



Records Management I

Records Retention & Disposition

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Access to Slides and Additional Helpful Info



Agenda

Break

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Poll #1

WHAT TYPE OF ORGANIZATION DO
YOU WORK FOR?

Hi, I'm Megan...

- Ultimate Records Nerd!
- Bachelors in English from **Willamette University**
- Masters in Library and Information Science from **University of Illinois Urbana-Champaign**
- Was a **Clerk** from 2012-2022
- Received **CMC** in 2015
- Worked for 3 different **WA cities**
- Worked for **Laserfiche Vendor** from 2022-2023
- Started **LLC** in 2023
- Have the honor of being an **IIMC educator**
- Currently have clients in **OR, WA, and AK**
- Live in **Maple Valley, WA** with husband, 2 kids, 2 dogs, & 1 snake!



Housekeeping

- I am not a lawyer!
- This presentation is geared toward all IIMC members, some things may not be applicable to your specific location
- I apologize ahead of time if I get the laws in your area wrong
- I use stories to explain scenarios
- There will be lots of repetition of concepts
- There is a lot to share, in a little time – please save questions for the break or the end (if there is time) – if there isn't time, please don't hesitate to email me
- I don't get to see all the chats, so I may not be able to respond directly to you
- My email is megan@megangregorconsulting.com – contact me with any questions



Megan@MeganGregorConsulting.com





Records

Records
Management in
Local
Government



Records

Management is
knowing what you
have and why you
have it and how
long to keep it.



So, why is records management even important?

Efficiency Legal Compliance Consistency
Public Service Transparency Continuity of Operations
Accountability
Research Preserves Institutional Memory

Our Goal as Records Managers

- Inform and educate (and gather proof of training!)
- Implement policies and programs to clearly define correct compliance
- Provide tools to assist with the ease of implementation
- Be a resource for questions (aka. Records Expert)
- Ensure staff members have what they need to ensure correct compliance
- Responsible for final disposition

Which is why....

Policies, training,
and tools are
ESSENTIAL!!!

What We Can NOT Control

- The records that people create
- When/How/Why people access certain records
- Whether or not others view records retention/disposition as important
- The secret places people keep their records
- The random records people destroy!

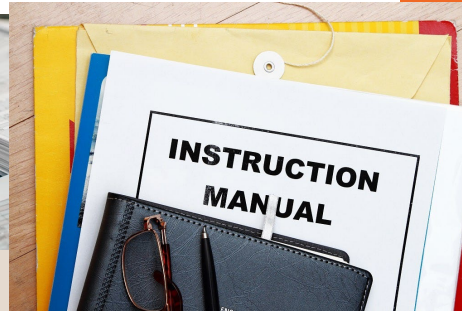
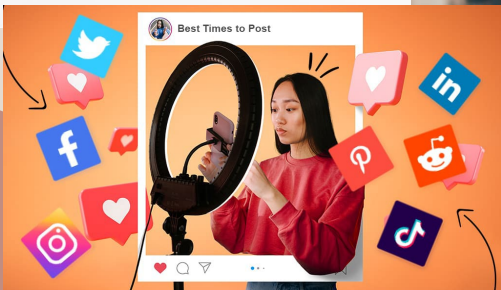
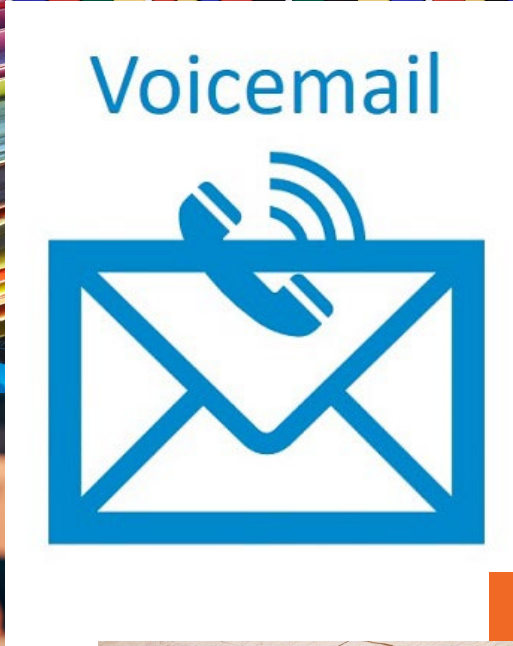
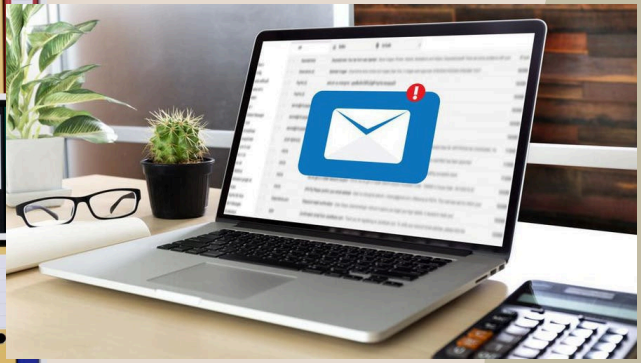


Main Street Restaurant
5332 Business Drive
Palo Alto, CA 94301
975-1628095

Fri 04/07/2017 11:36 AM
Merchant ID: 9h3jxvufdr
Terminal ID: 11111
Transaction ID: #6d598ef
Type:

PURCHASE
Number: xxxxxxxxxxxx0041
Entry Mode: SWIPED
Card Type: DISCOVER
Response: APPROVED
Approval Code: 819543
Sub Total USD\$ 25.23
TIP: 3.78
Total USD\$ 29.01

Thanks for supporting local business!
THANK YOU!



Records Explained

“Any recorded information, regardless of medium, made or received and retained by an organization in pursuance of legal obligations, value to the government, or in the transaction of business,” —*Association of Records Managers and Administrators (ARMA)*



The full definition on a “record” varies across different States/Institutions, with each having its own statutes and regulations that define what constitutes a record

Oregon: According to Oregon Revised Statutes (ORS) 192.005, a record is any information prepared, owned, used, or retained by a state agency or political subdivision that relates to an activity, transaction, or function of the state agency or political subdivision and is necessary to satisfy fiscal, legal, administrative, or historical policies, requirements, or needs.

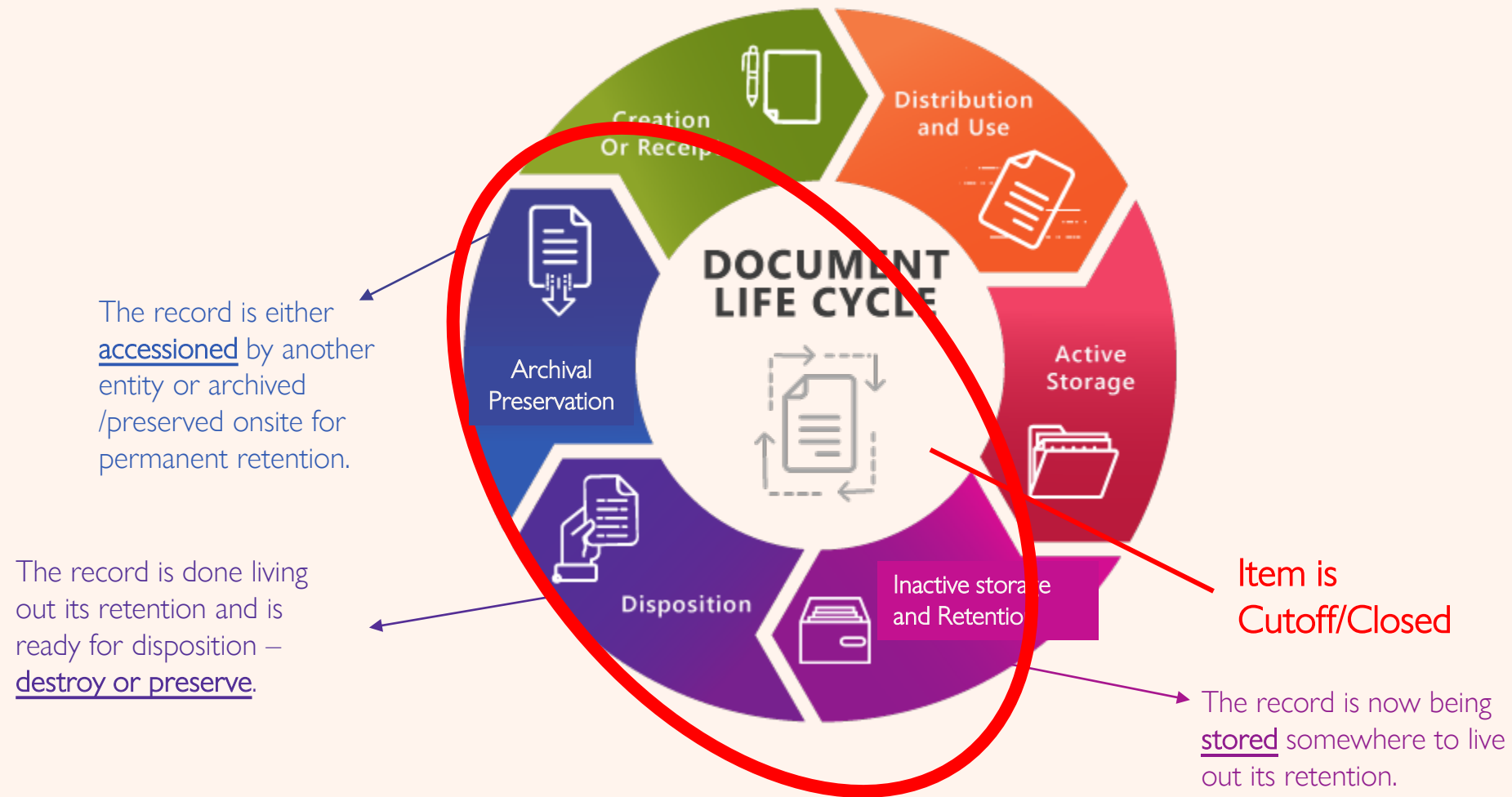
In **British Columbia**, the definition of a "record" is primarily governed by the Freedom of Information and Protection of Privacy Act (FIPPA). Under this legislation, a "record" is defined broadly to include any document or data that is recorded in any form and is in the custody or under the control of a public body. This includes written documents, photographs, maps, audio recordings, electronic data, and more. The FIPPA applies to almost all records held by public bodies, with certain exceptions such as records related to exams or teaching materials.

North Carolina: Under Chapter 132 of the North Carolina General Statutes, "public records" are defined as all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data-processing records, artifacts, or other documentary material made or received pursuant to law in connection with public business by any agency of the state government

Types of Records

- **Transitory Records**: Records with *minimal to no* retention value; temporary information use.
- **Short-Term Records**: Records that are required to be kept for a certain amount of time due to legal or regulatory reasons, but that are *eventually destroyed*.
- **Permanent Records**: Records that have been identified as having *enduring value*; typically, I refer to records that are permanently kept on site as “permanent.”
- **Vital Records**: Records of *significant life events* such as birth, marriage, divorce, death.
- **Archival Records**: Records that possess enduring legal and/or historical value and *must not be destroyed*; typically, I refer to records that go to the archives as “archival” records.
- **Historical Records**: Records that document local events/happenings/history that cannot be found elsewhere, that your organization doesn't *need*, and your archives don't want.*

The Records Lifecycle



Cutoff/Closure

the record's retention begins

Retention officially starts when a record is no longer active – meaning, you will not be adding anything more to a record (e.g. the contract expired, the project was completed, the ordinance was passed, the minutes were approved, the fiscal year came to an end and the 'books' closed, the employee is no longer employed by the agency, the asset is no longer owned, etc.)

An Activity

| Record Number & Category Title | Description | Minimum Retention Period |
|---|---|-------------------------------|
| GS 01001 Agency Directives, Internal Policies and Procedures | Manuals, general guidelines, or similar records distributed internally for the use of employees that sets out agency policies and procedures and do not affect the private rights or procedures available to the public Any agency record that officially initiates, rescinds, or amends internal policies or procedures that are applicable to Arkansas agencies, boards, commissions | Until superseded plus 3 years |

*From the Arkansas Retention Schedule

the record 'lives out its retention'

Retention

The retention of an item is the specified amount of time it must be kept for. Typically, I have found that this is strongly related to the statute of limitations, audit timelines, or some other very specific need.

A Period of Time

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Disposition

The disposition action is what you do to a record once it is no longer required to be retained. Sometimes, the disposition is “permanent storage” – other times it is to destroy, or to give or offer to another collection.

the record is dispositioned

The FINAL activity

State of Mississippi Local Government Records RECORDS RETENTION SCHEDULE

All Local Governments Parks & Recreation

| SERIES # | TITLE | DESCRIPTION | RETENTION |
|-----------|---|---|--|
| GSL 18 01 | Boat Slip Leases | Contracts between harbor authority and boat owners to lease boat slips either for specified time or ongoing. Often include specific fees charged for size of vessel and various services. | Three (3) years after release of audit following termination of lease. Approved: 4/16/2019 |
| GSL 18 02 | Park and Facility Maps | Records documenting park boundaries, facilities and other improvements, landscaping, topography, drainage, and enhancements for properties owned and maintained by the parks and recreation department of a local government entity. May include master plans, construction plans, as-built drawings, various maps and specifications, etc. | Until superseded. Official copy shall be maintained by entity's clerk or administration office for life of facility. See also GSL 18-28 for maps with potential historic value. Approved: 1/21/2020 |
| GSL 18 03 | Planning and Development Records - Improvement Projects | Records documenting the planning and construction of improvement projects of parks and recreation facilities owned by a local government entity. May include master plans, construction plans, as-built drawings, various maps and specifications, etc. | Life of facility or of specific improvement Approved: 1/21/2020 |
| GSL 18 04 | Facility and Maintenance Files - Master Files | Records documenting certification or compliance with laws or standards for facilities owned by the parks and recreation department of a local government entity. | Permanent. Approved: 1/21/2020 |

*From the Mississippi Retention Schedule

With many schedules, if no disposition is listed, then you can destroy

Keep forever

Disposition

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“the record is dispositioned”



Imaging & Scanning Quick Reference

Is imaging right for the records?

Does it make good business sense to scan paper records? There are no definitive rules for when you should scan or not, but here are some factors to consider before starting a scanning project.

| <i>PROBABLY SHOULD SCAN</i> | <i>PROBABLY SHOULD NOT SCAN</i> |
|---|--|
| Active records: frequently used or requested | Inactive records: rarely used or requested |
| Return on investment (ROI) is possible before expiration of retention period | Retention period is already met or will be met before return on investment (ROI) is realized |
| There are sufficient resources to support and upgrade the electronic system over time | There are no ongoing maintenance, storage, or system migration funds available |
| Replacing the paper original of a record as an access strategy | Replacing the paper original of a permanent record as a preservation strategy |
| Feasibility studies have been conducted to ensure that there are adequate resources available to cover ongoing imaging costs of document preparation, scanning, indexing, and retrieval | No feasibility studies have been conducted beyond setting the goal of “going paperless” |

How do I practice quality control?

- ✓ Prep documents carefully to ensure they can be scanned efficiently (unfold paper, remove staples, organize in correct order, etc.)
- ✓ Scan text documents at a minimum resolution of 200 dpi (dots per inch), and scan drawings and maps at a minimum resolution of 300 dpi.
- ✓ Perform a visual inspection of a representative sample of digitized records (at least 10%).

Can I destroy paper records after scanning them?

Yes, records management laws and rules applicable to state agencies and local governments do allow for records to be kept electronically in **addition to**, or **instead of**, physical copies (TGC 441.189[a] & LGC 205.002).

Consult with legal counsel first to ensure that any regulatory or auditing agencies other than TSLAC do not require records to be retained in their original format.

Do I need to document the destruction of paper originals?

No. Designate the scanned electronic image as the official record copy (to be retained for the full retention period) and the paper original as a convenience copy. Destruction of convenience copies does not need to be documented on a disposition log.

Practice Four Main Principles

1. **Authenticity:** Add or migrate metadata via indexing to ensure that the origin and trustworthiness of the original record remains intact.
2. **Integrity:** Implement and maintain security access controls to ensure electronic records are complete and unaltered; implement regular backup and recovery procedures to prevent premature loss.
3. **Reliability:** Perform quality control inspections to ensure digitized images are true and correct copies of original records.
4. **Usability:** Upgrade and migrate electronic recordkeeping systems regularly, use preservation formats (e.g., TIFF or PDF), and use descriptive file names to ensure that records can be readily retrieved.

If you are unsure of what disposition activities are allowed, contact your archives!

Poll #2

HOW WOULD YOU BEST EXPLAIN
YOUR UNDERSTANDING OF
MUNICIPAL RECORDS RETENTION
AND DISPOSITION?

1.8 LEGAL AFFAIRS
 The activity of providing legal advice, analysis, and opinions.
IMPORTANT: Criminal and Civil Attorney Records Retention Schedule

| DISPOSITION AUTHORITY NUMBER (DAN) | |
|------------------------------------|--|
| GS52-07-03 Rev. 1 | <p>Legal Advice, Analysis, and Opinions Records relating to the development of legal advice, analysis, and opinions. Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Preliminary drafts; • Comments on preliminary drafts; • Related correspondence/communications. |
| GS53-02-03 Rev. 2 | <p>Legal Advice, Analysis, and Opinions – Official Records relating to the provision of legal advice, analysis, and opinions of acting as legal counsel for the agency or any of its components. Legal advice/analysis/opinions are <u>not</u> retained and disposed of as they relate.</p> <p>Excludes records covered by <i>Legal Advice, Analysis, and Opinions</i> (07-03).</p> |
| GS53-02-05 Rev. 1 | <p>Legal Advice, Analysis, and Opinions – Secondary Records relating to the provision of legal advice, analysis, and opinions of acting as legal counsel for the agency or any of its components. Legal advice/analysis/opinions <u>are</u> retained and disposed of as they relate.</p> <p>Excludes records covered by <i>Legal Advice, Analysis, and Opinions</i> (07-03).</p> |

Records Retention

What is Records Retention?

The practice of **managing** and **storing** records for a specifically

defined period of time based on a **variety of factors**.

Explained via the
Retention Schedule

Reasons for why/how
records are kept

Role of the Retention Schedule

- Ensure legal and regulatory compliance
- Establishes records required for business or produced while conducting business
- Guarantee consistency (and therefore provides greater transparency)
- Explains:
 - Title and Description of record
 - When a record closes or is cutoff
 - How long to keep a record once it's been closed
 - What to do with the record (keep/destroy/archive)
 - (Megan's Preference) Where a record is kept
 - (Megan's Preference) Responsible Department / Holder of Original or Main record

Poll #3

DOES YOUR ORGANIZATION HAVE A
RETENTION SCHEDULE THAT THEY
FOLLOW?



Writing Your Own Schedule

ALASKA, CALIFORNIA, SOUTH CAROLINA, NEW MEXICO,
AND MORE...

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Retention Schedule

Reasons for why/how
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How are Records Retention Period's Determined?

- **Agency Business Need** – how long do you need to access the record to fulfill specific work functions
 - Example: A Building Permit is needed at least throughout the entirety of the building process.
- **Laws or Standards** – state statutes, local ordinances, or other professional standards that govern an agency or body of work may mandate the retention period.
 - Example: the FAA requires you to keep records related to grants for at least a period of three years after the date of the final reimbursement.
- **Statutes of Limitations** – state laws that govern the amount of time a party has to take legal action after an event as occurred.
 - Example: Statutes of limitations in Colorado for Breach of Contract is three years, so all contracts in Colorado must be kept for at least three years following the end of the contract.
- **Audit Examination Periods** – State Auditor's Office requires government agencies to retain certain financial documentation for auditing examinations.
 - Example: Depending on the type of record, agency, audit and risk assessment the time required to keep financial records in Washington State can vary between 1-6 years.

When Writing Your Retention Schedule...

- **Take inventory:** who has what records, what format do they keep them in?
- **Who is doing what to whom:** is the agency creating the record for someone else, or are they receiving the record from someone else?
- **What are the records:** be able to give specific examples of records that fall under each series.
- **When does retention start:** when does the record close?
- **What is the rationale for the retention period:** legal requirements, etc.
- **What is its disposition:** what happens to the record once the retention is met?



Best Way to Organize Your Retention Schedule

| Number (DAN*) | Department | Title | Description | Cutoff / Closure | Retention/ Disposition | Record Location and Format |
|-----------------|----------------------|---|--|--|------------------------|------------------------------------|
| 166-200-0210(1) | Finance | Accounts Payable Records | Payment transactions of city purchases. | After Annual Audit | 3 years then Destroy | Eden; electronic |
| 166-200-0210(2) | Finance | Credit Slips | Proof of funds credited to the city. | After credit expired or redeemed. | 3 years then Destroy | Finance Network Drives; electronic |
| 166-200-0210(3) | Emergency Management | Emergency Management Assistance Expense Records | Expenditure reports used during emergency events | After annual or final expenditure report submitted | 3 years then Destroy | EM Network Drives; electronic |
| 166-200-0210(4) | Finance | Purchasing Records | Purchasing transactions of city purchases. | End of Fiscal Year | 3 years then Destroy | Finance File Cabinets; paper |

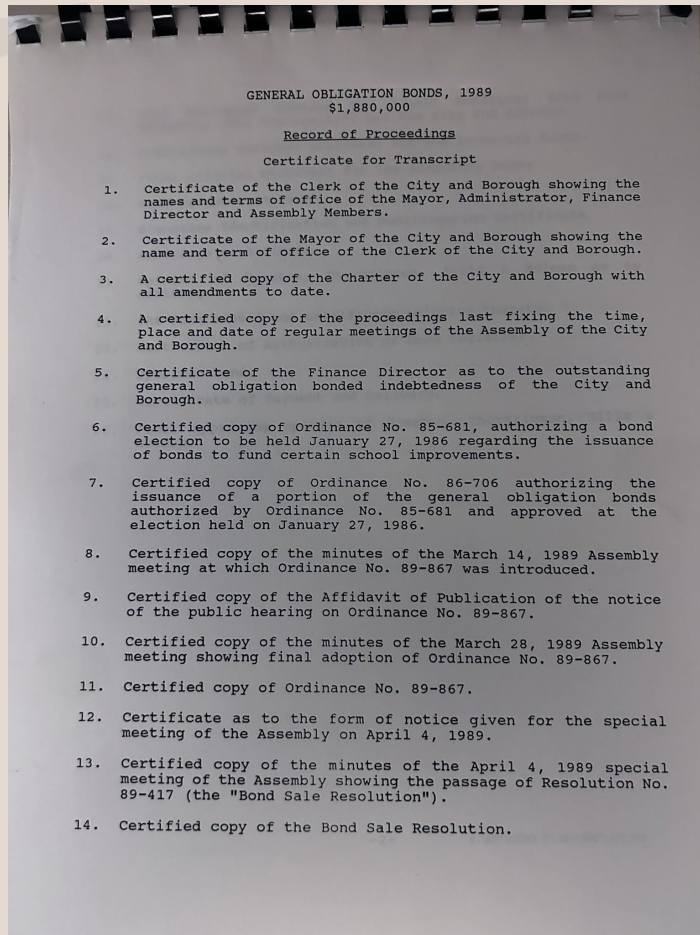
*DAN = Disposition Authority Number; also known as the Record Series Number



Deciphering a Schedule Written by a Higher Authority (e.g. the State)

WASHINGTON, NEW YORK, TEXAS, COLORADO, NORTH
DAKOTA, SOUTH DAKOTA, AND MORE...

Learning How to Assign Pre-Defined Retention



Learning how to determine which record series your record falls under to know what its retention and disposition requirements are – sadly it is not the simplest thing to do.

State issued Retention Schedules are often vague and high level due to the individual differences of each different entity. Therefore, learning how to apply appropriate designations can get a bit fuzzy.

Also, don't forget that sometimes there are multiple retention schedules to refer to!

Don't be afraid to reach out to your Archivist when you have questions! But when you do, be sure to explain:

- Purpose of the Record
- What your agency calls the record
- What record series you think applies (or list all if more than one)
- What your preference is, and why

Deciphering Retention

Analyze the Process:

Think beyond **titles**

Think beyond any “**agency speak**” or specific agency terms

Think beyond “**who**” in your agency is responsible for the record

Think “**what does this record DO** and what is the purpose of its creation, receipt, or use”



Look at the DESCRIPTION of what the function and activity is and how it is related to a business process!

Deciphering Retention

Ask Yourself:

- Who created the record?
- Who uses or needs access to this record?
- Why do they use the record? And, why might it be useful for someone to have access to this record?
- What is a different name for this record, or could it be called something else?
- What is this record representing (owned asset, approved/permitted activities, council action, etc.)?
- Is this record kept in other places by other people?

Don't Limit Your Thinking by Only Considering:

- What the record is called by the user
- What the record is called by the retention schedule
- What you *believe* the record should be used for
- The way the department keeping the record uses it

If your record potentially falls under two different record series, its best to keep it according to the longer of the two!



Lets Try One from Arizona...

https://azlibrary.gov/sites/default/files/all_general_schedules_searchable.pdf

“I just found a Union Contract from 2009. It looks like it’s the original signed contract – what should I do with it?”

“CONTRACT”

| | | | | |
|---------------------------------------|---|---------|--|-------------|
| Administrative and Management Records | 30678 - Contracts, Agreements, Leases and Related Records | 6 Years | After fulfilled, expired, canceled or revoked. | Dec 29 2015 |
| GS-1018 | Including, but not limited to, intergovernmental agreements (IGA), mutual/automatic aid agreements, cooperative agreements and memorandums of understanding (MOU) but does not include construction contracts . (see Facilities / Grounds schedule). | | | |

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COLLECTIVE BARGAINING AGREEMENT

BETWEEN

CITY AND COUNTY OF DENVER

AND

FRATERNAL ORDER OF POLICE,

DENVER SHERIFF LODGE 27

Lets Try One from Arizona...

https://azlibrary.gov/sites/default/files/all_general_schedules_searchable.pdf

“I just found a Union Contract from 2009. It looks like it’s the original signed contract – what should I do with it?”

“UNION”

Human Resources /
Personnel Records

**20755 - Union/ Collective Bargaining Records,
Collective Bargaining Agreements**

Permanent

Preserve pursuant to ARS
39-101

Oct 31 2016

GS-1006

Let's Try One from Washington ...

[https://www2.sos.wa.gov/_assets/archives/recordsmanagement/local-government-common-records-retention-schedule-core-v.4.2-\(august-2021\).pdf](https://www2.sos.wa.gov/_assets/archives/recordsmanagement/local-government-common-records-retention-schedule-core-v.4.2-(august-2021).pdf)

“We have a whole closet full of boxes of timesheets. Can you please store them for long term retention?”

“TIME SHEET”

| 3.5 PAYROLL | | | |
|---|---|--|--|
| <i>The activity relating to the monetary compensation of employees on a periodic basis.</i> | | | |
| DISPOSITION AUTHORITY NUMBER (DAN) | DESCRIPTION OF RECORDS | RETENTION AND DISPOSITION ACTION | DESIGNATION |
| GS50-03E-15 Rev. 1 | <p>Employee Pay – History Records relating to the pay history of individual employees.</p> <p>IMPORTANT: Some of these records may be needed for retirement verification purposes. Do not destroy before consulting with your agency’s retirement benefits manager.</p> <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Documentation of employee pay status; • Payroll deductions (taxes, insurance, retirement, miscellaneous); • Time cards and time sheets. <p>Excludes records covered by:</p> <ul style="list-style-type: none"> • Employee Pay – Authorizations and Deductions (DAN GS50-03E-01); • Employee Retirement/Pension Verification (DAN GS2017-009); • Employee Pay – Internal Revenue Service (IRS) Forms (DAN GS2017-006); • Reporting/Filing (Mandatory) – Internal Revenue Service (IRS) (DAN GS50-03A-17). | <p>Retain for 4 years after end of fiscal year <i>and</i> no longer needed for agency business (including retirement benefit verification) <i>then</i> Destroy.</p> | <p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p> |

| | | | | |
|---|---|--|---|---|
| <p>GS2017-009 Rev. 0</p> <p>continued next page</p> | <p>Employee Retirement/Pension Verification Records relating to individual <u>employee</u> enrollment and participation in retirement/pension plans made available by the agency (including agencies operating their own pension systems). Includes <i>eligibility</i> and <i>entitlement</i> verification documentation.</p> <p>IMPORTANT: Because of the variety of unique records generated by each agency (<i>and each agency's filing/electronic information systems</i>), this records series cannot provide definitive descriptions of which records at <i>any particular agency</i> will provide the necessary details.</p> <p>Please contact your agency's retirement benefits manager to confirm which specific records <i>your</i> agency must retain for verification purposes.</p> <p>Washington State Department of Retirement Systems (DRS) requires documentation of <u>all</u> of the following <i>elements</i> as retirement benefit eligibility and entitlement verification:</p> <ul style="list-style-type: none"> • Employee name (first, middle, last), date of birth, and Social Security number; • Service and break in service dates (hire, termination, leave, etc.). Includes type of leave taken (<u>and</u>) <i>whether compensated or not</i>; • Hours worked per month; • Compensation earned <i>per month</i>. Also includes lump-sum payments such as retroactive cost-of-living adjustment (COLA), contract settlement, missed earnings, etc. (including begin & end dates and type of payment); • Rate of pay specific to employee (salary, hourly, etc.). <p>Includes, but is not limited to:</p> <ul style="list-style-type: none"> • Application for enrollment/participation/elections/extensions; • Determination and notification of eligibility/entitlement or ineligibility; <p>continued next page</p> | <p>Retain for 60 years after separation from agency <i>or</i> 100 years after employee's date of birth <i>or</i> 6 years after benefit/beneficiary payment completed, <i>whichever is sooner then</i> Destroy.</p> <p>continued next page</p> | <p>NON-ARCHIVAL ESSENTIAL (for Disaster Recovery) OPR</p> <p>continued next page</p> | <p>continued from previous page</p> <p>continued from previous page</p> |
| | <p>GS2017-009 Rev. 0</p> <p>continued from previous page</p> | <p>Employee Retirement/Pension Verification continued from previous page</p> <p>Includes, but is not limited to (continued):</p> <ul style="list-style-type: none"> • Contract/agreement, policy/plan between employee and benefit provider; • Name, address, status and dependent modifications/changes; • Withdrawal from plan/system. <p>Types of documentation that commonly verify some of the required elements include:</p> <ul style="list-style-type: none"> • Appointment letters; salary and employment dates; • Application forms, enrollment records, authorizations, position eligibility worksheets, retirement status forms/reviews, beneficiary information, qualified domestic relations orders (QDRO), etc.; • Calendars/work schedules; • Individual payroll registers/summaries/databases; • Time cards/time sheets. <p>Each agency should develop policies that define which <i>specific</i> records it needs to retain in order to provide all elements necessary to validate or refute retirement benefit eligibility.</p> | | <p>continued from previous page</p> <p>continued from previous page</p> |

Let's Try One from Washington ...

[https://www2.sos.wa.gov/_assets/archives/recordsmanagement/local-government-common-records-retention-schedule-core-v.4.2-\(august-2021\).pdf](https://www2.sos.wa.gov/_assets/archives/recordsmanagement/local-government-common-records-retention-schedule-core-v.4.2-(august-2021).pdf)

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Make Cheat Sheets!

Records Management for Community Development Building/Construction Permits

[Land Use Planning and Permitting Records Retention Schedule](#)



Important Facts to Remember:

- ❖ All documents related to ANY permits can be scanned and tossed except for Hearing Examiner Case Files for Land Use HEX cases.
- ❖ You must always log the destruction of items if you have destroyed the ONLY copy of it (and it is NOT to be kept "Until No Longer Needed").
- ❖ If the retention is to keep the record "Until No Longer Needed" you do NOT have to log the destruction.
- ❖ Residential and Commercial Project Permits do not need to be differentiated for retention purposes.
- ❖ Permits related to a project are considered "Construction Project & Site Development Permits" and have a few different DANs to apply (see below).
- ❖ Stand-alone permits (not involving Environmental, Land Development, & Zoning) are considered "Construction Permits" (LU50-11-05 Rev. 1).
- ❖ No Permit documents are considered Archival except for Hearing Examiner Case Files.
- ❖ Mechanical, Electrical, Plumbing, Sign, and Demolition Permits that are stand alone and not part of a site development or construction project can be destroyed after 6 years.
- ❖ When a previously permitted structure is demolished, the 'Permanent' Permit documents can then be destroyed after 6 years following demo.
- ❖ There are two different types of Right of Way permits:
 - Permits to improve/create a right of way (involving Environmental, Land Development, and Zoning) = Permanent - COMMUNITY DEVELOPMENT
 - Short-Term Right of Way permits = 3 years after expire then destroy (LU50-11-18 Rev. 1) - PUBLIC WORKS
- ❖ Any record that is not considered Archival, it can be scanned and tossed! Even if there are wet signatures on it! Though, it must meet scan and toss requirements.
- ❖ If disposition is "Offer to the archivist for selective appraisal and retention destroyed."

Megan's Recommendations:

- When an item is scanned and then tossed, you do not need to log that item. You can designate final verification documents as permanent (it is too hard to keep track).
- For any permits that have some documents to be kept permanently, designate the HEX files should be stored separately from Permit Files. In Laserfiche, they should then can be destroyed if not taken, they should be kept separately).
- In Laserfiche we should have a document type in the metadata OR separate folder (accurate).
- We may want to figure out a process for destroying/changing the retention for public Demolished Date?)

City of Chelan

Community Development - Permit Docs Retention for Withdrawn/Void/Abandoned/Issued in Error

| Type of Permit | DAN | Cutoff Date | Retention | Disposition Action |
|---|-------------------|--|-------------|--------------------|
| Construction & Site Development Projects | LU50-11-23 Rev. 1 | Project Abandoned or Permit Withdrawn Date | Immediately | DESTROY |
| Construction & Site Development Projects Denied | LU50-11-01 Rev. 1 | Permit Denied Date | 3 Months | DESTROY |
| Land Use Projects - Withdrawn or Abandoned | LU2022-018 Rev. 0 | Application Abandoned or Withdrawn Date | Immediately | DESTROY |
| Land Use Projects - App Review - Denied | LU50-11-11 Rev. 1 | Project Denied Date | 6 years | Permanent |
| Stand Alone Construction Permits | LU50-11-05 Rev. 1 | Project Abandoned | 6 years | DESTROY |
| Short Term/Temp Use - Denied | LU50-11-18 Rev. 1 | Permit Denied Date | 3 years | DESTROY |
| Permits Issued in Error | LU2022-024 Rev. 0 | Correction of Error Date | 3 years | DESTROY |

Community Development - Other Important Record Series (DAN) to Remember

| Type of Document | DAN | Cutoff Date | Retention | Disposition Action |
|--|-------------------|--|-----------|-----------------------------|
| Short-Term Activity/Temp Use Permits | LU50-11-18 Rev. 1 | Permit Expire Date | 3 years | DESTROY |
| Reporting/Filing (Mandatory) - Agency Mgmt. | GS2012-028 Rev. 1 | Report Date | 6 years | Offer to State |
| Critical (Sensitive) Area Designation | LU50-11-25 Rev. 0 | Designation Termination Date | 6 years | Transfer for Perm Retention |
| Drafting and Editing | GS2016-004 Rev. 0 | No Longer Needed | -- | DESTROY |
| Communications - Non Executive (made or received in connection with the transaction of public business)* | GS2010-001 Rev. 3 | Date Received or Provided | 2 years | DESTROY |
| Informational Notifications/Communications (not used for ACTUAL DECISION MAKING)* | GS90-02-03 Rev. 2 | No Longer Needed | -- | DESTROY |
| Records Documented as Part of a More Formalized Record* | GS2016-009 Rev. 0 | Until verification of successful conversion/keying/transcription | -- | DESTROY |
| Secondary (Duplicate Copies) | GS90-02-04 Rev. 2 | No Longer Needed | -- | DESTROY |
| Unsolicted Additional Materials | GS2016-012 Rev. 0 | Receipt Date | 6 years | Offer to State |
| Historic Site Files - Designation Granted | LU50-11-29 Rev. 0 | Designation Termination Date | 6 years | DESTROY |
| Historic Site Files - Nomination Denied | LU50-11-30 Rev. 0 | Denial Date | 6 years | DESTROY |
| Property No Longer w/in Jurisdiction* | LU2022-019 Rev. 0 | Annexation/Incorporation Date | 3 years | DESTROY |
| Referred Project Review (from other agencies) | LU50-16-04 Rev. 1 | Review Completion Date | 3 years | DESTROY |
| Street Address Assignment | LU2012-076 Rev. 0 | No Longer Needed | -- | Transfer for Perm Retention |
| Comprehensive Land Use Plan and Amendments (Adopted) | LU50-16-01 Rev. 0 | Repealed or Superseded Date | -- | Transfer for Perm Retention |
| Comprehensive Land Use Plan History Files | LU50-16-08 Rev. 0 | No Longer Needed | -- | Transfer for Perm Retention |
| Comprehensive Land Use Plan Proposals (Unadopted) | LU2022-025 Rev. 0 | Date Proposal Declined or Abandoned | -- | DESTROY |
| Shoreline Management Master Plan and Amendments | LU50-16-05 Rev. 0 | No longer needed for agency business | -- | Transfer for Perm Retention |

*Next to items with extenuating circumstances - check retention schedule

City of Chelan

Community Development - Permitting Docs Retention for Issued/Approved Permits

| Document Type | Disposition Action | Building/Airport Construction Permit Retention | SGN, ELE, MEC, PLM, DMO Permit Retention | Filling/Grading Permit Retention | Land Use Permit Retention |
|--|--------------------------|--|--|----------------------------------|--|
| Permit Application (Docs submitted w/ App or produced during App review) | Destroy | 3 months | 3 months | 3 months | 6 years after denial or approval |
| Permit (Land Use - Project Approval/Denial) | Destroy or Scan and Toss | Permanent | 6 years | Permanent | Permanent or until recorded with County |
| Hearing Examiner Case | Offer to State | -- | -- | -- | 6 years after final case and exhaustion of appeals |
| Environmental, Land Development, Zoning Permit Documents | Scan and Toss | Permanent | -- | Permanent | Permanent |
| Final Site Plan | Scan and Toss | Permanent | -- | -- | Permanent |
| Final Inspection | Scan and Toss or Destroy | Permanent | 6 years | Permanent | Permanent |
| Environmental Permit (post receipt) | Destroy | 6 yrs after no longer necessary | -- | 6 yrs after no longer necessary | -- |
| Permit Files | Destroy | 6 years | 6 years | 6 years | 6 years |
| Permits taken after approval | Destroy | 6 years | 6 years | Permanent | Permanent or until recorded with County |
| Receipts (receipts, etc) | Destroy | 3 months | 3 months | 3 months | 3 months |
| Monitoring | Destroy | 6 yrs after conditions met | -- | -- | 6 years after conditions met |
| Compliance | Destroy | 2 years | 2 years | 2 years | 2 years |

Pieces Kept Permanently Kept 6 years Only Pieces Kept Permanently Pieces Kept Permanently

Don't Forget!
If you make these,
you need to maintain them!
(list version at bottom)



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10 Minute Break

DON'T FORGET TO COME BACK!!

Records Disposition



What is Records Disposition?

Disposition: super fancy way of saying “what happens to the record once you are no longer required to keep it” – usually this is either destroy or transfer (aka. deaccession) to another facility for permanent retention.

What you do to the record when it has MET its retention requirements!



Types and Methods of Disposition



Legal and Ethical Considerations

Legal Considerations

- Compliance with Retention Schedule
 - Authorization for Disposition
 - Preservation of Historical Records
 - Local Government Records Law (Public Disclosure / Right to Know)
- Does your state/local govt provide disposition guidance
 - Do you need to request authorization? Internal Sign-off?
 - What type of preservation is required? Historical Value?
 - What are the State/Local laws regarding public disclosure / Right-to-Know / records requests and how do they impact disposition?



Legal and Ethical Considerations

Ethical Considerations

- Privacy and Confidentiality
 - Protect the privacy and confidentiality of individuals whose information is contained in your records
- Integrity and Authenticity
 - Ensure the records are authentic, reliable, and unaltered
- Transparency and Accountability
 - The process should be transparent and consistent
- Avoidance of Conflicts of interest
 - Records professionals should act without personal or political bias



The When and How of Disposition

Physical Records

Start with **one big purge** – go through all physical records and then log and destroy ANY that have met their retention, and log and deaccession ANY that can be archived.

Then...at minimum – **Yearly** (and I would follow your fiscal year).

**This is where an inventory comes in handy!*



Follow Policy!

The When and How of Disposition



Follow Policy!

Electronic Records

As time allows, but at minimum **Monthly**. Preferably weekly or even daily if possible – even if only for 10 mins a day.

Consider how you organize your records:

- Place all transitory records into the same folder
- Consider keeping all records for the longest minimum retention, if easier
- Automate disposition notification

Work with your IT department to ensure permanent deletion!

Benefits of (Consistent) Disposition

Feels Good!!

Reduces Risk

Forces Others to
Know What Records
They Have!

Keeps You in Compliance

Cost Savings

Increases Efficiency

Easier PRR Responses

Improved Public Trust

When it comes to disposition, the number one thing to remember is.....

Always Create a Destruction Log*

*Except for Transitory Records Destruction!

- Transitory Records: Records with *minimal to no* retention value; temporary information use.

From Page 12

City of Nowhere
 City Clerk's Office
 123 Road St.
 Everywhere, OR 12345
 (123) 456-7890

CERTIFICATE OF RECORDS DESTRUCTION

DEPARTMENT: _____

For Recorder's Office Only

Date Records Destroyed: _____

RECORDS TO BE DESTROYED

| Reference Number | Records Series Title | Date/Date Range of Records | Date Minimum Retention Met <small>(As dictated by your retention schedule)</small> | Volume <small>(e.g. How many boxes?)</small> | Description of Records | Format & Method of Destruction |
|------------------|----------------------|----------------------------|---|---|------------------------|--------------------------------|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Destruction Approvals

We certify that the records listed above have been retained for the scheduled retention period, required audits have been completed, and no pending or ongoing litigation or investigation involving these records is known to exist.

| | |
|---|---|
| <p>Signatures of Approving Officials:</p> <p>_____</p> <p>Department Records Management Coordinator - Name:</p> <p>_____</p> <p>Department Manager - Name:</p> | <p>For Recorder's Use Only (must be reviewed by Records Specialist before destruction) :</p> <p>Approved By: _____</p> <p>Date Approved: _____</p> |
|---|---|

*Also, many states offer templates, so you can check with your archives too!



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Destruction Log Do's and Don'ts

- Do **NOT** list transitory records.
- Do **NOT** list records that were tossed after scanning (or if you do, then clearly represent on the log that they were scanned and where the electronic files are kept).
- **DO** mention the method of destruction.
- **DO** state the volume of records.
- Do **NOT** go into detail – only list the types of records and their years, do **not** call out specific record names/project names/ etc. When the log asks to provide a description simply state the general description (e.g. Conditional Use Permits).
- **DO** provide a date range, avoid exact dates.
- **DO** save all logs permanently.

Food for Thought



The smallest ~~deed~~ is better
than the greatest intention.

act of record keeping

John Burroughs

Prioritize Review & Disposition

- Ask Administration for a “Records Health Day” (or even half a day!)
- Make it fun! Competition? Biggest Loser?
- Incorporate electronic records disposition into daily operations for your team (and encourage other depts to do the same)
- Begin with print records first to save space and because they are the hardest to search, then move to electronic records
- Decide what needs to stay in paper, what could be destroyed, and what should be scanned (and tossed)
- Consider: space, access frequency, request frequency, and of course retention value and requirements.

Best Practices with Retention & Disposition

- Implement Retention and Disposition policies (no need to reinvent the wheel!)
- Create an inventory of all records, regardless of format
- Include Updating/Evaluating/Gathering Input on your retention schedule as part of your yearly procedures
- Create a regular schedule for destruction, allow employees easy access to destruction
- Provide training; make the WHY mean something to the record user!
- Don't make it too complicated – *when compliance is **required**, make it **easy**!*
- Create cheat sheets for colleagues, and don't place too much responsibility on them
- Make destruction logs easy for others to fill out and make the process of destruction easy

Additional Resources / Recommendations*

- **Electronic Content Management System** – one that allows you to apply retention to records
- **Scanning / Digitization** – spend the big bucks on a reliable scanner
- **Consider Interns for Inventory** – check local colleges; this is easy, but time-consuming!
- **Shredding** – shred on site is preferred! You want proof the items were shredded.
- **Training** – check your state archives, clerk's associations (other states' too), and IIMC
- **NARA** – National Archives and Records Administration
- **ARMA** – Association of Records Managers and Administrators
- **Other State's Archives**



It's NOT the End of the World!

Do your best.

Try your hardest.

Train/Learn/Teach.

Ask your archivist for help.

Mistakes will happen.

Things will get destroyed.

Everything will be OKAY.



**KEEP
CALM
AND
DON'T
STRESS**

Don't Panic! Records are FUN!!!!

And managing them is *actually* more intuitive than you think...!

- Don't fall into one of the two common records traps! (keep everything or destroy everything!)
- Contact your Archives when you have questions
- Connect with your fellow Clerks
- Get involved: ARMA, NARA, State Clerks Association, IIMC





Questions?

Thank you!



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**Feel free to contact me for my specific recommendations*