

California Records and Information Management Manual

A. PURPOSE:

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.” This manual will provide basic guidelines to comply with the Code.

The Director of DGS assigned the development and coordination of the statewide records management program to the Procurement Division’s California Records and Information Management (CalRIM) Program. The CalRIM program covers the life cycle of the recording of state business. Each agency must manage its own records program. However, CalRIM establishes overall record management policies, procedures, and standards for the following:

1. Creating Records. Suggestions are offered on “Official Minutes”, specifications for paper, fonts, for recycling or imaging, etc.
2. Using Records. Filing systems, micrographic systems, optical disk systems, paperwork flow, and operation of records centers.
3. Keeping and Managing Records. Inventorying, appraising, developing retention schedules, and storing.
4. Records Disposal. Confidential destruction and authority to dispose of records.

B. DEFINITIONS: See Glossary Section for definitions (Appendix 1). Any definitions included here are for purposes of this procedure only.

C. PROCEDURES:

1. RECORDS MANAGEMENT PROGRAM
 - a. Records Retention and Disposition
 - 1.) Up-to-date retention schedules assist agencies in running a cost effective and efficient records management program. Up-to-date schedules:
 - a.) Provide the legal basis for departments to retain, transfer and destroy records.
 - b.) Serve as a training aid for newly assigned records coordinators.
 - c.) Enable the Secretary of State’s Office of State Archives to identify historically significant records.
 - d.) Assists the State Records Center in growth planning and vital records protection.
 - e.) Describes the mission of the agency and identifies the records created to conduct its mission.
 - 2.) Agencies must amend retention schedules when changes occur that impact keeping or disposing of records. Schedules must be revised at least once every five years after the required inventory and appraisal process.
 - 3.) CalRIM has written helpful records program guides. You may get a copy of these guides from each agency’s Records Management Analyst. The guides include rules and sample forms:
 - a.) [Records Retention Handbook](#) Records Retention Schedule Guidelines
 - b.) Filing Equipment Handbook
 - c.) Vital Records Protection and Disaster Recovery
 - d.) [Electronic Records Management Handbook](#)
 - b. Records Inventory

Each agency must inventory its records at least once every five years. The inventory will identify the records the agency is keeping. This will help to develop or revise records retention schedules. Use Records Inventory Worksheet, STD. 70, when doing the inventory. Assemble all the inventory sheets together and group them by related record series. See the [Records Retention Handbook](#).

c. Records Review and Appraisal

- 1.) Review the inventoried records to choose the proper records retention periods and the correct way of disposing of the records. Retention periods have already been determined for record types that are used by most agencies. Use these guidelines when setting up the records retention schedules (See Appendix 2).
- 2.) Determine how long a record must be kept according to a law, regulation, policy or program manager's decision. A program manager can determine how long a record must be kept when a search has determined there is no law, regulation, or policy to cite. The program manager must use the records retention criteria listed below in this section. Only agency records, which are used frequently, should be kept in the office area. All others should be transferred from office space and stored in less expensive storage areas. Agency records retention schedules must contain specific disposition instructions for all of their records. Possibilities are:
 - a.) Destroy them after a specified number of years.
 - b.) Transfer them to the State Records Center after a specified number of years.
 - c.) Coordinate with the State Archives to determine if certain pre-designated records can be transferred to the Archives. The approved records retention schedule will indicate which records are being held for possible transfer to the State Archives.
- 3.) If your agency is involved in a federal program, you must also follow federal rules and guidelines.

d. Agency Appraisal

- 1.) All agencies must review their records at least once every five years to determine retention periods for the records. Some retention periods are covered under General Review and Appraisal in this section. The review must determine:
 - a.) How long the records must be kept in office areas.
 - b.) How long the records must be kept in a records storage facility.
 - c.) The total length of time the records must be kept.
 - d.) The authority designating the total length of retention. Examples are Government Code, departmental policy, etc.
 - e.) Which records are exempt from public inspection in accordance with the California Public Records Act, Government Code Section 6250.
- 2.) Agencies must be aware of the Information Practices Act of 1977, Civil Code Section 1798. This Act 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.
- 3.) Agencies must also be aware of the California Public Records Act, Government Code 6250. This law provides information on which records are required to be disclosed to the public.

e. Records Retention Criteria – When deciding how long to keep records, use the following criteria:

- 1.) Administrative uses – How necessary are the records in carrying out the agency's functions?
 - 2.) Legal requirements – How long must a record be kept in order to comply with laws or rules of government entities, or to protect the legal rights and interests of the State?
 - 3.) Fiscal requirements – How long must a record be kept in order to allow the time required for various fiscal activities, such as auditing, collection or payment, and budgeting?
 - 4.) Historical and research value – Which records reflect important historical events, including the events that make up the history of the agency?
 - 5.) Vital/Essential record requirements – Which records need to be protected in the event of a disaster? Which records are needed to function during and after the disaster and allow reconstruction of agency programs? To help identify a vital record, a handbook is available from CalRIM.
- f. Recommended General Retention Periods –
- 1.) CalRIM provides recommended retention periods for types of administrative records that are common to most offices. See Appendix 2 for suggested retention periods for these kinds of records.
 - 2.) The recommended retention period established by CalRIM are general and are not intended to fit the precise needs of any given agency. Even if the agency uses these general retention periods, it is necessary to still list the records on the retention schedules. Since all users of a schedule may not have a copy of the instructions, you must fully explain in the “remarks” column any special instructions, exceptions, or definitions of “active” retention periods.
- g. Audits and Litigation –
- 1.) If a record is involved in an audit, a claim, an appeal, or litigation, it may be kept past its normal disposition date until the activity is closed. In such cases you must explain the reasons for the extension of the retention period in a memo. Attach the memo to the corresponding retention schedule. The memo must list the specific records involved, i.e., Employee Travel Claims with inclusive dates.
 - 2.) Occasionally, a control agency, such as the Department of Finance or State Controller, will require all State agencies to hold records past their normal disposition dates. In these cases, the control agency must notify CalRIM in writing before extending retention periods. This notice must:
 - a.) Briefly explain the problem.
 - b.) Outline possible effects of the extension on record keeping systems.
 - c.) List the records affected.
 - d.) State if the new retention period is temporary or ongoing.
 - e.) If temporary, give the name, title, and classification of the person who will be responsible for removing the extended retention order.
- h. Types of Records
- 1.) Personnel Records
 - a.) Most of the general retention periods for personnel records were developed by the Personnel Officers Council or the Personnel Assistants Association. They are based upon the experiences of many agencies, and take into account the length of time copies of these documents are kept by the State Personnel Board. You are encouraged to notify CALRIM about any laws, policies, or regulations that may impact the retention of personnel records. General retention periods for personnel and payroll records are found in Appendix 2, General Retention Schedules for Personnel and Payroll Records.
 - b.) If your agency has delegated authority for personnel testing, see Appendix 1, General Retention Schedules for Delegated Testing. The

documents used in delegated testing are listed in groups with the retention period stated for each group.

2. Fiscal Records

- a. The general retention periods for fiscal records are based upon the experience of many agencies, and take into account the length of time copies of these documents are kept by the State Controller, the State Treasurer, and the Department of Finance. These agency records are also available for your use.
- b. It is not practical to establish general retention periods for such records as General Journal, General Ledger, and various trust documents including cashed trust checks. Although these are widely used, each agency must evaluate their retention periods in terms of its own needs. When doing so, consider any statutes of limitations.
- c. Retention schedules for fiscal records are found in [Appendix 2](#), General Retention Schedules for Fiscal Records.

3. Electronic Records

- a. Electronic records are subject to the same classification and retention requirements as other records and need to be identified as such on the records retention schedule. See the [Electronic Records Management Handbook](#) for more information.
- b. When the records retention schedule is developed, electronic records having historical importance to the State of California are also flagged by the Secretary of State Archives and the final disposition of records must be coordinated through them.

4. Official Minutes

Many State agencies have boards, commissions, or boards of directors, which either advise the agency administrator or can directly conduct the agency's business. Accurate and complete records must support all official meetings. Such records may have value as legal instruments and management aids. It is urged that the utmost care be given to their development and safekeeping. The following minimum standards should be met if the minutes are to be used for official purposes:

- a. The secretary of the meeting should send each member a copy of the minutes of each meeting as soon as possible after each meeting, and at least one-week before the next meeting, or within two weeks following any meeting. Each member should review the minutes for errors or omissions so that corrections may be quickly made at the next meeting.
- b. Corrections of errors or omissions should be explained in the minutes of the next meeting.
- c. The minutes of the previous meeting should be approved at the next meeting. This approval should be recorded in the minutes along with the date of the previous meeting. After formal approval, the minutes must be signed by the presiding officer and secretary.
- d. The official record of the minutes should be kept in book form, either bound or loose leaf. The pages must be numbered. Pages should be pre-numbered, if practical.
- e. The original record of the minutes may be microfilmed with approval of the agency records coordinator. Copies of the microfilm may be stored in a vital records storage facility. Contact CalRIM for information on how to accomplish this.

5. Records of Disbanded Functions or Programs

- a.) 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. Send a copy of a revised record retention schedule to CalRIM. This will notify CalRIM that the records have been transferred.
- b.) 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 you send the records 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.

- c.) 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.

- i. Records Retention Schedules

After reviewing the records, they must be listed on a Records Retention Schedule, STD. 73. This form is used as a basis for keeping, transferring, or destroying records in a particular records series. The schedule is approved by CalRIM and the State Archives. The records can be disposed of according to the schedule without having to obtain additional approval from DGS for five years or until there are changes to the schedule, whichever occurs first.

- 1.) Review and Approval of Records Retention Schedules- The steps involved in getting the records retention schedules reviewed and approved are described below.
 - a.) Preparation by the Agency – The agency Records Management Analyst must review and approve the Records Retention Schedules developed by the agency’s various organizational units. After review and approval, the Analyst must complete a Records Retention Schedule Approval Request, STD. 72. Three sets of this completed form must then be sent to CalRIM.
 - b.) Approval by CalRIM – After CalRIM has reviewed and approved the records retention schedule, it then sends all three sets to State Archives in the Secretary of State’s Office. The agency Records Management Analyst may phone CalRIM and ask for the approval number before the approved schedule is actually returned. Use this approval number when purchasing filing or image management equipment. This approval number is also used when preparing STD. 71, Transfer List.
 - c.) Review by Secretary of State – The Chief of Archives will review the record retention schedule after CalRIM has approved it. Archives staff will stamp all listings of records series that have historical or research value with “Hold/Notify Archives,” or “Transfer to Archives.” Archives staff will keep one set and return the remaining sets to CalRIM. The Chief of Archives must be informed when a record series flagged “Hold/Notify Archives,” or “Transfer to Archives” becomes eligible for destruction. The Chief of Archives will then decide if the records should be destroyed or retained for permanent safekeeping. For flagged records residing in the records center, SRC staff will be responsible for notifying State Archives.
 - d.) Approved Set – CalRIM will retain one approved set of STD. 72 and STD. 73. The last set will be returned to the originating agency.
 - e.) Originating Agency – The agency’s Records Management Analyst must keep the approved set that was returned by CalRIM. The Records Management Analyst must also provide a copy of the approved set to the offices having direct responsibility for the records listed on the schedule.
 - f.) Amending or Deleting Items – To amend the approved records retention schedules, submit three sets of the revised schedule pages and new Records Retention Schedule Approval Request, STD. 72. Schedules must be revised at least once every five years. Any changes made during the five-year retention schedule are considered amendments. When the five-

year retention schedule is updated this is referred to as and is considered a revision.

j. Files Management

CalRIM has a statewide files management program. The program is designed to ensure the best place to store, maintain, and use records. It includes filing systems organized by use and content of the records. Filing systems are meant to aid rapid, accurate, and complete retrieval of information. CalRIM has several filing handbooks available to help agencies organize their records.

1.) Filing Equipment

- a.) Vertical Shelf Files – Office Type. Shelf filing is usually the most efficient type. Therefore, it is the state's standard. Records are stored on shelves in rows, instead of in drawers. This equipment takes up less space and is easier to use than drawer filing cabinets. When planning filing systems, see if it is feasible and economical to replace current files with shelf files.
- b.) Other Filing Equipment – There are many other kinds of filing equipment from which to choose. The agency's Records Management Analyst may approve these other types. Obtain guidelines for justifying the purchase or rental of these types from CalRIM. Some of these other types are: drawer file cabinets, mechanized files, electric power files, tub type or desk side files, plan files, lateral files, rotary files microform or Optical Disk storage equipment.

- 2.) Filing Equipment Purchase Delegation – All agencies are granted filing equipment purchase delegation. This delegation pertains to all purchases of filing equipment. Consistent with this delegation authority, agencies must ensure that sound records management practices are in effect as specified in the guidelines. CalRIM may cancel this delegation for agencies not having current records retention schedules. Additionally, the Records Management Analyst must follow the procedures outlined in State Master Contract 1-96-71-38 when ordering equipment under this delegation.

- 3.) Vertical Shelf Filing Equipment and all Drawer File Equipment Purchased from the State Master Contract. Requests for purchase of vertical shelf file equipment and all drawer file equipment from the State Master Contract shall be approved by the agency Records Management Analyst within their budgetary authority. When approving requests to purchase file equipment the Records Management Analyst should include the Records Retention Schedule Approval number(s) for the records that will be stored, and a signature block for the RMA to sign on the front of the purchase request form. Approval by CALRIM is not required. The agency Records Management Analyst must not authorize purchase of filing equipment unless the agency can demonstrate that it is complying with the agency responsibilities. The agency shall substantiate the need for the equipment. Substantiation is based on the amount of space available, the layout of the office, and the activity of the records.

- 4.) Filing Equipment not Purchased from the State Master Contract. Request for purchase or rental of new or used filing equipment, including filing equipment of modular furniture, shall be approved by the agency's Records Management Analyst. The Records Management Analyst will not authorize purchase or rental of filing equipment unless the office can show that it is complying with this manual. The Records Management Analyst must consider requests for purchase or rental of filing equipment based on the agency's supporting justification. Guidelines for justification are available from CalRIM.

2. PROGRAM REVIEW FUNCTION

- a. Periodically, the CalRIM will review an agency's records management program. This on-site review will provide agencies with the status of their program along with suggested improvements. The review will cover the following:

- 1.) Interview or questionnaires.
 - 2.) Observations of your filing stations and procedures.
 - 3.) Transfers of records.
 - 4.) Vital records protection.
 - 5.) Optical disk, electronic, magnetic, and microfilm systems.
 - 6.) Hardcopy and electronic record scheduling.
 - 7.) Optical disk, microfilm, and filing equipment purchases.
 - 8.) Document destruction.
 - 9.) Use of the State Record Center and other records facilities.
- b. After the program review, CalRIM will send its report to the agency's executive office.
3. STATE RECORDS CENTER PROGRAM
- a. Records Storage and Retrieval
- 1.) Records Storage Containers-Cardboard cartons are recommended for the storage of inactive records. They are normally used for shipping and storing records in the State Records Center. Dimensions are: height - 10"; width - 12"; depth - 15". Both letter and legal size files will fit into them. These containers are available from the DGS Procurement Division. See the Material Services Catalog for details.
 - 2.) To transfer records to the State Records Center (SRC), first fill out a Records Transfer List, STD. 71. Send the original with a copy to the Records Center. SRC approval is required before you send the records. Get the records ready for shipment as described in the [Records Retention Handbook](#). Send all inactive records as listed on the approved records retention schedule PREPAID. For assistance or any questions, phone the Records Center at (916) 445-3206. The SHIPPING address for sending records to the SRC is 3240 Industrial Boulevard, West Sacramento, CA 95691. The mailing address for correspondence, requests, re-files, etc. is 1501 Cebrian Street, West Sacramento, CA 95691.
 - 3.) The request to use the State Records Center will not be approved if:
 - a.) Records must be accessed more frequently than once a month for each cubic foot in storage. These records are too active to be placed in the Center.
 - b.) The records retention schedule approval number on the transfer list is more than five years old.
 - c.) Records are to stay in the Center for less than one year.
 - d.) To retrieve a stored record, fill out a State Records Center Reference Request, Std. 76, and send it to the SRC. Requests are also available on the Internet at [Forms for Records Management](#) (authorization from the agency's records management analyst is required). Procedures for making a "Rush" or emergency withdrawal from the SRC are outlined in Appendix 4, New Procedures and Operating Hours for Requesting Records from the SRC. An agency may refer to or withdraw the agency's records from the Records Center at any time. To see a record that has been placed in storage by a different agency, the other agency must give permission first. When the record is no longer needed return it to the State Records Center with one copy of the Std. 76, placing the words "re-file" in big letters on the form.
- b. Microfilm Storage of Vital and Non-Vital Records
- 1.) SRC will store microfilm for agencies in a vital protection vault. The vault is administered by the State Records Center. Agencies must insure that all vital records are listed on their records retention schedules. To store microfilm records longer than 10 years, they must be recorded on silver master halide film. 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 must inspect their

- stored microfilm in the vault at least once a year. Contact the State Records Center for procedures for inspecting the microfilm.
- 2.) To **transfer** records to the vault:
 - a.) Prepare the STD. 71, Records Transfer List, in triplicate. Transmit all copies, along with the microfilm to the State Records Center, 3240 Industrial Blvd., West Sacramento, CA 95691. SHIPMENTS MUST BE PREPAID.
 - b.) Upon verification of the receipt of the shipment, a signed and file location coded copy of the Record Transfer List will be sent to the agency. Periodic transfers of the records will be accomplished by the State Records Center.
 - 3.) To **retrieve** records from the vault:
 - a.) Form STD. 76, Reference Request, will be used for the withdrawal of any of the records for reference, duplication, or inspection purposes.
 - b.) Complete the Reference Request and transmit it to 1501 Cebrian Street, West Sacramento, CA 95691. The request will be serviced within 24 hours after receipt of the request.
 - c.) When no longer needed return the records to the State Records Center at the Cebrian Street address. Be sure the second copy of the Reference Request is still attached to the record.
 - c. Transfer of Records to Secretary of State, Archives Office.
 - 1.) The State Archives keeps historical records permanently for reference and research. Archival analysts evaluate agency records and consult with the agencies to determine which records meet the State's long-term information needs.
 - 2.) To transfer records to State Archives, all of the following must apply:
 - a.) The State Archives has flagged records on the records retention schedule.
 - b.) The flagged records are in your office or departmental storage.
 - c.) The records have reached the end of their retention period.
 - 3.) With approval of the Chief of Archives, acting under the authority of the Secretary of State, an agency may then transfer selected records to the State Archives for permanent retention. The agency must prepay all transportation charges. A Records Transfer List, STD. 71, or a memo in triplicate listing the item(s) transferred must accompany all records transferred. These records may be selected, in entirety or in part, for deposit in the State Archives if determined to be of historical, legal, and/or administrative value. If selected, records are accessible for agency or public use, under provisions of the California Public Records Act and Information Practices Act. The State Archives is located at 1020 O Street, Sacramento, California 95814.
 - d. Departmental Record Storage Facilities
Agencies are not allowed to create new departmental records centers to store records without written approval from CalRIM.
4. DOCUMENT DESTRUCTION CENTER PROGRAM
- a. Purchase or Rental of Destruction Equipment.
Requests to buy, rent, or lease any equipment used to destroy records, shall be approved by your agency's Records Management Analyst. The analyst considers these requests based on the unit's justification. See Appendix 3 for guidelines to justify the purchase or rental of document shredding equipment.
 - b. Destruction of Records
 - 1.) Non-confidential Records – To destroy non-confidential records, contact the California Integrated Waste Management Board, State Recycling Program Section.
 - 2.) Confidential Records – CalRIM provides destruction services for confidential records. State agencies must make sure that their obsolete records are disposed of in accordance with laws, rules, and State policies. Special steps

must be taken to schedule the destruction of confidential records.

Confidential records are:

- a.) Closed to all but authorized persons by any law or regulation under which the agency operates.
 - b.) Not required to be disclosed to the public under the Public Records Act, Government Code Section 6250.
 - c.) Confidential according to the Information Practices Act, Civil Code Section 1798. Agencies may ask questions about the Act of their agency Information Practices Act Coordinator.
 - d.) All confidential records must be identified as such on the agency's records retention schedule. See the [Records Retention Handbook](#) for examples.
 - e.) Confidential records destruction services outside of the Sacramento metropolitan area can be handled in either of the following ways:
 - i.) The confidential records may be shipped to the Document Destruction Center.
 - ii.) A local contract or a purchase/service order may be used for the destruction, as volume dictates. AGENCIES MUST SEND A STATE EMPLOYEE TO WITNESS CONFIDENTIAL DESTRUCTION WHEN USING THE SERVICES OF PRIVATE SUPPLIERS.
 - f.) In Sacramento at the State Destruction Center, employees of the Center will witness the destruction of your confidential records. If you need to destroy accountable forms, you must make arrangements with the State Destruction Center.
- 3.) Disposal of Accountable Forms.
- a.) Agencies are responsible for all of their accountable forms. A member of the agency's internal audit unit must witness destruction. If there is no such unit, then it must be witnessed by an agency employee who is not directly responsible for handling or accounting for the forms or the fees for which the documents are issued.
 - b.) After their accountable forms are destroyed, Agencies must create a memorandum that certifies the following:
 - i.) The reason for destroying the documents.
 - ii.) The type and numbers of the destroyed documents.
 - iii.) That all documents listed were destroyed.
 - iv.) How the documents were destroyed.
 - v.) The date the documents were destroyed.
 - c.) The memo must be in duplicate and signed by a witness. Retain and file one copy of the memo and send the other copy to Department of Finance, Office of State Audits and Evaluations, 915 L Street, Sacramento, CA 95814.
- 4.) Disposal of Records Stored in the State Records Center Records stored in the State Records Center must be destroyed according to their records retention schedules. The Records Center will destroy these records for state agencies. Destruction is not automatic. The agency must authorize destruction or justify continued storage. This is done on the Computer Printout Authorization for Records Destruction form or on State Records Special Disposal Authorization, GS 50. The first form is issued by the State Records Center. The second form is issued by the agency. Either one must be signed by the agency's Records Management Analyst. Single boxes can be permanently withdrawn from storage by noting on the GS 50 that the box is to be returned to the agency. Records that have been identified as confidential on the disposal printout will be separated from the other records and will be destroyed by witnessed confidential destruction.

5. STATEWIDE IMAGING PROGRAM (SIP)

- a. DGS has a statewide Imaging Program available to consult with agencies on how to get started and the requirements for an imaging/workflow application. If an agency is considering use of microfilm or an electronic document imaging/workflow system, assistance is available by contacting SIP.
- b. DGS has published a State Micrographics Manual. If an agency uses or plans to use microfilm, it is important that they have a copy of this manual. To request a copy contact the designated agency's Records Management Analyst. This manual has the major information needed to justify and manage the use of microfilm. Topics covered include:
 - 1.) Preliminary information, policies and legal requirements.
 - 2.) Types of micrographics:
 - a.) Filming source documents with 16mm roll film.
 - b.) Computer Output Microfilm (COM)
 - c.) Fixed image microfiche.
 - d.) Ultrafiche
 - e.) Jackets
 - f.) Aperture Cards
- c. Delegation of Micrographic and/or Optical Disk Responsibilities. If the responsibility for the agency's electronic document imaging program has been assigned to someone other than the agency's Records Management Analyst, the agency must notify Statewide Imaging Program (SIP). This notice must be in writing and must name the person who has been appointed along with the telephone number.
- d. Feasibility Studies. If an agency wants a new microfilm or electronic document imaging system, or wants to expand an existing system, the approval of the agency's Records Management Analyst is required. To obtain approval for a feasibility study, it must follow the steps outlined in the "State Micrographics Manual" and adhere to Department of Finance (DOF), Statewide Information Technology requirements. If an agency is planning such a project, contact DOF to obtain their existing requirements. See the Statewide Information Management Manual (SIMM), policies and procedures at <http://www.dof.ca.gov/HTML/IT/SIMM/SIMM.htm>
- e. Request for Microfilming or Electronic Document Imaging Services.
 - 1.) If any agency plans on asking another agency to do microfilming or electronic document imaging work, proper approval is needed before the work can begin. To obtain approval, follow these steps:
 - a.) Each agency's Records Management Analyst must first approve the request.
 - b.) Once approved by the Records Management Analyst, the request must then be reported to CalRIM in the department's Annual Report. Refer to **D. Responsibilities, 2., 2.**
 - c.) The final authorization will be through an Interagency Agreement and may require DGS' Office of Legal Services approval. See the State Contracting Manual for additional information on Interagency Agreements.
 - 2.) If an agency wants to outsource microfilming or electronic documents imaging, the contract with the supplier must first be approved by the agency's Records Management Analyst before any work is done. All agencies should consider use of DGS [Master Service Agreements](#) (MSA) or [California Multiple Award Schedules](#) (CMAS) pre-qualified suppliers as they are generally more cost effective and save a considerable amount of contract processing time.
- f. Purchase or Rental of Microfilm and Optical Disk Equipment. If the agency wants to buy, rent, or lease any microfilm or optical disk equipment, first get the approval from the agency's Records Management Analyst. In order for the request to be approved, the agency must demonstrate that it is complying with the retention guidelines specified in Appendix 2. Additionally, lease or rental of equipment

requires that a lease/purchase analysis be done. If financing is desired, GS \$mart or lease \$mart may be helpful (CAM 3.1Leveraged Procurements).

D. RESPONSIBILITIES:

All executive branch agencies must participate in the Record Management Program. The responsibilities of each agency, the Department of General Services, and the Secretary of State are described below:

1. The State Records Management Act requires State Information and Records Management to:
 - a. Establish standards and procedures to carry out the records management program.
 - b. Help agencies to:
 - 1.) Develop programs to manage the retention, transfer, and disposal of records.
 - 2.) Identify vital records and develop programs to protect them.
 - 3.) Dispose of obsolete records.
 - c. Develop general retention guidelines for records that are common to most agencies.
 - d. Review and approve records retention schedules submitted by agencies.
 - e. Provide storage sites for the storage and handling of inactive records.
 - f. Oversee the transfer of records custody when a function or program ends.
 - g. Provide records management training and instruction.
 - h. Receive reports from agencies to evaluate their records management programs and progress.
 - i. Prepare a statewide progress report on the information and records management program.
 - j. Provide guidelines and assistance to agencies desiring to purchase or rent destruction, filing or micrographics equipment.
 - k. Review agency requests for purchase or rental of microfilm equipment used in filming paper records, Computer Output Microfilm (COM), Computer Assisted Retrieval (CAR) of microfilm, and optical disk.
 - l. Provide guidelines and assistance to agencies on all proposed microfilm and optical disk applications.
 - m. Perform periodic on-site reviews of agency records management programs.
2. Each agency must do the following:
 - a. Keep and maintain an economical and efficient records management program.
 - b. Assign staff to coordinate the agency records management program. At least one person must be appointed as the agency's Records Management Analyst. The person appointed must not be lower than the level of Staff Services Analyst or equivalent. The agency's chief executive officer or chief administrative officer must send a written appointment to the CalRIM. It is the job of each agency's Records Management Analyst to work with CalRIM and the State Records Center. See the Records Management Handbook for additional duties.
 - c. Set the length of time that each type of record needs to be kept. A law, regulation, or policy must reference this length of time. Where there is none, the time will be set by the program manager. See the criteria in Appendix 2.
 - d. Inventory all records kept. See the Records Management Handbook.
 - e. Send all required reports to the CalRIM program.
 - 1.) Annual Progress Report. Government Code Section 14760 requires "...an annual report written to the Governor. The report shall describe the status and progress of programs established pursuant to this chapter and shall include the recommendations of the director for improvements in the management of records in the state government." This report is exempted by AB 116, Chapter 970, Statutes of 1996.

- 2.) These include, but are not limited to the “Biennial Progress Report on Records Management.” The report shall describe the status and progress of programs established pursuant to this chapter and shall include the recommendations of the director for improvements in the management of records in the state government. CalRIM is responsible for the development of this report. CalRIM develops the report through required biennial and reports submitted by agencies. **THESE AGENCY REPORTS MUST BE SUBMITTED TO CALRIM BY THE LAST WORK DAY IN AUGUST.**
 - f. Send inactive records to the State Records Center. Make sure to adhere to the approved Records Retention Schedules for disposition of these records.
 - g. Identify and protect all records that the agency will need for long periods or that it will need in order to function in the event of a disaster.
 - h. Make sure that all employees who leave the agency return any state records they are holding.
 - i. Dispose of or recycle obsolete records in accordance with approved Records Retention Schedules.
 - j. Set up records management procedures that protect individual privacy. Adhere to the privacy requirements of state and federal laws and regulations. This includes the Information Practices Act of 1977 and California Civil Code Section 1798.
 - k. Insure training is provided for all employees who are involved in records management.
 - l. Control the purchase and rental of file, microfilm, optical disk, and records destruction equipment. Make sure that all equipment is used efficiently. Request from CalRIM, Guidelines for Justifying Purchase of Filing or Micrographics Equipment and Guidelines for the Purchase of Document Shredding Equipment.
 - m. Transfer the custody of records appropriately when a program or function ends.
3. Role of the Department of General Services Audit Section
During an audit, the Department of General Services Audit Section will determine if the agency’s records management practices conform to State standards. The Audit Section must report any problems it finds; along with recommendations, to the agency with a copy to CalRIM.
4. Role of the Secretary of State, Archives
The Secretary of State shall:
 - a. Review records retention schedules to identify records that have historical or research value.
 - b. Store historical records and make them available to agencies and the public for reference and research under the provisions of the California Public Records Act and Information Practices Act.

E. APPENDICES:

1. [Appendix 1](#): Glossary
2. [Appendix 2](#): General Retention Schedule for Personnel/Payroll/Fiscal and Records Management
3. [Appendix 3](#): Guidelines for Purchase or Rental of Document Shredding Equipment
4. [Appendix 4](#): Procedure for Requesting Records From the State Records Center

F. AUTHORITY AND REFERENCES:

1. Statutory:
 - a. State Records Management Act contained in Government Code Sections 14740-14774,
 - b. Government Code 11126.1, Public Records and 14755(a) and (b) Disposal of Public Records,
 - c. California Civil Code 1798, 1798.14, 1798.24
 - d. Information Practices Act of 1977
2. Regulatory: None
3. PD Procedural: None

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Procurement Division