

Why Do We Need This Training?



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General Guidance

1. Please remember that while you are in the on-line classroom, all other participants **can hear everything** you say (even in the background), and **can see everything** you write on the whiteboard.
2. Please make sure that all phones are muted during the sessions. **Press *6 and you phone will be muted.**
3. If you would like to **send a note / comment**, please send to **“all”** so that everyone can see the question and then hear the answer to that question.
4. Take a vote: How many of you participated in the first round of trainings on essential records?
5. Take a vote: How many of you are participating in today’s session with a group of co-workers?
If so, how many of you are there in your group? (Send # as a note)

Retention Schedules Covered During This Session

Retention Schedules covered in session: Audit, Bond, Electronic Communications (E-mail) and Social Networking, Financial, Human Resources, Information Technology (I.T.), Purchasing / Procurement, Sales Tax and Licensing, and Warehouse / Supply

- Audit Records:
 - <http://www.azlibrary.gov/records/documents/pdf/all%20-%20audit.pdf>
- Bond Records:
 - http://www.azlibrary.gov/records/documents/pdf/all%20-%20bond_ocr.pdf
- Electronic Communications Records:
 - <http://www.azlibrary.gov/records/documents/pdf/all%20-%20email.pdf>
- Financial Records:
 - <http://www.azlibrary.gov/records/documents/pdf/all%20-%20Finance.pdf>
- Human Resources Records:
 - http://www.azlibrary.gov/records/documents/pdf/all%20-%20HR_ocr.pdf
- Information Technology Records:
 - http://www.azlibrary.gov/records/documents/pdf/all%20-%20IT_ocr.pdf
- Purchasing / Procurement Records:
 - <http://www.azlibrary.gov/records/documents/pdf/all%20-%20purchasing.pdf>
- Sales Tax and Licensing Records:
 - http://www.azlibrary.gov/records/documents/pdf/county_city%20-%20tax.pdf
- Warehouse / Supply Records:
 - <http://www.azlibrary.gov/records/documents/pdf/all%20-%20warehouse%20supply.pdf>

Agenda For Today's Session

1. What we learned in the first training

Quick review

2. Where we are going today

a. We will review the assigned Retention Schedules

b. We will discuss each records series as Essential or not?

c. We will be voting on each records series using the "raise hands" feature

Today's Agenda - continued

3. Basic Ground Rules

- a. ASLAPR is here as the facilitator for discussion
- b. All participants will need to be muted to help with sound distortion
- c. Please raise your hand if you wish to speak
- d. Feel free to submit notes during session for discussion
- e. When we get to the portion of the sessions where we begin “voting” on which records series are essential for most public bodies, we would like to propose the following process: Majority Rules – we will be voting on which records series are deemed “essential” and will go with a majority rules approach. Will this be OK?

Today's Agenda - continued

4. Discussion of Form and information needed

- a. What information do you think will need to be captured on the Lists form?
- b. What information do you think your successor(s) will need on the Lists that you compile and report?
- c. Would you like to include the locations and formats of the records listed as essential?
- d. Review of some Lists currently in use in US.

5. What's Next for Essential Records

“Records” — As Defined By Statute

41-151.18. Definition of records

In this article, unless the context otherwise requires, "records" means all books, papers, maps, photographs or other documentary materials, **regardless of physical form or characteristics**, including prints or copies of such items produced or reproduced on film or electronic media pursuant to section 41-151.16, **made or received by any governmental agency** in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor **as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government**, or because of the informational and historical value of data contained in the record, and includes records that are made confidential by statute.

ARS §41-151.14:

5.A. The head of each state and local agency shall:

Once every five years submit to the director **lists of all essential public records** in the custody of the agency.

ARS §41-151.12 - Essential Records Defined

Two Categories of Essential Records:

“4. Establish criteria for designation of **essential records** within the following general categories:

(a) Records containing information necessary to the operations of government in the emergency created by a disaster.

(b) Records containing information necessary to protect the rights and interests of persons or to establish and affirm the powers and duties of governments in the resumption of operations after a disaster.”

Why Prepare for the Worst?

- Records custodians must be prepared to protect their essential records so that, in the **event of an emergency**, their **offices can recover quickly** and **return to service** for the residents of their state or locality.

Essential Records: How Do I Identify Them?



Five Types of Essential Records

Records are considered essential when they:

1. Are necessary for emergency response
2. Are necessary to resume or continue operations
3. Protect the health, safety, property, and rights of residents
4. Would require massive resources to reconstruct
5. Document the history of communities and families

More About Essential Records

- Essential records require special protection strategies to ensure they are protected and accessible.
- Essential records can be found in any format and in any medium.

Four Sources of Essential Records Information

- Essential records differ by agency.
- Each agency must determine which of its records is or are essential.
- What you need to know to identify essential records:
 1. Your agency's essential functions
 2. The stakeholders
 3. Your agency's records
 4. Relevant statutes, regulations, and standards

Differentiate Essential Records from Other Records

- Only a small percentage of records are essential
- Its critical value during and/or after an emergency makes a record essential.
- As disruption time increases, more records become essential.



Retention Schedules as Resources

- Retention Schedules are “lists” of records that are being created or received by public bodies.
- Some of the records series listed on Retention Schedules will be essential records.
- A great place to start when thinking about your essential records is by reviewing all the General and Custom Schedules that apply to your public body .
- During review, decide which records series on these Schedules are essential for you and circle the records series number.

Audit Records

1. Financial Audit Records

- a. Organization wide

- b. all others

1. Internal Audit Records

2. Performance Audit Reports

- a. Organization wide

- b. all others

1. Sales Tax and Franchise Audit Records

Bond Records

1. Bond Catalog or Listing
2. Bond Rating Records
3. Bond Records
4. Bond Redemption Records
5. Bond Registration Records
6. Bond Transaction Ledger
7. Trustee's Records
8. Unissued Bond Records

Electronic Communications

1. Official Email Records
2. Duplicate / Copies of Records
3. Official Social Media Records
4. Duplicate / Copies of Records
5. Format and Control Records
6. Official Website Records
7. Duplicate / Copies of Records
8. Format and Control Records

Financial Records

1. Accounts Payable and Receivable Records
2. Banking Records
3. Budget Records
 - a. Official approved and appropriated
 - b. all others
4. Capital Asset Records
5. Census Bureau Reports
6. Comprehensive Database
7. Deposits with Treasurer
8. Financial Management Records

Financial Records

9. Financial Reports

- a. Annual Financial Statement (CAFR)

- b. all others

10. Internal Revenue Service / Dept of Revenue Records

11. Investment Records

12. Lien Records

13. Medicaid in Public School Records (MIPS)

14. Payroll Records

15. Third Party Collection Records

16. Unclaimed Property Records

Human Resources / Personnel Records

1. Affirmative Action / Equal Employment Opportunity Records
2. Alcohol / Drug Testing Program Records
3. Americans with Disabilities Act Records
4. Benefit Enrollment Records
5. Civil Service / Merit Board / Personnel Board Records
6. Classification / Market Study Records
7. Declaration of Gifts Records
8. Department of Economic Security New Hire Reports
9. Disability Records
10. Employee Consolidated Omnibus Budget Reconciliation Act (COBRA) Records
11. Employee Medical and Exposure Records

Human Resources / Personnel Records

12. Employee Personnel Records
13. Employee Recognition Records
14. Employee Suggestion Program Records
15. Employee Summary Records
16. Employee Survey / Questionnaire Records
17. Employee Tuition Refund Program Records
- 18 Examination Records
19. Family Medical Leave Act (FMLA) Records
20. Fingerprint Cards
21. Flexible Spending Account Records
22. Grievance and Complaint Records
23. Group Insurance Records
24. Hiring / Selection Records
25. Individual Employee Training Records
26. Insurance Policies
27. Investigations of Personnel Matters Records

Human Resources / Personnel Records

28. Investigation Records (DMV)
29. I-9 Records
30. Job Announcements
31. Leave Records
32. Life insurance Paid Claims
33. Merit based Pay Funding Records
34. Multi-Lingual Testing Records
35. Occupational Safety and Health Records (OSHA)
36. Out-of-Class Assignment Reports
37. Pay Plan / Salary Schedule / Annual Salary Schedule Records
38. Polygraph Records of Law Enforcement or Probation Officers
39. Position Descriptions
40. Reduction in Force (RIF) Records
41. Requests for Classification of New Positions or Reclassification Records

Human Resources / Personnel Records

- 42. Requests for Verification of Employment
- 43. Retirement Benefits Records
- 44. Retirement Systems and Actuarial and Annual Reports
- 45. Social Security Verification Records
- 46. Special Work Assignment Records
- 47. Statistical Listing of Employee
- 48. Test Security Affidavits (School Districts)
- 49. Unemployment Claims and Appeals Records
- 50. Union / Collective Bargaining Records
- 51. Unsolicited Applications
- 52. Wellness Fair Records
- 53. Workers' Compensation Records

Information Technology

1. Application Records
2. Back-up Tape Library Records
3. Computer System Maintenance Records
4. Conversion, Integration and Migration Plan Records
5. Data Model, Use Cases and Process Model Records
6. Department Service Request Records
7. Distribution Lists
8. Enterprise Architecture Records
9. Geographic Information System (GIS) Records
10. Information Technology Configuration Management Records
11. IT Capital Investment Records
12. IT Operations / Production Records
13. Logs
14. Master File Content Records
15. Problem Records for Software Infrastructure
16. Security Records
17. Test and Certification Records

Purchasing / Procurement Record

1. Contract and Lease Records
2. Unsuccessful Bids
3. Late Received Bids
4. Canceled Solicitation Records
5. Vendor Lists
6. Purchase Order Records
7. Protest Records
8. Credit Memos
9. Oral and Written Quotations
10. Vendor Records

Sales Tax Records

1. Business Bankruptcy Records
2. Business Licenses Trial Balance Records
3. Complaint Brought by Citizen Records
4. Franchise Records
5. License / Permit Records
6. Lists of Inactive Business Accounts
7. Sales Tax Records
 - a. License application cards
 - b. Statistical Records
 - c. All others
8. Solicitor's Applications
9. Write-Off Records

Warehouse Records

1. Physical Inventory Records
2. Supplies / Consumables Acquisition Records
3. Supplies / Consumables Control Records
4. Supplies / Consumables Disposal Records

Continuing Process for Submitting Lists

- These follow-up sessions are the next step in the process of integrating ARS §41-151.14 into Records Management: “submit to the director **lists of all essential public records** in the custody of the agency.”
- ASLAPR will create the form for you to use.
- ASLAPR will refine and define the process for you to use to submit these lists.
- In **June (approximately)**, we will follow-up with you all on the next steps – completing the form and submitting the “lists”.

The FORM to submit “Lists of Essential Records – What Will be Needed?”

How many of you would like to see the following be included on the Essential Records FORM:

1. Location of Essential records
2. Format (paper, digital, microfilm, backup tape, etc) of essential records
3. Timeframe records would become essential – first 24 hrs, 48 hrs, 72 hrs, 1 week, etc.
4. Designate which type of essential records they are – which of the 5 types is that record?

Got Questions?



Any Questions?

HELPFUL CONTACTS

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Department of Emergency and Military Affairs / Emergency Management – Preparedness:

<http://www.dem.azdema.gov/preparedness/index.html>

Phone: (602) 244-0504 / Toll Free: 1-800-411-ADEM (2336)

Council of State Archivists (CoSA) / Emergency Preparedness:

<http://www.statearchivists.org/prepare/index.htm>

Telephone: 518-473-9098 / Fax: 518-473-7058

Federal Emergency Management Agency:

<http://www.fema.gov/plan-prepare-mitigate>