

This chapter describes the state's Records Management Program, statutory requirements, and services.

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## SAM—RECORDS MANAGEMENT

### **PROGRAM PURPOSE**

**1600**

(Renumbered from 1602 and Revised 3/96)

The State of California Records Management Program (RMP) was established to apply efficient and economical methods to create, use, maintain, retain, preserve, and dispose of state records, including those on electronic media. Required procedures and processes and other useful information are contained in supplemental state records management handbooks, guidelines and factsheets made available to ensure the statutory requirements and objectives of the state's RMP are met.

### **STATUTORY AUTHORITY**

**1602**

(Revised 09/02)

The State of California Records Management Program. The State Records Management Act contained in Government Code Sections 14740-14774 requires the Director of the Department of General Services (DGS) to:

"Establish and administer, in the executive branch of government, a records management program which will apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposal of state records."

The Director of DGS has assigned the development and implementation of the state's RMP to the Procurement Division, California Records and Information Management (CalRIM). The program covers the complete life cycle of the recording of state business.

Agency Records Management Program. Government Code 14750 requires the head of each state agency to establish and maintain an active, continuing program for the economical and efficient management of the records and information practices of the agency.

Disposal of Records. Government Code 14755(a) requires that no record shall be destroyed or otherwise disposed of by any agency of the state, unless it is determined by the Director of DGS, that the record has no further administrative, legal, or fiscal value and the Secretary of State has determined that the record is inappropriate for the preservation in the state archives.

Government Code 14755(b) requires the Director of DGS, shall not authorize the destruction of any record subject to audit until the Director has determined that the audit has been performed.

See Government Code Section 11126.1 regarding Public Records.

### **AGENCY RESPONSIBILITIES**

**1611**

(Revised 12/00)

Although not all inclusive, some of the more pertinent responsibilities are:

1. Send all reports to CalRIM. These include, but are not limited to, the "Annual Progress Report on Records Management."
2. Dispose of, or recycle obsolete records in accordance with approved and current Records Retention Schedules.
3. Transfer the custody of records appropriately when a program or function is discontinued.

### **ROLE OF THE AUDIT SECTION, DGS**

**1614**

(Revised 12/00)

The Audit Section of DGS conducts periodic audits of state agencies' records management practices. These audit reports are provided, with recommendations, to the agency and to CalRIM.

## **SAM—RECORDS MANAGEMENT**

### **INTEGRATED DOCUMENT MANAGEMENT (IDM) 1650** (Revised 09/02)

CalRIM has an Integrated Document Management function (formerly known as Imaging). Agencies considering use of microforms, optical disks, electronic document/records management, or workflow systems, should obtain assistance from CalRIM. CalRIM has published a "State Micrographics Manual" that has important information needed to justify and manage the use of microform. CalRIM has also published an Electronic Records Management Handbook and Specifications for Records Management Software: both of them are available on the CalRIM website: <http://www.pd.dgs.ca.gov/calrim/default.htm>

### **REQUESTS FOR MICROFILMING 1653** (Revised 09/02)

If an agency is planning on asking another agency to do imaging (including microfilm) work for it, approval is required by the agency's Records Management Analyst and/or Manager and CalRIM before the work can begin.

### **VAULT STORAGE 1654** (Revised 09/02)

The State Records Center will store microfilm, CD's, or other media for state agencies in a climate controlled vital records protection vault. If any agency needs to store microfilm records longer than 10 years, silver halide film must be used. Records to be kept fewer than 10 years may be on diazo, vesicular, or dry silver film. Do not store silver film with any other type of film. After microfilm has been stored in the vault for over two years, agencies should inspect it annually. Other media should be inspected and migrated as necessary. Contact the State Records Center for procedures on how to transfer, store, inspect, or retrieve records from the vault.

### **FILING EQUIPMENT 1661** (Revised 3/96)

Vertical Shelf Files, Office Type (Open Shelf). Vertical shelf filing is the most efficient type and is the state's standard. Records are stored on shelves in rows, instead of in drawers. When planning files, determine if it is feasible and economical to replace current files with shelf files.

### **RECORDS RETENTION SCHEDULE PROGRAM 1665** (Revised 3/96)

Each agency must establish a Records Retention Schedule Program consistent with state and agency statutory requirements. The Records Retention Handbook and Addendum, thereto, implements statutory requirements and supplements information in SAM 1600. The Handbook covers specific procedures and areas necessary to ensure that all records produced, maintained, or disposed of by the agency are properly and timely acted upon.

### **RECORDS INVENTORY 1666** (Revised 3/96)

Each agency must inventory its records at least once every five years using Records Inventory Worksheet form, STD. 70. See the Records Retention Handbook for specific guidelines on how to prepare and conduct the inventory.

## SAM—RECORDS MANAGEMENT

### RECORDS APPRAISAL AND SCHEDULING

1667

(Revised 09/02)

Federal Programs. If an agency is involved in a federal program, it must also follow any federal rules and guidelines when reviewing, appraising, or scheduling records.

Significant California Government and Civil Codes that affect records:

1. The Information Practices Act of 1977, beginning at Civil Code Section 1798, places specific requirements on state agencies when they collect, use, maintain, and disseminate information about individuals. This Act also comes into play when determining retention periods and disposal methods. In particular, consider the following sections of the Act:
  - a. Civil Code Section 1798.14. This section requires agencies to maintain information about individuals in terms of relevance and necessity.
  - b. Civil Code Section 1798.24. This section sets conditions under which information about individuals can be disclosed to third parties.
2. The California Public Records Act, Government Code 6250 details what information is available to the public and what is not, public records open to inspection, response time guidelines, and regulations governing procedure.

Recommended Retention Periods. CalRIM provides recommended retention periods for Records Management, Personnel and Payroll, Delegated Testing, Fiscal, Information Technology, and Administrative records that are common to most offices. Use them when setting up your Records Retention Schedules form, STD 73. For the recommended retention periods, visit the section “Recommended General Records Retention” on the CalRIM Website at: <http://www.pd.dgs.ca.gov/calrim/default.htm> .

### APPROVING THE RECORDS RETENTION SCHEDULE

(Revised 09/02)

1671

Approval is by CalRIM, with subsequent review by the State Archives and Museum. Agencies can dispose of records according to the schedule without having to secure additional approval from DGS. No further approval from CalRIM is required for five years or until an agency makes changes to its schedule, whichever occurs first. Reviewing and approval authority, and amending records retention schedules procedures are further outlined in the Records Retention Handbook.

### UPDATING AND AMENDING THE RECORDS RETENTION SCHEDULE

(Revised 09/02)

1672

Update retention schedules always when changes impact keeping or disposing of agency records. Records retention schedules must be revised and updated at least once every five years after the required inventory and appraisal process.

To amend or delete items from records retention schedules, follow the procedures reflected in the Records Retention Handbook and Addendum. Amendments made during the five-year retention schedule cycle are not classified as revisions.

## SAM—RECORDS MANAGEMENT

### RECORDS STORAGE

1680

(Revised 12/00)

State Records Center (SRC) Services. SRC can provide yearly savings to agencies that deposit inactive records as an extension of their files. Refer to the Records Retention Handbook for further guidance and information. Send inactive records as listed on the approved records retention schedule to SRC.

The **SHIPPING** address for sending records to the SRC is:

The **MAILING** address for correspondence, requests, refiles, etc. is:

3240 Industrial Boulevard  
West Sacramento, CA 95691

1501 Cebrian Street  
West Sacramento, CA 95691

Departmental Record Storage Facilities. Agencies may not establish and/or create new places to store their records unless written approval by CalRIM is first obtained.

### RECORDS OF A DISBANDED FUNCTION OR PROGRAM

1687

(Revised 12/00)

When a program or function ends, the agency must transfer the custody of the program's records. Normally the custody is transferred to another group within the department, board, commission, or council. The agency must also send a copy of a revised records retention schedule to CalRIM. This will notify CalRIM that records have been transferred.

If an entire organization within one of the agencies is abolished, custody of the records must be reassigned by the Agency Secretary. Send a notice of the transfer of custody to CalRIM. The notice must be signed by staff that represents both the transferring and the receiving organizations. It must include the name, title, address, and telephone number of the person who will be responsible for making decisions about the records. When the records are sent to the new organization, they must be accompanied by the revised records retention schedules, transfer lists, and any other documentation dealing with the management of the records being transferred.

When an entire organization is abolished by legislation, custody for the records should be assigned in the "sunset" legislation.

When an abolished program is not part of a larger department or Agency and no plan for the records was made in the "sunset" legislation, call CalRIM for help. The Director of DGS will assign responsibility through CalRIM.

### DESTRUCTION OF CONFIDENTIAL RECORDS

1693

(Revised 09/02)

Agencies must send a State employee to witness confidential destruction when using the services of private contractors.

In Sacramento, State Destruction Center staff will be used to witness the destruction of confidential records. If an agency needs to destroy accountable forms, arrangements must be made with the State Destruction Center to ensure witnessing by appropriate agency personnel.

**RECORDS MANAGEMENT INFORMATION, POINT OF CONTACT & ADDRESS**

**1695**

(Revised 06/06)

Available Records Management Guidance and Assistance. CalRIM has written helpful records management program guidelines, factsheets, and/or handbooks to assist agencies to administer their program. Copies may be obtained from the agency's Records Management Analyst and/or Manager or from CalRIM. They include rules, procedures, and sample forms. They are:

- |                                                                                                                       |                                                               |
|-----------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|
| 1. Records Retention Handbook                                                                                         | 7. Vital Records Protection and Disaster Recovery             |
| 2. Records Retention Schedule Guidelines                                                                              | 8. Electronic Records Management Handbook                     |
| 3. Filing Equipment Handbook                                                                                          | 9. The State of California Records Retention Schedule Program |
| 4. Perpetual Retention Type Records                                                                                   | 10. Guidelines for Good Records Management Filekeeping        |
| 5. Guidelines for Conducting a “Preliminary File Purge” of Paper Records                                              | 11. Guidelines for Filing System Improvement and Development  |
| 6. Guidelines to prepare STD. 73, Records Retention Schedule and STD. 72, Records Retention Schedule Approval Request | 12. The California Records Management Program                 |
|                                                                                                                       | 13. Records Management Reference Binder                       |

The following are contacts for additional assistance in the areas of Records and Integrated Document Management information or literature.

Jack Fort	Senior Records Management Consultant	(916) 322-1727
Ramona Gutierrez	Records Management Consultant	(916) 322-1728
Javier Sanchez	Records Management Consultant	(916) 322-1729
Roman Zeltvay	State Records Center Manager	(916) 375-7427

You may also contact CalRIM through email at [CalRIM@dgs.ca.gov](mailto:CalRIM@dgs.ca.gov), or visit the CalRIM Website at: <http://www.osp.dgs.ca.gov/calrim/default.htm>. Or write directly to:

**Department of General Services  
California Records and Information Management  
344 North 7<sup>th</sup> Street  
Sacramento, California 95814**