



## Legislation Details (With Text)

**File #:** 2019-0116  
**Type:** Consent Calendar Item **Status:** Passed  
**File created:** 2/5/2019 **In control:** Information Systems  
**On agenda:** 4/2/2019 **Final action:** 4/2/2019  
**Title:** County's Records Retention Schedule Revisions  
**Sponsors:** Information Systems, County Administrator  
**Indexes:**  
**Attachments:** 1. Resolution, 2. Att2- Records Retention Schedule CAO-Clerk of Board 3-19-2019 Remed.pdf, 3. Att 3\_Requests for Approval of Records Retention Schedule.pdf

Date	Ver.	Action By	Action	Result
4/2/2019	1	Board of Supervisors	Approved as recommended	Pass

**To:** Board of Supervisors

**Department or Agency Name(s):** Information Systems Department and County Administrators Office

**Staff Name and Phone Number:** Deborah Lindley, 565-5471

**Vote Requirement:** 4/5th

**Supervisory District(s):** All

### Title:

County's Records Retention Schedule Revisions

### Recommended Actions:

Adopt a resolution to approve the following actions:

- A) Updating the County's records retention schedule and approving the revised records retention schedule for the County Administrator's Office and the Board of Supervisors, which is anticipated to create operational efficiencies.
- B) Authorizing Department Heads to determine the appropriate medium by which to maintain records in accordance with State law and related Board approved retention policy.
- C) Delegating authority to Department Heads to authorize the destruction of records in accordance with the approved retention schedule consistent with California Code, Government Code - GOV section 26202.

(4/5<sup>th</sup> Vote Required)

### Executive Summary:

This item requests board consideration and approval of a revision to the current retention schedule for the County Administrator's Office and the Board of Supervisors per California Code, Government Code - GOV section 26202. These revisions will streamline the recordkeeping process by consolidating items of a similar

nature, adding new record types, removing obsolete items, and eliminating redundancies. Furthermore, this action requests authorization for the disposition of County records and grants authority to the Department Head to determine the medium in which a record may be stored, so long as it complies with State law.

### **Discussion:**

In compliance with Administrative Policy 6-1 (Policy for Records Retention, Storage and Destruction), records retention schedules are created jointly by departments and Records Management to establish how long records should be maintained based on their operational, legal, fiscal and historical value. Retention schedules become the legal authority for the terms of destruction of County of Sonoma records.

A revised retention schedule has been prepared for the County Administrator's Office and the Board of Supervisors. The retention schedule was developed to provide continuing guidance and authority to the department for both retention and destruction of records. This schedule is the third version for County Administrator's Office and the Board of Supervisors, the initial versions were approved 12/9/2008 (Clerk of the Board Division of the County Administrator's Office), 1/18/1989 (Clerk of the Board of Supervisors) and 10/28/1986 (County Administrator's Office). Retention schedules have been adjusted over the years for various reasons including: adding series for new programs, removing series no longer created, or modifying retention periods based on operational value.

Notable changes from versions two to versions three are as follows:

- Aligning records within their current operational structure and updating to reflect current business processes.
  - Establishing a media neutral schedule - currently the schedule mandates what media (format) in which a record must be held (i.e. paper, microfiche, disk). With technological advances, many departments are using newer systems which create the records entirely in electronic form. Having a schedule that specifies media format is archaic, restrictive and cost prohibitive as departments are unnecessarily required to store physical records in order to comply with the retention schedule when electronic storage options are available and more cost effective. Additionally, records management best practices do not support the mandatory retention of duplicate records.
- Creation of "big bucket" records series, shifting from the granular approach in the existing schedule. The current granular approach lists each individual record, at times individual document, in its own series, while the "big bucket" concept consolidates record types related to the same business process or function into one comprehensive records series or "bucket". This streamlines recordkeeping practices and mirrors operational functions.

With the continual advances in technology, record creation and record keeping can occur in a number of different media including paper, email, microfiche, imaged documents (documents scanned to a document imaging system), strictly electronic format and more. These advancements necessitate modernization of recordkeeping practices to allow for fully electronic recordkeeping in accordance with Government Code such as, but not limited to, sections 12168.5, 26205.1, and 12168.7. These codes grant the authority to Counties to

destroy records, documents, instruments, books, and papers as long as these items have been recorded by such means including, but not limited to, photographing, micro photographing, or reproduction within a trusted system so long as the medium does not permit additions, deletions or changes to the original document.

This resolution grants the Department Head the authority to determine the appropriate medium by which to maintain records, so long as they comply with State law and the timeframes established by the Board approved retention schedule. In alignment with the media neutral approach to records management, Information Systems Department, County Counsel, and County Administrator's Office are developing Sonoma County e-signature guidelines for presentation to the Board this Fall. Additionally, adoption of the County trusted system for electronic document management, OnBase, continues to grow in order to better support public records requests, conform to state regulations, provide instant records retrieval from a variety of devices including personal computers and tablets, and allow immediate sharing of records between departments.

All retention periods have been thoroughly reviewed by the Records Manager, the Department Head, Auditor-Controller-Treasurer-Tax Collector, County Counsel, and the County Historical Records Commission to ensure that administrative, legal, fiscal and archival requirements have been met. The attachment "Request for Approval of Records Retention Schedule" documents the review and approval by these entities.

**Prior Board Actions:**

12/9/2008: Resolution# 08-1013 approving retention schedule number one for the Clerk of the Board Division of the County Administrator's Office.

11/7/2000: Resolution #00-1342 approving revised retention schedule number three for Clerk of the Board of Supervisors.

2/1/2000: Resolutions #00-0107 approving revised retention schedule number two for the County Administrator's Office

6/2/1992: Resolution #92-0834 approving revised retention schedule number two for the Clerk of the Board of Supervisors.

1/18/1989: Resolution #89-0136 approving the original retention schedule number one for the Clerk of the Board of Supervisors.

10/28/1986: Resolution #86-2253 approving the original retention schedule number one County Administrator's Office

**FISCAL SUMMARY**

<b>Expenditures</b>	<b>FY 18-19 Adopted</b>	<b>FY19-20 Projected</b>	<b>FY 20-21 Projected</b>
Budgeted Expenses	N/A	N/A	N/A

Additional Appropriation Requested			
<b>Total Expenditures</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
<b>Funding Sources</b>			
General Fund/WA GF			
State/Federal			
Fees/Other			
Use of Fund Balance			
Contingencies			
<b>Total Sources</b>			

**Narrative Explanation of Fiscal Impacts:**

There are no costs associated with this recommended action.

<b>Staffing Impacts:</b>			
<b>Position Title (Payroll Classification)</b>	<b>Monthly Salary Range (A - I Step)</b>	<b>Additions (number)</b>	<b>Deletions (number)</b>

**Narrative Explanation of Staffing Impacts (If Required):**

N/A

**Attachments:**

- 1) Resolution approving Records Retention Schedules and authorizing destruction of records.
- 2) Retention Schedule - County Administrator's Office/Board of Supervisors
- 3) Requests for Approval of Records Retention Schedule.

**Related Items "On File" with the Clerk of the Board:**

N/A