



LOS ALAMOS
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INCORPORATED COUNTY OF LOS ALAMOS ADMINISTRATIVE PROCEDURE GUIDELINE

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RECORDS AND INFORMATION MANAGEMENT GOVERNANCE POLICY

I. Purpose

The purpose of this policy is to establish consistent record and information management governance practices for all County employees, contractor employees, governing and advisory boards and commissions, appointed and elected officials who create records in connection with the transactions of County business. The Incorporated County of Los Alamos is committed to an effective Records and Information Management (RIM) program that includes all legal/regulatory requirements for protection, confidentiality and security and will show due diligence and best efforts in the governance of electronic information and hardcopy records. The Incorporated County of Los Alamos (ICLA) recognizes the need for the optimization of space and cost of retaining public records in any medium that have met their required retention within its custody. This policy applies to all record formats, created and stored on paper, electronic (in all its variations), e-mail, social media and web based platforms or any other mediums where County records may reside.

II. Definitions

- A. **Active Record:** Record needed to perform current operations, subject to frequent use, and usually located near the user, also known as a current record.
- B. **Appraisal:** Records analysis; the process of evaluating records based on their current operational, regulatory, legal, fiscal and historical significance, their informational value, and their arrangement and relationship to other records.
- C. **Confidential Information:** Information that can be found in records that may pertain to personal identifiable information (PII) or that should be protected and private under the Inspection of Public Records Act (§14-2-1 NMSA 1978) or as otherwise provided by law or County policy.
- D. **Disposition:** Destruction of records; prior notice to State Records Administrator

(§ 14-1-8, NMSA 1978). An official charged with the custody of any records and who intends to destroy those records, shall give notice by registered or certified mail to the State Records Administrator, State Records Center, Santa Fe, New Mexico, of the date of the proposed destruction and the type and date of the records intended to destroy. The notice shall be sent at least sixty days before the date of the proposed destruction. If the State Records Administrator wishes to preserve any of the records, the official shall allow the State Records Administrator to have the documents by calling for them at the place of storage.

- E. **Electronic Record:** Data or information that has been captured and fixed for storage and manipulation in an automated system and that requires the use of the system to render it intelligible by a person. Computer-generated information such as an e-mail message, document or image file created or received by the County in pursuance of law or in connection with the transactions of public business.
- F. **E-mail:** Information transmitted electronically over a communication network. A system that enables people to compose, send, receive and manage electronic messages and images across networks.
- G. **Essential Information:** Records designated by management as essential to the operational functions outside its normal parameters to provide business continuity during an emergency response.
- H. **File Plan:** A hierarchical structure of folders within a filing structure that provides a coherent location in which records can be stored, searched or retrieved.
- I. **Generally Accepted Recordkeeping Principles:** Through the use thereof allow an organization to create, organize, secure, maintain and use records in a way that effectively supports the activity of that organization. These principles are as follows:
 - (1) **Principle of Accountability:** The County shall create a recordkeeping program and delegate responsibility to appropriate individuals, adopt policies and procedures to guide personnel and ensure audit ability of the program.
 - (2) **Principle of Availability:** The County shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information.
 - (3) **Principle of Compliance:** The County shall construct a recordkeeping program that complies with applicable laws for maintaining records, as well as the organization's policies as they pertain to records and information management.
 - (4) **Principle of Disposition:** The County shall provide secure and appropriate disposition for records that are no longer required to be maintained under applicable laws.
 - (5) **Principle of Integrity:** The County shall construct a recordkeeping program where records and information generated or managed by or for the County has a reasonable and suitable guarantee of authenticity and reliability.

- (6) **Principle of Protection:** The County shall construct a recordkeeping program that ensures a reasonable level of protection to records and information that are private, confidential, privileged, or essential to business continuity.
 - (7) **Principle of Retention:** The County shall maintain its records and information for an appropriate time, taking into account legal, regulatory, fiscal, operational and historical requirements.
 - (8) **Principle of Transparency:** The processes and activities of the County's recordkeeping program shall be structured and documented in a manner that is open and verifiable and is available to all personnel and interested parties.
- J. **Inactive Record:** A record no longer needed to conduct current business but preserved until it meets the end of its retention period.
- K. **Inspection of Public Records Act, §14-2-1 et seq., NMSA 1978:** The law that requires a representative government to provide access to its public records at the request from a person within a designated timeframe with few noted exceptions. It states that all persons are entitled to the greatest possible information regarding the affairs of government and the official acts of public officers and employees. This law can be found at <http://www.nmag.gov/office/Divisions/Civ/OMAIPRA/default.aspx>
- L. **Inventory:** A detailed database created by the records staff that lists all inactive records stored in a centralized records location for ease in maintenance and retrieval.
- M. **Lifecycle of Records:** Begins with the creation of the record, its use, storage in a format that is readable, its maintenance, retention and final disposition of all County records.
- N. **Metadata:** Data describing context, content, and structure of records and their management through time. RIM has selected the following metadata string to capture information in a consistent manner, these include: ICLA File Plan Designation, Record Series or Citation, New Mexico Administrative Code Record Function, Incorporated County of Los Alamos Record Description, Creation and End Dates, Trigger Date, Disposition Date, Record Value and Record Classification.
- O. **Migrated:** Method of preserving information to ensure continued access to information in any format. This includes the preservation of materials resulting from digital reformatting, but particularly information that is created digitally and has no analog counterpart.
- P. **Naming Structure:** Specific metadata used to describe the contents of the record and to establish consistency within a records management program which also provides ease in searching, retrieval and retention.
- Q. **NMAC:** New Mexico Administrative Code (1978) providing rules as well as referring to and interpreting statutes for governing public information.

- R. **Non-record Materials:** The following specific types of materials are defined as non-record and may be disposed of at the convenience of the County when they have no more value/use to the County: extra copies of correspondence and other documents preserved only for convenience of reference; blank forms, books, etc., which are outdated; materials neither made nor received in pursuance of statutory requirement nor in connection with the functional responsibility of the office/county; preliminary drafts of letters, reports, and memoranda which do not represent significant basic steps in preparation of record documents; shorthand notes, steno tapes, mechanical recordings which have been transcribed, except where noted on the County's retention schedule; routing and other interdepartmental forms which do not add any significant material to the activity concerned; stocks of publication already sent to archives and processed documents preserved for supply purposes only; form and guide letters, sample letters, form paragraphs. All other materials either related or received in pursuance of statutory requirements or in connection with the transaction of public business which belongs to the office concerned are government property and not personal property of the officer or employees concerned. Therefore, any material not included in the above definition cannot be destroyed, given or taken away, or sold without complying with all the statutory requirements specifically relating to said records.
- S. **Personal devices:** To include personally owned computers, flash drives, external hard drives, smartphones, other mobile/cellular phones, tablet computers, e-readers, portable media devices, PDAs, portable gaming devices, ultra-mobile personal computers (UMPCs), laptops/notebook computers and any other mobile device capable of storing data and connecting to a network.
- T. **Physical records:** To include calendars, appointment books, memos, correspondence, reports, studies, projects in a paper format as well as all other physical media, including optical media (magnetic media), microfilm, microfiche, which stores public information created in the course of conducting or related to County business.
- U. **Public Records:** Means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government or because of the informational and historical value of data contained therein. Library or museum material of the state library, state institutions and state museums, extra copies of documents preserved only for convenience of reference and stocks of publications and processed documents are not included (§14-3-2 NMSA 1978).
- V. **Records and Information Management (RIM) Program Manager:** The Incorporated County of Los Alamos employee, who will serve as the person responsible for this information governance policy and implementation. This employee is also authorized to transfer, withdraw or destroy County records with the approval from the New Mexico State Records Administrator.

- W. **Record Center:** A County storage facility where inactive records are managed, organized, appraised, inventoried, protected and tracked for retrieval, audit, retention and final disposition. A temperature and humidity controlled facility is preferred to secure, protect and maintain the County's legacy of information for as long as required.
- X. **Records and Information Management (RIM):** Field of management responsible for the efficient and systematic control of the creation, receipt, use, maintenance, and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in all record formats and mediums.
- Y. **Records Personnel:** Staff, trained and authorized by the County RIM Program Manager to handle County records under this established recordkeeping policy, procedures and principles including copies of those public records maintained by the County Clerk, not otherwise stored or managed pursuant to New Mexico State Statute or the County Charter/Code.
- Z. **Retention Schedule:** A comprehensive list of records series titles/functions, indicating for each series the minimum length of time it is to be maintained. Records may be kept longer with justification and nominal risk to the County.
- AA. **Social Media and Web Based Services and Platforms:** External and internal Web sites or services most of which integrate web technology, social interaction and user-generated content to collaborate, combine and share information. These provide a variety of ways for users to interact. These platforms may be operated by nongovernmental third part entities. Examples of social network services include but not limited to Facebook, Twitter and Linked In.
- BB. **Third-party repository:** The storage of data online in the cloud or on other social media sites wherein an organization's data is stored in and accessible from multiple distributed and connected resources. The ICLA is fully responsible for any and all records and information transferred and stored in an offsite repository.

III. Policy

It is the policy of the Incorporated County of Los Alamos that all Public Records will be responsibly managed in accordance with the Public Records Act (NMSA 1978, §14-3-1 et seq.), the Inspection of Public Records Act (IPRA) NMSA 1978, §14-2-1 et seq., the Incorporated County of Los Alamos Retention Schedule and recordkeeping standards and procedures, 1.21.2 New Mexico Administrative Code (NMAC) Retention and Disposition of Public Records, 1.21.3 NMAC Local Government Records Management Guidance and other applicable rules, statutes and regulations issued by the New Mexico Commission of Public Records, except as expressly referenced and modified herein. This includes 1.13.3 NMAC (Management of Electronic Records), 1.13.4 NMAC (Management of Electronic Messaging), 1.12.7

Information Technology (Electronic Authentication) as well as other Federal retention rules and schedules that pertain to specified record series created by specific divisions.

It is the policy of the Incorporated County of Los Alamos to provide employees, appointed and elected officials the applicable records management training to assist in the performance of their work. All resources and services shall be managed in a lawful manner by all County employees, appointed and elected offices, or contractors. County employees shall classify information (using the specified naming structure format) and retention schedule to ensure electronic repositories are in compliance with this policy and applicable law.

County employees shall have no expectation of privacy in anything they send or receive including electronic messaging in the course of conducting County business. All records created while employed, appointed or elected with the Incorporated County of Los Alamos are the property of the County and cannot be destroyed, distributed, sold or stored without complying with this policy.

IV. Responsibility

All affiliated County personnel are required to follow the approved Incorporated County of Los Alamos Retention Schedule by reference for all recordkeeping purposes and ensure the Generally Accepted Recordkeeping Principles, which include accountability, integrity, protection, compliance, availability and transparency apply to all County records while in their custody. The principles of retention and disposition shall be the responsibility of the County's RIM personnel to ensure haphazard or indiscriminate dumping is avoided.

All inactive physical records are required to be centrally located and managed by the RIM personnel to ensure records can be easily located and securely managed. All physical records transferred to the County's Record Center shall include on the outside of each file the title and description of the record, the creation and end dates, and indication whether the record contains confidential or essential information. Active records will remain within Division offices for operational use for as long as needed. Once inactive, records shall be transferred by the Departmental Records Data Liaison to the County's Record Center for evaluation, appraisal, inventory, storage, maintenance and final disposition.

Electronic records will be managed in place by the record creator on user controlled storage, under this established record management criteria. To create consistency and uniformity, records shall use the following Naming Structure format: *yyyymmdd_Title of Record_creator's first initial and complete last name. Example: 20160923_Information Governance Policy_BRicci*. This will allow the creator to file the e-record within the County's centralized File Plan by year thus improving the ease for retrieval and final disposition. Electronic records include those records on network drives, cloud repositories, external hard drives, USB flash drives, digital assistants to

include mobile devices, and digital cameras. Active electronic records will remain the responsibility of the creator who shall maintain the official record under these established recordkeeping practices. The naming structure format does not pertain to input of content in an established database. When entering content in a database, end-user is not required to name the record but must comply with the standards established within the designated system. Only one copy needs to be maintained as the official record to satisfy the retention requirements of the Public Records Act. All duplicated files are considered reference material and shall be deleted as non-record including drafts in any form, which do not add significant material or value to the activity concerned.

The maintenance and accessibility of inactive electronic records shall be safeguarded by the Information Management (IM) Division against deliberate tampering, alteration or in any way change the content of the record for fraudulent purposes. The Incorporated County of Los Alamos RIM Program Manager shall work with IM to ensure electronic records are migrated when records have not met retention and where there is hardware or software obsolescence or when records are stored within a third party repository. Records shall be migrated to a new hardware or software or be converted to a human readable form. RIM and IM will determine appropriate time periods to insure that they are protected from accidental or deliberate loss. Permanent archival or long-term records in physical and on electronic media shall be maintained by RIM and stored in an appropriate environmental setting.

V. Procedures

- A. **Record/Data Liaison (RDL).** Each Department or affiliated body or group shall designate a County Record/Data Liaison (RDL) who understands the records created by the Department or group and who will be the point of contact for the County's RIM Program Manager and the County's Records Center. This responsibility shall become part of the Records/Data Liaison's job duties. All RDL's are required to attend County RIM Training Sessions given or sponsored by the County RIM Program Manager to include and implement all recordkeeping principles. The Records/Data Liaison shall actively support the Records and Information Management policies and procedures and will be the person(s) who reports on all record training and communication at department, affiliated body or group meetings. Any record concerns or issues shall be directed to the County's RIM Program Manager, RIM personnel, designee or subsequent chain of command.

- B. **Record Retention Rules, Schedules, File Plans and Data Entry Portal.** Each department's RDL will determine which records are inactive and shall prepare physical records to be transferred to the County Records Center by boxing the records in designated boxes and by entering each file's metadata into the Data Entry Portal inventory forms. The Data Entry Portal is accessible to all RDL's via the Incorporated County of Los Alamos Intranet. RIM personnel will evaluate, verify and quality check the data entered into the Data Entry Portal against the

actual records and will either accept or reject the box. At the end of each fiscal and calendar year, a Disposition Report will be generated by the RIM personnel on all inventoried records by division and distributed to each RDL. A 30-day review period will be allowed for notice and comment by Department management or affiliated body or group. If no issues, audits or holds pertain to the records listed, the County's RIM Program Manager will proceed with approval from State Records Administrator for final disposition. Once granted, all record formats will be destroyed and disposed of accordingly. Destruction of all records is performed on location in a confidential manner supervised by the RIM personnel with final Certificate of Destruction maintained on file.

- C. **Public Records Requests.** All public record requests shall be the responsibility of the Records Custodian designated by the County Manager. Together with the Records Center, all Record/Data Liaisons shall provide requested records within the designated timeframe under their custody as required by the Inspection of Public Records Act.
- D. **Storage.** All County inactive records shall be stored in the County's Records Center. Electronic records including email shall be responsibly managed on County computing platforms and County managed storage appliances in compliance with current policies. Individuals who choose to use their personal devices to conduct County business must follow the County's records and information management policies and procedures. The designated IM personnel must be informed by the individual using any personal device and will maintain a current listing of those individuals who use personal devices to conduct County business. County information stored may be subject to inspection and discovery under applicable public records laws, county policy and discovery mechanisms, respectively.

When an employee's employment ends with the County, all records created by the employee that are inactive shall be gathered by the designated Records/Data Liaison and transferred to County's Record Center for evaluation, inventory, storage and/or final disposition. Active records shall be distributed by the RDL to the new designee. RIM and IM policies and procedures pertain to all issued equipment that store the County's public records.

- E. **Social Media and Web-Based Platforms.** County employees utilizing social media in the course of County business shall follow the County's Social Media policy. Such employees shall be responsible for all public records created on third-party sites and shall maintain an archive of all information posted with all supporting documents attached in a readable format and in compliance with existing policies. Official records posted under this category must follow this policy and the accepted Incorporated County of Los Alamos Retention Schedule for the entire lifecycle of these public records.


F. Reporting. The Records personnel will provide the County Manager and County Council with reports on the Records and Information Management program as requested.

G. Elected and Appointed Officials. The Records personnel will support all elected or appointed offices of the County Council, Boards and Commissions, County Assessor, Clerk, Sheriff, Municipal and Probate Judges and Municipal Court to utilize the accepted Retention Schedule or a specific schedule that pertains solely to their office.

VI. Additional Regulatory Requirements

This policy shall not be construed in a manner that is inconsistent with statutory regulations and requirements within the Incorporated County of Los Alamos Charter.

Prepared by: RIM Program Manager



Harry Burgess
County Manager

11/30/17
Date