

# DES Administrative Policy Bulletin

## Records Management (DES 1-37-12)

This policy describes DES' standards and procedures for maintaining and managing records in compliance with state and federal law.

### Policy & Procedures Highlights

- A record is any email, electronic chat message, text message, book, paper, map, photograph, electronic document, physical document, or other material that documents DES activity, regardless of physical form or characteristics, unless otherwise specified.
- An employee or contractor is required to preserve records in accordance with the applicable [Records Retention and Disposition Schedule](#).
- An employee or contractor who handles physical records containing confidential information must ensure the records are locked or under supervision at all times, and is required to store the records only on DES property unless an exception is authorized by the Office of General Counsel.
- An employee or contractor who handles electronic records must use an encryption service when emailing confidential information, preserve emails in accordance with the policy, and limit the records stored on computers and other network endpoints.
- A DES supervisor is required to assume responsibility for an employee's or contractor's records when the employee's employment with DES is terminated, when the employee is on leave after 90 consecutive days, or when the contractor's service to DES has ended.
- An employee or contractor must retain all records related to pending, threatened, or anticipated legal action until instructed otherwise.

### Other Helpful Resources

[Arizona State Library, Archives, and Public Records](#)

### Does this policy apply to me?

The information in this policy and procedures is most likely to be used **routinely** by **all DES employees and contractors**.

### Changes from Previous Version

- Establishes requirement for Division Management to designate an employee for each program to manage the program's [Records Retention and Disposition Schedule](#).
- Establishes requirement that employees review records in their custody quarterly.
- Establishes process for an employee to request the destruction of records prior to the end of the retention period.
- Establishes requirement for Division HR units to notify DTS when an employee leaves DES employment and for Division Business Administrators to notify DTS when a contractor's service to DES has ended.

This policy bulletin is not a substitute for the policy. **Employees are responsible for reading, understanding, and complying with the entire policy, which is linked in the title above.** All DES Administrative Policies can be accessed on the [Policy Intranet Page](#). For questions, please contact the DES Policy Unit at [despolicyunit@azdes.gov](mailto:despolicyunit@azdes.gov).