

# ADM-8.01 - Archives & Records Management Program Policies & Procedures

## ARCHIVES AND RECORDS MANAGEMENT PROGRAM POLICIES & PROCEDURES

*Administrative Rules Adopted by Auditor's Office Pursuant to Rulemaking Authority*

ARB-ADM-8.01

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### Purpose and Responsibility

The Archives and Records Management program (A/RM) is responsible for semi-current and inactive records storage, confidential destruction, preservation of historical records, and provides reference and retrieval services for the general public and city employees at the Stanley Parr Archives and Records Center (SPARC). A/RM develops and distributes retention and disposition schedules for all City agencies and negotiates retention periods and policy disclosure rules in cooperation with the Oregon State Archives. This program assists elected officials and bureaus in managing their public records legally and efficiently. A/RM is committed to documenting and preserving evidence of City actions and City government history, and to providing citizen access to public records. In addition, Archives/Records provide expertise concerning City records issues.

The City of Portland Charter (Section 2-504), the City Code (Chapter 3.76) and ORS 162.305 and 192 authorizes the Office of the City Auditor's Archives and Records Management program.

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### POLICIES:

1. [Policies and Procedures for Preparing City Record Retention Schedules](#)
  2. [Storing Records at the Archives and Records Center \(SPARC\)](#)
  3. [Access to Records Stored at the Archives and Records Center \(SPARC\)](#)
  4. [Preservation of Archival \(Historical\) Material](#)
  5. [Destruction of Records](#)
  6. [Policies and Procedures for bureau directors, Commission, Boards and Public Corporations.](#)
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### 1. Policies and Procedures for Preparing City Record Retention Schedules

#### Purpose

To provide a process for the regular updating of the City's record retention schedule to ensure compliance with city, state and federal recordkeeping requirements. The [City Record Retention Schedule](#) is incorporated into these policies by reference.

#### Authority

City Code Chapter 3.76.040 authorizes the City's Records Management Officer to:

Establish procedures for the preparation of records descriptions and develop records retention schedules which meet the requirements of Oregon Administrative Rules, provide for the safe retention of city records of permanent value, and for the prompt and orderly disposition of city records for which the state archivist has granted authority to destroy because they no longer possess administrative, legal, or research value to warrant their retention; [(3.76.040(H)]

Prepare records retention schedules for review by the City Auditor and City Attorney and for approval by the state archivist. [(3.76.040(I)]

and to:

Establish procedures for City agencies regarding the identification, segregation, and protection of records vital to continuing operations to comply with the City's emergency preparedness policies [(3.76.040(F)]

### **1. A. Frequency of revision**

Bureau and General retention schedules will be reviewed and updated at least every five (5) years.

If functions within a Bureau change significantly or if the makeup or nature of a Bureau's records change significantly, the Bureau's retention schedule (or the affected parts of it) will be revised within one year to reflect those changes.

If City functions or activities move from one Bureau to another, the affected Bureau's retention schedules will be updated within one year to reflect those changes.

If a new City Bureau is established, a retention schedule will be prepared for it within one year.

It is the responsibility of the Bureau Director to notify the Records Management Officer of significant changes in Bureau functions or records.

### **1. B. Bureau record review process**

The City Auditor or designee will notify the Bureau Director in writing when it is time to update the Bureau's retention schedule.

The Bureau Director will designate a mid-management employee to act as a liaison to the Records Management Officer and will alert Bureau employees to cooperate in the review/update process. At least one person from each division within the Bureau will be involved in the process to ensure that all records that are created or maintained by the Bureau are addressed in the retention schedule.

The Bureau liaison and designated Bureau employees, with guidance from the Records Management Officer, will conduct a review of Bureau records to determine:

- that all records created or maintained in the course of undertaking Bureau activities and functions are part of a record series<sup>1</sup> in the retention schedule (if not in the Bureau schedule itself, then in the City general schedule)
- that record series descriptions clearly describe the nature, function and operational purpose of the records in them
- that record series are logically grouped by the function or activity that is responsible for their creation
- that there is no duplication of records among the records series (it is acceptable to have more than one copy of a record in a Bureau, but the retention schedule should be structured so that a particular kind of record is listed only once in the retention schedule)
- which version of a record is the official record copy<sup>2</sup> and where within the Bureau it is maintained
- the length of time each record series should be retained for operational need

### **1. C. Vital records**

As part of the retention schedule review process the Bureau's vital records<sup>3</sup> and record systems must be identified. The Bureau will consult with the staff of the Archives & Records Management Program to implement appropriate methods of safeguarding these records and systems.

### **1. D. Establishing retention periods**

As part of the review process, the Bureau indicates the length of time each record series should be retained for the Bureau's operational need. Other necessary factors to consider for a record's retention period are legal requirements and historical value.

The Records Analyst will research state and federal recordkeeping requirements for the record categories in each proposed retention schedule. If the legally mandated retention period is longer than that of the Bureau's operational need, the retention period will be lengthened to comply with those requirements. If a category of records is not addressed in any state or federal recordkeeping rules, a special schedule with a proposed retention period will be created and forwarded to the State Archivist for approval. If a category of record is covered by state administrative rules and the proposed retention period complies with those rules that schedule does not need to be approved by the State Archivist. (OAR 166-030-0027)

Some records, regardless of their retention period, may have historical value that merits their inclusion in the City Archives' historical collection. The Records Analyst will work with the City Archivist to determine whether certain record series as a whole should be retained permanently for their historical value, and whether the records in certain series should be earmarked for archival review at the end of their retention period. If a record series has a finite retention period but is made up of records that frequently have historical value, language will be included in the schedule to indicate that the Bureau should allow an archival review prior to destroying the records.

### **1. E. Authorization procedure**

Once the Bureau representatives and the Records Analyst have agreed on the record series descriptions, retention periods, and identification of vital records, the Records Analyst will create a final draft retention schedule (including any special schedules authorized by the State Archivist) to be routed through an authorization process. This process will be composed of the

following steps:

- Bureau Director â€™ review for completeness, accuracy of descriptions, identification of vital records and alignment with operational needs. Sign and date authorization.
- Director of Audit Services â€™ review retention periods for compliance with City auditing requirements. Sign and date authorization.
- City Attorney â€™ review schedule for compliance with legal requirements and considerations. Sign and date authorization.

When the authorization process is completed, the Records Analyst will publish the retention schedule on the Cityâ€™s website and will notify the Bureau that it has taken effect.

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## 2. Storing Records at the Archives and Records Center (SPARC)

### Purpose

To provide a process and policy for bureaus storing records in a secure and cost-effective manner

### Authority

City Code Chapter 3.76.030 Archival and Records Management Program Creation and Administration

The City Auditor shall maintain an archival and records management program for the City, and shall be the official custodian of the Cityâ€™s archival resources.

City Charter 2-504 (a) 3 Auditor - Duties in General

Maintenance of all official records, including records of the various bureaus, records regarding the City Charter and City Code, and all other records regarding City business

Archives and Records Management operates the Stanley Parr Archives and Records Center in order to provide the city with a secure and cost-effective alternative to storing records in their offices. SPARC provides many services to bureaus: storage, retrieval of records, refiling, destructions and general records management assistance.

In order to ensure the security and adherence to City records management policies, bureaus are required to store their records in their offices or with SPARC. The Records Center establishes procedures for submitting records for storage, requesting and refiling of records, destruction and security measures. Please refer to **Exhibit 1 â€™ Records Manual** for procedures for sending boxes to SPARC.

[Exhibit 1 â€™ Records Manual](#)

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### 3. Access to Records Stored at the Archives and Records Center (SPARC)

#### Purpose

To provide a policy and process for accessing records by city bureau, agency or the public.

#### Authority

City Code Chapter 3.76.040 Authority and Duties of the Records Management Officer:

Analyze, develop and provide written standards and procedures for current recordkeeping.

City Code Chapter 3.76.090 Public Access to Records:

All records created or received by the City, except for those excluded by law, are available for inspection and copying by the public. The City may require that records use occur during certain business hours and at specified locations, and may charge fees to recover the cost of retrieval and copying.

#### 3. A. Bureau Access

Unless otherwise directed by a bureau director or division manager, all employees of a bureau are permitted to check-out their bureau's records stored with the Records Center. However, records identified as exempt from disclosure are only available to those who have direct responsibility for the records or have been approved for access. Bureaus may choose to designate representatives who request records for a division. In instances where an employee requests records that have been identified as requiring a specific designee make the request, the employee will be referred to the appropriate person.

Bureau personnel requesting records generated or maintained by another bureau may not check out original records without written approval from an authorized representative of the originating bureau. However, if the record is not exempt from disclosure (ORS 192.420), employees may request a copy of any record or make arrangements to view a document at SPARC.

SPARC is open 8-430, Monday through Friday. Records requested before 8 a.m. are retrieved and sent out in that day's inter-office mail run. Requests made after 8 a.m. are sent out the next day. Rush requests for records are accommodated, but may not go out in inter-office mail. Requestors may pick the records up at SPARC or arrange for a courier to pick them up. Anyone picking up records will be asked to show their city identification and in the case of couriers, the requestor will notify SPARC staff which company will pick up the records. Please refer to [Exhibit 1 "Records Manual"](#) for instructions for requesting records.

#### 3. B. Public Access

Members of the public have the "right to inspect any public record of a public body in this state, except as otherwise expressly provided by ORS 192.501 to 192.505." (ORS 192.420). In some unique instances, bureaus may choose to have all public records requests for their records channeled through their office. However, unless otherwise arranged by bureau directors or exempt from disclosure as set by public records laws, bureau records stored with SPARC are available to the public to inspect and copy.

People wishing to inspect records will make arrangements with SPARC staff, complete a

registration form, and will have supervised access to the records on site and may not remove records from the premises. All records within the Historical (Archives) Collection are available for public review.

The following document is incorporated into these policies by reference: [Using the City of Portland's Archives \(Historical Collection\)](#)

### 3. C. Fees

Bureaus are not charged for copies made on-site, but the time devoted to fulfilling enterprise fund bureau requests are accounted for in the General Fund Overhead. If SPARC is unable to produce copies on-site, arrangements will be made with bureau agencies or outside vendors to produce copies and the bureau will pay the agency or vendor directly.

Members of the public are not charged for access to the records, but may be charged a copy fee as set by the Auditor's office. Due to the fragile nature of many historical records, some requests for paper or scanned copies may be denied. In these situations, alternative methods for obtaining a copy may be available.

While SPARC does not charge for access, the staff is unable to commit to more than 15 minutes of research for either members of the public or for bureau personnel. Researchers with questions involving more than 15 minutes or those of a nature requiring interpretation are invited to make arrangements with SPARC staff for conducting research on-site.

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## 4. Preservation of Archival (Historical) Material

### Purpose

To provide a process for collecting and preserving city historical material.

### Authority

**City Code Chapter 3.76.040 Authority and Duties of the Records Management Officer.**

6. Acquire and receive public records of permanent value from departments, agencies, bureaus, offices, commissions, boards, and public corporations of the City of Portland when those records are no longer necessary for conducting current business;

The Archives and Records Management program maintains more than 150 years of Portland's history and consists of records created by elected officials, defunct agencies and bureau records having historical significance. The collection resides on a variety of media, including paper records, microfilm, maps and photos. Many of the historical records and images have also been converted to an electronic format.

As the "official custodian of the City's archival resources." (3.76.030), Archives and Records Management accessions records through several methods: direct transfer via the Records Retention Schedules, transfer of jurisdiction from the bureau to SPARC, and through donations. Historical records obtained through the disposition process will automatically be accessioned into the Archives; all other records obtained from city agencies will be accompanied by a *Transfer of Jurisdiction* agreement (filled out by SPARC), which formally transfers the custody and jurisdiction of the records to the Archives, along with the responsibility for ongoing access and preservation. A *Deed of Gift* is required for records accessioned from non-city sources.

#### **4. A. Processing Transferred Records**

Once the records are transferred, SPARC staff evaluates the records and prepares a processing plan that determines the level of preservation and description needed to both protect the records and make them accessible. As part of the permanent, historical collection, records transferred to the Archives may not leave the facility and are monitored to ensure security and authenticity.

#### **4. B. Standards for Preservation**

As the agency charged with preserving the city's archives and for ensuring that agencies comply with state law and administrative rules, Archives and Records Management is responsible for setting standards affecting the continued access to records. These standards include, but are not limited to, issues pertaining to microfilm, digital records, storage of records, and destruction methods. Archives and Records Management will work in consultation and conjunction with other agencies in order to set standards in keeping with best practices.

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### **5. Destruction of Records**

#### **Purpose**

To provide a policy and process for the regular destruction of public records to ensure compliance with city, state and federal recordkeeping requirements.

#### **Authority**

City Code Chapter 3.76.070 Destruction of Records authorizes the records management office to dispose of city records:

Upon receiving approval from the state archivist, the records management officer will notify concerned agencies of the records retention and disposition schedules ready for implementation. At least thirty days before the disposal date, the records management officer will send the agency a destruction notice for records management control. Records will not be destroyed until final authorization is received. Records destruction will be carried out with appropriate safeguards for confidentiality.

#### **5. A. Destruction Process**

The Records Retention Schedules are the legal authority to dispose of public records. No record may be destroyed without first meeting the retention period. If records reach the end of their scheduled retention period while stored in a bureau, such records can be destroyed in the bureau or sent to SPARC (with a RAN) if there is no legal or financial reason for the extended retention. Records stored with SPARC are reviewed at least once a calendar year to determine which ones are ready for disposition. A/RM sends a list of these records and a memo to each bureau director. The bureau is responsible for ensuring that the list is disseminated to the appropriate people within the agency. Once reviewed and approved, the memo is signed by the bureau director and it and the list are returned to SPARC. The City Archivist, for historic value, reviews certain records that have been approved for destruction. If deemed historic, these records will be transferred to the City's Archival Collection.

All records destroyed by the city are destroyed in a manner consistent with their level of confidentiality. Some records may be recycled, while others may require a greater level of confidential destruction. Questions regarding destruction methods should be directed to Archives and Records Management.

## 5. B. Retaining Records Beyond their Retention

In keeping with records management standards, city records should not be maintained beyond their established retention. In addition to possible liability issues, records kept beyond their determined life costs the city money for storage, equipment and personnel. There are 3 instances where continued retention is acceptable: 1) the records are involved in litigation, 2) there is an impending audit, or 3) a change in the laws requires the records to be maintained longer. Archives and Records Management should be notified whenever any issues pertaining to retention are known.

SPARC will not store records beyond their retention period unless one of the above conditions is met. Records will be returned to bureaus choosing to maintain them after their disposition has been met.

## 6. Policies and procedures for bureau directors, Commissions, Boards, and Public Corporations.

### Purpose

To provide a process for preservation of public records.

### Authority

City Code 3.76.050 details the Duties of the Managers of City Departments, Agencies, Bureaus, Offices, Commissions, Boards, and Public Corporations:

Make and preserve public records containing adequate documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency which are designed to furnish the information necessary to protect the legal and financial rights of the City and of persons directly affected by the agency's activities. Ensure that at least two copies of each report, document, study, publication or consultant report prepared at City expense be deposited with the records management officer. Establish safeguards against unauthorized or unlawful removal, loss or destruction of City records.

The Manager shall ensure that each city employee receives training and guidance regarding the employee's responsibilities and duties regarding the creation and disposal of all city records. A/RM staff will provide employee training, advice and guidance on all records issues. The Manager will work with A/RM staff and BTS in establishing safeguards for the preservation of all city records.

### [Exhibit 1 "Records Manual"](#)

### NOTES:

<sup>1</sup> A record series "is a group of files or documents kept together (either physically or intellectually) because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use." (36 CFR 1220.14)

<sup>2</sup> The record copy is "the single copy of a document, often the original, that is designated as



the official copy for reference and preservation." (Glossary of the Society of American Archivists)

<sup>3</sup> Vital records are "â€¦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." OAR 166-020-0007(4)

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## **HISTORY**

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