RESOLUTION NO. 2016-84

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF ROHNERT PARK AUTHORIZING AND APPROVING A RECORDS MANAGEMENT POLICY FOR THE CITYWIDE RECORDS MANAGEMENT PROGRAM

WHEREAS, the Records Management Policy (attached as Exhibit A), establishes comprehensive and uniform methods for the cost effective and efficient management of the City's public records including creation, utilization, maintenance, security, retention, storage, preservation, and destruction, in accordance with legal requirements and professional standards; and

WHEREAS, the Records Management Policy provides standards and structure to the citywide records management efforts of the city as well as a source for archival and records management guidance; and
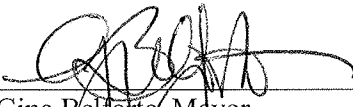
WHEREAS, the Records Retention Schedule and the Records Management Policy work together for a cohesive citywide Records Management Program.

NOW, THEREFORE, BE IT RESOLVED by the City Council of the City of Rohnert Park that,

1. The Records Management Policy is hereby adopted.
2. The City Manager is directed to implement the Records Management Policy in each City department and division.

DULY AND REGULARLY ADOPTED this 23th day of August, 2016.

CITY OF ROHNERT PARK

Gina Belforte, Mayor

ATTEST:

Caitlin Saldanha, Deputy City Clerk

Attachment: Exhibit A

ANANOTU: _Aye_ CALLINAN: _Aye_ STAFFORD: _Aye_ MACKENZIE: _Aye_ BELFORTE: _Aye_

AYES: (5)   NOES: (0)   ABSENT: (0)   ABSTAIN: (0)

Records Management Policy

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Introduction

Records should be easily accessible, aid staff in completing their work, and not be cumbersome. They should not be an impediment to work, but instead facilitate the efficient operation of the city. A sound Records Management Program provides many benefits to the staff that use it and the public who have a right to examine the City's records. This manual is designed to assist city staff and department level Records Coordinators in the management of the City's records, and to ensure the preservation of records that document the history of the City.

In addition, to the City's own established policies on records management the City is obligated to ensure that it is in compliance with other local, state, and federal mandates that provide direction to the City regarding Records Retention.

In California, the elected Secretary of State is charged with establishing a Local Government Records Program (CA GC§12236). The Program was established in 1999, with the assistance of the City Clerk Association of California, and is overseen by the State Archives.

Locally, the Rohnert Park City Council and the City Clerk of Rohnert Park provide direction and adopt policies regarding the production, maintenance, preservation, and disposition of records. This is mainly accomplished by the creation, implementation, and adherence to the City's Records Retention Schedule. The City's Records Retention Schedule is adopted by the City Council and maintained as necessary by the City Clerk.

Scope, Modifications and Additions of this Manual

This manual is intended to be a reference guide for City Staff whose job includes the management of City Records. It is intended to be used in concert with the City's Records Retention Schedule. Staff with questions about records management that cannot be determined after reviewing the Records Retention Schedule, the associated procedures, and this manual shall contact the City Clerk or his/her designee (Records Manager) for additional assistance. Because processes for managing records reflect activities that are constantly changing, the retention requirements for records frequently require revision as well. Consequently this manual, Records Retention Schedule, and disposition schedules often need modification or additions in order to be realistic and effective. There may be some retention periods and disposition requirements within the Records Retention Schedule that may change between major reviews of the schedule. The Office of the City Clerk welcomes all comments and suggestions concerned with improvement of Records Retention Schedules through modifications and additions.

Contact Us

For further information on any records management or preservation questions, please contact:

Office of the City Clerk
130 Avram Avenue
Rohnert Park, CA 95814
707-588-2227
Email: cityclerk@rpcity.org
Website: www.rpcity.org

Chapter 1 - Establishing a Records Management Program

A successful Records Management Program, must accomplish several important tasks. First, the Records Management Program must make top management aware of the goals of the Program and the importance of achieving them.   Secondly, the Records Management Program must strengthen and maintain an ongoing relationship between top/mid-level management and the Records Manager. The Records Management Program can accomplish this by keeping middle and top management staff informed of changes in records management policies.

Every day the City of Rohnert Park produces records that document the actions of the government and the history of the community. It is the responsibility of the Records Manager to effectively maintain and manage these records and to ensure the continued preservation of those records as essential evidence that has enduring and permanent value.

Records management is more than retention, storage, and disposition of records; it entails all record-keeping requirements and practices that allow an organization to establish and maintain control over information flow and administrative operations. Complete Records Management Programs control and manage records throughout their life cycle, from their creation through active use, inactive storage, and final disposition.

Objectives of a Records Management Program:
- Provides policies and procedures for records management;
- Conducts a survey or inventory of records in all formats;
- Utilizes technology to create, store, and retrieve records;
- Ensures appropriate destruction of Records at the end of their retention period;
- Ensures storage of inactive records in a cost-effective and secure location;
- Identifies and preserves vital records;
- Identifies and preserves permanent records;
- Develops a disaster preparedness plan to protect and recover records;
- Implements filing and indexing programs.

Benefits of a Strong Records Management Program:
- Space savings;
- Reduced expenses for filing equipment;
- Increased efficiency of information retrieval;
- Compliance with Records Retention Schedule requirements;
- Identification and protection of vital records;
- Control over creation of new records;
- Reduction in risk associated with inappropriate retention of records;
- Identification of historical records.

Designating a Records Coordinator

Each department shall designate a person who serves as the department's primary Records Coordinator. This person will implement the department's records Program, coordinate the legal disposition of department records, oversee public records requests made to the department, and serve as a liaison between the City's

Records Manager and the department. This position does not have to be a formally designated position whose sole responsibility is records oversight. Often this person is a manager or supervisor in an administrative unit to whom the Department Director can delegate decision making authority over the department's records.

Record Inventories

A critical part of establishing a records management Program is to identify existing records. Agencies need to know what records they have, where they are kept, the volume of records, and how they are used, and how long to retain them. Inventories, are not conducted on a record by record basis; instead, an inventory is captured at the record series level (see Records Retention Schedule) and should include the following information:

- Record series – this should match the City's Records Retention Schedule and the Department of Record. During an inventory, a new record series might be identified and need to be added to the Records Retention Schedule. Example: Board and Commission recruitment is a function of the City Clerk's office, in the Records Retention Schedule the City Clerk's Office is designated "CCO". Thus, CCO becomes the records series. Example: Building Permits are a function of the Community Services Department. In the Records Retention Schedule the Community Services Department, is designated "CS." Thus CS becomes the records series.
- Format of Records – it is important to note if the record is in multiple places and/or formats. For example, is the record kept in hard copy in the file room and kept electronically on a computer drive? Ultimately records should not be held in more than one location; however, during an inventory it is important to note where all records are currently stored so as to identify duplications.
- Date Range of Records – it is important to be as specific as possible, making sure to include any gaps in the record series.
- Level of Use – is the record actively or frequently in use, inactive storage, or at/near final disposition.
- Volume of Collection – approximate the size of the record collection and indicate on inventory list. There are multiple ways to indicate the size of a record collection. For example, twelve (12) boxes of records, four (4) file drawers, or nine (9) file cabinets..

Records inventories, when well planned; need not take days or weeks of staff time to conduct. The City's Records Manager is available to prepare and assist staff with conducting records inventories and subsequently creating a comprehensive Records Management Program. Begin inventories by listing active records and those that are unique to the function of the department. Include all records in the inventory regardless of format or storage location. Once these series are identified, describe them in such a way so that a person who has no knowledge of the department or city can easily understand what is contained in the record series.

Chapter 2 - Filing & Storage Practices

Filing and retention practices are applicable to both electronic and hard copy records. All of the principles applicable to the paper filing Program are also applicable to the electronic filing Program. When creating paper or electronic filing Programs, the department should be mindful in creating a filing Program that is simple, easily accessible by all staff, used department wide, closely monitored to ensure proper and timely disposition.

There are several different ways to establish a filing Program: alphabetical, numerical, alphanumeric, or series driven. There are pros and cons to each type of filing Programs and one solution has not been set, nor is one solution necessarily appropriate for citywide implementation. Regardless of what type of filing Program a department uses, it is imperative that records are "filed" or kept in accordance to the City's Records Retention Schedule. Contact the City's Records Manager for assistance developing a filing Program.

Choosing Files to Maintain

Maintaining filing Programs can be very costly; particularly paper filing Programs as they require the purchase of filing supplies, space, and require staff time to establish, manage, and retrieve/file materials. Records Coordinators should be mindful when determining which records, departments are going to maintain. Records Coordinators shall consider the following:

- *Is this record listed on the City's Records Retention Schedule?* All records maintained at the department level should be listed on the Citywide or department specific portion of the Records Retention Schedule.
- *Does this record exist electronically?* Records that exist electronically should not be printed for the sole purpose of maintaining a paper copy. This creates unnecessary duplicates and will not be acceptable in the City of Rohnert Park.
- *Is my department the primary office of record?* If another department is responsible for originating or maintaining a record a department may choose to keep it for a short time in a working file but there is no need to maintain duplicate files across departments. For example, the Office of the City Clerk is the office of record for City Council staff reports, resolutions, and ordinances. (Other departments do not need to keep these records in paper or electronic files as the City Clerk's Office is already doing so, and the records are easily accessible through the Citywide Content Management System (CCMS).

Selecting Storage Areas

When deciding where files are going to be located several things should be considered:

- Is the file area easily accessible by records staff, and centrally located to the workgroup that will be using the files?
- Is the room appropriate for records (i.e., space for the cabinets to be opened and closed with ease, climate controlled (not damp or wet), well-lit and free of critters?
- Can the room or filing cabinet be secured to permit the storage of sensitive or confidential records?
- Can the access be restricted to prevent unauthorized removal and orderly return of files?

Only shelving designed for file storage should be utilized. Paper is very heavy and weight of files can add up quickly. Shelving and cabinets should be anchored to prevent toppling or collapse. Select shelving that can hold a total of 50 pounds per square foot. The shelves should be spaced so that records storage boxes can be easily placed and removed.

It is not ideal to store frequently accessed records in storage boxes. Reserve the use of storage boxes for records at or nearing the end of their active period or that are going into long term storage. Boxes should be uniform. It is recommended that boxes 15"X10"X12" (banker boxes), be used. Boxes that are larger are more difficult to manage and move. Odd or multiple sized boxes do not stack well, and can cause a dangerous collapse or damage records.

Boxes should be filled but not packed so tightly that records cannot be easily removed or inserted into the box. When storing records in boxes, Records Coordinators should be sure to leave room for any records that might need to be inserted into the box at a later date. Do not stack boxes directly on the floor, elevate them on shelves in case of water leaks or flooding. Boxes should be clearly labeled with the contents and disposition information on the outside of the box, on both short ends so that it is always visible. See Appendix C for box label suggestions

Naming Conventions

When creating a naming convention Program, the Records Coordinator should consider utilizing commonly understood words and terms for file naming, refraining from using abbreviations or jargon. The naming convention that is established for a paper filing Program shall be designed so that it can be used in an electronic filing environment and vice versa. There should be no more than five (5) components/keywords/metadata sections to a file name. Traditionally two of these items are the record category and date. Dates should always consist of a four digit year; the recommended date format is MMDDYYYY. When departments issue project numbers, permit numbers, or something similar where the year is used, the year should be a four digit date. For example a police report should be 2011-0001, not 11-0001. It is recommended that department's use categories established in the Records Retention Schedule, but may choose to develop their own category list. For example, departments filing grant records might choose the following file naming convention.

      Grant Name / Date Grant Issued   COPPSGrant_ 12012010

However a file name may be more extensive. For example a file regarding a building permit may contain the date issued, the permit number, and the location of the permit.

      Permit Number / Date Issued / Location   COM2010-0001_12012010_1234MainStreet

Note in this example that a four digit year is used and the word street is spelled out. This is important because the City holds records from both the 1900's and 2000's, and this will be confusing in a two digit format. Equally important is to spell out all words as different people will abbreviate the same words differently. Consult the Records Manager for assistance as there are some universal records management abbreviations appropriate for use. See Appendix B for additional naming convention standards and approved City abbreviations.

File Program Index

When a filing Program is established, the department should index what records are filed and where they are filed. File location (Department of Record) information is contained on the City's Records Retention Schedule. The index can be as high level as listing the category of the record and the address of the file locations, or as specific as listing the room, file cabinet, and drawer where the file is kept. This index should be updated as records are added or removed from the Program and reviewed annually.

File Tracking

It is important to track files as they temporarily leave the filing cabinet, room, or are recalled from off-site storage. A sign out card should be used and inserted into the location from where the file was removed. A sign out card will show the date of the removal and who has the file. This will maintain the integrity of the Program and aid in the retrieval of the record should it be needed while it is checked out.

Audits

Regardless of what filing Program is selected by the department, regular record audits must be conducted. This will alert the Records Coordinator of the need to add a record type or series to the Records Retention Schedule as well as purge records that have come to the end of their life cycle. The CCMS can audit and track destruction dates of records, it can also audit who (employee), what (date edited, created, etc.), when (actual record disposition).

Disposition

In a paper filing Program, it is recommended that when the Records Coordinator sets up a new file, that the date the record is eligible for disposition is noted on the outside of the folder along with the record series number from the retention schedule. If the folder contains records that will have different disposition dates, note that on the exterior of the folder as well. This will alert the Records Coordinator that the folder will need to be reviewed periodically for dispositionable items. For electronic records held in CCMS this date is automatically assigned when the record is entered in the Program. If the department is using an electronic Program other than CCMS, this information should be added to the file title or in the metadata/properties of the file. Disposition will be a required field in the CCMS for future reference.

It is important to remember that just because a record exists, or a record is created, it is not required, expected, or feasible that the record will necessarily live in perpetuity. Instead, disposition will be determined by record type. Filing Programs need to be annually reviewed and disposed of in accordance with the Records Retention Schedule. Permission must be requested prior to the disposition of records, and the approval paperwork will then serve as the record of what occurred with the records.

Chapter 3 - Electronic Files

The City of Rohnert Park utilizes an electronic repository to store both permanent and transitory documents. All electronic records are subject to, and shall be dispositioned in accordance with the Records Retention Schedule. The Citywide Content Management System (CCMS) is the City's official repository for electronic records (Laser fiche) and is the "trusted system" for citywide records.

California Government Code does permit the City to destroy some original documents after they have been scanned in accordance with the code. CCMS meets the requirements of this code section. However, some records of historical nature that begin as hardcopy records, shall be retained regardless if they have been scanned. This would include resolutions and ordinances of legislative bodies and permanent records according to the Records Retention Schedule.

Electronic File Storage

While in the previous chapter it was noted that the guiding principles of file management are largely the same for paper/hard copy files as they are for electronic files, some differences still remain. While electronic files should be treated the same way as paper files when considering naming conventions, accessibility, retention and disposition, electronic files can be assigned additional information known as metadata. Metadata is used to enhance records searchability so careful thought should be given to create meaningful descriptors.

According to the National Information Standard Organization, "Metadata is structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource." The City of Rohnert Park uses sets of clear and ordered metadata to categorize records stored in CCMS. This is called descriptive metadata used for basic identification through preset fields. The City Clerk's Office will provide these fields and consult with each department for categorized records search in the CCMS.

Strong metadata sets are constructed from clear and universally understood vocabularies. Generally no more than five (5) fields of metadata should be required for a record category. It is important to identify the most likely material that would assist a person searching for a record. The metadata requirements should not be so complex or extensive that it is difficult or cumbersome to maintain.

File Formats

When selecting the format for document storage, there are *two* main considerations:

1. What electronic format is permitted for archival storage of records by the California Secretary of State? *and*
2. What format is universally accepted for use by staff and the public?

When selecting from the file formats permitted by the Secretary of State, it is important to consider the accessibility of the format: is it something that is commonly understood? Most importantly is the format that has been selected something that has had market longevity and proven migration examples. Electronic records can be invaluable, but they can also become obsolete or worse unusable if the format they are stored in cannot continue to migrate to new and available versions. Laser fiche or CCMS is a permitted archival storage system of records.

CCMS allows for the storage of many different software Program formats including files originating in Microsoft Office, Portable Document Format and Format/A (PDF and PDF/A), extensible Markup Language (XML), and Rich Text Format (RTF), as well as video and audio files.

Storage

There are a variety of ways to store electronic files and media:

- CD/DVD or other removable drive;
- On a local computer;
- On the City network via a network drive folder; and/or
- CCMS and is the preferred choice of the City of Rohnert Park's records.

Storage on CD/DVD, removable drives, and/or a local staff computer is not advisable. Records stored on these mediums are very vulnerable and often difficult, (if not impossible), to restore if lost, stolen, or damaged. File storage on the City's Network via a shared or network drive does provide more security and is backed up for disaster recovery, but still is not the optimal storage place. Network drives usually have specific or limited access, thereby preventing the easy access of City Records. Additionally, records stored on network drives may not be regularly reviewed or purged and are not automatically retained. Ideally all of the City's electronic records would be stored in CCMS. The system provides security and redundancy and also addresses retention on the items stored in the system.

Chapter 4 - Identifying Records

The City of Rohnert Park comes into contact with numerous types of documents in its normal course of business. Some of these documents are records requiring retention, but many are not.

What is a Record?

A record is a document that is 1) required to be kept by law; or 2) necessary or convenient to the discharge of a public officer's duties and was made or retained for the purpose of preserving its informational content for future reference. A record can take many forms including papers, maps, exhibits, magnetic or paper tapes, photographic films and prints, punched cards, and other documents, and can include materials produced, received, owned or used by an agency, regardless of physical form or characteristics.

The simplest way to identify if material is a record is to consult the City's Records Retention Schedule. If the material in question is identified on the Records Retention Schedule, Records Coordinators are obligated to maintain the record in accordance with the schedule. One of the most challenging aspects of records management can be determining if a document or media is a record when it is not identified on the schedule. In these situations the Records Coordinator should conduct the records test on the following page to assist them in determining an initial finding regarding the record's status. If it is unclear if the material is a record or if it is clear that the material is a record, but is not included on the Records Retention Schedule the Records Coordinator should contact the City's Records Manager for additional assistance in making a determination.

Some records, because of their enduring administrative, fiscal, legal or historical value, should be permanently retained. These records require special care and consideration be given to their storage conditions and enduring preservation. Examples of permanent records include, year-end reports, meeting minutes from Brown Act governed bodies; resolutions, and ordinances. In many cases, the City of Rohnert Park will transfer these historically valuable records to a Rohnert Park storage facility for safe keeping after their active use period has passed. Most records do not have values that warrant their permanent preservation. Those records with short-term value should be destroyed, upon reaching the end of their retention period.

Non-Records

Even though records include a broad spectrum of recorded information, not all information held by the City is a record. For examples the following types of materials would not typically be records:

- Identical copies of documents maintained in the same file;
- Extra copies of printed or processed materials kept only for convenience or reference;
- Superseded manuals and other directives (maintained outside the office of record);
- Working papers, such as miscellaneous notices of community affairs, employee meetings, holiday notices, Library and reference materials;
- Appointment logs;
- Notes or drafts assembled or created in the preparation of other documents; worksheets, and rough drafts of letters, memoranda, or reports that do not represent the basic steps involved in the preparation of the communication;
- Catalogs, trade journals and other publications or papers received from government agencies commercial firms or private institutions that require no action and are not part of an action case record;
- Materials that have no substantial value, stocks of publications or blank forms that are kept for supply

    purposes only; and

- E-mail communications not retained according to the City's Email Retention Policy, such as Letters of Transmittal and acknowledgements of receipt which do not add any information to the material transmitted.

Non-records do not require retention scheduling or destruction authorization or reporting. To control excessive accumulation, it is necessary to keep only current, useful materials and to destroy non-records immediately after needs have been satisfied. Staff should take care not to file non-record material with records.

What is a Record?

1. Was material mandated by statue or regulation?

2. Does the material support a financial or legal claim/obligation?

3. Is the material required to operate a City Program or provide Program support?

4. Was the material created or received during the conduct of City Business?

5. Does the Material (document) provide the City's actions?

    - Formulation of policies & decisions

    - City's directives

    - Board, Committee meeting notes

6. Does the Material protect government and individual rights and interest?

7. Is the material appropriate for either permanent or temporary preservation by the City?

8. Doe the material have administrative fiscal or legal value?

If you answered YES to any of the questions the material is most likely an official record. This could include but is not limited to:

- Decision Papers;

- Official Correspondence;

- Data Bases, and Data Storage Files;

- Publications.

If you answered NO to the questions, the material is most likely a non-record. This could include but is not limited to:

- Materials that do not contribute to an understanding of the City's operations or decision making processes;

- Material that have no substantial Programmatic value;

- Extra copies of official records that are obtained elsewhere such as council staff reports.

Chapter 5 - Access, Privacy and Freedom of Information

The City of Rohnert Park understands and supports the public's need and more importantly their *right* to access the majority of the records created and maintained by the City. The City Clerk shall accept, review, and respond to all Public Record Requests (PRA's) received, pursuant to applicable law and with the input of the City Attorney's Office, as necessary.

Chapter 6 - Disposition of Records

There are several distinct periods in the lifecycle of a record. They are commonly referred to as the *active period, inactive period, and final disposition period.* The *active period* will vary according to the record, but is generally characterized as the time during which a record used or referred to frequently during the course of business and should be readily accessible. The *inactive period* is when the record's regular use declines or ends; however, the record is still required to be held. The *final disposition* is generally the end of the record's life, at which point final decision is made about disposition of the record.

The proper dispositioning of records is important as it helps protect vital and historic records and ensures compliance with regulatory retention requirements. Proper Records Retention Schedule also helps improve the City's efficiency and manage the costs of file maintenance, retrieval, and storage.

There are three (3) main types of record dispositions utilized by the City: 1) transfer of records to Rohnert Park storage facility for archival preservation, 2) imaging of records in order to purge existing hard copy records; and 3) the destruction of non-historical records at the end of the specified retention period.

Preservation of Permanent Records

A fundamental obligation of local government is to care for its permanent records. Permanent records are typically records that have enduring administrative, fiscal, legal or historical value, or are otherwise required to be maintained by statue. Examples of permanent records include year-end reports; meeting minutes from Brown Act governed bodies; resolutions, and ordinances. Most records eligible for transfer to the storage facility are indicated on the Records Retention Schedule. However, it is difficult to foresee in the moment what records may be of historical value in the future. When a record is being evaluated for final disposition, City staff may contact the City's Records Manager to determine if the storage facility would like to take possession of the record.

The records that have been identified as permanent, require special handling and storage if they are to be preserved. Rohnert Park's records storage facility was developed to meet this need. The storage facility provides an invaluable service to the community by assisting with the coordination, indexing, and managing of the continuous interaction between a record's medium and the quality of the environment in which it is kept. Temperature, humidity, light, and air can all be detrimental to records and exposure to these elements can cause degradation and even destruction of records.

Any records recommended by staff for transfer to the storage facility, regardless whether they are eligible for transfer on the Records Retention Schedule, shall be evaluated by the Records Manager. Staff who desires to transfer records to storage facility must complete and submit a request to the City's Records Manager (Form 2016-002, Appendix A) The request for transfer will be evaluated by the City's Records Manager, and City Attorney, and the final decision will be forwarded to the originating department. Do not send records or arrange for transfer of records to storage facility until the request has been approved.

To transfer records to the City of Rohnert Park storage facility, staff shall complete Form 2016-002 and sign the form as the Records Coordinator preparing the record and obtain the Department Director's signature. The signed and completed form is then forwarded to the City's Records Manager for review to ensure compliance with the City's Records Retention Schedule, to determine if the record is appropriate for inclusion into storage facility collections, and if any conditions are needed for acceptance. The Records

Manager may also chose to deny the request. Staff shall also complete and attach Form 2016--004 or 2016-005, these forms contain a comprehensive inventory of the records for potential transfer. Once the request is completed, these forms will serve as the official record of the form's history and demonstrate compliance with the Records Retention Schedule.

In the event that a record's retention period has ended prior to placing it in storage it shall be dispositioned by destruction or secure destruction depending on the record.

Imaging of Records

As previously mentioned, the California Government code permits the City to destroy some original documents after they have been scanned in accordance with the code. The Citywide Content Management System (CCMS) meets the requirements of this code section. However, some records of historical nature, which began as hardcopy records should be retained regardless if they have been scanned. This would include resolutions, ordinances, and minutes of Brown Act governed bodies to include the City Council's standing commissions, committees and boards.

Before embarking on a major project to scan records, staff should consult with the Records Manager. The Records Manager is prepared, and has the expertise, to evaluate your current records and assist you in developing a plan to convert existing documents into electronic files and migrate the files to CCMS. There are strict parameters surrounding the migration of records into CCMS. Staff needs to ensure all of the conditions have been met, including cost, time, and processes have been identified prior to imaging records. It is important to note that CCMS is much more than a repository for records. This System was also selected for its robust workflow capabilities. Records Coordinators should consider what is generating paper records in their department and contact the Records Manager to determine if any or all of the process can be converted into an electronic process contained within the CCMS System.

Records ideal for CCMS are ones that are:

- Used by many departments or many people in the same department;
- Permanent records, particularly those that are accessed regularly;
- Records that have a long retention period;
- Records that start and end in an electronic format;
- Public records that are frequently requested by the public; and
- Record series that are voluminous, making onsite storage impossible, but that are accessed often creating offsite storage and retrieval fees.

Staff should not scan and store records on local or internal drives. These drives often do not provide the same searching, storage, or security features as CCMS. Most importantly, these drives are often not purged creating a strain on the City's Information Technology infrastructure, and are often not in compliance with the City's Records Retention Schedule.

To image records for CCMS and subsequent destruction, staff must first meet with the Records Manager, and subsequently receive authorization to develop an imaging plan. Once the imaging is completed and the images have been reviewed for quality, staff can request authorization to destroy the hard copy version of the records. Staff shall complete Form 2016-001, sign the form as the Records Coordinator preparing the

record and obtain the Department Director's signature. The signed and completed form is then forwarded to the City's Records Manager for review to ensure compliance with the City's Records Retention Schedule. The request is then forwarded to the Office of the City Attorney for review to ensure the record does not need to be held due to an ongoing or pending investigation or litigation. Staff should also complete and attach Form 2016-004 or 005. These forms are a comprehensive inventory of the records for potential transfer. Once the request is completed, these forms serve as the official record of the form's history and demonstrates compliance with the Records Retention Schedule.

Destruction of Records

All records that are not permanent records should be destroyed once the City has retained them for the appropriate retention period. The records classification and retention periods in the City's Records Retention Schedule constitute legal authority for retention and disposal of official records. No records shall be destroyed until they have met the minimum retention period listed in the Records Retention Schedule, and disposition has been approved by the Records Manager and City Attorney. In cases where there is no schedule for a particular record series, contact the City's Records Manager for assistance.

The Records Retention Schedule prescribes the method of disposition (destruction, secure destruction, or transfer to storage facility for Rohnert Park). Records requiring "destruction" may be disposed of by traditional recycling. Records requiring "secure destruction" must be disposed of in a way that the record is no longer recognizable or usable by any means. Records that are destroyed shall either be done under the supervision of a City employee or by an approved agency. Examples: *Destroy* means to place in a recycled container or; *Destroy securely* means to either shred on site or to provide 3rd party assistance, such as a local secure records destruction company. Upon completion of the destruction, the supervising employee will attest to the destruction by signing the destruction request form, or the approved 3rd party agency will supply the City with a Certificate of Destruction. When the records in the CCMS are designated for destruction the Records Manager shall destroy the originals as well as the image of the record on the CCMS.

Staff can request authorization to destroy records that are at the end of their retention schedule by completing Form 2016-003. They will sign the form as the Records Coordinator preparing the record and obtain the Department Director's signature. The signed and completed form is then forwarded to the City's Records Manager for review to ensure compliance with the City's Records Retention Schedule. The request is then forwarded to the Office of the City Attorney for review to ensure the records do not need to be held due to an ongoing or pending investigation or litigation. Staff shall also complete and attach Form 2016-004 or 005. This form is a comprehensive inventory of the records for destruction. Once the request is completed, these forms will serve as the official record of the form's history and demonstrate compliance with the Records Retention Schedule.

Chapter 7 - City of Rohnert Park Retention Schedule

The City's Records Retention Schedule establishes the retention periods for records and authorizes dispositions for many of the administrative, fiscal and legal records of the City. Retention periods are based upon federal, state, and local mandates, business needs, and general knowledge as to how long records should be kept. Staff shall implement the Records Retention Schedule as it applies to their department's records. The schedule is subject to the following exceptions and limitations:

- Before retaining a record longer than the specified retention period, the department should contact the City's Records Manager for assistance. Records will not be maintained longer than the retention period indicated on the schedule. The unnecessary retention of records can be expensive in space and filing equipment, and lead to costly litigation or discovery processes.
- This schedule generally reflects audit requirements in its prescribed retention periods, but audits are not always completed in a timely fashion. Therefore, any record that has an audit requirement, or becomes subject to audit, must be retained until completion of that audit regardless of its stated retention period in the general schedule.
- This schedule does not authorize destruction of records that could be deemed relevant to current or pending litigation or investigations.

Retention and disposition of records that are common to many departments are included in the Citywide Records Retention Schedule. Records unique to particular City Departments are addressed in individual department schedules. The inclusion of a type of record in the Records Retention Schedule does not dictate whether a particular document is a record or is disclosable under the California Public Request Act (CPRA).

Maintenance of the City's Records Retention Schedule

Since the way the City conducts business is ever changing, we recognize that records, record types, and Records Retentions Schedules will need to be periodically updated. A comprehensive overhaul and review of the Records Retention Schedule is planned for every five years. However, minor revisions and additions may need to occur in between these review markers. When these situations are identified, staff should contact the City's Record Manager who will initiate the schedule revision. Revisions are generally submitted by staff at the department level, and then are reviewed by the City's Records Manager and the Office of the City Attorney.

Utilization of the Records Retention Schedule

The Records Retention Schedule is intended to direct City staff on how long to hold City records, when and how to disposition the records after they have exceeded their lifecycle. On the next page is a sample of a record from the schedule, with category explanations.

Records Retention Schedule (Example of content desired)

Record #	Record and Series Name
See legend for Series name (page 2 of the Records Retention Schedule)	Files are composed of Series name (department) and a three digit number. Whenever possible records have been combined into a series of like items for example "Ceremonial Documents". In some cases records are so unique that their record name stands alone such as "Building Permit".
Also Called:	When a record goes by more than one name, the alternative names are listed here.
Function:	In this section, the purpose or function of the record is described.
Content:	A series of records may be comprised of several document types, documents that most likely will be found in this series are listed.
Total Retention:	This is the total amount of time that the City is required, either by federal, state, local statute or internal policy.
Disposition:	Disposition refers to what will be done at the end of a records lifecycle; either: destroyed, destroyed securely, or transferred to the Rohnert Park storage facility.
Statutory Reference:	This section will be used to note any applicable government codes related to the Record's Retention Schedule.
Location:	Where the record is stored or can be found, department, file cabinet, etc. Example: CS (Community Services, File cabinet 2, drawer c will be represented by CS-FC2C.
Note:	Any other notes, exceptions, or special instructions relating to the record or record series are listed here.
Approval Date:	This is the date that the specific record or record series was approved or updated.

Records Retention Schedule (Example with content)

CW-001	Administrative Policies
Also Called:	APIs
Function:	Documents the policies, procedural directives and manuals developed by the City to govern its internal management functions.
Content:	May include, but is not limited to internal rule and regulations.
Total Retention:	Permanent
Disposition:	CCMS, Destroy, Destroy securely, permanent (means held in CCMS and will not be destroyed;
Statutory Reference:	CA GC§34090
Location:	Citywide and department level policies are held in the Citywide Content Management Program (CCMS).
Note:	
Approval Date:	July 6, 2016

APPENDIX A
Records Disposition Authorization

All records management forms have been created using Adobe and are completely fill-able. Forms must be signed, submitted and forwarded to the City's Records Manager. The Records Management Policy and attachments can be found on SharePoint, under **Forms** page, **Records Management Policy** folder.

Authorization is required for the disposition of any and all records, with the exception of copies for which the department is not the official record holder. (For example, the Office of the City Clerk is the primary record holder for all City Council Staff Reports. Any department that is keeping a copy of a staff report in any form may dispose of it without further authorization).

There are five (5) forms for record disposition. When requesting authorization to image and disposition, transfer or destroy records, these forms (Forms 2016-001 through 2016-005) will need to be completed and accompanied by the appropriate record inventory. The coversheet and inventory will then serve as the official record and are permanent documents, which will record the City's history of records management.

Form 2016-001 Authorization to Disposition Records After Imaging
Use Form 2016-001 to request authorization to disposition records after they are imaged. Once authorization has been granted to image, index, and properly quality check the original records, they may then be dispositioned.

Form 2016-002 Authorization to Transfer Records to Storage facility for Rohnert Park
Use Form 2016-002 to request authorization for storage facility to transfer records. This form must be completed and authorization granted prior to delivering records to storage facility. Delivery shall be coordinated by the department's Records Coordinator and Records Manager.

Form 2016-003 Authorization to Destroy Records
Use Form 2016-003 to request authorization to destroy records that are at the end of their retention period. Designation may be to "destroy" or "destroy securely." Records requiring secure destruction must be shredded or otherwise rendered unidentifiable or unusable.

Form 2016-004 Record Inventory Worksheet – Employee Records
Use this form to list all employee records that are being recommended for disposition. Each employee must be listed with his or her start and end dates indicated on the form.

Form 2016-005 Record Inventory Worksheet – Non Employee Records
Use Form 2016-005 to list all record series being recommended for disposition except for employee records. Each series (see Records Retention Schedule) must be listed, not each individual record within that series.

Form 2016-001 Authorization to Disposition Records After Imaging

After completing the upper portion of the form as shown below, the department Records Coordinator will sign, then obtain the division or department head's signature, attach the appropriate inventory worksheet and forward form to the City's Records Manager. Once approval is granted, the form and inventory will be returned to the department to complete the disposition process, signed to acknowledge that disposition is complete and returned to the City's Record Manager.

CITY OF ROHNERT PARK
AUTHORIZATION TO DISPOSITION RECORDS AFTER IMAGING - Form 2016-001   **DATE**

DEPARTMENT	DIVISION/SECTION	
RECORDS COORDINATOR	ADDRESS/LOCATION	TELEPHONE NUMBER

DISPOSITION OF RECORDS AFTER IMAGING

	Form 2016-002 and/or 2016-004 or 2016-005, is attached (if applicable)		Shredding of the paper version is required

Record Imaging – I certify that the records on the attached Record Inventory Worksheet have been imaged in compliance with applicable state and local laws, and with the City's internal process and adhere to the following: [check all applicable boxes]

	Imaging and indexing of records have been quality checked, and contain all significant details from the original and are an adequate substitute for the original document for all purposes for which the document as created or maintained.
	Original document will be destroyed after imaging. I understand that after destruction of the paper record, the imaged record becomes the official original record of the City and will be held in accordance with the City's Records Retention Schedule.
	Original document will be transferred to the storage facility (Also use Form 2016-002 and/or Form 2016-004 or 2016-005)
	Images have been stored in the Citywide Content Management System (Laserfiche)

Signature – Records Coordinator		Date:
Signature – Department Director		Date:

DISPOSITION APPROVAL
The paper version of the above records' are approved for disposition.

Signature – Records Manager		Date:
Signature – City Attorney		Date:

RECORD DISPOSITION
I hereby certify that the records listed on the attached Records Inventory Worksheet, have been dispositioned in accordance with City policies and procedures in the method indicated above.

Signature – Records Coordinator		Date:
	Records were destroyed by a 3ʳᵈ party vendor and the Certification of Destruction is attached	Date:

Form 2016-002 Authorization to Transfer Records to Rohnert Park storage facility.

After completing the upper portion of the form as shown below, the department Records Coordinator will sign, obtain the division or department head's signature, and attach the appropriate inventory worksheet and forward the form to the City's Records Manager for processing. The form and inventory will be returned to the department for transfer or disposal of records. Once the transfer is complete the form is returned to the City's Records Manager.

CITY OF ROHNERT PARK

AUTHORIZATION TO TRANSFER RECORDS TO STORAGE - Form 2016-002

		DATE
DEPARTMENT	DIVISION/SECTION	
RECORDS COORDINATOR	ADDRESS/LOCATION	TELEPHONE NUMBER

TRANSFER RECORDS TO STORAGE

Not all records that are retained by the City are appropriate for transfer to the storage facility. Record series that are to be transferred to the facility have been identified on the City's Records Retention Schedule. Drafts or photocopies should not be sent to the facility, unless they are historically significant records and the original does not exist. If you feel a record should be transferred but is not listed on the Records Retention Schedule, contact the Records Manager for assistance.

Documents have been reviewed and prepared for transfer to the storage facility.
Completed this form and attached the completed Records Inventory Worksheet (2016-004 or 2016-005), forward to the Records Manager.
Do not transfer or deliver records to the storage facility until authorization has been received.
The Records Coordinator has inventoried, labeled, and boxed the records for transfer.

Signature – Records Coordinator		Date:
Signature – Department Director		Date:
Signature – Records Manager		Date:

APPROVAL OF STORAGE FACILITY AND LOCATION
The attached Records Inventory Worksheet has been reviewed and the records are approved for transfer to the storage facility.

Facility Location: (where documents are housed)	Storage Location: (Row & number)	Date:
Signature – Records Manager		Date:

Form 2016-003 Authorization to Destroy Records

After completing the upper portion of the form as shown below, the departments Records Coordinator will sign, obtain the division or department head's signature, and attach the appropriate inventory worksheet and forward the form to the City's Records Manager for processing. The form and inventory will be returned to the department for destruction. Once the records have been destroyed the department Records Coordinator will sign and return to the City's Records Manager. If the records were destroyed by a 3rd party, the destruction certificate shall be attached to the form and inventory.

CITY OF ROHNERT PARK
AUTHORIZATION TO DESTROY RECORDS - Form 2016-003

			DATE
DEPARTMENT	**DIVISION/SECTION**		
RECORDS COORDINATOR	**ADDRESS/LOCATION**	**TELEPHONE NUMBER**	

DESTROY RECORDS

(Check all applicable)

Form 2016-004 or 2016-005 is attached		Shredding required		Shredding not required

Documents have been reviewed and prepared for destruction.
Complete this form, attach the appropriate completed Records Inventory and forward to the Records Manager.

		Date:
Signature – Records Coordinator		Date:
Signature – Department Director		Date:
Signature – Records Manager		Date:
Signature – City Attorney		Date:

Note: Once all signatures are completed, please return to the Records Coordinator for processing of destruction.

RECORD DISPOSITION

I hereby certify that the records listed on the attached Records Inventory Worksheet, have been dispositioned in accordance with City policies and procedures in the method indicated above.

Signature – Records Coordinator		Date:
Records were destroyed by a 3rd party vendor and the Certification of Destruction is attached		Date:

When record destruction is completed return this form and either Form 2016-004 or 2016-005 to the Records Manager.

Form 2016-004 Record Inventory Worksheet – Employee Records

When requesting authorization to disposition employee records, each employee must be listed on Form 2016-004. This form must accompany the appropriate authorization coversheet (Form 2016-001, 002 or 003).

CITY OF ROHNERT PARK
RECORDS INVENTORY WORKSHEET- EMPLOYEE RECORDS -Form 2016-004

PAGE	OF

DEPARTMENT	DIVISION/SECTION	
RECORDS COORDINATOR	ADDRESS/LOCATION	TELEPHONE NUMBER

RECORDS INVENTORY – EMPLOYEE RECORDS

(1) RECORDS SERIES DEPARTMENT CODE	(2) DESCRIPTION – EMPLOYEE'S NAME	(3) FILE LOCATION	(4) STATUS TYPE	(5) YEARS COVERED	(6) RETENTION STATUTORY REFERENCE	(7) DOCUMENT ORIG.	COPY	(8) NUMBER OF BOXES	(9) REMARKS (Vital or Confidential Records
{10} INVENTORY TAKEN BY (Signature)		DATE			{11} DEPARTMENT MANAGER (Signature)				DATE

CITY OF ROHNERT PARK
RECORDS INVENTORY WORKSHEET – EMPLOYEE RECORDS
INSTRUCTIONS

(Numbers are keyed to item number on the form)

1. Enter Records Series Department Code (per Records Retention Schedule, example: CCO = City Clerk's Office; CW = Citywide)
2. Description of Records – Employee's Name.
3. File Location: Identity File Cabinet as 1, 2, 3, etc.; each drawer or shelf by alphabetizing them starting with "A" at the top and going down as necessary "B", "C", etc. the location would be FC3, A.
4. Enter the appropriate STATUS TYPE (see definition at bottom).
5. Enter the years covered (Example: 1999 to 2015)
6. Enter Statutory Reference from Records Retention Schedule (Gov't Code)
7. Enter "X" in appropriate column in indicate original or copy.
8. Enter number of boxes (total of 4 boxes would be list at 1 of 4; 2 of 4; etc.).
9. Use the Remarks space to annotate any vital, confidential, code citations, legal requirements, or policy issues that support or define retention periods or destruction method.
10. Person completing the inventory worksheet shall sign and date the worksheet.
11. Department Manager should sign when reviewed and approved.

STATUS TYPE

A – Active Records: records that need to be readily available

S – Semi active records: records that are accessed occasional and can be moved to a holding area or storage facility.

I – Inactive records: records that are no longer required in the current business activity and can be stored in the Storage Facility.

Form 2016-005 Records Inventory Worksheet - Non-Employee Records

When requesting authorization to disposition records, each record series must be listed on Form 2016-005. This form must accompany the appropriate authorization coversheet (Form 2016-001, 002 or 003) each record series need only be recorded once on the sheet, not each record. * Required fields; document must be completed or will be returned to originating department.

CITY OF ROHNERT PARK
RECORDS INVENTORY WORKSHEET- NON-EMPLOYEE RECORDS -Form 2016-005

| PAGE | OF |

| DEPARTMENT | DIVISION/SECTION | |
| RECORDS COORDINATOR | ADDRESS/LOCATION OF RECORDS (STORAGE FACILITY OR DEPARTMENT LOCATION) Be specific | TELEPHONE NUMBER |

RECORDS INVENTORY – NON EMPLOYEE

(1) RECORDS SERIES DEPARTMENT CODE *	(2) DESCRIPTION *	(3) FILE LOCATION *	(4) STATUS TYPE	(5) YEARS COVERED *	(6) RETENTION STATUTORY REFERENCE	(7) DOCUMENT *		(8) NUMBER OF BOXES	(9) REMARKS (Vital or Confidential Records
						ORIG.	COPY		
(10) INVENTORY TAKEN BY (Signature)		DATE			(11) DEPARTMENT MANAGER (Signature)			DATE	

*Required field – document must be complete or will be returned to originating department

CITY OF ROHNERT PARK

RECORDS INVENTORY WORKSHEET – NON EMPLOYEE RECORDS
INSTRUCTIONS

(Numbers are keyed to item number on the form)

1. Enter Records Series Department Code (per Records Retention Schedule, example: CCO=City Clerk's Office; CW=Citywide)
2. Description of Records.
3. File Location: Identity File Cabinet as 1, 2, 3, etc.; each drawer or shelf by alphabetizing them starting with "A" at the top and going down as necessary "B", "C", etc. the location would be FC3, A; and/or storage facility or box number.
4. Enter the appropriate STATUS TYPE (see definition at bottom).
5. Enter the years covered (Example: 1999 to 2015).
6. Enter Statutory Reference from Records Retention Schedule (Gov't Code).
7. Enter "X" in appropriate column in indicate original or copy.
8. Enter number of boxes (total of 4 boxes would be list at 1 of 4; 2 of 4; etc.).
9. Use the Remarks space to annotate any vital, confidential, code citations, legal requirements, or policy issues that support or define retention periods or destruction method.
10. Person completing the inventory worksheet shall sign and date the worksheet.
11. Department Manager should sign when reviewed and approved.

STATUS TYPE

A – Active Records: records that need to be readily available

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Appendix B - File Program Naming Conventions

Clear file names are the key to file accessibility. We no longer have a limited number of characters available for a file name and no longer have a need for acronyms and made up abbreviations. *(See more about abbreviations below)*. A good rule of thumb is to limit the name to five (5) or less metadata fields and twenty-five (25) characters or less. Files and records are increasingly electronic and used by multiple staffers, because of this a file should not only be readily accessible but easily identifiable as well. It is time consuming and frustrating to have to open numerous files looking for the right one because the file was poorly named.

Regardless of what naming convention is utilized by the department and/or City; to be effective it must be consistent throughout its application. This includes not only what is contained in the file name, but the order as well. Contact the City's Records Manager for assistance developing naming conventions and/or how to manage exceptions and other naming convention issues.

Special Characters

In general *avoid* special characters such as / \ : * ? < > | [ ] & $, etc. In many Programs these symbols already have a meaning or specific task, and using these symbols can alter your record and in some instances errors or lost files.

Date

Utilizing a dating Program that does not include a four (4) digit year can be confusing. For example when the date 01/01/09 is used is the record from January 1, 2009 or January 1, 1909? To alleviate this confusion, dates for future usage, including only a four (4) digit year should be used. The dating convention approved for records being held in the CCMS System is: MMDDYYYY or 01012011.

Multiple Versions

When a file has multiple versions, notate the version number in the file name, utilizing a version control number. A version control number is typically expressed as "v1.0". The initial version would be v1.0 and any subsequent minor changes expressed as v1.1, v1.2, v1.3 etc. Major revision or updates would be expressed by changing the first number: v2.0, v3.0. When previously versioned records are complete, remove the version number and replace with "FINAL." The record should retain the "FINAL" designation in the title when the versions are also being retained. If the previous versions are purged, the final record name can be changed to remove any status indicators (version number or final designation).

Abbreviations

In general abbreviations are not appropriate for use in record and or naming conventions. Abbreviations can have multiple meanings and over time may become obsolete or confusing. In some instances multiple abbreviations can be used for the same word or phrase, which can lead to misunderstandings. In limited circumstances the use of abbreviations may be necessary or required. In those circumstances, ensure that naming conventions and record standards stand the test of time and transparency. Only the following approved abbreviations should be utilized. Abbreviations not on this list will not be accepted for records held in the Citywide Content Management System (CCMS) or for use on the City's Records Retention Schedule.

Approved Abbreviations

Abbreviation	Meaning	
APT	Apartment	
AVE	Avenue	
BLDG	Building	
BUSN	Business	
CA	City Attorney's Office	
CBC	California Building Code	
CC	City Council	
CCMS	Citywide Content Management System	
CCO	City Clerk's Office	
CCP	California Code of Civil Procedure	
CCR	California Code Regulations	
CDC	Community Development Commission	
CFC	California Fire Code	
CFR	US Code of Federal Regulations	
CMO	City Manager's Office	
COM	Commercial	
CRA	California Public Records Act	
CRL	Circle	`
CS	Community Services	
CT	Court	
CTR	Center	
CUST	Customer	
CVC	California Vehicle Code	
CW	Citywide	
DS	Development Services	
DPS	Public Safety – Police, Fire	
EB	Eastbound	
EC	California Election Code	
ED	Economic Development	
EMP	Employee	
EVC	California Evidence Code	

EXPY	Expressway	
EXT	Extension	
FIN	Finance	
FWY	Freeway	
FYARD	Front Yard	
GC	California Government Code	
H&S	California Health and Safety Code	
HR	Human Resources	
HUD	US Housing & Urban Development	
HWY	Highway	
IT	Information Technology	
LC	California Labor Code	
LN	Lane	
MHP	Mobile Home Park	
NB	Northbound	
PC	Planning Commission	
PKWY	Parkway	
PL	Place	
PW	Public Works	
R&T	California Revenue & Tax Code	
RD	Road	
RES	Residence or Residential	
ROW	Right-of-way	
SB	Southbound	
W&I	California Welfare & Institutions Code	
WB	Westbound	
Xing	Crossing	

Appendix C - Box Label

When preparing records to be stored in record boxes it is crucial that boxes are clearly labeled and organized so that they can be easily accessed. Labels must be applied to the short end of each box so that the contents can be easily reviewed. Record boxes should be filled, but not packed so tightly that records cannot be retrieved or inserted into the box. A copy of the inventory should also be placed inside the box on top of the records. Below is a sample box label. Minimally the box should be labeled with the record series number, record description, date range, and the date the entire box is eligible for destruction.

Box # (assigned by Records Manager)		Department/Division	
		Location: (assigned by Records Manager)	
Contents			
Records Series#	**Record Series Description/Note**	**Date Range**	
Inventoried By (print name)		Date Eligible for Destruction: Month/Year	

Appendix D - Conducting a Records Inventory

A records inventory is the Programmatic collection of information for each file folder. A thorough inventory process can *free up to two-thirds* of storage space devoted to active files. Typically, one-third of the files will be destroyed; one-third transferred to inactive storage, and one-third will remain in prime office space. The process has also been designed to use the information you gather in many ways. The information will be used in subsequent years for the following purposes:

- Locate and track old records stored in boxes or other inactive storage areas;
- Find misfiled or lost file folders;
- Identify and correct inconsistencies in your filing Programs;
- Electronic master index (you can do text searches to find the file you want);
- Create destruction lists in future years by "cut & paste";
- Create box labels by "cut & paste";
- Manage the location of records stored in off-site locations, and changes to location of records;
- Will meet the requirements for an index for the purposes of the new law requiring staff to assist the public in locating records;
- Provides an index to use in the event of a disaster so that the most valuable records are located and protected;
- The inventory will be utilized to develop your retention schedule, and will ensure the schedule covers all of your records and will meet your needs.

Do NOT move boxes, files, or cabinets from another department unless you receive permission from the Department first.

Records will be destroyed pursuant to the City's adopted Records Retention Schedule. State law allows *copies or drafts to be destroyed "when no longer required"*, but requires the Council to approve the destruction of any original record pursuant to the City' Records Retention Schedule. Copies and drafts can be destroyed as they are inventoried, provided:

- You are <u>certain</u> the record is a copy, draft, or is not a City record;
- If the record contains any confidential data (e.g. citizen's names, phone numbers, etc.), must be shredded or obliterated.

Form 2016-006 Record Inventory Worksheet

When conducting a records inventory it is recommended that you utilize the form below for a consistent accounting of the files on hand. Unlike the inventory for destruction, this inventory is meant to be conducted down to the file level and should contain the exact location of the record. Use whatever information is available to concisely identify the location of the records. This may be the names of a room, a room number, a geographical notation such as north or east. When inventorying a record room it is a good idea to start by labeling the file cabinets and then the drawers. For example the file cabinet you start with would be FC1. Then the drawers (starting at the top) would be a, b, c, etc.; Files in file cabinet 1 drawer b would be expressed: FC1-b.

CITY OF ROHNERT PARK
RECORDS INVENTORY WORKSHEET-Form 2016-006

PAGE	OF

DEPARTMENT	DIVISION/SECTION	
RECORDS COORDINATOR	ADDRESS/LOCATION	TELEPHONE NUMBER

RECORDS INVENTORY

(1) RECORDS SERIES DEPARTMENT CODE	(2) DESCRIPTION	(3) FILE LOCATION	(4) STATUS TYPE	(5) YEARS COVERED	(6) RETENTION STATUTORY REFERENCE	(7) DOCUMENT ORIG.	COPY	(8) REMARKS (Vital or Confidential Records)

(9) INVENTORY TAKEN BY (Signature)	DATE	(10) DEPARTMENT MANAGER	DATE

CITY OF ROHNERT PARK

RECORDS INVENTORY WORKSHEET
INSTRUCTIONS

(Numbers are keyed to item number on the form)

1. Enter Records Series Department Code (per Records Retention Schedule – example: CCO= City Clerk's Office; CW= Citywide)
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4. Enter the appropriate STATUS TYPE (see definition at bottom).
5. Enter the years covered (Example: 1999 to 2015).
6. Enter Statutory Reference from Records Retention Schedule (.Gov't Code).
7. Enter "X" in appropriate column in indicate original or copy.
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STATUS TYPE

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