



REPORT TO CITY COUNCIL

DATE: AUGUST 8, 2018
TO: MAYOR AND HONORABLE MEMBERS OF THE CITY COUNCIL
FROM: GREG RAMIREZ, CITY MANAGER 
BY: KIMBERLY M. RODRIGUES, CITY CLERK 
SUBJECT: UPDATE TO CITY'S ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) POLICY

On May 11, 2016, the City Council adopted Resolution No. 16-1814, establishing an Electronic Document Management System (EDMS) policy ("Policy") that was developed to formalize the electronic storage of official City records that originally existed as paper and/or electronic records.

The adopted Policy was designed and prepared in accordance with the Association for Information and Image Management (AIIM) Guidelines Section 6.2 and 6.17, complies with meeting the definition of a Trusted System, pursuant to California Government Code Sections 12168.7 and 34090.5, and also complies with regulations developed by the Secretary of State so that every reproduction of a record from the EDMS will be deemed to be a copy of an original record.

The Policy is an important component of the City's Records Management Program and provides guidance on the electronic retention and/or destruction (paper records) of permanent City records. Following formal adoption, staff has had the opportunity to implement and review the Policy, and is recommending the following amendments:

- A. General formatting revisions including document and text formatting, updating updating titles of documents and expanded definitions.
- B. Updates to Section V. Procedure for Converting and Storing Paper Records in the EDMS as follows:
 1. (C4). All pages of each original document shall be verified with the electronic scanned version;
 2. (C6b). All scans of sticky or otherwise attached note(s) shall be in black and white;
 3. (C8). Adding "Poor Source Original" to the list of records that require an electronic sticky note to describe any discrepancies with the original copies;

4. (C10). Once scanned, all boxes of records shall be marked and logged in the master "Records Control Log" denoting scanning, verification, and/or destruction of the records, if applicable;
5. (G). Assigning all new documents be scanned to the "Active" Laserfiche volume;
6. (H5). Once verified for destruction, further defining the destruction process and staging of the records for scheduled or annual destruction;
7. (I2a). Adding "City historical/archival information", Settlement and/or Litigation Agreements", and "Lease Revenue Bonds" to vital records; and
8. (J5). Updating scanning guidelines for illegible documents.

C. Update to Section VI. Procedure for Storing Electronically Originated Records in EDMS as follows:

1. (4). Adjust electronic submissions for maps, design plans, or other architectural drawings accepted from the public from 400 DPI to 300 DPI which is the City's minimum standard for electronic conversion and scanning.

D. Update the Permanent Records Destruction Authorization Form (Form A)

In addition to approving the above changes, the City Attorney's Office has recommended the City Council rescind Resolution No. 16-1814, and adopt the newly revised Electronic Document Management System (EDMS) Policy (Resolution No. 18-1878).

RECOMMENDATION

Staff respectfully recommends the City Council approve Resolution No. 18-1878; amending the City's Electronic Document Management System Policy and rescinding Resolution No. 16-1814.

- Attachment:
- 1) Resolution No. 18-1878
 - 2) Electronic Document Management System Policy, with Form A

RESOLUTION NO. 18-1878

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF AGOURA HILLS, CALIFORNIA, ADOPTING THE CITY'S ELECTRONIC DOCUMENT MANAGEMENT SYSTEM (EDMS) POLICY AND RESCINDING RESOLUTION NO. 16-1814

WHEREAS, The City uses Laserfiche as its Electronic Document Management System (EDMS) to store official records of the City electronically that originally existed as paper and/or electronic records, and

WHEREAS, The purpose of the electronic Document Management System Policy (EDMS) is to ensure the City's EDMS meets the definition of a Trusted System as set forth in California Government Code Sections 12168.7, 34090.5, and is in compliance with regulations developed by the Secretary of State (SOS) to use in recording, storing, and reproducing permanent and non-permanent documents or records in electronic media, so that every reproduction of a record from the EDMS will be deemed to be a copy of an original record; and

WHEREAS, The EDMS Policy documents the business practices that will be implemented to ensure that the process for converting and storing paper records in the EDMS complies with California state law and has been designed and prepared in accordance with AIIM (Association for Information and Image Management) Guidelines Sections 6.2 and 6.17.

THE CITY COUNCIL OF THE CITY OF AGOURA HILLS DOES HEREBY RESOLVE AS FOLLOWS:

Section 1. The updated City of Agoura Hills Electronic Document Management System (EDMS) Policy, attached hereto as Exhibit A and incorporated herein by this reference, is hereby adopted.

Section 2. Resolution No. 16-1814 is hereby rescinded.

Section 3. The City Clerk shall certify to the passage and adoption of this resolution.

PASSED, APPROVED, AND ADOPTED by the City Council of the City of Agoura Hills this 8th day of August, 2018, by the following vote, to wit:

AYES: ()
NOES: ()
ABSENT: ()
ABSTAIN: ()

Resolution No. 18-1878

Page Two

William D. Koehler, Mayor

ATTEST:

Kimberly M. Rodrigues, MMC, City Clerk

**PROCEDURES FOR
ELECTRONIC DOCUMENTATION MANAGEMENT SYSTEM (EDMS) POLICY**

~~MAY, 2016~~AUGUST 2018

I. Purpose

The City uses Laserfiche as its Electronic Document Management System (EDMS) to store official records of the City electronically. These official records may have originally existed as paper and/or electronic records.

The purpose of this policy is to ensure the City's EDMS meets the definition of a Trusted System, as set forth in California Government Code Sections 12168.7 and 34090.5, and is in compliance with regulations developed by the Secretary of State (SOS) to use in recording, storing, and reproducing permanent and non-permanent documents or records in electronic media, so that every reproduction of a record from the EDMS will be deemed to be a copy of an original record. This policy documents the business practices that will be implemented to ensure that the process for converting and storing paper records in the EDMS complies with California state law. It has been designed and prepared in accordance with AIIM (Association for Information and Image Management) Guidelines, Sections 6.2 and 6.17.

An additional purpose of this policy is to permit the City, pursuant to California Government Code Section 34090.5, to destroy original paper records, documents, instruments, books, and papers ("paper records") once those paper records have been stored into the EDMS in compliance with the procedures set forth in this policy. California Government Code Section 34090.5 sets forth that if a record series can be produced electronically and proper archival methods are set in place, the original may be destroyed, with the exception of those documents that are required to be kept permanently in their original form, as outlined in the [Agoura Hills City's Records Retention/Destruction Schedule](#). This process will reduce storage boxes and storage space costs, as well as bring the City's records management program into compliance with the law.

II. Objectives

- To provide citizens access to public documents;
- To assist in the transparency of public government documents;
- To utilize state of the art security for database management of the City's permanent documents;
- To provide accurate and efficient archival research capabilities and document retrieval;
- To provide disaster recovery capabilities;
- To facilitate organizational access to final records in the most efficient and effective manner.

This policy regarding trustworthy official electronic record preservation applies to all City departments that, via the City Clerk's Office:

- Create or store electronic documents as the official records of the City;
- Are intent on destroying the original hardcopy and maintaining the electronic documents as the official records of the City; and/or
- Maintain electronically-originated documents as the official records of the City.

Staff shall not destroy:

- Official records that are expressly required by law to be filed and preserved; and/or
- Official records that are required by law to be retained in hardcopy format.

This policy shall not be construed to allow a department to maintain such official records electronically in place of the original hardcopy.

III. Definitions

- A. "AIIM" means the Association for Information and Image Management.
- B. "AIIM Guidelines" mean the recommended practice report produced by AIIM and known as "AIIM ARP_1-2009 Analysis, Selection, and Implementation of Electronic Document Management Systems (EDMS)," approved June 5, 2009.
- C. "City Clerk staff" means any person or agency assigned or designated to assist with records management, including each inhouse City Department Records Coordinator and/or offsite scanning consultant.
- D. "Custodian of Records" is the Agoura Hills City Clerk.
- ~~C.~~E. "DPI" and "PPI" means and refer to dots per inch and pixels per inch, respectively. The terms may be used interchangeably.
- ~~D.~~F. "EDMS" means Electronic Document Management System and is a computer system designed to store and track electronic documents.
- ~~E.~~G. "Electronically-originated records" include any record created without first having originated in hard copy format. It includes all documents or records generated through electronic submissions.
- ~~F.~~H. "Indexing" means inputting descriptions and other information about an imaged document into a template to help with the search and retrieval process.

- G.I. "Laserfiche" document imaging software is utilized by the City as the EDMS to store official records of the City electronically.
- H.J. "Lossless compression method" means a compression method by which data are compressed by efficient coding of the information in the image and where the reconstructed image contains the same amount of information as the original data.
- I.K. "OCR" or "Optical Character Recognition" means the mechanical or electronic translation of scanned images of handwritten, typewritten or printed text into machine-encoded text by means of an optical scanner and specialized software.
- J.L. "Official Records" shall include official documents or official records that are: 1) defined as such in applicable statutes and in the business practices of the City for retaining said documents or records; 2) identified in the City Agoura Hills Records Retention/Destruction Schedule.
- K.M. "PDF" or "Portable Document Format" is an open standard for document exchange. This file format is used for representing documents in a manner independent of application software, hardware, and operating systems. Each PDF file encapsulates a complete description of a fixed-layout flat document, including the text, fonts, graphics, and other information needed to display it.
- L.N. "PDF/A" or "Portable Document Format/Archival" is an electronic file format whereby documents are self-contained, allowing them to be reproduced with all the document coding embedded with the file. It is a file format for the long-term archiving of electronic documents. It is based on the PDF Reference Version 1.4 from Adobe Systems Inc. (implemented in Adobe Acrobat 5 and latest versions).
- O. "Records hold" or "legal hold" refers to the duty to preserve and not delete any records, electronic or otherwise, that are potentially relevant to any of the following in which the City may be involved: a reasonably anticipated claim or litigation, an ongoing claim or litigation, a pending employee grievance, a pending regulatory or governmental investigation, a pending subpoena, a pending Public Records Act request, or a pending audit.
- P. "Records Management" is a Division of the City Clerk Department, Records Manager, City Manager, and City Council.
- Q. "Records Manager" is the Agoura Hills City Clerk or City Manager Designee.

M.R. "Snapshot" is the proprietary name of a Laserfiche module that converts electronic documents to TIFF format. Snapshot may be run as a stand-alone program or may be integrated into Laserfiche.

N.S. "TIFF" or "Tagged image file format" is a bitmapped graphics file format developed by Aldus and Microsoft that handles monochrome, gray scale, 8-and 24-bit color. Files use the .TIF and .TIFF extensions.

Q.T. "Trusted System" is defined in California Government Code 12168.7 and means "a combination of techniques, policies, and procedures for which there is no plausible scenario in which a document retrieved from or reproduced by the system could differ substantially from the document that is originally stored."

P.U. "Working Folder" is the folder where temporary documents are placed and where modifications and deletions are allowed once their purpose has been served. These documents are not documents identified as official records.

Q.V. "WORM storage device" is a data storage technology that allows information to be written to a drive, a single time and prevents the drive from erasing the data. WORM stands for write once, read many, and WORM storage devices are intentionally not rewritable, because they are especially intended to store data that the user does not want to erase accidentally.

IV. Records Retention Policy Compliance

- A. The electronic document Management System (EDMS) shall comply with the Agoura Hills Records Retention/Destruction Schedule, for City Records of the City of Agoura Hills, as approved by the City Council.
- B. Permanent paper records scanned and stored in the EDMS approved for destruction will be destroyed in compliance with the City's Records Retention/~~and~~ Destruction Resolution. Prior to records destruction, the responsible department head(s) shall sign the Permanent Records Destruction Authorization Form (Form A) approving the destruction, and submit the form to the City Clerk's Office for final approval and signature by the City Clerk and City Attorney. Once all approvals and signatures have been obtained for such destruction in accordance with state law and the City's current Records Retention/~~and~~ Destruction Resolution, the records may be destroyed. —(See attached "Form A"). The Records Manager shall sign Form A once approved records are destroyed.
- C. Record Holds: When notified by the City Attorney and/or the City Clerk's Office that a "records hold" or "legal hold" is in place, or when City staff reasonably anticipates that a claim or litigation may ensue, staff shall tag

the potentially relevant records in the EDMS, using a unique tag assigned by the City Clerk, so that potentially relevant records are retained beyond their destruction date and not destroyed.

V. Procedure for Converting and Storing Paper Records in the EDMS

A. The City Clerk is the City official responsible for oversight of the EDMS. The City Clerk's ~~Office~~ shall provide assistance and guidance to other City departments to ensure that the intent of this administrative policy is carried out and that the EDMS serves as a trusted system for storage and reproduction of City records that originated in paper format. ~~Official~~ permanent records should never be retained on local or internal drives.

A.B. Conversion and Storing of Paper Records

1. All records scheduled for permanent retention shall be converted and stored in the EDMS.
2. The City Clerk's ~~office~~ Office shall work with each City department to prioritize their records for conversion and storage in the EDMS.
3. Records without a permanent and/or scheduled retention, pursuant to the ~~City's~~ Aqoura Hills Records Destruction/Retention Schedule, policy shall not be placed in the EDMS. Unless a draft is being retained as a City record, preliminary drafts should not be stored into the EDMS.
4. City Clerk staff ~~is~~ are responsible for converting and storing all permanent City records into the EDMS.

B.C. Scanning of Paper Original Records.

1. Scanned images shall be a true copy of archival quality.
2. City Clerk staff or City Manager designee shall be the only staff scanning permanent documents into the EDMS.
3. Files that contain confidential/attorney-client privilege documents must be scanned and filed separately from the public documents within that file. A "Confidential/Attorney-Client Privilege" folder must be created and the documents must be scanned into that folder with limited access to assigned staff. This will ensure confidential documents are not released to the public during review of an electronic document. ~~Attorney-Client~~ Privilege folders are created for each department and are defined accessible to that particular folder.

4. City Clerk staff shall check the scans for legibility, readability, completeness, page counts, ~~and~~ confirm that document pages were scanned in the proper sequence, ~~and~~ re-scan poor quality images and missing pages, and correct page sequencing, if necessary. The number of pages of each original document shall be verified with the electronically scanned version. The number of pages shall be written on the outside of the paper file/document to ensure the original document pages matches the pages electronically scanned. Blank pages shall not be included in the scanning process.
5. Documents shall be imaged in a method that ensures they are reproducible in their original form, matching both size and color. In most cases, solid color paper, such as invoices, shall be scanned in black and white. Any use of electronic highlighting, or color descriptors shall be scanned in color.
6. Notes and annotations deemed significant must be retained pursuant to federal law, state law, or the City's current Records Retention/~~and~~ Destruction Resolution, shall be scanned and managed as a part of the electronic record.
 - a) If not already inserted within the document, Loose notes to be included in the scanned document will be placed in order at the back of the document before scanning.
 - b) Any page containing sticky or otherwise attached note(s) will be copied with the notes in place. Before scanning, a photocopy of the page with the note(s) in place will be made, and then scanned with the notes removed from the original document. In this way, the City will retain both a clean copy of the document, and a copy of the page with note(s) in place. All scans of sticky or otherwise attached note(s) shall be in black and white.
7. Staff may employ a digitized record enhancement technique which is commonly used in scanning software, including but not limited to deskew, despeckle, crop, and rotate; provided, however, that staff shall not use an enhancement technique if it alters the content that exists in an original record.
8. An electronic sticky note shall be utilized to describe any discrepancies with original copies such as, but not limited to:
 - Dark photocopies – Original copy dark and unreadable.
 - Light ink on photocopies – Original ink light and unreadable.
 - Poor Source Original – Original illegible or unreadable.
 - Crooked photocopies – Original photocopy crooked.
 - Missing pages – Original document missing pages.

9. All pages shall be rotated right-side up for viewing purposes.

10. As transferred documents are scanned, the box shall be appropriately marked and -logged by the City Clerk in the master "Records Control Log" that shall denote scanning, verification (i.e., quality check), and/or destruction of the records, if applicable.

~~9. marked with provided color coding stickers representing the following:~~

- ~~• Yellow/Scanned~~
- ~~• Green/Large Maps Scanned~~
- ~~• Red/Quality Checked~~

~~G.D. Naming~~ electronic documents. Naming conventions are critical and must be followed to ensure document consistency and accuracy. All electronic documents shall be named.

~~D.E. Indexing~~ A template will be used to gather the relevant information about each record. The indexed information will be used to facilitate document search and sort capabilities.

1. The information attached to each record shall include, at least, its subject name.
2. City Clerk staff shall input the information required for each record, unless otherwise directed by the City Clerk/~~or~~ Records Manager.

F. Optical Character Recognition (OCR) will be performed on every predominantly text-based document scanned into the EDMS.

~~1. Optical Character Recognition (OCR) will be performed on every predominantly text-based document scanned into the EDMS.~~

G. Volume New documents shall be scanned into ~~their~~ the assigned "Active" ~~department~~ Laserfiche volume and stored in the respective electronic department/category folder.

H. Quality Control and Assurance

1. Imaged records will be verified as accurate and complete before finalizing their placement in the EDMS. City Clerk staff shall review and verify that each image of each page of the record is a true and accurate copy of the original record that can be reproduced from the electronic record with full legibility, and that the indexing is accurate. Images shall be checked for document name, legible images, paper size scanned, and the number of pages, blank pages, and page rotation.

2. When possible, staff shall not quality check their own scans. Scans shall be quality checked by a staff person other than the staff ~~member~~person who originally scanned the electronic documents.
3. Poor quality images shall be rescanned. If an accurate and fully legible electronic record cannot be made from the original paper record, then the electronic record shall be noted as illegible, utilizing an electronic sticky note as referenced in the scanning section above. ~~The original paper record shall be retained and appropriately filed so that it is preserved. The electronic record shall be appropriately tagged in the EDMS to indicate the file location of the paper original.~~
4. Documents that do not pass the quality-checking process shall be returned for scanning and returned to quality checking after corrections have been made. Documents needing corrections shall be pointed out by sticky note and page number of document requiring correction.
5. Once the box of documents passes that quality-checking stage, the box shall be staged in a secure storage location for final preparation. A ~~fluorescent green~~ "FOR ~~DESTRUCTION~~DESTRUCTION" ~~sticker label~~ shall be placed above the box/~~barcode~~ number and the ~~box~~/barcode number shall be added to the working destruction lists and staged ~~offsite~~onsite for the approved ~~scheduled or annual~~ yearly ~~records~~ destruction. ~~The boxes of documents are destroyed upon City Clerk/Records Manager or annual records~~ yearly ~~destruction~~ approval.

I. Paper Record Destruction

1. All scanned documents shall be retained until the digitized image and indexing is verified as accurate and complete. (See above "Quality Control and Assurance").
2. Once the digitized image and indexing are verified as accurate and complete, and that the document can be reproduced with full legibility, the paper record may be destroyed with the consent of the Department Head and the City Clerk, which consent shall be in writing, utilizing the Permanent Records Destruction Authorization Form (~~a~~Authorization to d~~Destroy~~ permanent p~~Paper~~ r~~Records~~ a~~After~~ i~~Imaging and & s~~Storing them electronically in the EDMS), however:

a) No paper record designated as a vital and/or historical record shall be destroyed. The City Clerk, in consultation with the City Attorney's office, shall identify those classes of records that are vital and/or historical records. Vital and/or historical records, at a minimum, shall include:

1) City historical/archival information;

2) Records affecting the title to real property or liens;

3) Settlement and/or Litigation Agreements;

4) Lease Revenue Bonds; and

5) , including a Any record recorded with the Los Angeles County Recorder's Office.

b) Every irreproducible-illegible page shall be permanently preserved electronically in the same form and identified/denoted as in a manner that will afford easy reference such (i.e., poor source original).

J. Destruction of Records after Reproduction:

In accordance with Government Code Section 34090.5, the City may without written approval of the City Council or the written approval of the City Attorney, cause the public record/document to be destroyed, if all of the following conditions are met:

1. The public record, paper, or document is photographed, micro photographed, reproduced by electronically recorded video images on magnetic surfaces, recorded in the electronic data processing system, recorded on optical disk, reproduced on film or any other medium that is a trusted system and that does not permit additions, deletions, or changes to the original document, or reproduced on film, optical disk, or any other medium in compliance with Government Code Section 12168.7 for recording of permanent records or nonpermanent records;
2. The device used to reproduce the public record, paper, or document on film, optical disk, or any other medium is one which accurately and legibly reproduces the original thereof in all details and that does not permit additions, deletions, or changes to the original document text and images;
3. The photographs, microphotographs, or other reproductions on film, optical disk, or any other medium are made as accessible for public reference as the original records were;

4. A true copy of archival quality of the film, optical disk, or any other medium reproductions shall be kept in a safe and separate place for security purposes;
5. Poor quality documents shall be scanned and noted as illegible, utilizing an electronic sticky note as referenced in the scanning section above. The electronic version shall be a true and correct copy of the original and shall be permanently preserved as an electronic record. ~~No page of any public record, paper, document or and part thereof, shall be destroyed if any page cannot be reproduced with full legibility. Every page that cannot be satisfactorily reproduced shall be permanently preserved in the same manner as a similar public record;~~
- 5.6. Every reproduction shall be deemed to be an original record and a transcript, exemplification, or certified copy of any reproduction shall be deemed to be a transcript, exemplification, or certified copy of the original;
- 6.7. The Custodian of Records shall cause a declaration to be prepared for the reproduction of an original public record contemplated to be destroyed that states with respect to the reproduced record that:
 - a) The reproduced record has been destroyed prior to destruction;
 - b) The reproduction is a true and correct copy of the original document;
 - c) The reproduction was made under the direction or control of a City Director or Records Manager; and
 - d) The reproduction went through the quality control process;
- 7.8. The declaration shall be contained within the image or array of images of the reproduction and shall be signed by the City employee responsible for supervision of the reproduction;
9. If reproduction of the original public record is made and preserved, and if the necessary declaration is completed as set forth above, the original public record may be destroyed without reference to the retention periods set for these regulations and the Agoura Hills Records Retention/ Destruction Schedule; and
10. Compliance with these procedures ensures that every reproduction is deemed an original record.

VI. Procedure for Storing Electronically Originated Records in EDMS

- A. City records that exist electronically may be stored in the EDMS if they can be converted electronically to TIFF Group IV format.
 - 1. Conversion should be performed with a minimum 300 DPI and adjusted higher, on an individual record basis, to provide accurate and complete reproduction. For image files in other formats, such as JPEG, BMP, or GIF, the resolution should be adjusted to closely match the DPI of the original image file.
 - 2. Conversion, using Snapshot or another approved program, may be performed.
 - 3. If an electronic record cannot be converted to TIFF Group IV format, such records should be printed and the instructions followed for converting and storing a paper record.
 - 4. If electronic submissions for maps, design plans, or other architectural drawings will be accepted from the public with the intent of storing the record in the EDMS, such submissions shall be of the highest possible resolution and quality in Adobe Acrobat PDF format, with a minimum 4300 DPI.
- B. Records that do not have a permanent retention shall not be scanned and placed in the EDMS. Unless a draft is being retained as a City record, preliminary drafts should not be stored into the EDMS.
- C. City Clerk staff is responsible for converting and storing permanent records and indexing that department's electronic records into the EDMS. The information attached to each record through indexing will include at least its name, date, and retention period.
- D. Optical Character Recognition Optical Character Recognition (OCR) will be performed on every predominantly text-based electronic document converted and stored into the EDMS.
- E. Quality Control and Assurance: Once an electronic record is converted and stored in the EDMS.
- F. Duplicates Stored on City Server: Once an electronic record is converted and stored in the EDMS, the electronic record on the City's server may be deleted as a duplicate.

VII. System Configuration and Backup Technology

A. User Access

1. The EDMS resides on a dedicated server within the City's secure network. The Records Manager or the IT Specialist is responsible for granting user rights to access the EDMS. Access will be assigned using granular permissions based on a user's role within the organization. User roles include:
 - a) IT Director and IT Consultant: Only with the permission or absence of the Records Manager, assign user permissions to view, search, add, edit, delete, and print information.
 - b) Records Manager: Assigns user permissions to view, search, add, edit, delete, and print information.
 - c) Department Representative: View, search, and print information.
 - d) Scanning Technician: View, search, add, print, and enter template information.
2. Employees shall only access the system using their assigned login and password. Login names and passwords are assigned by the IT Director or Assistant City Manager via Information Technology. Access rights, permissions, and security shall be linked to an individual user's login and password. Employees must read and understand the City of Agoura Hills document imaging policies prior to using the EDMS.
3. All imaged documents reflect a creation date, modification date, and name of the staff person who created or last modified the document.

B. Image Format and File Compression

1. **File Format:** In compliance with AIIM Guidelines Section 5.4.1.4, the EDMS will use Tagged Image File Format (TIFF) ITU Group 4, with no proprietary header information, for records stored in the EDMS. The EDMS will allow users with proper security privileges to convert the TIFF images into PDF/A file format when needed. Images exported from the EDMS will be non-modifiable.
2. **Document Image Compression:** In compliance with AIIM Guidelines Section 5.4.2.4, the EDMS will use lossless image compression

technology supporting ITU TIFF Group 4, ensuring the document quality is not compromised through compression.

3. Resolution: The minimum resolution level for standard business documents shall be 300 DPI/PPI. Where image files in other formats, such as JPEG, DMP, or GIF, are converted to TIFF, the resolution shall be adjusted to closely match the DPI of the original image file.

C. Laserfiche Technology and Backup Procedures

The City has selected Laserfiche as its EDMS. Laserfiche is an archive and retrieval system intended for storage and retrieval of final documents. All permanent imaged documents are secured by Laserfiche Audit Trail to maintain the security of imaged documents and monitor records for compliance. Backups ~~CD's (Local and Cloud)~~ are utilized monthly which cannot be altered and provide ~~equivalent~~ archive and disaster recovery capabilities ~~of microfilm~~.

These policies establish the legal permissibility of records stored in Laserfiche, and it is critical that this process is correctly followed. Permanent office documents should not be stored on any other type of software or retained on local or internal drives for full compliance. This will ensure the integrity of the records management program. Any exceptions to these policies must be approved in advance by the City Manager or City Clerk.

Any issues affecting databases or system integration will be referred to IT for their determination.

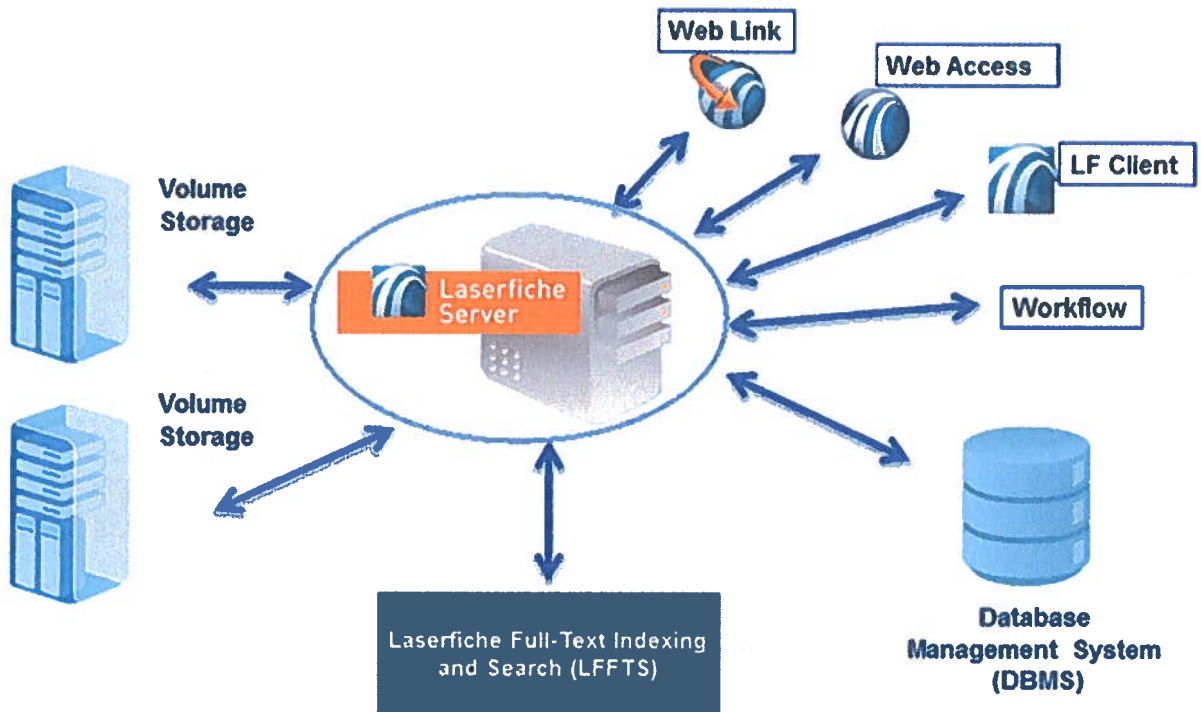
1. The Laserfiche System is comprised of three main components: the Laserfiche Application Server, the Database Server, and the File Server. ~~(s~~See attached diagram).
- a) Laserfiche Application Server stores the application software for Laserfiche.
- b) Database Server stores the information relating to each TIFF image saved in Laserfiche.
- c) File Server stores the TIFF images of the electronic records.
2. Storage and Backup
 - a) The File Server, with the stored TIFF images, is on a WORM storage device. In compliance with AIIM Guidelines Section 5.3.3(c), one copy of each electronic record is written to a backup WORM storage device, which does not permit

unauthorized additions, deletions or changes to the original document. These backup copies are stored and maintained in a secure off-site location.

- b) Backups of the Database Server will be completed in accordance with a schedule established by Information Technology, at least weekly, and stored off-site in a secure location.
 - c) The Laserfiche Server does not need to be backed up, as it can be easily regenerated from the database and the backup volumes.
3. In compliance with AIIM Guidelines Section 5.3.3(a), the EDMS utilizes both hardware and media storage methodologies to prevent unauthorized additions, modifications, or deletions during the approved record retention period of the stored information.
- a) TIFF images of electronic records are stored to a read-only WORM storage device. The security software includes password protection to prevent unauthorized deletion of any data and creates a database audit trail.
 - b) Laserfiche Secure Recycle Bin
 - 1) The EDMS shall be configured to use a Secure Recycle Bin in which deleted documents retain their original security.
 - 2) Records placed in the Secure Recycle Bin may be reinstated or purged from the system. Only the Records Manager may perform these actions.
4. Laserfiche Audit Trail In compliance with AIIM Guidelines Section 5.3.3(b), the EDMS uses an independent audit process to ensure that there is no plausible way for electronically stored information to be modified, altered, or deleted during the approved record retention period of the stored information.
- a) The audit trail security system and encryption software prevents modifications; user access permitting modifications is limited and managed by audit trail security.
 - 1) City Clerk staff is authorized to delete or modify files during the scanning and quality control process. Explicit rights must be assigned by the Records Manager before a user is authorized to delete or modify files.

- 2) A record is made of any modifications made to the audit trail or to other electronic files.
 - 3) The audit trail cannot be modified or tampered with by the Systems Administrator.
- b) The audit trail shall be configured to track basic events in the repository that involve accessing, modifying or exporting data. Basic events include:
- 1) Login and logout
 - 2) Creating, editing, printing or deleting documents.
 - 3) Creating, editing or deleting templates, fields, and annotations.
 - 4) Adding security tags.
 - 5) Exporting documents, volumes or briefcases.
 - 6) Sending documents to the Recycling Bin.

WHAT ARE THE DIFFERENT COMPONENTS OF LASERFICHE ARCHITECTURE?



Laserfiche Server

The Laserfiche server is the key relay station. It acts like a traffic cop, transferring requests from the client/user applications to the database server and back to the client. In addition, some of the other things it does are:

- Merges search results.
- Determines the columns to display.
- Checks user security.

Laserfiche Full Text Search Service (LFFTS)

It contains all of the searchable text. There is one LFFTS catalog per repository.

Laserfiche SQL Database

- Microsoft SQL Server 2008 R2



CITY OF AGOURA HILLS "Form A"
AUTHORIZATION FORM - PERMANENT RECORDS DESTRUCTION

In compliance with the City's Electronic Document Management System (EDMS) Policy

Department: Prepared by:(Type Name/Initial Form) Date: Agoura Hills Box No.: Access Storage Box No.:

Page No.: Item No.: Record Series Title and Contents (as listed in Records Retention/Destruction Schedule):

By my initials above, I hereby certify that the detailed list of permanent records (below) is in compliance with the Agoura Hills Electronic Document Management System (EDMS) Policy adopted by the City Council. The list includes a description of each record sufficient for identification, including the retention schedule page no., record series title and contents, record dates, retention requirements, and verified date. I further certify that the permanent records listed below are not: (a) records affecting the title of real property or liens thereon; (b) court records on any subject where litigation is pending; or (c) records required to be kept by statute. Further, once the digitized records have been verified as accurate and complete and the document can be reproduced with full legibility, as specified in the EDMS Policy, the digitized records will be transferred permanently into the EDMS, indexed (Master Records Control Log), and the originals will be scheduled for administrative destruction. The method of destruction shall be by shredding, unless otherwise directed by the City Clerk.

Table with columns: List of Records Recommended for Destruction (Description or title of records as listed on file label), Date of Records (From: mm/dd/yy, To: mm/dd/yy), Citation Number, and Records Verified by.

AUTHORIZATION TO TRANSFER TO EDMS AND DESTROY PERMANENT RECORDS

DEPARTMENT HEAD:

CITY CLERK:

Signature:

Signature:

Date:

Date:

To be completed by Records Manager/City Clerk:

Transfer to EDMS:

Permanent Records - Actual Destruction Date: