Governance Groove

Mastering Municipal Records Management

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Access to Slides and Additional Helpful Info

SCAN ME

Agenda

- **Records Management and Governance:**

  Deconstructed

- **Evaluating the Current State:**

  Where to Start

  15 Minute Break

- **Essential Elements:**

  The Building Blocks of Policies

- **Implementation:**

  Make it Happen

Please Save Comments/Questions for the end of each section. Write it down!

Hi, I'm Megan!

About Me:

- Was a Clerk from 2012-2022

- CMC in 2015

- Worked for 3 different WA Cities

- Worked in Private sector from 2022-2023

- Started LLC in 2023

- Currently work for cities in OR, WA, and AK helping them implement successful records management programs

Tell me about you!!

Raise your hand if...

Take a Minute...

1

What do you think Governance is?

(If you have no idea, just say that!)

Records Management & Governance

What is governance and how does it impact records management?

Records Management

Defined as: a systemic approach to how records are managed throughout their lifecycle.

The practice of ensuring that your organization:

- Captures and maintains evidence of business activities and transactions   **Evidence = Record**

- Maintains the integrity of the record that captures said activities   **Integrity = How its Stored**

- Enables efficient retrieval and access to these documents when needed   **Access = How its Retrieved**

- Retains, preserves, and destroys records according to their value (i.e. their retention schedule)   **Retention = Responsibility**

Role of Records in Local Government

- Legal and Administrative Functions
- Accountability and Transparency
- Historical Preservation
- Operational Efficiency
- Compliance and Regulations
- Support for Research and Public Services
- Digital Transformation and Security

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

What We CAN'T 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!

Which is why....

Policies, training, and tools are ESSENTIAL!!!

Records Management *Governance*

> Defined as: Providing the overarching framework, authorities, and controls to manage records effectively across your organization.

Typically, it establishes:
- Clear roles and responsibilities
- Policies/Procedures/Standards
- Goals/Objectives
- Allocation of Resources

Types of Governance Documents

- **Public Disclosure Policy** – a standard by which staff review and respond to requests from the public, tracking and reporting standards, how are records requested, etc.

- **COOP (Continuity of Operations) Plan** – what is the organization doing to ensure records will not be harmed in the event of a disaster.

- **Records Management Policy** – Where are physical records stored, how are they organized, how/when are they dispositioned? Where are electronic records stored, how are they organized, how/when are they dispositioned? Indexing and classification schemes to follow.

- **Electronic Records Management Implementation Plan** – what software will be used for what types of records? How will security be defined? Who is responsible for electronic records? What are the file size restrictions?

- **Records Disposition Procedure** – who will review the documents? How will documents be destroyed? What can create an exception to how long something is retained?

- **Retention Schedule** – What records are kept and for how long? When does a record close/finalize/cutoff? Are they eventually accessioned?

Types of Records Management Governance

<u>Program – The Overall Strategic Initiative</u>

- Encompasses multiple related projects under the same umbrella (i.e. Public Records, Electronic Content Management, Paper Storage/Retrieval)
- Defines high level scope, objectives, and structure
- Typically, is overseen by a committee, which in turn oversees the Plan and Implementation

Types of Records Management Governance

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Plan - Outlines the Details
- Roles and responsibilities
- Processes for implementation
- Timelines and operational details
- Serves as actionable 'roadmap'

Policies & Procedures - Provides the Rules and Steps to Implement
- Sets expectations
- Defines rules
- Provides standards
- Outlines processes

Why Is Governance Important ?

Ensures Compliance

Consistency

Mitigates Risk

Transparency

Efficiency

Accountability

Preserves Institutional Memory

Protects

Take a Minute...

2

Write down one new thing you learn today that you find to be important – a takeaway – as you learn/hear it!

Questions?

Evaluating the Current State

So, what now? Where do you begin?

Evaluate Impacts and Compliance

"Check Yo'self Before You Wreck Yo'self" –Ice

Oregon

State Issued Retention Schedule

- OAR 166
- Attorney General's Public Records and Meetings Manual
- Oregon State Archives
- Oregon Public Records Advocate
- Cities General Records Retention Schedule
- Records Management Guidance
- OAMR Records Committee
- Model Public Records Policy

Washington

State Issued Retention Schedule

- RCW 40.14
- WAC Title 44-14
- Washington State Archives Retention Schedules
- How to Improve Records Management in Your Agency
- Recommended Policies and Procedures for Managing Records
- MRSC Electronic Records Policy Tool Kit
- How to Scan/Image Records and Go Paperless
- Examples of Agency Policies, Procedures, and Internal Training Materials
- Accountability Audits

Alaska

Each entity is required to adopt/write their own retention schedules.

- AS State Statute 40.21
- 4 AAC 59.005
- Alaska State Archives
- Local Government Model General Retention Schedule
- Policy and Procedures Manual
- Alaska Association of Municipal Clerks
- Naming Conventions for Digital Documents
- Quick Guide to the Best Records Format

Rules Regulating Electronic Records Management

DoD 5015.02

Design Criteria Standard for Electronic Records Management Software Applications by the U.S. Department of Defense (DoD) – was developed in collaboration with the National Archives and Records Administration (NARA) to improve RM after the Gulf War and was first published in 1997, its *not* required for local govt, only federal.

KEY ASPECTS OF COMPLIANCE

Any software used to manage records must be able to:

- Identify and classify records.

- Provide secure storage and easy retrieval.

- Support proper disposal.

- Maintain audit trails.

- Implement robust access controls.

- Support FOIA and Privacy Act requirements

- Interoperate with other systems.

https://dodcio.defense.gov/Portals/0/Documents/Library/DoDRecordsStrategy.pdf

ISO 15489

International Organization for Standardization - Internationally Recognized Standard for Records Management Related Activities designed to ensure records are properly managed throughout their lifecycle, from creation to disposal, to maintain their authenticity, reliability, and usability.

REQUIREMENTS & GUIDELINES

- Records and Metadata

- Policies and Responsibilities

- Records Control

- Processes

IMPLEMENTATION METHODOLOGY

- Evaluation

- Analyze business activities / assess existing systems

- Identify requirements

https://info.aiim.org/aiim-blog/newaiimo/2009/07/01/eight-steps-of-the-isotr-1548922001-records-management-program-implementation-methodology

The Records Lifecycle

The record begins and is considered a **working file** – so it is in process of being created.

Accession: super fancy way of saying "bringing something into a collection" – such as the state archives, a local library, or museum.

The record is either **accessioned** by another entity or archived /preserved onsite for permanent retention.

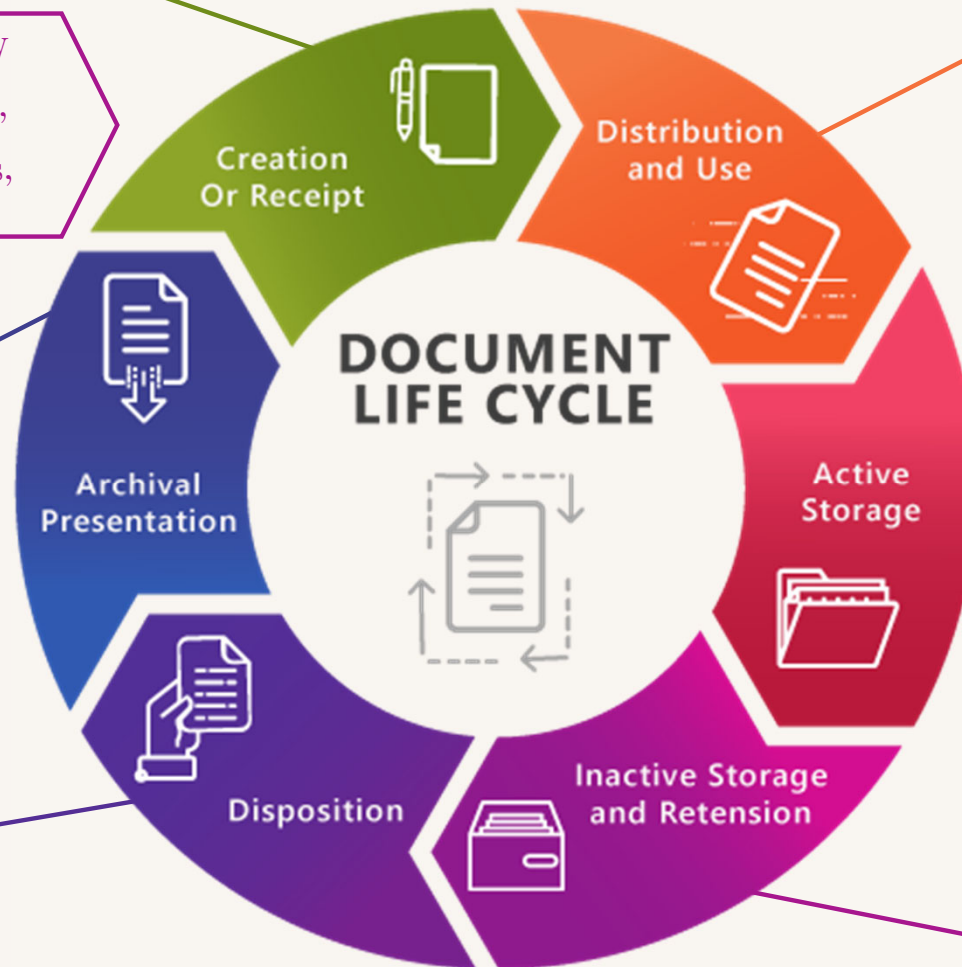The record is **sent** to interested parties maybe for signature, review, information, etc.

The record is still **active** and can be modified or added to at any time (i.e. Contracts before they have expired). This is the period BEFORE the record is considered closed and ready to 'live out its retention'

DOCUMENT LIFE CYCLE

Creation Or Receipt

Distribution and Use

Active Storage

Inactive Storage and Retension

Disposition

Archival Presentation

The record is done living out its retention and is ready for disposition – **destroy or preserve**

The record is now being **stored** somewhere to live out its retention (e.g. Being kept for XX amount of time)

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

Take Inventory

| 1 > City Hall > Development Services >	
Name ^	Date modified
📁 Addressing	8/29/2023 12:54
📁 Advanced Deposits	1/30/2024 3:12 P
📁 Airbnbs	4/13/2022 8:29 A
📁 Appeals and Disputes	12/20/2023 1:15
📁 Archive	10/24/2023 10:50
📁 BlueBeam Software	4/17/2024 12:52
📁 Budget	8/29/2023 12:36
📁 Building Division	3/4/2024 7:19 AM
📁 Census	3/8/2022 1:52 PM
📁 City Hall	9/14/2022 10:41
📁 Code Amendments	4/17/2024 6:11 P
📁 Code Enforcement	5/10/2023 8:40 A
📁 Comment Letters	
📁 Comprehensive Plan Upda	
📁 Confidential No Public Re	
📁 Construction Activity Perm	
📁 Consultants	
📁 Contracts	
📁 Council	
📁 COVID-19	
📁 Credit Card Documentatio	
📁 Department of Ecology	
📁 docs&settings from laptop	
📁 Dosch Sound Test Matter	6/6/2022 1:53 PM
📁 Dude Solutions	11/30/2021 7:56
📁 Enchroachment Agreement	1/17/2023 3:10 P
📁 Engineering	5/15/2018 9:19 A
📁 Fees	12/1/2023 1:22 P
📁 Forms	1/31/2024 12:02
📁 Goals	11/15/2021 11:03
📁 Grants	4/12/2024 7:57 A

Gather Input

- Request Concerns
- Consider Impacts
- Ask the naysayer
- What's working?
- What isn't?
- What outside agencies have rules to also follow?
- What rules and regulations must you adhere to?

Identify the Gaps

- What policies and documentation do you currently have/need?
- How are records being managed currently? What are the pro's and con's?
- What 'tools' do you have/need?
- Are their educational goals that haven't been reached?
- What might be your biggest hurdle?
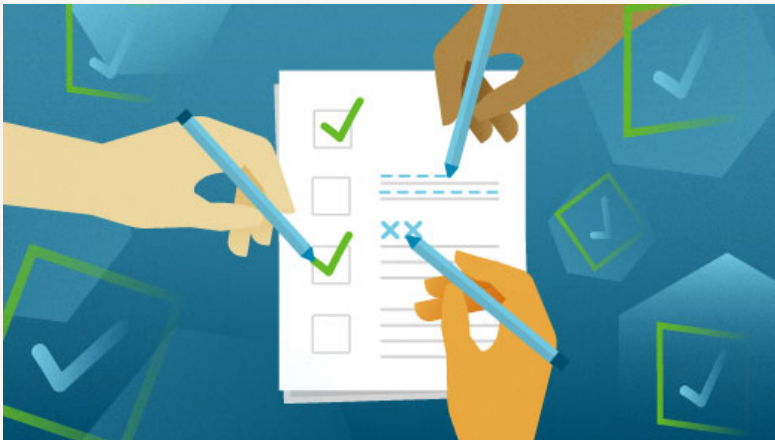
Questions?

15 Minute Break

Essential Elements / Building Blocks

Laying the Foundation

> " Good governance cannot remain merely a philosophy. Concrete steps have to be taken for realizing its goals. "

Narendra Modi

Essential Elements / Building Blocks

- **Scope and Applicability** – Organization-Wide Standards

Scope and Applicability

- <u>Define boundaries</u> – what types of records are covered under the policies? Do you have different regulations for different record types?

- <u>Maintain Consistency</u> – what is reasonable for ALL departments to adhere to? Minimum requirements only. (Note: Procedures can outline greater capabilities department by department.)

Essential Elements / Building Blocks

- **Scope and Applicability** – Organization-Wide Standards

- **Roles & Responsibilities** – Clearly Define Duties

Roles and Responsibilities

- Designate Specific Roles:
  - Records Manager
  - Information Officer
  - Departmental Records Coordinator
  - Daily User

- Define Specific Responsibilities:
  - Record storage (assigning metadata, etc.)
  - Record retention (assigning/maintaining retention)
  - Record destruction (process, approval, etc.)

Essential Elements / Building Blocks

- **Scope and Applicability** – Organization-Wide Standards

- **Roles & Responsibilities** – Clearly Define Duties
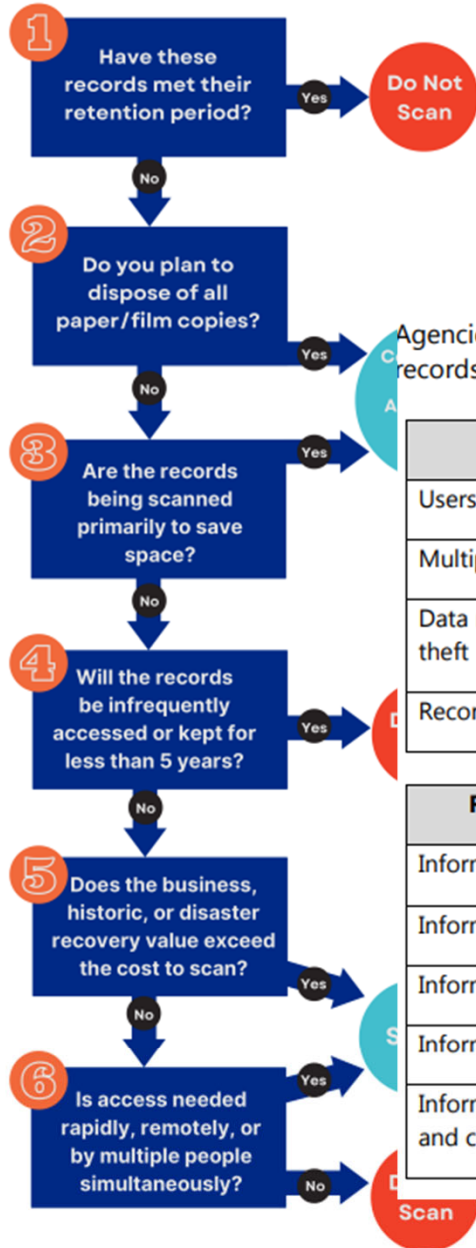
- **Format** – Digital vs. Paper

What Format to Keep Records In

Things to consider:

- Keep electronic records in their <u>native format</u> when possible.

- Which records can be <u>scanned and tossed?</u>

Scanning Decision Tree

Does your agency want to go paperless? The decision to scan your records involves many factors that you may not have considered. This decision tree can help you determine if you should undertake a large scale scanning project.

1. **Have these records met their retention period?** — Yes → **Do Not Scan** / No ↓
2. **Do you plan to dispose of all paper/film copies?** — Yes → / No ↓
3. **Are the records being scanned primarily to save space?** — Yes → / No ↓
4. **Will the records be infrequently accessed or kept for less than 5 years?** — Yes → / No ↓
5. **Does the business, historic, or disaster recovery value exceed the cost to scan?** — Yes → / No ↓
6. **Is access needed rapidly, remotely, or by multiple people simultaneously?** — Yes → / No → Scan

ARCHIVES SOS

Oregon State Archives
Records Management Unit
records.management@sos.oregon.gov
503-373-0701, Option 3

QUICK GUIDE TO THE BEST RECORD

Agencies may use the following matrix to quickly assess a potential a records.

Access Considerations	Paper
Users need rapid access to information	Good
Multiple users need simultaneous access	Poor
Data must be secure from misfiling, loss, alteration and theft	Fair
Records storage space is limited	Poor

Retention and Preservation Considerations	Paper	Microfilm	Electronic
Information to be kept up to 10 years	Excellent	Excellent	Excellent
Information to be kept more than 15 years	Excellent	Excellent	Good
Information accessible within 10 years	Excellent	Excellent	Good
Information accessible after 10 years	Excellent	Excellent	
Information is essential to the continuity of operations and can easily be duplicated for disaster recovery	Poor	Excellent	Excellent

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WASHINGTON Secretary of State
Washington State Archives

Requirements for the Destruction of
Paper Records after Imaging ("Plan to Scan")
Version 2.0 (May 2024)

Minimum Requirements for "Plan to Scan" CHECKLIST

ARE THE RECORDS ELIGIBLE?

☐ **SCAN AND TOSS** – The records are **NON-ARCHIVAL**.

☐ **SCAN AND TRANSFER** – The records are **ARCHIVAL**.

ARE THE SCANS A COMPLETE AND ACCURATE COPY?

☐ Quality control procedures established to ensure capture of *complete and accurate* copies.

☐ Records scanned to the appropriate file format and DPI (see page 3).

☐ Short-term record (retention period of 6 years or less)
☐ Long-term record (retention period of more than 6 years or Archival record)

☐ Records verified to be complete and fully legible.

ARE SCANS ACCESSIBLE AND PROTECTED?

☐ Appropriate steps taken to protect images from deletion, alteration, or damage/loss.

☐ Appropriate planning and strategies implemented for migration and conversion of records.

PLEASE NOTE: State government agency staff need to consult with the agency's Records Officer on all matters related to the retention, transfer, and/or destruction of public records (**RCW 40.14.040**).

What Format to Keep Records In

Things to consider:

- Keep electronic records in their <u>native format</u> when possible.

- Which records can be <u>scanned and tossed</u>?

- What kind of physical and digital <u>capacity</u> do you have?

- What is <u>sustainable</u>? (i.e. Consider the future)

- At what point will digitization be required, and what steps can you take now to <u>prepare</u> your organization?
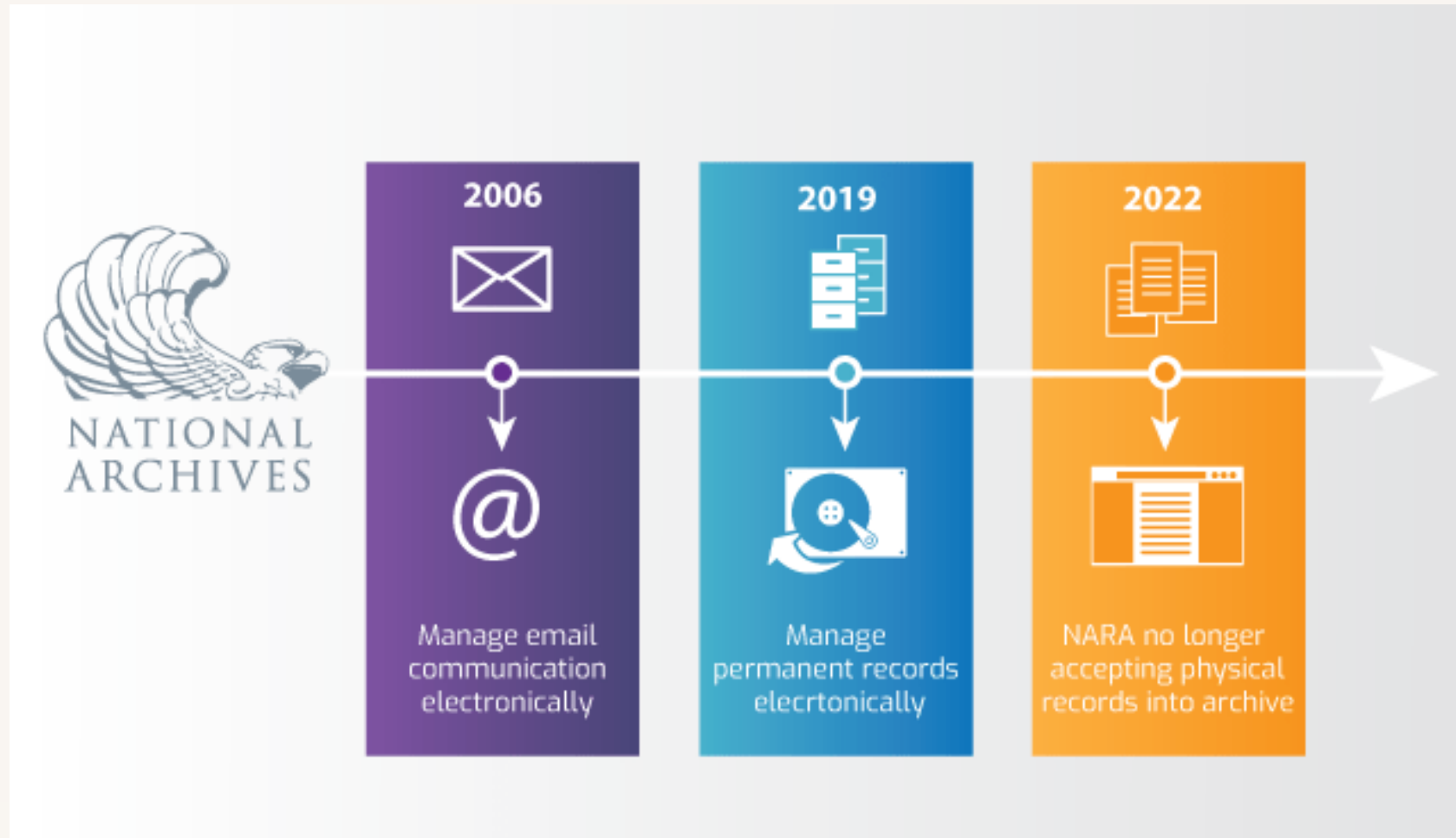
Essential Elements / Building Blocks

- **Scope and Applicability** – Organization-Wide Standards

- **Roles & Responsibilities** – Clearly Define Duties

- **Format** – Digital vs. Paper

- **Architecture** – How is Your Information Organized

Print Records Organization

- Very difficult to enforce.

- Each department will have their own needs and capabilities.

- Provide "guidelines" and be flexible with standards.

- Implement the Purple Sticker Policy!

PURPLE STICKER POLICY

Problem: Inherited Print Records

Hand out purple stickers to each employee. Direct them to place a purple sticker on any print/physical records that they have at their workspace that are not an official record. Some examples include:
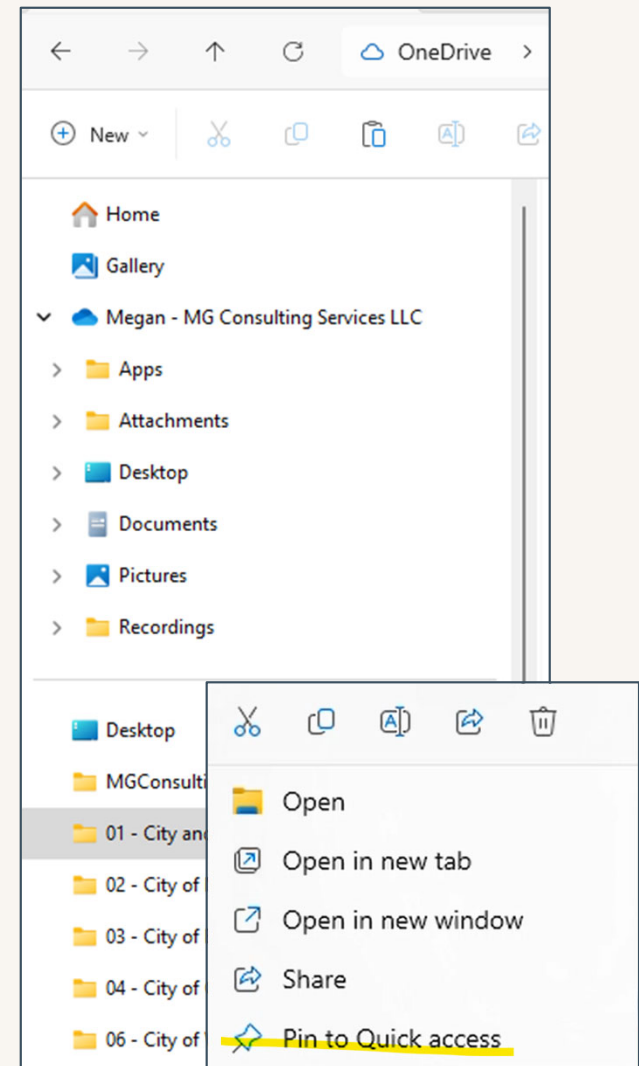
- Reference material
- Copies of official records
- Copies of Plans/Codes
- Books
- Examples from other Cities
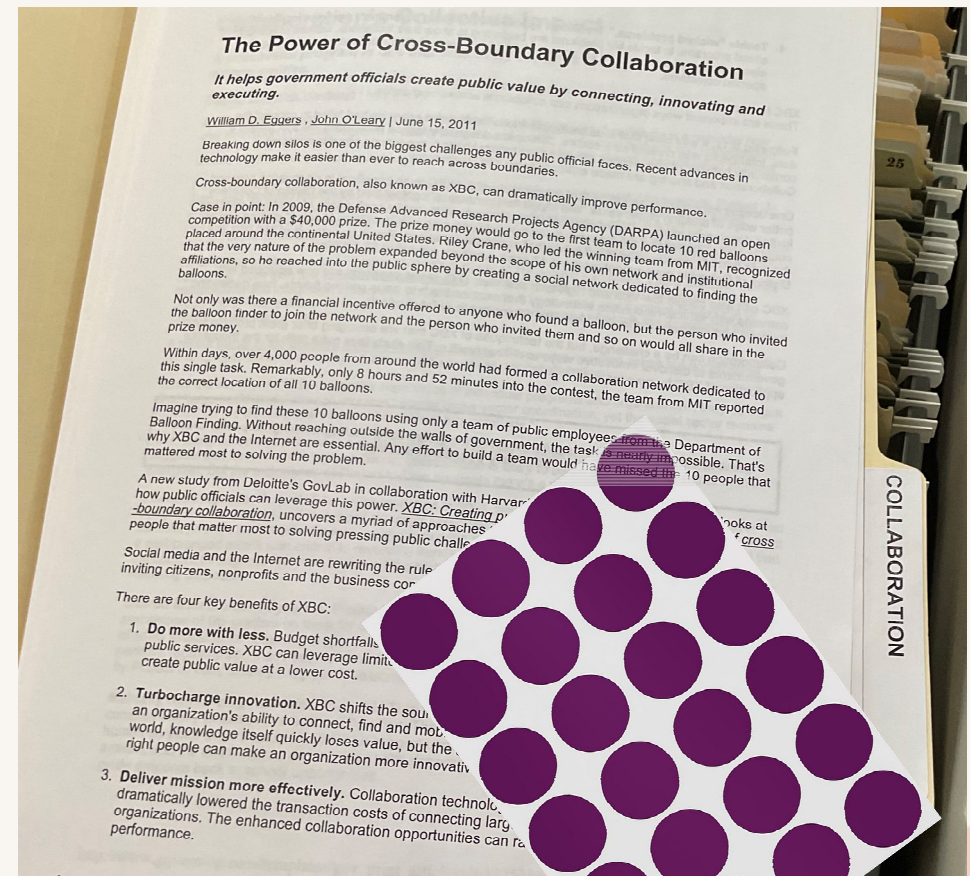
Electronic Records Organization

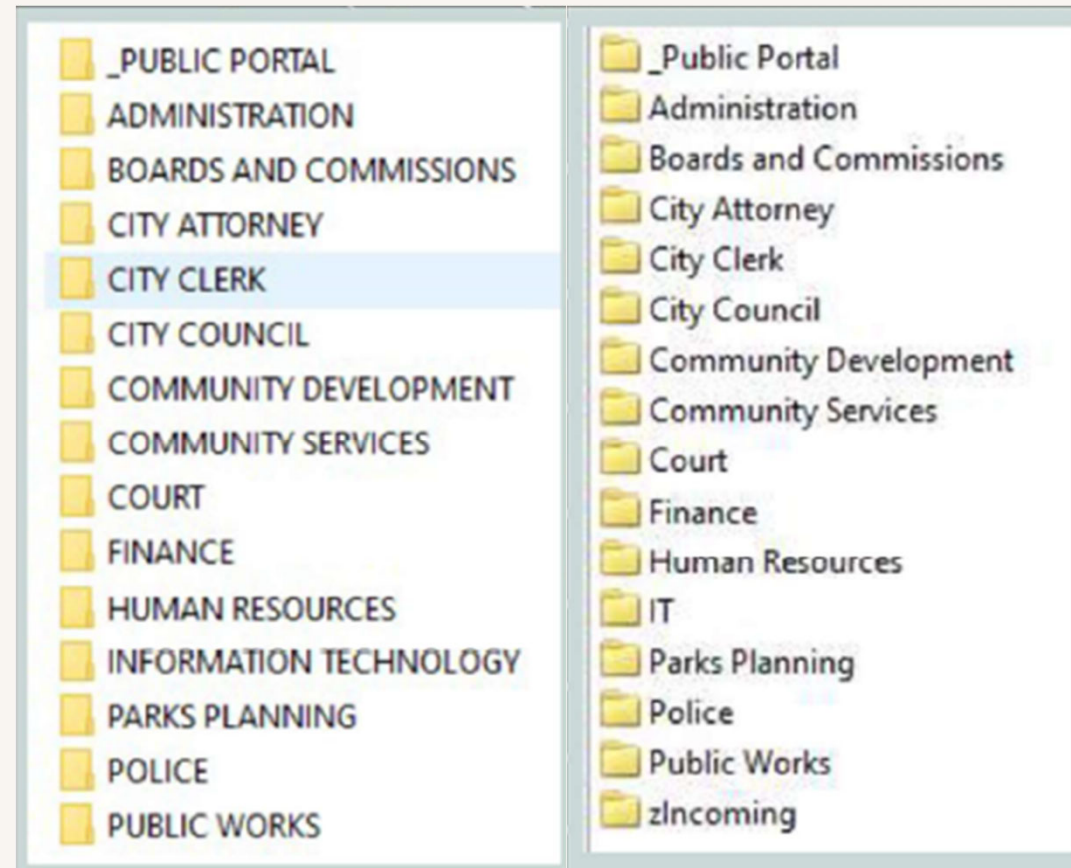## Folder Structure Best Practices

- Pin to Quick Access
  (click and drag important
  folders under the quick access
  area of your file explorer – it
  wont move the item but will
  instead make it a shortcut for
  easy access!)

Electronic Records Organization

Folder Structure Best Practices

- Pin to Quick Access
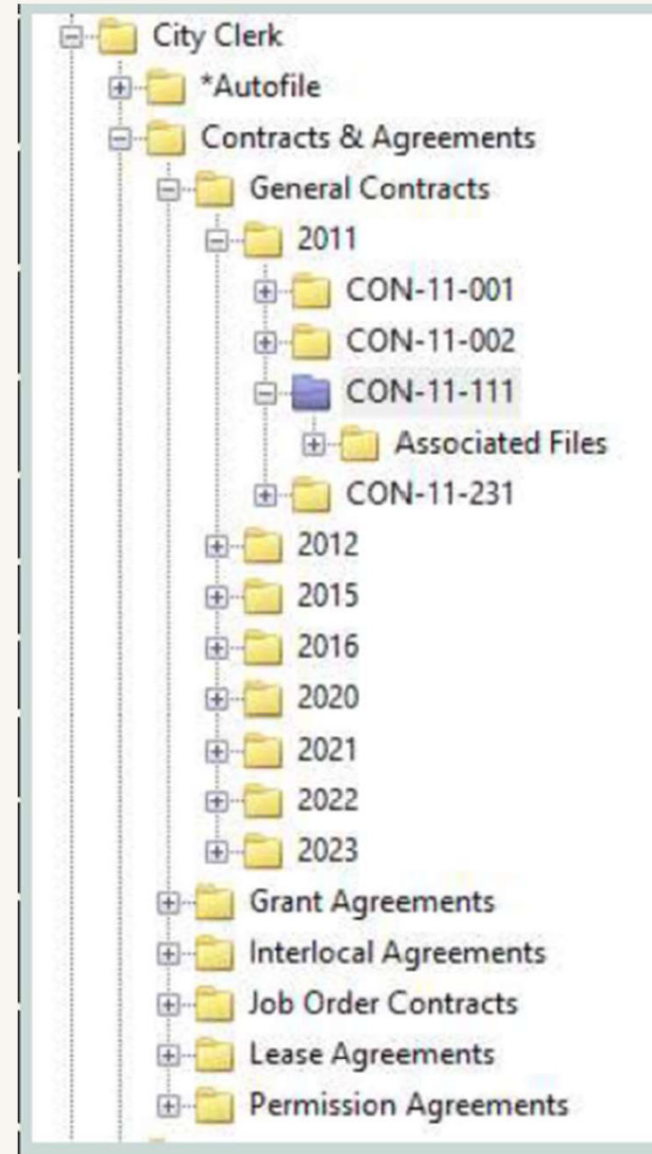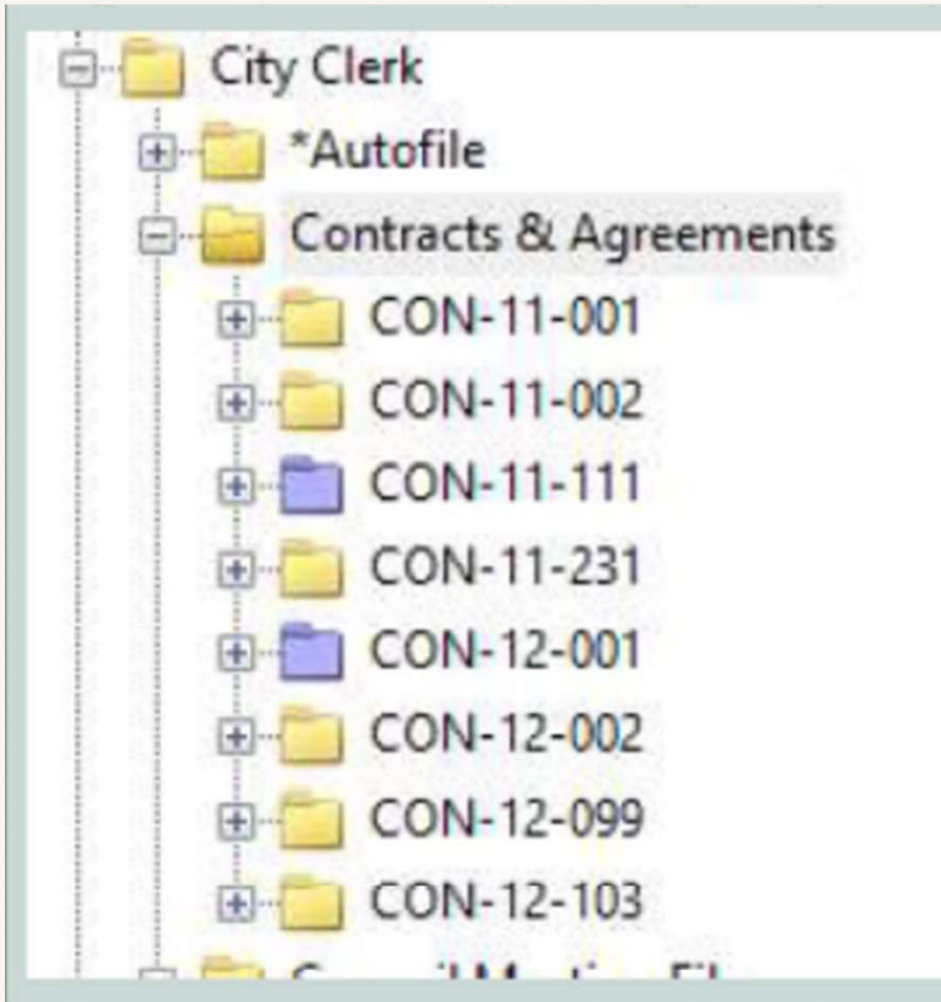
- Do <u>NOT</u> use all caps to title folders

Electronic Records Organization

<u>Folder Structure Best Practices</u>

- Pin to Quick Access

- Do <u>NOT</u> use all caps to title folders

- No special characters $%$* or AAA to pull a doc or folder to the top (unless used methodically)

- No names please!

- Use "*In Process" in folders to clearly separate drafts

- Remember: Its better to click than scroll!

Electronic Records Organization

Folder Structure Best Practices

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- No names please!

- Use "*In Process" in folders to clearly separate drafts

- Remember: Its better to click than scroll!

- Only create a folder for a file if there will be more than one file in the folder.

- Avoid creating folders for only one item

- Avoid "misc" folders – there is a time and a place – but its RARE!

- Be consistent with file conventions, have a structure that can be duplicated across different departments if possible.

Essential Elements / Building Blocks

- **Scope and Applicability** – Organization-Wide Standards

- **Roles & Responsibilities** – Clearly Define Duties

- **Format** – Digital vs. Paper

- **Architecture** – How is Your Information Organized

- **Naming, Indexing, and Classification** – Making it easier to find the records you need

Naming Conventions & Classification

Strong Naming Conventions and Taxonomy Allow Records to be:
- Easily Browsable
- Sorted and Stored in a preferred order

- Keep names **short and relevant**

- Best to **avoid special characters and spaces** (use – or _ when possible) in *file* names, but OKAY to use spaces in *folder* names!

- **Content of a file name** to consider: Date of creation, project name, short description, version (e.g. 2024-02-10_DowntownProject_AsBuilts-v2)

- When using **dates** the format should be YYYYMMDD (**PERSONAL PREFERENCE: put dashes between so it is clear that the number is a date) – unless your folders are organized by year, then MMDDYYYY is fine!

- **Acronyms** should be avoided, or spelled out in a parent folder

- Use information that is important for **disposition** if you do not have metadata (i.e. if the retention starts when the contract expires, but not when it starts, use the expiration date not the start date)

- Be consistent and **write out standards** for all to follow! (Also remember, no one will EVER agree, so don't try to get consensus on how to name things, but DO listen to what they have to say if they don't like it!)

- Utilize a **classification system** for 'like' files/folders

- Make sure the classification system is **easy to understand** – if you need a cheat sheet to remember it, its too complicated!

CityofRenton > Digital Records Library (DRL) > Browse by Category > **Property Files**   18 Entries

	Name	Page count	Last modified by
☐ 📁	Annexation Files		CityClerkAdmin*
☐ 📁	Bill of Sales (BOS)		CityClerkAdmin*
☐ 📁	Certificate of Water Rights (CWR)		CityClerkAdmin*
☐ 📁	Code Violations (CV)		CityClerkAdmin*
☐ 📁	Covenant to Annex (CA)		CityClerkAdmin*
☐ 📁	Declaration of Lot Combination (LC)		CityClerkAdmin*
☐ 📁	Deeds (D)		CityClerkAdmin*
☐ 📁	Early Connection LID - Recorded Doc Only(ECLID)		CityClerkAdmin*
☐ 📁	Easements (E)		CityClerkAdmin*
☐ 📁	Home Improvement Loan Program		CityClerkAdmin*
☐ 📁	Latecomer Agreements - Recorded Doc Only (LA)		CityClerkAdmin*
☐ 📁	Liens (LIEN)		CityClerkAdmin*
☐ 📁	Local Improvement District (LID)		CityClerkAdmin*
☐ 📁	Oath of Office (OATH)		CityClerkAdmin*
☐ 📁	Restrictive Covenants (RC)		CityClerkAdmin*
☐ 📁	Special Assessment District - Recorded Doc Only (SAD)		CityClerkAdmin*
☐ 📁	Special Assessment District (SAD) Files		CityClerkAdmin*
☐ 📁	Street Vacation - Recorded Doc Only (VAC)		CityClerkAdmin*

Indexing / Metadata

Metadata is "data about data" which means – in the contexts of records management: **the information about any given record or folder** that is usually assigned 'in the background.'

> **Good Metadata Allows Records to Be:**
> - Sorted in various ways
> - Found easily
> - Retained properly
> - Automated (if your ECM can do that)

Metadata Best Practices:

- Should include information essential for disposition.

- Only use information needed for finding the document (or to ensure proper disposition).

- Consider allowing for a "notes" section in the metadata, to help with search results

- Remember: there *IS* such a thing as too much metadata!

Essential Elements / Building Blocks

- **Scope and Applicability** – Organization-Wide Standards

- **Roles & Responsibilities** – Clearly Define Duties

- **Format** – Digital vs. Paper

- **Architecture** – How is Your Information Organized

- **Naming, Indexing, and Classification** – Making it easier to find the records you need

- **Standardization** – Use Tools for Easy and Efficient Access

Standardization

Creates efficiency, makes it easier to implement and remember, provides continuity of operations, and allows for easier gathering of data and analytics. Some examples include:

- <u>Destruction Log</u> Template (and only make them enter absolute necessities!)

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

CERTIFICATE OF RECORDS DESTRUCTION

DEPARTMENT:_____

RECORDS TO BE DESTROYED

Reference Number	Records Series Title	Date/Date Range of Records	Date Minimum Retention Met (As dictated by your retention schedule)	Volume (e.g. How many boxes?)	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.

Signatures of Approving Officials:

_____

Department Records Management Coordinator - Name:

_____

Department Manager – Name:

Standardization

Creates efficiency, makes it easier to implement and remember, provides continuity of operations, and allows for easier gathering of data and analytics. Some examples include:

- <u>Destruction Log</u> Template (and only make them enter absolute necessities!)

- Make <u>Cheat Sheets</u> for Record Retention

Records Management for Community Development Building/Construction Permits

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" (LU͏__ __-__ __ Rev. __)

❖ 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 c͏__ be destroyed after 6 years.

❖ When a previously permitted structure is **demolished,** the 'Permanent' Permit documents can then be destroyed after 6 years

❖ 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 – 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 mu͏__ requirements.

❖ If disposition is "Offer to the archivist for selective appraisal and retention" that means that *if* the Archives *doesn't* want them destroyed.

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
		--	--	--	Permanent
			6 years	Permanent	Permanent
		--	--	--	--
no longer		--	6 yrs after no longer necessary	--
			6 years	6 years	6 years
			6 years	Permanent	Permanent or until recorded with County
			3 months	3 months	3 months
conditions met		--	--	6 years after conditions met
			2 years	2 years	2 years
__ Permanently	Kept 6 years Only	Pieces Kept Permanently	Pieces Kept Permanently

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)*	GS50-02-05 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)	GS50-02-04 Rev. 2	No Longer Needed		DESTROY
Unsolicited Additional Materials	GS2016-012 Rev. 0	Receipt Date		DESTROY
Historic Site Files – Designation Granted	LU50-11-29 Rev. 0	Designation Termination Date	6 years	Offer to State
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

Standardization

Creates efficiency, makes it easier to implement and remember, provides continuity of operations, and allows for easier gathering of data and analytics. Some examples include:

- <u>Destruction Log</u> Template (and only make them enter absolute necessities!)

- Make <u>Cheat Sheets</u> for Record Retention

- <u>Scanning</u> Standards/Settings

- Utilize Software to <u>Automate</u> Standardization (PRR Responses, destruction notifications, etc.)

Essential Elements / Building Blocks

- **Scope and Applicability** – Organization-Wide Standards

- **Roles & Responsibilities** – Clearly Define Duties

- **Format** – Digital vs. Paper

- **Architecture** – How is Your Information Organized

- **Naming, Indexing, and Classification** – Making it easier to find the records you need

- **Standardization** – Use Tools for Easy and Efficient Access

- **Security and Access** – Protecting Your Information

Security and Access

- Outline who can access which records
    - Consider department
    - Consider nature of position
    - Consider role

- What permissions do different users have (if in an electronic environment)?
    - View only?
    - Delete capabilities?
    - Move/alter?

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Protecting Your Records

Physical Records

- *Environment Control*: Temperature controlled environment, Metal Shelves, No records directly on the floor

- Establish space limitations and implement *rules regarding how long print records are kept* onsite.

- *Track records* that are removed for examination/use

- Develop an easy process for *transferring* to archives (if needed)

Electronic Records

- Maintain *audit* trails

- Preserve *integrity* of the record – save in unalterable Format (tiff or PDF-A)

- Adhere to retention schedule and *destroy* when required

- Implement proper *disposal* (cannot be recoverable)

- Data *security*, encryption, MFA, etc.?

- Work with your IT dept to ensure the above

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- **Disposition** – Ensuring Your Records End Their Lifecycle

Start By Making It Easy

- Take away the pain – its not enough to threaten them with lawsuits and PRR concerns, you need to make it *actually* doable.

- Create a fillable destruction log (and only make them enter the absolute necessities!).

- Make cheat sheets for frequently use records.

- Be available for questions! Don't expect others to understand destruction rules and standards – you are the SME!

- As administration for a "Records Health Day" (or even half a day).

Essential Elements / Building Blocks

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- **Training and Maintenance** – Ensure Compliance and Monitor

Training and Maintenance

- Training <u>requirements/courses</u> for certain roles.
- Provide <u>standardized training</u> on different policies.
- Remember to provide regular <u>refresher</u> courses.
- Incorporate training to the <u>onboarding</u> process.
- Decide on data points to measure when <u>maintenance</u> is needed (space avail, errors in workflows, etc.)
- Always be <u>available</u> for questions!

Questions?

Implementation

Promoting Records Management: Getting Support and Buy-In

Executive Support

- Save money and time
- No more lost records
- Reduce risk with PRRs
- Provides greater transparency
- Ensures legal/audit compliance
- Continuity of operations in an emergency
- Access files anywhere
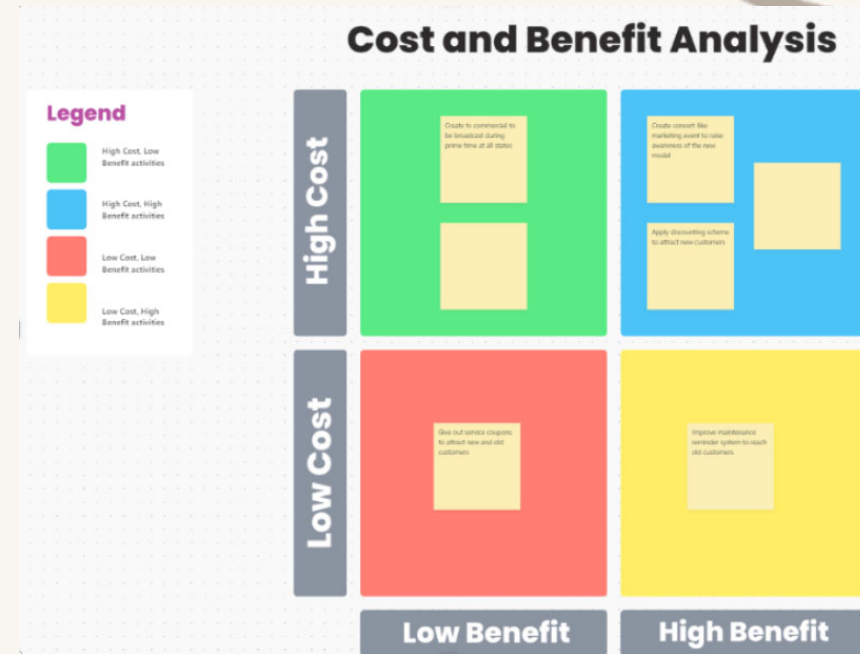- Automate or improve retention processes

Don't Forget the Data!!
- Data doesn't lie!
- Take the emotion out of it.
- Back-Up your 'claims' with proof
- Look for tools to help you capture information (Clockify, Excel, Toggl, etc.)

Cost Benefit Analysis

- Outline all of your end goals

- Organize them based on how costly they are vs. how much benefit they provide
  - Cost: indirect, direct, intangible, tangible
  - Benefit: all, one, all the time, some times, one time

- Use this chart to help you prioritize who does what and when
  - High Cost + High Benefit = priority
  - Low Cost + High Benefit = low hanging fruit
  - Low Cost + Low Benefit = less important 1
  - High Cost + Low Benefit = less important 2

Cost and Benefit Analysis

Legend

- High Cost, Low Benefit activities
- High Cost, High Benefit activities
- Low Cost, Low Benefit activities
- Low Cost, High Benefit activities

High Cost

Low Cost

Low Benefit

High Benefit

Set Achievable Goals

- Focus on the visual first
- Break goals into small bites
- Make each goal **actually** achievable in a relatively **short** amount of time
- Celebrate Success (give credit, share with council, make it a game!)
- Try to stick to the schedule – consider it as important as other tasks

Dissemination and Communication

- Slow roll out – give warnings!
- Be nice – you catch more flies with honey (make it fun, not scary)
- Attend department meetings
- Share your success with Council!
- Make it pretty!
- Make the information easy to access
- Provide hands on training

Benchmarking

- Discover ways to measure success

- Create tangible goals (e.g. all print records will be accounted for within each department, at least one destruction event happens a quarter, etc.)

- Have each staff member sign a form confirming they have taken the training and agreeing to future compliance

- Don't forget to write in a process for modifications – nothing is ever perfect the first time, be willing (and happy!) to make changes

Change Management

" Without first setting your goals
correctly, it is impossible to focus on a
plan to achieve them. "

Mani S. Sivasubramanian

Questions?

Thank You!

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Access to Slides
and Additional Helpful Info

SCAN ME