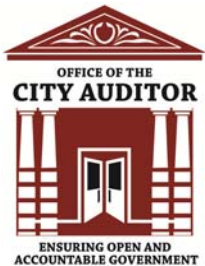


# Records Management

## Part I – Awareness of Rules

Diana Banning – City Archivist

Tim Hunt – Records Analyst



Archives and Records Management

# Why managing records is important

- Compliance
- Information needed to accomplish job
- Foundation of knowledge



# Rules related to public recordkeeping Requirements

Oregon Revised Statutes Chapter 192 — Records; Public Reports and Meetings

<http://www.leg.state.or.us/ors/192.html>

Oregon Administrative Rules Chapter 166 Secretary of State, Archives Division

[http://arcweb.sos.state.or.us/pages/rules/oars\\_100/oar\\_166/166\\_tofc.html](http://arcweb.sos.state.or.us/pages/rules/oars_100/oar_166/166_tofc.html)

City of Portland Charter: Chapter 2 Government, Article 5

The Auditor, Section 2-504 Duties in General

<http://www.portlandonline.com/auditor/index.cfm?c=28241&a=13531>

Portland City Code Title 3, Chapter 3.76 Public Records

<http://www.portlandonline.com/auditor/index.cfm?c=28448>

BHR Administrative Rule 1.03 Public Records Information, Access and Retention

<http://www.portlandonline.com/auditor/index.cfm?c=27933&a=12001>

BHR Administrative Rule 4.09 Use of City Resources

<http://www.portlandonline.com/auditor/index.cfm?c=27936&a=12210>

Portland Policy Documents, Administrative Rules and Policies, Administration, Archives and Records Management <http://www.portlandonline.com/auditor/index.cfm?c=35190>



# Definitions & Concepts

## Public Record ORS 192.005(5)(a)

Means any information that:

(A) Is prepared, owned, used or retained by a state agency or political subdivision;

(B) Relates to an activity, transaction or function of a state agency or political subdivision;

**and**

(C) Is necessary to satisfy the fiscal, legal, administrative or historical policies, requirements or needs of the state agency or political subdivision.



# Definitions & Concepts

- **Record Values** – A record's importance or significance to an organization, which helps to determine the **retention period**.
  - 1) operational or administrative,
  - 2) legal,
  - 3) financial,
  - 4) historical
- **Retention Period** – The length of time a record must be kept to meet the City's administrative, fiscal, legal, or historical requirements.
- **Records Series** – The individual categories in the records retention schedule. Each category represents a collection of files, documents or electronically stored information kept together (either physically or intellectually) because it relates to a particular subject or function, results from the same activity, documents a specific type of transaction or has some other relationship arising out of its creation, receipt, maintenance, or use.



# Definitions & Concepts

- **Office of Record** – the bureau or office responsible for maintaining the City’s **record copy** for the entire **retention period**.
- **Record Copy** – the single copy of a document, often the original, which is designated as the official copy to be preserved for the entire **retention period**.
- **Vital Records** – records which are essential to the continued functioning or reconstitution of an agency during and after an emergency; and also those records which are essential to protect the rights and interests of that agency and of the individuals directly affected by its actions.
- **Convenience or Working Copy:** a non-record copy document possessing short-term or transitory value, utilized as reference-only information for a business process or function. Convenience and working copies are documents that have no administrative, operational, financial, legal or historic value in relation to public records management requirements.



# Records Retention Schedules

## General Schedule

- Covers records common to all bureaus

<http://www.portlandonline.com/auditor/index.cfm?c=27185>

## Bureau-specific schedules

- Covers records related to bureau-specific functions

<http://www.portlandonline.com/auditor/index.cfm?c=51813>



# Managing electronic records and email

- Identifying the record copy
- Cleaning up network drives and email
- Applying structure to unstructured records and email
- Disposition of electronic records
- Long-term preservation of electronic records
- Records in business applications
- Determining individual, workgroup and management recordkeeping responsibilities





# Managing electronic records and email

## Identifying what constitutes a record

**Each bureau shall establish procedures to identify which electronic records and e-mails constitute evidence of the bureau's organization, functions, policies, decisions, procedures and essential transactions.**

- Not all electronically stored information needs to be retained
- Identify what constitutes evidence of decisions, policies, activities
- Identify what is produced in the normal course of business



# Managing electronic records and email

## Identifying the Record Copy

**Each bureau shall establish procedures to identify the record copy of its electronic records and e-mails, and assign recordkeeping responsibilities to specific positions.**

- Very easy to copy and distribute electronic copies
- Control the proliferation of redundant copies
- Assign responsibility



# Managing electronic records and email

## Cleaning up network drives and email

**Each bureau shall establish procedures to regularly review the information kept on its individual or network drives.**

- Network drives should not be unregulated dumping grounds
- Individual vs. shared drives
- Establish rules around when to use shared office drives:
  - Shared information must meet a higher standard of structure
  - Naming conventions
  - Routine cleanup



# Managing electronic records and email

## Email

**Each bureau shall establish procedures to ensure that electronic correspondence (e-mail) is properly managed and retained.**

- Retain based on content and context
- Everyone does not have to keep a copy
- Think of Outlook as a delivery system, not a record repository
- Email “archives”, PST files



# Managing electronic records and email

## Disposition of electronic records

**Each bureau shall establish procedures to ensure that electronic records and e-mails are maintained in a storage environment that complies with authenticity, access, retrieval, retention and destruction requirements.**

- Must be able to produce authentic copy for entire retention period
- Must be able to destroy record at end of retention period
- Must protect records from accidental / intentional deletion



# Managing electronic records and email

## Long-term preservation of electronic records

- Software and hardware obsolescence
- Open source long-term format standards
- Hard copy vs. electronic permanent records



# Managing electronic records and email

## Records in business applications

- Identify what in the system constitutes a record
- Same rules apply
- Identifying documents vs. data



# Progressing from current to preferred state of electronic records management

- Determining recordkeeping responsibilities
  - Workgroup
  - Management
  - Individual
- Work processes
- Technology tools

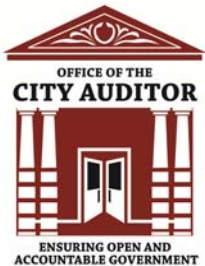




# Thanks for your attention

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Archives and Records Management