

Town of Truckee

**Records and Information
Management
Program Manual**

SECOND DRAFT

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Table of Contents

INTRODUCTION	3
CHAPTER 1 – RECORDS AND INFORMATION MANAGEMENT POLICY	4
CHAPTER 2 – ROLES AND RESPONSIBILITIES	9
CHAPTER 3 – INFORMATION OWNERSHIP	11
CHAPTER 4 – CLASSIFYING AND INDEXING INFORMATION	12
CHAPTER 5 – RETENTION OF INFORMATION	14
CHAPTER 6 – DISPOSING OF OBSOLETE RECORDS.....	16
CHAPTER 7 – LEGAL HOLDS AND LITIGATION SUPPORT	19
CHAPTER 8 – BOXING INACTIVE RECORDS FOR STORAGE	21
CHAPTER 9 – PROTECTING INFORMATION WHEN EMPLOYEES, VOLUNTEERS, CONTRACTORS,AND OFFICIALS LEAVE	22
CHAPTER 10 – ELECTRONIC INFORMATION	23
CHAPTER 11 – ACCESS TO PUBLIC RECORDS AND INFORMATION	24
CHAPTER 12 – VITAL INFORMATION	27
CHAPTER 13 – PROTECTION OF SENSITIVE INFORMATION.....	28
CHAPTER 14 - HISTORICAL INFORMATION	29
APPENDICES	30



Introduction

The purpose of the Records and Information Management (RIM) Program is to define the rules for managing the Town's records and information and to provide the required steps or activities that enable employees to comply.

This RIM Program Manual provides the instructions for managing your department's records and information. The elements and criteria of the RIM Program have been divided into individual chapters for ease of reading. For example, if you want to find out about the Program Policy, go to the chapter on the RIM Policy; for information about what is expected of each employee, go to the chapter on roles and responsibilities.

The goal of the Manual is to ensure that the Town's records and information are:

- Filed efficiently using appropriate equipment and preservation methods,
- Retained, stored, and destroyed in compliance with both the law and the Town's retention requirements, and
- Public records are available to citizens, as appropriate.

If you have any questions about this manual or any of the RIM Program requirements, please contact the Town Clerk.

Chapter 1 – Records and Information Management Policy

OVERVIEW

A Records and Information Management (RIM) Policy is the highest level of governance for Town records and information. The RIM Policy identifies and clearly states what rules the Town will follow in managing its paper and electronic information in compliance with laws and regulations and to meet Town business objectives. The rules within the Policy apply to the content of the information, not the tools used to create it or to the medium on which it resides.

The Policy does not dictate how a department will meet the requirements and allows for department management to determine the best approach to take in complying with the requirements.

RECORDS AND INFORMATION MANAGEMENT POLICY

A. Ownership

Records and information created or received in the conduct of the Town's business by staff or by elected and appointed officials are the exclusive property of the Town. Town records and information are subject to compliance with this Policy, the associated Retention Schedule and any other Town policy or procedure.

B. Authenticity

The Town is committed to creating and maintaining complete, accurate, and trustworthy records and information that document its business activities. Deliberately creating false or misleading records or information regarding the Town's activities is strictly prohibited. ~~Records and information should not contain language that is misleading, incomplete, inaccurate, or fraudulent.~~

C. Classification

Records and information, both paper and electronic, are to be created, stored, and managed with the appropriate classification that enables efficient and shared access, efficient identification of public records, appropriate application of retention, and secure protection.

D. Retention

Records and information are to be retained in accordance with the approved Retention Schedule. When records complete their retention period, regardless of their format, they shall be deleted or disposed of in compliance with Town procedures.

E. Storage

Hardcopy records and information no longer considered active may be transferred to designated storage facilities to fulfill retention requirements. Electronic records and information no longer considered active may be transferred to approved repositories or moved offline to fulfill retention requirements, but information in any location must be accessible by Town employees for business needs and in response to requests by the public.

Records and information that are owned by the Town should not be transferred to or stored in any unauthorized locations or on personal devices. Work done on a personal device on behalf of the Town is the property of the Town.

F. Availability

Records and information must be available for future business, litigation, and investigations as necessary, regardless of storage location.

Records that are determined to be “public” are to be made available for the public to obtain in accordance with the California Public Records Act, Government Code §6250-6276.48.

G. Electronic Communication

Unless otherwise required by contract or law, including data privacy laws, electronic communication, including emails, email threads, text messaging, instant messaging, social media, and any other form of electronic communication that may be used to conduct Town business, are subject to this Policy and other rules of the Town, and are the exclusive property of the Town.

Email messaging is required to be conducted using Town systems. Emails sent or received for the purpose of Town governance or business are considered Town property and must be maintained in Town systems and in compliance with this Policy and, if they are records, in compliance with the Retention Schedule.

Instant messaging such as text messages are to be limited to brief communications to establish contact, identify location, or confirm appointments. Text messages should not be used to create and communicate directives, conduct Town business, or send files.

Social media is used exclusively for the distribution of Town information. No original documents are to be created within social media but should be attached as links to Town repositories. Original communication posted to social media is to be limited to Town announcements.

Electronic Communication systems are intended to be a medium of communication and not as a repository for Town records. Although Electronic Communication may seem to be less formal than other written communication, the same definition of Records applies, as do the rules for storage and retention. Electronic Communication that meets the definition of a record is to be stored in an official Town repository.

H. Records of Exiting Elected or Appointed Officials, Employees, Volunteers and Contractors

When an elected or appointed official’s term ends, the elected or appointed official is to work with the Town Clerk to transfer records and information from personal accounts and devices to the Town Clerk’s Office to comply with the requirements of this Policy and any supporting procedures for retaining and managing the records and information of the exiting official.

When an employee, volunteer, or contractor leaves the Town, the exiting individual's supervisor, manager, or Town Manager designee is responsible for complying with the requirements of this Policy and any supporting procedures for retaining and managing the records and information of the exiting employee, volunteer, or contractor.

I. Suspending Retention Requirements

Records and information relevant to litigation, an investigation, or an audit, and subject to a Legal Hold, are to be retained and preserved until further notice from the Town Attorney, regardless of the retention period set forth in the Retention Schedule.

Records and information subject to a Legal Hold that are no longer required for business purposes may be transferred to offsite or off-line storage in coordination with the Town Clerk.

Records and information subject to a Public Records Act request are to be retained and preserved until the request has been completed. Note that even records that have passed retention cannot be destroyed if a Public Records Request has been submitted to the Town.

J. Information Protection and Maintenance

Disaster recovery backup media are exact copies of an operating system, associated application and data created for the sole purpose of recovering data in the event of a disaster or business disruption and are not subject to the requirements of the Retention Schedule. Backups serve as a level of protection and maintenance for electronic systems. The data that is stored on those systems and are not subject to the retention requirements of the Retention Schedule.

K. Vital Information

Records and information designated as "vital" are to be protected in a manner that establishes the priority of recovery of the data in a timely manner following a disaster or system disruption. Vital Records are those records or information that are needed to recover from a disaster or resume business operations. Vital Records should be protected in accordance with Town procedures and standards.

DEFINITIONS

Records

Records are either defined specifically in applicable statutes, Municipal Code, Town business practices, or, in the absence of specific practices, a record is the document or information generated as the final output of a business process or business decision.

Convenience Information

Not all information or data is a record. Some information is collected or created to complete a task or to enable creation of a record, but the Town is not obligated by law to retain it. This type of information is classified as a non-record or Convenience Information. Convenience Information has no retention requirements. Examples of Convenience Information are included in *Attachment A*.

Electronic Communication

Electronic Communication is a document created or received via an electronic message system, including any attachments that may be transmitted with the message, along with its descriptive transmission metadata.

Electronic Message System

Electronic Message System is one or more computer networks, hardware, and software applications used to create, receive, and transmit messages and other documents electronically.

Instant Messaging (IM)

Instant Messaging (IM) – an electronic system that allows users to determine whether a certain party or parties are connected to the messaging system and allows them to exchange text messages with those parties in real time.

Thread

A Thread is an electronic conversation of at least one response on a similar subject; the conversation can be broken or continuous in nature.

Social Media

Social Media – websites and similar applications that enable users to create and share content or to participate in social networking.

A complete Glossary of Terms, including the terms above, can be found in Appendix D.

POLICY REVIEW

This Policy and the Retention Schedule may be amended or modified from time to time, as necessary, to account for changes in legal, regulatory, or operational requirements.

ATTACHMENT A

Examples of Convenience Information

- Identical copies of documents;
- Extra copies of documents or materials kept only for convenience or reference (e.g. copies of expense reports once they have been paid);
- Miscellaneous notices of employee meetings, holiday notices, and reference materials;
- Templates created to standardize the appearance or content of documents;
- System backups;
- Notes, working papers, or drafts assembled or created in the preparation of other documents; worksheets, and rough drafts of letters, memoranda, or reports;
- Catalogs, trade journals and other publications or papers received from external companies or agencies that are used for reference purposes, require no action, and are not part of an official record; and
- Materials used for information gather purposes, such as blank forms, stocks of publications, or supporting documents kept for supply purposes or to create a record.

Chapter 2 – Roles and Responsibilities

OVERVIEW

Each Town official, employee, contractor, and volunteer has a responsibility to be a good steward of the Town's information assets and to comply with all laws and regulations regarding their management.

RECORDS AND INFORMATION MANAGEMENT PROGRAM RESPONSIBILITIES

Leadership Team: The Town's Leadership Team establishes the priority of services and options available to the employees and has a working understanding of the legal requirements the Town is obligated to comply with in managing information.

Town Clerk's Office: The Town Clerk's Office manages the Records and Information Management Program. The Town Clerk is responsible for development of the appropriate level of rules and providing departments with the training and tools in order for employees to comply. This role may include assisting departments with compliance; establishing effective procedures for accessing, maintaining, protecting, storing, and destroying records and information; reviewing and revising the Retention Schedule; overseeing the filing system and the implementation of file plans and trusted system to allow for the storage of electronic records as the official record, and other Program specific tasks.

Town Attorney: The Town Attorney is consulted and expected to provide legal advice in the development and execution of the rules that are developed to manage records and information.

Information Technology Department: The Information Technology Department works closely with the Town Clerk to implement RIM program requirements in electronic systems and applications.

Department/Division Heads: The Department/Division Heads are responsible for the records and information in the Department/Division's custody. They are to maintain active and efficient systems to store and locate needed documents efficiently and effectively. Department/Division Heads are responsible for ensuring their employees understand the governance rules, attend training, and comply with requirements for their department.

Elected or Appointed Town Officials: All Town Officials, whether elected or appointed, are required to comply with Records and Information Management policies and procedures.

All Employees, Contractors, and Volunteers: All Town Employees, Contractors, and Volunteers are required to comply with Records and Information Management policies and procedures, ensure economical and efficient creation and maintenance of records, promote security of records and information, and create and store records in the most effective media format, appropriate for preservation.

Town of Truckee

Records and Information Management Program Manual

TOWN OF TRUCKEE RIM PROGRAM - RACI CHART

Program Elements	Define Governance Rules	Develop Procedures and Training	Implement Rules & Procedures	Define System of Record Governance	Implement Retention Requirements	Develop & Maintain Communications	Monitor Compliance & Identify Issues	Take Corrective Action
Position								
Executive Team (Directors)	A, R	I	A	A	I	C	I	A, R
Town Clerk	R	A, R	R, C	R	R, A	R, A	A, R	R, C
Town Attorney	C	C	I	I	R	I	I	I
Information Technology	C	R, C	R, C	R	C, R	C	I	C
Department/Division Heads	I	R	R	C	C, I	C	I	R
Employees	I	I	R	I	I	I	R	R
Contractors/Volunteers	I	I	R	I	I	I	R	I
Elected or Appointed Officials	I	I	R	I	I	I	R	R
Legend: R - Responsible A - Accountable C - Consult I - Informed								
Responsible: Those who do the work to achieve the task.								
Accountable (authority): The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those responsible. There must be only one specified for each task or deliverable.								
Consult: Those who are asked to provide feedback or input into the program element.								
Informed: Those who are kept up-to-date on progress and changes; and with whom there is just one-way communication.								

Chapter 3 – Information Ownership

OVERVIEW

Records and Information created or received in the course of or conduct of the Town's business are the exclusive property of the Town. Therefore, records and information are subject to the compliance requirements under the Records and Information Management Policy, the associated Retention Schedule and Town procedures.

RESPONSIBILITIES

To assure the appropriate responsibility the following requirements are to be met:

1. Because records and information are the property of the Town, employees, officials, contractors, and volunteers are to have no expectation of privacy for any record or information created in the course of performance of Town business or while accessing and using Town systems.
2. Records available to the public are to be provided through the appropriate request process under the California Public Records Act using the available tools and resources to submit to the Town Clerk's Office.

Chapter 4 – Classifying and Indexing Information

OVERVIEW

Records and information should be consistently filed in a system and indexed in a manner that anyone who has access to that information may find it easily. Consistency and standardization in filing system are critical to efficient Town operations and government. Filing systems are a means of classifying records and information and these classifications, when done in a standardized approach across an entire department, allow for the automation of rules and requirements.

Both paper and electronic records should be systematically filed within a department in accordance with the following criteria:

1. Use one filing system for the entire department, or for a division that does similar work and generates or uses the same information following standardized naming conventions.
2. A single filing system for all individuals who use the same information will allow for the application of standardized naming rules and conventions.
3. Folders, both paper and electronic, should have appropriate access requirements assigned. Confidential information and non-public information are to be protected from unauthorized access and disclosure.
4. In electronic recordkeeping systems, assign retention requirements at the highest level or primary folder and enable subfolders to inherit these requirements.

Adopting the above criteria when developing a filing structure will enable easy access by staff, consistency throughout the Town, and systematic monitoring to ensure proper and timely disposition. Contact the Town Clerk for any advice or assistance in developing a filing system for your department or division.

CHOOSING FILES TO MAINTAIN

Maintaining paper filing systems can be very costly as they require the purchase of filing supplies, adequate physical space, and staff time to establish, manage and retrieve/file materials. When determining which files to maintain consider the following:

- Is this a type of record listed on the Town's Retention Schedule (either the category or example record)? All types of records maintained by a department should be listed on the Retention Schedule.
- Does this record exist electronically in a system that is available to all department staff? Records that exist electronically should not be printed for the sole purpose of maintaining a paper copy.

Town of Truckee

Records and Information Management Program Manual

- Is my department the office of record? If another department is responsible for maintaining a record and complying with the Retention Schedule, your department may choose to keep a copy for a short time as a working file, but there is no need to retain duplicate files as official Town records. For example, the Office of the Town Clerk is the office of record for Town Council staff reports, resolutions, and ordinances. Departments do not need to keep copies of these documents as official records and can destroy the duplicates as Convenience Information.
- Please do not box up for storage any duplicate files or copies where your department is not the Office of Record.

Chapter 5 – Retention of Information

OVERVIEW

The Town has developed rules for how long records shall be retained. These rules comply with applicable state and federal requirements, meet Town business objectives, and are captured in a single document called a Records Retention Schedule.

The Records Retention Schedule is a list of all the types of records received or created by the Town. It consists of broad categories of records that represent a single function, whether it is performed by one department or by multiple departments.

The Records Retention Schedule is a rule governing how long Town records are to be retained. It is not optional nor are the designated retention periods minimums. To obtain a copy of the latest version of the Records Retention Schedule, contact the Town Clerk's Office.

HOW TO READ THE RETENTION SCHEDULE

The Retention Schedule has six columns:

- A. A record number
- B. The record category name and a brief description
- C. A list of typical record examples that are included in that category
- D. The department(s) or office(s) of record responsible for the official Town record
- E. The length of time each category should be retained
- F. The applicable legal citations for each category, along with any additional comments

A record category may apply to more than one department. Look for key words or document names that describe the records you work with. The Records Retention Schedule is an Excel document, so you can use the FILTER and SEARCH tools available in Excel to help.

If you are unsure about which category applies to your records, contact the Town Clerk.

REQUESTING CHANGES TO THE RECORDS RETENTION SCHEDULE

The Records Retention Schedule, because it is a governance document, must remain relevant in its requirements. Over time laws and/or business activities may change, and these changes can impact the retention requirements or needs for that information. Through a documented process, changes to the Records Retention Schedule can be requested, reviewed and appropriate action taken. If you have updates to any of the retention categories that apply to your department/division, please contact the Town Clerk's Office.

There are two types of changes:

- a. Administrative changes – changing the wording, adding examples, adding a new regulatory citation that does not impact retention, or modifying the Office of Records, and
- b. Legal changes – changing any retention period or adding/deleting record categories.

To Request a Change:

1. Identify the Retention Category to be changed or indicate that a new category is needed.
2. Detail the changes needed and the justification.
3. Submit to the Town Clerk
4. Town Clerk will confirm change and determine if the change affects any other department.
5. Town Clerk will review with the Town Attorney and either approve the change or explain to the requester why the change cannot be made.

Chapter 6 – Disposing of Obsolete Records

OVERVIEW

Periodically (at least annually) review your department's documents, files, personal drives and shared drives for hardcopy and electronic records with retention rules in the Records Retention Schedule to identify those that have passed their retention requirements.

Note: It is NOT okay to destroy the paper but hold onto an electronic version "just in case".

The procedures summarized below focus on the steps to take. For more detailed information, see the two Town Records and Information Management Procedures:

- Procedure for Destruction of Obsolete Hard Copy Records
- Procedure for Deletion of Electronic Records from ECM Solution

DESTRUCTION OF OBSOLETE HARD COPY RECORDS

1. Employees
 - 1.1. Periodically use the Records Retention Schedule to review their hard copy records and files for those that have met retention requirements.
 - 1.2. Create a listing of the types of obsolete hard copy records and date ranges eligible for destruction in accordance with the Records Retention Schedule.
 - 1.3. Collect and consolidate the department lists, ensure that all items on the eligibility list have passed retention, complete the Destruction Authorization Form, and send the consolidated list and the form to the Department Head for review and approval.
2. The Department Head reviews the obsolete records lists, noting any exceptions, approves the Destruction Authorization Form, and sends to the Town Clerk.
3. Town Clerk reviews the form and list(s) to confirm that the obsolete records are past their retention, and either:
 - 3.1. Approves the Destruction Authorization Form if in good order and forwards to the Town Attorney or
 - 3.2. Returns to the Department Head with questions or edits.

Town of Truckee

Records and Information Management Program Manual

4. Town Attorney reviews eligibility list(s) of to confirm there are no records on the eligible lists that are subject to a Legal Hold or pending litigation confirming eligibility for destruction, noting any exceptions, approves the form, and returns the documents back to the Town Clerk for final processing.
5. Town Clerk details exceptions, if any, and notifies the requesting Department.
 - 5.1. Responsible Department confirms any exceptions are removed from eligibility lists and reassigns a new destruction review date at least 12 months out.
 - 5.2. Upon approval, Town Clerk facilitates the destruction of the obsolete hard copy records.
6. Records of elected or appointed Officials
 - 6.1. In the normal course of Town operations, records of Officials and the legislative or advisory bodies on which they serve should be in the custody of the Town Clerk, who will periodically review for any that have met retention requirements and follow the procedure, detailed above, to obtain authorization for destruction.
 - 6.2. However, if Officials have Town hard copy records to which the Town Clerk does not have access, such records should be transferred to the custody of the Town Clerk to assure that proper controls, including destruction in accordance with Town procedures, can be administered.
7. For hard copy records that are destroyed on site at Town offices, use a method of destruction that is appropriate to the sensitivity of the information they contain:
 - 7.2. For hard copies containing sensitive or confidential information, use a cross-cut shredder.
 - 7.3. NEVER dispose of sensitive documents in open trash bins.
8. If you choose to have hard copy records destroyed by a vendor, be certain to use only NAID-certified vendors.
9. For storage media such as CDs, DVDs, magnetic tape, thumb drives, etc., used the services of a NAID-certified vendor. Do NOT dispose of storage media in open trash bins.

DELETION OF ELECTRONIC RECORDS FROM PERSONAL AND SHARED DRIVES

1. Employees
 - 1.1. Periodically use the Records Retention Schedule to review personal drives and shared drives for folders and documents that have met retention requirements.
 - 1.2. Create a listing of the types of electronic folders/documents and date ranges eligible for

deletion in accordance with the Records Retention Schedule.

- 1.3. Collect and consolidate the lists within a department, ensure that all items on the eligibility list have passed retention, complete the Destruction Authorization Form, and send the consolidated list and the form to the Department Head for review and approval.
2. The Department Head reviews the consolidated list, confirms eligibility for deletion noting any exceptions, approves the Destruction Authorization Form, and sends to the Town Clerk.
3. Town Clerk reviews the form and list(s) to confirm that the obsolete records are past their retention, and either
 - 3.1 Approves the Destruction Authorization Form if in good order and forwards to the Town Attorney or
 - 3.2 Returns to the Department Head with questions or edits.
4. The Town Attorney reviews eligibility list(s) to confirm there are no records that are subject to a Legal Hold or pending litigation by confirming eligibility for deletion, noting any exceptions, approves the form, and returns the Form and list back to Town Clerk for final processing.
 - 4.1. Town Clerk details exceptions, if any, and notifies the requesting Department.
 - 4.2. Upon approval notice from Town Clerk the Department removes identified exceptions from eligibility lists and deletes the eligible folder(s)/document(s).
5. Records of elected or appointed Officials
 - 5.1. In the normal course of Town operations, records of Officials and the legislative or advisory bodies on which they serve should be in the custody of the Town Clerk, who will periodically review for any that have met retention requirements and follow the procedure, detailed above, to obtain authorization for destruction.
 - 5.2. However, if Officials have Town records in a repository or on a device to which the Town Clerk does not have access, such records should be transferred to the custody of the Town Clerk to assure that proper controls, including destruction in accordance with Town procedures, can be administered.

Chapter 7 – Legal Holds and Litigation Support

LEGAL HOLDS SUSPEND DOCUMENT DESTRUCTION

A Legal Hold is a request by the Town Attorney, or by the Town Clerk on behalf of Legal Counsel, to preserve records, including documents and electronically stored information, that may relate to a pending or anticipated legal action involving the Town. A Legal Hold attempts to ensure that the records in question will be available for the discovery process prior to litigation. A Legal Hold may be issued in electronic or paper-based format. The Town must take reasonable steps to preserve records and information when it learns of pending or imminent litigation, or when litigation is reasonably anticipated. Legal Holds seek to prevent *spoliation of evidence*: the failure to produce relevant documents and information that pertain to the legal action, regardless of the reason. Spoliation can have negative impacts on the defense during legal actions.

NOTIFICATION OF LITIGATION OR POTENTIAL LITIGATION

Upon receiving notification of litigation or upon identifying that the reasonable potential for litigation exists, the Town Attorney will notify key department heads, the Town Clerk, and key individuals.

The Town Attorney will determine the relevant information to be preserved and will draft and issue a Legal Hold to all Department Heads, the Town Clerk, and key individuals. The Department Head will communicate the Legal Hold to appropriate Town personnel.

The list below provides an example of procedures and tasks which should be considered based upon the scope and impact of the litigation. Depending on the nature of the litigation, not all of the tasks will be required to be performed.

Litigation Support Checklist

- Identify the specific Department(s), Division, and/or individual that are the subject of the litigation or pending litigation.
- Determine the format(s) that relevant electronic records will be held in. Preference should be given to retaining records in the native format whenever possible.
- Identify who will maintain the required media format(s) for relevant electronic records
- In the case of hard copy records, determine whether the original or a copy is needed to satisfy the hold requirements. Keep information on the origin and locations of any original records so that they can be returned to the correct file after copying or the hold is released.
- Identify who will be responsible for locating and reviewing records to determine relevance and who will be responsible for holding relevant records and information.

Town of Truckee

Records and Information Management Program Manual

- The Town Attorney will be responsible for maintaining a distribution list of employees and departments involved or impacted by the litigation and who will be responsible for communicating updates or changes.
- Determine the date range for affected records and information
- Document and retain the steps taken as appropriate

Town staff will suspend destruction of relevant materials until the Legal Hold is released.

REMOVAL OF LEGAL HOLD

When the litigation has been concluded, or the threat of litigation has been resolved, the Town Attorney will create a memo to notify affected personnel that the Legal Hold has been removed. Released records will resume normal retention requirements.

Chapter 8 – Boxing Inactive Records for Storage

Hard copy records no longer required to support ongoing Town activities, but which must be retained in accordance with the Records Retention Schedule, may be boxed for storage.

1. Obtain approved storage boxes from the Town Clerk.
2. Pack one record category per box; pack the same types of files or documents together.
3. Make sure all files are facing the same direction.
4. Do not pack more than 25 lbs. in each box and make sure the box lid fits securely.
5. Create an index of the contents for each box:
 - a. Use a standard box index form, and
 - b. If files are all of the same type/category, you may summarize a range, such as *2015 Invoices, Jan. thru Mar.*, or *Zoning Request, 2016-01-0001 thru 2016-02-0025*.
6. Place a copy of the index for each box inside the box, laying it flat on top (so that it is clearly visible when the box is opened).
7. Write department ID on the narrow end of the box and, if the department chooses to assign its own internal box number, write it there, as well. Nothing else.

Chapter 9 – Protecting Information When Employees, Volunteers, Contractors, and Officials Leave

RECORDS OF EXITING EMPLOYEES, VOLUNTEERS, OR CONTRACTORS

When an employee, volunteer, or contractor leaves the employment of the Town, their immediate supervisor or manager is responsible for complying with the requirements of the Records and Information Management Program Policy and assuring that any information that the exiting employee, volunteer, or contractor had responsibility for is reassigned to active personnel and retained by the Town in compliance with the RIM Program Policy and the Town's Records Retention Schedule.

Records managed by employees, volunteers, or contractors who are leaving the Town should be transitioned before the individual leaves. When an employee, volunteer, or contractor leaves the Town, their supervisor should:

1. Work with IT to ensure ongoing access to messages in the person's email Inbox. The supervisor or manager is to monitor ongoing communications.
2. Transfer active information, whether electronic or hard copy, to another individual.
3. Properly index and retain Records in accordance with the Records Retention Schedule.

RECORDS OF EXITING OFFICIALS

When an official of the Town, whether elected or appointed, leaves the Town, the Town Clerk is responsible for coordinating with the official to comply with the requirements of the Records and Information Management Program Policy and assure that official information that the exiting official had responsibility for is retained by the Town in compliance with the Program Policy and the Town's Records Retention Schedule.

Records of officials, whether elected or appointed, who are leaving the Town should be transitioned before the official leaves. When an official leaves the Town:

1. Their records should be transferred to the Town Clerk.
2. The Town Clerk will take further action to review the records and either transition to another official or properly index and retain in accordance with the Records Retention Schedule.

Chapter 10 – Electronic Information

USING FILE PLANS TO ORGANIZE INFORMATION

Town information created, retained, or maintained in any digitized configuration or using any type of electronic technology, may be an electronic record that must be retained to comply with the requirements of the Town's Records Retention Schedule. Access, protection, and management of electronic information are easier when records and folders are organized within a group/department file plan, and the group or department has applied naming conventions to the folders and documents.

File Plans provide a single folder structure for a department, division, or record's series that is usable and understood by everyone in the group for records that should be shared and retained. Each department should have a basic File Plan that is used in their shared drives, email archive (e.g., PST) folders, and in any electronic system that serves as a repository for electronic documents.

For assistance with creating the structure for your group/department's File Plan structure, contact the Town Clerk. IT can assist in setting up this structure in the various systems used by your department.

Below are tips when moving documents and folders into the new structure:

- a. Move entire folders and subfolders
- b. Review folder names for relevance/understanding
- c. Use Year folders (i.e., 2013) where applicable (NOTE: This will also assist with applying retention rules to electronic documents.)
- d. Identify linked folders and databases -Linked folders cannot be moved without breaking the links
- e. Determine if additional metadata will be required for the documents and add the metadata

ELECTRONIC FILE NAMING CONVENTIONS

Standardizing the naming of documents and files within a department or division improves findability and access. It also minimizes the time employees take to locate a document and will reduce the duplication of documents because employees can find what they need. A few of the most common conventions are:

- Allowable special symbols in folder and document names are: Period '.', Underscore '_', Dash '-'
 - Only use personal names on Personnel files or Street Names
 - When including a date in the file name, use the format YYYYMMDD (i.e., 20210515 for May, 15, 2021); this ensures that sorting by date will always put files in chronological order
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Chapter 11 – Access to Public Records and Information

The Town understands and supports the public's need and, more importantly, their right, to access the records that are public whether they are created or received by the Town. The Town shall accept, review, and respond to public records requests received in accordance with the California Public Record Request Act (CPRA, California Government Code 6250), regardless of how they are submitted, from whom they are received, or the reason the request is submitted. The Town's policy is to facilitate an efficient and timely response to all requests for access to, or copies of, public records within reasonable limitations imposed by workload and pursuant to the CPRA.

The Town is obligated to respond to all requests within ten (10) calendar days of receipt of the request; although most requests can and should be fulfilled in less time. There is nothing in the CPRA that permits the Town to hold a response for ten (10) days when a record is readily accessible. It is important to note that "response" does not necessarily mean the production of records. For the purpose of a public record request, a response may be a letter advising the requestor either that responsive records are available for review, the Town does not have any records responsive to the request, or that the Town is invoking its right for a 14-day extension should unusual circumstances exist.

WHAT IS A PUBLIC RECORD?

A Public Record is any information relating to the conduct of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics (California Government Code 6252(e)). Records are not just printed or handwritten documents, they may be video recordings or electronic information in a software application. "Writing" means handwriting, typewriting, printing, photographing, photocopying, transmitting by electronic mail or facsimile, and every other means of recording upon any tangible thing, any form of communication or representation, including letters, words, pictures, sounds or symbols or any combination thereof, and any record thereby created, regardless of the manner in which the record has been stored. Examples of publicly disclosable records include:

- Agendas (Available on the Town's Website)
 - Minutes (Available on the Town's Website)
 - Contracts/Agreements
 - Reports to Council and Attachments
 - Resolutions (Available on the Town's Website)
 - Ordinances (Available on the Town's Website)
 - Salary Schedules
 - Surveys
 - Maps
-

WHAT IS NOT A PUBLIC RECORD?

Not all Town information is public or disclosable. Exemptions may include:

- Generally, drafts and notes not retained in the ordinary course of business
- Reports to Council that have not yet been released and distributed to the Town Council; they will be disclosed following distribution to Council Members
- Personal financial statements
- Privileged communication pertaining to claims by or against the Town
- Records relating to pending litigation to which the Town is a party
- Town Attorney correspondence which is subject to the attorney-client privilege or the attorney work-product doctrine
- Records containing private information about individuals (e.g., social services records, taxpayer information, medical information, etc.)
- Information collected in confidence
- Real estate appraisals, engineering or feasibility estimates made for or by the Town relative to the acquisition of property, until the property has been acquired
- Inactive, referendum and recall petitions
- Computer software and infrastructure
- Town water or sewer infrastructure diagrams
- Details about the security of the Town's critical infrastructure (e.g., water, electricity, computer networks)

PROCEDURE

All requests for Town public records are coordinated through the Town Clerk's office except for Police who process their own requests. Any department receiving a public records request can refer the requestor to the Town Clerk's Office or to the Town's website to submit their request. Requests may be in person, via email, in writing using the website, or by phone.

The Town Clerk will request documents from the department(s) and determine whether the Town Attorney should be contacted. The request will be forwarded to the department lead for follow-up, and the Town Clerk will ensure compliance. The Town Clerk is responsible for notifying the respective department regarding the ten-calendar day response requirement.

Upon receipt of the request, the Town Clerk may refer the request to the Town Attorney to recommend an appropriate response. The Town Attorney will provide advice on whether documents are exempt from public disclosure. The types of exempt documents include, but are not limited to, personnel records, medical records that constitute an unwarranted invasion of personal privacy, records pertaining to litigation, preliminary drafts, notes or inter-agency advisory opinions, recommendations and deliberations, records of complaints to or investigations conducted by any State or local policy agency, privileged attorney-client communications, initiative, referendum and recall petitions, or documents where the public interest in non-disclosure significantly outweighs the public interest in disclosing.

Any public records request that is related to active, pending, threatened or potential litigation against the Town will be handled by the Town Attorney's Office.

The Town Clerk will respond to the requestor and retain the request, all correspondence, and a complete record of what has been produced within the Town's public records request software.

Records subject to disclosure based upon a Public Records Act request, although otherwise eligible for disposal in accordance with the Records Retention Schedule, should not be deleted or destroyed until provided in response to the request.

DETERMINATION OF DISCLOSABLE vs. NON-DISCLOSABLE DOCUMENTS

If there is any question as to whether the record is a non-disclosable document, contact either the Town Clerk's office or the Town Attorney's office.

If the requested records contain **both disclosable and non-disclosable** information, the law requires that the Town provide "... any reasonably segregated portion ..." after deletion of the portions which are exempt by law. The non-disclosable information must be "redacted," which usually entails blacking out, whiting out, covering, or otherwise removing the non-disclosable information from the document.

If the request is for records that are **not disclosable**, based upon specific exemptions in Government Code Section 6254 et seq., or on the facts of the particular case, the public interest served by not releasing the record must clearly outweigh the public interest served by releasing it (the "balancing test"). The Town Clerk will notify the requester in writing.

Chapter 12 – Vital Information

VITAL DEFINITION

Vital Records are those records in any form or format, containing information essential to the Town to continue with its business-critical functions both during and after a disaster or emergency. Vital Records contain the necessary information during a disaster for emergency operations and to recreate the Town's legal and financial position, to preserve the decisions of the Town Council, and to protect the rights of the Town's employees.

Disasters include any sudden, calamitous events, whether natural or man-made, that result in the temporary inaccessibility, damage to or destruction of information whose loss would impact the Town's ability to provide critical business functions for a period of time.

Vital Criteria

Criteria used to determine if a record or information meets the definition or is critical to the Town's operations includes:

- Records or information that is needed for immediate emergency operations or to notify employees and the public
- Records or information necessary to recreate the Town's legal and financial position
- Records or information that demonstrate and preserve the Town's claims and rights
- Records or information that protects the payroll status of Town employee
- Information important to the Town's operations and that cannot be recreated, or where the cost to recreate the information would be prohibitive
- Records or information needed to provide public safety during the disaster or during recovery after the disaster
- Records or information that, if lost, would cause the Town irrecoverable financial loss

BACKUP AND PROTECTION OF ELECTRONIC INFORMATION

Electronic records and information should be protected so that, in the event of a disaster or business disruption, they can be recovered and found. Information Technology (IT) is responsible for establishing and maintaining the technology and processes to create backups of Town electronic data repositories on a routine schedule. These disaster recovery backups are exact copies of an operating system, including associated application and data, created for the sole purpose of recovering data in the event of a disaster and are not subject to the requirements of the Records Retention Schedule. Backups serve solely as a level of protection for electronic systems and the data that is stored on those systems.

Chapter 13 – Protection of Sensitive Information

Information created and/or received by the Town has a sensitivity class. Each document can be classified as either Restricted/Confidential – meaning only designated employees have the right to access and use the information – or Public/Disclosable. Each sensitivity class has requirements for protection and restrictions for access and distribution. The table below, “Town Sensitivity Information Protection Guidelines”, defines the requirements for protecting and managing these sensitivity classes of information.

City Sensitivity Information Protection Guidelines		
Label	Restricted/Confidential	Public/Disclosable
Definition	Misuse of this Information could result in damage or compromise the City. Information Should Be Secured.	Information has been approved and published or may be disclosed publicly.
Impact of Inappropriate Disclosure	Inappropriate disclosure could harm the City. Disclosure of personal information would violate Privacy regulations.	None, this information has already been disclosed to the public or is available upon request.
General Guidelines	<ul style="list-style-type: none"> ◆ Always label whenever possible ◆ Distribute on a “Need To Know” basis only ◆ Use ids and passwords to control access to electronic files ◆ Protect information from disclosure <ul style="list-style-type: none"> ✓ Store in locked files ✓ Encrypt if transmitting electronically ✓ Don't leave in public places ✓ Use caution when discussing in public places ✓ Be discreet when using cell phones 	<ul style="list-style-type: none"> ◆ Optional but recommended: identify City information that has been explicitly disclosed in a public forum. ◆ Remember, information published in journals, magazines, and newspapers may be subject to the publisher's copyright.
Disposal	<ul style="list-style-type: none"> ◆ Paper: Use locked waste bins to dispose, or shred with cross-cut shredder ◆ Non-Paper media: Physically destroy ◆ Electronic records: Delete; additional action may be required 	No additional requirements.
Examples	<ul style="list-style-type: none"> ◆ Employee medical or health records ◆ Employees' personal data ◆ Internal audit reports ◆ Settlement Agreements 	<ul style="list-style-type: none"> ◆ Legislative decision information such as Council agendas, minutes and meeting packets ◆ Information posted to the City's website or social media sites ◆ Annual Reports ◆ Press releases (after publication) ◆ City department schedules and events
Transmitting		
Fax	Send using encrypted line	No restrictions
Mail (internal)	Distribute on a “Need To Know” basis only	No restrictions
Mail (external)	Send via courier, so the package can be tracked	No restrictions
Email (internal)	Distribute on a “Need To Know” basis only	No restrictions
Email (external)	Encrypt before sending	No restrictions
Social Media	Do not share on social media	Yes, in accordance with City policies

Chapter 14 - Historical Information

HISTORICAL DEFINITION

Historical artifacts, documents, events, memorabilia, and collections, as noted on the Records Retention Schedule, are valuable in documenting the Town's history and providing information for researchers. Less than 10 percent of the Town's records usually qualify as "historical." Historical Records are to be permanently preserved so as to assure their ongoing availability and access.

The Town's historical documents are to be sent to the Town Clerk for preservation and safekeeping. Do not use scotch tape, metal paper clips, rubber bands or place historical papers near newsprint (newsprint is very acidic and will discolor and eventually destroy any paper it touches). Whenever possible, use acid-free papers (pH between 7.0 and 9.5), folders and boxes. Lay archival boxes flat on shelves.

Appendices

Appendix A – Records Retention Schedule

Appendix B – Destruction Authorization Form for Hard Copies Documents

Appendix C – Destruction Authorization Form for Electronic Documents

Appendix D – Glossary of Terms

APPENDIX A
Records Retention Schedule

The Retention Schedule is a separate document that can be found

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APPENDIX B

RECORDS DESTRUCTION AUTHORIZATION FORM FOR HARD COPY RECORDS

I hereby request destruction of the records identified on the list, attached hereto as Exhibit "A." The records identified on Exhibit "A" will be referred to as "Obsolete Records." I have reviewed the list of Obsolete Records and hereby certify that the Obsolete Records are eligible for destruction or deletion in accordance with the Town's Retention Schedule.

Department Head

Date

I hereby certify that I have reviewed the list of Obsolete Records (attached as Exhibit "A"), and, to my knowledge, the list of Obsolete Records does not include any records that the Town is required to retain in accordance with the Retention Schedule or any Legal Holds.

Subject to receipt of consent by the Town Attorney, I hereby consent to destruction or deletion of the Obsolete Records.

Town Clerk

Date

I hereby certify that I have reviewed the list of Obsolete Records (attached as Exhibit "A"), and, to my knowledge, the list of Obsolete Records does not identify any records that the Town is required to retain in accordance with the Retention Schedule or any Legal Holds.

I hereby consent to destruction or deletion of the Obsolete Records.

Town Attorney

Date

APPENDIX C

RECORDS DELETION AUTHORIZATION FORM FOR OBSOLETE ELECTRONIC RECORDS

I hereby request destruction of the records identified on the list, attached hereto as Exhibit "A." The records identified on Exhibit "A" will be referred to as "Obsolete Electronic Records." I have reviewed the list of Obsolete Electronic Records and hereby certify that the Obsolete Records are eligible for destruction or deletion in accordance with the Town's Retention Schedule.

Department Head

Date

I hereby certify that I have reviewed the list of Obsolete Electronic Records (attached as Exhibit "A"), and to my knowledge, the list of Obsolete Electronic Records does not include any records that the Town is required to retain in accordance with the Retention Schedule or any Legal Holds.

Subject to receipt of consent by the Town Attorney, I hereby consent to destruction or deletion of the Obsolete Electronic Records.

Town Clerk

Date

I hereby certify that I have reviewed the list of Obsolete Electronic Records (attached as Exhibit "A"), and, to my knowledge, the list of Obsolete Electronic Records does not identify any records that the Town is required to retain in accordance with the Retention Schedule or any Legal Holds.

I hereby consent to destruction or deletion of the Obsolete Electronic Records.

Town Attorney

Date

APPENDIX D
Glossary of Terms

The full Glossary of Terms is a separate document and can be found

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RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

RIM Program Glossary

Created: 2021

Revised:

This Records and Information Management (RIM) Program Glossary provides a comprehensive and standardized list of terms and acronyms along with their definitions that are used by the Town. This Glossary is designed to eliminate the need to include terms and definitions within the body of the Policies or Procedures by allowing the Town to include the site link to this Glossary. This Glossary provides a standard lexicon consistent with industry standards (ARMA, ANSI, ISO, ILTA, and Sedona).

Term	Definition	Reference
Access	The right, opportunity, or means of finding, using, or retrieving information.	ARMA/ANSI
Active Records	A record needed to perform current operations, subject to frequent use, and usually located near the user.	ARMA/ANSI
ANSI	American National Standards Institute, a non-profit organization that administers and coordinates the U.S. voluntary standardization and conformity assessment system.	ARMA/ANSI
Application	A collection of one or more related software programs that enable an end-user to enter, store, view, modify, or extract information from files or databases. The term is commonly used in place of "program" or "software."	Sedona
Architecture	The hardware, software or combination of hardware and software comprising of a computer system or network.	Sedona
Archival Data	Records and information retained for long-term storage and record keeping purposes, but which is not immediately accessible. Archival data is removed from active production systems and may be written to removable media or may be maintained on a system component or in the cloud.	Kaizen
Archive	A designated location where records and information that are required to be retained or preserved for extended periods of time are stored. An archive is a separate location from production systems used for any ongoing business activity.	ARMA/ANSI
ARMA	Association of Records Managers and Administrators	ARMA

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Audit	<p>An independent review and examination of records and activities to test for compliance with established policies or standards, often with recommendations for changes in controls or procedures.</p> <p>To conduct an independent review and examination of system records and activities in order to test the adequacy and effectiveness of the records and information management procedures, to ensure compliance with established policy and operational procedures, and to recommend any necessary changes.</p>	ARMA/ANSI
Backup	A copy of electronic information created as a precaution in case the original is lost or destroyed.	ARMA/ANSI
Backup Data	An exact copy of electronically stored information (ESI) that serves as a source for recovery in the event of a system problem or disaster. Backup Data is generally stored separately from active data on portable media. Backup Data is distinct from Archives. See "Disaster Recovery Backup Tapes."	Sedona
Change Request	A formal request for a change to be made to RIM Program documents. The Change Request, which documents the justification and details of the change, is submitted to the Town Clerk.	Town
Classification	The systematic identification and arrangement of records into categories according to logically structured conventions, methods, and procedural rules. Also known as indexing.	ARMA/ANSI
Confidentiality/Sensitivity	A classification of records that contain information, the disclosure of which would harm the privacy of individuals or the security of the Town.	ARMA/ANSI
Control	A means of managing risk or ensuring that a business objective is achieved. Examples of Controls include Policies, Procedures, roles, passwords, signature authorization, etc.	Town

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Convenience Information	Not all information or data is a record. Some information is collected or created to complete a task or to enable creation of a record, but the Town is not obligated by law to retain it. This type of information is classified as a non-record or Convenience Information. Convenience Information has no retention requirements.	Town
Custodian	A person having control of a network, computer or specific records or files.	Sedona
Data	Any information stored on a computer. All software is divided into two general categories: data and programs. Programs are collections of instructions for manipulating the data.	Sedona
Data Formats	The organization of information for display, storage and printing. Data is sometimes maintained in certain common formats so that it can be used by various programs, which may only work with data in a particular format.	Sedona
Database	A set of data elements consisting of at least one file, or of a group of integrated files, usually stored in one location and made available to several users. Computer databases typically contain aggregations of data records or files.	Sedona
Deleted Data	Data that existed on the computer as live data and which have been deleted by the computer system or end-user activity. Deleted data may remain on storage media in whole or in part until they are overwritten or "wiped." "Soft deletions" are data marked as deleted but still not overwritten.	Sedona
Deleted File	A file with disc space that has been designated as unavailable for reuse; the deleted file remains intact until it is overwritten.	Sedona
Deletion	The process whereby data is removed from active files and other data storage structures on computers and rendered inaccessible except through the use of special data recovery tools designed to recover deleted data.	ARMA/ANSI
Desktop	Refers to the working area of the display on an individual personal computer.	Sedona

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Destruction	The definitive obliteration of records or information beyond any possible reconstitution.	ARMA/ANSI
Directory	A simulated file folder or container used to organize files and directories in a hierarchical or tree-like structure.	Sedona
Disaster Recovery Plan	A plan to restore a system after a catastrophic loss.	Town
Disaster Recovery Backup	Process and/or media used to store copies of ESI for use when restoration or recovery is required. ESI on backup tape is generally recorded and stored sequentially, rather than randomly.	Sedona
Discovery	The process of identifying, locating, securing, and producing information and materials for the purpose of obtaining evidence for utilization in the legal process. It is also used to describe the process of reviewing all materials that may be potentially relevant.	Sedona
Disposition	A final administrative action taken with regard to records, including destruction, transfer to another entity, or permanent preservation.	Sedona
Distributed Data	Distributed data includes data held by third parties such as application service providers and business partners.	Sedona
Document	Any recorded or stored information in whatever format or type. This includes both physical and electronic formats such as, but not limited to, paper documents; forms; reports; manuals; correspondence; notes; computer files such as spreadsheets, databases, word-processed documents, email messages, web-based content, and any electronic communications; and media, such as videotape, audiotape, microfilm or photographs in any format.	Town
Draft Records	A preliminary version of a record before it has been completed, finalized, accepted, validated or filed. Such records include working files and notes.	Sedona

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Electronic Content Management System (ECM)	A system consisting of software, hardware, policies and processes to automate the preparation, organization, tracking and distribution of electronic documents.	ARMA/ANSI
Electronic Communication	Electronic Communication is a document created or received via an electronic message system, including any attachments that may be transmitted with the message, along with its descriptive transmission metadata.	Town
Electronic Message System	Electronic Message System is one or more computer networks, hardware, and software applications used to create, receive, and transmit messages and other documents electronically.	Town
Electronic Record	Any Record stored on or by a machine or electronic device or containing machine-sensible or machine-readable information.	Town
Email	The transmission of messages, their metadata, and possible attachments over communication networks.	ARMA/ANSI
ESI	Electronically Stored Information	Sedona
Event-Based Disposition	A concept wherein once a registered event occurs, the disposition schedule starts.	ARMA/ANSI
File	A group of documents in any format or media related by subject, activity or transaction, often handled as a unit.	ARMA/ANSI
File Plan	A classification scheme describing different types of files maintained in an office or within an ECM system, how they are identified, where they should be stored, how they should be indexed for retrieval, and a reference to the approved disposition for each file.	ARMA/ANSI
File Server	When several or many computers are networked together in a LAN situation, one computer may be utilized as a storage location for files for the group.	Sedona

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Filename	The name given to a group or series of related documents contained in a file folder. A specific electronic document or record name.	ARMA/ANSI
Filing System	The systematic indexing and arrangement of records based on established procedures.	ARMA/ANSI
Forensics	The scientific examination and analysis of data held on or retrieved from ESI in such a way that the information can be used as evidence in a court of law.	Sedona
Format (noun)	The internal structure of a file, which defines the way it is stored and used.	Sedona
Format (verb)	To make a drive ready for first use.	Sedona
Hard Drive	The primary storage unit on PCs, consisting of one or more magnetic media platters on which digital data can be written and erased magnetically.	Sedona
Historical Records	Records and/or information that possess a value in documenting the history of the organization and are thus worthy of permanent preservation.	ARMA/ANSI
Inactive Record	Any Record related to closed, completed, or concluded activities. Inactive Records are no longer routinely referenced but must be retained in order to fulfill legal or retention requirements.	Town
Indexing	The act of specifying the predetermined metadata such as topic, name, number or caption under which a document is to be filed.	ARMA/ANSI
Information	Data that has been given value through analysis, interpretation, or compilation in a meaningful form.	ARMA/ANSI

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Information Classification	<p>(ARMA) A logical and systematic arrangement for indexing records and information into subject groups or categories based on some defined scheme of natural relationships for identification and protection.</p> <p>(Sedona) The logical structures and software routines used to control access to records and information as well as the overall structure in which the files are named, stored, and organized.</p>	ARMA/Sedona
Instant Messaging (IM)	An electronic messaging system that allows users to determine whether a certain party or parties are connected to the messaging system and allows them to exchange text messages with those parties in real time.	Town
Internet	A worldwide network of networks that all use the TCP/IP communications protocol and share a common address space.	Sedona
Intranet	A private network that uses Internet-related technologies to provide services within an organization or defined infrastructure.	Sedona
ISO	International Organization for Standards. A worldwide federation of national standards bodies. The Records Management standard is ISO 15489.	Sedona
Legacy Data	Legacy Data is ESI in which an organization may have invested significant resources but has been created or stored by the use of software and/or hardware that has become obsolete or replaced.	Sedona
Legal Hold	(a/k/a "Litigation Hold") An obligation statement the <i>Town</i> uses to preserve forms of relevant information as result of current or anticipated litigation, audit, governmental investigation, or other such matters.	Sedona
Legal Hold Notice	A communication issued by the Town's legal counsel as a result of current or anticipated litigation, audit, governmental investigation or other such matter that directs impacted <i>Town Personnel</i> to preserve any <i>Documents</i> that may be relevant to the matter.	Sedona

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Lifecycle	The distinct phases of a record or information's existence, from creation to final disposition.	ARMA/ANSI
Mailbox	An area on a storage device where email is placed.	ARMA/ANSI
Media (Medium)	A general term referring to the material onto which information has been recorded and may subsequently be used.	ARMA/ANSI
Metadata	Data that is typically stored electronically that describes characteristics of electronic information, found in different places in different forms. Metadata can be supplied by the application, users, or the file system. Metadata can describe now, when and by whom information was collected, created, accessed, modified and how it is formatted. It can be altered intentionally or inadvertently.	Sedona
Microforms	A generic term for all media containing micro-images, such as microfilm or microfiche.	ARMA/ANSI
Multimedia	A combined use of different media; integrated video, audio, text, and graphics in digital form.	ARMA/ANSI
Native Format	The associated file structure of electronic documents defined by the original creating application. The file structure is referred to as the "native format" of the document.	Sedona
Network	A group of two or more computers or other connected devices for the exchange and sharing of ESI resources.	Sedona
Off-Line Data	The storage of ESI outside of the network system in daily use that is only accessible through the off-line storage system, not the network.	Sedona

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Offsite Storage	A potentially secure location, remote from the primary location, at which inactive or vital records and information are stored.	ARMA/ANSI
Onsite Storage	Storage of records and information on the premises of the organization.	ARMA/ANSI
Operating System	Software that directly controls the operations of the computer.	ARMA/ANSI
Outsourcing	The process of contracting out certain activities of the organization.	ARMA/ANSI
Policy	A high-level rule, containing a set of principles, embracing the general goals of the organization, used to base decisions.	ARMA/ANSI
Preservation (Operations)	Process and work involved in ensuring the technical and intellectual survival of authentic records through time.	ARMA/ANSI
Preservation (Discovery)	The process of ensuring retention and protection from destruction or deletion of all potentially relevant evidence, including electronic metadata.	Sedona
Record	Records are either defined specifically in applicable statutes, Municipal Code, Town business practices, or, in the absence of specific practices, a record is the document or information generated as the final output of a business process or business decision.	Kaizen
Record Owner	The subject matter expert on the contents of the record and is responsible for the lifecycle management of the record.	ARMA/ANSI
Records and Information Management	The field of Records and Information Management is responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing, and maintaining evidence of and information about business activities an organization.	ARMA/ANSI
Records Management Program	A comprehensive strategy and plan with a set of requirements for the systematic control of the creation, use, maintenance and disposition of records and information regardless of media.	Sedona

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Records Manager	The person responsible for the implementation of a records management program in keeping with policies and procedures that govern the program, including the identification, classification, handling and disposition of the organization's records and information.	Sedona
Records Retention Schedule	A comprehensive list of Records, indicating for each the length of time each Record is to be maintained.	ARMA/ANSI
Records Series	A group of related records and information filed/used together as a unit and evaluated as a unit for retention purposes.	ARMA/ANSI
Reference File	A file containing non-record copies of documents that is maintained for informational purposes.	ARMA/ANSI
Remote Access	The ability to access and use digital information from a location off-site from where the information is physically located.	Sedona
Restoration	The process of rehabilitating a document or file to return it as nearly as possible to its original condition or returning data to an on-line system for the purpose of recovery from a problem, failure, or disaster or to restore for the purpose of processing (such as query, analysis, extraction, or disposition of the data).	ARMA/ANSI and Sedona
Restricted Access	A limitation on access to records and information of a specific type imposed by general or specific requirements.	ARMA/ANSI
Retention Period	The length of time a record or information is to be kept meeting administrative, fiscal, legal or historical requirements.	ARMA/ANSI
Retire	Withdraw an Application, IT service, etc. from use in the live environment. Also known as Decommissioning.	Town
Retirement	(1) Removal of a system or component from its operational environment. Removal of support from an operational system or component.	Town

RECORDS MANAGEMENT PROGRAM

GLOSSARY OF TERMS

Term	Definition	Reference
Social Media	Social Media – websites and similar applications that enable users to create and share content or to participate in social networking.	Town
Spoliation	The destruction/deletion of records or properties, such as metadata, that may be relevant to ongoing or anticipated litigation, government investigation or audit.	Sedona
Standard Operating Procedures	Written procedures prescribing and describing the steps to be taken in normal and defined conditions which are necessary to assure control of production and processes.	Town
Statute of Limitation	A period of time within which legal action may be taken.	ARMA/ANSI
Structured Data	Data stored in a structured format, such as databases or data sets.	Sedona
System	A system is: (1) a collection of people, machines, and methods organized to perform specific functions; (2) an integrated whole composed of diverse, interacting, specialized structures and sub-functions; and/or (3) a group of sub-systems united by some interaction or interdependence, performing many duties, but functioning as a single unit.	Sedona
Taxonomy	A structure used for classifying materials into a hierarchy of categories and subcategories.	ARMA/ANSI
Template	A Template is a structure or framework for a document. It can be guidance or required.	Town
Temporary File	A record of short-term value that can be destroyed immediately or after a specified time period.	ARMA/ANSI
Text Message	Electronic messages sent via devices such as mobile phones that are transmitted via a commercial service provider.	Town

RECORDS MANAGEMENT PROGRAM GLOSSARY OF TERMS

Term	Definition	Reference
Thread	A Thread is an electronic conversation of at least one response on a similar subject; the conversation can be broken or continuous in nature.	Town
Trigger Events	Activities that once they occur initiate the start of the retention period identified in the Records Retention Schedule.	Town
Unstructured Data	Masses of data which either do not have a data structure or have a data structure not easily readable by machine.	Sedona
Vital Record	Any <i>Record</i> that is fundamental to the functioning of an organization and necessary to continue operations without delay under abnormal conditions.	Town
Web-based Communications	<p>Any transfer/storage or information via the internet. These include, but are not limited to, wikis, blogs, social networking sites, or personal web-based email sites.</p> <p>Reference to email or web-based communication includes not only the message but also any attachments.</p>	Town