



# CITY OF LONG BEACH

# R-9

DEPARTMENT OF CITY CLERK

333 West Ocean Boulevard

Long Beach, CA 90802

562/570-6101

FAX 562/570-6789

October 15, 2013

HONORABLE MAYOR AND CITY COUNCIL  
City of Long Beach  
California

## RECOMMENDATION:

Recommendation to approve a six month pilot program for the Long Beach Police Department and Long Beach Housing Authority Bureau for the Long Beach City Electronic Archive policy (as shown in Attachment I) to provide for the permanent retention of paper records in a secure and unalterable electronic format.

## DISCUSSION

Since the year 2000, the City of Long Beach has recognized that the electronic storage of permanent City documents enhances government transparency and staff productivity. While more than six million document pages (comprising twenty two million images) are stored in electronic format, valuable staff labor and scarce office space are consumed until the original paper record can be destroyed.

To optimize our current electronic records management practices and mitigate the costs of keeping original paper records, it is recommended that the City adopt a pilot program that will permit the destruction of original paper documents by establishment of a trusted system policy that meets the requirements of the California Government Code.

Compliance with Government Code requirements will ensure that electronically stored records are: [1] true and accurate representations of the original information and [2] accessible to the public for the duration of the records' applicable retention period. As mandated by law, no page of any record, paper, or document shall be destroyed if the page cannot be reproduced on film with full legibility. Every un-reproducible page shall be permanently preserved in a manner that will afford easy reference.

Assuming approval of the proposed policy, every reproduction from the trusted system shall be deemed to be an original record and a transcript, exemplification, or certified copy of any reproduction, as the case may be, of the original. The proposed Electronic Archives Policy has been developed in accord with standards recommended by Association for Information and Image Management.

This matter was reviewed by Deputy City Attorney Gary J. Anderson, and Scott Otta from Technology Services.

## TIMING CONSIDERATIONS

City Council action on this matter is requested on October 15, 2013, in order to facilitate implementation of the pilot program.

## FISCAL IMPACT

There is no fiscal impact associated with the recommended action at this time. However, if City Departments choose to implement the Electronic Archive Policy, each Department will incur costs to convert existing hard copies to electronic ones. In addition, travel and training costs may be incurred if Department personnel attend the recommended trainings with the Office of Secretary of State or the Association for Information and Image Management (AIIM).

Respectfully submitted,



Larry G. Herrera  
City Clerk

# Attachment I

# Long Beach City Electronic Archives Policy

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## Purpose

The City Council recognizes the need to establish uniform citywide standards to ensure that official records of the City of Long Beach, when maintained electronically: [1] comply with the trusted system requirements set forth in the California Government Code; [2] are indeed true and accurate representations of the original information; and [3] remain accessible for the duration of the records' applicable retention period.

## Authority

This Policy is adopted in consideration of the provisions of Government Code Sections 34090 and 34090.5; and Government Code section 12168.7 pertaining to standards for recording permanent and nonpermanent documents in electronic media on a trusted system.

Government Code sections 34090 and 34090.5 allow the City Council, at the request of a City officer, to authorize the destruction of any official record that is not expressly required to be filed and preserved if:

- 1) the official record is electronically recorded on a trusted system that does not permit additions, deletions, or changes to the original record images; and
- 2) the official record produced in compliance with Government Code section 12168.7, accurately reproduces the original record, and is conveniently accessible.

## Applicability

This Policy regarding electronic record preservation applies to City departments that:

- 1) Create or store electronic documents as the official records of the City;
- 2) Intend on destroying the original hardcopy and maintaining the electronic documents as the official records of the City; or
- 3) Maintain electronically originated documents as the official records of the City.

Such departments shall comply with this policy and implement or exceed the minimum standards established herein.

## Responsibility of Department Heads

It is the responsibility of department heads to ensure their departmental Enterprise Content Management Systems (ECMS) is a trusted system and complies with the trusted system requirements contained herein and any associated departmental procedures on trusted systems.

For purpose of this Policy, "trusted system" means a combination of techniques, policies, and procedures for which there is no plausible scenario in which a document retrieved from or reproduced by the system could differ from the document that is originally stored and is further defined in Section 5.3.3 of AIIM ARP1-2009.

### **Prohibited Destruction of Certain Official Records**

Departments shall not destroy: (i) official records that are expressly required by law to be filed and preserved; and/or (ii) official records that are required by law to be retained in hardcopy format. This policy shall not be construed to allow a department to maintain such official records electronically in place of the original hardcopy.

### **Departmental Compliance - Trusted System Requirements**

A department that maintains official electronic records in its departmental ECMS must:

- 1) Ensure the ECMS is a trusted system that does not permit additions, deletions, or changes to the original official records;
- 2) Produce the official electronic records in compliance with the trusted system requirements, as defined in this policy;
- 3) Use ECMS technology that accurately reproduces the original official records in all details and does not permit additions, deletions, or changes to the original official record images;
- 4) Ensure that the official electronic records in the ECMS is conveniently accessible and ensure provision is made for preserving, examining and using such records for the duration of the records' applicable retention period; and
- 5) Separately maintain a duplicate copy of the official electronic records contained in the ECMS that does not permit additions, deletions, or changes to the original record images.

### **Procedural Standards for Official Electronic Records**

Departments must develop and implement departmental procedures documenting its business practices on the creation, management and storage of official electronic records in a trusted system that are consistent with this policy.

Such business practices procedures shall include the following information:

- 1) Description of how original hardcopy of official records will be scanned, indexed, and verified;
- 2) Description of how the ECMS will be secured from unauthorized access;
- 3) Description of how official electronic records will be secured from unauthorized modification or alteration;
- 4) Description of how authorized modification of official electronic records will be managed and ability to retrieve any previous version required to be maintained.
- 5) Description of how notes and annotations (if any) will be stored and managed, if they are part of the official electronic records;
- 6) Description of how this policy and the departmental procedures on trusted system will be followed;

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- 7) Description of how the ECMS will adhere to its City Council approved Records Retention Schedule.
- 8) Descriptions of how functional roles of departmental personnel are separated to ensure error checking.

Such departmental procedures, when updated, must clearly state when the modifications took effect and what areas were affected.

To ensure quality control for scanning and indexing official records, department shall require all personnel performing scanning and indexing to:

- 1) Check and validate the complete scanning and indexing process;
- 2) Facilitate the re-scanning and indexing process;
- 3) Verify readability of each page or each document;
- 4) Verify proper indexing of each document;
- 5) Verify accurate page counts for each document; and
- 6) Verify accurate security for each document.

### **Departmental Records Retention Schedule Requirement**

Department must evaluate its current recordkeeping as follows:

- 1) Verify accurate storage security for each document.
- 2) Conduct an inventory of the official records of each division and section; to verify all applicable record titles are on the current retention schedule.
- 3) Identify all disposable official records pursuant to the applicable records retention schedules;
- 4) Identify all official records to be retained pursuant to the applicable records retention schedules; and
- 5) Destroy any backlog of outdated non-records.

Departments should review records retention schedules as may be appropriate or every five years as recommended by California Secretary of State.

Official electronic records are subject to the applicable retention period as provided in the Council-approved departmental records retention schedule; and departments must ensure that official electronic records maintained in its departmental ECMS remain conveniently accessible during the records' applicable retention period.

Official electronic records that are scheduled to be destroyed pursuant to the records' retention period shall be suspended by the department if:

- 1) The department receives notice of pending litigation, reasonably anticipated litigation, an audit, or records request prior to the expiration of such records' retention period; and
- 2) Such official electronic records are relevant to the litigation, audit or records request.

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The destruction of such official electronic records will be suspended until the final resolution of the litigation, audit and/or records request.

### **Technology Standards for Official Electronic Records**

Departments must ensure at least two (2) separate official electronic records are created in the departmental ECMS that meets all of the conditions of a trusted system as identified in Section 5.3.3 of AIIIM ARP1-2009, including:

- 1) **Prevention of Unauthorized Modification.** The ECMS must utilize both hardware and media storage methodologies to prevent unauthorized additions, modifications or deletions during the official electronic record's retention period;
- 2) **Secure Storage and Separate Secondary Storage Location.** The ECMS must write at least one copy of the official electronic record into electronic media that does not permit unauthorized additions, deletions, or changes to the original and that is to be stored and maintained in a safe and separate location; and
- 3) **Image Quality Requirement.** Departments must use minimum scanning resolution of 300 dots per inch (DPI) to ensure image quality for electronic records.

Department must ensure every official electronic record maintained in the departmental ECMS is considered to be a true and accurate copy of the original information received.

### **Administrative Standards for Official Electronic Records**

The City Clerk Department, in consultation with the Technology Services Department and City Attorney, shall develop, as appropriate, standard forms to facilitate the implementation of this Policy.

Departments shall apply the following administrative requirements:

- 1) Designation of records personnel to enforce and monitor compliance with this Policy and the departmental procedures on trusted system; and
- 2) Designation of a custodian of official electronic records to authenticate the official electronic records that are maintained in the departmental ECMS.

The custodian of official electronic records shall be sufficiently knowledgeable about the departmental ECMS (including how official electronic records are collected and assembled), trusted system, this Policy and the associated departmental procedures on trusted system.

### **Training on Trusted System**

It is highly recommended that department records personnel, with the following responsibilities; attend training conducted by the Office of Secretary of State or a seminar sponsored by AIIIM or the Technology Services Department on a trusted system:

- 1) Designing departmental ECMS;
- 2) Enforcing this Policy or the departmental procedures on trusted system; and
- 3) Designated as the departmental custodian of official electronic records.

### Conditions for Destruction of Official Records

Department head with custody of departmental official records may cause the original hardcopy of such official records to be destroyed and maintain such official records electronically in its departmental ECMS only if all of the following conditions are satisfied:

- 1) Destruction Is Not Prohibited by Law
- 2) The official records are not expressly required by law to be file and preserved, and/or required by law to be retained in hardcopy format. See Government Code Section 34090.
- 3) The Departmental Records Retention Schedule is current and updates have been approved by the City Council.
- 4) The City Attorney's office reviews and approves the Destruction Request and initiates a City Council Resolution. The Resolution is placed on the City Council Agenda and is adopted.

### Definitions

As used in this Policy, the following definitions shall apply:

- 1) "AIIM" means the Association for Information and Image Management.
- 2) "AIIM ARP1-2009" refers to the AIIM ARP1-2009 Analysis, Selection, and Implementation of Electronic Document Management Systems approved on June 5, 2009. AIIM ARP1-2009 may be downloaded directly from AIIM at [www.aiim.org/standards](http://www.aiim.org/standards). or from the California Secretary of State at [www.sos.ca.gov/archives/local-gov-program](http://www.sos.ca.gov/archives/local-gov-program).
- 3) ECMS (Enterprise Content Management System), includes, but is not limited to, the following electronic technologies:
  - a. Document imaging technologies that are used to convert hardcopy into electronic format;
  - b. Document or library services technologies that are used to manage electronically originated documents;
  - c. Business process management or workflow technologies that are used to automate work processes including the creation, routing, tracking, and management of information being processed;
  - d. Enterprise report management technologies that are used to store electronic formatted reports;
  - e. Forms processing technologies that are used to incorporate interactive forms and manage related forms data;
  - f. Optical character recognition or intelligent character recognition technologies; and
  - g. Various applications also considered as add-ons such as records management applications, legacy systems and integration tools.



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- 4) "Electronically originated documents" includes any document or record created without first having originated in hardcopy format. It includes all documents or records generated through electronic submissions.
- 5) "Electronic documents" means electronically originated documents or hardcopy documents or records that have been scanned or otherwise converted into electronic format.
- 6) "ISO" means the International Organization for Standardization. ISO documents referred to in this Policy may be purchased from AIIM at [www.aiim.org/standards](http://www.aiim.org/standards).
- 7) "Official records" shall include official documents or official records that are: (i) defined as such in applicable statutes and in the business practices of City departments that are responsible for retaining said documents or records; or (ii) identified in the City Council' approved departmental records retention schedules.
- 8) "Official electronic records" are electronic documents that are created or stored by City departments as the official records of the City.
- 9) "PDF/A" means Portable Document Format/Archive, which is an electronic file format whereby documents are self-contained allowing them to be reproduced with all of the document coding embedded within the file.
- 10) "TSD" means the City of Long Beach Technology Services Department.
- 11) "LBCRMAP" means Long Beach City Records Management and Archives Program.
- 12) "Trusted system requirements" means and includes compliance with:
  - a. Government Code sections 34090 and 34090.5.
  - b. Government Code section 12168.7, including but not limited to the minimum standards or guidelines, or both, as recommended by the American National Standards Institute or AIIM for recording of permanent records or nonpermanent records.
  - c. The following sections of AIIM ARP1-2009:
    - i. Section 5.3.3 - Trusted system and legal considerations;
    - ii. Section 5.4.1.4 - Image formats;
    - iii. Section 5.4.2.4 - Document image compression;
    - iv. Section 6.2 - Recommended project steps; and
    - v. Section 6.17 - Business practices documentation.