Managing Records for Park Districts

ND Recreation and Parks Association (NDRPA) Conference
Valley City
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North Dakota Information Technology (NDIT)
Records Management

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Presentation Overview

- Importance of Managing Records

- Definitions
  - Records
  - Retention Schedules
  - Records Disposals

- Records Retention Schedules
  - Larger cities might have own
  - Recommend adopting NDLC (City Parks)-approved by state
  - May need to review records in office (inventory) to identify gaps

- Annual Records Disposal Process
  - Can purge any time, but NDIT has a reporting process that takes place annually
  - Disposal Methods (considerations for shredding and transferring records to state archives

Consistent Records Management Programs

54-46-12. County, city, and park district records - Uniform program established by administrator (*State Records Administrator – in NDIT*).

The administrator shall establish a uniform program of standards, procedures, and techniques for the effective management of county, city, and park district records. All county, city, and park district offices, departments, and agencies may establish, utilize, and maintain the uniform program prescribed by the administrator.

Why is Managing Records Important?

- Provides proof existence, activities, processes

- Documents compliance (meet fiscal, legal, financial, historical, confidential, administrative/internal requirements)

- Provides litigation and audit support

- Decision-making (Make informed decisions with information readily available at fingertips)

- Identify and protect essential records (those needed during of after an emergency/disaster)

- Preserves corporate memory and provides a historical reference to the past (archival requirements)
  - When individuals leave – knowledge management
  - Archival value – preserved for historical reasons

Primary Goal of Records Management:
To provide **accurate** information, to the **right individuals**, in the appropriate **format**, at the **right time**, in the **most efficient manner**, followed by **proper disposal** or archival transfer.

Additional Benefits

- Only keep what is necessary
- Better control of your information, regardless of media
  - Only managing active information – quicker retrievals
- Approved retention schedule takes the 'guess work' out of how long to keep records
  - confidence to dispose of things when no longer needed and retain things with legal and/or historical significance
- Consistency across all Park District offices

What is a Record?

NDCC 54-46-02 defines: "A document, book, paper, photograph, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business."

- Basically, anything that **documents what you do**, *regardless of physical form or characteristics* (electronic, paper, etc.) if using government funds, it can be a record.

Created or received pursuant to law	Evidence of business transactions	Support decision making
Documents activities	Captures organization's history	Documents financial support for programs or services

Identifying a Record?

Flow diagram available to help analyze whether a document is a record (NDIT's Records Management website):

- Your office created it.
- Your office received it and acted on it (i.e. corrective action for an audit).
- Your office is designated as the custodian/record-holder (accounting files).
- Your office needs it to document decisions (Board meeting minutes).

EXAMPLES: Meeting minutes, accounting files, budget files, correspondence, personnel files, insurance policies, contracts, project files, research documents, etc.

What is NOT a Record?

- Library and museum material made or acquired and preserved solely for reference or exhibition purposes

- Stocks of publications (i.e. forms, brochures)

- Rough drafts

- Tapes: throw or re-use once transcribed into final format:
  - Exception: Executive/confidential portion of meetings – keep for 6 months

- Extra copies of documents retained only for convenience of reference

NOTE: Identify Originating Organization. They are responsible for record disposal. Reference copies can be disposed at any time but should **not** be kept longer than the record.

Not important until something happens…

- Fire, flood, lawsuit, have to recreate something…

Records in the News!

Headlines:

- "Spiteful Worker **Deletes Files** Worth Millions" – Engineering Firm in Florida

- "**Stolen laptop** causes panic for more than one million current and former military personnel." – Veteran's Administration

- "Arthur Andersen: One of the world's most reputable accounting firms is **forced into bankruptcy** for a dispute over its policy for <u>shredding</u> information during the ongoing audit of a company." – Associated with Enron case

- What about Hilary Clinton's emails and Donald Trump's tax records?

Records in the News – Financial Impacts

- Netflix paid out **millions** for retaining customer information for cancelled subscribers too long.

- Safeway fined **$10 million** for improper disposal of patient records.

- Morgan Stanley fined **$13 million** partly because of poor records retention and management. Improperly stored client information and disposed of records before the retention requirements were satisfied.

- Home Depot received a **$27.84 million** fine for unlawfully disposing of hazardous waste and not securely discarding private customer information

Each and every one of us !!!

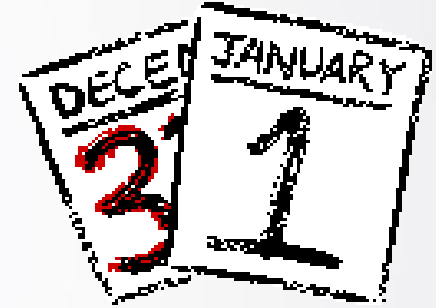# How long should records be kept?

Not at all

One day/month/year

One hundred years

Lifetime (life of equipment, building, person)

One thousand years

Permanent

Permanent (misconception that permanent = indefinite and lifetime).

How long should records be kept?

Retention schedules available to tell you:

- https://apps.nd.gov/itd/recmgmt/rm/recSer/retention.pdf
  - Approved by State Records Task Force
    - Attorney General, State Auditor, State Archives, and NDIT Records Administrator)

Link also on ND League of Cities (NDLC) website:

- www.ndlc.org
- Under Resources, Records Retention and Disposal

Records Retention Schedules

- List by **record series** (group of related records - i.e. accounting files, project files, personnel records, etc.) – assigned a unique number called Record Control Number (RCN)

- Includes **retention period** (length of time you retain the record series), and

- the **disposal method** (shred, landfill/recycle, delete-*if electronic*, or archival transfer).

  - Only indicate shred if confidential or exempt by law but doesn't mean you can't shred if says landfill/recycle.

Standard Filing System available

State Subject Classification System (SSCS):
https://www.nd.gov/itd/sites/itd/files/legacy/services/records/nd-subject-classification-system.pdf

A 31 category subject-based filing system:

- 01 (ACT)   Accounting
  - 0102   Audits
  - 0104   Budgets
  - 0115   Accounts Payable
  - 0118   Accounts Receivable

> NOTE: **Records Control Numbers (RCNs)** and are made up of the first 4 digits from the Classification System, then a unique assigned number for the last 2 digits (i.e. 010201). RCNs are assigned to each record series on the retention schedule.

- 05 (AF)   Agency Federal
- 10 (AS)   Agency State
- 22 (C/M)   Committees/Meetings
- 35 (ED/T)   Education/Training
- 60 (PER)   Personnel
- 65 (P/P)   Policies/Procedures

How are retention periods determined?

- Administrative (day-to-day operations) value – determined by the Park District offices
  - May need to consider non-profit requirements if have Foundation records

- Records Management Task Force:
  - State Auditor's office – identify records needed during an audit (financial/operational)
  - Attorney General's office – legal and confidential requirements
  - State Archivist – historical/archival preservation
  - State Records Administrator – final review/approval
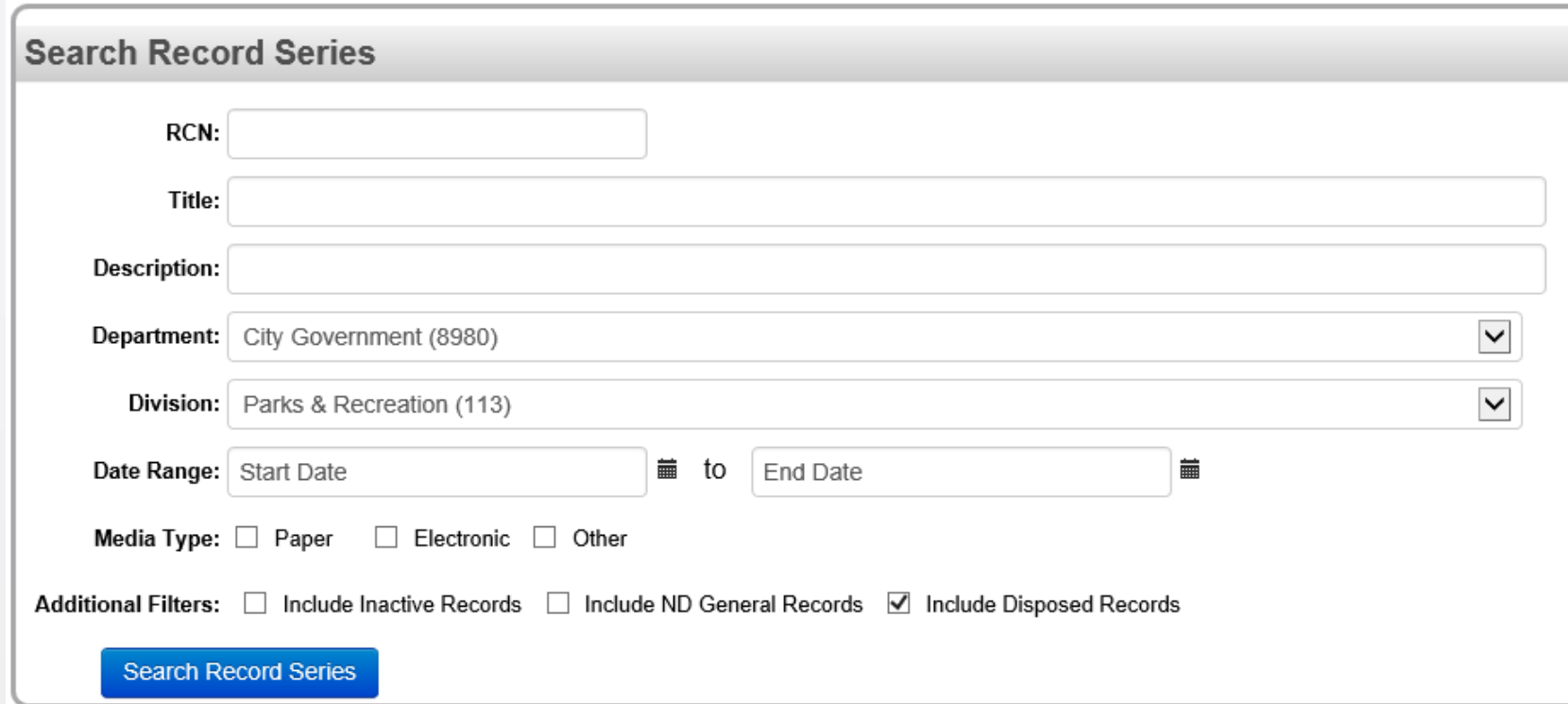
- Longest retention period applies

City General Records Schedule (GRS)?

- Already approved for all offices to use – Park Districts can use

- Created to reduce duplication

- Identifies records "common" to multiple city offices
  - i.e. budgets, meeting minutes, employee files, contracts, etc.

- Contains same details as other retention schedules:
  - Records Control Number, Title, Description, Retention Period, Disposal Method, Legal Authority (statute/citation for confidential/exempt, or if legal, retention requirement)

- Helps define ownership and consistencies across city offices
  - If originator, retain for time specified on originator schedule (i.e. City Budgets-use City Auditor/Administrator retention schedule)
  - Other offices, follow City GRS (i.e. supporting budget background submitted to Auditor)

Retention Schedules on the web

- Public Access Link (demo):
  https://apps.nd.gov/itd/recmgmt/rm/recSer/retention.pdf

Search Record Series

RCN:	
Title:	
Description:	
Department:	City Government (8980) ▼
Division:	Parks & Recreation (113) ▼
Date Range:	Start Date 📅 to End Date 📅
Media Type:	☐ Paper ☐ Electronic ☐ Other
Additional Filters:	☐ Include Inactive Records ☐ Include ND General Records ☑ Include Disposed Records

[Search Record Series]

- Search by Department and Division, or by keyword in Title or Description

Results Screen

220326	PARK BOARD MINUTES	City Government	Parks & Recreation	Yes	PERM - Permanent		PERM
720613	PLATS	City Government	Parks & Recreation	Yes	UD - Updated/update	Landfill/Delete backups	UD
800203	LIABILITY DISCLAIMERS	City Government	Parks & Recreation	Yes	LOP+6 - Life of Program Plus 6 Years	Landfill/Delete backups	2012 LOP+6
800393	SMALL PROGRAMS	City Government	Parks & Recreation	Yes	3 years	Landfill/Delete backups	2015
800394	LARGE PROGRAMS	City Government	Parks & Recreation	Yes	3 years	Landfill/Delete backups	2015
800395	GOLF COURSE	City Government	Parks & Recreation	Yes	5 years	Landfill/Delete backups	2013
800396	PROJECT FILES	City Government	Parks & Recreation	Yes	APC+6 - After Project Completed/Closed Plus 6 Years	Landfill/Delete backups	2012 APC+6

- Click anywhere on row to see details

Record Series Details

- Here you will find descriptions, confidential requirements, audit/legal/ historical value, retention requirements (i.e. if ACM=define conditions), etc.

010201 - CITY AUDITS

This series contains audits and yearly financial statements of the city by outside accounting firms or state auditor's office.

City Government - Auditor (8980 - 103)

Series Details

Status: Approved

Approval Date:

Confidential/Exempt By Law: No

Applicable State or Federal law, requirement, or policy that applies to the retention of this record:

Send to State Library:

Essential Record:

Original Record Series:

Retention Period

Administrative Value:

Audit Value:

Legal Value:

Historical Value: Yes   = Must transfer to the State Archives

Explanation:

Total Retention: CFY+4 - Calendar Fiscal Year Plus 4 Years   = Keep in office 4 years after calendar year, then transfer to state archives

Transfer to Microfilm: No

Inactive Storage: No

Retention Comment:

Why is a Retention Schedule Needed?

- To assist in the determination of what should be retained vs. disposed (in a consistent manner).

- To restrict your filing equipment/space to house only "active" records for quicker retrieval – leads to gained efficiencies.

- To ensure records of enduring value and historic interest are properly maintained and available.

- To *legally* destroy records that have served their usefulness.

"Follow, defend, and support your planned, written, and legal retention schedule, and in litigation it will follow, defend, and support you."

Annual Disposals: What is the process?

- Each **July**, disposal notification sent to City Auditors/Administrators (from ND League of Cities) and posted to NDLC website: http://www.ndlc.org/)
  - Park Districts would need to determine if City Auditor or Park Clerk to receive
  - Identify central point of contact and notify NDLC
- Go to: Resources, Records Retention and Disposal
  - Disposal instructions available as a .pdf
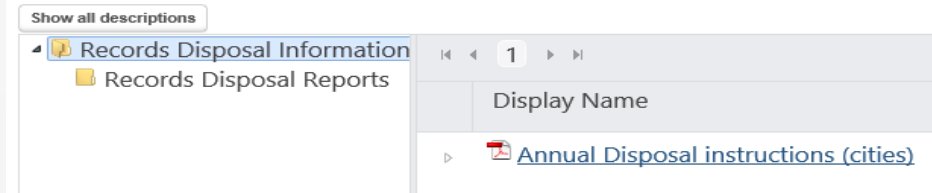
  - Click on Subfolder "Records Disposal Reports" to find reports
- City Auditors then distribute disposal reports (other city offices and city GRS) to applicable city office for completion
  - Separate reports (excel files) created for you (for each city office, assigned numerical value (i.e. Airport Authority=898-101, Assessor=898-102,
  City Parks=898-113)

Records Disposal Reports

2018 Annual Certification of Records Disposal (due: 5/31/2019)

City General (8980-100)

Instructions: Add volumes for each record series disposed and certify at the bottom of this report that disposals are/are not complete. NOTE: Even if records are not eligible to be disposed (i.e. no volume to report), records should be certified to indicate each record series was visited. Hence indicate "NA", a dash "-", or some other indicator in the volume field(s) to know that record series was addressed.

City of:

For more information, see: https://apps.nd.gov/itd/recmgmt/rm/recSer/retention.pdf

RCN	Title	Description	City Office	Retention	Disposition	To Dispose (this month/ year and before)	Paper Volume (in inches)	Electronic (in MB)
011520	ACCOUNTS PAYABLE/VOUCHERS/ EXPENSE REPORTS	This series contains payment vouchers, travel expense vouchers, abstracts for payment, claims for payment, vendor invoices, expense reports, and other supporting documents pertaining to disbursement of funds for expenditures.	City General	CFY+4 - Calendar Fiscal Year Plus 4 Years	Landfill/Delete backups	DECEMBER 2013 CFY		
011836	ACCOUNTS RECEIVABLE	This series contains a record of revenue generated for the office.	City General	CFY+4 - Calendar Fiscal Year Plus 4 Years	Landfill/Delete backups	DECEMBER 2013 CFY		
850501	ACTION MEMOS/DIRECTIVES TO DEPARTMENTS	This record series includes correspondence/notices sent to specific city offices with direction to take action (i.e. as a result of a meeting, for example a City Governing Body Meeting, summarizing actions/tasks each office is responsible for).	City General	1 year	Landfill/Delete backups	2016		

- Note volume disposed for EACH record series

Disposal Considerations

Shredding

- Only indicated on retention schedule if confidential (restricted) or exempt by law.
- Can shred if states "landfill/recycle", but not required.
- Can use licensed and bonded external service. Proof of licensure recommended (i.e. Certification).
- Validate destruction process – stay involved.

Landfill/Recycling

- Dispose in trash or recycling container.
- No special protections required.

Archives/Preservation

- Only those identified as historical are sent to State Archives
- Make arrangements with State Archives (701) 328-3570 or 328-2090 for pickup.
- State Archives Website: http://history.nd.gov/archives/index.html

Annual Disposals (cont'd)

City General (898-100):

☑ I certify that only those records approved on the City retention schedules have been transferred or disposed by the specified methods.

Name of Individual Authorizing Disposals	Telephone Number	Date
Dawn Cote, Records Analyst	701-328-3592	12/11/2018

☐ I certify that records have not been disposed as specified on the City retention schedules for the reason(s) indicated below.

Explain		
Name of Individual Authorizing Disposals	Telephone Number	Date

- After disposals complete, sign and print/email certification (excel reports), send to NDLC
  - Email/Mailing address available in instructions
- If records are to be transferred to the State Archives, allow time for that (they have a separate form)
- Reports due May 31st of the following year
  - NDLC will need at least a month to compile reports and get into the system so the sooner the better.

Disposals: Approvals

- Optional: Get approval from Board
  - Can be documented in meeting minutes, or
  - Through a resolution (include a list of records to be disposed)
  - Will be done on an annual basis, so previous year's report may be used as a reference
- Approval for internal purposes only – does not have to be submitted to NDIT.

Helpful Disposal Tips

- Set aside time to do disposals, designate a 'records cleaning day' (i.e. spring cleaning) for all employees, set completion goals, etc.
- If new and overwhelmed, focus on active files to become familiar with files (then, attack backlog)
- After identifying records you have on excel spreadsheets, process will become easier in years to come
- Box inactive files with the same RCN/disposal date together
- Mark remaining files with disposal date/method for ease of future disposal (i.e. indicate date on label)
- Don't struggle. Ask for help (other Park Clerks/Staff, ND League of Cities listserv, NDLC staff, NDIT)

Questions or Can't find on retention schedule

- Contact League of Cities (Stephanie Dassinger), or NDIT Records Management (Dawn Cote).

- If we can't find record series or have changes, may have you assist in completing a SFN 2042, Record Series Description.
    - Form available on State's e-forms website: http://www.nd.gov/eforms/Doc/sfn02042.pdf

- If changes are necessary:

- Will be reflected on updated disposal report once complete

NOTE: <u>Do not dispose of any records until you receive the final approval from NDIT/League</u>

Transfers to the State Archives

- Required per NDCC 55-02.1-05

- Ensure history of city records preserved and available to future generations, researchers, historians, all citizens, etc.

- Examples:
    - Significant events (i.e. centennial),
    - contain evidence or protect right or claim (i.e. land records), or
    - contain important historical information about people, places or events (photos, maps, birth/death records, etc.)

ARCHIVES & MANUSCRIPTS

LOCAL GOVT. RECORDS

STATE AGENCIES

BOOKS, PERIODICALS & MAPS

NEWSPAPERS

PHOTOGRAPHS

BIOGRAPHIES

ORAL HISTORIES

DIGITAL DATABASES

RESEARCH SOURCES

NATURALIZATION RECORDS

MARRIAGE

CENSUS RECORDS

LAND RECORDS

MILITARY RECORDS

Procedures when transferring to Archives

- Send records marked as "Archives" on the retention schedule

- Paper records:
  - use standard size boxes (i.e. banker boxes),
  - pack using current arrangement (filing folders in alpha/chrono order),
  - label boxes with contents (RCN, record series title, inclusive dates, etc.)
  - send along inventories/keywords that might be helpful to staff in retrieving records in the future, if needed.

- Electronic records:
  - Only send acceptable file types (.pdf/A, .tif/.jpg)
  - Ensure file names are descriptive and accurately reflect content (i.e. RCN, Title, Date, such as "2014 Meeting Minutes, RCN 800301.pdf")
  - Consult with the State Archives or visit the following website prior to transfers:
  - http://www.history.nd.gov/archives/electronicrecords.html

"If the record is "born" digital (email, photograph, correspondence with electronic signature, etc.) we want the digital file. If the record is "born" paper, we want the paper (including original signatures from officials). No need to send both paper and electronic."

How long do I retain email messages?

City GRS 450106 – Electronic Communications

Description: "This series contains e-mail messages, voicemail messages, recorded telephone conversations, instant messages, etc. created or received by employees of the department."

Retention Period: After Conditions Met (ACM)

❖ Determine the record status of the message **based on the content**. If the message is a record that documents official business of the department, the record must be retained for the appropriate retention period defined on either the City General Records retention schedule or your city office's records retention schedules. Dispose of records with transitory value after action is taken.

Managing E-mail as Records

- Delete non-record e-mails and duplication
- Manage the messages (by subject/content) that are records
  - File and store: Outlook folders, network, document management system, or print/file in traditional paper system
  - Dispose according to retention schedule
- File by Subject Classification categories to facilitate access and disposal
- Assign Retention Policy to folders (based on retention schedules)
- For questions regarding managing and preserving historical email records, refer the email tutorial found here: http://history.nd.gov/archives/Managing%20and%20Preserving%20Email.pdf

Where do we go from here?

- Identify what you have (records inventory)

- Slot records into available retention schedules (City GRS and City Parks and Recreation)

- Identify the gaps:
    - If not covered, contact Stephanie at NDLC
    - Go through request/approval process if need adds, changes to existing schedules

- NDLC will notify Park Districts once updates have been made

Summary

- All employees create, retain records, and are responsible for the record through the lifecycle of the record

- All records must be identified on a retention schedule

  - Determine if follow record series on approved schedules or add new ones

- Dispose of all records that have met their retention.

- Report volumes to NDIT (either via NDLC or Park District representative)

- Transfer archival records to the State Archives

Questions?

ITD Records Management:

Dawn Cote, Information Management Analyst

dcote@nd.gov

(701) 328-3592

ND League of Cities:

Stephanie Dassinger, Deputy Director and Staff Attorney

Stephanie@ndlc.org

(701) 223-3518

State Archives:

For transfers: (701) 328-2663

For questions: Shane Molander, Deputy Archivist, (701) 328-3570, smolander@nd.gov

Ann Jenks, State Archivist, (701) 328-2090, ajenks@nd.gov

Lindsay Meidinger, Electronic Records Archivist, (701) 328-1424, lkmeidinger@nd.gov