Department of Information Technology
Records Management/Document Management System
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Revision History

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09/15/2008	Records Management Manual	1.0
02/20/2009	Revised Appendix C: Document Editing & Formatting Standards	1.1
02/20/2009	Updated Appendix A: Data Processing Standards	1.1

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Records and Information Management
Values Statement

Ensure records are retrievable, reliable, secure and trustworthy;

Promote effective utilization of information and knowledge;

Reduce liability relative to litigation, privacy issues and regulatory non-compliance;

Educate users in the principles and techniques of information management.

Utilizing Effective Records Management Practices

Introduction

The Department of Information Technology develops and implements the City of Hampton's Records Management Program. This manual provides information on how to manage the City's records efficiently and in compliance with state and federal laws. It is important to keep in mind that the City's records are subject to both the Virginia Public Records Act, and the Federal Freedom of Information Act (FOIA).

An effective records management program is a system that tracks the life cycle of each record. It means knowing when a record is created, what function it serves, how long it is considered useful by the agency that created it, what the parameters are for maintaining it and for how long, and what legal authority enables it eventually to be destroyed and when, if at all.

The benefits of an effective program are many:

- Saves office space and corresponding filing equipment, non-active storage and long-term preservation expenses

- Assists governmental officials in making informed policy and program judgments

- Assures the fullest possible historical documentation of official legal, administrative and fiscal actions

- Makes public records readily accessible to the public, thereby helping people help themselves to official government records, ensuring government accountability

- Protects the privacy and confidentiality of appropriate records

- Makes record research and future records management more organized and efficient

- Protects essential records from being lost, damaged, or destroyed by negligence or natural disaster

Definition of a Record

The *Virginia Public Records Act* defines a public record as: *"Information that documents a transaction or activity by or with any public officer, agency or employee of state government or its political subdivisions. Regardless of physical form or characteristic, the recorded information is a public record if it is produced, collected, received or retained in pursuance of law or in connection with the transaction of public business."* Formats can include paper, microforms, electronic records, magnetic tapes, maps, disks, photographs, film and sound recordings.

Remember that "public record" means that it is a government record; however, it does not mean that these records must always be available to the public (e.g. personnel records are to be kept confidential). In any case, public

records must be available for appropriate access throughout their retention period. The *Virginia Freedom of Information Act* of the *Code of Virginia* (Sections 2.2-3700 et. seq.) governs access to public records.

Records created or collected in the course of City business are the property of the City of Hampton. This is true even if the records are created away from the City (at home, for instance), by a third party working for the City or on a non-City computer.

Reference Appendix B for information regarding filing, file structure, file contents and best filing practices.

The Life Cycle of a Record

A basic concept in Records Management is the **records life cycle**. The life of a record goes through phases starting from when it is created or received by the Agency, through to its use, maintenance and temporary storage before finally being destroyed or archived permanently.

Creation: The first phase of the Records Life Cycle involves records being created, collected or received through the daily transactions of the City and can include printed reports, emails or even phone messages, documents that detail the functions, policies, decisions or procedures of the agency.

Maintenance & Use: This phase can include filing, retrieving, use, duplication, printing, dissemination, release or exchange of the information in the record.

Disposition: During this phase, records are assessed to determine their retention value using Records Retention Schedules. This leads to either the preservation or destruction of the record.

Preservation: When a record has been determined to be of permanent value to the organization, then it is transferred to the Archives for permanent archiving and preservation

Temporary Storage & Destruction: If a record still has ongoing value to the Organization it will be temporarily stored either onsite in the department or offsite with the City's records storage vendor. When the retention date of these records is reached, communication will be provided to the appropriate department prior to their destruction.

The responsibility for maintaining a record during its active office life is that of the office that generates the record or the Office of Record.

Maintaining the "Official Memory" of the City of Hampton

The official memory of the City of Hampton lies with its records. The procedures in this manual will prevent City records with substantial historical, legal, financial, and administrative value from being disposed of improperly. Any

loss means that parts of the history of the City of Hampton are gone and cannot be recovered. Just as tragic is when moribund records of no real value are preserved, cluttering up precious shelf space and turning local archives into dusty, overgrown wastelands virtually inaccessible to the public.

Natural and human-made disasters are always a serious concern. Virginia has experienced flooding, and many records have been lost or ruined by water. Fires are also extremely common. Many electronic records are lost by computer viruses and faulty computer equipment. Other electronic records are irretrievable because the equipment required to access them no longer exists or no longer functions. More often than not, though, even these disasters can be prevented with a little planning and foresight.

Organizational changes can also be an obstacle to effective records keeping. Lack of consistency in management and maintenance practices can complicate office procedure and hinder efficient retrieval of old and new records. Lastly, some records practices have been around a very long time, and the temptation to continue a practice because "we've always done it this way" is very strong. Consistency in records management is very important, but it must be remembered that every active filing system in every office, everywhere, is a dynamic system that changes naturally and often. Such filing systems are never "set up" as many would refer to their imposition of a structure on their records, but if the structure is well thought out, it will be elastic enough to accommodate a variety of variables. When the filing scheme is clearly

explained to others, that system will be easy for everyone to maintain and use.

The Role of the Records Officer

In Section 42.1-85, the Act states that each agency and locality "shall designate as many as appropriate, but at least one, records officer to serve as a liaison to the Library of Virginia for the purposes of implementing and overseeing a records management program, and coordinating legal disposition, including destruction of obsolete records."

For the purposes of this manual, Records Officer and Records Manager are one and the same. The Records Manager provides technical leadership, management, administration and support in the areas of electronic document management and records management; Serves as the technical project manager for departmental and enterprise document/records management system implementations; Provides technical assistance and support and training to users of the records management systems; Ensures that all electronic City records are stored in a manner that complies with all applicable laws and industry regulations. This includes making certain that the storage of these records is such that the information contained therein is highly secure and readily accessible to authorized persons. The duties of the Records Manager may include performing and/or directing the performance of the following:

- Administers the City's RM/DMS, including policy and procedure development, and security implementation

- Facilitates the RMLS Team, ensuring on-going communication for City departments in regard to RM/DMS matters

- Ensures departmental compliance with State retention schedules, City policies/procedures and any necessary eDiscovery measures

- Assists the City Attorney's Office to identify vital records (records essential to conducting and continuing business operations) and taking precautionary steps to protect them from harm, including natural disasters

- Assists the City Attorney's Office with FOIA compliance

- Coordinating with the State Library to assure that proper protocol and procedures are followed, and that appropriate paperwork is generated for transfer or destruction of public records

- Making records available and accessible to the public

- Maintaining the privacy of confidential records (e.g. personnel records) according to law

- Supervises the placement of inactive records in storage; the timely review of stored records for destruction; and maintains off-site storage inventory lists

- Provides education and training opportunities to departments as necessary

The Role of the State

The Library of Virginia offers a wide range of services to support state agencies and localities with the efficient and economical management of public records. Under the authority of the Virginia Public Records Act, as well as other state statues and regulations, the State ensures public records exist and are available. To achieve this the State publishes records retention and disposition schedules, offers consultation and assistance to state and local offices, reviews the disposal of non-permanent records and assists with the transfer of permanent and historically significant records to the Archives.

The Library of Virginia issues regulations governing the retention and disposition of records for state and local government records.

Compliance with stated retention periods is required.

The Role of Department Directors

All employees are expected to handle City records in a responsible manner and ensure that records are either filed or made available for filing so that they can be accessible when needed.

Each department should ensure that at least one contact person is assigned the department's record management responsibilities. The contact person will serve as the department Records Management Liaison Staff (RMLS).

Each RMLS will support the Records Manager to ensure that compliance and

security matters, education and training, and ongoing communication are handled for their respective departments.

Department employees assigned record management responsibilities are required to fully acquaint themselves with the applicable Virginia Statutes, Administrative Codes and, where appropriate, use of the City's RM/DMS Program in the maintenance of City records.

The Role of the Records Management Liaison Staff

Each department is responsible for implementing and maintaining the RM/DMS Program in accordance with the procedures established by the Records Manager. In implementing the program, a department's RMLS:

a. Supports the Records Manager in maintaining the Records Management Program by participating in RM/DMS education and training, maintaining compliance with the State's retention guidelines, and implementing records management decisions to ensure that the interests and concerns of the City are addressed.

b. Ensures the DMS system is utilized according to established procedures.

c. Notifies the Records Manager when new project folders need to be created.

d. Notifies the Records Manager of all security related issues, including creating new security access rights and privileges.

e. Moves appropriate files to deleted folders for destruction.

f. Collects and reviews files eligible to be transferred to off-site storage, purges them of non-record and duplicate items, and prepares an inventory of items to be transferred to off-site storage.

g. Conducts an annual review of files eligible for destruction to remain in compliance with the State's retention regulations.

h. Assists with any eDiscovery and/or litigation hold requests on behalf of their respective department.

The Role of Records Users

Every City employee is a records creator and/or records user. In addition, each department may have an individual or several individuals responsible for document scanning, performing searches for information and research, submitting documents into the DMS, etc. Individuals selected to perform scanning, OCR and other technical work within the DMS will require in-depth training with the use of the DMS.

Safeguarding City Records

As custodians of City records, it's important to remember:

- That records are the property of the City, and not any one employee or official.

- Do not remove or allow City records in your care to be removed from your Department or from the City Hall without the prior approval of your

Department Director or your Department RMLS.

- That the records you are responsible for are adequately protected by physical or technical measures.

- Determine and apply the level of protection appropriate to the sensitivity of the records or information that must be protected.

Records Content

City records are created to document the mission and the businesses processes of the City. The information contained in City records may be useful to other organizations or individuals because the records were created for a specific purpose at a given point in time, and by a trustworthy source.

The City does not modify record content to satisfy the requirements of other entities or individuals in the conduct of its daily business.

Chapter 2

Retention and Disposition Schedules

What is Records Management?

In its broadest sense, Records Management or RM is the practice of identifying, classifying, archiving, preserving and destroying records. RM is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.

The practice of records management involves, creating and enforcing records policies, developing a records storage plan, adhering to approved records retention policies, and integrating records management into business systems and procedures.

Records management systems may be paper based, or may be a computer system.

What is a Document Management System?

A Document Management System (DMS) is a computer system used to track and store electronic documents and/or images of paper documents – essentially an electronic filing cabinet. This system allows for desktop document retrieval and information sharing. The term has some overlap with the concepts of Content Management Systems and is often viewed as a component of Enterprise Content Management Systems and related to Digital Asset Management, Document imaging, Workflow systems and Records Management systems.

Document management systems commonly provide storage, versioning, metadata, security, as well as indexing and retrieval capabilities. Utilizing a DMS may provide the City with opportunities to improve its business processes through project management, office management and transactions management.

Reference Appendix E for additional information.

Records Retention

A "records series" is a group of like, or related documents that are kept together. Examples include: personnel records, accounts receivables, deeds, planning documents, court case files, etc. In these examples, each group listed is a records series.

A retention and disposition schedule (also known as a "retention schedule") is the authority that lists records series and provides instructions and special guidelines for their care, how long to preserve or retain them, how to maintain them, where and under whose custodianship, and when and under whose authority to dispose of them. By following a retention schedule, systematic control of information from its creation to final disposition is established. Different records series are required by law to be preserved or retained according to the length of time that they have administrative, legal, fiscal, historical or research value. For

example, the minutes of all City Council meetings are to be kept permanently because of their high administrative and historical values; completed purchase orders, on the other hand, have less value and are to be kept for only three years, and then destroyed. The vast majority of records have a short lifespan, but others have longer retention periods for various reasons (e.g. special laws).

It is not acceptable for any office to keep records longer than their retention period dictates, even if there is room for them. Conversely, no record series found in an office, nor any part of a record series, may be destroyed before the time specified on the retention schedule.

There is one General Retention Schedule for all Virginia localities, each of which has similar offices that generate similar records. All retention schedules carry the force of law.

Litigation Hold

A litigation hold, also known as suspension or records hold, is the suspension of the City's document retention/destruction policies for specifically identified records that may be relevant to a lawsuit or a legal or administrative claim that has been filed, and/or one that is "reasonably anticipated." A litigation hold ensures that key employees are notified of document preservation requirements and subsequently, relevant data is not destroyed. A litigation hold also includes the suspension of informal procedures, such as recycling back-up tapes. For a definition of when it is "reasonably anticipated" that a lawsuit, legal claim and/or administrative claim can be "reasonably anticipated" please reference Appendix F.

Here are three important terms to know in the process of keeping records:

Record copy: The official copy of a record.

Convenience copies: All copies other than the record copy.

Office of record: The office responsible for the collection and disposition of the record copy.

When a convenience copy has outlived its usefulness, destroy it knowing that the Office of Record is keeping the record copy. Keeping copies longer, 'just in case' is more likely to create problems than to solve them.

Chapter 3

Reformatting and/or Duplicating Records

Reformatting Records

Reformatting from paper to another medium is often viewed as the cure to records storage woes. However, while records conversions can make a significant improvement in efficiently managing information, they should be carefully considered and planned in careful detail. Reformatting is not always the best solution to a record keeping problem, and it definitely is not the least expensive solution. Before implementing a reformatting plan, explore alternatives, such as applying retention schedule requirements regularly, using a commercial or non-commercial facility for storage, and purging files.

> The conversion of records from one format to another does not prolong or extend their lifetime in relation to any applicable records retention.
>
> Records retention schedules are applied regardless of record format.

Low use, inactive paper records with retention periods of less than 20 years generally should be kept in their original form and stored in the most secure, lowest-cost space available.

When To Reformat or Convert

The most important thing to remember about reformatting is that records should not be converted or reformatted solely for space-saving purposes. An analysis of the records - their use, their retention periods, and their inherent long-term value - should be completed before any final decision is made. Consider the following when evaluating the necessity and practicality of reformatting:

- Are the long-term benefits greater than the short-term expenses?

- Are changes in technology being taken into account?

- Would reformatting incorporate workflow?

- Are the records historical or otherwise valuable records that are in bad physical condition?

- Do the records have a long retention period, are they permanent, vital or historical?

- Do the records have a high retrieval rate?

- Are the records needed by multiple users simultaneously?

- Are the records needed at multiple locations?

- Do the records have important research value?

- Are the records oversized and bulky and meet one or more other criteria for reformatting?

There are two major methods used for imaging records - microfilming and optical imaging. Both have their advantages and disadvantages, depending on their application and the anticipated use of the reproduced documents.

Paper to Film

Source document microfilm is a method of converting paper to film. It is a fairly low-cost storage and retrieval alternative for any size operation. It generally costs from three to five cents per image for normal commercial type filming. It is one of the most widely used means of reproducing records. Conversion costs are fairly easily controlled, and the output has been a reliable reformatting norm for decades.

The Code of Virginia provides [Standards for Microfilming Public Records](). Microfilm is the only "eye-readable" format that reduces space requirements. No matter what the evolution of records keeping equipment in the future, microfilm can always be available to be read, since all that is required to access the information on a roll of film is a light source and a magnifying glass.

Optical Imaging (Scanning)

Optical imaging converts information stored on a computer, film, or paper to a digitized image that is then stored on a compact disk (CD) or server. Optical imaging is often the choice of those with a need to drastically reduce space, or to have multiple users accessing the same information at the same time.

Storing permanent records on optical media is NOT ACCEPTABLE for permanent records UNLESS those records have first been microfilmed. Part of the reason lies in the nature of the technology. Aside from not being eye-readable, records like those stored on computer disks, floppies, zip files, hard drives, etc., are software-dependent, and can be easily altered in certain formats. In fact, for all electronically stored information, software and hardware to read stored data must be upgraded and kept compliant and maintained in good working order to access the records throughout their retention period.

All images used for archival purposes must be in tiff format.

Legal Requirements for Duplicates

Film or images of duplicate records must be quality checked, and all film must meet American National Standards Institute (ANSI) standards. Virginia law (see Code of Virginia 17VAC20-10 et seq., 17 VAC 15-50-10 et seq., and other relevant sections) requires that all duplicates of original records must:

- Accurately reproduce the original in all details

- Be accessible for the required retention period

- Be unalterable and unerasable*

- Be reviewed or otherwise approved by the LVA

* In the case of records duplicated in a digital format, the vendor used for this process must be able to guarantee that

the image - if transmitted via computer from one office to another - cannot be altered by the receiver, and this protection must be included in the price they quote.

Both the state and federal governments recognize the legal status of copies made from various sources, including electronic data stored on microfilm, CD-ROM, and optical media (see Code of Virginia 8.01-391, and other relevant sections).

Destroying Records After Reformatting

Following duplication, it is generally permissible to destroy/recycle the originals, provided that the proper destruction procedure, as outlined below, is followed. Please note that retention schedules or some other legal authority may preclude destruction of the originals. Consult with the Records Manager prior to destroying City records.

Reference Chapter 6 and/or Appendix H for additional information.

Chapter 4

Electronic records

Introduction

Electronic record keeping involves the use of a computer to create, retrieve, analyze, transmit manage, preserve or delete records. Electronic records are data in a form that can be read and processed by a computer and/or other electronic devices with digital memories and that satisfy the legal definition of a record. Electronic records may include data files and databases, magnetic tapes and disks, optical disks, compact disks (CDs), and any other form of magnetic, electronic, or digital media and their associated software programs, documentation, manuals, or instructions, machine readable indexes, word processing files, electronic spreadsheets, electronic mail and messages, as well as other text, video, or numeric information.

> The retention and disposition requirements for records are the same regardless of their format (paper, microfilm, or electronic).

Document Management Systems Considerations

As part of the City's RM/DMS, the Records Manager will establish and maintain:

- System administration for DMS installations

- Accurate and full documentation of any DMS used by the City, including: identification of what functions are supported by the system; documentation of operational, audit, legal, oversight, vital, and historical requirements for the information; knowledge of how the information will be used, accessed, and maintained on each media to meet the differing requirements; and procedural controls necessary to preserve the integrity of the data in the system

- Creation documentation, including instructions for operators of all equipment used in creating and managing electronic records.

- Access control procedures, audit procedures, verification procedures,

Maintaining Electronic Data

Electronic records are not only produced in Word, Excel, and other popular applications. Electronic records are also the images stored on CDs, information on backup tapes and on servers. It is the data that is being maintained, however the data is stored on media forms that are not manufactured for permanent storage.

The City is responsible for recopying or "refreshing" its electronic recordings scheduled for long-term retention. This is done at least once a year for magnetic disks or diskettes and at least every 10 years for magnetic tapes or for data converted via optical imaging. This must also be done when hardware and software operating system changes are made, or when media may have been compromised by environmental failure.

Format Not Permanent

Since the media on which electronic records are maintained is not considered permanent, presently electronic records are not acceptable for archival storage. If the information stored in electronic format is required by a retention schedule to be kept permanently or to be transferred to the State Archives, the records must be converted to paper or microfilm, the two accepted "eye-readable" media that meet the standards for permanent archival retention.

Migration Plans

If the retention period for any electronic media is 10 or more years, consideration should be given to building into a storage plan a strategy for the migration of the recorded information to the next generation of technology's record media. The software and/or source codes need to be stored with the electronic records. Technological obsolescence should not be allowed to prevent the retrieval of records from their original formats.

E-Mail Considerations

E-mail is not a records series or a classification of records; it is a generic term used to describe a mode of communicating information through an electronic media. Records in e-mail systems include messages sent, messages received, header information, attachments, and transmission and receipt data.

E-mail has become an integral part of how government conducts business. Through e-mail, approvals are made and authorizations given. It is the content of the records transmitted in an e-mail system that determines the value of the records. Therefore, the value of the records, regardless of the format they are in, is determined by a Records Retention Schedule. If it is not a record, dispose of it immediately. If it is a record, it must be retained by the person responsible for the retention of the record.

Public employees should assume that e-mail messages are public records. E-mail should be used for appropriate government purposes only. Incidental and occasional use of e-mail occurs, but it should be used wisely and with consideration for the perspective of others.

E-mail documents that you receive or author from non-City mail accounts may still document City business making them subject to recordkeeping requirements as if they originated from a City e-mail account.

Individual employees are responsible for the management of their mailboxes and associated folders. Remember - e-mail

is a communications tool and not a storage cabinet.

E-mail is considered a non-record, and should be destroyed if it:

- Is personal and does not conduct City business

- Is SPAM (unwanted and unsolicited bulk e-mail from unknown or unwanted sources)

- Originated from a Listserv.

- Is copied to you, and someone in the City is included in the addressee line.

If an e-mail does not meet the above criteria, it needs to be assessed for records retention and stored by the appropriate person. Based on the content of the message, the person representing the Office of Record should capture the information and store it for the appropriate retention period. City interests are best served when the Office of Record has the full collection of information and other fragmented collections of records do not exist.

Internal E-mail Policies

The City's Information Technology Management Guide is published on the City's intranet. This Guide includes the City's E-mail policies.

Employees shall store emails via their respective DMS as these solutions become available in various departments, and not in their Outlook mailboxes.

As a general rule: Email that needs to be stored for 90-days or longer should be moved onto a DMS if available. Email may be stored and retrieved in its native format, retaining all header and transmission data, and attachments.

Naming Conventions

File and folder naming conventions are key to maintaining well-organized electronic directory and drive structures. Naming records consistently, logically and in a predictable way will distinguish similar records from one another at a glance, and by doing so will facilitate the storage and retrieval of records, which will enable users to browse file names more effectively and efficiently. Naming records according to agreed conventions should also make file naming easier for colleagues because they will not have to re-think the process each time a document is created.

Naming conventions are not an optional tool for staff use, and must be consistently applied and maintained from department to department on a daily basis.

Appendix G provides specific instruction and examples of naming conventions while utilizing the Data Processing Standards provided in Appendix A.

Chapter 5

Storing, Moving and Transferring Records

Introduction

Archived records (records nearing destruction that aren't accessed frequently, or permanent records that aren't accessed frequently), are usually placed in temporary storage areas prior to disposal or for long-term storage.

Usually, the decision is made to move records to storage when the filing cabinets in the active office areas are full. The City contracts with Iron Mountain, and the Records Manager will assist departments during the transfer process.

Storing Active Records in Office Areas

Storing active records in your office ensures that records are kept near their users and enhances record accessibility when they are well organized.

A well-designed in-house records storage system will:

- Remove inactive records to protected storage locations in the building, away from central areas of the office

- Assure fast and easy retrieval of stored records by creating an organized retrieval system

- Ensure that the records are not subject to access by unauthorized personnel

- Facilitate the timely disposition of records, according to approved retention schedules

Storing Records at an off-site Facility

The City of Hampton contracts with Iron Mountain for off-site records storage. Since office space is expensive and limited, only current and frequently used records should be housed in an active office area. Records that are accessed less often are sent to storage areas where they can be retrieved quickly when needed. Records that have passed or are very near their retention lifetimes will not be stored off-site.

Ideally, retention schedules specify when a records series should be sent to storage. The terms "active" and "inactive" for records indicate how frequently users reference a records series. As records get older, they usually are needed less often.

Preparing Records for Storage

To ensure efficiency and economy in utilization of office space for active records, all files that are not updated or referenced on a regular basis, but haven't yet reached their retention period can be transferred to an off-site storage facility. Keeping the City's records clean and easy to locate, even while they're in storage, is vital to the records retrieval process.

Retrieving Files from Storage

Each Department's RMLO may retrieve boxes from storage on behalf of their deparrtment. Requested boxes will be delivered directly to the requestor's office; allow approximately 24 hours to one-week for retrieval time.

Chapter 6

Destroying Public Records

Introduction

To determine when you may destroy records, approved records retention and disposition schedules are consulted. These describe the types of records created by public offices in Virginia. They list the records series, and state how long each type of record must be retained according to statute. They specify when (after their creation) to destroy the records, and they document other relevant retention and disposition information by records series. A schedule also may state if records are to be reformatted, or if they must be destroyed in a certain manner. Retention schedules constitute a legal plan for the destruction of records.

Methods of Destruction

The nature of the information contained in the record, as well as the record's format (paper, film, disk, floppy, etc.), dictates the method by which it should be destroyed.

However, when records contain personal, private or confidential information, they must be destroyed so as to prevent unauthorized access to them. A good rule of thumb to apply is to see if names appear on records. If so, don't choose recycling or trash as a viable destruction method.

Destroying Electronic Data

To protect individuals who may have private or confidential information stored in an electronic format, data must be obliterated, or "wiped" from hard drives and portable devices, including disks, CDs, thumb drives, etc. Deleted records can be recaptured. Special software programs wipe records to make them permanently irretrievable and inaccessible.

Shredding

Shredding is the most popular method of destroying private or confidential information. Shredders come in a variety of sizes and capacities. If the volume is too large for an office shredder to handle, some vendors will bring equipment to your facility and shred documents on site. If records are to be shredded on the vendor's premises, certified shredding is recommended.

Shredders have become a very economical piece of office equipment, offering a degree of confidence that confidential, sensitive, or personal information, once shredded, cannot be recaptured. The best type of shredder to use is the type that offers a fine cut or cross-cut. A strip-cut shredder can create a series of strips that can be reassembled into a complete document.

Burning

Once a common means of destroying records, environmental regulations now generally restrict burning, making it a less viable destruction option. If used, ensure that the burning is legal at the burn site and environmentally safe, and that after the burn all private or confidential information has been obliterated. Burning should be utilized only when recycling, trashing, and shredding are not options.

The City of Hampton may utilize the services of the Steam Plant for this. Please contact the Records Manager if you have records that need to be burned.

Recycling

Recycling (also known as pulping) is the most responsible way to dispose of paper records that are not sensitive, private, or contain personal information. However, even records containing these information elements can be recycled, provided they are shredded first. Private or confidential

records can be recycled if the recycling company and its personnel are bonded, which means that they will certify that the record information has been protected from public access. An additional fee usually is charged for certified disposition.

Solid waste recycling programs are required by state law: (Va *Code*: § 9VAC20-10 et. Al.) And beyond the legal mandate, they make good common sense. They offer long-term benefits, are environmentally friendly, and they may also be economically productive.

Destruction of Records

Records are destroyed when they reach the end of their lifetime as defined on the State's retention schedules. Like the "convenience copies," it is important to destroy the record copy in the normal course of business when the proper time arrives. Records containing sensitive or confidential information are destroyed so the information is no longer legible.

The Commonwealth of Virginia requires completion of form RM-3 "Certificate of Records Destruction" to approve and document the destruction of official records maintained by each organization. The form requires the signature of a "DESIGNATED RECORDS OFFICER" prior to destruction of official records. The Records Manager is the Designated Records Officer for the City of Hampton.

The Records Manager handles the completion of RM-3 forms for records stored in off-site storage. For records being destroyed directly from the departments and offices, the forms are completed by the department and submitted to the Records Manager for signature prior to the records being destroyed. Contact the Records Manager for more information about the completion and submission of RM-3 forms.

Recycling locations in Hampton can be found by contacting the City's Public Works Department.

22 Lincoln St., 4th Floor City Hall
Hampton, VA 23669
757-727-6346
Fax: 757-727-6123
Email: publicworks@hampton.gov

Reference Appendix H for additional information.

Chapter 7

Records Preservation

Introduction

The purpose of this chapter is to raise an awareness of issues associated with the preservation and conservation of permanently valuable and other important public records stored in the City.

In short, preservation is about maintaining records as they are (by protecting them from decomposition or damage), and conservation is about restoring them to what they were by countering any damage that has already been done to them, whether by natural or human actions.

Environmental Considerations

The suitability of work and storage environments for safety, security, stability of temperature and humidity levels, fire detection and suppression, and disaster prevention is primary in preserving and conserving records.

Environmental considerations include the following criteria:

- Temperature and humidity

- Fire and smoke detection.

- Vulnerable storage locations.

Enemies of paper and other records:

Pests: Insects, mold and mildew result from improper maintenance of storage areas. Food and drinks in storage areas attract insects and rodents.

Mold and Mildew: High humidity encourages mold and mildew. Once mold or mildew is allowed to grow, the environment is contaminated, perhaps forever. Records stored in a location where mold or mildew has been found must be moved. Even after a move, spores may blossom on the records in a new location. If the records are permanent, professional mitigation personnel must be called in to remedy the problem.

Sunlight and ultraviolet (UV) light: Light fades and discolors paper. Choosing incandescent lighting allows control over which areas of the storage area are lit. As for sunlight, one has only to think about what happens to a newspaper that is left on a porch for a day or two. The resulting discoloration is what will also quickly happen to paper records which are exposed to sunlight.

Air flow: Air streaming onto records can cause them to deteriorate by changing the temperature and humidity around them. Air ducts can be diverted, or boxes of non-permanent records can be placed nearest the ducts so that they become deflectors of the air away from more valuable records.

Permanent Paper Preservation

Some general guidelines for handling permanent paper records are as follows:

- All permanent paper records should be created using alkaline (acid-free) paper. All archival and permanent records should be stored or housed in acid-free folders and boxes to ensure protection from acidity normally found in regular folders and storage boxes. Acid-free boxes can be purchased from office supply stores, but often they or acid-free folders have to be special ordered. Over a period of time, acid in "regular" folders and boxes will destroy the records inside.

- Archival repair tape should be used to repair archival or permanent records. It doesn't deteriorate over time, and won't darken the paper to which it was affixed.

- Rubber bands, staples, clips, and clamps should be removed from permanent records before they are stored.

- Papers should be unfolded to the greatest extent possible and arranged for flat storage. Folds and creases weaken paper. However, the flat filing of fragile documents that have been folded for many years should not be forced. The State Archives can render assistance in specific instances where such preservation help is needed. Much information and instruction can be gained over the phone, and irreparable pitfalls in handling delicate records can be avoided.

Photographs

Photographs often are among the most important historical records in an office and they present unique challenges. Photographs range from early tintypes, ambrotypes, daguerreotypes, and black and white to color pictures and slides or the latest digital photographs. Photographs are physically and chemically more complex than paper materials. A print or negative is composed of a base material, usually paper or film, coated with a light-sensitive emulsion. Over the years, different substances have been used for the base material and the emulsion. Photographs are subject to deterioration from chemicals left after processing, careless handling, and exposure to light and heat. The instability of color dyes makes color photographs transient or non-permanent. It is difficult to convince people that the color photographs of their weddings, children, or other significant people and events in their lives will fade, often in as soon as 25 years. These photographs will deteriorate even faster if they are on desks or furniture exposed to sunlight or fluorescent lighting, or if they are stored in photo albums that are not acid-free.

Following these basic practices will extend the life of photographs:

- Prints and negatives should be held by their edges in order to avoid touching the emulsion surface. Ideally, those who plan to handle government photographs should use cotton gloves, available from any photo supply store.

- Pressure sensitive tape, metal clips, rubber bands or adhesives should not be used to keep photographs together. A separate envelope, marked with a pencil describing the contents, is a better way to make sure photographs that should stay together are kept together.

- Ballpoint and felt-tip pens should not be used on photographs for identification purposes. Instead, identifying information should be recorded using a soft lead pencil on the back edge of the pictures.

- All important photographs should be copied in black and white. Black and white photographs are permanent, color photographs are not.

- Digital photographs may be stored in electronic form provided that the media they're stored on is refreshed on a routine and regular basis, and digital photograph and its media are included with the City's migration plans.

Bound Volumes

Bound volumes and books are composed of a variety of materials and can require complex preservation measures. In the U.S., during the earliest years of bookmaking, the paper was made from rags. This paper is more stable - even today - than the paper made in the last 125 years or so. Over the years, cheaper construction materials were used to create bound volumes, making paper production

far easier, quicker, and cheap enough for everyone to have access to as much paper as they want. However, the wood pulp-based paper and the chemicals used to create it cause rapid deterioration. Regular handling and improper storage accelerate deterioration and damage. Newsprint is the most unstable paper of all. One has only to consider what happens to a newspaper left out on the front porch for a few days, in sun or rain, to understand how unstable it is.

Extensive measures, if needed, should be undertaken by a professional conservator. Some methods professional conservators and archivists use to slow down the deterioration process are listed below:

- Volumes should be shelved vertically to avoid the stress placed on a book's spine. Oversized or thick volumes may require filing horizontally.

- Space should be left between volumes. Crowding can cause damage - especially during retrieval.

- Volumes should be retrieved by pulling them from the shelf from their middle, not by pulling on the tops of their spine.

- Flat bookmarks should be used to mark places in a bound volume.

- Heavy items should not be placed in or on a volume.

- Marking parts of a book using metal paper clips, holding the volume together with rubber bands, and turning down the edges of pages are practices to be avoided.

- Pencil, pen, or high lighters should not be used to mark portions of important bound volumes.

- Photocopying volumes is discouraged, but if it can withstand photocopying, the spine should not be pressed down on the glass platen of the copier.

Chapter 8

Preparing for Disaster

Everyone hopes that a disaster - natural or man-made - doesn't strike our homes or workplaces. But Virginia does have a history of disasters: floods, fires, hurricanes, and, as well, computer viruses, theft, and vandalism. Disasters cannot always be prevented, but the City can take steps to assure their homes and businesses are as protected from them as possible, and can certainly take measures to recover from them quickly in case they do occur.

Even though "disaster" is a word that generally connotes large-scale destruction, disasters can come about from everyday problems. Leaky roofs and pipes, for instance, can take significant tolls on records. A single soaked box of records can spell disaster if the information is valuable and irretrievable.

The purpose of this chapter is to offer guidelines for disaster planning. Included are a few "quick tips," some suggestions for setting up a disaster plan, requirements for the handling of vital records, and advice on how to garner support for disaster prevention efforts.

Quick Tips for Disaster Prevention

- Records should never be stored in a basement or an attic.

- Records should never be stored near water pipes or air conditioning. Contact Codes Compliance for information regarding city hall building structure and design.

- Records should never be stored near a heat source.

- Records should be stored away from natural and ultraviolet light sources.

- Natural oils from human skin contaminates records.

- Vital records should be kept in a separate location.

In the event of a disaster, electronic equipment should not be used until examined by professionals, as any damage to that equipment could cause further harm to records.

The creation of backups and/or careful attention to the migration of electronic records when new software is installed on office computers is critical in the prevention of the loss of data.

Protecting the City's Records

There are three considerations when establishing a plan to protect the City's records:

1. The identification of vital and other valuable records critical to the functioning of the government office or agency. Vital records are defined as those that are essential for conducting business, e.g., certain operational records, payroll records and fiscal records. Once vital records are identified, special efforts must be taken to ensure they are protected or duplicated before a disaster occurs.

2. The identification of structural, logistical or other vulnerabilities to which office records and information are exposed, and the mitigation of as many of these as possible. For example, if records must be stored in areas where water damage from pipes or mechanical equipment is possible, a staff discussion about what can be done to protect them should prove useful.

3. The creation of a viable plan to implement in the event a disaster occurs. The plan should be practical, clear, supported by management and distributed to all those who would be expected to respond to a disaster (e.g., staff members, local Department of Emergency Services offices, local police and fire departments, and any cooperating local offices or agencies).

APPENDIX A

DATA PROCESSING STANDARDS

This appendix provides the data processing standard for use city-wide. Whether inputting or searching for information, the abbreviations and their meaning must be identical to facilitate quick and thorough retrieval of information.

When entering information into a DMS or when abbreviating within a document, use the following standards:

- Limit the use of punctuation.

- Years must be entered using four digits (if applicable, numerical month first, followed by numerical day, then year, i.e., May 1, 2007 would be 5/1/07)

- Conserve spaces, i.e., FY1991-1992, rather than FY 1991 - 1992.

- Enter all four digits of the year when creating new records.

- When entering names, put last name first and put a comma between the last name and the first name (i.e., Doe, John).

- Put the street name first, then the direction, street number (i.e. Mercury Blvd, E, 200

#	Number	ADM	Administration
2010HCC	HPT 2010 Celebration Committee	AFP	Authorization for Payment
		AGN	Agenda
311	311 Call Center	AGR	Agreement
50ACC	50th Anniversary of Consolidation Committee	AMB	Ambulance
		AMEX	American Express
		AO	Assessor's Office
A/P	Accounts Payable	APPL	Applicant/
A/R	Accounts Receivable		Applications
		APPT	Appoint
AC	Animal Control	APR	April
ACO	Animal Control Office/Officer	ARCH	Arch
		ASSOC	Association
ACOE	Army Corp of Engineers	AUG	August
		AVE	Avenue

BA	Budget Adjustment	COH	City of Hampton
BAY	Bay	COI	Certificate of
BC	Battalion Chief		Insurance
BDGT	Budget Office	COMM	Commission
BL	Business License	COMP	Company
BLA	Boundary Line Adjustment	CON	Contract
		CONF	Conference
BLDG	Building	COOP	Cooperative
BLVD	Boulevard	COR	Commissioner of
BMP	Best Management Practice		Revenue
		CORR	Correspondence
BND	Bond	COVE	Cove
BOZA	Board of Zoning Appeals	CP	Conditional Privilege
BPP	Business Personal Property	CPA	Community Plan Amendment
CAFR	Consolidated Annual Financial Report	CPMT	Community Policy and Management Team
CAHR	Cultural Alliance of Greater Hampton Roads	CPO	Central Permits Office
		CRES	Crescent
CAO	City Attorney's Office	CT	Court
		CTR	Center
CAPT	Captain	CWAO	Commonwealth Attorney's Office
CB	Chesapeake Bay		
CC	City Council	DC	Deputy Fire Chief
CERT	Certificate	DC	Declaration of Covenants
CHARGE	Charge		
CHASE	Chase	DEC	December
CIP	Capital Improvement Project	DELL	Dell
		DEQ	Department of Environmental Quality
CIR	Circle		
CIR	Circuit Court	DEQ	Department of Environmental Quality
CLOSE	Close		
CM	City Manager		
CMO	City Manager's Office	DEVPLN	Development Plan
		DFT	Draft/Discussion Draft
CMTE	Committee		
CMTY	Community	DIST	District
CNCPT	Concept	DR	Drive
CNFM	Confirmation	DRC	Design Review Committee
CO	Certificate of Occupancy		
		E	Engine Company with one Officer and
COB	Close of business		

	two Firefighters with a minimum of one basic life support provider	FY	Fiscal Year
		FYI	For your information
		GDC	General District Ct
E-1	Engine unit w/no. 1-10	GIS	Geographic Information System
ELEVCERT	Elevation Certificate	GL	General Ledger
ENG	Engine or Engine Company	GL	General Liability
		GRA	Grant
EOC	Emergency Operations Center	GRN	Green
		GRV	Grove
EPA	Environmental Protection Agency	HC	Hampton Coliseum
		HCS	Hampton City Schools
ES	EMS Field Supervisor	HFD	Hampton Fire Division
ESA	Environmental Site Assessment	HFP	Healthy Families Partnership
ESCW	Escrow	HL	Hill
ETA	Estimate time of arrival	HM	Haz-Mat team. Team leader will decide on appropriate notification; i.e. VDEM etc.
EXA	Example or Sample		
FALL	Fall		
FAQ	Frequently Asked Questions		
FC	Fire Chief	HNNMC	Hampton/ Newport News Metropolitan Commission
FD	Fire Department or Fire Division		
FEB	February	HOA	Homeowner's Association
FGAB	Foster Grandparent Advisory Board		
		HPD	Hampton Police Division
FIN	Finance		
FIRS	Fire Incident Reports	HRAC	Hampton Roads Advisory Committee
FMB	Fire Marshall's Bureau	HRBT	Hampton Roads Bridge Tunnel
FMRN	Fire Marine vessel with a minimum of three personnel for search and rescue and a minimum of four personnel for fire responses. One of the personnel must be qualified to operate the vessel.	HRCC	Hampton Roads Convention Center
		HRHA	Hampton Redevelopment & Housing Authority
		HRL	Hampton Roads Localities
		HRPDC	Hampton Roads Planning District Committee
FRM	Form		

HRPDC	Hampton Roads Planning District Commission	LMA	Landscape Maintenance Agreement
HRS	Hours	LNDG	Landing
HTR	Heavy Tactical Rescue personnel and equipment.	LNSP	Landscape Plan
		LOC	Letter of Credit
		LOOP	Loop
HTS	Heights	LRSN	Land Record Serial Number
IBNR	Incurred but not Reported	LST	List
IDA	Industrial Development Authority	LT	Lieutenant
		LTR	Letter
		M	Medic
IDX	Index	M-1	Medic unit w/no. 1-10
IFB	Invitation for Bid		
IMS	Infrastructure Management System	MAR	March
		MAY	May
		MCC	Mobile Command
INFO	Information	MEM	Memorandum
ISLE	Isle	MEWS	Mews
IT	Information Technology	MFF	Medic Firefighter
		MGMT	Management
ITC	Infant & Toddler Connection	MGR	Manager
		MIN	Minutes
JAN	January	MISCPB2	Miscellaneous Plat Book 2
JDR	Juvenile & Domestic Relations Ct	MOD	Modification
		MOM	Management, Operations and Maintenance
JE	Journal Entry		
JPA	Joint Permit Application	MR	Material Receipt
JUL	July	MTG	Meeting
JUN	June	NC	Neighborhood Commission
KEY	Key		
LA	Lane	NFIRS	National Fire Incident Reports
LA	License Agreement		
LC	Livability Committee	NLT	No later than
LD	Land Disturbing or Land Disturbance	NOV	November
		NTS	Notes
LDS	Land Development Services	OCT	October
		ORD	Ordinance
LIA	Landscape installation Agreement	P&P	Adult Probation & Parole
		P&R	Parks and Recreation
		P/R	Payroll

PAF	Personnel Action Form	QT	A Quint is an aerial apparatus that carries water and hose with one Officer and two Firefighters
PARK	Park		
PASS	Pass		
PATH	Path		
PC	Personal computer		
PC	Planning Commission	QUARTERS	Quarters
		QUAY	Quay
PDHRPD	Policy Documents	R	Rescue Unit with two Firefighters
HPT RDS	Planning District		
PH	Public Hearing	RD	Road
PIKE	Pike	RDG	Ridge
PIN	Parcel Identification Number	RE	Real Estate
		REACH	Reach
PIO	Public Information Officer.	REP	Report
		REQ	Requisition
PKNG	Parking	RES	Rescue
PKWY	Parkway	RES	Resolution
PL	Place	RETREAT	Retreat
PLAT	Plat	REV	Revision or Revised
PLAUGE	Plauge	REZ	Rezoning
PLN	Plan (not site plan)	RFC	Request for Change
PLV	Property Line Vacation	RFP	Request for Proposal
PO	Purchase Order	RISING	Rising
POL	Policy	RLS	Ruppert L. Sergeant Building
POST	Post		
PP	Personal Property	ROW	Right-of-way
PPCR	Pre-Hospital Patient Care Reports	RRHA	Regional Redevelopment & Housing Authority
PPR	Paper (research; discussion; white)		
		RTW	Return to work
PRC	Procedure	RUN	Run
PRELPLAT	Preliminary Plat	SCADA	Supervisory Control and Data Acquisition
PROC	Proclamation		
PROF	Professional		
PROP	Property	SCH	Schedule
PRS	Presentation	SEC	Section
PS	Pumping Station	SEP	September
PS	Property Split	SGNPKG	Sign Package
PT	Point	SLA	Service Level Agreement
PTCAC	Peninsula Town Center Advisory Committee		
		SO	Incident Safety Officer
PTS	Pre-trial Services	SP	Site Plan
PW	Public Works	SPE	Speech

SPOC	Steam Plant Oversight Committee	VAR	Variance
SQ	Square	VDEM	Virginia Department of Emergency Management
SQ	Rescue Pumper with one Officer and two Firefighters.	VFC	Virginia First Cities Board of Directors
SRVY	Survey	VLM	Virginia Living Museum
SSES	Sanitary Sewer Evaluation Study	VMRC	Virginia Marine Resource Commission
ST INC	State Income		
ST	Street	WAY	Way
STA	Station	WC	Worker's Compensation
STDY	Study		
SUBD	Subdivision	WIB	Workforce Investment Board
SUM	Summary		
SUP	Supplement	WQIA	Water Quality Impact Assessment
SUPP	Support unit for air supply and other utility functions at an incident	WTF	Waterways Task Force
SW	Storm Water	XING	Crossing
SWMP	Stormwater Management Plan	YARD	Yard
		ZCERT	Zoning Certification
SWRTAP	Sewer Tap Contract	ZINTERP	Zoning Interpretation
T	Truck Company with one Officer and two Firefighters	ZO	Zoning Ordinance
		ZOA	Zoning Ordinance Amendment
T&G	Town & Gown		
TER	Terrace		
TOP	Top		
TR00000	Tract w/number		
TRCE	Trace		
TRL	Trail		
TURN	Turn		
TURNING	Turning		
TW	Tower aerial platform with pump capabilities carrying a minimum of one officer and three firefighters.		
UP	Use Permit		
USSHCC	USS Hampton Commissioning Committee		

APPENDIX B

FILES MANAGEMENT/ RECORDS MAINTENANCE BEST PRACTICES

Individuals and departments have a vested interest in maintaining complete and accurate records of their business transactions. This appendix is intended to provide city staff with specific files management/records maintenance procedures and best practices.

File Arrangement

Within each individual record series, files are arranged in an order best suited for rapid retrieval and disposition. A feature or characteristic of the record series is chosen as the basis for the arrangement. This feature is most easily identified by determining how various types of records are requested. Features may include subject, a name associated with the record, a number which identifies the record, a title. It is best to use an existing feature rather than creating something arbitrary. The most common arrangements are:

Alphabetic: Arranging records in alphabetical order is most helpful when records are retrieved by name or topic. However, it must be remembered that even the simplest alphabetic system requires establishing consistent and uniform filing and data processing standards. As the record series grows, the subjects must become more specific. Extensive cross-referencing usually becomes necessary. Alphabetic files can be arranged in two ways:

Chronological: A chronological system is most useful for records that are created and monitored on a daily basis. Folders are arranged by sequential date order. It is, however, recommended that chronological filing be avoided. Retrieval can be slow and difficult as the date of occurrence is rarely the basis for retrieval of information.

Dictionary order: Each subject is provided its own folder.

Digit filing: Uses an applied number to identify folders, e.g., social security number, student number, patient number, budget number. Works best for record series containing large numbers of records.

Encyclopedic order: Subjects are grouped into major headings. Individual folders are filed in alphabetical order behind each heading.

Geographical: Information is arranged alphabetically by geographical or place name.

Numerical: Records are arranged by document number. Numerical files are most easily managed through the following systems:

Serial number: Used for files which have a preprinted number. Works best for records that are assigned a number on creation, e.g., invoices and purchase requests.

Files Management: Naming and Labeling Files

For paper files, identification and labeling allows an office to maintain physical control over current files as well

as manage growth of new files. Labeling serves as a visual aid by identifying individual record series and by identifying folders within each series.

For electronic files, identification and labeling allows an office to maintain intellectual control over current files as well as to manage growth of new files. Labeling serves as an access tool which allows individual documents to be retrieved in an efficient manner.

When working with paper files three levels of file identification and labeling help simplify and facilitate filing and retrieval:

- drawer or shelf labels
- file guide labels (guide cards)
- file folder labels

Drawer or shelf labels: Labels should be typed and should include:

- primary classification
- secondary classification (record series)
- dates

File guide labels/Tabs: File guides serve as "signposts" to lead the searcher to specific portions of the file. Guides may be used within a drawer to highlight a primary classification, to identify a record series, to highlight a specific year, or may be used within a record series to identify portions of the file as required.

Type labels to show:

- primary classification (as appropriate)
- secondary classification (record series)

File folder labels: File folder labels should include:

- file code (if used) or full record series title
- folder title
- date(s), usually inclusive dates, of the file contents

Electronic files

Electronic files follow many of the same file identification and labeling guidelines as paper files. Records are organized by directories which act as the primary classification. Each directory contains folders which could act as record series. Finally, each folder contains individual documents whose names ideally represent their subject matter. Refer to the Data Processing Standards for abbreviations and examples of naming conventions.

Files Management: Maintaining a Filing System - Purging

Purging files serves several purposes. It reduces the number of papers in a file, files in an office, facilitates the retrieval of information as there are fewer files to search, avoids last minute crash programs to clean out office or storage areas, ensures compliance with records retention schedules, and reduces the risk of litigation loss.

Duplicates and other material that may be disposed of without a specific records retention period can be purged at any time.

Draft reports, letters, memorandum, and other material should not be maintained

once the final product is produced and distributed.

Files Management: Maintaining a Filing System, Identifying and Identifying Inactive Files

Identifying and managing inactive records is an important step in the maintenance of a successful filing system. Many filing systems break down and fail because drawers are clogged too full of paper to make records they hold easily accessible. Electronic systems fail when too many versions of a document make it difficult to determine which one is the final draft.

Active vs. inactive records

- Active records are consulted routinely in the daily performance of work.
- Inactive records are rarely used, but are retained for occasional reference or to meet audit or legal obligations.

Identifying inactive records/cut-off: The cut-off signals the point at which a record series becomes inactive. It is used to determine the beginning of the retention period. The cut-off can refer to a specific event: termination of employment, end of funding period, termination of contract, accreditation received. More usually, the cut-off is tied to a period of time: end of the quarter, end of the calendar year, end of the fiscal year, end of the biennium, end of the academic year.

Filing Practices and Procedures

Although many of the files we currently create may be electronic, we will always have to cope with paper files. This section includes basic information regarding the maintenance of active paper files.

Always analyze and screen material immediately upon receipt. Establish what not to file.

Processing records for filing

- check to see that the material is complete
- analyze the item for inclusion in the appropriate primary classification
- analyze the item for inclusion in the appropriate record series
- analyze the item for inclusion in the appropriate folder
- file the item in the front of folder (most current information on top)
- if a folder does not exist, create a label for a new folder
- integrate the folder into the system

Returning records to the file

- check to see that the material is complete
- enter the date of return on the outcard
- remove the outcard and replace it with the folder

Charge-out rules: outcards

- users check out folders, never individual documents
- outcards are used to monitor the removal of folders from the file
- Information on the outcard should include:
  - file folder title
  - borrower name
  - date charged out
  - date returned

APPENDIX C

DOCUMENT EDITING AND FORMATTING STANDARDS

Specific format/style standards are necessary for city business documents. Each department is expected to implement the following elements into all documents, including letters, brochures, forms, memorandum, plans, etc. All document types are included regardless of whether or not they have been specifically listed in this policy.

- Date
- Document Name
- Page Number
- Version Number/Date or Revision Number
- Forms
- Dating of Notations

Date: The date of your document must be in a conspicuous location. For letters and memorandum the date must be at the top (Departments should use the templates provided). For other documents, the date should be located in the most commonly accepted location (i.e., the legend located on the right side or bottom right corner for plans and drawings).

Document Name: All documents must be named; this is done regardless of their format or the application used to create them. For files destined to become part of the electronic storage system, the document name must include the elements outlined in Appendix G. These will be the date, title, version if applicable and the type of document. For all other documents, these standards should be followed the greatest extent possible, but at a minimum document titles must be indicative of their content and descriptive enough to be useful. Please refer to Appendix G for more specific information.

Page Number: The consistent application of page numbers will eliminate lost pages or uncertainty with knowing that a document is intact. Page numbers must be located in a conspicuous location, such as the bottom-right or bottom-center of a document. Please use the document header/footer options to maintain consistency with page number format and style. Include total number of pages (i.e., "*Page x of z*").

Version Number/Date or Revision Number: Document version number and date are essential to ensuring that the history of specific types of documents is intact and can be traced. Plans must always include a version number and the subsequent date of the revision. More specifically, subsequent versions of plans must include the history of versions and their dates.

Forms: Should also include a revision number in the lower right hand corner.

Notations: Handwritten notations on documents should also be dated particularly if the document will serve as a permanent record of city business.

The following templates are available for departments and located for download on the city's intranet web site at http://cityhall.hampton:

- [Business Correspondence Resources (Letters and Memorandum)](#)
- [PowerPoint Resources for City Council Presenters](#)

Font style

Font styles have a direct impact on the ability of an OCR engine to interpret them. Optical Character Recognition (OCR) software might misinterpret decorative fonts, which in turn would affect matching keywords during searching, making searches ineffective.

The best fonts for a scannable document are those that aren't overly decorative, such as:

Times New Roman
Arial
Helvetica
Verdana
Tahoma
Courier

The optimal font size in a scannable resume format is about 12 points. However, which size you choose depends on the font. For example, note that the characters in Times New Roman appear smaller and more compact than those in Arial, even though both fonts are set to 12 points. The more compact a font is, the harder it is for scanners to separate the characters. So, if you go with Times New Roman, the properties of the 12-point size are likely best to allow for the variances in scanner quality, while 10-point Times New Roman might be too small.

Formatting Tips

It's okay to use **bold** or all UPPERCASE characters in your scannable document format headings. But as with choosing font size, using bold or not might depend on the properties of the font. If bold "fattening" makes the characters harder to read, don't use it or switch fonts. It's also okay to use different fonts in the same scannable document, such as Times New Roman Text with **Arial-Bold Headings**.

It's a good idea to avoid *Italics* anywhere in your scannable document, since it skews characters into the white space between them. Also avoid underlining, since the underline limits white space under characters and cuts through those with a descender, such as the "tail" on the *g* in the word *underlining*.

Speaking of white space, scanners and OCR software prefer it in a scannable document format. It's how they figure out where one paragraph or section ends and another begins. It's a good idea to separate headings and paragraphs with at least one full line of space, like the blank line across the page between this paragraph and the next.

You can spruce up your scannable document by using horizontal lines to separate sections, so they look good on paper. However, don't allow them to touch or get too close to text. Make sure they occupy at least one full line of space, like the horizontal line shown below this paragraph, should OCR software ignore them. That'll at least leave adequate, separating white space where the horizontal lines were.

Avoid short vertical (|) lines and slash marks (/) in your scannable document. Scanners might try to interpret them as letters, such as a lowercase *l* or an uppercase *I*. Also avoid text leaders or trailers, such as periods (....). They might confuse scanners or OCR software.

Bulleted (•) lists are acceptable in a scannable resume format, if they are solid, not hollow, like this:

- Bullet one
- Bullet two

That's so OCR software doesn't try to interpret them as letters, such as the letter *o*. But like horizontal lines, OCR software might ignore them. Additionally, they won't transfer or might display as some funky character when pasting them into plain-text resume forms at job banks. If they don't transfer well into forms, replace them with asterisks (*) or hyphens (-), plus a space before the text like this:

* Bullet one, or
- Bullet one

Background

It's important for the text in your scannable document to contrast highly with the paper on which it's printed. Print your scannable document in black ink only, on high-quality, white, cream or very light gray paper. Avoid colored text and paper, and paper size other than 8.5 x 11 inches (standard letter size).

Style Guidelines

Style guidelines are necessary in order to make the system easier to use across the organization. This type of forms management also provides the City a uniform business appearance to the public. By adopting standards for documents of similar use and type, users will be able to more effectively review documents, conduct research, and perform searches. As such, the following standards shall apply:

Contracts: – Contract authors and negotiators shall conform to the standards, requirements and guidelines as provided by the City Attorney's Office.

Requests for Proposals: – RFP/RFI authors shall conform to the standards, requirements and guidelines as provided by Consolidated Procurement.

In all other respects, authors shall conform -- to the greatest extent possible -- to the following guidelines

Page Numbering – should be consistently located at the bottom of the page.

The date of the document shall be provided on the first page in a clear and inconspicuous location

A confidentiality notice must appear if appropriate at the bottom of every page of any document deemed confidential. Confidential documents may be retrieved by those in a specific group, but not by users at-large.

APPENDIX D

FORMS USED IN THE RECORDS MANAGEMENT PROGRAM

This appendix contains examples of the forms used in the City's Records Management Program. Forms may be obtained from the Records Manager's Department and are briefly described below:

Iron Mountain Transmittal Sheet

When records are sent for off-site storage, an Iron Mountain Transmittal Sheet must be prepared by the department and reviewed by the Records Manager.

The Records Manager will coordinate the pick-up of records once the transmittal sheet is complete.

Notice of Destruction

As necessary, the Records Manager will prepare a Notice of Destruction memorandum for review by departments. This Notice is provided to departments with a listing of records scheduled for destruction included on the Notice. A future destruction date is provided, and a minimum of thirty-days given for departments to review the records listed and provide any input regarding known litigation, lawsuits or audits that have not been completed.

Certificate of Records Destruction (RM-3)

Records to be destroyed must be covered by a Library of Virginia-

approved records retention and disposition schedule, and the retention period for the records must have expired.

All investigations, litigation and required audits must be completed. Existing records cannot be destroyed if they are pertinent to an investigation (including requests under the FOIA), litigation, or where a required audit has not been undertaken.

The process for routing your RM-3 is as follows:

- Each department (individual or RMLS) must complete Sections 1 through 7.

- Forward the original form to the Records Officer/Records Manager who will review and approve the form and sign off Section 8.

- Complete Section 9 and complete the records destruction.

- Return the completed form to the Records Officer/Records Manager who will file the original with the State and maintain a copy on behalf of the City.

The organizations designated Records Officer and an Approving Official **must** authorize records destruction by signing each RM-3 form.

APPENDIX E

DMS/PROJECT MANAGEMENT GUIDELINES

This Appendix provides guidelines most specifically related to project management solutions.

What is a Document Management System?

A Document Management System (DMS) is a computer system used to track and store electronic documents and/or images of paper documents – essentially an electronic filing cabinet. This system allows for desktop document retrieval, information sharing, and automated workflow. The term has some overlap with the concepts of Content Management Systems and is often viewed as a component of Enterprise Content Management Systems and related to Digital Asset Management, Document imaging, Workflow systems and Records Management systems.

Document management systems commonly provide storage, versioning, metadata, security, as well as indexing, records management and retrieval capabilities. Utilizing a DMS may provide the City with opportunities to improve its business processes through project management, office management and work flow (or transactions management), and the quick retrieval of archival information.

Users of the system can store, organize, and manage their documents in a familiar Windows atmosphere, perform complex and detailed searches for documents, and conduct a multitude of other activities related to information/document sharing in a secure and reliable environment

Why would I want to use a DMS?

File-cabinet based retrieval systems are more cumbersome to access than electronic systems. A DMS may provide a more comprehensive view of all documents relevant to a particular topic, project or time period more effectively than combing through pages of paper files to provide this same view.

A DMS may be utilized in multiple ways; to facilitate improved business processes, to share information amongst a project team, for active working files or documents, for records that are not current but not yet ready for destruction or archiving, and finally for archival purposes. It's important to remember that retention schedules are applied to records in electronic format the same way they are applied to paper records – the record format doesn't extend the lifetime of the record.

A DMS may be implemented for a single department or in an enterprise fashion, meaning that users across an organization can share information quickly and easily without having to wait for interoffice mail or relying on others to send information via email.

What shouldn't be stored in a DMS?

A DMS is a work-related technology application provided to facilitate the retrieval and sharing of information, reduce file space, and enhance productivity. This should be treated in the same fashion as using copy

machines, fax machines, email and other City-owned equipment. Personal information, written personal impressions, personal notes or non-work related information should not be added or stored on this system.

DMS User Roles and Responsibilities

For the purposes of this manual, User Roles and Responsibilities will pertain to the project management team.

The Role of the Records Manager

For purposes of this manual, the Records Manager and Records Officer are one and the same. The Records Manager will:

- Manage security
- Create templates
- Create groups
- Establish project folders
- Train Department Users and designated Department Admins

The Role of the Department Admin

Each department will designate a department administrator. The Department Admin:

- Ensures system is utilized according to established guidelines
- Notify the Records Manager when training is needed or when/if user problems arise.
- Notify the Records Manager of all security related issues, including creating new users, groups and establishing security access rights and privileges

- Moving appropriate files to deleted folders for future deletion from the system

The Role of Users

Each department may have different users at differing security levels. Users will:

- Submit documents electronically into appropriate folders in the system and completing the associated template(s)
- Work with their Dept Admin to identify items for scanning
- Use the system for research and to retrieve documents

Security

Administration of the Laserfiche system is handled by the Records Manager. Establishing security permissions for various users and/or groups is determined by their position, requests from Department Directors and organizational functions.

Security permission, or access entry rights, include:

Browse: Allows the user to open and view a file.

See through Redactions: Allows the user to open and view a file, and see through any redactions that have been made.

Security/access requests must be received by the Records Manager in writing.

Office Management

Office, or Department Management, is the responsibility of each individual department. Documents, procedures, information or forms that are used in the normal course of business are encouraged to be added to a shared folder(s) for use by all staff. This may include leave slips, internal reports, department procedures, contracts, or other department-specific information.

<u>Moving, Scanning or Copying Files into a Folder</u>

Once a folder is available, designated City staff may begin storing documents electronically. Completing the appropriate template is the responsibility of each user as information is added. Department Admins and users are responsible for reviewing added information.

Work Flow

Work Flow may also be referred to as Transactions Management. This application of work flow within a DMS involves niche business processes involving time/labor/paper-intensive transactions such as invoice processing, report creation and approval, personnel records or tax bills. Work Flow is typically limited to the internal functions of specific departments with limited input from only one department. Policies for transactions management systems will be addressed within the specific department's standard operating procedures.

Definitions

- Document(s) – The terms "document" and "file" may be used interchangeably and refer to a paper letter, a memo, email, report, image, etc.

- Files – when used in the context of a DMS, this term refers to an electronic version of a document and could be used interchangeably with "document," "electronic document," and "image." Also note: it is possible to merge multiple documents, or multi-page documents, into a single electronic file. This is common, and does not affect a users' ability to search.

- Electronic document – same as "file".

- Folders – a place to store a collection of files

- Subfolders – folders can be organized into hierarchies, and as such a folder within a folder is called a subfolder

- Root folder – when subfolders exist within subfolders in the hierarchy, the top level folder (the one that does not exist within any other folder) is called the "root folder"

- Images – a "photographic" representation of a document.

- Template - a "cover sheet" for each file in the system. A template contains searchable fields that summarize the contents of files/documents, displaying more pertinent information such as a project address, the LRSN, and document type. Different types of records will have different templates depending on the need of the department or project team.

APPENDIX F

THE LITIGATION HOLD PROCESS

A litigation hold, also known as suspension or records hold, is the suspension of the City's document retention/destruction policies for specifically identified records that may be relevant to a lawsuit or a legal or administrative claim that has been filed, and/or one that is "reasonably anticipated." A litigation hold ensures that key employees are notified of document preservation requirements in order to prevent destruction of relevant documents. A litigation hold also suspends informal procedures, such as recycling back-up tapes. The 11 Guidelines which govern the litigation hold process are set forth below;. Application of the guidelines is monitored by the City Attorney's Office ("CAO") and all city staff questions regarding litigation holds should be directed to that office.

1. Reasonable anticipation of litigation. Reasonable anticipation happens if you receive or become aware of a credible threat that the City will be involved with litigation.

2. Records retention policy. The adoption and consistent implementation of a document retention decision-making process demonstrates good faith in meeting preservation obligations.

3. Litigation Hold Reporting Procedures. Employees should report any threat of litigation to their supervisors, who will forward that information to the CAO.

4. Reasonableness Prevails. Good faith, reasonableness, investigation and a thoughtful evaluation of relevant facts and circumstances must be considered. Can you describe the steps you've taken and not be embarrassed?

5. Judicial evaluation. Whether or not a legal hold is necessary and conducted appropriately will be decided by a Judge. Reasonableness (see number 4 above) should be a determining factor in this evaluation.

6. The duty to preserve. If you think that a situation or an action might cause the City of Hampton or an employee of the City of Hampton to be sued DO NOT DESTROY ANY RELEVANT DOCUMENT. Follow the policy as described here and comply with any letter or memo that you receive from the City Attorney.

7. Scope of preservation. The nature of the issues raised, the employee's experience in similar circumstances and the amount of money in controversy must be considered when determining the scope of information to be preserved.

8. Who, how, when. The CAO will determine which city employees will receive a legal hold notice, how the notice is written to best preserve relevant documents, and when the legal hold is released.

9. Documentation. The legal hold process should be documented in

writing as it is subject to scrutiny by the court. Once you receive a legal hold notice from the CAO a written confirmation of receipt should be sent to the CAO. In addition, all compliance measures in response to the legal hold notice should also be documented and forwarded to the CAO.

10. Compliance monitoring. The CAO will monitor the status of the legal hold to ensure ongoing compliance.

11. Release of legal hold. The release of a legal hold will be determined by the CAO who will advise you when it is no longer necessary to continue the duty to preserve the relevant records and that normal records management activities may resume.

APPENDIX G

NAMING CONVENTIONS

File and folder naming conventions are key to maintaining well-organized electronic directory and drive structures. Naming records consistently, logically and in a predictable way will distinguish similar records from one another at a glance, and by doing so will facilitate the storage and retrieval of records, which will enable users to browse file names more effectively and efficiently. Naming records according to agreed conventions should also make file naming easier for colleagues because they will not have to 're-think' the process each time. This appendix provides examples of naming conventions and utilizes the Data Processing Standards provided in Appendix A.

The Data Processing Standards are intended to be used on a daily basis in all departments, and should be referenced when naming and typing documents to ensure that abbreviations are used consistently. If there are abbreviations that are not on the list, please forward your recommendations to the Records Manager for inclusion.

Elements of Document Names

Regardless of the technology environment or folder structure currently in place, the naming structure of documents should include some or all of the following four elements:

Element Name	Example	Description of Need or Use
Date	080101	Display like documents in a logical order
Version	V03	
Type	RPT	Display the type of document and its subject
Title	Fort Monroe Reuse Status	
File Extension	.doc	This element is provided by the application when documents are saved. It is important to remember that this element should not be altered.

A correctly named document using the above information would look like this:

080101 v03 RPT Fort Monroe Reuse Status.doc

When deciding the order of the elements, date is preferred for items that are time specific and/or recurring. This example utilizes all four elements in the document name. There are additional examples below that utilize fewer elements.

> If using a date, use the format year-month-day (two digit year, two digit month, two digit day): 080101 or 0811 (no day) or 07-08 when spanning years. This will maintain chronological order of electronic information.

This	Not This
080101 AGN PC	1 Jan 2007 Agenda
080101 ATT (A or 1, etc.) City Council	2008 Agenda Jan 01
080101 MIN Neighborhood Committee	Jan 01 07 Minutes
080201 AGN PC	Agenda 020108
080201 MIN Youth Coalition	February, 1, 2008 Minutes

Include a leading zero for numbers 0-9; if items are numbered into the hundreds or thousands, use leading zeros as appropriate. This will maintain the numeric order in the file directory.

This	Not This
Office Procedures v01	Office Procedures v1
Office Procedures v02	Office Procedures v10
Office Procedures v03	Office Procedures v2

The version number of a record should be indicated in its file name by the use of "v" followed by the version number.

This	Not This
Org Chart 2006 v02	Org Chart 2006
Org Chart 2006 v03	Org Chart 2006 rev
Org Chart 2006 v04	Org Chart 2006 rev2

Using Metadata to capture additional information

Relying on metadata in "Properties" can make information easier to find. Additional subject information and keywords can be added so that quick searches (not full text) will identify documents. This information is not duplicative of the naming conventions, and should be given consideration when creating documents that will have an enduring quality for the organization.

Draft Naming Conventions.doc Properties ☒

General | Summary | Statistics | Contents | Custom

Title: Naming Conventions

Subject: Records Management

Author: Suzie Hampton

Manager:

Company: City of Hampton

Category: Policy/Procedure

Keywords: records management naming conventions standard

Comments:

Hyperlink base:

Template: Normal.dot

☐ Save preview picture

[OK] [Cancel]

This metadata will allow the capture of the author's full name, the unabbreviated title of the document and any keywords that would facilitate a search. This information should be completed as much as possible, without being duplicative of the naming conventions described above.

Metadata is searchable by doing the following in any Microsoft Office application:

Click on File
Click on Open
Click on Tools
Click on Search

From this search menu, choose Advanced and select the appropriate setting. In the example below, the search was for Author and the selected locations was narrowed to a specific drive. If you need assistance with using this search feature, please contact the Records Manager or Technical Support in the IT Department.
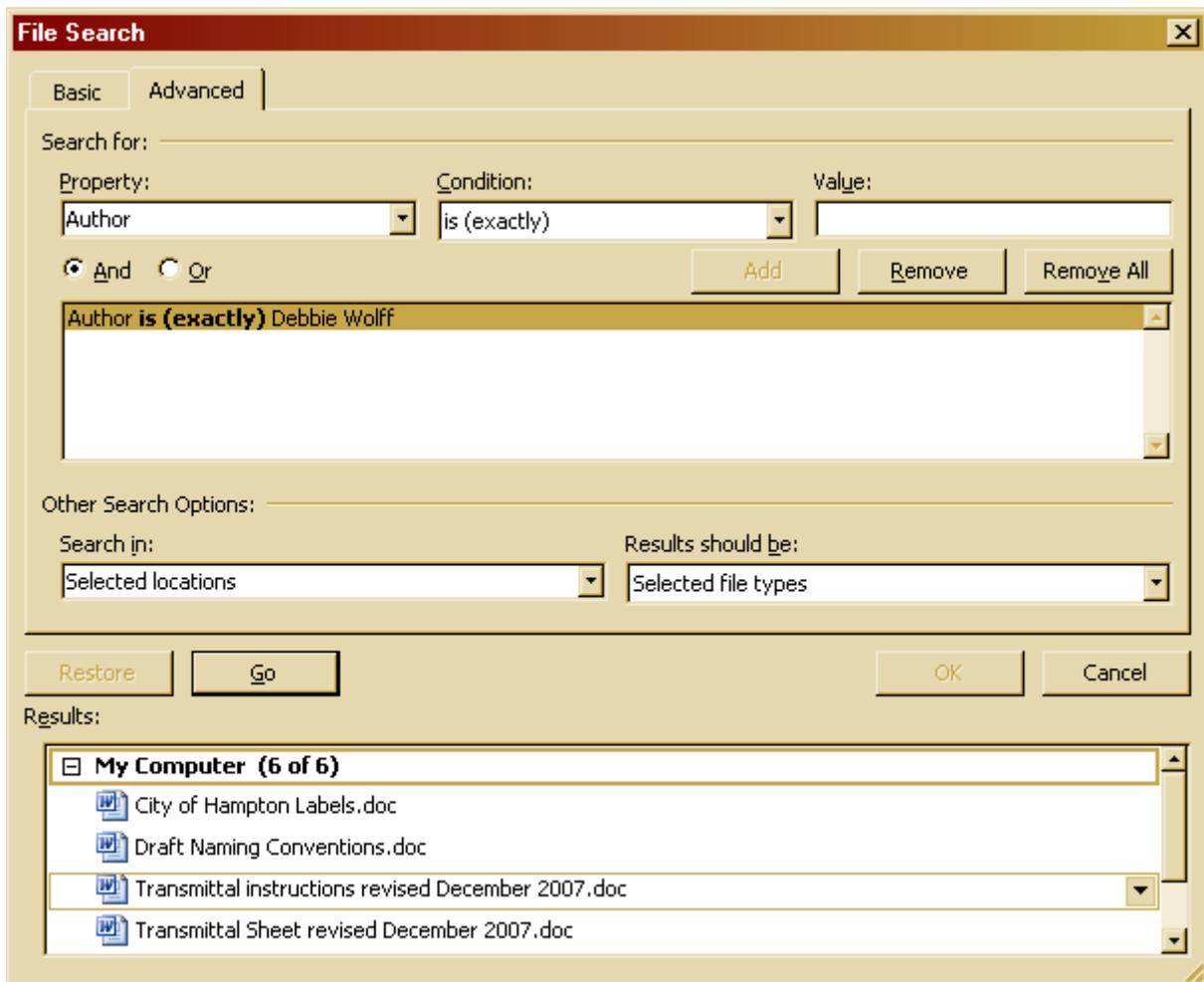
APPENDIX H

PROCEDURES FOR RECORDS DESTRUCTION

The method of destruction will depend on the record type and its contents. Relevant and pending audits, investigations and litigation involving City records must be resolved before records may be legally destroyed. Please contact the City's Records Manager for assistance with records destruction.

For records located on-site:

1. The Office of Record completes a Certificate of Destruction (RM-3) Form. The request must include the title of the record series as given in the Records Retention Schedule, and the assigned retention period for this record series.
2. The department making the recommendation signs the RM-3 form and forwards the original to the Records Manager for concurrence. After concurring with the request, the Records Manager will sign the form and the records will be destroyed.
3. The Records Manager retains a copy of the RM-3, and forwards the original to the State.

Remember…. When a convenience copy has outlived its usefulness, destroy it knowing that the Office of Record is keeping the record copy. Keeping copies longer, 'just in case' is more likely to create problems than to solve them.

For records located off-site:

The Records Manager will review records stored off-site for destruction eligibility; prepare a Notice of Destruction memorandum and obtains necessary approvals for their destruction, including the completion of an RM-3 form or City Council approval, if necessary. Departments will receive a minimum of thirty (3) days notice prior to records destruction.

For permanent or archival records that have been reformatted:

1. Original permanent or archival records that have been reformatted should be offered to the Library of Virginia by the Records Manager prior to being destroyed.
2. Once an offer to the Archives, Library of Virginia has been made and if it is refused, the Records Manager will complete the RM-3 Form.
3. If the offer is accepted, the Records Manager will have the records prepared for transmittal to the State.

The Records Manager must not only approve, but retain completed copies of all RM-3 forms for legal audit purposes.

For electronically stored information:

Electronically stored information, if it has reached the end of its lifetime in accordance with the State's retention schedule, must be destroyed in such a manner that the information contained on the media is not recoverable.

APPENDIX I

PROCEDURES FOR STORING RECORDS

The following are procedures for preparing records for transmittal to off-site storage:

- At least annually, departments shall conduct a review of their files to determine which records should be transferred to off-site storage. The Office of Record has the responsibility of maintaining records until their retention period is reached. Other offices have the responsibility of purging their records if they are not the Office of Record.

- Prior to transferring files, each file shall be purged of non-record and duplicate items. Care should be taken to remove staples, paper clips, clamps and post-it notes from permanent records.

- Boxes and box labels (barcodes) are supplied via the Records Manager. Only approved boxes will be accepted into storage.

- Boxes must be marked clearly with an accurate but brief description of the contents, including dates, barcode numbers and a destruction date.

- The department shall prepare a transmittal sheet of the items to be transferred to off-site storage, and provide a copy of the list to the Records Manager to physically inspect and coordinate pick-up of the boxes for storage.

- Records should be kept in their original file folders when they are placed in boxes. Hanging folders should be removed to save space and prevent wear and tear on the boxes.

- Boxes should be filled completely, but not packed tightly. Tight packing makes removing files difficult.

- The contents in each box must share the same destruction date. The objective is to discard the entire box of records when its retention period is met, rather than to separate folders in a box.

- Box control information is entered by Iron Mountain upon receipt of the boxes.

- Larger records and materials, such as maps and drawings, require special handling and may require a separate storage system and area.

APPENDIX J

FREEDOM OF INFORMATION ACT (FOIA) REQUESTS

All questions regarding FOIA requests should be directed to the
City Attorney's Office (757) 727-6127

§ 2.2-3700. Short title; policy.

The Virginia Freedom of Information Act (FOIA), Section 2.2-3700 et. seq. of the Code, of Virginia generally assures the people of this Commonwealth ready access to public records in the custody of a public body.

Role of Departments

Each City department must have a FOIA Representative in its office to assist with FOIA requests and maintain the FOIA log for that department; training is required.

Subpoenas Duces Tecum (SDT) or any other subpoena should be delivered ***immediately*** to the City Attorney's Office.

Role of the City Attorney's Office

Specified Departments FOIA requests are handled exclusively by the City Attorney's Office. Those are:

Any request from the media
Clerk of Council
City Council
City Manager
Department of Social Services
Fire Department
Human Resources
Police Services

<u>Quick Tips for Records Storage and Retrieval</u>

- Only boxes are retrieved from storage, not individual files.

- Weekly pick-ups should be coordinated to maximize effort and reduce cost. Monday through Wednesday schedule for Friday delivery; Thursday and Friday schedule for Monday delivery.

- Records past their retention period will not be accepted into storage.

- Iron Mountain receipts, packing slips and work orders received by departments must be forwarded to the Records Manager.

- Set up an appointment to review records you want to store. The Records Manager will review records with you, provide transmittal sheets and any additional instructions.

- To accommodate records inspection:

  Stack boxes no more than 4 or 5 high;
  Don't over pack a box;
  We'll inspect 50 boxes per trip or split the inspection over multiple weeks;
  Adhere to the State's retention schedules

- Contact the Records Manager at 727-6085 with the box number and a description of the contents to arrange for refiling.