



OREGON DEPARTMENT OF FORESTRY
POLICY DOCUMENT

Title: Public Records Management Policy	
Division/Program: Department of Forestry	
Applicability: All employees	
Effective Date: October 1, 2016	Last Review Date: Sept. 30, 2016
Approval Name: Nancy Hirsch Deputy State Forester	Review Interval: Biennially
Signature:	Custodian: Sabrina Perez
	Position: Administrative Services Division's Business and Policy Analyst

POLICY:

The policy on public records management is to create, maintain, and manage records the same way across the agency.

The agency adopts the modified DAS Policy Number 107-001-020. See below.

The purpose is to help staff get records to do their work and fill record requests.

The agency recognizes the importance of this policy. To implement the policy, the agency will require more resources, including but not limited to personnel, storage space, and updated technology. These changes may require several years to fully implement.

AUTHORITY:

[ORS 192.018](#); [DAS Statewide Policy 107-001-020](#); [ODF Policy Management Policy](#)


DEFINITIONS: See below.

RESPONSIBILITIES: See below.

STANDARDS: See below.

SUPPORTING DOCUMENTS: See below.

Policy History	
Date	Description
9/30/16	Approved by State Archivist.
10/1/16	Approved by Deputy State Forester.

	DAS POLICY NUMBER 107-001-020 (modified for the Oregon Department of Forestry)
	EFFECTIVE DATE Oct. 1, 2016
STATEWIDE POLICY	
Public Records Management Policy modified for the Oregon Department of Forestry	

POLICY

ORS 192.018 requires every state agency to have a “written policy that sets forth the agency’s use, retention and ownership of public records” so that public records are being maintained and managed appropriately across state agencies, enterprise-wide, from the time of creation of a public record to the time of final disposition of the public record.

Agencies must seek review and approval from the State Archivist, per ORS 192.018, before adopting an internal public records management policy.

Agencies must review and, if necessary, update their public records management policy to reflect changes in applicable laws and policies and/or changing business needs and ensure ongoing accessibility at least once per biennium. Any updates or revisions must be submitted for review and approval by the State Archivist in accordance with ORS 192.018, prior to adoption.

SPECIAL SITUATIONS

- Retained records may be subject to public disclosure upon request, even if their retention was not required by law. The statutes requiring public disclosure of records apply more broadly than the statutes requiring records to be retained.
- Agencies are not required to create public records that would not otherwise exist.
- Only the official copy of a public record must be retained. Stock of publications are not public records and may be preserved for convenience or destroyed.

GENERAL INFORMATION

The goal of this Policy is to ensure public records are managed and maintained appropriately within the Oregon Department of Forestry and consistently across the enterprise of state government.

This Public Records Management Policy, adopted in accordance with the requirements of DAS Statewide Policy 107-001-020 and ORS 192.018, addresses the following components:

- I. Public Records Maintenance
- II. Roles and Responsibilities
- III. Education and Training
- IV. Access and Ownership
- V. Integrity
- VI. Retention Generally
- VII. Storage and Retrieval
- VIII. Public Records Requests
- IX. Disposition and Destruction

COMPLIANCE

The department shall develop and implement internal processes and procedures that support compliance, deter abuse and detect violations of this Policy.

DEFINITIONS

“**Cloud-computing**” has the same meaning as defined in the National Institute of Standards and Technology (NIST) [Special Publication 800-145](#).

“**Custodian**” refers to a public body mandated, directly or indirectly, to create, maintain, care for or control a public record. “Custodian” does not include a public body that has custody of a public record as an agent of another public body that is the custodian, unless the public record is not otherwise available.

“**Instant Messaging**” refers to real-time text communications between or among computers or mobile devices over the Internet or functionally similar communications network.

“**Metadata**” is data that provides information about other data. Metadata assists in resource discovery by allowing resources to be found by relevant criteria, identifying resources, bringing similar resources together, distinguishing dissimilar resources, and giving location information.

“**Public Record**” has the meaning established in ORS 192.005. In general it refers to information that is prepared, owned, used or retained by a state agency or political subdivision; relates to an activity, transaction or function of a state agency or political subdivision; and is necessary to satisfy the fiscal, legal, administrative or historical policies, requirements or needs of the state agency or political subdivision.

“**Social Media**” refers to web-based and mobile communication technologies that allow the creation and exchange of user-generated content such as comments or responsive postings. Examples of “social media” as of the time this Policy is adopted include but are not limited to Twitter, Flickr, blogging sites, Facebook, YouTube and Instagram.

“**Text Messaging**” refers to messages exchanged between fixed-line phones or mobile phones and fixed or portable devices over a network. Excluded from the definition of “text messages” are electronic mail (“e-mail”) communications, whether such messages are exchanged among or between official State of Oregon e-mail accounts or e-mail accounts maintained by private entities.

“**Unified Communications**” refers to IBM Unified Communications and, more specifically, the packaged services or user-profiles available to agencies (e.g. instant messaging, video conferencing, telephony, call management and call control across multiple systems etc.).

POLICY GUIDELINES

I. PUBLIC RECORDS MAINTENANCE

Public records shall be maintained and managed in a manner that protects the integrity of the records within the department without regard to the technology or medium used to create or communicate the record, from the time of creation of a public record to the time of final disposition of the public record as determined by their authorized records retention schedule.

II. ROLES AND RESPONSIBILITIES

Oregon law requires agencies to designate an Agency Records Officer “to coordinate its agency’s Records Management Program” (ORS 192.105 (2)(a)). The agency records officer, will serve as primary liaison with the State Archivist and receive training from the State Archivist in performing their duties.

The department will ensure agency public records are managed in accordance with their authorized records retention schedules, from the time of creation to final disposition, by assigning designated staff/positions with the following responsibilities:

Agency records officer: is the IT program office manager.

All employees: must maintain all official records using the filing system described in Section VII.

Area directors: implement this records management policy for their area, including the filing system required under Section VII, and appoint an area records officer. Area directors give the agency records officer the name and position of the area records officer.

Deputy division chiefs: implement this records management policy for their division, including the filing system required under Section VII, and appoint a division records officer. Division chiefs give the agency records officer the name and position of the division records officer.

Deputy state forester: approves and ensures this policy is implemented and maintained.

District foresters: implement this records management policy for their district, including the filing system required under Section VII, and appoint a district records officer. District foresters give the agency records officer the name and position of the district records officer.

Human resources organizational development manager: provides training expertise to and coordinates with the agency records officer to deliver this policy's required training.

IT program office manager: is the agency records officer.

Program directors: implement this records management policy for their program, including the filing system required under Section VII, and appoint a program records officer. Program directors give the agency records officer the name and position of the program records officer.

Records officers: are responsible for coordinating work to ensure proper establishment, use and maintenance of public records and the agency filing system within their area, district, division, program, or unit office.

III. EDUCATION AND TRAINING

Basic public records training will be completed as a component of the department's new employee orientation training; and incorporated as part of regular employee training, completed once a biennium. The department will implement a training program to provide public records management training.

IV. ACCESS AND OWNERSHIP

Without regard to how public records are being stored, the department will have custody and control over public records. Through on-going review of technological advances, agencies shall ensure all public records are maintained and accessible for as long as required by applicable retention schedules or litigation holds.

The department's disaster mitigation processes will be addressed in the department's disaster preparedness and recovery plan and incorporated by reference.

V. INTEGRITY

The department will ensure appropriate access and version controls are applied to all electronically stored records from record creation to final disposition.

The authenticity of each record can be demonstrated either by certified copy of paper records or via accompanying metadata for all electronic records.

VI. RETENTION GENERALLY

The department will preserve and classify public records in accordance with ORS chapter 192, OAR chapter 166-

300 and DAS Statewide Policy 107-004-050 regarding Information Asset Classification.

The department will work with the Archives Division to establish retention practices to ensure compliance with ORS chapter 192 and OAR chapter 166-300.

a. CLOUD-COMPUTING

The department practices and procedures with respect to public records management in the Cloud will ensure compliance with DAS Statewide Cloud-Computing Policy (DAS Statewide Policy 107-004-150; 107-004-150 PR) and OAR chapter 166.

b. EMAIL

Official Email Accounts

In most circumstances, emails sent to or from a State employee's official email account will meet the definition of a public record. It is therefore department policy that virtually all email messages composed or sent using employees' official equipment and/or official email addresses be for primarily business purposes.

When the department receives a public records request, all official email accounts and systems used for official State business are subject to search and production.

Personal Email Accounts

If private email accounts must be used to conduct State business, it is department policy that employees copy their official email accounts on all such outgoing communications, and forward any received messages on which their official email accounts are not copied immediately or as soon as practicably possible.

c. INSTANT MESSAGING

Department policy regarding Instant Messages shall be the same as that recited below regarding **TEXT MESSAGING**.

d. SOCIAL MEDIA

Any content placed on any Social Media platform by the department shall be an accurate copy of an official record that is retained elsewhere by the department per the authorized records retention schedules.

The department will develop practices and procedures to manage agency use of social media to ensure public records are accurately captured and retained per authorized records retention schedules. The agency will use archiving software to achieve this requirement.

e. TEXT MESSAGING

Acceptable Use:

Department employees may use text messaging to communicate factual and logistical information that: is not part of or related to conducting official state business, unless that information has been documented elsewhere; or will be documented and retained as a separate public record according to the agency's authorized records retention schedule.

In the absence of separate documentation, department employees are not to use text messages for official purposes other than for routine communications that do not meet the definition of a "public record."

Examples of Acceptable Uses

- Scheduling.
- Requesting a call or email on a matter, without substantive discussion.
- Requesting or offering logistical assistance ("Can you help me get these boxes to the courthouse?")

- Forwarding any person’s contact information (“I’m at 503-378-6002.”)
- Explaining your current whereabouts, or inquiring about someone else’s (“We’re at the meeting discussing this morning’s announcement. Are you around?”)
- Describing facts or events that do not relate to the substance of the Office’s work (“Spilled coffee all over myself right before trial!”), or that have been or necessarily will be separately recorded (“Mr. Jones just testified to the committee that our bill would cost taxpayers \$3 million.”)
- Inquiring about events like those in the previous bullet (“Has Mr. Jones testified in committee yet?”)

Unacceptable Use:

Department employees must avoid communicating official state business or engaging in discussions regarding the primary business of employee’s work over text-message.

As noted above, relevant facts pertaining to official state business may be reported only if they are already documented in separate public records or they necessarily will be documented in a separate public record.

If, notwithstanding this Policy, text message is used to communicate information (not otherwise documented) relating to official state business or primary business of the employee’s work, such discussion is to be immediately converted and saved in a separate public record format (e.g. by forwarding the relevant text messages to an employee’s official e-mail).

Because the department requires that no text message-based public records be created –or if they are created, that be converted and saved in an alternate format, which would serve as the official copy of the record – the department will not retain text messages.

Department employees’ personal electronic devices should not be used to transmit text messages related to state business. Personal devices are subject to search if used to transmit text messages regarding official state business and/or information related to employee’s work that rises to the level of creating a public record.

f. UNIFIED COMMUNICATIONS

The department will identify public records created by actively using Unified Communications features and ensure those records are appropriately managed in accordance with authorized records retention schedules as well as other applicable State and Federal policies and laws.

The department will implement practices and procedures to accurately capture public records created by use of active Unified Communications.

g. VOICEMAIL

Unless otherwise required, the department will not retain messages on voicemail.

Email transcriptions of voicemails that are determined to be public records will be retained in accordance with authorized records retention schedules and may be subject to public disclosure upon request.

VII. STORAGE AND RETRIEVAL

Paper Records:

The department will maintain a filing system of the agency’s paper records based on authorized retention schedules. The filing system will include the location of records, retention periods and procedures for retrieval to ensure accessibility of agency records.

Electronic Records:

The department will maintain a filing system and naming conventions for all agency records stored in electronic format based on the agency's authorized retention schedules. The filing system and naming conventions will include the location of records in agency directories, retention periods, access controls and privacy conditions to support management of the agency's inventory of electronic records.

The department will work with the State Archivist to ensure that retention periods for all records have been met before any data is destroyed and prior to deleting any large electronic record system.

VIII. PUBLIC RECORDS REQUESTS

The department will respond to all official requests for public records as timely as possible, consistent with the proper exercise of judgment relating to the department's other duties.

Additional policies and procedures related to requests for public records (intake, processing, and disclosure and/or determinations related to fees and charges) are the subject of separate agency policies and statewide protocols, processes and procedures.

IX. DISPOSITION AND DESTRUCTION OF PUBLIC RECORDS

The department will dispose of and/or destroy public records in accordance with the requirements of authorized records retention schedules and OAR chapter 166-300.

Pursuant to ORS 357.855, the State Archivist shall be consulted by department employees for advice and assistance with determining the disposition of certain record types, not accounted for in State Agency General or Special Retention Schedules and reconciliation of unforeseen issues regarding public records.