

CLACKAMAS COUNTY BOARD OF COUNTY COMMISSIONERS

Sitting/Acting as (if applicable) Study Session Worksheet

Presentation Date: 12/8/15 **Approx Start Time:** 3:30 **Approx Length:** Thirty minutes

Presentation Title: Records Management Policy Restatement

Department: County Clerk/Elections

Presenters: Sherry Hall, County Clerk

Carol Hopkins, Records and Information Management, Manager

WHAT ACTION ARE YOU REQUESTING FROM THE BOARD?

Records Management is requesting reinstatement of records policy set in 1988.

EXECUTIVE SUMMARY:

On January 28, 1988, Clackamas County Board of Commissioners adopted a Records Management Policy and Records Management Standards Manual. The purpose of this policy is to provide for the centralized management of County records and files for all County departments and division.

FINANCIAL IMPLICATIONS (current year and ongoing):

At this time there is a two-year lag for RM services to be charged to the Department whose work was done. Services rendered in FY 14/15 would be allocated to a County Department in the 16/17 budget year. "Because the majority of County Departments do not recognize the County-wide Records Policy at this time, Clackamas County Records Management is used by only a limited number of departments who choose to use RM.

A County-wide Records Policy would enable Records Management to manage Records on a County-wide scale thereby reducing the cost of RM services per department because departments County-wide would be sharing the cost.

It is our goal to have this change in place for preparation of the 16/17 budget year.

LEGAL/POLICY REQUIREMENTS:

To insure that County records are in compliance with Oregon State Archives rules for retention and disposition. To ensure that all permanent records are processed and retained according to OAR standards.

PUBLIC/GOVERNMENTAL PARTICIPATION:

OPTIONS: Required participation from all County departments and divisions.

RECOMMENDATION:

Request the Commissioners reinstate the County Records Management Policy to insure consistency and efficiency in managing of County records.

ATTACHMENTS:

Records Management Policy signed in 1988.
2009 County Clerk Performance audit, Records Management section.

SUBMITTED BY:

Division Director/Head Approval Virginia Michel
Department Director/Head Approval Sherry Hall
County Administrator Approval _____

For information on this issue or copies of attachments, please contact Steve Kindred @ 503-722-6089

Records Management Policy

01/28/1988



CAROLE J. BERGGREN
DIRECTOR

CLACKAMAS COUNTY

General Services Administration

DATE: September 27, 1988
TO: Department Heads
FROM: Carole J. Berggren, Director *CB*
General Services Agency
RE: RECORDS MANAGEMENT POLICY

On January 28, 1988, the Clackamas County Board of Commissioners adopted a Records Management Policy and Records Management Standards Manual for the implementation of a countywide records management program. A copy of the manual is attached for your review and departmental/agency use, with the understanding that some revisions may be necessary as we begin implementation.

The Board of Commissioners supports the consolidation and centralization of microfilming operations and creation of a Records Management Department under GSA. The expectation is to reduce storage space and processing costs and to ensure better departmental knowledge and compliance with statutory requirements.

A Records Manager, Kris Seufert, was appointed on September 6, 1988, and will begin implementation of the new program on a department-by-department basis. Kris will be contacting you in the next month to schedule a time with your department's record management representative. Her background and knowledge in Records Management will be of great benefit to you and the County.

Our first goal is to develop implementation priorities for the balance of this year and recommendations for the 1989-90 Budget process.

Your assistance in making this a successful program is needed and appreciated.

**CLACKAMAS COUNTY
RECORDS MANAGEMENT POLICY**

Policy

The County General Services Agency (GSA) shall provide for the management of county records and files for all County agencies, departments, and districts under the Board of County Commissioners and for the efficient processing of records and forms materials under a centralized department.

The activities shall be conducted in the most cost-efficient manner consistent with State statutes and County requirements, schedules, and sound Records Management principles. The GSA/Records Management Department shall be responsible for effective implementation of policies and procedures relative to records retention and processing.

Purpose and Scope

The policy shall insure the fulfillment of Clackamas County's commitment to excellence in Records Management.

The policy shall provide the necessary direction and guidance in Records Management functions and activities required to ensure and promote responsible, effective record management methods and procedures.

The policy shall promote cost effectiveness, record information efficiency, and public requirements compliance.

Authority

The Clackamas County Records Management Department shall be organized under the General Services Agency to undertake an aggressive, innovative, creative approach to improve, modify, and ultimately carry out Record Management activities at Clackamas County.

The position of Records Management Officer shall be established under the GSA Director to ensure that adequate records management procedures and instructions are developed, maintained, and implemented at the functional level with departments throughout Clackamas County.

Responsibilities

The Clackamas County Records Management Department shall provide support services in the areas of Records Management, Microfilm Services, and Forms Control.

The Clackamas County Records Management Department shall perform and assist in the performance of Records Management services that provide and ensure compliance with local, state, and federal requirements.

The Clackamas County Records Management Department shall maintain a qualified staff of Records Management personnel to perform and support Records Management functions and activities, and shall ensure that Records Management functions and services are performed in a timely manner and within budgetary restraints.

The Records Management Officer shall supervise and direct Records Management functions, Microfilm operations, and Forms Control management.

The Records Management Officer shall maintain and administer a Records Storage Center to store those records deemed inactive, and to preserve those records vital to Clackamas County business.

References

"Records Management Manual for Oregon Public Records, Oregon Administrative Rules, Chapter 166, State Archivist". (1/1/78)

"Clackamas County Records Management Policy and Standards Manual" (To be adopted by the Board of County Commissioners)

Attachments

Records Management Organization Chart.

"Clackamas County Records Management Policy and Standards Manual" (To be adopted by the Board of County Commissioners)

"Records Management Manual for Oregon Public Records, Oregon Administrative Rules, Chapter 166, State Archivist". (1/1/78)

**GENERAL SERVICES AGENCY
DIRECTOR**

**RECORDS MANAGEMENT DEPARTMENT
RECORDS OFFICER**

RECORDS MANAGEMENT

MICROFILM SERVICES

FORMS CONTROL

BEFORE THE BOARD OF COUNTY COMMISSIONERS
OF CLACKAMAS COUNTY, STATE OF OREGON

CLACKAMAS COUNTY
FILED
1-28-88
BY JOHN F. KAUFFMAN, County Clerk
Deputy

In the Matter of Adopting a
Records Management Policy and
Records Management Standards
Manual for Implementation and
Compliance of Records Management
Programs

ORDER NO. 88-80

This matter coming on at this time to be heard, and it appearing to this Board, that Carole J. Berggren, General Services Director, has recommended to this Board the adoption of a Records Management Policy and Records Management Standards Manual for Implementation and Compliance of Records Management Programs for Clackamas County, and the Board being fully advised;

This Board finds that it would be in the best interest of Clackamas County to adopt said policy;

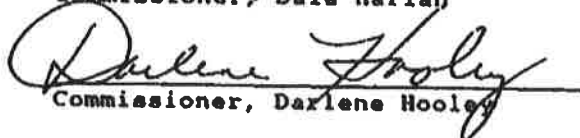
IT IS THEREFORE HEREBY ORDERED that Clackamas County adopt said policy, a copy of which is to be placed on file in the Office of County Clerk with this Order Number affixed thereto, with the understanding that said policy is subject to all public laws, standard Records Management procedures and the Constitution of this State.

DATED THIS 28 DAY OF JANUARY, 1988

BOARD OF COUNTY COMMISSIONERS


Chairman, Ed Lindquist


Commissioner, Dale Harlan


Commissioner, Darlene Hooley

133 0014

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POLICY STATEMENT

The Clackamas County Records Management Policy and Standards Manual shall adhere to the guidelines contained in "Records Management Manual for Oregon Public Records, Oregon Administrative Rules, Chapter 166, State Archivist" (January, 1978), and shall be committed to compliance with those rules which regulate records management programs and services.

This commitment shall be carried out by consolidation of policy and program criteria which contain records management functions for Clackamas County.

The Records Management Policy and Standards Manual shall provide sufficient direction and guidance for Clackamas County personnel to perform records management functions and activities which promote cost effectiveness, program implementation efficiency and public requirements compliance.

This Records Management Policy and standards Manual is presented as Clackamas County policy to ensure the fulfillment of Clackamas County's commitment to excellence in Records Management.

CLACKAMAS COUNTY

RECORDS MANAGEMENT DEPARTMENT

NO: RMS 1.1

REV NO: 1

EFFECTIVE DATE: 02/88

TITLE: DIRECTIVES

1.0 Policy

- 1.1 It is Clackamas County policy to ensure that the following directive is complied with:

(OAR-166-05-00) "Adequate documentation of the policies and activities of the state and its political subdivisions is essential to ensure continuation of government and open, efficient conduct of the public's business. Creation of such documentation is the responsibility of every public official and agency. However, after the passage of time, much of the necessary documentation has no further value to the state or its citizens, and some of it is duplicated in other offices...Prompt disposal of such valueless documentation is essential to reduce costs, and to improve the accessibility of that documentation which has continuing value for the administration of government, as evidence of legal rights and responsibilities of the state and its citizens, or for research purposes of all kinds." (1)

2.0 Purpose and Scope

- 2.1 The purpose is to support and implement the following directive:

(OAR-166-05-005) "The purpose of these rules is to implement the provisions of ORS 43.410, 192.005 to 192.170 and 357.825 to 357.895 by providing procedures for the orderly retention and destruction of public records, including procedures for obtaining lawful authority to destroy, or otherwise dispose of, public records of no further value to the office which created or filed them." (2)

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3.0 Definitions

3.1 Records Management Manual for Oregon Public Records, Oregon Administrative Rules, Chapter 166 - legislated and adopted rules and procedures addressing Records Management of public records at the State level. These same procedures and rules by their very nature are applicable to political subdivisions of the State.

4.0 Responsibilities

4.1 Officer, Records Management - Responsibilities and authorities in the execution of this management function are as follows:

4.1.1 Adherence and implementation of the Directives as appropriate to the Records Management Program.

5.0 General

None

6.0 References

6.1 "Records Management Manual for Oregon Public Records, Oregon Administrative Rules, Chapter 166" (January, 1978)

7.0 Attachments

None

(1) "Records Management Manual for Oregon Public Records, Oregon Administrative Rules, Chapter 166", Jan., 1978; page

(2) Ibid; page 3

CLACKAMAS COUNTY

RECORDS MANAGEMENT DEPARTMENT

NO: RMS 1.3

REV NO: 1

EFFECTIVE DATE: 02/88

TITLE: PROGRAM STRUCTURE

1.0 Policy

- 1.1 The Clackamas County Records Management Department shall undertake aggressive, innovative and creative measures to improve, modify and ultimately carry out Records Management activities at Clackamas County.
- 1.2 The Clackamas County Records Management Department shall maintain a qualified staff of Records Management personnel to perform and support Records Management functions and activities.
- 1.3 The Clackamas County Records Management Department shall ensure that Records Management functions and services are performed in a timely manner and within budgetary constraints.
- 1.4 The Clackamas County Records Management Department shall perform and assist in the performance of Records Management Services that provide and ensure compliance with local, state and federal requirements.

2.0 Purpose and Scope

- 2.1 The purpose of this program is to support all Clackamas County records management operations.
- 2.2 The purpose of this program is to establish policy and provide guidance to Clackamas County personnel who perform Records Management functions and activities to ensure their compliance with local, state and federal requirements.

3.0 Definitions

- 3.1 Records Officer - Designated as "Records Officer", and provided by OAR-166-30-016, the Records Officer's role is to inventory and catalog departmental record series; develop and maintain records retention and disposition schedules for all record series; organize and maintain a Records Storage Center; determine applicability of microfilming; supervision of microfilm operations; arrange for the removal and destruction of records; and supervision of such destruction.

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4.0 Responsibilities

4.1 Officer, Records Management - Responsibilities and authorities in the execution of this management function are as follows:

- 4.1.1** Ensuring that the goals and objectives of the Records Management Department are maintained and that services are provided in a timely manner.
- 4.1.2** Reporting to management significant issues pertaining to Records Management where corrective action is required.
- 4.1.3** Representing Clackamas County as appropriate in the area of Records Management at the local, state and/or federal levels and serve as a focal point for Records Management related services and activities.
- 4.1.4** Ensuring that adequate procedures and/or instructions are developed, maintained and implemented at the functional level with organizations throughout Clackamas County to comply with Clackamas County Records Management Policy and Standards Manual, state and federal requirements.

5.0 General

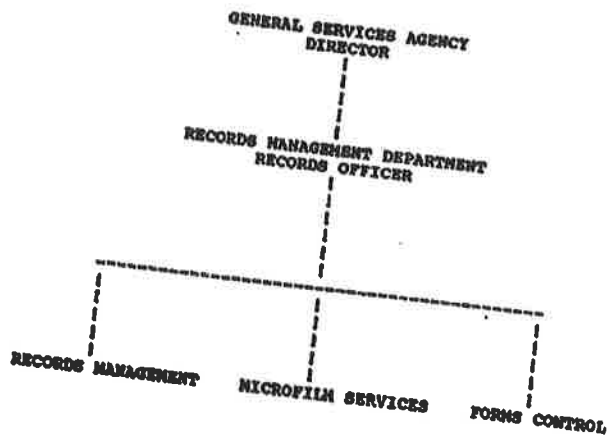
- 5.1** The Records Management Department as a division of General Services Agency provides and promotes support services countywide (Attachment 7.1)
- 5.2** The Records Management Department provides these support services in the areas of Records Management, Microfilming Services and Forms Control (Attachment 7.1)

6.0 References

- 6.1** "Records Management Manual for Oregon Public Records, Oregon Administrative Rules, Chapter 166," (Jan 1, 1978)

7.0 Attachments

- 7.1** Records Management Organization Chart.



ATTACHMENT 7.1

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Clackamas County Clerk 2009 Performance Audit
Records Management Division

SECTION 1 – Records Management Recommendations

1. Recommendation: The County Clerk with support of the Board of Commissioners should designate the Records & Information Manager the final authority relative to records management decision-making. The Records Management Department should be identified as an authoritative department as opposed to an advisory department, having final authority over records management decisions with respect to records retention, destruction, etc.

2. Recommendation: Various protocols should be developed that facilitate the authoritative role of the Records Management Department. This includes Records Destruction Notifications which are based on exception reporting from the departments as opposed to “permission to destroy notices” which do not have a mandated turn-around time.

3. Recommendation: Department Records Coordinators should be trained to be a QA/QC extension of the Records Management Department, ensuring that records management regulations are followed within their respective organizations. Each division (as opposed to Department) should have their own Records Coordinator.

4. Recommendation: The Records Management Department should only be designated and budgeted as an Internal Service Fund if all departments are mandated to use the services. Otherwise, the Records Management Department should become a General Fund operation. Fees for service could be charged for the various records services provided to help off-set General Fund costs. This model would help determine the total cost recovery of the Records Management operation and would facilitate prediction of future staff resource needs.

The four recommendations above are better made to the Board of Commissioners as they fall outside of the authority of the County Clerk alone to implement. The Clerk will support, as needed, the Board of Commissioners if they determine these issues should be studied further. Such a decision should not be made without total involvement by the County Clerk. These are probably valid recommendations in terms of quality of records management, but may not fit easily into the organizational structure of the County. The recommended implementation dates of these four recommendations are unrealistic as they represent major interdepartmental protocols and adjustments. If the efforts began in the first part of 2010 and were designated as priorities, we believe it will still take 6-12 months to restructure the Records Management approach with the necessary buy-in of the Commissioners and the various elected and appointed department heads.

5. Recommendation: Ensure that the Records Management van is always locked, particularly when it contains records.

This process has been implemented.

6. Recommendation: Update the Records Management Policies and Standards Manual as soon as practical into a comprehensive document incorporating all relevant Records Management Department operational protocols. This effort should be completed within twelve months. Identify the 17-page 2009 Records Manual as a “desk reference” or incorporate this content into the policies and standards noted.

This is a positive recommendation. The Records Management Policies and Standards Manual is a document stored online and accessible to the Records Management Staff on the County's Intranet site.

7. Recommendation: Adopt and implement a Records Management Advisory Council that meets on a quarterly basis.

Designing the management of records and information with an Advisory Council is a positive recommendation and deserves further consideration. Technology Services would be a partner in this Council.

8. Recommendation: To the extent possible continue to accelerate documentation destruction to free up space in the records management Records Center.

This is an ongoing process. Requests are sent to departments to authorize records destruction. Records can't be destroyed until the signed authorization is returned to Records Management.

9. Recommendation: The County plans to tear down the current County Archives building. This should be prefaced by a facility needs assessment on the Records Center or a new structure to include storage space needs as well as building features to including security, temperature / humidity control, fire prevention / suppression elements, etc.

The new Archives space has been designated.

10. Recommendation: All future County Clerk Office information technology initiatives should be based upon a developed needs assessment business proposal to be included in an Information Technology Strategic Plan developed for the County and sponsored by the IS Department.

This is a reasonable recommendation. I agree the Clerk should be deeply involved in development of any such referenced assessments and strategic initiative as they relate to the Clerk's Department IT needs.

11. Recommendation: Continue to address with the District Attorney and the IS Department the file label printing problems.

This has been resolved.

12. Recommendation: Authorize (7.4) positions in the Records Management Department, including one manager and 6.4 line staff.

This is a validation of the current staffing levels in this area of the Clerk's Department and no action is necessary.

SECTION 2 – Recording Recommendations

13. Recommendation: Implement a formal job rotation assignment program in the Recording Department for the Records and Election Technician I positions.

As the auditors recognize, the Recording Division has undergone extensive cross-training and the staff members do rotate assignments as the needs arise. The auditor's finding is that somehow there is an insufficiency in operations since there is no "formalized" rotation of jobs. I don't agree, all staff is able to back up on any desk and sufficiently perform the duties.