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Agenda Date: 3/21/2017

Agenda Placement: 6S

## NAPA COUNTY BOARD OF SUPERVISORS Board Agenda Letter

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**TO:** Board of Supervisors

**FROM:** Jon Gjestvang - Chief Information Officer  
Information Technology Services

**REPORT BY:** Bob Dewald, Information Systems Manager - 707-259-8182

**SUBJECT:** Resolution approving revisions and additions to County's Record Retention Schedule; CEO and Probation

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### **RECOMMENDATION**

Chief Information Officer requests adoption of a resolution approving revisions and additions to the County Executive Office and Probation record retention schedules in Section 40 of the County Policy Manual effective March 21, 2017. (4/5 vote required)

### **EXECUTIVE SUMMARY**

Pursuant to Section 26202 of the Government Code of the State of California (Section 26202), the Board may, by a four-fifths vote, authorize the destruction of records prepared or received pursuant to State or federal statute where those records have been maintained for the required period of time and the Board has determined retention of those records is no longer necessary or required for County purposes. Section 26202 requires the Board adopt retention schedules, which are then used by Records Management, a subdivision of Information Technology Services, to manage County records. Records considered to be of significant historical value will be retained indefinitely. On April 12, 2011, May 15, 2012, April 16, 2013, November 26, 2013, September 23, 2014, and January 31, 2017, the Board of Supervisors approved schedules to be maintained with Section 40 of the County Policy Manual. Before the Board today is a resolution approving additions and revisions to retention schedules for County Executive Office and Probation. ITS staff will continue working with other County departments' retention schedules and return to the Board for approval of updated retention schedules in the coming months.

### **FISCAL IMPACT**

Is there a Fiscal Impact?                      No

**ENVIRONMENTAL IMPACT**

ENVIRONMENTAL DETERMINATION: The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State CEQA Guidelines) and therefore CEQA is not applicable.

**BACKGROUND AND DISCUSSION**

Pursuant to Section 26202 of the Government Code of the State of California (Section 26202), record retention schedules are used by public entities across the State of California and are an appropriate mechanism for the Board to proactively make the determination when various categories of records will no longer be necessary or required for County purposes. Under Section 26202, the Board may, by a four-fifths vote, authorize the destruction of records prepared or received pursuant to State or federal statute where those records have been maintained for the required period of time and the Board has determined retention of those records is no longer necessary or required for County purposes.

Records Management, the County's records/archival and mail processing center (Records Center), leases 7,624 square feet of front offices, storage and warehouse space. Records identified as historical by the departments are permanently housed in the archival area of the Records Center and not subject to purging. The current capacity of the general records storage is 13,140 shelf locations. This is 2,766 fewer locations than what was available prior to the August 2014 earthquake, due to the post-earthquake retrofit. Additionally, the departments were prevented from storing any additional boxes at the Records Center after the earthquake and the Records Center was prevented from destroying any records already there that reached retention until after the cleanup, storage shelf replacement, and re-creation of the pre-earthquake storage status at the Records Center. Records receiving and destruction restarted late last year and has resulted in more boxes of records needing to be stored than there is space available at the main warehouse. Overflow is being temporarily stored at the South Campus site.

In order to ensure departments can continue transferring records for storage to the Records Center, it is necessary to regularly purge records that have expired retention periods. On April 12, 2011, May 15, 2012, April 16, 2013, November 26, 2013, September 23, 2014, and January 31, 2017, the Board of Supervisors approved the first, second, third, fourth, fifth, and sixth sets of record retention schedules to be maintained with Section 40 of the County Policy Manual. These Board approved retention schedules provide the mechanism to purge records without having to return to the Board each time, thereby improving records management efficiency.

Today's recommended action is the adoption of a resolution approving revisions and additions to record retention schedules for the County Executive Office and Probation. These retention schedules supplement those previously adopted by the Board and will be maintained with Section 40 of the County Policy Manual. Maintaining the retention schedules with the policy will ensure all County departments are setting retention schedules and the Records Center is purging accordingly.

ITS staff will continue working with other County departments' retention schedules and return to the Board for approval of updated retention schedules in the coming months.

**SUPPORTING DOCUMENTS**

A . Exhibit A - CEO Retention Schedule

B . Exhibit B - Probation Retention Schedule

C . Resolution

CEO Recommendation: Approve

Reviewed By: Molly Rattigan