

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 -

- Assessor Records:
 - http://www.azlibrary.gov/records/documents/pdf/county%20-%20%20assessor_ocr.pdf
- Election Records:
 - http://www.azlibrary.gov/records/documents/pdf/all%20-%20election_ocr.pdf
- Recorder Records:
 - <http://www.azlibrary.gov/records/documents/pdf/Counties%20-%20recorder.pdf>
- Treasurer Records:
 - <http://www.azlibrary.gov/records/documents/pdf/county%20-%20treasurer.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.

Assessor Records

1. Assessor Database Records
 - a. Temporary
 - b. Historic
2. Aerial photographs, maps and Worksheets
3. Affidavits of Affixture
4. Affidavits of Primary Residence
5. Agricultural land Records
6. Board Orders to Change Property Values
 - a. Changes Accepted
 - b. Appeal Records
7. Business Property Statements
 - a. Notices of Value
 - b. Appeal Records
8. Construction Plans
9. Cost / Market / Land Value Model Records
10. Exemption lists for Board Approval
11. Exemption Records
12. Exemption Reference Listings
13. Golf Course Records
14. Historic Property Records

Assessor Records

15. Mobile Home Ad Valorem Tax Clearance Records
16. Mobile Home Dealer Reports
17. Mobile Home Park Cards
18. Mobile Home Parks Reports
19. Mobile Home Reports
20. Property Records Cards
21. Redaction Records
22. Rental Forms
23. Resolutions (Tax Bill Correction records)
24. Senior Freeze Applications
 - a. Denied
 - b. Aproved
25. Tax Deferral Records
26. Value Change Records
 - a. Appeal Records
 - b. Returned Notices

Elections Records

1. Candidate Records
 - a. If elected
 - b. If not elected
 - c. Federal elections
2. Court Challenge Records
 - a. Historical
 - b. All others
3. Cumulative Independent Expenditure Notification Forms
4. Department of Justice Records
5. Election Records
 - a. State and Local
 - b. Federal and Presidential
 - c. Political subdivision records
6. Election Violation Complaint Records
 - a. Resolved through litigation
 - b. Resolved without litigation
7. Maps
8. Official Canvass

Elections Records

9. Political Action Committee (PAC) Records
 - a. Standing PAC
 - b. All others
10. Polling Place Records
 - a. Presidential Preference
 - b. All others
11. Poll Worker for Election Day Records
12. Publicity Records
 - a. Historical
 - b. All others
13. Report of Voter Statistics
14. Signature Rosters
15. Title 19 Records
 - a. Historical
 - b. Petitions
 - c. Application for initiatives, recalls and referendums
16. Video Recording of Ballot Counting

Recorder Records

1. Blotters
2. Fee Collection Records
3. Indices to Recorded Instruments, Maps and Plats
4. Index Reports
5. Official Oaths
 - a. County Recorders
 - b. Other elective county and elective precinct officers
6. Recorded Instruments
 - a. Original instruments, maps and plats
 - b. microfilm (original silver halide master)
 - c. Non-silver halide microfilm or electronic
 - d. Returned mail instruments

Recorder Records

7. Signature Rosters / Voter History
 - a. For traditional elections
 - b. For elections fully mail-in / on-line
8. Uniform Commercial Code (UCC) Article 3 Requests for Information
9. Voter Notification Records
- 10 Voter Registration Records Database
 - a. Output records
 - b. Database and data fields
 - c. Input records
 - d. System records

Treasurer Records

1. Annual Tax Rolls
2. Bankruptcy Records
3. Collateral Records
4. Expired Tax Lien Records
5. Investment Records
6. Tax Collection and Processing Records
7. Tax Database Records
 - a. Official record
 - b. Copy where official record is paper or microfilm
8. Tax Disbursement or Distribution Reports
9. Tax Lien Sales Records from Administrative and Judicial Foreclosures
10. Tax Receivable Ledgers
11. Tax Service or Impound Books

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.”
- What’s Next in the Essential Records Process?
 - ASLAPR will create and distribute 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>