State of Arizona
Department of Emergency & Military Affairs
15 January 1996

DEMA DIRECTIVE 10.6

DEMA RECORDS MANAGEMENT

Administration

1.0 GENERAL

1.1 Applicability

This regulation is applicable to the Department of Emergency and Military Affairs (DEMA) and all subordinate organizations. Those functions which are covered by federal records management regulations will adhere to the appropriate federal regulation; supplemental guidance will be provided for military activities by the appropriate staff office.

1.2 Authority

The Department of Library, Archives, and Public Records (DLAPR) has statutory responsibility for all state records management guidance and any supplemental policy must be approved by that department. The primary source document for all state agencies is the State Records Management Manual (DLAPR) May 1992.

1.3 Purpose

The purpose of a records management system is to:

a. Provide guidance for all elements of DEMA.

b. Establish criteria for significant record events.

c. Coordinate record keeping efforts to provide an efficient and effective system.

d. Provide a Department standard.

e. Establish a uniform authority for maintenance and destruction of state records.

1.4 Responsibilities

a. The Resource Manager has overall responsibility for Records Management to DEMA.

b. The Records Manager is designated as the agency records manager and is responsible for:

- The promulgation of rules and policies.
- Monitoring work units for compliance.
- Determining necessary updates and revisions.

c. Managers are responsible for implementation and compliance within their work unit.

d. The Records Committee (comprised of the Administrative Services Officer, Records Manager, and one representative each of ADEM, Army NG, Camp Navajo, and Project Challenge) will advise the Resource Manager of the sufficiency of the program, needed changes or revisions, program enhancements and will also function as the Forms Review Committee.

e. All references to records and their life cycle and requirements are in terms of the original documents and any official copy. Any other copy or non-record should be destroyed as soon as its value is not equal to the retention cost and effort. Retention of these should be kept to a minimum.

2.0 DEFINITIONS

2.1 Record

a. All books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, 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 the informational and historical value of the data contained therein.

b. Records as defined above are the property of the State of Arizona. They are in no sense personal property nor are they the property of a specific agency or political subdivision (AR §41-1347).

c. It is frequently assumed that records are only paper materials. In the definition above the phrase "regardless of physical form or characteristics" greatly expands on that original assumption. Records may include machine-readable output, still

photographs, motion pictures, audio recordings, charts, maps, drawings, plans, video recordings, and micrographics.

2.2 Non-Record

The definition of records encompasses a broad spectrum of recorded information; but not all recorded information is a record. Non-record materials may include:

- Reading file copies of correspondence.
- Tickler, follow-up, or suspense copies of correspondence.
- Identical, duplicate copies of all documents maintained in same file.
- Extra copies of printed or processed materials, official copies of which have been retained for record purposes.
- Superseded manuals and other directives maintained outside office that is responsible for retaining them.
- Materials documenting such fringe activities of agencies as employee welfare activities and charitable fund drive.
- Routing slips.
- Working papers.
- Drafts of reports and correspondence.
- Transmittal sheets.
- Blank forms.
- Transcribed stenographic material.
- Processed or published material that are received from other activities and that require no action and are not required for any kind of documentation (the originating office or activity is required to maintain record copies).
- Catalogs, trade journals, and other publications or papers that are received from government agencies, commercial firms, or private institutions and that require no action and are not part of a case upon which action is taken.

- Correspondence and other records of short-term value that, after action has been completed, have neither evidential nor informational value, such as request for publications and communications on hotel reservations, reproduction materials, such as stencils and offset plates.

- Information copies of correspondence and other papers on which no documented administrative action is taken.

- Physical exhibits, artifacts, and material objects lacking documentary values.

3.0 RECORDS MANAGEMENT PHILOSOPHY

Records are retained and maintained for the purpose of conducting state business. As a consequence, records will be maintained at the locations where they can best serve the demand. During their active life, records will be maintained in the office of origin. When the record life arrives at the point that it is no longer active, (usually after being held for one additional year) it will be transferred to the DEMA Record Center. When demand for a record diminishes to nil, it will be destroyed in compliance with established disposition schedules unless it is determined to be a permanent record in which case it will be placed in the state archives. Non-records are maintained by the office which has an interest in them; they are not to be forwarded to a record holding center, but are destroyed by the user.

PAPER REQUIREMENTS

With the exception of the specific exemptions listed in the State Records Management Manual, all state records must be on 8½ X 11 inch paper. Any special exemptions must be approved in accordance with AR §39-103.

LIFE CYCLE OF RECORDS

5.1

The Active phase of a record begins at its creation and continues as long as there is a need for common or frequent reference to it. During this phase, it is to be kept in the originating/using office. When the activity of the record decreases to a very low level it is considered "Inactive". During this phase in accordance with the retention schedule, it will be transferred to the DEMA Records Center.

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5.2

Subsequent to the inactive phase, a decision must be made. Records that are permanent will be transferred to the state archives. All others will be destroyed. See section 9.0 for the life cycle of a specific record series.

5.3

"Chart 1" shows a visual description of a record life cycle.

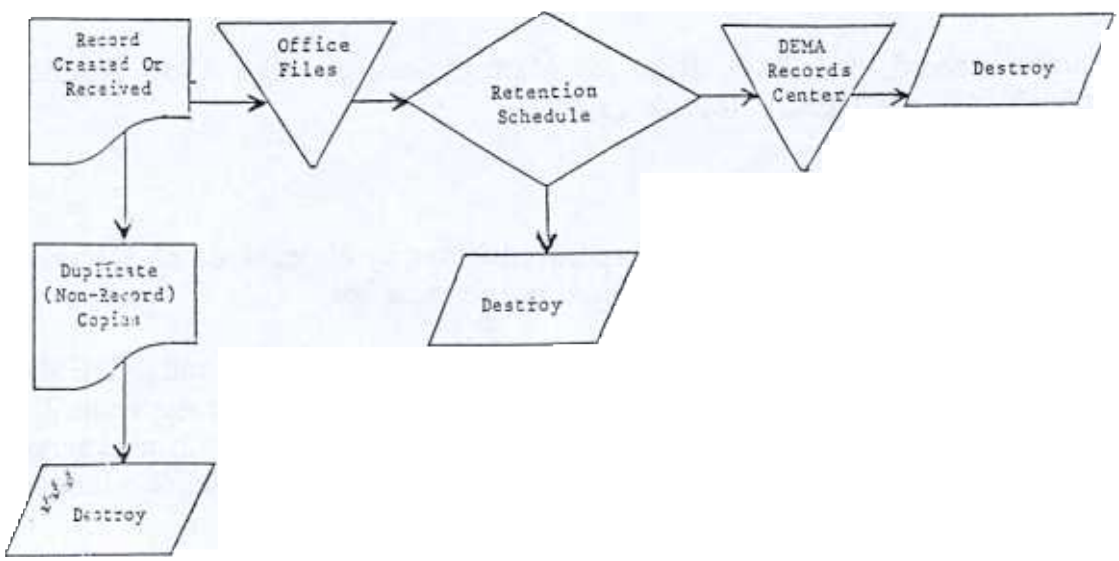

CHART 1
Life-Cycle of Records

6.0 ACTIVE RECORDS

6.1 Filing Systems

Each office that maintains files will prepare a file disposition plan. This plan is to be kept as the first file in the system. A copy of the file disposition plan will be sent to DEMA-RM and updated as needed.

6.2 File Reduction

A file should not be kept unless it is necessary for the conduct of business. Copy and reading files should not be maintained. Coordination and distribution documents should be made only as needed.

7.0 RECORDS CENTER

7.1

The DEMA Records Center is maintained by DEMA-RM. It is located in a joint-use area in the rear of the State Procurement Office, Building 350 in Papago Park. Additional storage space for inactive records with a five-year or more disposition date is in a joint-use area in the rear of Building 349 also located in Papago Park. Arizona Division of Emergency Management maintains a records center in Building 341.

7.2

Inactive Records for TAG, Resource Management, and the Chief Auditor are maintained in the DEMA Records Center.

7.3

Inactive Records will be placed in approved boxes by disposal date. Records with different disposal dates will not be mixed in the same box.

a. Transfer to DEMA Records Center: Records will be transferred to DEMA-RM on a Records Storage Transfer Form (DEMA 052-R/11/95 see Appendix 2). This form is to be completely filled out and the disposition information must agree with the retention schedules in this regulation or the State Records Management Manual, May 1992.

b. Retrieval from the DEMA Records Center: Request for inactive records held in the DEMA Records Center will be made on Retrieval Request Form (DEMA 053-R/11/95 see Appendix 2.2). Retrieval requests will be filled within two work days.

c. ADEM uses the State Records Center in accordance with DLAPR published policies.

9.0 RECORDS RETENTION/DISPOSITION SCHEDULES

Appendix 1 contains the approved schedules for DEMA. These schedules have been approved by DLAPR and have the force of law. Any destruction which does not conform to these schedules must be granted in writing, in advance by the DLAPR. All records of destruction will be maintained by DEMA-RM.

10.0 FORMS MANAGEMENT

10.1

The Forms Review Committee will approve all state forms created by DEMA. The draft of a new form will be forwarded to DEMA-RM for committee approval prior to printing.

Composition

The forms committee is comprised of a representative of the Administrative Services Officer and a representative for ADEM and AZARNG.

a. Forms numbering. All state forms will be numbered as follows:

- Prefix: Designated Department and Division.
- Department, DEMA
- ARNG or ANG, DEMA/DMA
- ADEM, DEMA/DEM

b. Number a sequential form number by Division.

c. Suffix: The date that the form was put into the system or most recent revision.

d. Examples:

- DEMA/ADEM, 043-12/87
- DEMA, 102-R12/87

10.2

The form number will be assigned by the Forms Committee when the form is approved and will be placed in the lower left hand corner of the form when it is printed.

11.0 ADMINISTRATION

DEMA-RM will keep a master file of all forms.

BY ORDER OF THE GOVERNOR:

THE ADJUTANT GENERAL

COL John A. McMurdie
Resource Manager

of Arizona

RECORDS RETENTION AND DISPOSITION SCHEDULE

Department of Library, Archives & Public Records
RECORDS MANAGEMENT DIVISION
1919 West Jefferson Street
Phoenix, Arizona 85009
542-3741

ATE NCY	POLITICAL SUBDIVISION	AGENCY NAME: Department of Emergency & Military Affairs	
T/DIVISION: of Military Affairs		OFFICE: State Property Office	PHONE: 267-2328
st McDowell Road		CITY: Phoenix	ZIP: AZ 85008-3495
D BY	TITLE: Administrative Assistant II	SIGNATURE: X Kenneth L Hall	

RECORDS SERIES	RS. CODE	RETENTION (YR) OFFICE	RMC	TOTAL	REMARKS
ccount Listings (include inventory reports, ccounting information and account histories)		1	-	1	After account closed (inactivated).
udit Reports		5	-	5	After received.
			-	5	After authorization date.
ixed Asset Files (capital equipment)		1	2*	3	After latest action: annual expenditure report submitted or asset disposed of. 1 45 CFR Part 74, Subpart D, § 74.136, 74.138, 74.139, 74.140(a) 2. Arizona Accounting Manual, Section II, page G9.
xed Assets Inventory (data base)		10		10	After item disposed of.
		2		2	After fiscal year prepared or received.
		1	-	1	After revised.
ransfer Documentation (duplicate copies of aterials filed in gaining and losing accounts)		2	-	2	After transfer completed.
Department Records Storage Area, Bldg 350					

1919 West Jefferson Street
Phoenix, Arizona 85009
255-3741

STATE AGENCY ☐ POLITICAL SUBDIVISION

NCY NAME	ORG. UNIT	PHONE
Emergency & Military Affairs	Administrative Services	267-2731

RESS	CITY		ZIP
5636 EaST McDowell Road	Phoenix	AZ	85008

MITTED BY	TITLE	SIGNATURE
TC John A. McMurdie	Admin Svcs Officer	X

RECORDS SERIES	RETENTION PERIOD (YRS.) OFFICE	RLC	TOTAL	REMARKS
State Active Duty Records (including orders, requests for orders, pay vouchers and supporting documents).	2	3*	5	After end of calendar year of emergency duty.
Support Agreement Support Documents (including bills and supporting documents, cost distribution tables and formulas.	2	3	5	After end of Federal fiscal year.

*Dept. of Emergency and Military Affairs Records Center.

Dept. of Library, Archives & Public Records
RECORDS MANAGEMENT DIVISION
1919 West Jefferson Street
Phoenix, Arizona 85009
255-3741

STATE AGENCY ☐ POLITICAL SUBDIVISION

CY NAME	ORG. UNIT	PHONE
rtment of Emergency & Military Affairs	PSPRS Local Board	267-2731

ESS	CITY		ZIP
East McDowell Rd.	Phoenix	AZ	85008-3495

TTED BY	TITLE	SIGNATURE
John A. McMurdie	Board Chairman	X

RECORDS SERIES	RETENTION PERIOD (YRS.) OFFICE	RLC	TOTAL	REMARKS
PSPRS Election	2	3	5	5 years from date of election
Board minutes	Perm		Perm	
Notices of board meetings, agendas, board member packets, etc.	2	0	2	From date of meeting

ALL STATE AGENCIES

FUNCTION
OFFICE ADMINISTRATION

	RECORDS SERIES	RETENTION PERIOD (YRS) OFFICE	RIC	TOTAL	REMARKS
1		2	0	2	After date created or received
	specific case or project				
	Transitory Materials including correspondence of limited reference value, letters of transmittal and informational bulletins	3 mos.	0	3mos.	
	Reference Materials including duplicate files, corresponcence drafts, periodicals, catalogs, published reports, etc.	-	-		After informational value has been served
	Working Documents including notes, drafts, feeder reports, logs, etc.	-	-		After final report or summary has been completed
	Progress/Activity Reports (except agency annual report)	2	0	2	After fiscal report produced
	Office Internal Management Records including work procedures, office assignments, etc.	1	0	1	After revised or discontinued
	Employee Time and Leave Records (unit of assignment copy only)	1	0	1	After calendar year created
	Financial Records (office copies only) including order requisitions, purchase orders, claims, travel claims, invoices, etc.	[illegible]	0	1	After fiscal year created or received

VED BY: [illegible]

APPROVAL DATE: MAR 2 1 1994

	RECORDS SERIES	RETENTION PERIOD (YRS): OFFICE	RIC	TOTAL	REMARKS
1	Agency Budget Request	3	0	3	After fiscal year submitted
2	Subordinate Division and Unit Budget Requests	3	0	3	After fiscal year submitted
3	Budget, approved and appropriated	3	0	3	After fiscal year concerned
4	Expense Accounting Records including agency copies of all claims, warrant registers, purchase orders, etc.				
	a. State funded programs	5	0	5	After fiscal year created
	b. Federally funded projects and non-renewable grants	5*	0	5*	After fiscal year of final voucher payment
	c. Federally funded continuing programs and renewable grants	5*	0	5*	After fiscal year created
5	Employee Time and Leave Records (official agency record)	3	0	3	After fiscal year created (29CFR516.2 two years)
6	(HRMS40) Employee Notice Personnel/Payroll Data Add - Change - Delete	3	0	3	After fiscal year created (29CFR516.2)
7	Payroll Deduction Records	4	0	4	After fiscal year created (29CFR404.1256)
8	Deposits with State Treasurer	3	0	3	After fiscal year created
9	Contracts (official agency copy)	6	0	6	After fiscal year fulfilled
0	Capital Equipment Inventory	3	0	3	After fiscal year created
1	Financial Audit Reports (agency copy)	3	0	3	After fiscal year created

*RETENTION PERIOD MUST MEET OR EXCEED THE REQUIREMENTS OF THE FEDERAL FUNDING AGENCY

ED BY: Sharon L. Wamack

R, DEPARTMENT OF LIBRARY, ARCHIVES & PUBLIC RECORDS

APPROVAL DATE: MAY 14 1992

SUPERSEDES REQUEST APPROVED: March 1987

ALL STATE AGENCIES	FUNCTION AGENCY MANAGEMENT	PAGE 1 OF 1

RECORDS SERIES	RETENTION PERIOD (YRS.) OFFICE	RIC	TOTAL	REMARKS
Minutes of Board or Commission Meetings (original/official document only)	Perm.	0	Perm.	Microfilm annually for security. Microfilm stored permanently at DLAPR.
Agency Directives and/or Policies including org. charts (original/official copy)	Perm.	0	Perm.	Microfilm as volume justifies.
Agency Annual Reports required by statute or administrative rule	10	0	10	After year reported (Permanent copy at DLAPR)
Legislation Files including case files for current proposed legislation	1	0	1	After passed into law or defeated and abandoned
Intergovernmental Agreements (IGAs) (agency copies)	3	0	3	After cancelled, suspended or expired
Certificates of Records Destruction (agency copy)	2	0	2	After fiscal year records destroyed
Records Retention and Disposition Schedules	1	0	1	After revised
Requests for Microform/Imaging Utilization	2	0	2	After program or application terminated
Audit Reports (agency copies)	5	0	5	After audit completed
Final reports of special committees, consultants, task forces and venture teams - no action resulting from report	5	0	5	After report submitted
Final reports of special committees, consultants, task forces and venture teams - resulting in a project or program	-	-	-	File with project or program records.
Minutes, agendas, notes, recordings, correspondence, etc. of working non-directed committees, boards, task forces, etc.	3	0	3	After calendar year created

BY: APPROVAL DATE: MAY 14 1992

	RECORDS SERIES	RETENTION PERIOD (YRS) OFFICE	RIC	TOTAL	REMARKS
1	Employee Personnel Files including signed loyalty oath (official agency file)	5	0	5	After calendar year of termination of state employment
2	Employee Personnel Summary (card file or data base file)	10	0	10	After calendar year of termination of employment (kept for reference only)
3	Statistical Listings of employees	0	0	0	After superseded
4	Position Description (PDQ)	3	0	3	After superseded or position abolished
5	Requests for Classification of new positions or reclassification of existing positions	1	0	1	After request is reviewed and acted on
6	Grievance Files (confidential)	3	0	3	After grievance action is completed
7	Agency Employee Training Files including attendence lists, class outlines, etc.	3	0	3	After calendar year session is given
8	Employee Tuition Refund Program Records	3	0	3	After fiscal year refund is issued
9	Occupational Safety and Health Records including accident reports & annual summaries	5	0	5	After calendar year reported (29 CFR 1952.4)
0	Accident Prevention Programs including lists of first aid trained personnel	1	0	1	After superseded
1	Group Insurance Records (agency copy)	1	0	1	After superseded
2	Reduction in Force Records including computation documents and recap. summaries	5	0	5	After RIF completed
3	Employee medical and exposure records including lists of hazardous materials exposed to; pre employment physicals; results of exams; medical opinions; diagnoses; employee medical complaints; etc.	30	-	30	After calendar year of termination of state employment (29 CFR 1910.20)
4	Form I-9 (Proof of legal residency in U.S.A.)	1	-	1	After employee terminates, but not less than 3 years after date of hire (8 CFR 274a.2)

WED BY: A Barnard

DR, DEPARTMENT OF LIBRARY, ARCHIVES & PUBLIC RECORDS

APPROVAL DATE: JUN 15 1993

SUPERSEDES REQUEST APPROVED: May 14, 1992

DEMA RECORDS MANAGEMENT CENTER
RETRIEVAL REQUEST

DATE	REQUESTED BY	TELEPHONE NO	DEPARTMENT NAME

OX NO.	RECORD SERIES DESCRIPTION	ORG UNIT

PECIFIC RECORD, DOCUMENT, NAME OR NUMBER, AND DATE OF RECORD

YPE OF REQUEST		EXPLAIN IF REQUEST NOT FILLED
VISIT	MAIL	

REQUEST RECEIVED BY	DATE	REQUEST FILLED BY	DATE

Requested Document(s) to be:		Sent by Interagency Mail		Picked Up

Sign below and return to DEMA Records Management Center, Attn: DEMA-RM

_____ Date _____

EMA Form 053-R/11/95

1. DEPARTMENT NAME: Department of Emergency & Military Affairs
2. ORG UNIT: Division and Office Symbol
3. REQUESTED BY: Self explanatory
4. TELEPHONE NUMBER: Self explanatory
5. BOX NUMBER: Enter box number on transmittal form to DEMA Records Center
6. RECORD SERIES DESCRIPTION: Employee personnel files, Claims, etc.
7. SPECIFIC FOLDER OR DOCUMENT: Folder 1413, Henry Fonda file
8. REQUESTED DOCUMENTS: To be sent by Interagency mail, picked up, etc.

DEMA RECORDS MANAGEMENT CENTER
TRANSMITTAL REQUEST

1. Place one form on outside of each box sent to DEMA Records Center.
2. Do not fill a box with records having different destruction dates.
3. Do not pack box too tightly. Leave at least two inches of space for refiles and records located after transferring the box (interfiles)

RDS TRANSMITTAL	AGENCY NAME	NAME OF PREPARER	BOX NO.	CURRENT DATE

EMA RECORDS CENTER (DEMA-RM)	DATES COVERED BY RECORDS FROM THRU	TOTAL RETENTION PERIOD (YEARS)

RECORDS SERIES DESCRIPTION	DESTRUCTION DATE (MO/YR)

APPENDIX 2

1. AGENCY NAME

   Use office symbol and include Division/Section.

2. BOX NO.

   Beginning with the number "1" write a separate number on each box to be transferred. Enter this number in the "Box No." of the transfer form accompanying this box. Each box must be numbered and requires a separate transfer form.

3. DATES COVERED BY RECORDS

   List the earliest and latest month and year of records packed in this box i.e., 1/95 to 12/95. If month is not indicated, earliest date is assumed to be January and latest date to be December. Records will not be destroyed until after last day of destruction month.

4. TOTAL RETENTION PERIOD

   Enter the total retention period listed on your retention schedule. This period includes retention in both your office and the DEMA Records Center.

5. RECORDS SERIES DESCRIPTION

   Enter the record series exactly as listed on your retention schedule. Records will not be accepted if the record name is inaccurate or not on a retention schedule. Indicate special titles in parenthesis if helpful, i.e. Expense Accounting Records (travel claims). If the record series is general correspondence not related to a specific case or project, then no sub-titles are required.

6. DESTRUCTION DATE

   Add the "thru" date, item "3" above, and the "Total Retention Period" item "4" above. Enter the sum in this block, i.e., 12/95 plus three years retention equals 12/98.

7. INDEXING

   Enter the information you need to retrieve a record from this box, i.e., Allen, Bruce K. thru Johnson, Robert F.; M thru S; Travel claims RM0229 thru RM0558.