


SUBJECT Records Management Policy		APPLIES TO All Departments	
EFFECTIVE DATE 9/29/2022	REVISED DATE		NEXT REVIEW DATE May 2025
APPROVED BY City Manager 	TOTAL PAGES 5		POLICY NUMBER 135

1.0 Purpose

The City Manager establishes this records management policy to provide consistent procedures and standards for the management of all City records and promote equitable access to City records. Effective management of records ensures that records are created, maintained, and disposed in full accordance with all laws, regulations, and administrative rules. In the interest of efficiently using public resources, City records shall be retained only as long as required to meet legal, financial, administrative, or historical needs.

2.0 Definitions

Records – All documents, correspondence, original papers, maps, drawings, charts, indexes, plans, memoranda, sound recordings, microfilm, motion-picture or other photographic records, or other materials bearing upon the activities and functions of the department or agency or its officers or employees. See [K.S.A 75-3501](#).

Record Series – A group of records filed or maintained together because they have a common format, relate to a similar subject, result from a particular activity of the office, or have some other relationship arising from their creation, receipt, or use.

Vital Records – Records that are either intrinsically irreplaceable or valuable because copies do not have the same value as the originals. They are essential to the continuity of services during a disaster or to the restoration of daily business when it has been interrupted.

3.0 Organization and Administration

The City Manager and the City's Freedom of Information Officer have overall responsibility for the enforcement of the Records Management Policy. The City Manager may waive any requirements of this policy if such waiver is in the City's best interest and does not violate federal, state, or local law.

- A. Appointment of Freedom of Information Officer.** The City Clerk is designated as the City's Freedom of Information Officer and is responsible for:
 1. Developing and implementing a comprehensive plan and program for effective management of the City's records.
 2. Developing and implementing a comprehensive plan and program for the permanent preservation of the City's vital records.
- B. Appointment of Official Records Custodians.** It is essential that City departments take an active role in managing their records and coordinate that activity with the City Clerk. This includes all public records kept and maintained by the department not filed in the

office of the City Clerk. The following City officers are hereby appointed as Official Records Custodians for the purpose of managing records maintained by their department, in compliance with this policy.

1. City Clerk
2. City Attorney
3. City Manager
4. Director of Finance
5. Director of Human Resources
6. Director of Information Technology
7. Director of Municipal Services and Operations
8. Director of Parks and Recreation
9. Director of Planning and Development Services
10. Chief of Fire and Medical Department
11. Chief of Police

Official Records Custodians, as defined herein, are responsible for setting internal processes within the limitations outlined in this policy pertaining to the maintenance of records within their department.

Official Records Custodians may designate additional Records Custodians within their department. When an Official Records Custodian designates an employee to serve as a Records Custodian, the Official Records Custodian shall notify the City Clerk of such designation. The City Clerk shall maintain a register of all such designees.

All employees are responsible for maintaining records pursuant to this policy.

4.0 Inventory of Records

Records Custodians are responsible for completing an inventory of each Records Series maintained by their department not filed in the office of the City Clerk using the inventory worksheet included as Appendix A. Such inventory shall be completed within six (6) months of implementation of this policy.

5.0 Records Retention Schedules

Records Custodians are responsible for implementing retention schedules within their department. Any questions about the applicability of schedules should be directed to the City Clerk.

A. [K.S.A. 12-120](#) lists the minimum retention for the following City records:

1. Accounting records of utility customers, 3 years
2. Bonds of officers or employees, 10 years
3. Bonds and coupons, if any, stamped paid or cancelled and returned by the fiscal agent, 5 years, the period beginning at the date of maturity of the bond or coupon.
4. Cancelled checks, 5 years
5. Claims and purchase orders attached thereto, 5 years
6. Duplicates of licenses issued for license fees or taxes, 3 years
7. Duplicates of receipts, 3 years
8. Duplicates of utility bills sent to customers, 5 years

9. Insurance policies, 5 years, the period beginning at expiration of the policy unless a claim is pending.
 10. Requisition and duplicate purchase orders, 3 years
 11. Warrants or warrant checks, paid, 5 years
- B. All other records must be maintained pursuant to the [Kansas State Historic Preservation Office \(KSHPO\)](#) local general schedule.
1. A records retention schedule shall be prepared by any department having unique records not listed on the KSHPO retention schedule(s). Records Custodians shall file a copy of the retention schedule with the City Clerk.
 2. When a Record Series is listed on both the KSHPO retention schedule and a department's schedule, the retention period on the departments schedule shall take precedence.
 3. When a department adds a new Record Series or modifies the retention period of an existing Record Series, the department must also update their retention schedule. The updated retention schedule shall be provided to the City Clerk.
- C. Electronic records must be maintained pursuant to Section 5.0 of this policy. Records Custodians must ensure that any software, hardware, indexes, and/or other documentation required to retrieve and read electronic records are retained using the same retention period for the electronic records. Records Custodians must also establish procedures for regular recopying, reformatting, migration to new systems, and other necessary maintenance to ensure the retention and usability of electronic records until the expiration of their retention periods.
- D. E-mail itself is not a record series or category. Retention or disposition of e-mail messages must be related to the information they contain or the purpose they serve. The content, transactional information and any attachments must be evaluated to determine the length of time the message must be retained. For the purpose of this policy there are three categories of e-mail retention:
1. **Transitory.** E-mails that do not relate to an employee's job responsibilities and does not meet the definition of Records as defined in Section 2.0. Such items may be immediately deleted.
 2. **Routine.** E-mails that include telephone messages, drafts, and other limited documents, which serve to convey information of temporary importance in lieu of oral communication. Such items should be retained until no longer of administrative value, then destroy.
 3. **All other correspondence.** E-mails that set policy, establish guidelines or procedures, certify a transaction, become a receipt, have significant administrative, legal and/or fiscal value. Such types of records are official records and should be retained pursuant to Section 5.0 of this policy.

6.0 Destruction of Records

No employee may destroy records unless the records are listed on a department's inventory of records, the retention period for the records has expired and the procedure outlined in this section is followed.

A. Procedures.

1. Records Custodians seeking to destroy records must prepare an Authorization to Destroy Records form included as Appendix B and submit to the City Clerk. The Authorization to Destroy Records form must be signed by the department's Official Records Custodian.
2. The City Clerk shall review all requests for Authorization to Destroy Records and have final approval authority. If necessary, the City Clerk shall examine and evaluate the records.
3. The City Clerk will notify the Records Custodians of the final decision regarding the request for Authorization to Destroy Records.
4. Records Custodians destroying records, in compliance with an approved Authorization to Destroy Records form, must record the date and method of destruction prior to filing the completed form with the City Clerk.
5. Records Custodians shall not request authorization to destroy records pertaining to any pending legal case, claim, action, or audit.

B. Source Documents. The source document for any electronically stored record may be destroyed provided that:

1. The electronic record has been verified as complete and accurate.
2. The source document is not separately scheduled on the retention schedule.
3. The electronic record can be retained in a readable format for the full retention period of the record series.

C. Method of Destroying Records. All City records will be destroyed by recycling whenever feasible. Records Custodians destroying confidential records must do so in a manner that ensures information in the records is not released to the public.

7.0 Development and Maintenance of Records Systems

Any City department developing or significantly modifying record systems, including Electronic Record Systems, shall consult with the City Clerk during the planning phase of system development. The purpose of this consultation is to ensure that the proposed system can meet all records retention and disposition requirements, and that records in the system are maintained in media that best meet the needs of records users. The retention period of records in all physical formats (paper and electronic) in a record system must be identified during the design of the record system and be reflected in the appropriate Records Retention Schedule.

A. Recommended practices for electronic and manual records systems:

1. **Labeling:** All file names should reference the record series and date (usually a year or span of years). This facilitates identifying records for transfer to storage or for destruction.
2. **Folder Heading:** Use of a "controlled vocabulary" prevents the accidental creation of multiple files for the same subject and simplifies filing and retrieval.
3. **File Breaks:** It is advisable to start new file folders annually or biennially (every other year). This facilitates annual removal of older folders to storage and simplifies destruction of records whose retention period has expired.
4. **Vital Records:** Special care should be taken to properly maintain records with a retention period of "Permanent." Use of rubber bands, self-sticking notes, adhesive tape, and newsprint should be avoided in permanent files. If newsprint items must

be filed, they should be photocopied onto bond paper and the copies filed.

8.0 Transfer and Administration of Records

A. Records Storage Facilities. Inactive or semi-active records may be placed into records storage facilities managed by the City Clerk.

1. **Transfer.** Records Custodians wishing to transfer records to storage must follow the procedure outlined in Appendix C. The City Clerk will maintain an inventory of all stored records.
2. **Access to stored records.** Stored records remain in the official custody of the department that placed them in storage. The City Clerk will not provide access to stored records to the public or other City departments without notice to the department that placed the records in storage.
3. **Retrieval.** Records Custodians wishing to retrieve records from storage must follow the procedure outlined in Appendix C.

B. Official Transfer of Records to the City Clerk. The City Clerk may accept records from sources other than City departments, subject to the following conditions:

1. Records must pertain to the history of City. There must be no ongoing administrative use of the records by the agency, organization, institution, or individual that created them.
2. Records shall be transferred to the City Clerk by execution of a Deed of Gift Agreement included as Appendix D.

9.0 Open Public Records

Procedures and practices for the access to, or copies of, open public records in the possession of the City under the Kansas Open Records Act of 1984 ("KORA"), codified as amended at [K.S.A. 45-215 et. seq.](#), are outlined in [City Policy No. 136 "Open Public Records"](#).

Appendix A

Inventory Worksheet

Department: _____
Records Custodian: _____
Phone/Email: _____

Division: _____
Location: _____
Date: _____

Record Series Title:		
Record Series Description (Nature and purpose, types of information or documents):		
Inclusive Dates: From _____ Thru _____	Record Format: Paper (specify type/size) _____ Electronic (specify) _____	
Annual Accumulation: High (Daily) Medium (Weekly to Monthly) Low (less than once a month)	Series Still Created? Yes No	
Status: Records Copy? Convenience Copy? Is information duplicated elsewhere? _____	Public access Restrictions? Yes No Legal Authority _____	
Relevant Statutes/Regulations K.S.A. _____ K.A.R. _____ OTHER _____	Recommended Retention Active (in office) _____ Inactive (offsite) _____	Recommended Final Disposition <div style="text-align: center;"> Destroy Permanent Storage </div>
Vital Records? Yes No	Additional Remarks:	

Instructions for Authorization to Destroy City Records Form

Purpose: Submission of this form prior to destruction of City records is required under the City of Lawrence Records Management Policy. Its purpose is to provide documentation that City records are destroyed in the course of normal business and in accordance with all applicable laws, regulations, and records retention schedules. Only records that are listed on a Records Retention Schedule can be authorized for destruction. No records that pertain to any pending legal case, claim, action, or audit may be destroyed.

Completing the Form

(do not fill in the "No." box in upper right corner)

- 1) Enter the following information for each record series to be destroyed:

Title: Record series title as it appears on the Records Retention Schedule.

Dates: Earliest and latest year to be destroyed.

Quantity: The number of boxes, file drawers, or cubic feet of records to be destroyed.

Routing of Form

- 1) The Records Custodian should complete the request and forward it to their Official Records Custodian for approval.
- 2) The Official Records Custodian should approve the request by signing and forwarding the form to the City Clerk.
- 3) The City Clerk will approve the request by signing the form and then will notify the Records Custodian that destruction is authorized.

Destruction of Records

- 1) When notified by the City Clerk of approval, Records Custodians may destroy the listed records. Prior approval of the destruction method by the City Clerk is required.
- 2) When records are destroyed, complete the Destruction Certification at the bottom of the form and return the complete form to the City Clerk. Use the date that records are placed in a shred or recycle receptacle as the date of destruction.

Appendix B

Authorization to Destroy City Records (For permission to destroy obsolete city records)

Authorization to Destroy City Records	No.
Pursuant to the City of Lawrence Records Management Policy, and in accordance with applicable laws, regulations, and records retention schedules, authorization is requested to destroy the records listed below. None of the records listed below pertain to any pending legal case, claim, action, or audit.	

REQUESTED BY:		Date:		Phone:	
Department/Division:					
Official Records Custodian Signature:		Date:			
Records to Be Destroyed					
Record Series Title		Dates		Quantity	
1.					
2.					
3.					
4.					
5.					
CITY CLERK APPROVAL:		Date:			
Certification of Destruction					
I hereby certify that the records listed above were destroyed on (date):					
in the following manner:		Shred		Recycle	
Signature:			Name/Title:		
When completed, return to City Clerk's Office.					

Appendix C

Transfer and Retrieval to Records Storage Facilities

Inactive or semi-active records may be placed into records storage facilities managed by the City Clerk. Stored records will remain in the official custody of the department that placed them in storage. Access to stored records will not be provided to the public or other City departments without notice to the department that placed the records in storage. The City Clerk may dispose of any duplicate records or non-record materials without further consent of the transferring department.

Records to be Transferred

Department/Division: _____
Title of Records: _____
Dates of Records: _____
Quantity of Records: _____

Records Custodian:

Name/Title

Date

Receipt: I certify that the records listed above and on attached sheets were placed into records storage facilities on:

City Clerk

Date

Records Retrieval Request

Please provide as specific as possible, a description of the record(s) you desire:

Department/Division: _____
Title of Records: _____
Dates of Records: _____
Quantity of Records: _____

Records custodian:

Name/Title

Date

Receipt: I certify that the records listed above and on attached sheets were delivered to me on:

Signature

Date

Appendix D

City of Lawrence, Kansas Deed of Gift Agreement (For transfer of private records to the City of Lawrence, Kansas)

In accordance with the City of Lawrence Records Management Policy, the records described below and on attached pages are hereby donated to the City of Lawrence, Kansas.

Description of Records Transferred

Title of Records: _____

Dates of Records: _____

Quantity of Records: _____

Number of Sheets Attached: _____

Statement of Access Restrictions:

The undersigned hereby certify that they are the lawful owner(s) of these records, or they have the authority to make this gift. They hereby give, transfer, and assign to the City of Lawrence, Kansas all the right, title, and interest in the records described above, including all copyrights which they may possess in these records. They understand that these records are given without any restrictions on access or use other than those stated above, and that these records may be disposed of in any manner deemed appropriate by the City of Lawrence, Kansas.

Dated this ____ day of _____, ____.

Signature of Donor

Address of Donor

Telephone Number

The City of Lawrence, Kansas hereby accepts the records described above under the conditions and restrictions specified above, if any.

Dated this ____ day of _____, ____.

City Clerk, City of Lawrence, Kansas