



## ADMINISTRATIVE POLICY SUBMISSION AND RETENTION OF RECORDS FOR THE APA CALIFORNIA ARCHIVES

The following represents Chapter 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. **Objectives.** The APA California Archives at California State University, Northridge, (hereafter CSUN) are intended to serve two overarching objectives:
  - a. To document and preserve the history of the California Chapter of the American Planning Association, its affiliated organizations, and its predecessors (dating back to 1948 for the California Chapter and to 1933 for the California Planners' Institute).
  - b. To document and preserve the history of planning and the planning profession in California.

### RETENTION AND PRESERVATION OF CHAPTER AND AFFILIATED ORGANIZATION RECORDS

1. **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/Emerging Professionals Group
  - 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).
2. **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 affiliated 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



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personnel matters, personal financial information (e.g., records of personal checks), and litigation documents.

3. **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.
4. **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 above shall transmit two (2) hard copies of the following documents to the Chapter Historians. If sensitive or aged original materials are available, those materials should be provided to the Archives 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 identified 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.



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- 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.
  - One set of plans that have won APA California awards

### RETENTION AND PRESERVATION OF DOCUMENTS DONATED BY PRIVATE PARTIES

1. **Type of Documents.** 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
  - Video and Audio Recordings
  - Photographs, provided they are properly labeled, dated, and captioned
  - Documents identified in the previous section that fill in gaps in the existing collection of Chapter and affiliated organization records that have already been archived by CSUN
2. **Criteria and Priorities for Acceptance of Documents.** Documents should have been produced/published/issued by a California planning organization (e.g., city, county, regional planning agency, NGO) and focus on local, regional, or statewide planning issues. Documents relating to planning in other states are generally not candidates
  - Documents should be unique or historically significant, with a direct connection to the evolution of planning in California (e.g., tied to a historical event, legislative enactment or connected to an emerging movement or field of study) or unique because of the technology used to produce them, the originality of the analytical approach employed, the



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excellence of the writing or exposition, or the high quality of the graphics or illustrations used in the document

- Any documents produced/published prior to 1970 are of particular interest
- Text books or other documents published by a commercial or academic press are not candidates for archiving
- Studies and documents related to national planning issues may be submitted to the Chapter Historians for possible forwarding to the National APA Archives
- High priority for archiving will be placed on California plans or studies that have been formally recognized as award winners by APA California or National APA or were produced by formally recognized Planning Pioneers that have made significant contributions to California planning
- Plans and documents that may be locally or regionally significant but perhaps not significant in the context of California should be submitted/donated to appropriate city, county, college/university or privately controlled but publicly accessible libraries
- Documents that are systematically archived by some other institution (e.g., State Library) and are publically accessible are not candidates for archiving in the Chapter Archives
- Private document donations must be submitted by or on behalf of a current or former member of APA California or one of its affiliated organizations.

### DOCUMENT SUBMISSION GUIDELINES

1. **Prior Consultation.** Potential donors of private document collections are encouraged to contact the Chapter Historians before sending any documents for processing to the Historians.
2. **Prior Review by Donors.** Donors of private document collections are expected to conduct a preliminary review and culling of proposed donations to ensure that duplicate and documents of non-archival value are removed.
3. **Evaluation by Chapter Historians.** Private document collections will not be accepted for archiving unless they have been reviewed by one of the Chapter Historians for consistency with the objectives and policies of APA California and the CSUN University Library.
4. **Right to Accept or Reject Materials.** The Special Collections and Archives program at CSUN 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 CSUN that established the archives.



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5. **Format of Submitted Documents.** Historically, the Archives has preferred to receive materials in hard-copy paper form. However, in 2020 the Archives has begun to also accept digital material, including photos, that is saved on external devices like a flash drive or on CDs/DVDs. They can also accept material on outdated formats like floppies and mini-cassettes.
  
6. **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.
  
7. **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 Special Collections and Archives at CSUN.** Once this review is completed, the Chapter Historians 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.
  
  - d. **Financial Contributions.** Donors of larger private document collections are encouraged to consider making a financial contribution to subsidize the cost of processing and archiving the documents donated. The processing and archiving document collections accompanied by a financial contribution may be given priority in the schedule for archiving at CSUN.
  
8. **Administrative Provisions.**



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- a. **Interpretation.** Interpretations of this policy shall be made by the Chapter Historians in connection with the administrator or staff liaison assigned to APA from the University Library at CSUN.
  - 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.
9. **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 January 22, 2021.