

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: Curriculum Office, Financial Aid, Food Service / Student Activities / Auxiliary Operations, Institutional Research, Registrar, School Superintendent, Student Housing, Student Records, Undergraduate Admissions

- Curriculum Office Records:
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104301620.pdf>
- Financial Aid Records:
 - <http://www.azlibrary.gov/records/documents/pdf/Higher%20Education%20-%20financial%20aid.pdf>
- Food Service / Student Activities / Auxiliary Operations Records:
 - <http://www.azlibrary.gov/records/documents/pdf/Food%20Service.pdf>
- Institutional Research Records:
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104307557.pdf>
- Registrar Records:
 - <http://www.azlibrary.gov/records/documents/pdf/Higher%20Education%20-%20Registrar.pdf>
- School Superintendent Records:
 - <http://www.azlibrary.gov/records/documents/pdf/county%20-%20school%20superintendent.pdf>
- Student Housing Records:
 - <http://www.azlibrary.gov/records/documents/pdf/Higher%20Education%20-%20student%20housing.pdf>
- Student Records:
 - <http://www.azlibrary.gov/records/documents/pdf/school%20-%20Student.pdf>
- Undergraduate Admissions Records:
 - <http://www.azlibrary.gov/records/documents/pdf/Higher%20Education%20-%20Undergrad%20Admissions.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.

Curriculum Office Records

1. Curriculum History Files
2. College curriculum council minutes

Financial Aid Records

1. Annual fiscal Operations Reports
2. Financial Aid Records
3. Fiscal Operations Reports and Applications to Participate (FISAP) and Financial Aid Detail Reports
4. Scholarship Listings
5. Summary of Outstanding Loan Records

Food Service / Student Activity Records

1. Accounts Payable and Receivable Schedules
2. Athletic Ticket Sales Reports
3. Auxiliary Operations and Student Activities Financial Records
4. Cash Records (records series #4 – 6)
7. Daily Sales Reports (#7 and 8)
10. District Log of Tickets / Meals Cards on hand and Issued.
11. Monthly Federal Reimbursement Claims
12. Monthly Reports of Cash Receipts, Disbursements, Transfers and Cash Balances
13. Refund / repurchase records

Food Service / Student Activity Records

14. School Logs of Charge Sales
15. School Logs of Tickets / Meal Cards Received and Issued
16. Support Records for Expenditures and disbursements
17. Student Charge Records
18. Unused Ticket / Meal Card Refund Slips
19. Unused Meal Tickets
20. Daily Report of Tickets / Meals Cards Issued and Sold
21. Cash Advance Records
22. Application for Federal Assistance
23. Extracurricular Activity Records

Institutional Research Records

1. Cyclical Internal reports
 - a. Final official copy
 - b. Support materials
2. Special Internal Reports
 - a. Final official copy
 - b. Support materials
3. Reports to State, federal government and North Central Accreditation Association
 - a. Final official copy
 - b. All others
4. Reports to Other External Agencies
5. Cyclical Reports Issued by Other Organizations
6. Information Provided by IR to other Organizational Units (copies)

Registrar Records

1. Permanent Student Records
2. Enrollment Reports Prepared for Arizona Board of Regents (ABOR)
3. Veterans (G.I. Bill) Student Records
4. Routine Office Records

School Superintendent Records

1. Accommodations School Records
 - a. Annual Financial Report
 - b. Others
2. Certificates of Educational Convenience
3. Expense Warrant Registers
4. Federal Project Monitoring Records
5. Homeschooling Records
6. Pesticide Application Notifications
7. Private School Affidavit Records
8. Records for School Districts NOT maintaining their own records

School Superintendent Records

9. School District Advice of Encumbrance Records
10. School District Employee Reports
11. School District Financial Reports
12. School District Audit Reports
13. School District Budget Expense Reports
14. School District Budget and Expense Journals
15. School District Reports not listed elsewhere in this schedule
16. Teacher Certification Reports

Student Housing Records

1. Student Resident Records

Student Records

1. Daily Attendance Records
2. School Registers
3. Certificates of Educational Convenience (CEC)
4. Disciplinary Records
5. Excused Absence Records
6. Child Abuse Reports
7. Counseling Session Records
8. Professional and Working Records
9. Federal Survey Records
10. Access and Release Records
11. Grade Records
12. Standardized Test Score Sheets
13. Student Activities Records
14. Pesticide Notification Records
15. Health Records
16. Immunization Records (Card from Dept of Health Services)

Student Records

17. Anecdotal Records
18. Non-medical Professional Reports
19. Student Withdrawal Notices
20. Permanent Student Records
21. Special Education Records
22. Special Education Census Records
23. Student Insurance Records
24. Student Population Studies
25. Tuition Program Records
26. Affidavits of Intent to Home School (copy)
27. Juvenile Probation Records
28. Registration Records for Students who Never Attend School
29. Pre-School Records
30. Composite Test Scores and Growth models
31. Annually Update Records
32. All Other Non-permanent Student Records

Undergraduate Admissions Records

1. Undergraduate Application Records
2. Undergraduate Admissions Appeal Records
3. Correspondence
4. Routine Admissions Office 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)

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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>