

CITY OF TALLAHASSEE

CITY COMMISSION AGENDA ITEM

ACTION REQUESTED ON:	December 12, 2007
SUBJECT/TITLE:	Records Retention Policy – CP146
TARGET ISSUE:	N/A

STATEMENT OF ISSUE

Commission Policy 146, adopted on July 6, 2005, formalized the City’s standards and practices governing records retention, and established criteria to govern the City’s short- and long-term retention methods. The primary purposes of CP146 were to supplement and clarify how State standards would be met, and to detail how the Electronic Documents Management System (EDMS) would be used to address retention requirements. CP146 has been very helpful in conveying the City’s retention requirements as well as directing departments to phase in mandatory process changes by incorporating technology into work activities.

As the result of project activities and departmental feedback provided since the policy’s original adoption, the EDMS Project Team and departmental liaisons have identified additional categories of records that should be added to the policy. The recommended policy revision includes the addition of disaster response and recovery documentation, records relating to environmental permitting activities, specified protective service records, and miscellaneous types of electronic files that should be moved to EDMS from City servers because of size, importance and/or retention periods.

RECOMMENDED ACTION

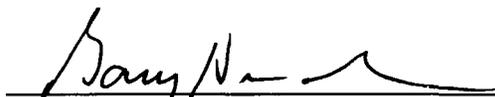
Approve revisions to Commission Policy 146 (Records Retention) as recommended.

FISCAL IMPACT

N/A



Paula Cook
Records Management/Treasurer-Clerk



Gary Herndon
City Treasurer-Clerk

For information, please contact: Paula Cook

**ITEM TITLE: RECORDS RETENTION POLICY (CPI46
PAGE 2)**

SUPPLEMENTAL MATERIAL/ISSUE ANALYSIS

HISTORY/FACTS & ISSUES

For the last 11+ years, the City's Electronic Documents Management System (EDMS) has been used to store and retrieve scanned or electronic records that are common to multiple departments. EDMS is also the repository for records that are unique to individual departments, and its user-friendly system has allowed departments to realize efficiency gains due to changes in work processes. The resulting efficiencies *provided an impetus* to formally detail retention standards, establish additional internal requirements for records storage, and also highlighted additional improvements that could be accomplished. The retention standards and direction were incorporated into Commission Policy 146 (Records Retention Policy), which was subsequently approved on July 6, 2005. The policy also identified general categories of records that must be stored in the Electronic Documents Management System (EDMS), and implemented procedures necessary to phase in the capture and storage of electronic documents, particularly in the areas involving land development, City construction projects, Purchase Card and employee files. In summary, the original policy was enacted to phase in process improvements that represented the first step to reducing the storage of redundant hard copy documents while making the information available to all employees as needed.

As part of the policy's implementation, efforts to communicate Records Retention requirements, policy issues and EDMS capabilities were significantly increased. A committee of departmental representatives was established to serve as the liaison between the Treasurer-Clerk's office and individual departments and to communicate information as needed. The cumulative impact of the policy's adoption, the committee's formation and EDMS' ease of use has resulted in a significant increase in the number of records being added to EDMS as well as overall EDMS retrieval usage.

Since the policy's adoption, the EDMS Project Team has worked aggressively with each department to ensure compliance with policy requirements as well as to evaluate other process improvements that could be made. Although Departments have complied with the policy since its adoption, several departments have initiated projects above and beyond the broad policy requirements and have concurred with the need to expand the policy by including additional types of required records. It is recommended that the policy be expanded to include the following four (4) specific new types of records as well as to incorporate minor clarifying language:

Disaster Response and Recovery Documentation
Environmental and Regulatory Permitting Documentation
Specified Protective Service Records
Miscellaneous Electronic Files from City servers

ITEM TITLE: RECORDS RETENTION POLICY (CP146)
PAGE 3

OPTIONS

1. Approve policy modifications as recommended
2. Retain original policy with no modifications
3. Provide additional guidance

ATTACHMENTS/REFERENCES

Revised Records Retention Policy (CP146)

City Commission Policy 146 - Records Retention

DEPARTMENT: Treasurer-Clerk

DATE ADOPTED: July 6, 2005

DATE OF LAST REVISION: N/A

146.01 Authority:

- City Commission
- Chapters 119 and 257.36, Florida Statutes
- Chapters 1B-24 and 1B-26 of the Florida Administrative Code

146.02 Purpose: The intent of the proposed policy is to supplement existing State standards for records retention by formalizing our the City's existing practices, to encourage departments to identify areas where technology can be used to streamline operations, and to implement procedures to phase in the capture and storage of electronic documents.

146.03 Scope and Applicability: This policy shall apply to all City employees and advisory boards.

146.04 Policy Statement: It is the policy of the City of Tallahassee to establish the requirements, guidelines and procedures for capturing, managing and retaining records in compliance with the Florida Public Records Law, Chapters 119 and 257.36, Florida Statutes, Chapters 1B-24 and 1B-26 of the Florida Administrative Code, and Federal laws and regulations. Requirements, guidelines and procedures will be based on:

- State and Federal records retention schedules
- Volume of records created
- Media used to create records
- Retrieval Rates of records series
- An evaluation of alternatives for information storage
- Need to provide internal and external access to records
- Relevant ISS policies
- Individual Department staff support

The intent of this policy is to provide assistance and resources to departments as needed and to develop reasonable solutions for complying with State regulations.

146.05 Definitions:

Capital Record - Legal documents, correspondence, reports, etc., relating to the negotiation, fulfillment and termination of capital improvement contracts, leases or agreements to which the City is a party. It includes enhancements to buildings, fixtures, and all other improvements to land, as well as contracts, leases or agreements with architects, engineers, builders and construction companies.

EDMS - the Electronic Document Management System.

Electronic Records - Any information that is recorded in machine readable format from business internally, between other state or local government agencies, and with constituents, voters, vendors, clients, citizens, and others in the outside world. This information may be in the form of e-mail, electronic document exchange (electronic fax), and electronic data interchange (EDI), ~~and multi-media communications such as voice mail and tele/video conferencing.~~

EDMS Project Team - A committee consisting of the Records Administrator, the Supervisor of Records Retention, the appropriate ISS Project Manager, and the ISS/EDMS Business Systems Analyst.

Exempt Record – Records as defined by Chapter 119, Florida Statutes

ISS - Information Systems Services.

Native Format - the default format of a data file created by its associated software program.

Public records - all documents, papers, letters, maps, books, tapes, photographs, films, sound recordings, data processing software, or other material, regardless of the physical form, characteristics, or means of transmission, made or received pursuant to law or ordinance or in connection with the transaction of official business by any agency. (119.011, F.S.)

146.06 Duties and Responsibilities:

City Liaison for Records Retention Policies and Procedures - The Treasurer/Clerk's Records Management Division (RMD) is designated as the liaison to the Florida Department of State, Division of Library and Information Services, Information Resource Management, for all City departments except the Tallahassee Police Department, and is responsible for submitting required annual reports including authorized disposals.

Procedures for Physical Storage - RMD is responsible for determining records that may be stored at the City's Archives, the form to be used in detailing records to be stored, and coordinating with departments on pickups and retrievals.

Development of Alternatives and Procedures for Electronic Storage - RMD, ISS and the EDMS Project Team are responsible for 1) developing feasible, cost efficient alternatives for retaining electronic records in EDMS; 2) identifying project priorities, associated timelines, and recommended purchases; 3) designing EDMS applications; and 4) developing procedures needed to effectively and efficiently implement the Records Retention Policy.

Training and Education Efforts - RMD is responsible for training each Department Liaison and designated Department staff members on records retention requirements and assisting in determining the appropriate classification for individual records. RMD and ISS are responsible for training each Department liaison and designated Department staff members on the alternatives available for retaining documents in compliance with the Statutes and Administrative Procedures, as well as identifying the most efficient means of retention.

Departmental Records Liaison - Each department will identify one employee who will act as Liaison to the Treasurer/Clerk's Records Management Division. This person will be the contact with RMD on records retention issues, which include training, records retention schedules, short- and long-term records storage options, and records disposal.

146.07 File Storage Options:

Physical storage : The City's intent is to primarily utilize electronic records storage rather than hard copy storage. Permanent records and records with shorter retention periods should be stored in City offices and/or in the Electronic Document Management System (EDMS). If an exception is approved by the Records Administrator of the City Treasurer-Clerk, Only permanent documents, capital records and records with a retention period longer than 7 years can be housed in the City's archive facilities.

If an exception is granted, Records to be stored in the Archives will be boxed in standard letter-sized bankers boxes with contents for each box listed on the Request for Storage Form promulgated by the Treasurer/Clerk's Records Management Division.

Electronic Storage : EDMS is available to all City departments for the storage of permanent documents, capital records and records with shorter retention periods. The EDMS Project Team will meet with departments that wish to utilize electronic storage alternatives to:
identify the volume of records to be added,

- determine desired indexing criteria,
- explore availability of databases which can be used to automate the indexing process,
- design any applications and/or process changes that need to be developed,
- provide guidance on the projected amount of departmental resources that will be required to add records,
- define amount of hardware and software installations required to accomplish the goal
- Documents will be stored in EDMS by either importing native documents or by scanning documents into accepted electronic formats. Documents will be electronically imported or transmitted into EDMS rather than scanned unless prohibited by law or other compelling reasons.

The Treasurer/Clerk's Records Management Division will evaluate each request and detail requirements and recommendations to follow in implementing the project.

Departments will be required to utilize EDMS to store the following documents:

- Minutes, Agenda, and Agenda Items and other documents related to for City Commission Meetings
- Advisory Board Minutes, Agenda & Agenda Items
- Accounts Payable Records
- Documents relating to all contracts and agreements, including all RFP's, RFB's or RFQ's, change orders, payment requests and correspondence
- Purchase Card (P Card) statements and documentation for each purchase
- Employee Personnel Files
- Reports, Studies and Audits
- Land Transaction Records
- Legal Case Files
- Grant applications, Agreements and relevant correspondence
- Applications for land use, environmental and building permits, and development projects including City construction and/or utility-related projects
- Disaster Recovery Documentation including but not limited to photos, correspondence, budget transaction records, and employee timesheets relating to the City's response/cleanup efforts after disasters
- Environmental/Regulatory records – records relating to the City applying for, or receiving, a permit from regulatory agencies; inspection or reports submitted as required by agency or permit requirements

- Protective Service Records – paper or electronic files relating to accident and incident reports, handwritten witness statements and traffic or parking citations
- Files on servers – archival or historical electronic files stored on City computer file servers, as determined by the CISO or his designee

A phased approach will be developed to identify when departments begin adding the required records series to EDMS as well as the methods used to add records. Options for departmental implementation plans will be developed and discussed with individual departments in an effort to minimize impacts from the changed process.

146.08 Hardware and Software:

The Treasurer/Clerk's Records Management Division, as EDMS Executive Owner, will submit budget requests needed for program operation and purchases. Capital Program funding, if available, will primarily be used for the purchase of hardware, software, maintenance and upgrade costs. The program budget will not pay for temporary or permanent employees.

The EDMS Project Team will be responsible for the selection of hardware and software to be purchased for EDMS activities. Based on available funding, hardware and software needed to scan or process documents will be purchased for Departments based on location, the volume of records to be added and the number of personnel to be involved in production activities.

146.09 Procedures:

Partnerships - The Records Management Division (RMD) will provide scanning and/or indexing assistance to departments based on its annual work plan, an evaluation of need and the department's willingness to assist in the process. Participating departments will be responsible for preparing all documents for scanning or importing as prescribed by RMD, and departments may be responsible for indexing all documents unless a mutually acceptable arrangement is agreed upon.

Methodology - RMD will work with each department to develop work plans for adding documents to EDMS. These work plans will typically call for departments to begin adding documents on a day forward basis with RMD providing assistance in necessary backfile conversions, if possible. Departmental work plans for the backfile conversion of documents will be developed based on need, retention schedule, available RMD and departmental resources

Electronic Documents - Documents and information in electronic format (i.e., Word, Excel, PDF) will be imported into EDMS by departments whenever possible. Alternatives for dealing with electronic signatures and electronic seals will be used when feasible while all options will be considered when determining how individual record series will be treated.

Document Preparation/Redaction of confidential/exempt information – Department representatives who submit documents that contain confidential/exempt information (i.e., Social Security Numbers) are responsible for redacting this information prior to the document's addition to EDMS. While this is primarily intended to prevent documents containing visible social security, City purchase card and personal credit card numbers from being visible within an open application, it also includes documents in secured applications as applicable.

Workflow - In conjunction with departments, RMD will examine possibilities of streamlining current operating processes by using automated workflow software and will provide resources necessary to implement necessary changes.

146.10 Administration: The EDMS Project Team will be responsible for monitoring departmental compliance with the policy, and for recommending policy or procedural modifications as needed.

146.11 Effective Date: This policy will become effective December 13, 2007 ~~August 1, 2005~~, and will continue in effect until amended or repealed.

146.12 Sunset Review: The Treasurer/Clerk's Records Management Division continually monitors the City's record storage requirements and the EDMS program implementation progress and its effectiveness. Recommended changes to this policy will be presented by RMD as needed.