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**Records Management**

**Policy and Procedures Manual**

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**Overview**

Life is too complicated not to be orderly. – Martha Stewart

**Introduction**

Records reflect and support the Department’s activities, and should therefore be accurate. It is essential to retain, either in the division files, or in the Records Center, any records that are pertinent to the operation of the business of the Los Angeles World Airports (LAWA). Efficient records management ensures that records are kept only as long as they have some administrative, fiscal, or legal value. When records no longer fulfill the value for which they were created, they should be destroyed unless they also have some historic or vital significance. LAWA’s Records Management program is designed to be not only cost effective but also ensure that records are available when and where they are needed.

The first step in maintaining the Department’s records is to define the division’s role in the Department’s business process. Each division has a Records Retention Schedule prepared by LAWA’s Records Retention Coordinator together with the division, which reflects their role at LAWA. The Records Retention Schedule identifies the division’s types of records and their legal retention timetable. City of Los Angeles (City) departments, offices, and bureaus are responsible for complying with federal, state, and local government laws, which regulate records retention periods. These laws determine the length of time records are to be kept, by type, and nature of record. Los Angeles Administrative Code Division 12 provides basic time periods for various record types common to the City. Adherence to LAWA’s Records Management Policy and Procedures will ensure a systematic, efficient, and effective means of managing records from the point of creation to the time of destruction.

**Purpose**

The LAWA Records Management Policy is designed to enable the Department to provide for the identification, protection, disposal, and control of records generated in the course of LAWA business; satisfy all legal, administrative, financial, technical, and contractual requirements; and facilitate the continuation of ongoing business operations**.**

**Policy Statement**

LAWA’s Records Management Program shall be cost effective and ensure that records are retained and disposed of in accordance with approved Division Records Retention Schedules. All applicable legal, administrative, financial, technical, and contractual requirements shall be followed including City policy as outlined in Los Angeles Administrative Code – Section 12.

**Definitions**

**Active Record** – Record that is regularly referenced or required for current use. This information is most often kept in the work station or close by within the division.

**Appraisal of Records** – The act of determining (1) the relative activity in the use of records; (2) value of records with regard to administrative, legal, fiscal, or historical interest; (3) adequate and essential periods of retention; and (4) appropriate disposition of records.

**Archives** – Records created or received that are preserved because of their historical or continuing value.

**Confidential Record** – Recordswhich are exempt from public disclosure due to privacy/security concerns pursuant to provisions of the California Public Records Act and Section 12.3(b) (3) through (9) of the Los Angeles Administrative Code.

**Disposition** – Involves either the transfer of inactive records to a City records center or the disposal of such records by destruction, sale as waste paper or other lawful act.

**Duplicate Records** – Duplicate records are copies of original records that a division maintains for use but do not necessarily meet the City’s legal retention requirement.

**Historical Records** – Records which depict persons or phenomena which are or have been a part of events or conditions which significantly affect or have affected the City, its functional activities, its heritage, growth and/or development.

**Inactive Record –** Records that are not regularly needed by the division, but which must still be retained according to the Records Retention Schedule. Inactive records should be stored at the Records Center unless there is compelling business reason to store them elsewhere.

**Non-Record** – A convenient document and is not retained after its initial use has expired. Because it is not scheduled for retention, it can be discarded without official approval.

**Original or Office of Record** – The official master file of a particular record that contains the most complete and up-to-date material needed to satisfy legal and information requirements.

**Original Records** – Original (Official) records are the original/official records the division maintains.

**Public Records** – A writing which is made or kept by a City department or officer pursuant to law or indicating action taken with respect to a particular City matter, but not including notes or preliminary drafts not retained in the regular course of business or a writing prepared or used by a City department or officer as a temporary aid in the preparation of minutes of a meeting of a City body.

**Record** – Any stored information, regardless of media or characteristics, generated by or received by LAWA that is evidence of its operations and has business and/or historical value requiring its retention for a specific period of time. A record may be a vital record and/or have legal, administrative, financial, technical, or contractual value.

**Records Retention Period** – The period of time that records must be maintained by an organization because they are needed for operational, legal, fiscal, historical, or other purposes, and established in accordance with statutory or other requirements which must elapse before disposition may be made of a body of records. Records should be destroyed after the termination of the retention period.

**Records Retention Schedule** – The informational timetable of records by category which lists the minimum periods of time which must elapse for each LAWA Division, as required by the City or pursuant to state law, whichever is longer, before records in each category may be destroyed.

**Record Series** – Groups of related records which are normally used and filed as a unit and which permit evaluation as a unit for retention and disposition purposes. A record series may contain both forms and correspondence.

**Vital Record** – Records essential for continuation of service, reconstruction or resumption of the essential operational functions of the City or maintenance of public health, safety and order in the event of a local emergency or public disaster.

**Responsibilities**

The City Clerk is responsible for the Records Management Program of the City and provides uniform standards and efficient controls over the identification, appraisal, maintenance, protection, preservation, transfer, retention, and disposition of City records. LAWA works with the City Clerk to establish records retention policies and procedures to manage LAWA records and information assets. Each LAWA division is essential to ensuring the LAWA Records Management Program functions efficiently, making everyone’s job easier as a result.

**Department’s Role**

Each City department is responsible for implementing and maintaining an efficient and cost effective Records Management Program according to City policy as outlined in the Los Angeles Administrative Code Section 12.2. (b), including:

* Setting up a filing system in compliance with records management practices;
* Creating Records Retention Schedules and preparing necessary revisions of existing schedules;
* Identifying, classifying, and processing inactive records for transfer to the Department’s

Records Center, City Archives, or other official Record Center as identified by Records Retention Schedules;

* Identifying and destroying obsolete records as identified in the Records Retention Schedules per City policies and procedures;
* Designing effective controls over the production of records in compliance with the Mayor’s Executive Directives 50 and 53, and with CAO Rule number 23. This includes the preparation of paperwork reduction plans.

The Department is also responsible for assigning qualified personnel to serve as the Record Management Coordinator(s) for the Department and its divisions in compliance with the Mayor’s Executive Directive No. 50. LAWA’s Records Management Coordinator is the liaison between the Executive Director, Division Managers or Coordinators, the Records Center and the City Clerk. The Records Management Coordinator assists divisions with:

* Preparation and revision of Records Retention Schedules;
* Proper maintenance, protection, and disposition of all records based on their compliance with tax, legal, and regulatory requirements as well as their fiscal, operational, and historical value.
* Identification and destruction of obsolete records;
* Training and assisting department personnel on records management practices.

**Division Records Coordinator**

Every LAWA division should appoint a Division Records Coordinator that works together with LAWA’s Records Management Coordinator to ensure the Records Management Program and City policies are followed. The Division Records Coordinator is critical to the success of the program and helps to implement the policy and procedures by:

* Preparing new Records Retention Schedules and revisions, Records Requisitions, Records Transfer Lists, and Destruction Requests;
* Implementing file improvement procedures;
* Reviews Division records to determine those with an inactive status;
* Responsible for the transfer of inactive records to the Records Center;
* Notifies Records Management of “holds” on records due to legal, regulatory, operational, or contractual obligations;
* Ensures the protection of vital records identified on the Records Retention Schedule;
* Arranges Records Management training, back-up support and overall Division awareness of the Records Management Program policies and procedures.

**Defining a Record**

**What is a Record?**

One of the first questions that must be answered is, “what is considered a record?” Section 12 of the Los Angeles Administrative Code defines a record “as any form of communication or representation, including letters, words, pictures, sounds, symbols or combination thereof, recorded or reproduced upon a tangible object by handwriting, typing, printing, photocopying, photography, recording of images on sensitized or magnetic surfaces, or by other means.” Within this definition there are many different categories of records.

**Record Categories:**

**Vital Records** – A record series that is a component to LAWA’s emergency plan and/or is “necessary to continue to reconstruct, or to resume the essential operational functions of the City government and to maintain public health, safety and order in the event of a local emergency or public disaster.”

**Confidential Records** – A record series that LAWA would withhold from public disclosure due to privacy/security concerns, such as Employee Folders and Litigation Files. A record series that is not confidential may still contain confidential information such as a time sheet that contains a social security number.

**Historical Records** – A record series that by its nature is considered to have enduring historical value. These are records that depict persons or phenomena that are or have been a part of events or conditions which significantly affect or have affected the City, its functional activities, its heritage, growth and/or development. A record series that is not considered historical may contain individual files of historical value. For example, Project Files may not normally be considered historical, but files relating to a particular project of historical or cultural significance may have historical value.

**Legal Records** – Those records which are required to meet (1) federal, state, and local laws and regulations, and (2) protect the company in the event of litigation involving liability, claims, and property rights.

**Examples of Records** include, but are not limited to:

* Budget documents;
* Correspondences;
* Subject files and reports;
* Timesheets;
* Contract Information and Request for Proposal (RFP)/Request for Bid (RFB)/Request for Quote (RFQ) packages;
* Invoices

*![C:\Documents and Settings\a66bja\Local Settings\Temporary Internet Files\Content.IE5\G9RDBBD4\MC900432617[1].png]()****Helpful hint:*** *Non-record documents can usually be discarded as soon as they are read.*

**What is Not a Record?**

Knowing the difference between record and non-record material is essential for efficient records management. It is not cost effective, efficient, or necessary to save all paper, electronic, and/or video-audio files. A non-record is a convenient document that is not retained after its initial use has expired. Because it is not scheduled for retention, it can be discarded without official approval.

**Examples of Non-Records** include, but are not limited to:

* Library materials;
* Publications;
* Blank Forms;
* Paper supplies;
* Extra copies made as working papers;
* Surplus copies of printed materials such as notices of employee meetings or holidays;
* Rough drafts, notes and working papers accumulated in preparation of a study or report which has become an official record;
* Reading file copies of correspondence;
* Superseded manuals and other directives maintained outside the office that is responsible for them.

**Special Considerations for Contract Documents**

The Division Manager/Contract Administrator will be responsible for preparing and maintaining a master file with complete documentation for the entire procurement and contracting process. The master file will include documentation for RFP or RFB preparation and release, proposals or bids received, reviewed, evaluated, selected and approval process and reports, including appeals, if any.

After contract execution, an addendum to this master file will be made to include contract management information, and the location where all contract documentation, including contract evaluations and amendments, if any, will be kept. The master file will be accessibly maintained and will be available for reviews, appeals and audits.

The following contract related items are considered records and must be kept. Contract folders shall include, but not be limited to the following documents:

* + The original Request to Initiate Purchasing/Procurement Services document with all applicable attachments (Charter Section 1022, Cost Benefit Analysis);
* the RFP or RFB;
	+ Board of Airport Commissioners (BOAC ) Report to Release RFP or RFB;
	+ Board Resolution Authorizing Release of RFP or RFB;
	+ Pre-Proposal or Pre-Bid Conference Materials/Sign-in Sheet (if Pre-Proposal or Pre-Bid Conference held);

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*Send an email to:* *recretreq@lawa.org**.*

* + All RFP or RFB addenda;
	+ RFP or RFB evaluation sheets;
	+ BOAC Report to Award Contract;
	+ Board Resolution Authorizing Award of Contract;
	+ Executed Contract

**What is a Records Retention Schedule?**

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*The Records Center does not accept records for storage that are not listed on the Division’s Records Retention Schedule.*

A Records Retention Schedule is a legal timetable of records series titles indicating the minimum requirements of time which must elapse, as required by City or pursuant to state law, whichever is longer, before records in each category may be destroyed. It may include retention in active office areas, inactive storage areas (Records Center), and when or if such series may be destroyed or formally transferred to another entity such as archives for historical purposes. The schedule may also note if the series is confidential, vital, or historical. If so, special handling may be involved.

Every record should have a record series assigned to it, and cannot be destroyed legally without an approved Records Retention Schedule to indicate that the records have met their retention requirements. A Records Retention Schedule serves as the blueprint to the business each City department conducts, and helps department employees to standardize record keeping. The Records Center will not accept records for storage that are not listed on a Records Retention schedule or that have not met in office retention periods.

Retention periods are based upon maintaining records for only as long as they are reasonably expected to be of use to LAWA, minimizing the retention of duplicate copies of the same record by destroying them when no longer needed, complying with federal, state, and local statutes as well as applicable retention requirements of regulatory agencies.

**Procedures**

**Creating a New or Revising a Records Retention Schedule**

Responsibility for the maintenance of the Records Retention Schedule is shared by the Records Management Coordinator and the Division Records Coordinator. They work together to regularly update Records Retention Schedules, create new schedules, incorporate changes, make additions and/or eliminations.

To create a new or revise a Records Retention Schedule, a Division should:

1. Conduct an appraisal of records by taking a physical inventory and appraisal of all records created and maintained by the division in order to determine 1) the relative frequency of use or movement of records, 2) the value of records with regard to administrative, legal, fiscal, and historical interest, 3) the adequate and necessary periods of retention and 4) the appropriate disposition of said records.
2. Complete Appropriate Forms (for revisions, additions or deletions to an existing Records Retention Schedule, please only include the items being revised, added or deleted):
	1. Form Gen. 60 (Original Records) or
	2. Form Gen. 61 (Duplicate Records)
3. Be sure to include:
	1. A Record Series Title (for example – Daily Time Reports);
	2. List of Sub-Items (please list A-Z). Sub-items receive the same retention as the parent records series. If a record series (for example – Project Files) has a 10 year retention but you wish to keep one part of the project file permanently, you should consider that sub-item to be a separate record series;
	3. Description of Record Series. Divisions that generate and maintain the record must maintain the legal citations, reason for retention and how files are organized;
	4. Document Format (Media). For example, DO=Document (Paper or Multiple Formats), Microfilm, Electronic, etc.;
	5. Note any special designations: Vital, Historical, Confidential, Legal;
	6. Using the retention time periods attached to this manual for reference, estimate the required retention time period for in-office, records center and destruction. Please note: Divisions are responsible for knowing the unique requirements for the retention of their records. According the City Clerk, it is not necessary to use Retention Codes. The most important thing to include is duration in years that the records are to be kept.
4. Email completed form to the Records Management Coordinator by typing Records Retention in the “To” field of your message. The Records Management Coordinator will work with the division, City Clerk and City Attorney to make sure the new records series is required and the retention time is appropriate.
5. Once the Records Management Coordinator approves the new records series, the form is forwarded for final approval to the following people;
* Division Head
* Executive Director
* City Attorney
* City Clerk
1. A copy of the final approved Records Retention Schedule from the City Clerk will be forwarded to the division.

**Transferring Records to the Records Center**

 *Remember:*

*The Records Center only accepts original records into the Records Center.*

Division active files are maintained within each division. When the files become inactive, they may be transferred to Records Management, according to retention requirements. If the division did not originate the item, and was not the addressee, they are not responsible for retaining the item. Only **original** files that have met the required in-office retention time may be transferred to the Records Center.

To prepare files for transfer to the Records Center a Division should:

1. Examine the contents of files, saving records and not retaining materials that are considered non-records. Identify and remove any duplicate materials.
2. Complete the Records Transfer List form. A Transfer List is an itemized inventory of records to be transferred to the Record Center or City Archives. When transferring boxes to the Record Center, a properly completed Transfer List must accompany the record boxes.
3. The Division Records Coordinator should review all Transfer Lists prepared by employees of the Division PRIOR to arranging for the transfer of record boxes to the Record Center or City Archives.

The following criteria must be met:

1. All in-office retention time periods have expired;
2. Record titles used on the Transfer List match those on the Records Retention Schedule;
3. Correct schedule item numbers are listed for each box according to the documents stored within;
4. Correct inclusive dates are listed and the destruction date listed matches the time period set forth for that type of document in the Record Retention Schedule.
5. Email the Transfer List to the Records Management Coordinator by typing Records Retentionin the “To” field of your message. The Division Records Coordinator will be notified if any corrections are need.
6. Once approved, the Division will be contacted directly by the Records Center staff to coordinator transfer of boxes.

|  |
| --- |
| **C:\Documents and Settings\a66bja\Local Settings\Temporary Internet Files\Content.IE5\AAT704MV\MC900441310[1].pngPlan the Transfer of Your Records** * Do not use damaged boxes;
* Do not pack more than one copy of any document. It is each division’s responsibility to purge copies of documents for which there is already an original in the records center;
* Limit contents of any box to a single record series/item number according to the division’s Records Retention Schedule. Example: Correspondence records should not be in the same box as Project File records;
* Write box number and description clearly and legibly on all sides of boxes.
* Do not over-pack boxes which can result in overweight damaged cartons.
 |

**Requesting Boxes from the Records Center**

After materials have been received and entered by the Records Center they may be circulated to requestors as needed. Requestors will be granted access to their division’s records only. It is important that the division’s records remain intact and therefore, control over the records remain with the originating division. If a requestor wishes to view records of another division, the originating division should make the request on behalf of the requestor indicating approval.

Requestors should take the following steps:

1. Complete the Records Requisition form and indicate whether your request is for delivery, viewing (at the Records Center), pick-up or re-filing.
2. Email the completed form to the Records Management Coordinator for processing by typing Records Retention in the “To” field of your message.
3. Once approved, the requestor will be contacted directly by the Records Center staff to coordinate distribution.

## Destruction of Records

In order to initiate the Destruction process, the Records Management Coordinator will contact the Division Records Coordinator once records have met the required retention time. The Division will have the opportunity to review and approve all records eligible for destruction.

The Records Management Coordinator will process appropriate paperwork through the City Attorney, City Clerk and City Council as necessary. Once appropriate authority is granted, the Record Management Administrator will arrange for the proper destruction of old records that are approval for destruction.

**Need Assistance?**

**Contact Info**

All requests, inquiries or comments should be emailed to Eric Parco in the Records Retention Center at eparco@lawa.org or you can contact him at (424) 646-5338.

**Frequently Asked Questions**

1. What form do I use if I want to send new records boxes to the Records Center?

*Use the Transfer List form to send new boxes to the Records Center for the first time. Make sure to work with your Division Records Coordinator PRIOR to submitting a Transfer List.*

1. What form do I use to create a new or revise an existing Records Retention Schedule for my division?

*Use Form Gen. 60 for original records or Form Gen. 61 for duplicate records. Contact LAWA’s Records Management Coordinator for assistance with completing these forms.*

1. What form do I use to request boxes from the Records Center for delivery, viewing, pick-up or re-file?

*Use the Records Requisition form.*

1. Where do I send my Records Requisitions or Transfer List requests?

*Please email completed forms to* “*Records Retention”.*

1. How long will it take to process my Records Requisition or Transfer List requests?

*Requests are typically processed with 2-3 business days. Requests may take longer if corrections to the forms are needed.*

1. What are the hours of the Records Center?

*The Records Center is open Monday through Friday from 8:00 am to 3:30 pm and is closed on the 1st Friday of the pay period.*

1. Where can I get electronic copies of records retention forms?

*All forms are available in the Procurement Services section of InsideLAWA. Click on the Administration tab, then Procurement Services, then PSD Services, and Records Retention.*

**Attachment 1 – Records Retention Time Periods**

**Records Retention Time Periods**

LAWA is responsible for complying with Federal, State, and Local statutes that dictate the minimum time periods that records must be retained in the Office, Record Center, and/or Off-Site storage.

The City of Los Angeles Administrative Code (LAAC), Chapter 12, prescribes the following standard retention periods:

**Permanent Records: (must be kept indefinitely):**

• Historical records

• Records affecting title to real property or liens

• Records required by Charter or statute

• Minutes, ordinances, and resolutions by City Council, Board, or Commission.

**Vital Records:**

• Records in category (1) of Subsection (b) of Chapter 12, LAAC. Vital Records shall be retained while current, subject to provisions of LAAC Section 12.2 (b) (5).

**Minimum 5 Years** (unless a shorter or longer retention period is required by law or unless the record must be retained for a longer period of time to protect the City in the event of litigation):

* + Records exempt from public disclosure by the California Public Records Act.
	+ Records related to any complaint of misconduct by City employee or Official.
	+ Records of complaint to, or investigated by, any City Office or Department for correctional, law enforcement, or licensing purpose.
	+ Records used in civil or criminal litigation, including appellate review.
	+ Records prepared in connection with any claim filed against the City.

**Termination plus 5 Years Period:**

* + Personnel, medical, hospital, or similar records shall be retained until the date of termination of City employment plus five (5) years except that where termination is by retirement.
* Retirement records shall be retained through the life of the employee, the life of that employee’s surviving spouse, and throughout the dependency or the age of minority of the employee’s surviving children as provided in the Charter, plus five years.

**Two Year Period**

* The minimum time period for keeping records with the exception of communication tapes.

**Fifteen Month Period:**

• Telephone and /or radio communications from the Police and Fire Departments shall be retained for a minimum period of 15 months.

City departments, offices, and bureaus are responsible for complying with federal, state, or local government laws, which regulate records retention periods. These laws determine the length of time records are to be kept, by type, and nature of record. Los Angeles Administrative Code Division 12 provides basic time periods for various record types common to the City of Los Angeles.

**Attachment 2 – Sample Forms**

Sample Forms

* **Records Requisition Form**
* **Transfer List Form**
* **Gen. Form 60 (original records)**
* **Gen. Form 61 (duplicate records)**