

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: Civic, Convention and Cultural Facilities; Environmental Quality and Sustainability, Environmental Quality / Health, Equipment / Vehicles, Facilities / Grounds, Parks and Recreation, Solid Waste and Recycling

- Civic, Convention and Cultural Facilities Records:
- http://www.azlibrary.gov/records/documents/pdf/city_county_state%20-%20convention%20&%20visitor%20center.pdf
- Environmental Quality and Sustainability Records:
- <http://www.azlibrary.gov/records/documents/pdf/all%20-%20environmental.pdf>
- Environmental Quality and Health Records:
- <http://www.azlibrary.gov/records/documents/pdf/20121010104353100.pdf>
- Equipment / Vehicle Maintenance Records:
- <http://www.azlibrary.gov/records/documents/pdf/all%20-%20equipment.pdf>
- Facilities / Grounds Maintenance Records:
- <http://www.azlibrary.gov/records/documents/pdf/all%20-%20facilities.pdf>
- Parks and Recreation Records:
- http://www.azlibrary.gov/records/documents/pdf/city_county_state%20-%20parks.pdf
- Solid Waste and Recycling Records:
- http://www.azlibrary.gov/records/documents/pdf/city_county%20-%20solid%20waste.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.

Civic Convention & Cultural Facilities Records

1. Advertising Records
2. Collateral Records
3. Convention and Visitors' Bureau Studies
 - a. Historical
 - b. All others
4. Customer Relation Management Records
5. Event Records
 - a. Historical
 - b. All others
6. Revenue Per Available Room Reports
7. Visitor Center Records

Environmental Quality and Sustainability Records

1. Asbestos Inspection and Abatement Records
2. Community Environmental Awareness Education and outreach Campaign Program Records
3. Energy Consumption and Savings Records
4. Environmental Complaint Records
5. Environmental Code Enforcement – Adopt A Street Program Records
6. Environmental Code Enforcement Case Records
 - a. Notices of Violation and related records
 - b. Tracking database
7. Environmental Code Enforcement – Vehicle Removal Records
8. Environmental Site Assessment and Remediation Records
9. Hazardous Products Center (HPC) Records
10. Hazardous Products Center Facility Operations Records
 - c. Hazardous Waste ManifestsAll Others
11. Hazardous Products Center (HPC) Drop ‘N Swap Records

Environmental Quality and Sustainability Records

12. Hazardous Products Center (HPC) Refrigerant Reclamation Records
13. Hazardous Products Center (HPC) Safety Records
 - a. Hazard Communication Records
 - b. Safety Inspection Logs
14. Hazardous products Center (HPC) Small Business Waste Program (SBWP) Records
15. Hazardous Waste Manifest Records
16. Household hazardous Waste (HHW) Event Records
17. Property maintenance Ordinance Records
18. Residential Energy Efficiency Program Records
19. Sustainability Plans
 - a. Routine Administration and Operations
 - b. Documentation with enduring information or historical
20. Trip / travel / Waste Reduction Records
21. Underground Storage Tank (UST) and Leaking Underground Storage Tank (LUST) Records

Environmental Quality and Health Records

7. Water and Sewer Construction and Improvement Records
 - a. Federally funded projects
 - b. Locally funded projects
 - c. "As-built" plans
8. Water and Sewage Treatment System Maintenance Records
9. Sewage Treatment Plant Sludge Incinerator Records
10. Sewage Treatment – copy of semi-annual report to EPA
11. Sewage Treatment Plant Monthly Operational Reports
12. Sewage Treatment Plant Discharge Monitoring Reports
13. Individual Sewage Disposal Systems including applications, permits, plot plans, engineering reports, etc.
14. Sewer System Plans (ACC Certified companies)
15. Water Treatment Plant (ACC Certified companies) records including permits, applications, plans, engineering reports, etc.)

Environmental Quality and Health Records

16. Water System Plans (ACC certified companies)
17. Water System Records of Bacteriological analyses pursuant to 40 CFR 141
18. Water Treatment Records of Chemical Analyses pursuant to 40 CFR 141
19. Water Treatment Records of Action Taken To Correct Violations of Federal Primary Drinking Water Regulations
20. Water Treatment Reports, Summaries and Correspondence relating to sanitary surveys of the water system
21. Water Treatment Records of Any Variance or Exemption Granted to the Water System
22. Water Treatment Sampling Data and Analyses, Reports, Surveys, Letters, Evaluation, Schedules, etc. pursuant to 40 DFT 141.81-88
23. Water and Sewer Billing Records
24. Subdivision and Trailer Park Records
 - a. Preliminary plans, plats, inspection reports, correspondence, etc
 - b. Final plats and Certificates
 - c. Reports of Annual Compliance Inspections

Equipment / Vehicle Services Records

1. Accident Reports (involving public employees and vehicles)
 - a. Involving minors
 - b. All others
2. Alternate Fuel Usage Reports
3. Equipment / vehicle Assignment Records
4. Equipment / Vehicle Inventory Reports
5. Equipment / Vehicle Operation and Maintenance Manuals
6. Equipment / Vehicle Inspection / Test Records and History Records
7. Equipment / Vehicle Request Records
8. Extended Dispatch Tickets
9. Firearm Records
10. Fuel Operations Records
11. Fuel Storage Tank Records
 - b. Records documenting volatile organic liquid (VOL) records
 - All others

Equipment / Vehicle Services Records

12. Fuel Tax Reports
13. Maintenance / Repair Work Orders Records
14. Plate / Registration Records
15. Taxi Trip Tickets
16. Title Records
17. Use Fuel Reports and Fuel Pump Receipts /
Transaction Records
18. Vehicle Charge-back Mileage and Expense Records
19. Vehicle Emission Test Results
20. Walk-around Inspection Records
21. Warranty Records

Facilities / Grounds Mgmt. Records

1. Alarm Code and Key Control Records
2. Architect / Consultant Records Not Used
3. As-Built Plans, Drawings, Blueprints, Floor Plans, Layouts, Specification and Americans with Disabilities Act (ADA) Compliance Records
4. Building inventory Records
5. Certificates of Inspection
6. Construction Records
7. Custodial / Landscape Services Records
8. Deeds / Titles to Buildings and Property
9. Environmental Records
 - a. Asbestos Inspection and Abatement Records
 - b. Lead Paint and Underground Storage Tank Records
 - c. hazardous Materials Records
 - d. Testing Records
10. Facility Assessment Records
11. Facility Usage Records

Facilities / Grounds Mgmt. Records

12. False Alarm Records
13. Fire Safety System Records
 - a. Planned / Preventative Maintenance
 - b. All others
14. Maintenance / Repair Work Orders
15. Master Plans
16. Pest Control Records
17. Planned / Preventative Maintenance Records
18. Security Records
19. Soils Investigation Records
20. Space management Records
21. Utility Records
 - a. Regulatory Fee
 - b. Repair and Maintenance
22. Vandalism Records

Parks and Recreation Records

1. Archaeology Records
2. Federal and State Safety Report Records
3. Group Campground Rosters
4. Land Acquisition Records
 - b. Records needed to acquire parcels through condemnation
 - c. Deeds and Title Insurance
 - All others
5. Licensed Site Records
6. Maintenance Records
7. Park and Trail Development and Planning Records
8. Park Pass Information Records
9. Park Plans and Blueprints
 - a. Historical
 - b. All others
10. Park Ranger Daily Logs

Parks and Recreation Records

11. Permits
12. Pesticide / Herbicide Records
13. Preserve Improvement Project Records
14. Recreation, Activity and Event Records
15. Reservation Records
16. Safety Inspection Records
17. Sports Complex Records
18. Swimming Pool Records
19. Vandalism Reports
20. Youth Development Records

Solid Waste / Recycling Records

1. Correspondence with Regulatory Agencies Concerning landfills
2. Customer Correspondence
 - a. Safety-related
 - b. All others
3. Exceptional Waste Records for Landfill
4. Financial Assurance for Closure and Post-Closure Landfill Records
5. Environmental Monitoring Records – Landfill
6. Inert Materials Facilities Records
7. Landfill Closure and Post-Closure Records
8. Landfill History Records
9. Permits – Landfill – ADEQ
10. Recycling Program Records
11. Safety Records
12. Solid Waste Receiving Records – Landfill
13. Survey Records – Landfill and Inert Materials Facilities
14. Waste Inspection Records – Landfill
15. Waste Tire Disposal 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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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>