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August 7, 2017

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TO: Local Agency Formation Commission

FROM: Executive Officer
Special Consultant

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SUBJECT: Adoption of Records Management Program Policy A-106

Pursuant to California Government Code Section 56382, the Commission may authorize the destruction of any duplicate record, paper, or other document if the original or a photographic or electronic copy of the record, paper, or other document is retained in the files of the commission. The Commission may authorize the destruction of original records more than two years old if a photographic or electronic copy of the original record is made and preserved, per recommendations and provisions upheld by the American National Standards Institute or the Association for Information and Image Management. After this state statute was enacted, the San Diego LAFCO initiated and recently completed a comprehensive records management program that digitized over 2 million images, plus over fifty years of audio and video recordings. It is now appropriate for the Commission to adopt a policy that will provide guidance regarding the implementation of Government code Section 56382. Effective implementation will help ensure accountable and accurate handling of agency records in a manner that provides for prompt retrieval while reducing storage requirements for inactive and outdated documents.

Alternate Members

Greg Cox
County Board of
Supervisors

Chris Cate
Councilmember
City of San Diego

Racquel Vasquez
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City of Lemon Grove

Harry Mathis
Public Member

Judy Hanson
Leucadia Wastewater
District

BACKGROUND

One of the other primary goals is to ensure continuing compliance with the Public Records Act by establishing provisions for the retention, capture and access to electronic communications. The Commission has upgraded its document and records management program to a full digital capture and electronic archival and retrieval platform, including all relevant policies, procedures and records retention schedules.

Executive Officer

Michael D. Ott

Counsel

Michael G. Colantuono

The proposed policy will ensure efficiency gains and cost savings in both labor and storage expenses as well as provide online tools to meet both staff requirements and public records access requests.

Beginning in Fiscal Year 2014/2015, LAFCO contracted with Wave Technology Solutions Group, a County of San Diego authorized IT Outsourcing Contract sub-contractor specializing in document management systems and imaging solutions, and Doculynx, a County of San Diego authorized electronic records management contractor specializing in bulk-file scanning and digital archiving solutions and services, to implement an electronic document management system for LAFCO.

This project entailed the inventory and cataloging of over 440 boxes of paper, microfilm/fiche, audio, and video/film records stored off-site and on-site and the subsequent bulk-file scanning, indexing and importing of over 2 million images into a robust electronic storage and retrieval platform using the latest in technology products and techniques.

The Commission approved several fiscal-year allotments beginning in FY14/16 and ending in FY17/18 to approve contracts and purchase orders with the aforementioned vendors as well as with CDM Consulting (which provides overall project management and project oversight) to perform these software development and back-file scanning activities. The project, for all intents and purposes, is now complete. However, there are ongoing needs associated with software upgrades and training. Significant cost savings have occurred as a result of partnerships LAFCO staff established with County departments regarding planning, design, and implementation of the records management program. The County Assessor's/Recorder's Office, in particular, has been instrumental in helping the Commission minimize costs. Note: Completed day-forward project documents are also digitally captured and made available in the new document management system platform.

Proposed Policy

The implementation of a LAFCO document management system solution was driven by many factors, including, but not limited to:

- Limited space within the LAFCO offices to store records;
- Production and management of many permanent records, including almost 50 years' worth of LAFCO records to be scanned;
- Advancements in technology; and
- Changes in law.

The proposed policy (A-106) establishes staff responsibilities, guidelines for retention and destruction of records; instructions for day-forward processes; definitions for terms subject to the policy; and sets a uniform ten-year records destruction schedule that is far more conservative than the 2-7 year destruction schedule that other LAFCOs follow. It is therefore,

RECOMMENDED: That your Commission,

Receive the Executive Officer's report and approve the attached Draft Records Management Policy Administrative Policy A-106.

Respectfully submitted,



MICHAEL D. OTT
Executive Officer



CASEY MCGEHEE
Special Consultant

MDO:CM:trl

Attachment

San Diego LAFCO Records Management Program Policy A-106

Subject

RECORDS MANAGEMENT PROGRAM

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Purpose

To provide guidance to the Commission regarding the management, retention, and, if authorized, destruction of agency records.

Background

The implementation of a LAFCO document management system solution was driven by many factors, including, but not limited to:

- Limited space within the LAFCO offices to store records;
- Production and management of many permanent records, including almost 50year's-worth of LAFCO records to be scanned;
- Advancements in technology; and
- Changes in law.

Policy

It is the policy of the San Diego Local Agency Formation to follow the below provisions for the records management, retention, authorization and destruction of agency records in the conduct of LAFCO business:

General

1. The Commission's Executive Officer shall be responsible for administering this policy to ensure the effective management, retention and, as appropriate, destruction of records consistent with this policy and the Records Retention Schedule.
2. The Commission authorizes the destruction of any duplicative active or inactive record at any time.

3. Digital copies shall be made of all active and inactive records for retention, safeguarding and public distribution within the Commission's electronic document management system.
4. Active records shall be retained in their original form for a period of no less than ten years. Original documents may be destroyed if a digital copy exists and it is consistent with the Records Retention Schedule.
5. The Commission authorizes purging digital copies for inactive records if it is consistent with the Records Retention Schedule.
6. Digital copies records shall be retained indefinitely for Items listed in definitions 4, 7, 8, 9, 10, and 13.

Specific: Day-Forward Processes

1. Day-Forward Scanning and Addendums—Refer to the San Diego LAFCO Scanning User Guide for specific instructions regarding the procedures for scanning, indexing, and saving new documents and/or addendums (scan-after-the-fact).
2. The San Diego LAFCO Document Management System and Image Repository has the capability to export any PDF image document and send that document via email to customers or other County staff (refer to the San Diego LAFCO Scanning User Guide for instructions).
3. All letters received from customers will be scanned via the Day-Forward Scanning procedures. Letters will be considered a Correspondence Document Type and indexed and imaged accordingly (refer to the San Diego LAFCO Scanning User Guide for instructions).
4. In general, the Commission should retain original source documents that are detailed in a register, journal, ledger or statement **for (10) years**. Refer to the records retention schedule for specific accounting documents.
5. Rough drafts, notes, working papers (except audit), cards, listings,

nonpermanent indices, and papers used for controlling work or transitory files may be destroyed at any time.

Definitions

1. "Records" shall be kept indefinitely in original, photographic, or electronic form pursuant to G.C. Section 56382. The Commission defines "LAFCO Records" pursuant to sections 3-12 of this policy.
2. Documents not herein defined as LAFCO "Records" are not considered "Records" pursuant to G.C. Section 56382 and shall be retained and disposed of according to the Records Retention Schedule provided as to this policy.
3. "Active Records" are documents that are less than two-years old and/or currently open or regularly accessed, used or referenced.
4. "Administrative Records" include, but are not limited to, accounts payable/receivable, budgets, audits, payroll timesheets, policies, statements of economic interest, public member recruitment proceedings, consultant contracts, vendor agreements, and personnel files.
5. "Digital or Electronic Copy" refers to an original document that has been imported or exported for archival purposes in the Commission's electronic document management system.
6. "Inactive Records" are documents that are more than ten-years old and/or closed or no longer regularly accessed, used or referenced, but still need to be retained for legal or practical purposes.
7. "LAFCO Records" are defined as records that must be retained indefinitely in compliance with G.C. Section 56382 and include the following documents.
8. Documents relating to change of organization or reorganization proposals which include, but are not limited to: application, petition or other initiating

documents justification of proposal; property tax exchange agreement; assessor's statement of property valuation; indemnification agreement; certificate of filing; environmental review/CEQA documents; certificate of completion; map and boundary description; notices; order for change of organization/reorganization; staff report with recommendation; statement of boundary change; statement of tax rate area; LAFCO adopted resolutions; LAFCO approved meeting minutes; documents relating to outside service requests; approved meeting minutes; completed spheres of influence establishments and updates; completed municipal service reviews; Commission policies.

9. "Meeting Records" include, but are not limited to, agendas, minutes, staff reports, resolutions, and audio and/or video recordings.
10. "Planning Records" include, but are not limited to, municipal services reviews, sphere of influence updates, and related correspondence.
11. "Record" or "Records" are defined to include any paper, electronic media, audio file or other form documentation that records or transmits information originated and/or managed by the Commission.
12. "Records Retention Schedule" prescribes by type a plan for its management and life cycle and serves as the legal authorization for its disposition. A copy of the Records Retention Schedule is affixed to this policy.
13. "Regulatory Records" include, but are not limited to, change of organization or reorganization files, outside service requests, boundary maps and descriptions, and related correspondence.

Records Destruction

1. LAFCO staff members shall complete and sign a “Request for Destruction of Obsolete Records” form, listing the date and description of each document to be destroyed. A sample form is attached to this policy. The staff member submits the form to a designated LAFCO Records Coordinator.
2. The LAFCO Records Coordinator checks the documents listed on the submitted form to confirm that each document is: (1) not required to be permanently retained, or (2) has been retained for the legally required period of time. The LAFCO Records Coordinator also confirms that any applicable reproduction requirements (i.e., microfilming, etc.) for each document are complete. The LAFCO Records Coordinator also verifies that documents are not relevant to a lawsuit, administrative charge or investigation, or similar proceeding, which is in progress or which can reasonably be anticipated.
3. The LAFCO Records Coordinator shall submit the form to the LAFCO Executive Officer, who reviews and signs the form and then returns the signed form to the LAFCO Records Coordinator.
4. After receiving the signed form from the LAFCO Executive Officer, the LAFCO Records Coordinator shall oversee the destruction of the documents, indicate the method of destruction on the form, sign the form and return the original signed form to the LAFCO Executive Officer.
5. The LAFCO Executive Officer shall retain all original signed forms requesting destruction of records for a minimum period of ten years.
6. The LAFCO Records Coordinator shall keep a master log of all destroyed documents which includes the titles or brief descriptions of the documents that were destroyed, the method of destruction and the date of destruction.

Records Retention Schedule

The “Records Retention Schedule complies with the records retention guidelines provided by the California Secretary of State and this policy and schedule applies only to the conduct of LAFCO business.

RECORDS RETENTION SCHEDULE

Record Type	Retention: Original Record	Retention: Digital Record
Administrative	10 years	Indefinite
Audit		
Budget		
Commission Election		
General File		
Invoice		
Payroll		
Personnel		
Publication		
Report		
Agenda	10 years	Indefinite
Advisory Committee		
Commission		
Correspondence	10 years	Indefinite
Correspondence		
Environmental		
Legal Counsel Opinion		
Response Letters		
Suspense		
JPA		
JPA		
Proposal	10 years	Indefinite
Proposals		
Other	10 years	Indefinite
CALAFCO Newsletters		
EIR Reports		
Legislation Info		
Litigation Info		
Misc. General Info		
Task Force Info		
Special District Info		
Website Info		
Microfilm/Fiche	10 years	Indefinite
Microfilm and Fiche		
Audio and Video	10 years	Indefinite
Audio and Video Tapes		