

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: Building Safety and Inspection, Flood Control, Planning and Zoning, Streets (Public Works), Water and Sewer (Public Works), Highways (Transportation)

- Building Safety and Inspection Records:
 - http://www.azlibrary.gov/records/documents/pdf/city_county%20-%20building.pdf
- Flood Control Records:
 - http://www.azlibrary.gov/records/documents/pdf/city_county_special_state%20-%20flood%20control.pdf
- Planning and Zoning Records:
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104359153.pdf>
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104450845.pdf>
- Streets Records:
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104410210.pdf>
- Water and Sewer Records:
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104456249.pdf>
- Highway Records:
 - <http://www.azlibrary.gov/records/documents/pdf/20121010104503031.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.

Building Safety / Inspection Records

1. Building Permitting Database
2. Building Permit Records
 - a. Approved
 - b. All others
3. Building Permit Address Records
4. Certificates of Completion
5. Certificates of Occupancy
6. Change of Records Affidavits
7. Code Enforcement Records
8. Construction Plans, Specifications and Computations
9. Demolition Permits
10. Inspection Records
11. Pool Plans
12. Registers of Permits

Flood Control Records

1. Aerial Photographs
2. Area Drainage Master Studies / Area Drainage Master Plans
3. Blue Stake Requests / Responses
4. Certifications of land Rights Acquisitions to Federal Agencies
5. Condemnation Case Records
 - a. Final Order of Condemnations
 - b. All other records
6. Correspondence
7. Development Review Records
 - a. Letter
 - b. Backup materials
8. Drainage Records
9. Elevation Certificates
10. Flood Damage Reports

Flood Control Records

11. Floodplain Determination Records
12. Floodplain Records
13. Grandfathered Water Rights Certificates
14. Hydrologic Engineering Center (HEC) 1 Models
15. Infrastructure Records
16. Inspection Records on Structures
 - a. Dam Safety
 - b. State and Federal Agency Inspections
 - c. Operations and Maintenance
17. Laboratory Water Quality Records from National Pollutant Discharge Elimination System (NPDES)
18. Licenses and Temporary Use Permits Received / Granted
19. Office Pest Commission Records
20. Negotiator Records

Flood Control Records

- 21. Project Records
 - a. Red-lined plans and other working records
 - b. All other records
- 22. Relocation Records
- 23. Resolution Records
- 24. Right of Entry for Preliminary Investigation Records
- 25. Right of Way permits
- 26. Sales Records
- 27. State Land Department Lease Records
- 28. Storm Records
 - a. Regulation Records
 - b. Storm event records
- 29. Trespass Records
- 30. Warranty Deeds, Easements, Final Orders of Condemnation, Title Insurance Policies, Escrow instructions and Deeds

Planning & Zoning Records

1. Zoning Case Files
2. Incomplete Zoning Cases
3. Comprehensive Plans including land use, neighborhoods, areas, etc.
4. Background Materials and Preliminary Drafts of Plans
5. Minute of Public Meetings of Boards or Commissions (office copy)
6. Planning and Zoning Reports
7. Violation Case Files

Streets Records

1. Highway / Road Project Construction Records
 - a. Project Construction files
 - b. “As-built” plans
 - c. Extra copies of construction records
2. Highway / Road maintenance Records
 - a. Routine Maintenance
 - b. Major Maintenance and Improvement Projects
3. Encroachment and Road Cut Permits
4. Survey Notes and Records
5. Maps including aerials, mosaics, negatives, contour, etc.
6. Contracts and Intergovernmental Agreements
 - a. Official
 - b. Office copy
7. Right of Way files

Water and Sewer Records

1. Water and Sewer Construction and Improvement Records
 - a. Federally funded projects expenditure records
 - b. “As-built” plans
2. Water and Sewage Treatment System Maintenance Records
3. Sewage Treatment Plant Sludge Incinerator Records
4. Sewage Treatment – copy of semi-annual report to EPA
5. Sewage Treatment Plant Monthly Operational Reports
6. Sewage Treatment Plant Discharge Monitoring Reports
7. Individual Sewage Disposal Systems including applications, permits, plot plans, engineering reports, etc.
8. Sewer System Plans (ACC Certified Companies)
9. Water Treatment Plan Records including permits, applications, plans, engineering reports, etc.

Water and Sewer

10. Water System Plans (ACC Certified Companies)
11. Water System Records of Bacteriological Analyses
12. Water Treatment Records of Chemical Analysis
13. Water Treatment Records of Action Taken to Correct Violations of Federal Primary Drinking Water Regulations
14. Water Treatment Reports, summaries and correspondence relating to sanitary surveys of the water system
15. Water Treatment Records of any Variance or Exemption Granted to the Water System
16. Water Treatment Sampling Data and Analyses, Reports, Surveys, Letters, Evaluations, Schedules, State Determinations, etc.

Highway Records

1. Highway / road Project Construction Records
 - a. Project Construction files
 - b. "As-built" plans
 - c. Extra copies
2. Highway / road Maintenance Records
 - a. Routine Maintenance
 - b. Major Maintenance and Improvement projects
3. Encroachment and Road Cut permits
4. Survey Notes and Records
5. Maps including aerials, mosaics, negatives, contour, etc.
6. Contracts and Intergovernmental Agreements
 - a. Official copy
 - b. Office / extra copies
7. Right of Way files

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>