090	Assigned DR number, retained as form of evidence, destroyed at same time evidence for associated case is destroyed
(Negatives)			
Inmates	CU + 20		By Prisoner number
(Negatives)			

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Registration Files, Arson, Sex and Narcotics	Life of registrant within juris- diction		Fingerprint Card, photo, information also forwarded to DOJ
Arrest/Conviction H&S Section 11357 (b), (c), (d), (e) or H&S Section 11360 (b) violations (Occurring after January 1, 1996)	2 (Man- datory destruc- tion from date of convic-tion or date of arrest with no convic- tion)	H&S 11361.5	Applicable to convictions occurring after January 1, 1996 or arrests not followed by a conviction occurring after January 1, 1996; Exception: H&S 11357(e), the record shall be retained until a juvenile offender attains the age of 18 years, then destroyed pursuant to 11361.5
Arrest/Conviction H&S Section 11357(b), (c), (d), (e) or H&S Section 11360 (b) violations (Occurring before January 1, 1996)	Man-datory Destruc- tion (Upon notice from Depart- ment of Justice)	H&S 11361.5 (c)	Applicable to convictions occurring prior to January 1, 1996 or arrests not followed by a conviction occurring prior to January 1, 1996 for violations of H&S Code 11357, 11364, 11365 and 11550
Crime Felonv Crimes With Or Without Arrests	See descriptor	PC 800 PC 801	Prosecution for an offense punishable by imprisonment in state prison for eight years or more must commence within 6 years after offense commission. Commencement of prosecution defined in PC 804. Exception: See PC 803 - Tolling/Extension of time periods; Appeals process and "Three Strikes" also considerations in assigning retention.
Misdemeanor/ Infractions	CL + 2	GC34090	No arrests, identifiable property or missing persons (See: Note 1)
Supplemental Felonv Capital Crimes, Crimes Punishable by Death, Life Imprisonment	P	PC 799	No statutory limitation for prosecution. Includes Murder, kidnapping for ransom, treason, procuring execution by perjury, train wrecking, assault with a deadly weapon by a life-term prisoner, bombing resulting in death or bodily injury, making defective war materials that cause death
Destruction Guns	P		
Narcotics	P		
Disposition of Arrest/Court Action			Retention determined by action taken; i.e., recordable arrest or detention (released no arrest)
False Alarm (Duplicate)	CU + 2	GC34090	
Non-Criminal Occurrences	CU + 2	GC34090	Injured or sick persons; missing persons where person has been returned; traffic collision reports not used as the basis for criminal charges

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Property Original	Until case is adjudicated/disposition determined		Copy retained in records case file; Refer to Managing Property in Law Enforcement Agencies (By POST)
Range Inventory	S + 2	GC34090	Quarterly reports of inventories of weapons and ammunition held by Department Range
Reports	CU + 2	GC34090	Arrest & Citation Register; Arson Offenses; Crimes Against Senior Citizens; Death in Custody; Domestic Violence; FBI Include Return A/Supp; Hate Crime Incidents; Homicide Reports, Supp.; Officers Killed or Assaulted; Original to FBI - DOJ; Uniform Crime Reports
Statistical (Crime Analysis)	CU + 2	GC34090	Internally generated information using activity logs, citizen calls, current and past crime statistic reports, finance dept expenditure and budget records; citations, crime reports, accident reports, permits, receipts. Reports created for variety of purposes including increases/decreases in criminal activity; officer workload, deployment, time usage
Statistical (UCR), Uniform Crime Reports Mandatory to DOJ (LEIC); FBI Include Return A/Supplement; Supplementary Homicide Report; Law Enforcement Officers Killed or Assaulted; Monthly Return of Arson Offenses Know to Law Enforcement; Number of Violent Crimes Committed Against Senior Citizens; Monthly Report of Domestic violence Related Calls for Assistance; Monthly Arrest and Citation Register; Monthly Hate Crimes Incidents; Death In Custody Reporting.	CU + 2	GC34090	Originals sent to FBI, DOJ
Research Project Files	CL + 2	GC34090	May include request forms, background materials, staff reports, final project reports and supporting data

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Sealed Adult Found Factually Innocent	Manda-tory Destruc-tion Upon and Pursu- ant to Court Order	PC 851.8	General provision: Upon petition, records of agency must be sealed and destroyed in accordance with the provisions set by court record; exceptions.
Juvenile	Manda-tory Destruc-tion upon and pursu- ant to court order	WIC 826 (a) & (b) WIC 781 (a)	Upon petition, local laws enforcement records within WIC 826(b) may be destroyed as ordered by the court, if related probation and juvenile court records have been destroyed by the probation officer. Records involving arrests, detention and/or petitioning juvenile before juvenile court
Subpoenas (Duplicate)	CU + 2	GC34090	
Tapes Audio, Telephone and Radio Communications	CU + 180 days	GC34090.6	Exception: Recordings used as evidence in a criminal prosecution or claim filed or litigation or potential claims and litigation shall be preserved for 100 days after conclusion of the court action
Surveillance/Se curity Video (Jail)	CU + 13 mos.	GC34090.6	
Use of Force Supervisory Review Files	CU + 2	GC34090	Includes review forms, arrest report copies, logs
Warrants Felony	Recall after 10 years. Excep-tion: Murder/ Escape		Recommended by the California Law Enforcement Warrant Officer's Association
Misdemeanor Criminal	Recall after 5 years		Recommended by the California Law Enforcement Warrant Officer's Association
Served	CU		Includes Warrant Service Information Card, alpha index card
Unserved (Local)	Until served, recalled or purged		
PATROL			
Cards Dispatch	CU + 2	GC34090	
Field Interview	CL + 2	GC34090	
Citations 11357(e), Juvenile	CL + 2	11361.5 H&S	
11357b H&S, 11357c H&S, 11360b H&S Violations	CL + 2	11361.5 H&S*	*CA Admin Code, Chapter 1, Title II, Sec. 708
Cite and Release	CL + 2	GC34090	

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
California Vehicle Code Infractions (Duplicates)	CU + 90 days	GC34090	Original is forwarded to court.
Parking/Traffic, Duplicates	CU + 2	GC34090.7	Originals are forwarded to court after agency processing; includes citations electronically created
Transmittals	CU + 2	GC34090	Listing of citations forwarded to court, filed for reference
Equipment Radio Logs (Communication)	CU + 2	GC34090	Documents problems, malfunctions, resolution to provide equipment performance history
General Orders	P		
Patrol Requests (Correspondence)	CU + 2	GC34090	From citizens for patrol presence
Radar Calibration Records	T + 2	GC34090	Documentation of Radar instruments retained during use/ownership
Reports Accident	CL + 2	GC34090	Non-Jury
Traffic Collision Fatalities	P		
Vehicle Assignment Reports	S		Record of assignments
Down Reports	CU + 1		Printouts reporting which vehicles are down for repair, maintenance, etc.
Repossession/Private Impounds	CU + 2	GC34090	
Service Schedules	S	GC34090	
Vests, Bulletproof Letters	CU + 2	GC34090	Authorization to purchase
Warrants Parking	Recall after 1 year		Recommended by the California Law Enforcement Warrant Officer's Association
Traffic	Recall after 5 years		Recommended by the California Law Enforcement Warrant Officer's Association
Weapons, Database	P		Departmentally-owned weapons, personal weapons, alternate weapons, secondary handguns; produces inventory reports
SERVICES			
Chemicals/Film Inventories	S		
Equipment Inventory/Sign-out Lab	T		
Operations Files - Photo Lab	T		Retain until equipment no longer owned/used by department; Manuals, instructions, procedures for use/operations of photographic equipment

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Grievance Files	CL + 2	GC34090	Grievance filed by employees, supporting documentation
Investigations, Background	CL + 2	GC34090	Non hired
Background Hired	P		Include original reports re: PC 832.5 investigations
Parades & Special Events File	CL + 2	GC34090	Reports, memos, correspondence, scripts, supplier information, assignments, deployments, supporting documentation
Permits Alcoholic Beverage Control License	L + 2	GC34090	Approval process
Concealed Weapons	CL + 2	GC34090	
Photographs Personnel	S + 2	GC34090	
Negative Log	CU + 2	GC34090	
Negatives, Misc.	CU + 2	GC34090	Not case-related (Public relations, promotions, events, ceremonies, staff photos)
Press Releases	CU + 2	GC34090	
Press, Video Programs (Community Relations)	CU + 2	GC34090	Collection of videos of programs and events; outside press coverage of department
Property Files	CU + 2	GC34090	Original reports and supplemental documentation (Lost, Found, Safekeeping)
Property, Pawn Broker/Secondhand	CU + 2	GC34090	Sales, slips. Dealer required to file duplicate with agency
Reports Dealer of Gun Sales, Duplicate	CU + 6 mos.	GC34090.7	Original maintained by DOJ. Dealer required to file duplicate with agency
Restraining Orders, Emergency Protective Orders, Temporary Restraining Orders, Legal Stipulations, Orders After Hearing	CU (See descriptor)		Destroy after law enforcement actions described in PC 273.5, 273.6, 646.9, 12028.5, 13700 and Family Code Sections 6380-6383 are fulfilled and effective date of restraining order has expired.
Rosters (Divisional)	S + 2	GC34090	Personnel assigned to division.
Schedules Daily	CU + 2	GC34090	Schedules of Officers on duty
Watch Assignment/ Timekeeping Records	CU + 2	GC34090	
Speaker Requests	CU + 2	GC34090	Community and business requests for public appearances, speakers
Tests, Densitometer Results (Photo Lab)	T + 2	GC34090	Daily tests of development chemicals/processes for quality control.

PUBLIC SAFETY (CONTINUED)

Record Series	Retention	Citation	Descriptor
Training Bulletins	P		
Event Files	CU + 2	GC34090	Correspondence, brochures, promotional materials, info on speakers, guests, supporting documents
Lesson Plans, Range	CL + 15		Scope, content, time period of courses
Personnel (by name)	T + 7	GC34090	Paperwork documenting officers' internal and external training
Schedules, Range	CU + 2	GC34090	Daily, weekly, monthly schedules of training events at range
Volunteer Card Files	T + 2	GC34090	Volunteers' identification, contact information

Note 1: The destruction of felony, misdemeanor and infraction Crime/Supplemental Reports is permitted providing:

1. They do not relate to an unadjudicated arrest except for H&S 11357 or H&S 11360 violations;
2. They do not relate to unserved warrants;
3. They do not involve identifiable items which have not been recovered;
4. They do not relate to PC 290, PC 457.1, or H&S 11590 registrants;
5. They do not relate to violations listed in PC Sections 799 and 800;
6. The cases are not presently involved in either a civil or criminal litigation.

PUBLIC WORKS

Record Series	Retention	Citation	Descriptor
PARKS			
Agendas, Board	CU + 2	GC34090	
Grants (<i>refer to Admin.</i>)			
Inventory, Equipment	AU + 2	GC34090	Warranties, purchase orders
Landscape	CU + 2	GC34090	Drawings, contracts, complaints, specifications, photos, reports
Maintenance/ Operations	C + 2	GC34090	Includes work orders, inspection, repairs, cleaning, reports, complaints
Maps	P	GC34090	Irrigation, plot plans
Minutes, Board	P	GC34090	
Photographs	S + 2	GC34090	
Plans, Proposed	CU + 2	GC34090	Future plans, new sites, expansions
Policies and Procedures	S + 2	GC34090	Includes rules and regulations
Railroad Right-of-way	CL + 3	36 CFR 64.11	Land acquisitions, correspondence, improvements, statutory records
Reports			
Accident	CL + 2	GC34090	Patrons, employees
Others	CL + 2	GC34090	
Studies	CL + 2	GC34090	Future sites, expansions
Resolutions, Board	P	GC34090	
Schedules, Class & Events	CU + 2	GC34090	Enrollment, liability releases, evaluations, attendance, flyers
SANITATION/ SOLID WASTE/ WASTEWATER			
Collections/Landfill	CU + 2	GC34090	Daily records, usage
Facilities	CU + 2	GC34090	Correspondence, maps, patron list
History, Sanitation	P	GC34090	Where City-owned
Incineration Plants, Sludge	CU + 2	40 CFR 61.54	Sludge, sampling, charging rate to measure mercury content
Incinerator Operations, Treatment Plant	CU + 2	40 CFR 60.153	Gas flow through wet scrubbing, oxygen content of exhaust gas, sludge rate, temperatures, fuel flow, total solids and volatile solids
Maintenance and Operations	CU + 2	GC34090	Includes work orders, inspection, repairs, cleaning, reports, complaints
Maps, Septic Tank	P	GC34090	Location maps
Rates	CU + 2	GC34090	
Recycling Programs	S + 2	GC34090	
Regulations	S + 2	GC34090	Includes legislation
Reports			
Studies	CL + 2	GC34090	
Tonnage	CU + 2	GC34090	

PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
STREETS/ALLEYS			
Abandonment/ Vacations	P	GC34090	
Closures	P	GC34090	
Easements, Dedications, Rights-of- Way	P	GC34090	
Field Books	P	GC34090	
Grants (see <i>Admin.</i>)			
Intersection Records	CU + 2	GC34090	Includes correspondence, volume counts, accident history
Inventory, Traffic Control Device	S + 2	GC34090	Signs, lights
Landscaping	CU + 2	GC34090	Plants, tree maintenance, work orders
Lighting	CU + 2	GC34090	Maintenance, work orders
Maintenance/ Operations	CU + 2	GC34090	Includes work orders, inspection, repairs, cleaning, reports, complaints, signals, striping
Maps	P	GC34090	Fire hydrants, lighting districts, wheel chair ramps, storm drains, streets, sidewalks, sewers
Master Plans	CU + 2	GC34090	Copies
Parking			
Lots	CU + 2	GC34090	
Regulations	S + 2	GC34090	
Reports/Studies	CL + 2	GC34090	
Permits			
Encroachment	P	GC34090	
Improvement	CL + 2	GC34090	May include curbs, sidewalks; Applications for excavation, fill, alterations
Oversize Load	CL + 2	GC34090	
Parking	CL + 2	GC34090	Residential
Paving	CL + 2	GC34090	
Use (Temporary)	CU + 2	GC34090	Includes Special Events
Photographs	S + 2	GC34090	Includes aerials
Plans, Capital Improvement, Projects	P	GC34090	Streets, curbs, gutters, sidewalks, storm drains
Policies and Procedures	S + 2	GC34090	Includes rules, regulations, standards
Naming and numbering	P	GC34090	

PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
Speed Limits	S + 2	GC34090	
Programs			
Federal Aid Urban	CL +	23 CFR 633 (a) & (c)	
Traffic Safety	S + 2	GC34090	Drivers Education, Pedestrian Safety, Bicycle Lanes
Reports			
Bridges & Overpasses	L	GC34090	Life of structure
Inspection	CU + 2	GC34090	Includes intersection, sidewalks. Bridges and Overpasses, keep life of structure
Studies	CL + 2	GC34090	Traffic volume, accident history, requests, statistics, drawings supporting traffic devices
Traffic Count	CL + 2	GC34090	Evaluation of traffic volume
Vehicle Accident	CL + 2	GC34090	
Routes, School Bus & Truck	S + 2	GC34090	Truck routes, access ramps, rest areas
Signage	L + 2	GC34090	Log books, index register cards, inventory lists, records of traffic signs
Traffic Signals	L		Logs, drawings, wiring diagrams, codes, circuit numbers, installation records, testing and maintenance.
Weigh Scales	S + 2	GC34090	
UTILITIES			
Facilities	T + 2	GC34090	If city owned
Gas & Electric Rates	S + 2	GC34090	
Underground	P	GC34090	GC4003, GC4004; H&S 19850
WATER			
Billing/Customer Records	CU + 2	GC34090	Billings, correspondence, complaints
Connection Records	P	GC34090	Maps, water line connections
Flood Control			
Drainage Facilities	P	GC34090	Includes dams, lakes, basins, creeks
Flood Zones	P	GC34090	Includes flood maps
Insurance Programs	S + 2	GC34090	Includes copies of policies, rules, programs

PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
Policies/ Procedures	S + 2	GC34090	Rules and Regulations
Reports/ Studies	CL + 2	GC34090	
Grants (see <i>Admin.</i>)			
Inventory, Equipment	CU + 2	GC34090	
Locations	P	GC34090	Mains, valves, hydrants, wells
Maintenance and Operations	CU + 2	GC34090	Includes work orders, inspection, repairs, cleaning, reports, complaints
Service	CU + 2	GC34090	Includes work orders, entry cards, manholes, service to property owners
Well & Pumping	CU + 2	GC34090	Times operational, power used and quantity
Maps	P	GC34090	Line location; easements
Master Plans	CU + 2	GC34090	Copies
Meter Operations	CU + 2	GC34090	Reader reports, orders, tests Maintenance Reports
Permits			
National Pollutant Discharge Elimination System NPDES)	P	40 CFR 122.28	Municipalities of 100,000/more, compliance with Clean Water Act re: pollutants
Others	CU + 2	GC34090	May depend on terms of state or federal agency
Policies and Procedures	S + 2	GC34090	Includes rules and regulations
Rates	S + 2	GC34090	
Reclamation	CU + 5	40 CFR 122.41	Daily operations including sewage flow, grit removal, chlorine usage, lab analysis results, etc.
Reports			
Conservation	CU + 2	GC34090	
Consumption	CU + 2	GC34090	
Corrosion Control	CU + 12	40 CFR 141.91	Compliance documentation
Discharge Monitoring	CU + 5	40 CFR 122.41	Average amount of pollution discharged into waters of municipality.
Drinking Water Corrections	CU + 10	40 CFR 141.33	
Hydrograph	P	GC34090	Daily flow of streams
Lead Service Line	CU + 12	40 CFR 141.91	Compliance documentation

PUBLIC WORKS (CONTINUES)

Record Series	Retention	Citation	Descriptor
Public Education	CU + 12	40 CFR 141.91	Compliance documentation
Quality Parameters	CU + 12	40 CFR 141.91	Compliance documentation
Sanitary Surveys	CU + 10	40 CFR 141.33	Statistics, reports, correspondence
Source Water	CU + 12	40 CFR 141.91	Compliance documentation, e.g. lead & copper
State Certification	CU + 12	40 CFR 141.91	Compliance documentation
Variations, Water System	CU + 5	40 CFR 141.33	
Well Level	CU + 2	GC34090	
Sources	CU + 2	GC34090	May include wells, rivers, lakes, districts
Surveyor Field Notes	P	GC34090	Notes preparatory to maps of water installations
Surveys, Water System Sanitary	CU + 10	40 CFR 141.33	Statistics, reports, correspondence
Tests			
Bacteriological Analysis	CU + 5	40 CFR 141.33	Compliance records include location, date, method and results; corrections, analysis of bacterial content
Chemical Analysis	CU + 10	40 CFR 141.33	Compliance records include location, date, method used and results; corrections, analysis of chemical content
Quality	CU + 12	40 CFR 141.91	Compliance documentation including sampling data, analysis, reports, surveys, documents, evaluation, schedules, valves, etc.
Valve Main Records	P	GC34090	
Violations, Drinking Water	CU + 3	40 CFR 141.33	Retention applies to each violation

TRANSPORTATION

Record Series	Retention	Citation	Descriptor
ADMINISTRATION			
Agreements	T + 4	CCP 337	Including concessionaire, slip rental, facility storage
Applications Aircraft Storage Parking Slip Rentals	T + 2	GC34090	Payment invoices, inventory listings, billing correspondence and other related documents
Special Events	CU + 2	GC34090	Permits, correspondence, related documents re use of rights of way
Fueling	AU + 3	CCP 337	Meter readings, fuel consumption reports, invoices, receipts and records pertaining to refueling operations
Hazardous Waste Disposal	CU + 10	CAL OSHA; 40 CFR 122.21	Documentation re: the handling and disposal of hazardous waste
Inventory, Equipment Parts & Supplies	L + 2		Includes vehicles, aircraft, vessels and related documents re repairs
Inventory, Vehicle Ownership and Title	L + 2		Owners manual, warranty documents, Department of Motor Vehicle title and registration, and related documents
Licenses, Permits	CU + 2		Forms, related documentation re: licenses and permits required by federal and state agencies
Maintenance/ Operations	L + 2	GC34090	Related to requests for service and work orders for fuel, vehicle and equipment maintenance and repairs
Report, Accident (Copies)	CU + 2	GC34090	Memos and working documents
Vehicle Assignment	CU + 2	GC34090	Log books, request forms, lists
AIRPORT			
Airport Certification	P	14 CFR 139.207b & 171.13- 171.213	Federal Aviation Administration (FAA) required manuals
Airport Noise Monitoring and Complaint	CU + 10		Correspondence, studies, memos, reports, log books, documents related to assessment of noise levels at airports and resolution of complaints
Inspection, Runway	CU + 10		Maintenance including Inspection reports, work orders and related records
Inspection, Safety Self	CU + 2	CFR 139.327	Safety inspection and related document include reviews and analysis of all aspects of airport operation
Maintenance, FAA	P	14 CFR 171.13 - 171.213	Forms and reports required by FAA including Forms FAA-198, -418, -6030-1, -6790-4

TRANSPORTATION (CONTINUED)

Record Series	Retention	Citation	Descriptor
Reports			
Accident and Incident (Aircraft)	CL + 8		Accidents, injuries, property damages, general conditions re pilot and aircraft
Airport Operational (Regulatory)	P		Annual and special reports to federal and state regulatory agencies.
Airport Operational (Administrative)	CU + 2		Logs, statistical summaries; administrative records
NOTAM (Notice to Airmen)	CU + 3		Reports re: conditions affecting airport maintenance/operations
GROUND TRANSPORTATION			
Auto for Hire	T + 4	GC34090	License, permits for Taxicabs, shuttles, etc
HARBOR			
Registers, Transient Vessel Reservation	AU + 3		Reservation applications, receipts, and index registers relating to boats in transit, temporarily moored
Slip Rental Index	CU + 5		Annual and periodic reports of slip renters
Slip Rental Permits	CL + 2		Applications, statement of rental conditions, vessel inspection check sheets, copy of DMV registration, boat owner information, and other documents re: dock slip spaces
Slip Rental Waiting List	CU + 2		

LOCAL GOVERNMENT
RECORDS RETENTION
GUIDELINES

County Records
June 2002
California State Archives

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