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Administrative Policies and Procedures

303 - Records Management

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POLICY

- I. All records (documents, tapes, microfiche and other media, excluding personnel records) shall be retained for three (3) years in accordance with 45 Code of Federal Regulations, Part 74, Subpart D., which requires a three year retention of grant records after the date that the annual expenditure report is submitted.
- II. All financial records are to be maintained for five (5) years as required by the General Accounting Office.
- III. If any litigation, claim, negotiation, audit or other action involving the records has been started before the expiration of the three (3) year period, the records shall be retained until completion of the action and all issues have been resolved.
- IV. Copies made by microfilming, photocopying, or similar methods may be substituted for the original records as long as they are designated as the record or the "official" copy.
- V. Divisions shall work with and assist the Records Retention Coordinator, located in the Contracts and Purchasing Section, when requesting boxes, files, or other matters

related to records retention.

- VI. All divisions shall comply with the rules, regulations, standards and procedures established by the Records Management Center (RMC) as represented in the Records Management Manual, located in Contracts and Purchasing.
- VII. This policy and procedure represents the standards, procedures and techniques established by the Arizona Department of Library, Archives and Public Records, Records Management Division to assure the efficient and economical management of the records of state agencies.
- VIII. Each Assistant Director must designate a Records Retention Coordinator for their division.
- IX. This policy and procedure shall be available to all employees responsible for any or all of the records management processes in their respective division, section, etc.

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PROCEDURE

- I. Responsibilities of each Division Records Retention Coordinator
 - A. To coordinate all records retention activities through the Contracts and Purchasing Section of the Division of Business and Finance.
 - B. To ensure that a Records Retention Request Form RR01 is completed for any request submitted to the RMC for labels, boxes, transporting of boxes, retrievals, refiles, etc.
 - C. To complete the Record Retention Storage Box Checklist RR02-A when checking boxes that have been packed for transporting to the warehouse or to the RMC.
 - D. To ensure that all boxes packed for transport to the warehouse or the RMC are marked according to the Box Identification Example.
 - E. To monitor and track divisional records retention box activity on the Record Retention Box Tracking Form RR04.
 - F. To ensure the box storage procedures (see Subsection IV) are followed.
- II. Records Retention and Disposition Schedules

The Assistant Director (or designee) and the Division Records Retention Coordinator

will develop a Records Retention and Disposition Schedule for the division in accordance with procedures set forth in the Records Management Manual, Part Two, Chapter Three, Page One.

III. Procedures for the Records Request Form

The requester must complete a Records Retention Request Form RR01 for any request for boxes, retrieving and/or returning boxes, retrieving and/or returning files, or transporting boxes from the warehouse or the RMC.

- A. The requester will retain the goldenrod-colored copy for division file and forward the request form to the Records Retention Coordinator for processing.
- B. The Records Retention Coordinator will complete his/her portion of the request and retain the pink pending copy for follow-up purposes, then forward the form to the warehouse mailroom for delivery or transporting.
- C. Once the warehouse or RMC has completed their portion of the request, the warehouse will retain the canary-colored copy and return the white copy to the Records Retention Coordinator, who will then contact the requester.

IV. Procedures for Box Storage

- A. The "in-office" portion of the retention period must be expired. Refer to the Records Retention and Disposition Schedule to determine expiration date.
- B. Boxes must be standard 12 inch x 15 inch x 10 inch records storage boxes.
- C. Leave at least two inches of empty space in the box to allow for retrievals and refiles. Do not stack documents horizontally on top of other folders or files already in the box. Leave additional space if more files are to be added later as a result of a hearing or an appeal.
- D. A bar coded container label, marked "Attach To Box", must be attached directly to one end of each box, about two inches below the handle. Do not attach container labels over other labels, "post-its", sheets or paper taped to boxes, etc. Also, container labels may not be obscured by any other materials. Use the pre-printed bar code labels in numeric sequence and do not trade labels with other divisions or sections, as box numbers are assigned to each organization.
- E. A Boxed Records Data Sheet (RMC-44) must be completed correctly and legibly (pen and ink are acceptable). A bar coded container label, marked "For Data Entry", must be attached, in numerical sequence, to the appropriate data entry section of the Boxed Records Data Sheet. Each data

entry section of the Boxed Records Data Sheet must include the record series code, from/through dates and alpha/numeric range of records in each box.

- F. A Detailed Box Content Form may be completed to itemize the box contents beyond the room allowed on the data entry form. List the contents in as much detail as is required. File the white office copy for reference purposes and place the yellow copy in the box with the records.
- G. The records series in each box must be listed on a Records Retention and Disposition Schedule approved for the office which is storing the records.
- H. Mark the end of each box as shown on the Box Identification Example (RR05).
- I. When preparing boxes for transporting to the warehouse or the RMC, do not stack them more than five boxes high.
- J. Crushed or damaged boxes will not be accepted by the RMC.
- K. The Transfer Manifest form for each shipment of boxes must be completed, signed and attached to the data entry forms for the identically same group of boxes. Place the Transfer Manifest forms with the Boxed Records Data forms inside one box and mark a large "X" on the top lid. Shipments of over 100 boxes must be specifically approved in advance by the RMC.
- L. Microfilm masters are to be stored in specifically designed boxes in a climate controlled vault.

V. Forms

Copies of forms referenced within this policy and procedure are available from the Contracts and Purchasing Section at extension 4072.

AUTHORITY

- I. Arizona Revised Statutes §41-1345 through §41-1350 and §38-421.
- II. 45 Code of Federal Regulations, Subpart D.
- III. Department of Library, Archives and Public Records Management Manual.
- IV. The Division of Business and Finance is responsible for this policy. Revisions to this policy are under the authority of the AHCCCS Policy Committee.

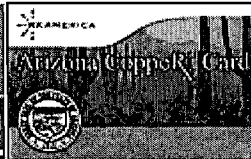
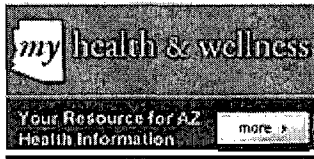
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Governor Janet Napolitano



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