



Policy No. RMD-P-2021-01
Version: 1.0

Effective Date: May 01, 2021

Records Management Roles and Responsibilities

City employees play an important role in properly handling the creation, retention and disposition of records in the course of our daily work.

As a result, City employees are required to:

1. name/file records according to established naming conventions upon creation/receipt so they are properly protected and can be efficiently retrieved, regardless of format.
2. store and properly dispose of agency information in accordance with the City's Records Policy and Records Retention Schedule.

The guidance below outlines employee responsibilities with regards to records management.

All City Employees

All city employees must:

- name, label and retain records in accordance with the Records Management Policy and applicable Records Retention Schedule. Paper records must be retained in a safe, dry manner and indexed so that they can easily be retrieved, stored and appropriately destroyed. Electronic records must be retained in an approved system that allows the labeling of information in accordance with the applicable Records Retention Schedule and so the records are labeled in a manner that allows retention, retrieval, discovery and disposition of the information.
- when appropriate, work with Agency Record Management Officers (RMO) and Counsel's Office to request authorization for disposal of all Information under their control following the requirements of Section 1133 of the New York City Charter
- routinely dispose of information not deemed to be a record.
- preserve all information and documentation that is subject to a Preservation Notice.
- inform their manager of any information responsibilities so that they may be reassigned upon transfer from a position.

Agency Record Management Officer (RMO) and other agency records staff

RMO Representatives and other records staff must:

- assist agency employees in the implementation, administration, and monitoring of all records responsibilities named above,
- act as an agency point of contact on records and information management initiatives and controls for their designated groups and act as a liaison between agency employees and the Department of Information Services



- ensure that all hard copy information has been adequately stored and inventoried and that all electronic records have been appropriately labeled refer requests for changes to the Retention Schedule to the Department of Records and Information Services.
- assist in gathering information, delivering communications and training related to records and information management to the agency.

Department of Records and Information Services (DORIS)

Department of Records and Information Services must:

- define and maintain standards and city-wide records guidance documentation, including all record schedules.
- monitor new or amended internal and external record-keeping requirements work with Agency Record Management Officers, s and staff from other relevant areas to design and implement controls necessary to meet these Standards.
- work with city agencies to ensure the best pricing and value when contracting third parties to perform records work.
- train (and provide training materials) to Agency Record Management Officers and other city employees on records management requirements and best practices on a regular basis.
- assist with resolving issues regarding the disposition of Information, partner with Agency Record Management Officers to audit compliance with record requirements, including the proper labeling of all records and the disposition of all eligible records.