

Records Officer Bootcamp

Agenda:

1. Introduction to topic – learning objectives
2. What is a Records Officer? What is Public Records Management?
3. Life Cycle of a Record
4. Records Management Policy
 - a. History
 - b. Sample
5. Records Retention Schedule Updates Process
 - a. General Schedules (OAR 166)
 - b. Special Schedules
6. Records Inventory
7. Managing Electronic Records
8. Resources
9. Final activity: Build your action plan to be in compliance

Instructors:

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What do you need to know about public records?

Element	Definition	Citation
Public Record (Retention)	any information that: (A) Is prepared, owned, used or retained by a state agency or political subdivision; and (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.	ORS 192.005(5)
Public Record (Access)	“Every person has a right to inspect any public	ORS

	record of a public body in this state, except as otherwise expressly provided by ORS 192.338, 192.345 to 192.355.”	192.314
Public Meetings Law	“The Oregon form of government requires an informed public aware of the deliberations and decisions of governing bodies and the information upon which such decisions were made.”	ORS 192.620
Official copy of a record	That version of a public record that has been designated by the agency as the record of a transaction or event, The official copy is the one copy subject to records retention schedules.	ORS 192.005(5) (D)
Records Retention Schedule	A document approved by the State Archivist listing the length of time a record needs to be kept for administrative, legal, fiscal or historic purposes.	
Retention Period	The length of time a public record must be retained as authorized by an applicable records retention schedule produced and approved by the State Archivist	
	Full Glossary is available at http://sos.oregon.gov/archives/Pages/records_glossary.aspx	
	OAR 166 lists Records Management regulations and General Retention Schedules	

Records Management Program

Each Oregon public agency is required to designate a records officer to coordinate its records management program and to serve as liaison with the State Archivist (ORS 192.105(2)(a)).

Required elements of a records management program are:

- Agency-wide current Records Management Policy
- Designated records officer with decision making authority
- Current & implemented records retention schedule
- Records Management Training Program regularly delivered to all agency employees
- Completed Records Inventory
- Compliance with OAR 166 Division 17

Records Retention Schedules

Why we use them:

Legal requirement for disposing of public records
Essential element of a records management program
Identify official copy of agency information
Identify essential records
Helps identify records ready for destruction
Makes remaining records more accessible

What are the different types of records retention schedules that my agency may use?

General Schedule	Written so that many individuals may use them, regardless of the agency or department that they work for. (State Agencies use OAR 166-300)
Agency Special Schedule	Written for records that are unique to a particular government agency or department and can only be used by that agency or department

Records retention schedules' retention periods are based on a combination of the following values that records can hold:

1. Administrative (Usefulness of records in conducting an agency's business)
2. Fiscal/Audit (Usefulness of records in documenting an agency's fiscal transactions and obligations)
3. Legal (Usefulness of records in documenting legally enforceable rights or obligations, both those of the state and those of persons directly affected by an agency's actions)
4. Historical/Research (Records of permanent value that document company policy, operations, organization, development or social contributions; illustrates major economic, political, religious, legal or social trends; portrays significant individual achievements; or sheds light on significant events of our times)

Basic Records Management

- A **filing system** should be employed for all public records, regardless of the form they are kept in (electronic, paper, etc.) Any filing system should be simple, logical and easy to implement; otherwise, it will not be used effectively.
- Agencies must identify their **essential records** regardless of format (OAR 166-020-0045). There are two types of records that the agency should consider essential:

1. Records needed for the continued functioning or reconstruction of an agency during and after an emergency, or
2. Records essential to protect the rights & interests of the agency, or of individuals affected by its actions

Technology (Electronic Records Management)

Four requirements must be met to ensure that your agency's electronic records are in compliance:

1. Issue written policies & procedures that address use, access, and retention
2. Train employees on these policies & procedures
3. Ensure that agency employees are using the retention schedules, and that the management of agency public records is systematic & routine
4. Continuously & systematically monitor for compliance with policies & procedures

Records Storage

What are the requirements for storage areas that hold public records?

1. Fire resistant structures
2. Temperature & humidity are maintained
3. Well lit
4. Well ventilated, and protected from insects & mold
5. Away from steam, water, & sewer pipes
6. Away from excessive windows & doors
7. Clear aisle space
8. Shelving above initial flood stage (OAR 166-020)

How to send boxes of agency records to the State Records Center:

1. Fax, mail, or submit an online request to the State Records Center
2. Prepare records in boxes approved for use at the State Records Center
3. Label boxes according to the State Records Center template (attached)
4. Arrange for boxes to be transported to the State Records Center

Sample Label

Agency Name		Control #
DOJ - Deputy Atty. General		2004-0023
Box Contents: Constituent Inquiries, 2004		
Notes: John Q's Requests		
Box #	Schedule # & Retention	Destruction Date
1 OF 3	2006-0011/013 2 years	01/01/2007

Action Plan for Records Management

Rate Current Readiness 1=does not exist 2=needs update 3=in compliance	Component	Actions Needed	Goal Date for Compliance
	Agency-wide Records Management Policy		
	Designated Records Officer with decision making authority		
	Current & implemented records retention schedule		
	Filing system		
	Essential records program		
	Safe storage for agency records		