Why Do We Need This Training?
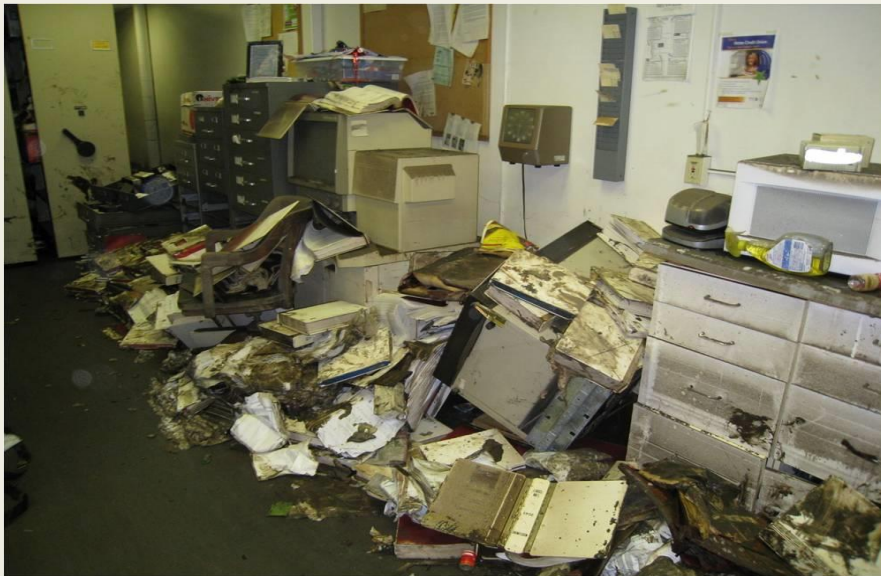
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General Guidance

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. <u>Take a vote:</u> How many of you participated in the first round of trainings on essential records?

5. <u>Take a vote:</u> 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: Cemetery, Coroner / Medical Examiner, Medical, Public Health
- Cemetery Records:
- http://www.azlibrary.gov/records/documents/pdf/city_county%20-%20cemetery.pdf
- Coroner / Medical Examiner Records:
- http://www.azlibrary.gov/records/documents/pdf/Counties%20-%20coroner.pdf
- Medical Records:
- http://www.azlibrary.gov/records/documents/pdf/all%20-%20medical.pdf
- Public Health Records:
- http://www.azlibrary.gov/records/documents/pdf/all%20-%20public%20health.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

Todays 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. <u>Definition of records</u>

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, <u>and includes records that are made confidential by statute</u>.

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 <u>containing information necessary to the operations of government in the emergency</u> created by a disaster.

(b) Records <u>containing information necessary to protect the rights and interests of persons</u> or <u>to establish and affirm the powers and duties of governments</u> 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 <u>identify essential records:</u>

    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.

Cemetery Records

1. Burial Records
2. Cemetery Regulations and Procedures
3. Government Marker Requests
4. Indexes / Listings of Interments and Reserved Plots
5. Maps and Block Records
6. Release of Liability Records

Coroner / Medical Examiner Records

1. Case Records
       a. Landmark cases
       b. Unidentified Person or Undetermined Death
       c. Homicides
       d. Suicides
       e. Accidental or Natural Causes
       f. Natural Causes
2. Cremation Records
       a. Certificates
       b. Logs
3. Inquest Records
4. No Investigation or No Jurisdiction Records
5. Personal Property Records
6. Specimen Tracking Sheets

Medical Records

1. Patient Medical Records
   a. Adults
   b. Juvenile
   c. School District Students
2. Prescription Records
3. Medical Imaging Records
   a. Mammography records
   b. Adults
   c. Juveniles

Public Health Records

1. Academic Affairs Records
2. Appointment Records
3. Charge Records
4. HIPAA Standard Documentation Records
5. Indigent Health Care Administration Records
6. Medicare Records
   - a. Licenses and Permit records
   - b. Patient Account records
   - c. Medicare Reimbursement records
7. Registers
8. Clinical Trial Agreements
9. Compliance Records
10. Central Log of Patients
11. Lists of On-call Physicians
12. Disease Indices
13. Emergency Room and Paramedic Communication records
14. HIV Records
15. Hospital and Outpatient Clinic Records
16. Indices to Patient Records
    - a. Historic
    - b. All others

Public Health Records

17. Records to Individuals Transferred to / from Hospital
18. Release or Disposal of Human Remains Records
19. Sterilization Logs
20. Blood and Blood Component Disposition Records
21. Blood and Blood Product Testing Records
22. Immunohematology Records and Transfusion Records
23. Patient Testing Records
24. Refrigeration and Blood Inspection Records
25. Requests for Tests
26. Admission Listings, Registers and Statistical Records
27. Operative Indices
28. Physician Indices
29. Registers of Surgical Procedures
30. Rounds and Assignment Sheets
31. Tumor Registry Records
32. Bylaws and Rules / Regulations
33. Medical Staff Services Records

Public Health Records

34. Physician Services Agreements
35. Nursing Training Records
36. Private Duty Nurse Records
37. Daily Assignment Schedules
38. Dietary Records
    a. Food costs
    b. Meal counts
    c. Menus
39. Women, Infants and Children (WIC) Food Program Records
40. Citizen Complaint Records
41. Food Handler Training Records
42. Legal Action Records
43. Permitted Establishment Records
44. Public and Semi-public Swimming Pool Inspection Records
45. Controlled Substances Records

Public Health Records

46. Quality Monitoring Records
47. Radioisotope Records
48. Requests for Tests
49. Applications for Copy of Birth / Death Records
50. Birth / Death Certificate Registration Records
51. Correspondence
52. Corrections
      a. Birth
      b. Death
53. Disposal of ?? Permits
54. Paternity 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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    Toll Free: 1-800-228-4710 (Arizona only)

Jerry Lucente-Kirkpatrick: jkirkpatrick@azlibrary.gov

    Phone: 602-926-3820 / Fax: 602-256-2838

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