PD I
Intro to Records Management

Presented by Megan Gregor, CMC, MLIS
MG Consulting Services LLC

Access to Slides
and Additional Helpful Info

SCAN ME

agenda

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 in **private sector** from 2022-2023 (for a Laserfiche vendor)
- 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 huband, 2 kids, 2 dogs, & 1 snake!

Tell me about you!

RAISE YOUR HAND IF....

we are the same...but different!
PRA Laws

	Oregon	Washington	Alaska
Definition of a Public Record	Any writing related to the conduct of public business. (*If it does not relate to conducts of the public's business and is contained on a privately owned computer then it is NOT a public record.)	Any "writing" related to the conduct/performance of government. (*Almost EVERYTHING is considered a public record.)	Books, papers, files, accounts, writings, including drafts...developed or received by a public agency (*does not include proprietary software programs)
Exemptions	Over 500 exemptions....	Narrow statutory exemptions, including personal privacy, law enforcement records, and certain legislative records.	Juvenile, adoption, medical and public health; library lending; victim names for sexual assault and some law enforcement records.
Response Time	Acknowledge w/in 5 days and provide reasonable estimated date within 15 days.	Respond **promptly** and give timeline within 5 business days.	As soon as practical but no later than 10 business days.

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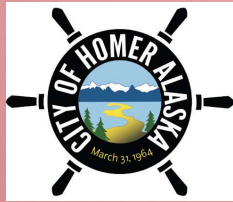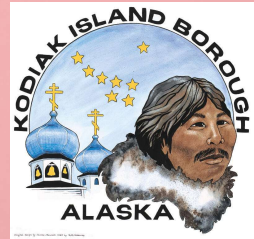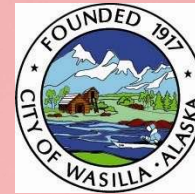
records...in
government

The Struggle is Real

How it started.....

How its going....

So, why are records even important?

Legal Compliance

Consistency

Public Service

Transparency

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

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!

Which is why....

Policies, training, and tools are ESSENTIAL!!!

Sharing time...

How do YOU feel about records?

Have you had any good/bad/ugly experiences yet?

core concepts in 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
- Maintains the integrity of the record that captures said activities
- Enables efficient retrieval and access to these documents when needed
- Retains, preserves, and destroys records according to their value (i.e. their retention schedule)

Evidence = Record

Integrity = How its Stored

Access = How its Retrieved

Retention = Responsibility

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 Records Management Governance

Program – The Overall Strategic Initiative
- 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

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
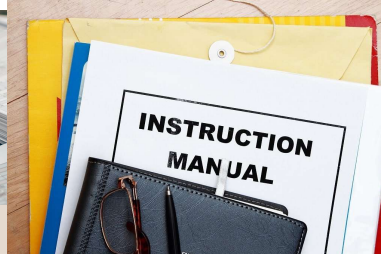- Defines rules
- Provides standards
- Outlines processes
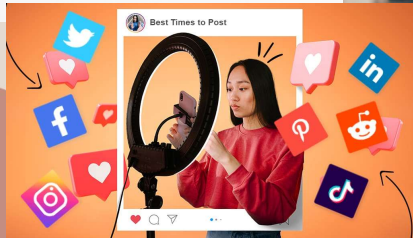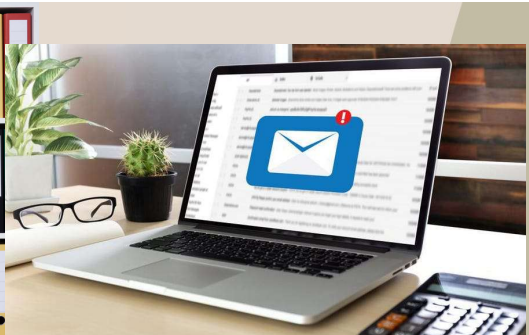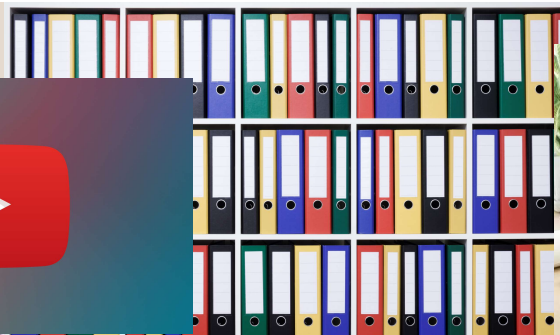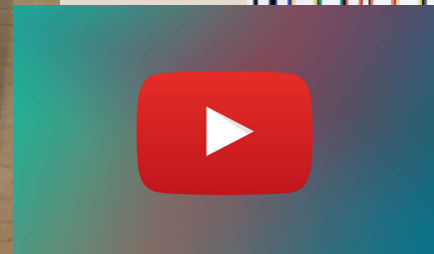
Records Explained

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.

Permanent Record

Record determined to have sufficient value to warrant its permanent preservation.

Temporary Record

Any records that have been determined to have insufficient value to warrant its preservation (i.e. records that have time-limited value).

Transitory Record

Records of (very) short-term interest (180 days or less) and have little or no documentary or evidential value.

Types of Records

- <u>Transitory Records:</u> Records with minimal to no retention value; temporary information use.

- <u>Vital Records:</u> Records of significant life events such as birth, marriage, divorce, death.

- <u>Permanent Records:</u> Records that have been identified as having enduring value; typically, I refer to records that are permanently kept on site as "permanent."

- <u>Short-Term Records:</u> Records that are required to be kept for a certain amount of time due to legal or regulatory reasons, but that are eventually destroyed.

- <u>Archival Records:</u> 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.

- <u>Historical Records:</u> Records that document events/happenings/history that cannot be found elsewhere.

*a note on Historical Records

<u>To Keep in Your Collection:</u> records that feel like they shouldn't be destroyed because they may be of interest when trying to display historic events in your building/at an event, or for research (and the archives will not take them).

<u>To Transfer to Archives Collection:</u> Records that represent a historical event that was significant to the planning, establishment, development of the agency and/or its functions.

<u>To Give to Museum/Historical Society/etc. for Accession:</u> Records that document happenings in your local area that may be of interest to researchers, historians, or future users. Remember: just because you don't think there is value, doesn't mean others won't either!

Examples: ghost hunters, model railroad builders, genealogists, cold case detectives needing info on a building's architecture to solve an arson case, info on demolished buildings, etc. etc. etc.

Note: Once a record is given to a museum/library/archive it is no longer discoverable via Public Records law.
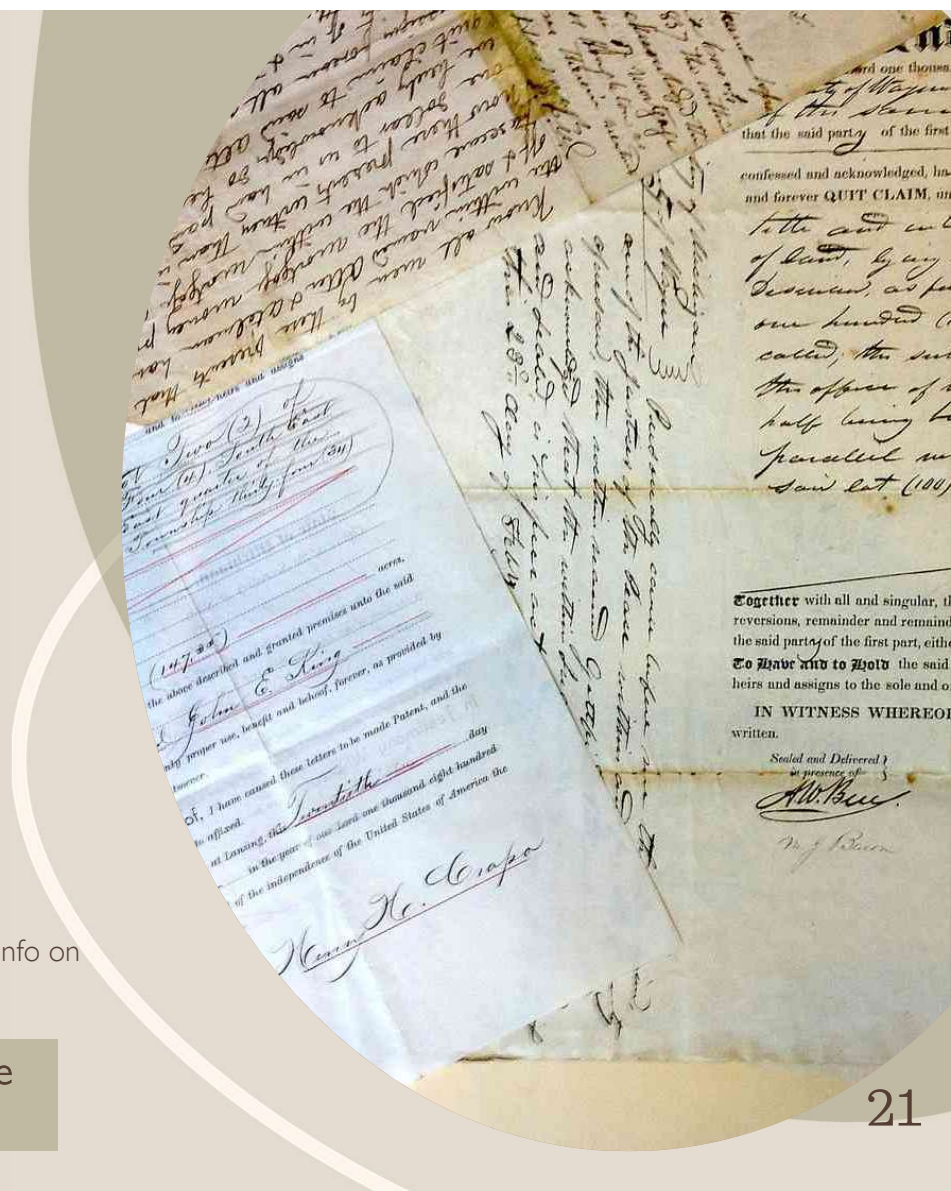
The Records Lifecycle

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

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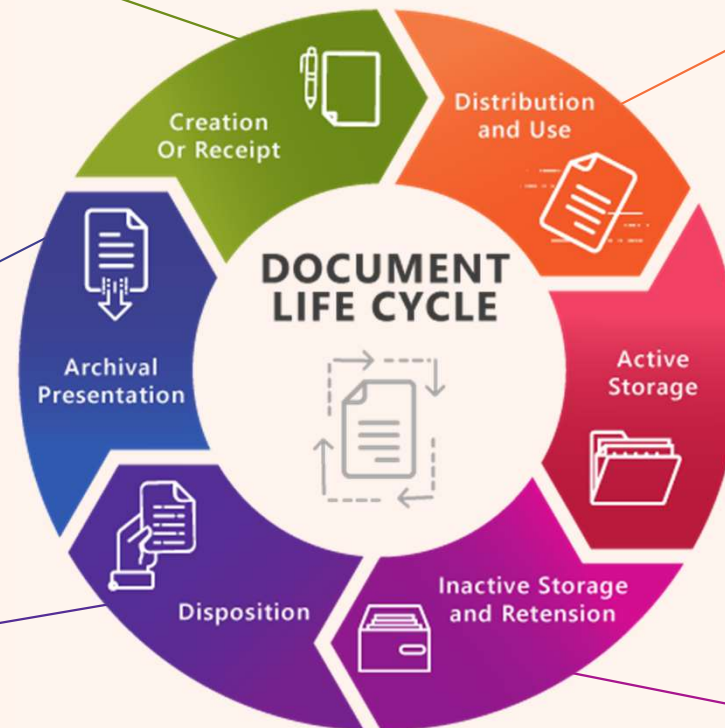
The record is **sent** to interested parties maybe for signature, review, information, etc.

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'

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

DOCUMENT LIFE CYCLE

- Creation Or Receipt
- Distribution and Use
- Active Storage
- Inactive Storage and Retension
- Disposition
- Archival Presentation

10 Minute Break

DON'T FORGET TO COME BACK!!

physical
records
management

Why is There So Much Paper?!?!!

- Inherited records that were printed before digitization was easy

- Paper/Physical Copies are required

- Only physical/paper exists

- Others may not trust digitization

- There is no organization to your organization's digital records, so people feel its easier to find paper records

- It's "the way we've always done it"

- Its easier to look at something when its printed

- **Its easier to take notes on paper!**

An Argument for Eliminating Paper

- Running out of physical space

- Records are safer if they are digitized

- Your organization is not able to properly maintain permanent records in accordance with archival standards

- Digitization allows all records from anywhere at any time

- Allows for more than one person to access a record at any given time

- Creates better transparency and a 'self-service' system for the public

- Increases efficiency (no creating files, labels, finding a spot for them, printing, going to the printer to pick them up, etc.)

- Decreases cost (in paper, in ink, in storage, in time)

Paper vs. Electronic
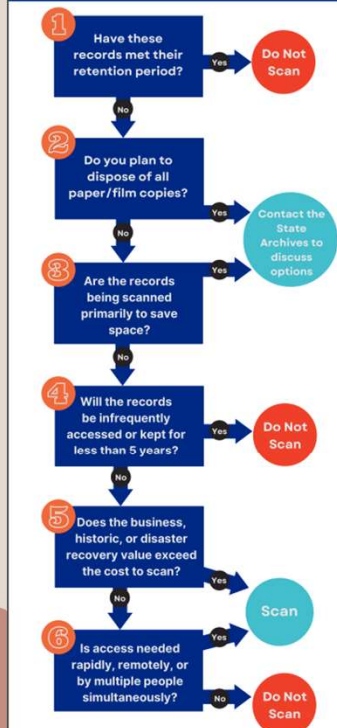
Things to consider:

- Print records management is much harder to enforce (people will keep what they want to keep for however long they want to keep it and will NEVER find time to purge!)

- Records should be kept in their native format when they are born digital.

- What can be scanned and tossed? (What is the actual VALUE of the print/physical nature....is it just....cool looking?)

But These Records are Permanent?!

SCAN AND TOSS!!!!

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 → Contact the State Archives to discuss options
   - No ↓
3. Are the records being scanned primarily to save space? → Yes → Contact the State Archives to discuss options
   - No ↓
4. Will the records be infrequently accessed or kept for less than 5 years? → Yes → Do Not Scan
   - No ↓
5. Does the business, historic, or disaster recovery value exceed the cost to scan? → Yes → Scan
   - No ↓
6. Is access needed rapidly, remotely, or by multiple people simultaneously? → Yes → Scan
   - No → Do Not Scan

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

QUICK GUIDE TO THE BEST RECORDS FORMAT

Agencies may use the following matrix to quickly assess a potential appropriate media choice for records.

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

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

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).

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Paper vs. Electronic

Things to consider:

- Print records management is much harder to enforce (people will keep what they want to keep for however long they want to keep it and will NEVER find time to purge!)

- Records should be kept in their native format when they are born digital.

- What can be scanned and tossed? (What is the actual VALUE of the print/physical nature....is it just....cool looking?)

- What kinds of physical/digital capacity do you have? Do you have metal shelves? Are your records being stored in accordance with archival standards?

- What is sustainable? (i.e. consider the future)

- At what point will digitization be required, and what steps can you take now to prepare your organization?

NARA's New Records Management Requirements

"Before anything else, preparation is the key to success,"

ALEXANDER GRAHAM BELL

Take Inventory

*This will come in handy later
during Retention and Disposition

Prioritize Review & Disposition

- Ask Administration for a "Records Health Day" (or even half a day!)

- Make it fun! Competition? Biggest Loser?

- Incorporate electronic records review 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 find, 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.

- Recognize different needs for paper vs. electronic

PURPLE SITICKER POLICY

Continual Problem: Inherited Print Records keep Getting Passed Down Over the Years

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
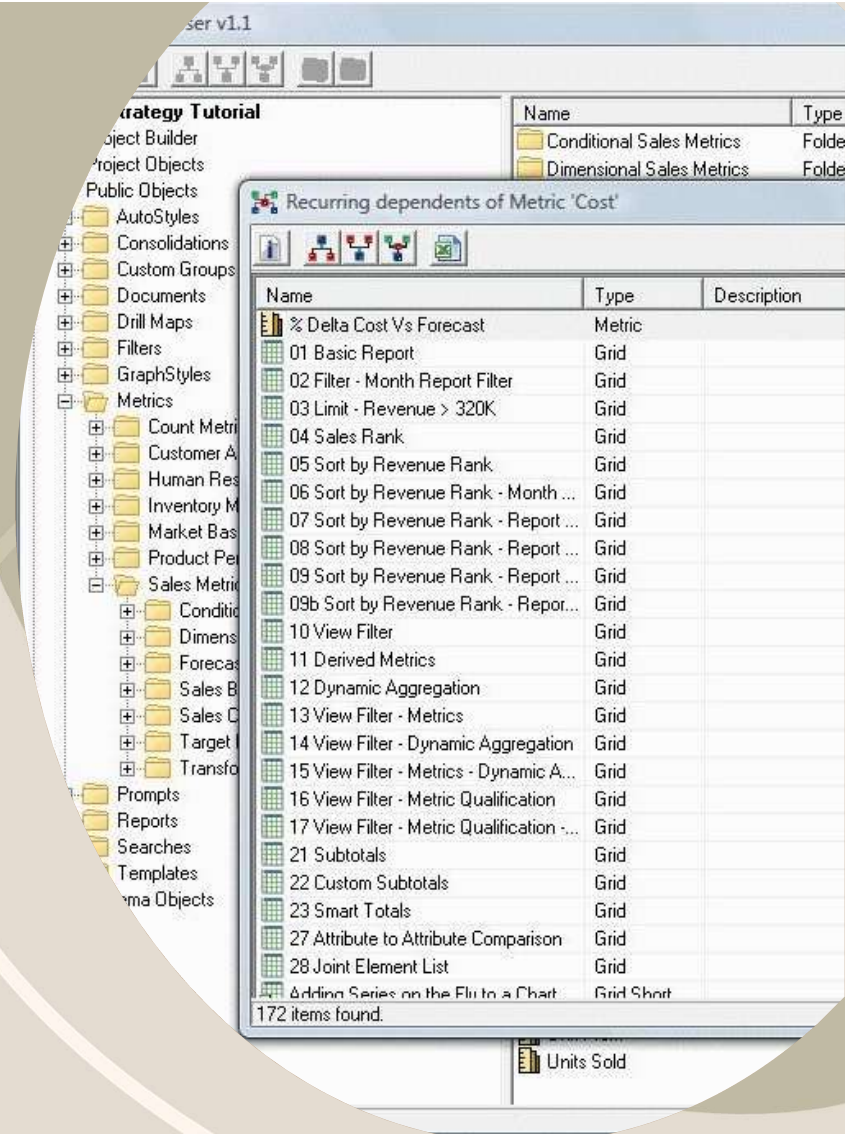- Examples from other Cities
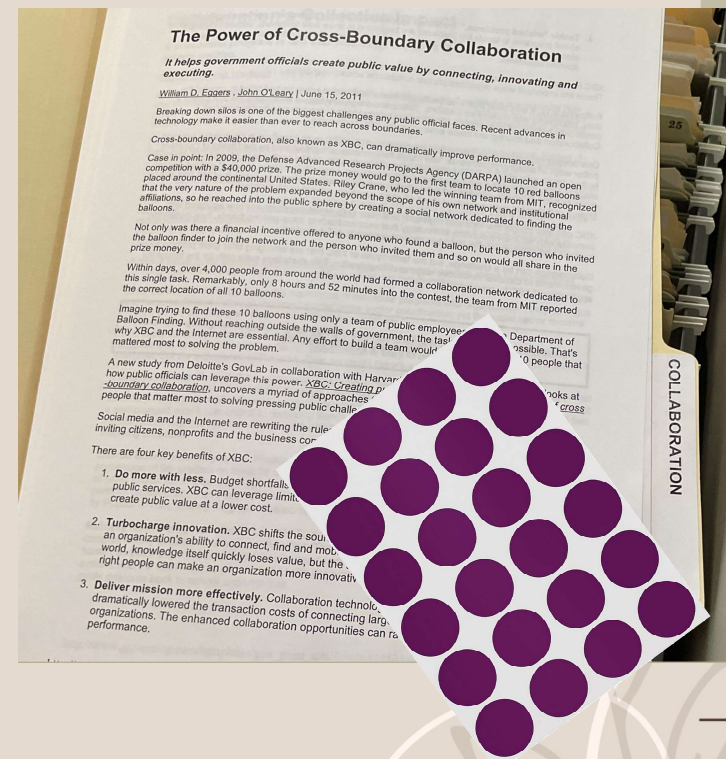
Sharing time...

What percentage of records in your organization are physical?

Have you begun digitizing physical records?

What's the best excuse you've ever heard for someone keeping the paper version of a record?

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electronic records management

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-15489220o1-records-management-program-implementation-methodology

Where Should You Store Your Digital Files

File Explorer (aka. Network Drives, local drives, shared drives)

- Not easy to search

- Hard to apply permissions

- If you (the records manager) cant see them then you cant ensure correct production via PRR

- If you move or rename a file, all shortcuts are broken.

Enterprise Content Management System

- Robust searching capabilities

- Typically, very dynamic permissions/access can be applied

- Many allow for retention to be applied

- Allow for easy offsite access

- Automation helps create consistency and improves efficiency

Do NOT store digital files solely on external hard drives, USB drives, or CD's – these are easily lost! But a good option for back-up storage!

Electronic Records Organization

<u>Folder Structure Best Practices</u>

- Pin to **Quick Access** (click and drag important folders under the quick access area of your file explorer or ECM – this wont move them but will make it easy for you to find what you need!)

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

_PUBLIC PORTAL
ADMINISTRATION
BOARDS AND COMMISSIONS
CITY ATTORNEY
CITY CLERK
CITY COUNCIL
COMMUNITY DEVELOPMENT
COMMUNITY SERVICES
COURT
FINANCE
HUMAN RESOURCES
INFORMATION TECHNOLOGY
PARKS PLANNING
POLICE
PUBLIC WORKS

_Public Portal
Administration
Boards and Commissions
City Attorney
City Clerk
City Council
Community Development
Community Services
Court
Finance
Human Resources
IT
Parks Planning
Police
Public Works
zIncoming

Electronic Records Organization

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- **No Special characters** $*&#% or "AAA" to pull a doc or folder to the top of the structure (unless used methodically)

- Do **not use names** for folder titles

- Use "***In Process**" in folders to clearly separate drafts or records that are still active

- Start with **broad categories** and create subfolders for 'like' items within them

- Remember: It's **Better to Click then scroll!!!** (but within reason)

Electronic Records Organization

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- Remember: It's **Better to Click then scroll**!!! (but within reason)

- Never let folders have **only one item** in them!

- Avoid "**Misc**" **folders** – there is a time and a place....and its RARE!!!!

- Be **consistent** with file types, have a structure that can be duplicated

Naming Conventions & Taxonomy

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

If you are using Windows Explorer:

- Names should be short and descriptive so you do not have to open the file to know what is in it.

- Using Acronyms is okay

- Shorten words whenever possible (but in a way that makes sense!)

If you are using an ECM:

- Less is more – information can and should be placed in the metadata to describe the info/records contained in the folders/files.

- Avoid acronyms, especially if the record will be accessible by the public

Naming Conventions & Taxonomy

- Keep names **short and relevant**

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

- **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 **taxonomy** (or a classification system) for 'like' files/folders

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

Metadata is GOLD!

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

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Good Metadata Allows Records to Be:

- Sorted in various ways

- Found easily

- Retained properly

- Automated (if your ECM can do that)

</div>

Metadata Best Practices:

- Should include information essential for disposition.

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

- Always allow for a "notes" section in the metadata, to ensure proper search results.

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

Security and Access

- Work with your IT Department

- Consider the safety of your electronic files

- Understand what your back-up procedure is

- Err on the side of greater access (= better self-service)

- Access vs. Permissions

  o Who can access what? (i.e. what can they see?)

  o What permissions do different users have? (i.e. what can they do with the record?)

- Data security / encryption / MFA, etc.

- Where is a record kept during each phase of its lifecycle

10 Minute Break

DON'T FORGET TO COME BACK!!

1.8   LEGAL A...

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IMPORTANT: *Criminal and ...*

[Attorney Records Retention Sche...](#)

DISPOSITION AUTHORITY NUMBER (DAN)	
GS52-07-03 Rev. 1	**Legal Advice, Analysis, and Opinions** Records relating to the development o... Includes, but is not limited to: • Preliminary drafts; • Comments on preliminary drafts; • Related correspondence/communications.
GS53-02-03 Rev. 2	**Legal Advice, Analysis, and Opinions – Officia...** Records relating to the provision of legal advice... of acting as legal counsel for the agency or any ... **advice/analysis/opinions are _not_ retained and ...** **which they relate.** Excludes records covered by *Legal Advice, Analysi...* *07-03).*
GS53-02-05 Rev. 1	**Legal Advice, Analysis, and Opinions – Secondary ...** Records relating to the provision of legal advice, op... of acting as legal counsel for the agency or any of i... **advice/analysis/opinions _are_ retained and disposi...** **they relate.** Excludes records covered by *Legal Advice, Analysis...* *07-03).*

records retention

Retention Schedules

Oregon

https://sos.oregon.gov/archives/Pages/records_retention_schedule.aspx

PRO: State _does_ provide actual schedules for different govt entities to follow; and its pretty thorough.

CON: Not in table format so not easy to read; not very clear.

Washington

https://www.sos.wa.gov/archives/RecordsManagement/Managing-City-Records.aspx

PRO: State _does_ provide actual schedules for different govt entities to follow.

CON: It is almost _too_ detailed, and many record types can have two different disposition authority numbers, making it confusing to assign proper retention.

Alaska

https://archives.alaska.gov/documents/rims/schedules/300-1.pdf

PRO: Agencies have a lot of _freedom_ around how long they retain their records.

CON: State does not provide an actual schedule to follow, they only provide a "Model General Schedule" which means each entity must create/update their own schedule which can be very time consuming!

Purpose of Retention Schedules

- Ensure legal and regulatory compliance

- Guarantee consistency and therefore provides greater transparency

- Explains:
  - Title and Description of record
  - When a record closes
  - 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

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

Cutoff/Closure

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.)

Retention

the record 'lives out its 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.

Disposition

the record is dispositioned

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.

Deciphering Retention

Ask Yourself:
- Who uses 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 elsewhere?

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 use of the department keeping the record

Ways to Help: 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 c[...]
- 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 sho[...] 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 folde[...] accurate).
- We may want to figure out a process for destroying/changing the retention for p[...] Demolished Date?)

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
C of O	Scan and Toss	Permanent	--	--	--
[...]onmental [...]oring (post [...]ce)	Destroy	6 yrs after no longer necessary	--	6 yrs after no longer necessary	--
[...]tion Files	Destroy	6 years	6 years	6 years	6 years
[...]es taken after [...]proval	Destroy	6 years	6 years	Permanent	Permanent or until recorded with County
[...]ials (receipts,	Destroy	3 months	3 months	3 months	3 months
[...]Monitoring	Destroy	6 yrs after conditions met	--	--	6 years after conditions met
[...]pondence	Destroy	2 years	2 years	2 years	2 years
		Pieces Kept 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.	GS2012-026 Rev. 0	Report Date	6 years	Offer to State
Critical (Sensitive) Area Designation	LU50-11-23 Rev 0	Designation Termination Date	6 years	Transfer for Perm Retention
Drafting and Editing	GS2016-004 Rev. 0	No Longer Needed	--	
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)*	GS30-02-05 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)	GS30-02-04 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)	LU2022-023 Rev. 0	Date Proposal Declined or Abandoned	--	DESTROY
Shoreline Management Master Plan and Amendments	LU50-16-03 Rev. 0	No longer needed for agency business	--	Transfer for Perm Retention

*Next to items with extenuating circumstances – check retention schedule

Sharing time...

Does anyone have any additional questions about retention?

Does anyone have any good retention/disposition stories? ☺

records
disposition

Benefits of (Constant) Disposition

Forces Others to Know What Records They Have!

Reduces Risk

Cost Savings

Feels Good!!

Increases Efficiency

Easier PRR Responses

Keeps You in Compliance

Types and Methods of Disposition

Check Local/State Laws!!!

Destruction Logs 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 they are being 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** save all logs permanently.

Oregon

166-030-0027(7): Local agencies shall submit a record of all public records (paper only) destroyed on the authority of the approved records retention schedules. This record shall list schedule number, record series title, cubic feet destroyed, and date destroyed. For electronic records, only agencies using an electronic records management system, need to report the records destroyed. The destruction report generated by the system shall suffice and should include retention schedule number, record series title, and date destroyed. Both the destruction report for paper records and for electronic records (when applicable) shall be forwarded to the State Archivist on an annual basis.

Washington

While agencies are not required by statute to maintain a destruction log, documenting destruction promotes both transparency and accountability.

In the event of a legal or audit challenge, this documentation provides crucial evidence of "defensible disposition," demonstrating that the agency was aware of and compliant with current records retention requirements at the time that the records were destroyed.

Washington State Archives strongly recommends that agencies document the destruction of all public records except for those whose minimum retention is "Retain until no longer needed for agency business, then destroy."

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:

For Recorder's Use Only (must be reviewed by Records Specialist before destruction) :

Approved By: _____

Date Approved: _____

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The When and How of Disposition

Physical Records

First, do one big purge – go through all physical records and then log and destroy ANY that have met their retention, and log and archive ANY that can be archived.

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

This is where your inventory comes in handy!

Electronic Records

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

Place all transitory records (drafts, etc.) into one folder, then destroy (no log needed).

Place all records with short-term retention into a folder with their appropriate DAN number, log, and destroy (be sure to check with your IT dept regarding FINAL disposition).

Note: digital archives in WA will not take digital records until they have met their onsite retention period.

Essential Needs When Conducting a Purge

- Have boxes readily available (check with your archives re: boxing requirements)

- Assemble boxes by date retention was met and department *(as per WA archives preferences)*

- Number/Letter boxes for tracking, and

- Keep an electronic log/index of what is in all the boxes you keep – the more detailed the better (for the purpose of records requests!)

- Use colored labels to indicate disposition action (Temporary Storage, Scan, Destroy, Offer Elsewhere, Send to Archives)

- Destroy records ASAP; while they are still on site, they are still discoverable!

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

Time for Fun!

PRACTICE IDENTIFYING RETENTION & DISPOSITION

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!
- Contact your Archives
- Connect with your fellow Clerks
- Get involved: ARMA, NARA, WMCA/OAMR/AAMC

Questions?

thank you!

MEGAN GREGOR

847-858-6210

megan@megangregorconsulting.com

www.megangregorconsulting.com

megan-gregor

Access to Slides
and Additional Helpful Info