



AGENDA
GOVERNMENT OPERATIONS COMMITTEE
Wednesday, August 9, 2023, at 5:30PM in Chambers
Live Stream Link - <https://www.youtube.com/watch?v=eZrP1t4RMz0>

CALL TO ORDER: By Hon. Chris Petrus, Chair

MEMBERS: Legislators, Tricia Kerr, Aileen McNabb-Coleman, Heidi Nightengale, Lydia Patti Ruffini, Hans Pecher-Vice Chair, and Robert Shea

MINUTES TO APPROVE: July 12, 2023

APPOINTMENTS: None

DEPARTMENT UPDATES FOR COMMITTEE:

John Camardo and Keith Batman (Board of Elections) –

Sheila Smith (Clerk of the Legislature) – No updates

Christopher Palermo (County Attorney) – No updates

Susan Dwyer (County Clerk) – No updates

Tom Bunn (Information Technology) –

IT Help Desk data – July 2023

- 464 new support tickets were created.
- 94% support tickets were resolved (434)
- Average resolution time (per ticket) – 1.2 hours

Completed Projects

Safety/Security Upgrades

- 32 all new, high-resolution cameras have been installed and replaced the extremely old analog cameras.
- Provides state of the art technology and increases camera storage retention time.
- Will make the County a safer place and save money on vendor support contracts as IT has picked up full responsibility of the maintenance of the system.

Active Projects

Enterprise Resource Planning (ERP) Solution

- County currently owns and operates different system to accomplish various tasks including Payroll, Finances, Human Resources, Purchasing, Fixed Assets, as well as many “one-off/standalone” solutions.
- Systems aren’t interoperable which has created departmental silos, complex processes, and resulted in duplication of effort and other inefficiencies.
- County has created a team to investigate various solutions which will result in one centralized system that can incorporate all the items listed above.
- Several benefits to moving to this system which include, cost savings, data security, compliance, increased productivity, visibility, and real-time reporting.

County-Wide Network Infrastructure Project

- All hardware has arrived and has been configured and installed.
- We have fully completed the installation and configuration of the County Office building.
- Our next steps are to complete the installation and configuration at our other remote offices.
- The timeframe for remote office installation should be completed by the end of August.
- The Public Safety building is its own separate project and will be worked on after remote office upgrades are complete.
- Once the project is complete will provide a reliable, scalable, and redundant network infrastructure to the County.

Microsoft Office 365 Project

- Phase II includes Microsoft Teams and OneDrive rollout has begun.
- Training opportunities to all staff began last week (face to face, recorded, and Microsoft E-learning academy)

- Will provide the County with an all-in-one collaboration suite which will increase productivity, simplify tasks, and standardize our software platform.

County Website Rebrand/Department Redesign

- Met with Civic Plus to go over what website redesign options they can provide.
- At no cost they can help us to update the layout, content and organization of the County's webpages thanks to some updates they have made available to us.
- We have formed a small committee consisting of Shereen Androsko, Sarah Blowers, Dan Lovell and myself who will guide this work going forward.
- We plan to run some advanced data analytics on the website which will help guide decision making on changes as we move forward.
- Sarah has offered to be a liaison between Department Heads and IT to provide website and content updates.
- The timeline for completion of the project is between 6-8 months.
- Kick-Off meeting was held Tuesday, 8/1

Cybersecurity Compliance Assessment/County Board of Elections

- We were awarded an opportunity to work with the State to provide an updated cybersecurity assessment on the current state of the Board of Elections
- This is not an audit, it's a partnership to strengthen cybersecurity within NYS government entities.
- SBOE will perform a control review with BOE and IT over the next several weeks.
- Results of this review will clearly identify security control gaps, prioritize those gaps, and develop a road map to remediate.
- Once this work is completed for the BOE, the State has also agreed to do the same work (at no cost) for the rest of our county departments.
- Initial assessment has been completed; next step is to identify areas based on cybersecurity risk.

Cayuga GOLD – Wellness Event

- Wellness team organized a Wellness Fair on Thursday, 7/27
- Several local gyms, health centers, martial arts studio, and yoga studios all participated.
- Participation was great and received positive feedback on the event.
- Special thanks to Sarah Blowers and Chelsea Alnutt for helping organize the event.

Kevin Swab (Veterans) –

- Ongoing Activities
 - Assisted with over 90 actions including Veteran Benefits Claims, Records Requests, Death and Burial Benefits.
 - Coordinated and transported Veterans to 75 appointments at the Syracuse VAMC.
- Significant Activities
 - Mailed information letter to over 2000 Veterans in Cayuga County
 - Many inquiries from information provided.
 - Publicizing Cold War Veteran Property Tax Exemption and ensuring surviving spouses of Veterans are getting exemptions.
 - Participating in ETS Sponsorship Program, ETSsponsorship.com
 - NYS Joseph P. Dwyer Peer to Peer Program
 - “Wall That Heals” coming to Auburn 13-17 Sep 23
 - Distributing “Green Lights for Veterans” to show appreciation and raise awareness of Veteran issues and suicide prevention.
 - Supporting wellness and other activities for Veterans (DoubleDays Tickets)
 - Distributing \$50 in Fresh Connect Farmer's Market Coupons for Veterans (Distributed \$5000)
 - Attending Wheat Harvest Festival in King Ferry 5 August 2023.
 - Veteran appreciation picnic 12 August 23 at Town of Owasco pavilion.
- Areas of Interest
 - Veteran's Day is 92 days away

RESOLUTIONS:

CLERK OF THE LEGISLATURE

8-23-GO-1 Pension Reporting Resolution for Elected and Appointed Officials

COUNTY CLERK

8-23-GO-2 Update Cayuga County Records Management Policies and Procedures Manual

ADJOURNMENT: Wednesday, September 13, 2023

If you have a disability and need accommodations, please call the Clerk of the Legislature's Office at 253-1308 at least 48 hours before the scheduled meeting to advise what accommodations will be necessary.

RESOLUTION NO. _____ 8-22-23 COL Pension Reporting 8-22-23

PENSION REPORTING RESOLUTION FOR ELECTED AND APPOINTED OFFICIALS

By: Christopher Petrus, Chairman, Government Operations Committee

WHEREAS, New York State’s Retirement System reporting requirements are set forth in Title 2 NYCRR § 315.4 for elected or appointed officials who are members of the New York State Retirement System and elected or appointed on or after August 12, 2009; and,

WHEREAS, a three-month record of work activities was submitted to the Clerk of the Legislature by those officials that do not maintain a daily record of actual time worked; now therefore be it

RESOLVED, on recommendation of the Government Operations Committee, that the Cayuga County Legislature will report the following days worked to the New York State and Local Employees’ Retirement System based on the record of activities maintained and submitted by these officials to the Clerk of the Legislature: **see attached**; and it is further

RESOLVED, that the redacted copy of the resolution which does not show the employees last four digits of their social security number or registration number shall be posted on the Cayuga County website for a minimum of 30 days and that a certified copy of the resolution and affidavit of posting be filed with the Office of the State Comptroller within 45 days of adoption.

NAME	DEPT.	WORK DAY	TITLE	TERM	APPT. DATE	APPT. ENDS	CO. PENSION	4 DIGET		RECOR D OF TIME	Tier 1	NOT SUBMITTED
								SS	PENSION #			
Foley, Ryan	Human Res/CC	7	Commissioner PT	6 years	6/1/2022	5/31/2028	Y	1956	60043171	6.86		
Sherman, Bruce D.	Human Res/CC	7	Commissioner PT	6 years	6/1/2020	5/31/2026	Y	8601	35385244	4.84		
Lattimore, Tim	Human Res/CC	7	Commissioner PT	6 years	6/1/2018	5/31/2024	Y	4719	20350237		Tier 1	
Duckett, Adam	Jail Physician	7	Jail Physcian	1 year	1/1/2023	12/31/2026	Y	0066	60901311	0.44		
Duckett, Adam	Coroner	7	Coroner	4 years	1/1/2023	12/31/2026	Y	0066	60901311	21.71		
Basile, James, J	Legislator Board	6	Legislator	2 years	1/1/2022	12/31/2023	Y	2658	41354382	9.58		
Calarco, Christina	Legislator Board	6	Legislator	2 years	1/1/2022	12/31/2023	Y	3983	72990690	4.63		
Kerr, Tricia	Legislator Board	6	Legislator	4 years	1/1/2020	12/31/2023	Y	7542	39596994	8.51		
Nightengale, Heidi	Legislator Board	6	Legislator	4 years	1/1/2020	12/31/2023	Y	6766	72990674			X
Patti Ruffini, Lydia	Legislator Board	6	Legislator	2 years	1/1/2022	12/31/2023	Y	6049	72990674			X
Petrus, Christopher	Legislator Board	6	Legislator	4 years	1/1/2020	12/31/2023	Y	2899	42562355			X
Schenck, Brian	Sheriff	8	Sheriff	4 years	1/1/2023	12/31/2026	Y	2967	38473922		30	
Dempsey, Dave	Treasurer	6	Treasurer	4	1/1/2022	12/31/2025	Y	2839	36769321	11.08		
Antonacci, Brittany	District Attorney	7	District Attorney	4	1/1/2023	12/31/2026	Y	3622	60116621	27.17		

RESOLUTION NO. _____ **8/22/23** **CC Records Management Policy Update**

rev

UPDATE THE CAYUGA COUNTY RECORDS MANAGEMENT POLICIES AND PROCEDURES MANUAL

BY: Mr. Christopher Petrus, Chairperson, Government Operations Committee

BY: Mr. Hans Pecher, Chairperson, Government Operations Committee

WHEREAS, the Cayuga County Records Advisory Committee meets on a regular basis to discuss issues and to act on all concerns regarding the Cayuga County Records Management Policies and Procedures Manual, and maintenance of all county archival records; and,

WHEREAS, one of the duties of the County Records Advisory Committee is updating the County Records Management Policies and Procedures Manual; and,

WHEREAS, the County Records Advisory Committee has diligently worked on reviewing and editing the manual; now therefore be it

RESOLVED, that the County Records Advisory Committee is presenting the updated copy to the Government Operations Committee for their review and approval; and be it

RESOLVED, that all County Departments will use this document as a reference for policies and procedures pertaining to County records.

TEMPLATE FOR ALL COUNTY POLICIES

DEPARTMENT: Records Retention

POLICY TITLE: ~~Cayuga County~~ Records Management Policies and Procedures Manual,
Revised 2023

EFFECTIVE DATE: ~~8-22-23~~~~TBD~~ 7/27/2024

RESOLUTION NO.: ~~TBD 217-21~~

SUPERSEDES POLICY OF: ~~2022~~, 2021, 2019

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Objective:

The primary objective of this manual is to provide a listing of all records management policies and procedures in the County of Cayuga.

Secondarily, the manual outlines the records management services provided to county departments through the office of Records Retention.

Thirdly, correct the policy terminology regarding the activities of “records management” versus the County departmental terminology of “Records Retention.” Additionally, this document revision has been run through the new Microsoft 365 Word Editor tool to correct spelling, grammar, and other editorial refinements.

Lastly, this policy revision will outline the interim Records Retention operational model changes, which will be a hybrid of legacy ops and the new integration of digital ops being incorporated because of the DREAMS Project. (Please note that once the DREAMS Project has fully implemented the digital ops model, this policy will ultimately be revised again to reflect such and retire any remaining legacy ops model items. It is estimated this will transpire within the next few years.)

Policy:

Cayuga County Records Management Policies and Procedures Manual

Definitions: (if needed)

N/A

|

Note will go at the bottom of all policies

Note: (this should state what Department is responsible to update/amend this policy

Records Retention, County Clerk Office

Sample Note: Policy shall be reviewed annually by (Department). Revisions must be in Resolution form, go through the Government Operations Committee and approved by the Legislature.

DRAFT

**Cayuga County Records Management
Policies and Procedures Manual
Revised 2022**

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I Records Management Program

I.1 Records Management Manual

I.1.1 Purpose of the Records Management Manual

The primary purpose of this manual is to provide a listing of all records management policies and procedures in the County of Cayuga. Secondly, the manual outlines the records management services provided to county departments through the office of [Records Management](#)[Records Retention](#).

I.1.2 Amending Items in the Records Management Manual

The Cayuga County Records Advisory Committee will have the power to approve additions and changes to the records management manual.

I.1.3 Revision of the Records Management Manual

The Records Advisory Committee will review ~~suggested~~[the suggested](#) revisions to the records management manual.

Anyone may suggest revisions of and additions to these policies and procedures.

The Records Advisory Committee shall periodically review these records management procedures to ensure they are up-to-date and complete.

I.1.4 Numbering System for the Records Management Manual

The records management manual has a numbering sequence designed to accomplish three goals:

1. Make it possible for users to find a section of the manual with ease,
2. Allow for unlimited additions to any section of the manual,
3. Avoid the need for page numbers and, therefore, allow for easy expansion of parts of the manual.

The numbering system outlines the hierarchy of the manual.

Each part of a section's unique number is separated from the others by a period.

The numbering system:

- I. Roman numerals marking a major section of the manual,
 - 1. An Arabic numeral marking a subsection (one topic),
 - 2. An Arabic numeral marking a part of a subsection,
 - a. A small letter marking items within a part.

1.1.5 Distribution of the Records Management Manual

The County Clerk will distribute the manual and any updates electronically.

1.2 Records Management Program Explanation

1.2.1 Concept of Records Management

The Cayuga County Records Management Program was established by the Cayuga County Legislature according to Resolution No. 468 (12/15/1992), in compliance with Article 57-A, Chapter 737, Arts and Cultural Affairs Law, Laws of New York, 1987, and in compliance with Regulations of the Commissioner of Education.

Records management, in formal terms, is the systematic creation, organization, maintenance, use, and periodic legal disposition of records. Managing the flow of records cuts costs while increasing government efficiency.

The records in the custody of Cayuga County belong to the public. Public records protect the interests and rights of the taxpayers. As government officials, we are responsible for the maintenance and preservation of these records.

1.2.2 Benefits of a Records Management Program

The Cayuga County Records Management Program:

- a. Provides inactive and archival records storage for all departments in the county in one secure facility under the supervision of the Records Management Officer.

- b. ~~Insures~~Ensures that records management is a continuing administrative function of the county government and not just a periodic housekeeping function.
- c. Provides a clear, legal basis for actions pertaining to records, and a clear definition of who is responsible for the varying aspects of the Records Management Program.
- d. Demonstrates to all county employees the commitment to, as well as the significance and legal basis of, the records management program.
- e. Shows the public and taxpayers the serious intent of the county government to maintain accessible, usable, and reliable records.

1.2.3 Records Management Program Objectives

- a. Ensure the creation of records that contain accurate, complete, and usable information.
- b. Save the taxpayers money through the efficient administration of information resources.
- c. Prevent the creation of unnecessary records.
- d. Ensure the systematic legal disposition of obsolete records.
- e. Preserve archival records – those records with permanent value.
- f. Continue to evaluate the Records Management Program and the environment in which it operates for evidence that change is needed.
- g. Ensure that information is recorded and maintained as efficiently as possible.
- h. Enforce measures that ensure the protection of records vital for the operation of the county.
- i. Provide documents quickly and easily when needed internally and by the ~~general public~~public.
- j. Migrate records management content and operations to a 21st Century cloud-based digital platform.
- k. Ensure digital records are secure, safe, and easily accessible to designated end users.
- l. Enable County operations to leverage new tools, such as e-forms and e-workflows, to upgrade public services, significantly reduce paper usage, and generally streamline internal processes.
- m. Implement public portal services.
- n. Enable shared service partnerships with other Cayuga County town and village municipalities (long-term goal).

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[i-o. Vacate and retire legacy County Records Center \(the old, retrofitted County Jail\).](#)

1.2.4 Revision of Program Objectives

The Records Advisory Committee has the authority to revise these program objectives as necessary.

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I.3 Records Management Program Responsibility

I.3.1 Program Planning

The County Clerk, as Records Management Officer, and the Records Advisory Committee will have the responsibility to plan for and develop the county's Records Management Program.

I.3.2 Records Management Training

The County Clerk will ensure that employees in the ~~Records Management~~[Records Retention](#) Department have adequate records management, information security and information privacy training.

The County Clerk's office will provide training in records management procedures to the staff from other departments.

The County Clerk's office will suggest training (such as NYS Archives workshops) that county staff might find useful.

County departments will inform the County Clerk of ~~training~~[the training](#) their staff may need.

I.3.3 Computer and Application Use

Department heads must ensure that their respective staff have appropriate training to utilize all systems and applications they will use to create, ~~maintain~~[maintain](#), and access records and information, this includes relevant compliance, cybersecurity, and privacy training.

I.3.4 Records Management Legislation

The Cayuga County Legislature (through Resolution No. 468 – 12/15/1992) authorized the responsibilities outlined in this records management manual and authorized the development of the policies and procedures within this manual.

I.3.5 Records Management Consultation

The ~~Records Management~~[Records Retention](#) office is available to help departments efficiently manage their records and information.

I.4 Records Management Officer

I.4.1 Appointment of the Records Management Officer (RMO)

Under the provisions of Section 57.19 of the Arts and Cultural Affairs Law and Section 185.2(a) of 8NYCRR, the Cayuga County Clerk has been appointed the official Records Management Officer for Cayuga County. The legislature may officially appoint the County Clerk as Records Management Officer each year as a formality.

I.4.2 Duties of the Records Management Officer

The duties of the Records Management Officer shall be to:

- a. Initiate, coordinate, and promote the systematic management of Cayuga County's records in consultation and cooperation with other county officers.
- b. Work with department heads to guide the development and application of records management practices for county offices.
- c. Ensure the legal destruction of obsolete records.
- d. Serve as chairperson of the Records Advisory Committee.
- e. Provide appropriate storage for inactive records that have not met their legal retention.
- f. Ensure the preservation of archival records, the sound management of these records, and their availability for research.
- g. Consult as necessary with the NYS Archives and other state agencies involved in the supervision of records management or in the creation of records.
- h. Prepare public information releases pertaining to the Records Management Program for administrators to issue.
- i. Coordinate the development and submission of grant applications to improve the management of county records.
- j. Participate in developing, reviewing proposals for, and coordinating any relevant information technology systems.

I.5 Records Advisory Committee

I.5.1 Committee Membership

The Records Advisory Committee was established under the provisions of Resolution No. 366-02 (7/23/02). The committee shall consist of 6 members appointed by the Legislature. The ~~Records Retention Manager~~Records Retention Administrator shall be an ex officio member of the committee.

I.5.2 Duties of the Committee

The Records Advisory Committee shall have the following duties:

- a. Provide advice to the Records Management Officer and ~~Records Retention Manager~~Records Retention Administrator on the progress of the Records Management Program.
- b. Periodically review the performance of the program and propose improvements.
- c. Provide advice on the appraisal of records ~~for~~of archival value.
- d. Actively support the Records Management Program and promote it among the departments of the county and in the local community.

I.5.3 Meeting Frequency

The RMO or a designated alternate shall convene and preside over all formal meetings. The RMO shall provide for the scheduling of meetings once per quarter during normal business hours.

I.5.4 Quorum

All actions of the committee shall require a quorum. A quorum consists of the chairperson or designated alternates, plus a majority of the voting committee members or their authorized appointed alternates.

Committee actions and recommendations shall be decided by consensus or by a simple majority vote of members present at the meeting.

I.6 ~~Records Retention Manager~~Records Retention Administrator

The county will maintain the position of ~~Records Retention Manager~~Records Retention Administrator, under the supervision of the County Clerk, with the following responsibilities:

- a. Direct and implement the Records Management Program.
- b. Work with and supervise employees in the Records Management Program.
- c. Attend training seminars provided by New York State Archives that relate to the county's Records Management Program.
- d. Identify and dispose of all appropriate records according to established guidelines.
- e. Advise the county RMO and Records Advisory Committee of developments within the Records Management Program.
- f. Assist with records related grants and performs related work as needed or required. Prepare applications for grant funding of records management activities.
- g. Provide county personnel with advice and assistance with records management issues.
- h. Provide a monthly report of the activities of the Records Center to the RMO.
- i. Play leading role in managing a digital-only focused records retention initiative.
- j. Oversees the Enterprise Content Management System (ECMS) housing the County records management inventory, in collaboration with the County Clerk, Information Technology, and other related County Departments.
- k. Plays a leadership role in road mapping the County's digital records framework in parallel with ECMS and general technology advancements.
- h.l. Consults departments regarding new technologies, record imaging, indexing, and storage strategies to increase efficiency of records management and county-wide operations.

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I.7 ~~Records Management~~Records Retention Offices Liaisons

I.7.1 Assignment of Liaisons

Each department must designate a specific staff person as a records management liaison. Each department must inform the County Clerk, in writing, of persons designated as liaisons and of any subsequent personnel changes in this regard.

The County Clerk will maintain an updated list of liaisons and communicate records management policies to them on a periodic basis.

I.7.2 Duties of Liaisons

The records management liaisons in each department will serve as liaisons in all transactions involving the records management department.

II Creation of Records

II.1 Official Copies of Records

II.1.1 Definition of “Official Copy”

Each record series in the county is either:

- a. The official record copy that needs to be kept for meeting official retention periods, or
- b. A duplicate copy that may be destroyed whenever the office no longer needs the record.

II.1.2 Designation of Records as the Official Copies

It is important that each record series in the county be designated as an official copy or a duplicate copy for retention purposes.

The county will use the following criteria to determine the record copy:

- a. Any record officially filed with the County Clerk will be the official copy for that record.
- b. Any unique copy of a record will be the official copy.
- c. Any copy officially filed with another office will be the official copy.
- d. In any other cases, the original copy will almost always be the official copy.

County personnel need to know which copies of their records are record copies.

Contact the County Clerk in cases where you are unsure if you are retaining the official copy of a record.

The LGS-1 Records Retention and Disposition Schedule (see section III.1) shall identify official copies of records.

II.1.3 Electronic (i.e. Digital) Records as Official Copy

The county may legally make electronic copies of county records for any reason and replace the original with this copy.

If the county has replaced paper records with an electronic copy, the electronic will be the official copy.

If the county has replaced paper records with an electronic copy and microfilm copy, the electronic will be the official copy.

If the county has electronic records but kept both the microfilm, electronic, and the paper copy, then the electronic copy will be the official copy.

II.1.4 Electronic Records as Official Copy

Electronic records may be designated as the official copy of a record series. In such a case, the department must ensure, according to NYS Archives regulation, that the electronic record is accessible and usable for the entire required retention period for that record and that after that retention period the records are removed.

[Presently, the DREAMS Project and the County are in transition and migrating records to a digital format within an Enterprise Content Management System \(ECMS\). This is a cloud-based software as a service \(SaaS\) solution.](#)

II.1.5 Unofficial Copies of Records

Any copies that are not the official copy of record are unofficial copies.

Since the county does not treat unofficial copies as records, any department may destroy such records whenever it no longer needs them. There is no need to complete a destruction authorization form in such circumstances.

Also, since the county doesn't consider such copies records, the County Clerk will not accept unofficial copies for storage in the county's records storage area. A department that wishes to store such records should, instead, discard them and use the official copy for reference.

II.2 Custody of Government Records

II.2.1 Ownership of Government Records

All departments and staff must understand that the records they use in their daily work are not their personal records. The records belong to Cayuga County, maintained by county personnel for the benefit of the public.

II.2.2 Custody of Active Records

All active records of Cayuga County are under the custody of the department that originally created the records. By law, the County Clerk has ultimate responsibility for all records of the county, but the County Clerk does not maintain ownership of these records.

II.2.3 Custody of Inactive Records

Legal custody of records transferred to the Records Center remains with the department that sent them. The County Clerk has only physical custody of the records.

II.2.4 Custody of Court Records

Court records are officially records of the State of New York, under the oversight of the Unified Court System. Under the Uniform Justice Court Act, county justices have custody of their own records when they are active. However, after the retirement of the county justice and the transfer of these records to the county records center, ownership of these records rests with the County Clerk.

Surrogate Court is a court of record and maintains custody of their records ~~whether or~~ [whether](#) the records are physically transferred to the county Records Department for storage.

II.2.5 Ownership of Records Created by Contractors for the Government Agency

All records produced by any contractor (architect, lawyer, engineer, consultant, etc.) for Cayuga County under contract by the county shall remain the property of the county. The county will make no extra payment for a single copy of such records beyond the payment made as to the contract. The contractors may, however, retain copies of these materials for their own records. All pertinent contracts shall include these stipulations.

II.3 Litigation Support

II.3.1 Need for Litigation Support

Litigation support includes all those activities that protect the interests of the county and its citizens in legal disputes. This section explains the county's procedures for managing records to ensure their acceptability in court and the county's procedures for responding to ~~request~~[requests](#) for records that arise from litigation.

In all cases where a lawsuit has been brought against the county, county officials must contact the county's legal counsel for advice.

II.3.2 Consistent Creation and Maintenance of Records

Every department is responsible for ensuring that the records in its control are accurate, complete, and authentic. County departments must have procedures and controls in place to ensure accuracy and authenticity of records to support the county in case of any litigation. In

some cases, especially with sensitive records or electronic records systems, county departments should have written procedures in place.

II.3.3 Consistent Records Disposition Procedures

Every year, the county destroys records it no longer needs. But, to support the county in any legal dispute, the county must be able to prove that it is destroying these records in a consistent manner and according to a set retention schedule. If the county could not prove this, opposing counsel could question the county's legal disposition of any records that may have been helpful to the opposing party in court. For this reason, county departments must comply with the retention schedule followed by the county. Whenever there is a need to avoid absolute adherence to the schedule, departments should discuss this issue with the County Clerk.

II.3.4 Maintaining Satisfactory Access to Records

~~In order to~~To support the general work of the county, county departments and the County Clerk need to ensure they can easily find any record within the county. This access becomes even more important to ensure the county can adequately access its records. For these reasons, county departments must maintain necessary controls over their records (including indexes). A department that needs help setting up such controls should contact the County Clerk.

II.3.5 Response to a Pending Lawsuit

After learning that a lawsuit is pending against the county, the County Clerk as Records Management Officer must:

- a. Contact the records custodian (if this is not the County Clerk).
- b. Determine which records are pertinent to the lawsuit.
- c. Mark these records to protect them from accidental disposal.
- d. Bring to a halt any planned disposition of these records, until the ~~final outcome~~outcome of this lawsuit.

II.3.6 Response to Legal Discovery

The county's legal counsel, the County Clerk as RMO, and the guardian of the records in question must work together before responding to the legal action called "discovery." Legal discovery is the action of the opposing party in a lawsuit legally demanding copies of all records related to the issue at hand.

When responding to a discovery motion, the county must ensure that it:

- a. Provides all records related to the issue.
- b. Supplies the records to the opposing side in a usable format.
- c. Determines the cheapest method of reproducing these records.

II.3.7 Testifying in Court

Any county personnel testifying in court on behalf of the county must discuss such testimony with the county attorney beforehand. They should also be prepared to describe the county's procedures for creating and maintaining the records in question and to describe the county's procedures for records disposition.

Anyone with questions about these records management issues should contact the County Clerk.

II.4 Standards for Records Creation

II.4.1 Required Formats for Records Filed with the Government

County officers will determine when the county should require that records filed with the county be filed in a certain format. The reasons for such requirements [isare](#) to ensure that the records are filed in the most usable form and to help save the county expenses incurred by converting the records to more useful formats.

II.4.2 Media Standards for Electronic Records

The county must ensure that it purchases only high-quality storage media that [havehas](#) been recently manufactured.

CDs, DVDs, etc. are unstable as records storage medium, so county offices should not depend on them for long-term back-ups but should use them only to make copies of files for the public or as interdepartmental short-term use.

[Presently, the DREAMS Project and the County are in transition and migrating records to a digital format within an Enterprise Content Management System \(ECMS\). This is a cloud-based software as a service \(SaaS\) solution. This will be standard moving forward.](#)

II.4.3 Use of Compatible Applications and Services within the Government

Cayuga County is dedicated to ensuring that all offices within the county can share data easily. For this reason, the Legislature passed Resolution No. 509-00 (11/28/2000) requiring county offices to purchase compatible software products.

County departments should open a helpdesk ticket requesting assistance with application selection before making any application or software-as-a-service procurement requests.

II.4.4 Production of Archival Records on Durable Media

Archival records are records that need to be kept permanently, so county departments need to consider what materials to use to produce such records.

Archival records should be produced on high-quality, alkaline paper or produced in such a way that they can be imaged easily.

III Retention and Disposition of Records

III.1 Retention Schedules

III.1.1 Adoption of Appropriate Retention Schedules

Cayuga County, by Resolution No. 325-20 (10/27/2020) in conjunction with Resolution No. 114 (04/21/1987), has adopted and follows the LGS-1 Records Retention and Disposition Schedule, as developed by the NYS Archives. Each county department follows the minimum retention periods outlined in this publication.

For court records, Cayuga County adheres to the retention and disposition requirements of the following schedules developed by the Unified Court System:

- a. Records Retention and Disposition Schedule for Civil Records of Supreme and County Court
- b. Records Retention and Disposition Schedule for Criminal Records of Supreme and County Court
- c. Records Retention and Disposition Schedule for Records of Surrogate's Court

III.1.2 Documenting Extensions to Minimum Retentions

In some instances, the county departments have formally extended the minimum retention periods for certain record series.

Any extensions are documented in the department's inventory spreadsheet.

III.1.3 Exceptions to General Retention Rules

In some situations, the regular rules concerning the retention of records do not apply.

County departments must keep in mind the following exceptions:

- a. Records created before 1910 cannot be disposed of without authorization from the NYS Archives.
- b. During legal proceedings, the county must retain the corresponding records even if their retention has passed. Such proceedings include subpoenas, outstanding Freedom of Information Law (FOIL) requests, and notices of claim. In such circumstances, the county cannot dispose of the records until legal action is totally resolved.
- c. If the county has been informed that a state or federal audit is pending, the county must maintain those records until the audit has been completed.
- d. If the records have been microfilmed, the county may dispose of the original records unless the record was created before 1910.

- e. If the record is not covered by any state retention schedule, the county must retain the record (or an electronic copy of it) until a retention period has been set.
- f. If a county department has decided to retain its records for longer than the mandated minimum, the county will retain the records longer and note this in the inventory spreadsheet for that department.

III.2 Records Disposition

[Presently, the DREAMS Project and the County are in transition and migrating records to a digital format within an Enterprise Content Management System \(ECMS\). This is a cloud-based software as a service \(SaaS\) solution. Once digital records are stored within the ECMS, the system will manage disposition in association with New York State Archives LGS-1 schedule guidelines.](#)

[For transitional legacy documentation disposition, the following operations will be followed:](#)

III.2.1 Importance of Documenting Disposition

Cayuga County documents all records dispositions

- a. To document that department heads authorized the disposition of records.
- b. To document that the Records Management Officer authorized the disposition of records.
- c. To document that the record disposal has ~~actually occurred~~[occurred](#).
- d. To document that the records were disposed of in accordance with records retention requirements.

III.2.2 Authority to Dispose of Government Records

County personnel shall not destroy or otherwise dispose of records before obtaining a Records Destruction Authorization form signed by the appropriate department head and the Records Management Officer.

III.2.3 Records Destruction Authorization Form

The county's Records Destruction Authorization form (see Appendix) includes the box code and number, the record series name, the retention schedule number, the span of records included in the box (by date or alphabetically, numerically, etc.), and the minimum date of retention. The form also includes spaces for authorization signatures.

III.2.4 Disposition of Local Government Records

When the legal minimum retention period of county records in storage has expired, the [Records Management/Records Retention](#) Department will notify the department by submitting a completed Records Destruction Authorization form. The department head will review the list of records and sign it indicating approval of the destruction.

Upon written approval from the department head, the County Clerk as Records Management Officer will also review and sign the Records Destruction Authorization form, and the [Records Management/Records Retention](#) Department will arrange for and ~~carry out~~ [conduct](#) appropriate disposal.

III.2.5 Disposition of Court Records

Each county justice should follow the current "Records Retention and Disposition Schedule for Civil Records of Supreme and County Court" and "Records Retention and Disposition Schedule for Criminal Records of Supreme and County Court" from the State of New York Unified Court System (UCS).

When a county justice decides that the records have met their retention and may be disposed of, the justice must complete the Records Disposition Request form (see Appendix) for these records and submit them to the Unified Court System.

When approval is received for disposition of court records from the above office, the county justice must follow UCS Records Management Policy 5.0.

III.2.6 Methods of destruction

Cayuga County will dispose of obsolete county paper records by shredding all confidential records and canceled obligations, [using its outsourced shredding vendor \(as of 5/5/2022\)](#).

Cayuga County will dispose of any future, obsolete electronic records by archiving and/or deleting all confidential records and canceled obligations, [Digital records stored with the ECMS will be disposed appropriately within the system](#).

III.3 Appraisal of Archival Records

III.3.1 Reasons for Appraising Records

In certain instances, Cayuga County may decide to keep permanent records that have a minimum retention period on the New York State Archives Schedule LGS-1 that is less than permanent.

In such circumstances, the County Clerk will coordinate an appraisal of these records to determine if the records are in fact archival and require permanent retention.

III.3.2 Process for Appraising Records

The county's Records Advisory Committee, with the addition of the County Historian, will ~~carry out~~ [conduct](#) any official appraisal of records for archival value.

If the committee determines by consensus that the records are archival, the county will retain the records permanently.

If the committee determines by consensus that the records are not archival, the county will dispose of the records, possibly by transferring the records to another repository.

If the committee cannot meet a consensus, the county will retain the records until the committee can make a final decision.

III.3.3 Criteria for Appraising Records as Archival

When conducting an appraisal, the committee will evaluate the records using the following criteria:

a. When the Records Were Created

The records were created during an important period in the county’s history.

Records from that time period are scarce.

Records cover a long enough period of time to document the topic adequately.

b. Why the Records Were Created

An important office in the county created the records.

The records document principal functions of that office.

The records contain information people will have a continuing use for in the future.

c. What Information the Records Contain

The records cover important activities.

The records are an important source of information on these activities since they are the only source, the best source, or since they dispute other records in a significant way.

d. Who Created the Records

Someone closely allied with that activity created the records.

The record creator held an important position in county government.

IV Storage and Preservation of Records

IV.1 Storage Supplies and Equipment

Presently, the DREAMS Project and the County are in transition and migrating records to a digital format within an Enterprise Content Management System (ECMS). This is a cloud-based software as a service (SaaS) solution. This will be standard moving forward.

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[For transitional legacy documentation storage and preservation, the following operations will be followed:](#)

IV.1.1 Shelving Units

Shelving units to be used for records storage shall meet these specifications:

- a. Steel shelving that is at least 18 gauge.
- b. Individual shelves will be 16 or 32 inches deep and 42 inches wide.
- c. The lowest shelf must be positioned a minimum of 3 inches off the floor to allow protection from water on the floor.
- d. There must be a clearance of not less than 12 inches between the top of the storage box on the uppermost shelf and the ceiling.
- e. Shelving units are to be bolted to the unit behind them if they are back-to-back ~~units, or units~~ or bolted to the unit beside them in a stand-alone row. This will secure the units and prevent them from tipping over.

IV.1.2 Map Cabinets

Cayuga County will use map cabinets for the storage of active maps and plans. The cabinets will meet these standards:

- a. Constructed of steel with a powder coat finish.
- b. Able to hold maps and plans measuring up to 30 inches by 42 inches.
- c. Drawers 2 inches deep.
- d. Stackable, but stacked no higher than about 48 inches high.

Because of the expense, the county will not use map cabinets to store inactive maps and plans.

IV.1.3 Microfilm Storage Cabinets

Cayuga County will use open shelving to store diazo use copies of county microfilm. The county shall not store any master microfilm in its own facilities. Because of the various

types of, uses for, and quantities of microfilm that an office may have, the county will decide on the dimensions of microfilm storage cabinets on a case-by-case basis.

IV.1.4 Pull-Drawer Filing Cabinets

Most county offices use vertical pull-drawer filing cabinets for the storage of active office records.

Cayuga County shall use lateral pull-drawer filing cabinets in instances when it might otherwise use vertical cabinets because lateral cabinets have a slight advantage over vertical cabinets.

The county shall use ~~open-shelf~~ [open shelf](#) filing systems rather than filing cabinets whenever possible and practical.

IV.1.5 Open-Shelf Filing Systems

Cayuga County shall use ~~open-shelf~~ [open shelf](#) filing systems whenever dealing with large active records series, especially case files. These filing systems store larger quantities of material in less space than pull-drawer cabinets. Since such systems provide negligible fire protection, the county shall ensure that adequate fire protection is provided to these records through other methods.

IV.1.6 High-Density Storage Systems

High-density storage shelving stores the greatest quantity of records in the smallest space, but these systems are very expensive. So, Cayuga County will use such systems only in cases where extremely large quantities of active paper files must be stored in a small area and no other solution adequately addresses that office's storage and retrieval needs.

IV.1.7 Fire-Resistant Filing Cabinets

Cayuga County will purchase fire-resistant cabinets only when absolutely essential to provide extra protection for archival and vital records.

Due to the various sizes and quantities of such records, the county will decide on the dimensions and standards of fire-resistant cabinets on a case-by-case basis. However, all such cabinets shall have a fire rating of at least two hours at 1700 degrees Fahrenheit.

Since there is a tendency for humidity to build up in fire-resistant cabinets, the county shall not use such cabinets in areas with higher relative humidity as compared to that in the general office areas.

IV.1.8 Media Cabinets

Cayuga County shall buy media cabinets for the storage of media (such as computer tapes and diskettes, [audiotapes](#), and videotapes). All such cabinets shall be rated to protect such media by maintaining an internal temperature of 125 degrees Fahrenheit or less for a minimum of two hours during a 1700-degree fire. Cabinets made for the protection of paper are not adequate for these purposes.

IV.1.9 Records Storage Cartons

Generally, the county will use standard double-walled, glued, cubic-foot records storage cartons to store its inactive records. These cartons measure 10 inches by 12 inches by 15 inches and are available from the Records Retention Department.

The county may use other records storage cartons, such as alkaline boxes in various sizes and types for the storage of archival records.

IV.2 Storing Records in the [Records Management](#) Records Retention Department

Presently, the DREAMS Project and the County are in transition and migrating records to a digital format within an Enterprise Content Management System (ECMS). This is a cloud-based software as a service (SaaS) solution. Once department records are migrated to the ECMS, departments will digitize and upload records to the system.

During the transition, the Records Management Officer will not authorize the storage of any new records in legacy form (i.e., paper, book, microfilm, etc.) within the Records Retention Center.

IV.2.1 Determining What Records to Transfer to the Records Management Records Retention Department

A department should refer to the LGS-1 retention schedule to decide what records in its offices are inactive and can be ~~transferred- migrated~~ to the ~~ECMS records center~~. Departments may also seek advice from the County Clerk or ~~Records Management Records Retention Administrator Coordinator~~. The Records Retention Department and the ECMS business partner can provide additional assistance if necessary.

IV.2.2 ~~Preparing Records for Transfer to the Records Management Department~~

~~Each department is responsible for boxing its records to be stored in the records center.~~

~~Each department must box its records in standard records storage boxes, unless the size of the records makes this size box inconvenient. The boxes measure 10 inches by 12 inches by 15 inches and are available through the Records Management Office.~~

Each department must follow these packing guidelines:

- ~~a. Pack the records upright in records storage cartons.~~
- ~~b. Fill each box to capacity, but do not overfill. Make sure that the lid fits properly onto the box on all sides.~~
- ~~c. Do not mix different series or subject of records in one box.~~
- ~~d. If it is necessary to group smaller series, pack records with the same destruction date together.~~
- ~~e. Write a brief description of the contents in the department inventory spreadsheet (and the Records Transfer form).~~
- ~~f. Write the box number on one end of the storage box.~~

~~The storage of any records that do not fit into these boxes should be discussed with the Records Management Coordinator before they are transferred to the records center.~~

IV.2.3 ~~Preparing the Records Transfer Form~~

—Once the boxes are ready, the department must complete a Records Transfer form (see Appendix). The form includes:

- a. Box number with 2 letter prefix specific to each department.
- b. Records series name or description of box contents.
- c. Record span included — can be an alphabet span, month or year span, etc.
- d. Expiration date and retention number according to the LGS 1 retention schedule.

This form should then be sent to Records Retention by e-mail.

IV.2.4 Records Pick-Up

—After receiving the transfer form by e-mail, the records center will make sure it is properly filled out and reply to the department sending the records. If there are errors within the form, the Records Retention representative will explain the problem. If everything is acceptable, the Records Retention representative will also notify the Buildings and Grounds Department to request pick-up of the boxes. No boxes should be transferred to the records center without confirmation of the receipt of the transfer form.

IV.2.5 Labeling the Records Center Storage Box

—Some departments prefer to write the contents and span of their records on the outside of the storage box. This helps the department to retrieve their own files in the interim between storage in department and transfer to the records center. For records center purposes though, the only information needed on the outside of the box is the box number. The department may choose to write the box number on a label, but at the time of storage in the records center, all box numbers will be written on the short end of the storage box in black permanent marker.

IV.2.6 Shelving and Retrieval of Boxes Stored on Open-shelf Units

—Once in the Records Center, all boxes need a recorded location to enable easy retrieval. The boxes in the Records Center will be stored using the **RUSS** storage code system — **R**ow, **U**nit, **S**helf, and **S**pace. In the case of the Cayuga County Records Retention Department, the **RUSS** code is preceded with the floor number (2, 2.5 or 3). The number corresponding to each of these areas will make up the 5-digit location code. Shelving units are set up in numbered

Rows on each floor, the Unit number corresponds to each shelving unit within the row, and the Shelves are numbered one through six beginning with the lowest shelf. The number for the Space corresponds to each shelf broken into a six-part matrix. The shelf spaces are numbered as follows:

4	5	6
1	2	3

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The locations of all of the stored boxes are recorded on a RUSS Code spreadsheet in the Records Retention office.

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When stored records have reached their retention and are pulled for destruction, or when a box is taken off of the shelf to be signed out by a department, the space it occupied must be reserved for a new box. The corresponding box number cell on the spreadsheet will be named "Vacant" until a new box comes in to occupy that shelf space. When new boxes come in for storage, the spreadsheet should be searched for existing vacancies to be filled in first.

IV.3 Fire Prevention and Suppression

Cayuga County shall use the following system of levels of fire protection to safeguard its records:

- a. All county buildings shall conform to all applicable fire codes and be equipped with working fire alarms. The fire alarm system shall tie into an emergency response system.
- b. All materials that may potentially cause a fire shall be kept out of records storage areas.
- c. Records storage areas and containers for vital and archival records shall provide extra fire protection, for example:
 - The records vault shall essentially comply with the National Fire Protective Association's Standard 232, "Standard for the Protection of Records."
 - Fire-resistant cabinets shall be used for the storage of active paper records and electronic media and shall be rated to provide at least two hours of fire protection at 1700 degrees Fahrenheit.

IV.4 Environmental Controls

It is economically unfeasible for Cayuga County to maintain perfect environmental controls for the storage of its ~~records~~records; however, the county shall ensure that storage conditions for archival records maintain at least a relatively consistent and moderate temperature and humidity throughout the year.

Environmental controls for non-permanent records, especially for records with short retention requirements, shall be less stringent.

[It should be noted that the future County Office Building \(COB\) redesign will be required to include a limited climate-controlled storage area to house records managed by the Records Management Officer, the Cayuga County Clerk, and the County Historian which are categorized to be historically or intrinsically valuable and preserved accordingly in perpetuity.](#)

IV.5 Storage and Preservation of Electronic Records

[Presently, the DREAMS Project and the County are in transition and migrating records to a digital format within an Enterprise Content Management System \(ECMS\). This is a cloud-based software as a service \(SaaS\) solution.](#)

[Once records are migrated to the ECMS, all system operations, backups, disaster recovery, maintenance, security, and user support will be conducted in collaboration with our business partner. Please see link for additional related details: \[Compliance in Government | Laserfiche\]\(#\)](#)

[For legacy documentation, the following operations will be followed:](#)

IV.5.1 Backup Procedures

Backups of data that reside on county systems shall be completed as defined in the Information Technology Governance and User Handbook for Information Security County Policy No. 11, Adopted January 26, 2016, Resolution No. 47-16.

IV.5.2 Storage of Computer Tapes

Backup media shall be stored as defined in the Information Technology Governance and User Handbook for Information Security County Policy No. 11, Adopted January 26, 2016, Resolution No. 47-16.

IV.6 Vital Records Protection

IV.6.1 Definition of Vital Records

Vital records are those records whose temporary unavailability would seriously impair the departments of Cayuga County from fulfilling their work requirements. These are records that are essential to the running of the county.

IV.6.2 Identifying Vital Records

The County Clerk's office, in cooperation with individual departments, shall identify and maintain a list of the vital records in each county department.

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IV.6.3 Methods of Protection

There are three basic methods the county can use to protect its vital records:

- a. Protect onsite in fire-resistant vault or cabinet
- b. Protect by storing copies (including microfilm copies) in a safe, offsite location
- c. Protect by storing duplicate copies in county offices

Most vital records shall be protected in the county vault. Storing duplicates at the Cayuga County Clerk's office protects some vital records, such as maps and deeds. Permanent vital records are protected by microfilm reproduction and offsite storage.

At least once each year, the County Clerk will ascertain whether all vital records are in fact protected on a daily basis.

IV.7 Disaster Planning

IV.7.1 Organizing and Documenting a Written Plan

Refer to the Cayuga County Continuity of Operations Plan – Volume One, Adopted July 24, 2018, Resolution No. 299-18.

IV.8 Disaster Response

IV.8.1 Organizing and Documenting a Written Plan

Refer to the Cayuga County Continuity of Operations Plan – Volume One, Adopted July 24, 2018, Resolution No. 299-18.

IV.9 Microfilming

IV.9.1 Choosing Records to Microfilm

~~Microfilming of records can be justified if~~

- ~~a. The records must be legally retained fifteen years or longer.~~
- ~~b. More than one copy is required.~~

- e. ~~The record has a continuing high reference rate.~~
- d. ~~There is a repeated need to make copies of the record.~~
- e. ~~The records are so valuable that a microfilm security copy should be made.~~
- f. ~~The microfilm copy is made as a safeguard against the loss, destruction, or deterioration of the original records.~~

IV.9.2—Ensuring Quality Microfilm

—— To ensure that Cayuga County produces only quality microfilm, any microfilming will adhere to the following rules:

- a. ~~Records must be put in order before filming to ensure ease of retrieval of information from microfilm.~~
- b. ~~Proper targets must be included with the records in accordance with standards.~~
- e. ~~County records must be filmed according to microfilming guidelines as outlined by the New York State Archives and/or the New York State Office of Court Administration.~~

IV.9.3—Preparing Records for Microfilming

—— Microfilm is meant to be a complete and useful record, so the records must be carefully prepared for filming.

—— Proper preparation includes

- a. ~~Removing all staples, clips, rubber bands, and other devices used to attach documents.~~
- b. ~~Arranging the documents in the sequence in which they will be filmed.~~
- e. ~~Unfolding and flattening documents.~~
- d. ~~Preparing certificates, quality control targets, and identification targets, and placing them in the proper locations.~~

IV.9.4 Producing Targets for Microfilm

Microfilm targets are used to identify the records being filmed, to serve as a finding aid to information on the film, to provide a means for conducting quality tests of the film, and to ensure that the microfilm will be accepted in court in lieu of the original records. The order of targets shall comply with the order outlined in the New York State Archives Guidelines.

a. Legal Targets

Two types of targets must be filmed to ensure the legal integrity of the microfilm:

Declaration by Records Custodian

This target, placed at the beginning of the roll of film, certifies that microfilming is being conducted in the regular course of business, and that the images are accurate reproductions of the original documents. It includes identifying information about the records being filmed and the date microfilming began, and is signed and dated by the records custodian.

Declaration by Camera Operator

This target is located at the beginning and end of the roll. This is a declaration by the person filming the records that identifies the office for whom the film is being produced, the person doing the filming, and the date filming was completed. The camera operator signs this declaration.

b. Informational Targets

Informational targets are used to make retrieving information easier and faster:

Start Target

The word "START" appears in large letters.

Roll Number Target

The number of the roll being filmed shall appear on a target placed after the Start target and before the End target.

Technical Targets

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Test targets should include a resolution target and a density target (which consists of a blank sheet of paper similar to the paper of the records being filmed).

— **Retake Target**

— This target indicates where retakes of images on the roll will be found.

— **End Target**

— The word “END” should appear in large letters.

IV.9.5 Microfilm Contracts

— Cayuga County shall film all of its records at the Records Retention office following the appropriate New York State Archives and/or New York State Office of Court Administration guidelines.

In the instance of a small record series being filmed by an outside microfilm vendor, the vendor must also adhere to guidelines published by the NYS Archives and/or NYS Office of Court Administration.

IV.9.6 Microfilm Quality Control

— Cayuga County shall ensure that it has quality microfilm by following these standards:

- a. All microfilm vendors will be required to complete a sample roll before the county signs any microfilming contract. The county will then evaluate the quality of this film before awarding the contract.
- b. Microfilm vendors must produce (and film with the records) third-party methylene blue certificates that show the film has amounts of residual thiosulfate in the acceptable range.
- c. Cayuga County will pay a third party vendor to ensure that the vendor’s microfilm meets or exceeds the standards outlined in the microfilm contract, especially resolution and density.

- d. ~~The county itself will verify the accuracy and quality of the filming against the original paper documents.~~

IV.9.7 Storage of Microfilm Masters

~~— Cayuga County will store all its master microfilm (not its diazo copies of microfilm) offsite for these reasons:~~

- a. ~~The county cannot provide acceptable storage conditions for silver microfilm. Unless silver halide microfilm is stored under stringent climatic conditions, the film will not last for its entire 500-year expected lifetime.~~
- b. ~~Only if stored offsite will the silver masters serve as adequate backups. A disaster that destroys the county's diazo microfilm could also destroy its master, thereby nullifying its usefulness as a backup.~~

~~The County Clerk shall ensure that the county's micrographics storage will~~

- a. ~~Store microfilm according to professional standards.~~
- b. ~~Be located outside of the immediate geographic region of the county, since this provides some protection from a catastrophic disaster affecting a large area.~~
- c. ~~Provide microfilm copies of any film, in case of a disaster, within 24 hours.~~

IV.9.8 Purchasing Microfilm Reader/Printers

~~— Before purchasing a microfilm reader or reader/printer, county departments must consult with the County Clerk's office for recommendations and purchasing approval.~~

IV.10 Records Security Procedures

Presently, the DREAMS Project and the County are in transition and migrating records to a digital format within an Enterprise Content Management System (ECMS). This is a cloud-based software as a service (SaaS) solution.

Once records are migrated to the system, all system operations, backups, disaster recovery, maintenance, security, and user support will be conducted in collaboration with our business

[partner. The Cayuga County ECMS system is Laserfiche Cloud, which incorporates Department of Defense \(DoD\) 5015.2 version 3 certified electronic records management capabilities and baseline requirements for Records Management Applications \(RMA\).](#)

[For legacy documentation, the following operations will be followed:](#)

IV.10.1 Facility Security

Cayuga County shall use multiple levels of security to protect its records and property:

- a. All county buildings shall be equipped with working intruder alarms. The alarm system shall tie into an emergency response system.
- b. Each office in the county shall be locked at the end of the workday.
- c. The vault within the County Clerk's office and the county's records storage area shall be locked at the end of each day and whenever there is no ongoing need to enter these areas during the day.

V Records Retrieval and Access

V.1 Active Filing Systems

[Presently, the DREAMS Project and the County are in transition and migrating records to a digital format within an Enterprise Content Management System \(ECMS\). This is a cloud-based software as a service \(SaaS\) solution.](#)

[Once records are migrated to the system, all system operations, backups, disaster recovery, maintenance, security, and user support will be conducted in collaboration with our business partner.](#)

[For legacy documentation, the following operations will be followed:](#)

V.1.1 File Management Practices

To help ensure that records in county offices are well organized and record retrieval is quick and easy, county departments should follow some basic file management practices:

- a. Use the same size and type of folder consistently.

- b. Use guides or dividers to separate files into sections.
- c. Use hanging folders as guides only, filing other folders within them.
- d. Label file folders with typed labels.
- e. Maintain a file list of any subject files.
- f. Use color-coding whenever possible.
- g. Purge files regularly (at least annually).

V.1.2 File Management Don'ts

- a. Don't file a piece of paper unless you [have to must](#).
- b. Avoid using legal size folders.
- c. Don't overfill folders; instead, break a file into more than one folder.
- d. Never transfer hanging folders to record storage cartons.

V.1.3 Coordinating Filing Rules for Electronic and Paper Files

When naming electronic files, county offices should, whenever possible, make sure that the [filenamesfile names](#) for the electronic files mirror those for the paper files. This will ensure that users will be able to retrieve from paper or electronic files easily.

V.1.4 Purchase of Filing Equipment

Equipment is expensive and should not be purchased unless the equipment will help manage the information so much better that it will repay or justify its costs.

All purchase requisitions that include records storage equipment and supplies must be sent to the County Clerk for review and written authorization prior to submittal to Purchasing.

Records storage items include alkaline archival storage boxes, file cabinets, map cabinets, high-density mobile storage systems, micrographics equipment, microfilm readers and reader/printers, and shelving. Any questions regarding whether a particular item falls into this category should be directed to the Records Management Officer.

V.1.5 File Folders

Cayuga County shall use only letter size file folders. All efforts shall be made to use only letter size paper as well. Legal size folders and paper will be avoided.

V.1.6 Rules for Alphabetic Filing

Last Name First: In the case of personal names, each part of a person's name is a separate unit. The units are alphabetized in this order: last name, first name or initial, and middle name or initial (if any).

Nothing Comes Before Something: When filing, county employees should follow the rule that nothing comes before something. For instance, a title having a single letter comes before a title having a word that begins with the same letter, and a name of one word comes before a name with the same word plus one or more other words. For example: "G" comes before "Green"; "Green" comes before "Greene"; "Green Stores" comes before "Greene" (since the space between "Green" and "Stores" is counted as a character).

Abbreviations: If abbreviations are used in titles, alphabetize them as written.

Hyphenated Names: Hyphenated names of people or businesses are alphabetized as one unit.

Numerals: When numerals appear in a title, they should be alphabetized before any letters.

Punctuation: Ignore apostrophes and other punctuation when alphabetizing.

V.1.7 Subject Files

Any department that maintains a subject file should develop a uniform filing system for the records series that organizes the records by subject.

To develop a subject filing system, first evaluate the current system and its subjects:

- a. Identify obsolete subjects
- b. Identify redundant subjects
- c. Identify missing subjects

Then, working with the users of the current filing system, develop a preliminary subject filing structure that outlines

- a. Main subjects
- b. Related secondary subjects

Avoid subject headings such as “Forms,” “Correspondence,” and “Reports,” which indicate the format of the information rather than its content.

After finalizing a preliminary filing structure, use it to convert the current system.

Coordinate any necessary changes to the filing structure during the conversion.

Finally, develop a complete description of the filing structure and instructions on how to use the filing system and make these available to all users.

V.1.8 File Plans

Cayuga County will develop and maintain file plans for large active filing systems (such as subject files and case files) that require especially detailed controls. These manuals may include:

- a. Responsibilities
- b. Steps in establishing a file
- c. What records to include in a file
- d. File order of records
- e. Updating files
- f. Retention periods for various records
- g. Purging rules
- h. Access restrictions
- i. Records storage
- j. Disposition
- k. File list (of all files in the series)

V.1.9 Filing Structure for Local Area Network

Reference Information Technology Governance and User Handbook for Information Security County Policy No. 11 Adopted January 26, 2016, Resolution No. 47-16.

V.1.10 Production of Indexes to Records

Cayuga County departments may develop an index to records (such as case files) that are cumbersome to search. Detailed indexes assist users to find specific information in an efficient and timely manner.

The County Clerk's office shall work with individual departments to make sure that these indexes contain the appropriate fields and design to provide the access that users require. These indexes shall always be electronic indexes developed as databases.

V.2 Confidentiality of Records

V.2.1 Employee Confidentiality

Employee confidentiality is necessary to achieve Cayuga County's daily commitment to protecting individual privacy rights while simultaneously allowing the county to avoid unnecessary legal problems. Employees in departments that process information for the public, manage cases from the courts, or store and retrieve records, may be handling confidential information. ~~In order to~~^{To} serve the public in a confidential manner, none of this information should be shared with anyone inside or outside of work unless the person is authorized to discuss the information. Even in this case, employees should pay special attention to where the discussion takes place to minimize the inadvertent exposure of private information to the public.

V.2.2 Personnel Records

Some of the information in personnel records is sensitive and confidential, so no information should be released from such files without first determining that the information is indeed public.

V.3 Public Access to Records

Please note that all public access requests for Cayuga County Surrogate Court records should be made directly to the Cayuga County Surrogate Court office. All other public access requests should be made to the Cayuga County Clerk office. No business transactions are conducted by the Records Retention Center.

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V.3.1 Records Access Officer

The Cayuga County Legislature has appointed the Clerk of the Legislature as Records Access Officer. As such, departments should refer all Freedom of Information Law (FOIL) requests to the office of the Clerk of the Legislature.

V.3.2 Complying with the Freedom of Information Law

The county provides public access to records in accordance with the New York State Freedom of Information Law.

Accessible records may be inspected during regular business hours. Copies of accessible records shall be made available for 25¢ per page as provided by law. Copies of County Clerk records shall be made available for 65¢ per page with a \$1.30 minimum. The county will charge for copies of tapes, disks, and other media at a rate that reimburses the county for the cost of the media.

V.3.3 Subject Matter List

The LGS-1 retention schedule shall serve as the county's "subject matter list" of records maintained by the county, as required by New York's Freedom of Information Law.

V.3.4 Responses to FOIL Requests

A request must be made in writing either on a provided form or in a letter to the county. According to FOIL, this request must "reasonably describe" the record being requested.

The county will act upon a FOIL request as soon as possible. The county has three possible responses:

- a. Make the record available.
- b. Deny access in writing (citing the reasons for denial).
- c. Furnish a written acknowledgment of receipt of the request and a statement of the approximate date when the request will be granted or denied.

If a request for access is denied, an appeal procedure is available.

V.3.5 Access Restrictions

Cayuga County is a local government, so its records (except those explicitly exempted) are subject to access by the public.

Specifically exempted from FOIL are

- a. Records ~~exempted~~are exempted from disclosure by some other state or federal law.
- b. Records that, if disclosed, would constitute an unwarranted invasion of personal privacy, including information of a highly personal or intrusive nature.
- c. Records that, if disclosed, would impair present or imminent contract awards or collective bargaining negotiations.
- d. Records that contain trade secrets.
- e. Records that are compiled for law enforcement purposes and which, if disclosed, would interfere with law enforcement investigations or judicial proceedings.
- f. Records that, if disclosed, would endanger the life or safety of any person.
- g. Records that are inter-agency or intra-agency communications.
- h. Records that include examination questions or answers, and which are requested prior to the final administration of such examination.
- i. Records that contain computer access codes.
- j. Records of the judicial branch of government, including county justice records.

V.3.6 Access to Court Records

Retrieval of any court records of Cayuga County must be done by or with the approval of the presiding county justices.

The public may seek certain information pertaining to court records only from the presiding county justices.

Note that county court records are not covered by FOIL.

V.4 Inactive Records Retrieval

V.4.1 Public Retrieval of Records

Record series stored at the Records Center that are open public records are available for public viewing in the [Records Management/Records Retention](#) office provided a Records Release Form (see Appendix) is on file with [Records Management/Records Retention](#). Most records that are stored in labeled storage boxes are not considered public records and cannot be retrieved by [Records Management/Records Retention](#) personnel for viewing by the public. Any person wishing to view one of these records should contact the department that owns the record, and have it retrieved by one of the employees of that department.

V.4.2 County Department Retrieval of Records

County departments wishing to retrieve records from the [Records Management/Records Retention](#) Department shall call or e-mail to request the record prior to coming to the records office. If there is a question of whether the record is [actually in](#) storage, the person requesting the record will be notified to confirm that the record is available. Upon retrieval, the requester can come to the records center to pick up the record. At that time, they must sign the Records Request Form that has been filled out by [Records Management/Records Retention](#) personnel. This form contains all the information pertinent to the record being requested such as department and name of requester, date of request, box number, record name and/or case number, and records center location code.

In the case of a department requesting a whole box, or several boxes for retrieval, the same procedure is followed with the exception that the Buildings and Grounds Department will

be notified to transfer the boxes. ~~Buildings~~Building personnel will sign the Records Request Form for the requesting department.

Departments may also request to view their own stored records at the records center. After calling ahead to allow time for retrieval of the boxes, department personnel may come to the records center and view the records. If the determination is made to take these boxes or individual records back to the department, the Records Request Form can be filled out and signed at that time.

V.4.3 Records Release

At times a department may need to retrieve records from another county department's stored files. ~~Records Management~~Records Retention personnel make every attempt to protect each department's records from unauthorized retrieval. If a department needs access to a record that belongs to another department, a Records Release Form must be on file with the ~~Records Management~~Records Retention Department. The County Manager, the County Attorney, the Records Management Officer, and the Department Head of the department releasing the record must all sign the Records Release Form before the records may be retrieved for a party other than an employee of the department that owns the record.

VI Electronic Records

VI.1 Removable Computer Media

VI.1.1 Use of Removable Computer Media

Cayuga County will depend on the county systems to provide backup protection and electronic means distribute information as needed—_However, the county will use removable media in limited circumstances, departments requiring this capability need to coordinate with IT via a helpdesk ticket request.

VI.2 Maintaining Automated Information Systems

Each department must determine specifically who has the authority to create, name, alter, and delete documents from any automated system.

All staff must be informed of the policies and procedures regarding creation, maintenance, access to, security, ~~retention~~retention, and legal disposition of electronic documents.

Each department should maintain written documentation of the design of any electronic record keeping system and policies regarding its maintenance and use that cover the following:

- a. Make sure automated office records support organizational needs.
- b. Create a single filing system or central repository for electronic office documents whenever the technology permits.
- c. Develop standardized naming conventions for documents and electronic folders.
- d. Develop criteria and practices for managing inactive records and disposing of obsolete records.
- e. Provide for security and physical preservation of electronic records.

VI.3 Migration Plans for [Enterprise Content Management Automated Information Systems \(ECMS\)](#)

In order to maintain intelligible access to electronic records for as long as needed to meet retention requirements and business needs, the county ~~will~~ must ensure that it develops a migration plan ~~as part of the planning~~ for ~~its~~ any new ~~ECMS~~automated information system. ~~These~~ Migration plans ~~will~~ should include guidelines for maintaining data in non-proprietary formats; ~~and long-range technology roadmapping strategies, timelines for updating hardware and software, and strategies for keeping abreast of technological changes.~~

VI.4 Imaging Systems

VI.4.1 General Guidelines

To ensure the reliability and accuracy of the imaging systems and processes, agencies should have the following measures in place:

- Policies and procedures defining the proper development, maintenance, and use of the systems.

- Periodic training, regular retraining, and support programs that ensure staff understanding of policies and procedures.
- Controls that monitor the accuracy and authenticity of data, the reliability of hardware and software, and the integrity and security of the system.

VI.4.2 System Maintenance

Records should be produced in a timely manner or produced after the fact where the time lapse between an event and the creation of a record has no effect on content.

The system should be verified to ensure it accurately reproduces all originals so that any information that is readable and recognizable in the original can be recognized on the electronic image.

If the image is compressed, standard compression and decompression algorithms should be used to ensure long-term readability and trustworthiness.

Provisions and safeguards must be used to prevent alteration of electronic images.

VI.4.3 Legal Issues

Ensure that the proposed imaging system provides information to fulfill the requirements of State and Federal Law.

Ensure that the imaging system can be shown to be trustworthy in producing accurate results.

Provide formal instruction and training in system operation and maintenance, including image input and retrieval.

Document that procedures are being followed.

Ensure that the system creates or compiles records in the normal course of business to support the described function or activity.

Ensure that the system preserves information over time in identical form to the original information.

Designate the best-qualified person or persons who can credibly attest to the process' accuracy and reliability.

VI.4.4 Accessibility

To ensure accessibility to its imaged records, Cayuga County will develop procedures that

- Maintain records for inspection and audit for the full period required by law.
- Keep records in an understandable form and ensure that they can be made accessible within a reasonable amount of time.
- Organize the records in a manner to facilitate retrieval.
- Indicate whether special equipment ~~has to~~ must be provided to read the records.
- Conform to New York State Archives retention schedules.

VI.4.5 Maintenance Procedures

Cayuga County will maintain procedures that provide detailed information on the imaging system's records throughout their life cycle. Such procedures include

- Steps leading up to the storage of records.
- Plans for redressing tampering and deterioration.
- Steps involved in the retrieval and destruction of records.
- Plans for conversion to new technology, if required.
- Steps ensuring consistent quality control and problem resolution.
- Staff roles and responsibilities.
- Staff maintenance of operation logs to document reliability of the system.
- Adequate facilities, policies, and procedures to ensure that records stored off-line will be accessible, usable, and understandable for as long as they are needed.

VI.4.6 System Documentation

Cayuga County will maintain detailed system documentation for any imaging system it installs. This documentation must be accurate, up-to-date, readily available if needed for court proceedings or other purposes, and clear and understandable to any county personnel who may be asked to testify on its behalf.

The documentation should include the following:

- Overview of the purpose and uses of the system
- Policies and procedures for system operation and maintenance, quality control, security, testing, and records retention.
- Software/hardware specifications and operation.
- System support such as operation logs.
- The distribution of written procedures.
- Training provided to staff including the course material used, attendance records, and certification of training.

VI.4.7 System Audits

The county will conduct and document regular audits of any imaging system.

If unauthorized acts are detected, the system should track all changes to data (creation, modification, or deletion of records) in the system, including date, time, and source of change. The county will use this information to record statistically valid sample results pertaining to accuracy and to develop remedial procedures.

VII Archives and Secondary Use of Records

VII.1 Archives Management

VII.1.1 Finding Aids for Archival Records

The County Clerk will maintain [series a series of](#) descriptions of all archival records to make them more useful for public research.

VII.1.2 Arrangement and Care of Archival Records

Cayuga County will diligently ensure that all archival records are maintained in their original intended order, and not rearranged capriciously.

Archival paper records shall be stored in alkaline folders and boxes whenever possible.

Highly acidic material without intrinsic value shall be replaced with copies photocopied onto alkaline paper.

Folded documents shall be unfolded and stored flat whenever possible.

Loose, fragile documents shall be stored in extra protections, such as low-glare polyester envelopes or alkaline paper folders.

Loose surface dirt shall be removed from documents with a soft-bristled brush if necessary.

All rubber bands, rusting paper clips, and staples shall be removed from archival documents. These shall be replaced with stainless steel paper clips.

VII.1.3 Access to Fragile Records

In compliance with the Freedom of Information Law, the County Clerk will restrict access to archival records if use may cause damage to the records.

VII.1.4 Rules for Use of Records by the Public

Any members of the public who wish to use the archival records of the county shall be required to comply with the following rules:

- a. Users must use records in the presence of the County Clerk or other county personnel.
- b. Users must leave any purses, coats, etc., outside of the areas where they are reviewing the records.
- c. Users must use only pencil (never pen) for taking notes.
- d. Users must not eat, drink, or chew gum.

VII.1.5 Public Hours for Research

The archival records of Cayuga County will be available for reference during the County Clerk's regular business hours.

VII.1.6 Preservation

To ensure that the county's archival records are protected, the county will follow these preservation rules:

- a. The county will maintain archival records in a dust-free environment with moderate humidity and temperature control.
- b. The county will ensure that archival records are stored in an area that provides protection from fire.
- c. The county will ensure that mold, ~~vermin~~vermin, and other damaging elements are not present in the archival vault.
- d. Pressure sensitive tape should never be used to repair torn documents.
- e. The county will ensure that records are not stored in such a way that they will be damaged. For instance, large volumes will be stored flat to reduce strain on the books.
- f. The county will store archival records in the county vault, separate from inactive records.

VII.1.7 Conservation

Conservation consists of treating and repairing records to retain them in their original form.

The county will not employ conservation treatments except in circumstances that meet the following criteria:

- a. The records are permanent.
- b. The county has determined the records must be maintained in their original format.
- c. Failure to repair or stabilize the records may lead to their disintegration.

Since inexperience can lead to damage of records, the county will not try to carry out any conservation treatments itself. Instead, the county will hire professional conservators to carry out such work.

VII.1.8 Reformatting

~~Whenever possible to reduce bulk, to minimize damage from handling, and to produce a security copy, the county will undertake the reformatting through microfilm, scanning, or preservation copying of archival records. If appropriate, copies of the microfilm will be offered to the local library and historical society.~~

VII.1.9 Use of the Vault

~~It should be noted that the future County Office Building (COB) redesign will include a limited climate-controlled storage area to house records managed by the Records Management Officer and the County Historian which are categorized to be historically or intrinsically valuable and preserved accordingly in perpetuity.~~

The county's archival vault will be used for the storage of only the following records:

- a. The county's archival records.
- b. The county's vital records.
- c. Certain active records that must be stored in a secure area close to the County Clerk's office.

VII.2 Collecting Historical Records

VII.2.1 Collecting Non-Government Records

As another means of documenting the history of the county, the County Historian will collect records of individuals, families, and businesses in the county.

VII.2.2 Collection Policy

The County Historian may collect any historically valuable family, business, or personal records that are directly related to the history of Cayuga County. These records may include correspondence, diaries, photographs, or any other records.

The County Historian shall not accept any records that

- a. Do not sufficiently document ~~history~~the history of the county.
- b. Include severe restrictions on the use of the records.
- c. Are not donated to the county outright.
- d. Coincide with the Cayuga County Historian's collection policy.

VII.2.3 Deeds of Gift

The County Historian must complete a deed of gift for any records donated to the county. The County Clerk and the donor must sign the deed of gift.

VII.2.4 Deaccessioning

The County Historian, in the future, may deem that any records collected through this process do not fit the collection policy of the county, and may take the matter to the county's Records Advisory Committee for a final determination.

If the Records Advisory Committee agrees with the County Historian, the county may deaccession the records from its collection.

The County Historian should make every attempt to return deaccessioned records to the original owners, their descendants, or a suitable repository.

VII.3 Alienated Government Records

VII.3.1 Reasons Records Stray from Government Custody

Records occasionally stray from government custody

- a. When they are discarded before their retention period is over but recovered by others.
- b. When they are taken or kept by employees.
- c. When they are stolen.

VII.3.2 Protecting Records from Straying from Government Custody

~~In order to~~To ensure that the county maintains custody of all official records until they reach their retention period, the county will

- a. Maintain stringent controls regarding the disposition of all records.
- b. Teach employees that records are public property maintained by the government.
- c. Track any transfer of records to other agencies (through deposit or donation).

VII.3.3 Documenting Ownership of Government Records

Cayuga County will document its ownership of its records by

- a. Maintaining an updated inventory of the records in its custody.
- b. Documenting all records dispositions, including destruction of obsolete records or transfer of any records by deposit or donation to another entity.
- c. Maintaining finding aids documenting information about its holdings.

VII.3.4 Recovering Alienated Records

When Cayuga County discovers that some other entity has unauthorized physical possession of its official records, the county will make every effort to recover the records. If the county cannot reach an agreement with the other party to return the records in question, the county will undertake an action of replevin.

VII.3.5 Conducting an Action of Replevin

The county shall not mention the option of replevin without first discussing this possibility with the County Attorney.

~~In order to~~To carry out an action of replevin, the county needs to be able to prove three facts:

1. That the records are the official records of the county. This can be proved by internal evidence within the records.
2. That the records do not belong to the other party. This may be proved by the fact that a county cannot legally transfer ownership of records before the end of the record's retention period.
3. That the other party will not return the records to the county. The county can prove this by documenting communications between the county and the other party.

VII.3.6 Documenting Deposit Agreements and Donations of Records

Receipt of records for deposit into county archives or deposits of county records made to other entities will be recorded with a deposit or donation agreement kept on file in the [Records Management/Records Retention](#) Department.

A deposit agreement covers the deposit of records with another entity when the creating party retains ownership of the records.

A donation agreement is made when the creating party gives over all rights, including ownership, to the second party.

VII.4 Public Outreach Programs

VII.4.1 Marketing the Archives Program

The County Clerk's office will market the county's archives program and the availability of its archival records as a service to the county's citizens by

- a. Publishing, periodically updating, and distributing a brochure on the county's archival holdings.

- b. Holding, in conjunction with the County Historian, events focused on the history of the county.
- c. Setting up exhibits of the county's archival records.
- d. Publicizing the existence of the county's archival records on the official county website.

VII.4.2 Holding Exhibits

The County Clerk will put on occasional exhibits of county records, following certain rules:

- a. Each exhibit should have a specific theme.
- b. High-quality reproductions should be used for long-term exhibits.
- c. Original documents should not be left on exhibit for more than three months at a time.
- d. Exhibits should be set up with security of the original records in mind.
- e. Exhibits should be set up to minimize the amount of ultra-violet light reaching the records on exhibit.
- f. Exhibits will not use adhesive tape, glue, or mounting tacks to mount original records.
- g. Labels and identifying information will not be affixed or marked directly on original documents.

VII.4.3 Educational Uses of Records

The County Clerk will occasionally work with the local school district to assist with educational projects using the county's records. Such projects will serve to familiarize people with the county's archival records and provide an opportunity for the county to interact with the school district and the public in general.

VIII Appendices

Court Records Disposition Request Form

Records Destruction Authorization Form

Record Release Form

Records Request Form

~~*Records Transfer Form*~~

Regulations of the Commissioner of Education

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