



American Planning Association

California Chapter

Making Great Communities Happen

DATE: March 18, 2016 - FINAL

TO: APA California Board of Directors

FROM: Steven A. Preston, FAICP, Chapter Historian – South
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SUBJECT: ADMINISTRATIVE POLICY -- RETENTION AND PREPARATION OF CHAPTER AND
AFFILIATED ORGANIZATION RECORDS FOR THE APA CALIFORNIA ARCHIVES

In October, 2015 the APA California Board approved a sweeping set of recommendations to enhance the development and operation of the Chapter's archives program, located at California State University, Northridge (hereafter, "CSUN"). One of the recommendations of that report included the development of a protocol to ensure that key records of the Chapter and its affiliates are properly maintained and transmitted on a regular basis for delivery to the archives.

The following represents the draft policy for managing, securing and delivering materials.

1. **Purpose.** The purpose of this administrative policy is to ensure that specified records that are considered appropriate for preservation in the Chapter's archives are systematically and properly managed in accordance with current standards.
2. **Applicability.** This policy applies to APA California, its board of directors, its sections, and its affiliated entities, including but not limited to the following:
 - California Planning Foundation
 - California Planning Roundtable
 - Planners Emeritus Network
 - Young Planners Groups
 - Section Historians, except where a Section chooses to establish a separate repository for its records (at present, only one Section, the Northern Section, has this capability).
3. **Assumptions and Limitations.** In approving this policy, the Board recognizes that:
 - This policy does not purport to be a records management policy with respect to the legal requirements for maintenance of financial and organizational records as may be provided by

California law, or by those best practices recommended by organizational management entities.

- This policy shall be considered mandatory for Chapter operations, but optional for constituent organizations. Any entities not under the direct administrative supervision of the Chapter retain their right to submit or not submit materials for the collection, or to establish an alternate location or methodology if they so choose.
 - Not all entities have access to original founding documents and other historical material. It is understood that the entities may make a best reasonable effort to provide those records that they can provide, and there is no penalty for not supplying such documents.
 - This list of suggested documents subject to this policy is not exhaustive, but is meant to provide a general explanation of the types of documents that should be archived.
 - The Chapter may choose to withhold any document which in the opinion of the Executive Director or Chapter legal counsel is subject to confidentiality laws, including but not limited to personnel matters and litigation documents.
4. **Administrative Responsibility.** Implementation of this policy shall be administered by the Chapter Historian(s), in cooperation with the Vice President for Administration, Chapter executive staff, and the presidents or chairs of the affiliated entities.
5. **Authority.** This policy is established in accordance with action taken by the APA California board in October 2015, and is effective on the date signed by the Chapter President (see last page).
6. **Effective Date.** This policy is effective immediately upon adoption.

POLICY AND PROCEDURES

7. Records Subject to Retention for the Archives.

- a. **Permanent and Historical Organizational Records.** Effective with the adoption of this policy, each of the entities described in Section 1 above shall transmit two (2) hard copies of the following documents to the Chapter Historian. If sensitive or aged original materials are available, then we suggest that those materials be provided to the archive so that they may be properly conserved in accordance with archival standards:
- Articles of Incorporation
 - Foundational documents (reports or other key documents filed and acted upon in creating the entity)
 - By Laws. If more than one set of by-laws exist representing different periods of time, then one copy of each shall be transmitted.
 - Organizational Procedures Manual, if one exists.
 - Past issues of publications. Examples would include *Perspective*, (1940s); the *AIP* *CalChapter News* (1950s-1960s); *California Planner* (1970s -), *Westplan* (1980s), and/or their successors.

- b. **Regular Organizational Records.** For each of the entities or bodies provided in Section 1 above, the following records should be retained and transmitted on an annual basis to the Chapter Historian, where applicable:
 - Annual Budget
 - Final Minutes of Board Meetings
 - Financial Reports
 - Membership Reports
 - Administrative Procedures and Reports
 - Action Reports appearing on a regular Board Agenda, exclusive of attorney-client privileged documents and documents deemed inappropriate for this purpose by the Executive Director or Board President.
 - Policy Reports
 - Annual Awards Publications/Awards Event Program (whether embedded in California Planner or as a standalone publication) announcing the winners of Chapter outstanding planning awards, leadership awards, Historian Awards, PEN awardees, etc.
 - Legislative Reports by the Executive Director, but not including print outs of pending bills in the State Legislature.
 - Conference Programs.
 - c. **Publications and Periodicals.** Each year a full set of publications for that year shall be sent to the Chapter Historian. These may be bundled and sent once annually or the Chapter Historian may be added to the subscription list and receive them as they are released.
 - California Planner
 - Section Newsletters
 - California Planning Roundtable Annual Report
 - California Planning Foundation Annual Report
 - California Planning Roundtable White Papers and Policy Reports
 - Annual Conference Programs, but not including syllabi or workbooks.
 - d. **Plans.** Major planning documents issued by California planning agencies that reflect contributions by members of APA California, including but not limited to:
 - General Plans
 - Specific Plans
 - Community Plans
 - Areawide and Corridor Plans
 - Special Studies
 - Regional Plans
 - Design Plans
 - One set of plans submitted for APA California awards
8. **Right to Accept or Reject Materials.** The Urban Archives program at California State University Northridge retains the right to accept or reject donated materials, and to manage them in

accordance with its best practices, as defined in the agreement between the Chapter and CSUB that established the archives.

9. **Form for Submittal.** At present, paper remains the most durable means of preservation of archival documents, and at this time archives prefer to receive materials in hard-copy paper form. CSUN is currently exploring a variety of options for digital storage and transmission, and at such point that those options are readily available, these guidelines will be amended to incorporate digital transmission. In a case where there is no record of a document except a digital record, the provider should consult with the Chapter Historian or Archives staff.
10. **Packaging:** Materials boxed for delivery to the archives should be packaged with due consideration for weight and safety. We recommend a box no larger than the size of a standard paper box be used; and if the contents are heavy, that box should be properly reinforced with packing tape.
11. **Submittal Process and Delivery Schedule.**
 - a. **Submittal Schedule.** While the Chapter Historians may receive documents at any time during the year, the Historians recommend that the regular delivery of the previous year's documents for any officer or affiliate body be delivered starting in January (but no later than March 1) following the conclusion of the previous year (assuming a January to December calendar). Special arrangements may be made with the Chapter Historians for off-cycle deliveries.
 - b. **Review and Processing by Chapter Historians.** Documents submitted to the Archives shall be boxed and sent to the Chapter Historians for review and initial processing. That processing may involve removing duplicates, pulling documents required for reference, and checking to make sure that the contents of the submittal are suitable for the archive.
 - c. **Transmittal to Urban Archives at CSUN.** Once this review is completed, the Chapter Historian shall prepare a transmittal document describing the precise contents of the materials being transmitted. The CSUN archives will also require the Historians to transmit a cover document authorizing them to process and maintain the documents under their rules and procedures.
12. **Administrative Provisions.**
 - a. **Interpretation.** Interpretations of this policy shall be made by the Chapter Historian in connection with the administrator or staff liaison assigned to APA from the Oviatt Library at California State University, Northridge.
 - b. **Non-California Documents.** Documents that may not emanate from the California Chapter, but are archival records of the national parent organization (American Planning Association) may be transmitted to the Historians for consultation with the Librarian at National APA's

offices for a determination as to whether these should be placed on file with National APA's archives at Cornell University.

- c. **Other Rules and Regulations.** This policy shall not apply where superseded by other rules or regulations of the Chapter, provisions of California law, or parent policies of the American Planning Association.
13. **Review and Approval.** This policy was reviewed and approved by the Board of Directors of the California Chapter, American Planning Association, at a meeting and teleconference conducted March 18, 2016.