



THE CITY OF NEW YORK
OFFICE OF THE MAYOR
NEW YORK, N.Y. 10007

DIRECTIVE TO ALL HEADS OF AGENCIES AND DEPARTMENTS

No. 2015-3

November 24, 2015

(Superseding Mayoral Directive No. 92-3, April 6, 1992)

UNIFORM RECORDS MANAGEMENT PRACTICES

Statement of Policy

The City Charter requires the Department of Records and Information Services (DORIS) to establish standards for proper record management for all City agencies. This directive begins a citywide effort to reform record management by modernizing record policies. Improved record management practices will promote accountability and improve operational efficiency. DORIS will develop guidance that incorporates 21st century practices and ensure a transition to electronic record management. This transition will promote improved performance and transparency. It will also be one component of a sensible, comprehensive and compliant information governance program.

An effective City records management program controls the creation, use, maintenance, preservation and disposition of records. Efficient records management practices:

- a) Ensure the preservation of records having continuing administrative, fiscal, legal and historical or research value;
- b) Make possible the useful processing of information;
- c) Reduce records storage, equipment and litigation costs as well as other City resources;
- d) Improve operations by documenting agency actions and decisions;
- e) Engage all agency staff in uniform record management practices;
- f) Facilitate access to information in the most efficient manner and at the lowest possible cost; and
- g) Ensure agencies operate effectively by appropriately disposing of records with no archival and minimal value to the City.

Section 1. Department of Records and Information Services. DORIS supports City agencies by developing uniform standards, procedures and techniques for handling records. Records Retention and Disposition Schedules are developed under DORIS supervision and serve as the basis for properly retaining, disposing, preserving or transferring records to the designated storage location. DORIS will develop training that that will help agencies manage the increased volume and diversity of information due to technological advances.

Section 2. Definition of Records. For purposes of the City's records retention policies and practices, "records" means any documents, books, papers, photographs, sound recordings, machine readable materials or any other materials, regardless of physical form or characteristics, made or

received pursuant to law or ordinance or in connection with the transaction of official City business. Library and museum materials made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications are not included within the definition of "records" as used in this directive.

Section 3. Agency Commitment to Records Reform. Within 30 days of this directive, each agency head shall designate a senior agency official, who is a direct report, to oversee a review of their records management program and to direct the implementation of an electronic records management program. This official is responsible for coordinating with the agency's Record Management Officer and appropriate agency officials to ensure compliance with records management policies and for ensuring that appropriate resources are allocated to the program. Within 60 days of this directive, each agency shall submit a report on the status of records management to DORIS, including an evaluation of records disposal and plans for managing electronic records.

Section 4. Senior Agency Official. The designated senior agency official shall review agency record management practices, consult with the agency record management officer and DORIS on developing a timeframe for converting to electronic records management and for the prompt disposition of eligible records.

Section 5. Records Management Officer. Each agency head shall designate the Records Management Officer to act as liaison with DORIS and who shall meet the qualifications established by DORIS. The Records Management Officer shall appoint a Records Officer for each division or unit within the agency to assist the Records Management Officer and DORIS personnel.

Section 6. Disposition of Records. City agencies shall retain records for the period of time set forth in the applicable Records Retention and Disposition Schedule. Following retention of a record for the applicable period of time, approval for the disposal of a record shall be sought by filing an Application for Records Disposal with the Commissioner of DORIS. No records shall be destroyed or otherwise disposed of by an agency, officer or employee of the City unless approval has been obtained from the Commissioner of DORIS, the Corporation Counsel, and the head of the agency which created or has jurisdiction over the records. The DORIS Commissioner or the head of the agency which created or has jurisdiction over the records may initiate an action to eliminate records eligible for disposition. The DORIS Commissioner shall ensure the destruction of disposable records within three (3) months of the date of eligibility. Records retained for historical or research purposes shall be transferred, upon request of the Commissioner of DORIS, to the Municipal Archives for permanent custody.

Section 7. Compliance. The agency head is responsible for compliance with this Directive and shall report the designation of the Senior Agency Official, the Records Management Officer and Records Officer(s) to DORIS in an annual certification statement.

Section 8. Effective Date. This directive shall take effect immediately.



Bill de Blasio
Mayor