

Board Policy No. 14 Record Management and Document Control

Summary

This policy establishes the requirement to implement and maintain a record management and document control system to manage NCTD's paper and electronic documents.

Scope

This policy applies to certain categories of NCTD's documents, including, but not limited to, the following official records:

1. Board agendas, resolutions, ordinances, staff reports, and minutes
2. Consultant reports
3. Contracts and purchase agreements
4. Correspondence (outgoing, incoming, and internal)
5. Deeds (real estate)
6. Drawings (as-builts)
7. Easements
8. Financial statements
9. Grants and supporting documents
10. Internal audit reports
11. Leases (real estate and equipment)
12. Licenses (real property and software)
13. Manuals and Plans
14. Memoranda of understanding (MOUs)
15. NCTD ordinances and resolutions
16. Personnel Records
17. Policies and procedures
18. Property permits
19. Records retention schedule
20. Regulatory audit reports
21. Regulatory required plans
22. Sensitive security information (SSI)
23. Tax returns
24. Vital records

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This policy sets forth NCTD's policy and guidance on responsibilities, the document management system, documents with restricted access (*sensitive security information or SSI*), and specific guidelines for records retention.

Responsibilities

The Executive Director is responsible for the appointment of a Document Control Coordinator (DCC) and ensuring NCTD meets the requirements of this policy and applicable law.

The Document Control Coordinator (DCC), under guidance and oversight from management and legal staff, is responsible for implementing and monitoring the records management program, updating the retention schedule as needed and ensuring the district's compliance to applicable laws and regulations regarding record retention, storage, and destruction.

Document Management System

NCTD will utilize an electronic document management system (DMS).

The DMS shall meet the definition of "trusted system" as set forth in Government Code § 12168.7(c) and comply with the uniform statewide standards adopted by the Secretary of State with respect to any and all official records created or stored as the original. The DMS shall not permit additions, deletions or changes to the original document. In addition, to the extent required by Federal regulations at 2 C.C.R. 22620.4, the DMS shall be designed in accordance with Section 6.2 Recommended Project Steps and Activities of AIIM ARPI-2009 Analysis, Selection, and Implementation of Electronic Document Management Systems approved June 5, 2009.

Electronic records shall be placed in conveniently accessible files and must be able to be reproduced on film, optical disk or another medium which accurately reproduces the original thereof in all details. For official records stored in an electronic format only, the digital version must be created in an electronic media that meets all requirements specified herein or otherwise required by law before the original may be destroyed.

To aid in convenience and accessibility, the DMS shall be used to retain electronic versions of all official records where feasible, even those required by law to be retained in their original hardcopy format as specified in the District's Records Retention Schedule. The original hardcopy shall be considered the official record and the electronic version will be considered the copy.

Documents with Restricted Access

Documents that contain restricted information such as SSI and which require document control management based on Federal Transit Administration (FTA), American Public Transportation Association (APTA), and NCTD policies, or other federal or state requirements, will be accessible only to designated individuals. The process for filing/storing and managing staff access to these types of documents will be outlined in a written policy and procedure under the direction of an SSI Committee.

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Bids (both accepted and not accepted) and contracts (including architectural building plans) must be evaluated for SSI, in addition to trade secrets, as these documents may contain information relating to key elements of the agency such as, but not limited to, structural elements, communications and computer rooms, railway signaling elements, etc.

Specific Guidelines

For specific details on NCTD's records retention schedules, see NCTD Board Policy No.15, Records Retention Policy and Schedule.


Approvals



Board Chair

10 | 18 | 2018

Date



Executive Director

10 | 18 | 2018

Date



General Counsel

10 | 18 | 2018

Date

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10/17/2013	1		2013 REVISION
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