

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: Administrative, Administrator, Manager (both County and Municipal), Clerks (both County and Municipal), Management, Mayor

- Administrative Records:
 - http://www.azlibrary.gov/records/documents/pdf/all%20-%20admin_ocr.pdf
- Administrator, Manager Records:
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104318627.pdf>
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104415711.pdf>
- Clerks Records:
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104434254.pdf>
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104330879.pdf>
- Management Records:
 - http://www.azlibrary.gov/records/documents/pdf/all%20-%20management_ocr.pdf
- Mayor Records:
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104445289.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.

Administrative Records

1. Accident and Fire Prevention Program Records
2. Administrative Directives (Fire Districts Only)
3. Advertisements
4. Appointment Calendars
5. Assurance Statements
6. Certificates of Compliance
7. Citizenship Verification Records
 - a. Filed with application paperwork
 - b. Filed separately from application paperwork
8. Customer Service Records
9. File Plans
10. General Correspondence
11. Highly Qualified Teacher Forms (School Districts / Charter Schools only)

Administrative Records

12. Logs
13. Office Internal Administrative Records
14. Permit Records
15. Progress / Activity / Statistical Reports and Performance Measure Records
16. Records Retention Schedules
17. Reports of Destruction / Single Requests for Records Destruction / Transfer
18. Requests for Imaging Implementation
19. School District Employee Reports (SDER)
20. Source Records
 - a. Data entry forms
 - b. Electronic and microfilm
21. Staff Meeting Minutes

Administrative Records

22. Surveillance Tapes

23. Survey Records

24. Title I and Title VI Records (Schools-related)

25. Training Records

a. Syllabi, handouts and presentation materials

b. Attendance lists, evaluations and other related records

26. Transitory Materials

27. Voice Mail

a. Records providing substantive information or direction

b. All other records

28. Working Records

Administrator, Manager Records (County and Municipal)

1. Activity Reports Submitted by County /
Municipal Agencies
 - a. Weekly, monthly or quarterly
submissions
 - b. Annual reports
2. Special Project Files
3. Citizen Complaint Files

Clerk Records (County and Municipal)

2. Ordinances
3. Resolutions
4. Monthly and Annual Reports to State Treasurer
6. Fee Books / Receipts
7. Special District Files
8. Financial Disclosure Statements
9. Official Oaths
 - a. County Recorder
 - b. Other elective officials
10. Board of Equalization Files
 - a. Tax roll correction orders
 - b. Administrative appeals package
11. Franchises / Licenses
12. Liquor Licenses / Permits
13. Public Notices and Affidavits of Publication
14. Deeds
15. Bond Files
16. Budgets

Clerk Records (County and Municipal)

17. Contracts
18. Insurance Files
19. Intergovernmental Agreements
20. Bequests
21. Special District bond issue files
22. Sales Tax Reports
23. State Compensation Reports
24. Treasurer's Reports
25. Warrants and Warrant Registers
39. Annual Reports of Special Taxing Districts

Clerks (Municipal Specific)

- 8. Mayor's Annual Speech
- 11. Proclamations
- 12. Charter, Amendments and Incorporation files
- 13. Code Books
 - a. Municipal codes
 - b. Uniform codes
- 21. Abandonments
- 22. Easements
- 23. Subdivision Plats
- 46. Cemetery Internment Records
- 47. Legal Opinions
- 48. Progress / Activity Reports
- 49. Municipal Annual Report
- 50. Annexation Files
- 51. Certificate of Sale
- 52. Municipal Audit Reports

Management Records

1. Annexation Records
2. Annual Reports
 - a. Public body-wide reports
 - b. All other reports
3. Certificates of Posting
4. Charter, Amendment and Incorporation Records
5. Committee...Reports / Studies
 - a. Resulting in no action
 - b. Resulting in project
6. Committee...Records
7. Contracts, Agreements, Leases and related records
8. Disaster Recovery Records
9. Executive Correspondence
10. Grant Records
 - a. Administration and Financial records
 - b. Programmatic records
 - c. Unsuccessful grant application records

Management Records

11. Information Security and Privacy Incident Records
12. Legislation Records
 - a. Legislation proposed for agency
 - b. Legislation tracking records
13. Minutes
 - a. Most Boards...
 - d. Executive session, Work study and study sessions
 - e. Audio or video recordings
 - f. Staff meetings
14. Notices of Public Posting Locations
15. Organizational Reporting Records
16. Policy and Procedure Records
17. Project Records
 - a. Historic
 - b. All others
18. Public Body Policies, Directives, General Orders, Board Orders, Mission Statements, and Administrative Orders

Management Records

19. Public Information Records

- a. Historic
- b. All others

20. Publications Produced by Public Bodies

21. Request to Speak Cards

22. Rule-Making Records

- a. Enacted rules
- b. Proposed but not adopted

23. School Facilities Board (SFB) Records

24. Strategic Plans and Goal Records

25. Trademark, Copyright and Patent Records

Mayor Records

1. Constituent Correspondence
 - a. Regarding public policy
 - b. Other
2. Council Communications
3. Speeches
 - a. Annual
 - b. Final Version
 - c. Drafts

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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Toll Free: 1-800-228-4710 (Arizona only)

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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>