

To the President and Members of the City Council of Ogden Utah.

Gentlemen:

We respectfully call your attention to the fact that the City papers in the vault are in one confused mass. Frequently inquiry comes for certain documents, a search for which involves much waste of time and often proves fruitless. The records, or minute books, are not indexed, and a like difficulty arises in searching for any desired information in them. With 45 years of records and papers on hand, it may well be imagined what a task a search for any given subject involves. There has not been any system whatever of indexing or filing the City records and papers in all these years, and the vault as a result is one confused mass of documents and records, made practically valueless because of such a serious lack of arrangement and order.

Realizing the necessity of a change in this condition, we made preparation at our own expense to remedy the evil. We purchased a valuable index-record book, 150 file boxes, and began the work of filing and indexing the papers which we hoped to follow up with a perfect index-record of every subject in the many volumes of City Council minutes from the organization of Ogden to the present time, so that any given subject and the name of its author might be found at a glance. To this end a double entry was made including, first, the name of the petitioner or author of the subject, and, secondly, the subject itself, with the date and page of the minute book and number and date of the file. We have progressed so far that we have nearly all the papers assorted, and have filed in order and numbered nearly two thousand documents and entered them on record.

In making a closer examination of the records, we find that the task is greater than we anticipated, and the expense necessary to complete the work will be much larger than we care to invest not knowing absolutely how the Council would view the cost of such a complete and comprehensive record, which we deem, however, an absolute necessity to the City.

Under these circumstances we do not feel justified in proceeding with a further outlay of money, and therefore present the matter before Your Honorable Body with the offer to dispose of our interest to the City for the amount which we have actually invested, and suggest that the Council order the work completed by the employment of a clerk under our direction. This proposition will secure this valuable and necessary record to the city at a much cheaper figure than it could be purchased for under other circumstances.

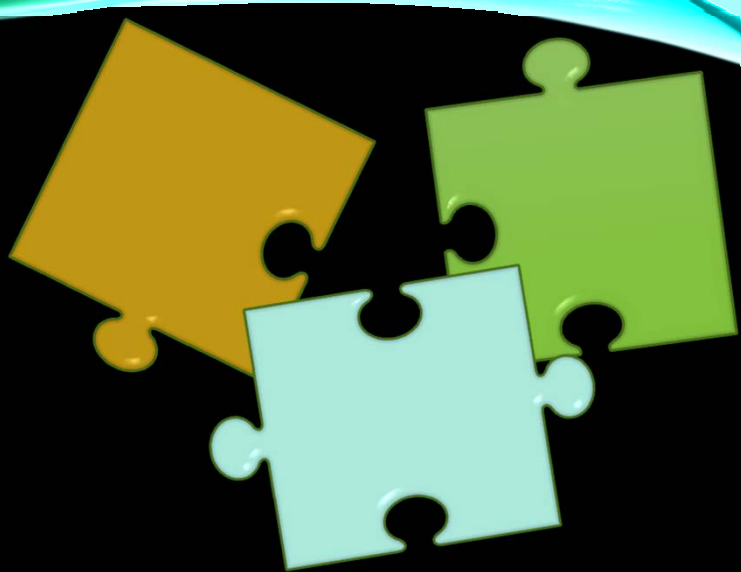
Respectfully,

*Edw. H. Anderson*  
*N. J. Branden*

# RECORDS BASICS

LETTER WRITTEN  
TO THE OGDEN  
CITY COUNCIL  
FROM THE CITY  
RECORDER &  
TREASURER

MARCH 22, 1895



# THE RECORDS MANAGEMENT PUZZLE

So Many Pieces

Tracy Hansen, MMC  
[tracyhansen@ogdencity.com](mailto:tracyhansen@ogdencity.com)

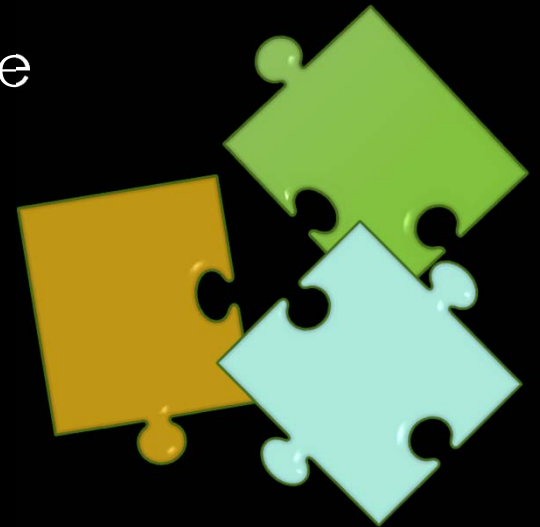
# WHAT IS RECORDS MANAGEMENT?

When you tell people what you do for a living how do they react? Do you hear stereotyping such as:

“So, you re-shelve files all day?”

“You’ll be out of a job soon, since everyone is going paperless.”

Rules, rules, rules . . .





# WHAT IS RECORDS MANAGEMENT

Records and Information Management (RIM) is the efficient and systematic control of all records and information from their creation or receipt, through their disposition (whether preservation or destruction).

It is a dynamic field with emerging responsibilities in a world that is increasingly dependent upon technology.

# KEY PIECES



# POLICY

## THE "WHY" AND "WHO"

Establishes the scope, mission, authority, responsibilities and structure of the program.

- Usually an ordinance or administrative policy
- Approved by the governing body
- Addresses all records for the organization
- Distributed to all staff



Policy  
&  
Procedures

# POLICY THE WHY AND WHO

Elements of a policy:

- Defines the purpose and scope of program
- Establishes responsible program manager
- Includes directive mandating cooperation to ensure compliance
- Establishes destruction and disposition authority
- Establishes official retention schedule
- Establishes a repository for historical records
- Defines terms
- Addresses electronic records



# PROCEDURES THE "HOW"

How will you carry out the objectives of your program?

- Printed copy of retention schedule
- How we document and track a box checked into our records center
- When and how to transfer records to state archives



Policy  
&  
Procedures



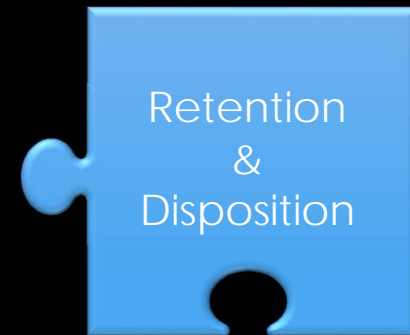
# VITAL RECORDS & DISASTER PLANNING

Records that are necessary to continue operations without delay under abnormal conditions.

To help identify vital records ask these questions:

- What records are absolutely necessary to resume operations?
- What records are necessary to protect assets, legal and financial status, and preserve rights?
- Are there other sources inside or outside the city where records could be obtained?
- Is the necessary information in more than one medium?

# RETENTION & DISPOSITION

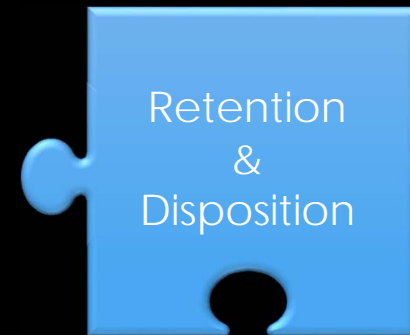


Utah State Code states:

3A-12-105(2)(a). All records created or maintained by a political subdivision of the state are the property of the state and shall not be mutilated, destroyed, or otherwise damaged or disposed of.

63G-2-604(1)(c). The Utah Retention Schedule maintained by the state archivist shall govern the retention and destruction of records.

# RETENTION & DISPOSITION



Retention Schedules are timetables that indicate how long a record has business value. Records are appraised according to administrative, fiscal, legal, and historic value.

Disposition is the final administrative action taken with regard to a record, including destruction or permanent preservation.

# COMPLIANCE & EDUCATION

A records management program supports your organization's legal and compliance responsibilities.

- Audits: a review or examination of records and activities to test for compliance with established policies and procedures
- Training: providing training to ensure those with records responsibilities know what those responsibilities are



Compliance  
&  
Education

# LEGAL HOLDS

A hold placed on the scheduled destruction of records due to a subpoena, discovery request, or court order.

- Notification in writing by the legal authority in your city
- Should inform employees of their duty to identify and preserve all records relevant to the hold

What is my duty upon receipt of legal hold:

- Identify all relevant records (paper or electronic)
- Suspend deletion, purging, overwriting, shredding or any other destruction of applicable records



# LEGAL HOLDS

Once all legal issues have been resolved and no more appeals can be made, the legal hold can be released by the legal authority who placed the legal hold.

Records return to their normal handling under the approved retention schedule.



Compliance  
&  
Education



Management  
of  
Electronic  
Records

# ELECTRONIC RECORDS

An electronic record is one that contains machine-readable information. They cannot be read without the aid of hardware or software.

“Electronic records pose the biggest challenge ever to record keeping in the Federal Government and elsewhere. There is no option to finding answers . . . The alternative is irretrievable information, unverifiable documentation, diminished government accountability, and lost history”

Former United States Archivist John Carlin

# ELECTRONIC RECORDS

Consider:

- Texting, Instant Messaging, Social Media, etc.
  - City of Champaign v. Lisa Madigan – court ruled that messages sent by aldermen on their personal electronic devices during council meetings are “public records” and are subject to disclosure if they pertain to public business.
- Cloud Computing Risk
  - Implementation of retention schedules
  - Permanently delete records in all locations
  - Apply legal holds
  - Ensure records will be accessible and readable in response to GRAMA



# ELECTRONIC RECORDS

- Migration: Many organizations forget supporting technologies will become obsolete in a matter of years, and it may be necessary to migrate, convert, or copy electronic records to ensure their readability and accessibility over their full retention period.
- Disaster Recovery: back up procedures to ensure data can be restored if a disaster or system malfunction occur. Disaster recovery and long-term retention are not the same, both needs should not be served with one back up.

# INACTIVE RECORDS



Inactive records are those records that are no longer needed to conduct current business that must be preserved until meeting the end of their retention period.

Involves management of records centers and archives.

Management  
of  
Inactive  
Records

# INACTIVE RECORDS

## Major causes of damage to records

- Fire and smoke
- Water and sewer
- Environmental contaminants
- Lighting/windows
- Data loss and power surges

## Consider the location – avoid basements or attic spaces

- Prime locations for water-related damage
- Subject to extreme temperatures
- Attics can have floor-weight issues



Management  
of  
Inactive  
Records

# WHERE ARE OGDEN'S RECORDS?



Attic  
10<sup>th</sup> Floor Records Center 400 boxes



Basement  
Records Center 3,200 boxes

# WHERE ARE OGDEN'S RECORDS?



Large windows with no coverings  
Also known as the fly graveyard



Boxes stacked on top of each other

# INACTIVE RECORDS

Ogden manages approximately 4,020 boxes of inactive records.

## Monthly Activity:

- 23 boxes checked into inactive records center
- 32 boxes checked out or destroyed

## Yearly Activity:

- 275 boxes checked into the inactive records center
- 380 boxes checkout or destroyed



**OGDEN CITY**  
RECORDS TRANSFER FORM

Box Location #: \_\_\_\_\_  
Bar Code: \_\_\_\_\_

Date submitted: \_\_\_\_\_  Records Imaged

Department:	Division:
Records Series Title:	Document Years:
Retention Schedule #:	<b>DESTRUCTION DATE:</b>
Description of records: _____ <input type="checkbox"/> Description of records continued on attached pages	
Authorized Department Signature:	
Title:	Date:

**RETENTION CONTINUATION**

Reason:
Date: _____ <b>NEW DESTRUCTION DATE:</b>

**DESTRUCTION AUTHORIZATION**

The records listed above are now eligible for destruction according to the approved retention schedule.

Department Signature:	
Title:	Date:

**Records Center Use Only**

Proof of Receipt:	Certificate of Destruction:
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# RECORDS TRANSFER FORM

Non-Permanent records:

- Department
- Series and Schedule #
- Description of record
- Years included in box
- Signature
- Destruction date



# OGDEN CITY

## PERMANENT RECORDS TRANSFER FORM

Box Location #: \_\_\_\_\_

Bar Code: \_\_\_\_\_

Date submitted:

Department:	Division:
Records Series Title:	Document Years:
Retention Schedule #:	<input type="checkbox"/> Imaged <input type="checkbox"/> Microfilmed
Description of records: <input type="checkbox"/> Description of records continued on attached pages:	
By:	
Title:	Date:

### Records Center Use Only

Proof of Receipt:	
Records Transferred to the Utah State Archives:	
By: _____	Date: _____
Title: _____	

# RECORDS TRANSFER FORM

Permanent records:

- Department
- Series and Schedule #
- Description of record
- Years included in box
- Signature



Management  
of  
Inactive  
Records



# BOX LABEL

## OGDEN CITY RECORDS CENTER

DEPARTMENT/DIVISION <b>CED</b> <b>Building Services</b>	DESTRUCTION DATE <b>1/2020</b>
RECORDS SERIES & SCHEDULE # <b>NON-RESIDENTIAL BLDG PLANS</b> <b>16-4</b>	RECORDS CENTER BOX # <b>199P</b>
CONTENT YEARS <b>2012</b>	BAR CODE <b>3,656</b> <small>General content verified</small>

Management  
of  
Inactive  
Records

# ACTIVE RECORDS



Management  
of  
Active  
Records

Active records are those needed to perform current operations and that are subject to frequent use. They should be easily accessible to users and require a well thought out filing system.

Objectives of a well planned system:

- Quick and easy retrieval of information
- Identify and preserve information
- Establishes uniform classification, common titles, and imposes logic
- Recognizes difference in values of records

# RECORDS SURVEY



Management  
of  
Active  
Records

A records survey can be conducted to identify what records are stored and how they are used in the organization.

A records survey would include:

- Location of records
- Type of record
- Amount of records
- How often records are accessed
- Official record, duplicate copy, vital record



# OGDEN'S ACTIVE RECORDS

Management  
of  
Active  
Records



Spiral staircase to active records storage.  
Mezzanine 6,336 inches of filing space = 420 boxes

# BIG BUCKET APPROACH



## Official Documents

Ordinances  
Resolutions  
Oaths of Office



## Contracts & Agreements

Inter-local  
Agreements  
Construction Contract  
Leases

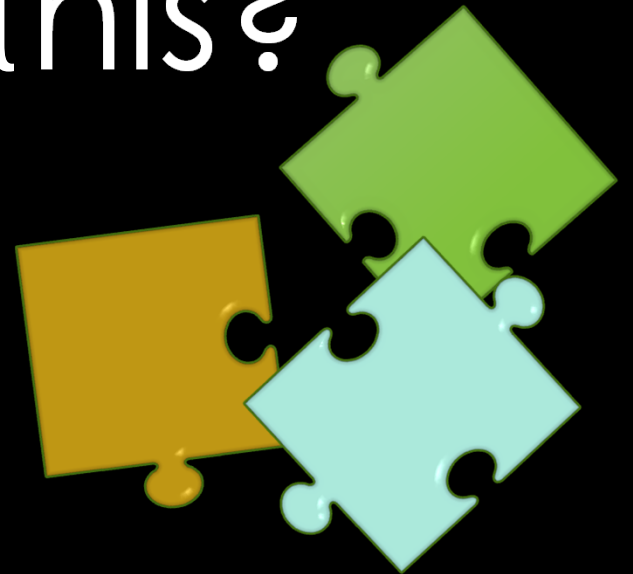


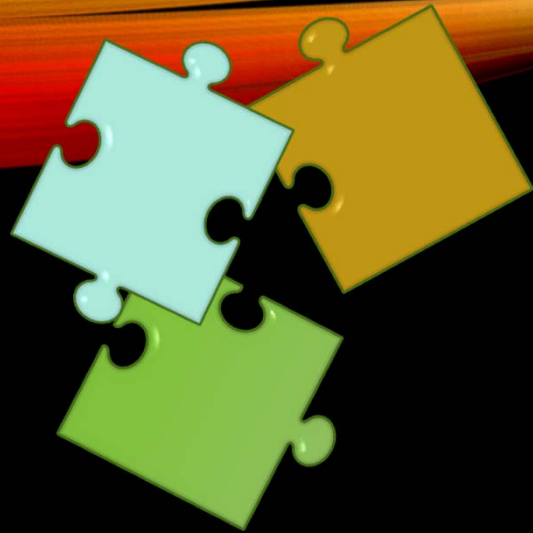
## Property Documents

Liens  
Subdivisions  
Street Name Changes

SO, THAT'S NICE AND ALL . . .

But really, how do  
we do all of this?

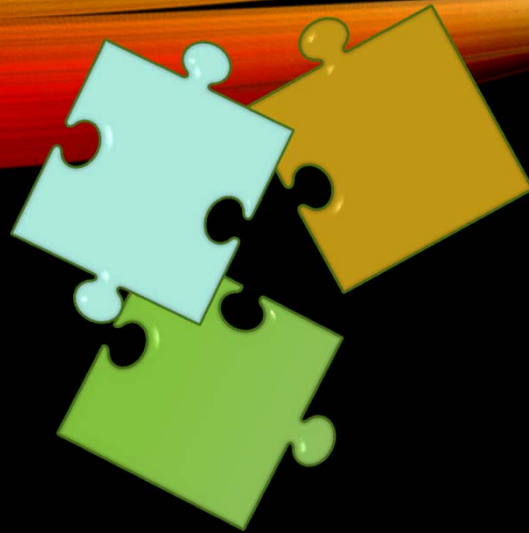




# HOW DO WE DO IT ALL?

- Records inventory
- Start with your own office records
- Electronic & physical records structure should be similar
- Document as you go
- Records committee in your organization
- Carve out a bit of time each week or month to work on records
- Networking with other cities/towns of similar size
- Come visit Ogden





# HOW DO WE DO IT ALL?

Records Management is a huge undertaking.

We all have different organizations, different spaces, different needs. Customize your system to fit your organization.

