

Staff Policies Manual



Title: **Records Management Policy**
Policy #: 110
Sponsored by: City Clerk's Office
Approved by: City Council
Date: Issued: 10/19/2015 Amended: / /

Purpose

The purpose of this policy is to define the requirements for managing the records of the City of San Mateo (the "City") in compliance with laws, regulations, and operational requirements to establish a cost effective and efficient manner for managing the City's records.

Policy

It is the policy of the City that:

1. Records created or received in the course or conduct of the City's business is an asset of the City and is the exclusive property of the City.
 - A. Records are subject to compliance with this policy, the associated Retention Schedule and City procedures.
 - B. Employees should have no expectation of privacy for any record or writing created during the performance of City business or while using a system for managing the City's records and information.
2. Employees are responsible for being responsive to requests for public records in compliance with the California Public Records Act.
3. Each department is responsible for maintaining its records in accordance with this policy. Records will be created, stored and managed with the appropriate classification that enables their protection as well as necessary access for future use.
4. Records are to be retained in accordance with the City's approved Retention Schedule.
5. The following need not be kept, e.g.,: notes, drafts, non-City materials, reference materials, and duplicate copies.
6. Records, whether active or inactive, are to be appropriately stored and protected per San Mateo's Procedures for Managing Records.

7. Vital Records are to be identified by the City in a manner that establishes the priority of recovery of the records in a timely manner following a disaster.
8. Certain records that are deemed valuable for documenting the City's history shall be designated as Historical Records and may be preserved beyond the Retention Schedule so as to assure their ongoing availability and access.
9. Digital backups used for disaster recovery purposes are not subject to the requirements of the Retention Schedule because they are duplicate documents.
10. Per Council Resolution #102 (2015), the City Manager is vested with the authority to destroy obsolete records subject to City Attorney's approval. When records complete their retention period, regardless of the format, they shall be deleted, erased, or destroyed in compliance with City procedures.
11. Records maintained in a trusted electronic system are the preferred method of storage for the official record. Such electronic records should be indexed and full-text searchable.

Scope

This policy shall apply to all city employees, temporary workers and contractors of the City who have access to, or use of, City records assets. If there is a conflict between the requirements of this policy or the procedures implementing the policy and the department's policy, the more restrictive shall apply, unless compliance with the more restrictive requirement would conflict with state law.

Definitions (in alphabetical order)

1. **Classification**: The systematic identification and arrangement of records and information into categories according to logically structured conventions, methods, and procedural rules. Also known as Indexing.
2. **Inactive Record**: Any record related to closed, completed, or concluded activities. Inactive records are no longer routinely referenced but must be retained in order to fulfill legal, operational or other retention requirements.
3. **Legal Hold**: A procedure to cease destruction of certain records or information, even if the Records Retention Schedule mandates destruction, when litigation or government investigation related to those records is pending, imminent, or, in some cases, foreseeable.
4. **Office of Record**: The group, department, or office in the organization responsible for ownership of specified records for the full duration of the official Records Retention Period.
5. **Record**: A "record" means any document that reflects activities of the City that are useful for future reference. Any recorded or stored Document that supports or records the business operations, objectives, agreements or activities of the City however created,

received, modified, maintained, archived, retrieved or transmitted, regardless of media or format.

- A. Active Record: A record needed to perform current operations, subject to frequent use and usually located on site.
 - B. Historical Record: Records documenting the history and significant milestones of the City as per the Records Retention Schedule.
 - C. Non-Record: 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.
 - D. Vital Records are those records that are fundamental to the functioning of an organization and necessary to continue operations without delay under abnormal conditions or in the event of a disaster.
6. Retention Period: The length of time a record must be retained to fulfill its administrative, fiscal and/or legal function.

For additional definitions, see "Records Management Glossary".

Responsibility

- 1. Office of Record
 - A. The group, department, or office in the organization responsible for ownership of specified records for the full duration of the Records Retention Period.
 - B. The Office of Record is responsible for declaring records obsolete in accordance with the Records Retention Schedule.
- 2. City Manager
 - A. Work with the City Attorney to approve the destruction of obsolete records that have completed their retention period on the City's records retention schedule.
 - B. Designate the Office of Record for various classes of records.
- 3. City Attorney
 - A. Determine when a Legal Hold is necessary for records and information relevant to litigation, an investigation, or an audit and inform affected Departments.
 - B. Work with the City Manager to approve the destruction of obsolete records that have completed their retention period.
 - C. Work with the City Clerk to update the records retention schedule as needed.

4. City Clerk

- A. Is the City's official Custodian of Records and administers and provides oversight to the City's records and information management program.
- B. Will facilitate, in consultation with the City Attorney, the update of the records retention schedule as needed.
- C. Has the authority to decide which records, media and information constitute "Historic Records."
- D. Orchestrate biannual records clean up days.

5. Department Head

- A. May authorize the destruction of duplicate records under his or her control that are no longer required.
- B. Designate a records coordinator within the department. In the event that a records coordinator is not named, this responsibility will default to the Department Head.

6. Supervisor or Manager

Is responsible, when an employee, temporary employee or contractor leaves the city, for complying with the requirements of this policy and any supporting procedures for retaining and managing the records of the exiting employee, temporary or contractor.

7. Department Records Coordinator

- A. Shall be designated by the Department Head.
- B. Maintain records in accordance with this policy.
- C. Work with City Clerk to lead department on biannual records clean up days.
- D. Identify records to destroy based on the City's Records Retention Schedule.
- E. Is responsible for implementing the procedures within their department.
- F. Serve as a resource to department staff on matters related to records retention.

8. Employee

- A. Comply with the California Public Records Act.
- B. Follow the City's Records Retention Schedule.

Policy History

- 1. This policy, titled "Records Management Policy" (Policy #110), was originally created in May 2015.

2. The present policy subsumes the Destruction of Duplicate Records Policy (II.H.7) created in 1986 and the Destruction of Obsolete Records Policy (II.H.3) originally issued 10/1/1979 and later revised 6/1989.

References

1. City of San Mateo Records Retention Schedule
2. Records Management Glossary
3. City of San Mateo Procedures for Managing Records

Contact for this Policy

City Clerk

Approval

This policy was issued on October 19, 2015 and approved by:

SAN MATEO CITY COUNCIL