



INTEROFFICE MEMO

DATE: October 8, 2021
TO: Kirk DeJesus, Port Director
FROM: Katie Miller, Director of Human Resources and Administrative Services
SUBJECT: Staff Report: Resolution Declaring a Trusted Records System

Recommendation:

The Board is asked to consider and approve the adoption of a resolution to declare the Port's DocFinity Enterprise Content Management System software, in combination with the Port's associated procedures for use, a Trusted System for the management of the Port's records and the automation of retention requirements.

Background:

The keeping of numerous records related to Port business ("Records") is not required after a certain period of time for the effective and efficient operation of the government of the Port of Stockton. Section 60203, et seq. of the Government Code of the State of California provides the parameters and processes whereby any Port Record which has served its purpose and is no longer required may be destroyed.

On August 19, 2019, the Port Commissioners adopted Resolution #8138, creating a Records Retention Schedule that established requirements for retaining Port Records and for disposing of Records when they are no longer needed for administrative, fiscal, historical or legal purposes. This Resolution also adopted the Records and Information Management Program (RIM) Policy.

On June 15, 2020, the Port Commissioners adopted Resolution #8179, granting the Port Director authority to purchase the DocFinity software system for use as the Port of Stockton's record management software solution. This software solution allows for more consistent compliance with the Port's Records Retention Schedule and enhances the management of records. All Port Records are to be stored in DocFinity as the official Records.

Further, California Government Code Section 60203 requires that certain paper Records are reproduced in a "Trusted System" before the paper versions are destroyed. California Government Code Section 12168.7, which provides uniform statewide standards for storing documents in electronic media, defines a Trusted System as "a combination of

technologies, policies, and procedures for which there is no plausible scenario in which a public record retrieved from or reproduced by the system could differ substantially from the public record that is originally stored."

The Secretary of State has adopted Trustworthy Electronic Document or Record Preservation regulations, located in Chapter 15, Division 7, Title 2 of the California Code of Regulations, which govern the recording, storing, and reproducing of Records in electronic media where the intent is to destroy the original hardcopy and maintain the electronic copy as the official Record. As the Port's Director of Human Resource and Administrative Services, I continue to work with the software vendor, project consultant and Port staff to ensure the Port's enterprise content management system, DocFinity, and the Records stored within the system, are kept in accordance with the State's Trusted System requirements and the Trustworthy Electronic Document or Record Preservation regulations.

The Port uses DocFinity to electronically store Records for departments. DocFinity has audit capabilities to track Records as they are added, deleted, and viewed in the system. Folder level permissions and restrictions for security have been and continue to be established and maintained in DocFinity to ensure only appropriate personnel have access to Records.

Records Management Procedures have been developed for the implementation of the Records Retention Schedule and to provide for the routine scanning, uploading, saving, importing, and disposing of Records in DocFinity during the normal course of business.

Collectively, the Port's comprehensive Records Retention Schedule, RIM policy, Records Management Procedures, and the DocFinity technology constitute a Trusted System in accordance with state law.

Fiscal Impact:

There is no fiscal impact associated with this action.