



TRIBAL RECORDS MANAGEMENT 102

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Asst./Archivist

Hocak (pronounced Ho-Chunk) Nation Records Management Department Introduction:

- **Established by Tribal Resolution in 1993**
 - **Shared downtown building basement with the MIS Department from 1993-1995**
 - **Began by sorting through papers/documents in pest-infested basements, storage units and garages all around Wisconsin.**
 - **The records were then inventoried box-by-box and then separated into categories and eventually filed appropriately.**
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- The department was housed in the Hockak Nation Tribal Executive Office Building in 1995.
 - A cold-storage warehouse was built in 1997 for additional storage and housed 13,000 boxes of records.
 - A 2-story addition was added to the cold-storage warehouse in 2002 that housed an additional 13,000 boxes (total cold storage = 26,000 boxes)
 - In 2011, a new facility was added onto the cold storage warehouse to enlarge cold storage capacity (additional 9300 boxes), a temperature/humidity-controlled vault with electronic mobile storage (4,421 storage capacity) and an office facility to house all departmental staff. (total storage capacity = 39,721 boxes).
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Hocak Records Management 102

- **Records Management Mission Statement**
 - **What is a record?**
 - **What is the life cycle of a record?**
 - **Why is Records Management Important?**
 - **Records Storage Procedures**
 - **Records Request Procedures**
 - **Services Provided**
 - **Paper Recycling Initiative**
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Hocak Records Management Mission Statement:

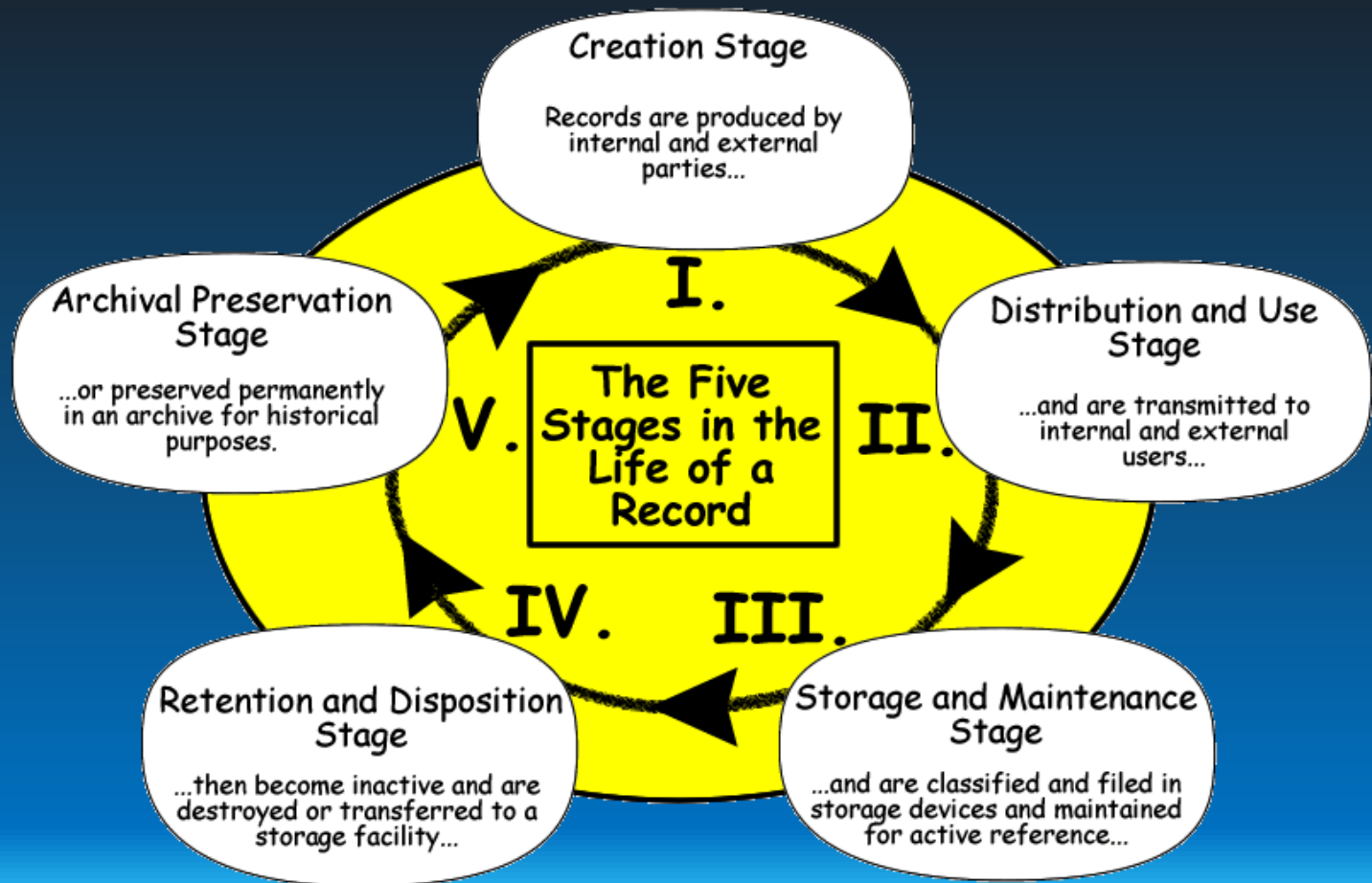
Our mission is to provide quality customer service to all of the Hocak Nation's divisions and tribal members by providing requested information in an expedited manner; while preserving, maintaining, and protecting all of the business and historical documents of the Hocak Nation. We are committed to protect and improve the environment by recycling all records that have met their life-cycle as well as discarded documents from Hocak Nation employees and tribal members.

What is a Record?

- A record is recorded information that supports the activity of the Hocak Nation. It can take the form of paper documents, electronic records or graphic images.



Life Cycle of a Record



Why is Records Management Important to Tribes?

- A quality Tribal Records Management program is necessary to be in compliance with the Bureau of Indian Affairs (BIA) regulations and to comply with Federal and State laws and statutes governing the retention and availability, as well as the preservation of historical documents.
 - The Hock Nation was removed from BIA High Risk Grantee Status because of the organization of the records by our Records Management Department. Because of this high status, we are no longer audited by the BIA.
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Records Storage Procedures

- We store thousands of boxes of records in a secure environment with limited access. The way in which records are boxed for storage has a large impact on retrieval time later on. When it's time to pack records up for storage, there are a few guidelines that need to be followed:
 - * All records must be stored in banker boxes with proper lids.
 - * There can be no binders or hanging file folders in the boxes. Lids must fit securely, but cannot be taped closed.
 - * The boxes cannot be overstuffed!
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Storage Procedures Continued...

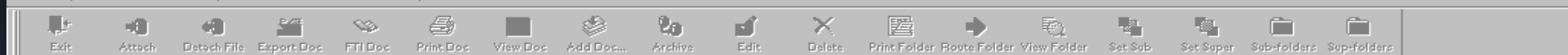
- * An Incoming Records Tracking Form must be filled out completely detailing the employee and department sending the records, the number of boxes being stored and the contents of those boxes. The detailed index can also be attached to this form.
- * Records Management staff may refuse records pick-up if all the guidelines are not followed!



Records Requests



- We conduct records searches for departmental personnel and auditors, as well as tribal members.
- Employees may only request records stored by their own department. A department must provide written consent for access to their records by another department.
- Hocak Nation Legislative Minutes and Resolutions in open session are public record and can be requested by anyone.
- Indus Software
 - *Retrieval of Minutes, Resolutions, Acts, Ordinances, Budgets, Hearings, Personnel files, Newspaper Articles, *Hocak Worak* articles, Monthly and Annual Reports.



- Folder Types
- Minutes
 - Minutes Docs -OLD-
 - News_Art Folders -OLD-
 - News-Art Docs -OLD-
 - Newspaper Articles
 - Newspaper Articles
 - Personnel Files
 - Quarterly Reports

Enter keywords to search

"VETERANS"

Search Full Text Search Or Search Close

Search Results (158)

Resolutions	Minutes	Newspaper Articles	Resolution Docs -OLD-	Minutes Docs -OLD-	Keywords	Description

First Hit Previous Hit Next Hit Last Hit Jump to Hit 1 Total hits: 4

Veterans Supportive Housing NEW-10092012-TI01 Mark Butterfield, Paul Tysse. Neil White gull

The request submitted for two 10 unit HCN funded facility for Veteran Supportive Housing in the amount of \$3,000,000. HHCDA has looked into the Supportive Housing which will be specifically focused on **Veterans**. This project was an idea to build one in BRF and Wisconsin Dells. Ten One-bedrooms with a community space with a buy-in for other departments to

Document Options: View Print Modify Detach ETI Export

Folder Options: View Edit Print Delete Archive Make Current Folder Documents Route Done

Relations: Super-folders Sub-folders

Services Provided

- **Active/Inactive records storage**

 - * Last fiscal year we received 2520 boxes for storage.

- **Records transport**

- **Records searches**

 - * Departmental/Tribal Member requests

 - Last fiscal year we performed 343 records requests. These requests consumed 195 staff hours to complete.

- **Records recycling**

 - We've recycled approximately 15, 000 boxes in the last 2 years.

- **Preservation/Conservation of Documents**

- **Archival Storage**



Document Request Form

Date:	_____
Requester:	_____
Title:	_____
Department:	_____
Description of Documents:	_____

I have received	
<input type="checkbox"/> A COPY	_____ Time request taken
<input type="checkbox"/> An ORIGINAL	_____ Time request delivered
of the above document(s) from the Record Management Department	
Signature of Requester	Signature of Records Staff
_____	_____



INCOMING RECORDS TRACKING FORM

		Box Number(s):
Depart-		
		Retention Code:

Description of Records:	
(Be Specific)	

o **TO BE STORED** # of Boxes _____

It is understood that the records described above are to be stored by the Records Management Department. Copies will be accessible to authorized personnel from the department they came from, after filling out a DOCUMENT REQUEST FORM.

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FACILITY AND OFFICE LOCATIONS

WISCONSIN



-  CASINO
-  C-STORES
-  BRANCH OFFICE
-  TRIBAL OFFICE

ST PAUL
MPLS

LA CROSSE

BLACK RIVER
FALLS

TOMAH

WISCONSIN
DELLS

MADISON

NEKOOSA

WITTENBERG

GREEN BAY

MILWAUKEE

CHICAGO



Setting Policy & Procedures

- **SOP (Standard Operating Procedure)**
 - * **Request Procedures**
 - Document Request Form
 - * **Pick-up/Storage Procedures**
 - pick up of records for all the departments of the Hockak Nation (including 5 casinos, 6 convenience stores and 6 outlying branch offices)
 - Incoming Records Tracking Form
 - Records Storage Procedures
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- **Records Manual**
 - **Inventory Procedures**
 - **Retention Schedule**
 - **Destruction Procedures**
 - **Recycling Policy**
 - **Disaster Recovery/Emergency Action Plan**
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Records Management Manual

- The Records Manual was originally written and approved in 1993.
 - The Manual specifies all procedures and policies that we as a department are required to follow.
 - A Records Management Code is currently being drafted to replace the Manual.
 - This will become a law that must be followed by the entire Hock Nation, rather than just a guide that should be followed.
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Records Inventory

- When boxes come into our facility for storage, each box must be inventoried.
 - Each box is given a specific number and entered into our GAIN inventory system with the exact location (shelf location, bay location, area of storage).
 - Each box is also assigned a retention code in the GAIN system to provide us a specific date in which the record must be disposed of.
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Organization Inventory Circulation Policy Records Cntr Disposition Bar Code System Help

Box Content Action Report View Quick Search Approved/Normal

Box Number	39604
Alternate Box Number	
Company	HC HO-CHUNK NATION
Department	TRSY TREASURY DEPARTMENT
Retention Code	1181 ACCOUNTS PAYABLE REGISTER/LEDGER
Description 1	AP 655-657 BOX 1418
Description 2	
Description 3	
Notes	
From Date	7/1/2006
To Date	6/30/2007
Disposal Date	6/30/2014
Retention Type	Destroy
Actual Disposal	

Home Location	WAREHOUSE WAREHOUSE
Shelf Code	01-04-01-02
Setup Date	11/8/2012
Media Type	PPA PAPER

Hocak Nation Records Retention Schedule

- A retention schedule is a document listing all the titles of the records series, length of time each document or record will be retained as an active record, the reason for its retention (administrative, legal, fiscal, and historical) and disposition agreed upon by the Hocak Nation Records Manager and the Hocak Nation Legislature and approved by the BIA.
 - A clearly defined plan for records retention and disposal is a VITAL component of a records management program.
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- **Research for the Hocak Nation Retention Schedule began in 1994.**

- * At that time, no other Tribes consulted by our department were working on anything like this.

- * The Hocak Nation Retention Schedule took a little over one year to complete.

- * Our current retention schedule is 16 pages long.

- **We are in the process of modifying our retention schedule which is the driving force of the Records Management Code that is being drafted.**

- * It will encompass both physical and electronic records and simplify it.

Destruction Procedures

- **GAIN Destruction Process**
 - * Annual mass destruction of records.
 - * A report is run.
 - * Destruction memos are created and sent to departments.
 - * Once acknowledgement is received, we generate a pick-list.
 - * Those records are then pulled and sent for recycling.
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Crystal Decisions ActiveX Viewer - Internet Explorer

DISPOSITION PICK LIST 212 9/8/2015 2:34:21PM Page 82 of 82

Record Center Shelf Location Company	Item Type, Number Alternative ID Department	Description 1 Description 2 Group Section	Memo Number Disposal Date	Media Code Disposal Method
WAREHOUSE 08-10-09-03 HC	CSO-HC B	46764 MULTIPLE TRANSACTION LOGS	02/28/2011	296 PPA
WAREHOUSE 08-10-10-04 HC	CSO-HC B	46680 24 HOUR CAGE AND TABLE GAMES MTL	03/31/2011	296 PPA
WAREHOUSE 08-10-10-04 HC	CSO-HC B	46682 TABLE GAMES MTL	12/31/2010	296 PPA
WAREHOUSE 08-10-10-05 HC	CSO-HC B	46694 FOOD AND BEVERAGE COUPONS	08/31/2013	296 PPA
WAREHOUSE 08-10-10-05 HC	CSO-HC B	46700 SLOT CHANGE FORMS	06/30/2014	296 PPA
WAREHOUSE 08-10-10-05 HC	CSO-HC B	46701 SLOT CHANGE FORMS	06/30/2014	296 PPA
WAREHOUSE 08-10-10-05 HC	CSO-HC B	46711 MULTIPLE TRANSACTION LOGS	07/23/2012	296 PPA
Total Items :		1121		

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GAIN 2000 Enterprise Edition - 801-001 Disposition Memo Content, Rec = 296 - Internet Explorer

http://mtab-records/gain2000training/Screens/DispositionScreen/DispositionMemoCont

GAIN 2000 Enterprise Edit...

Organization Inventory Circulation Policy Records Cntr Disposition Bar Code System Help

Disposition Memo Content Action Report View Quick Search

Memo Number	296	Processing Status	Assigned to pick list
Issue Date	6/30/2015	Date of Change	8/17/2015
Issued By	DLD	Changed By	DLD
Memo Issue To	James Webster	Reason Code	RM
Disposition Category	Standard	Pick List Number	212
Record Center	WAREHOUSE WAREHOUSE	Memo Title	
Company	HC HO-CHUNK NATION	Memo Attention	
Department	CSO-HC HO-CHUNK GAMING WISCONSIN DELLS	Memo Salutation	
Group			
Section			
Disposal Method			
Authorization Code			
Material Type	Box		
Retention Type	Destroy		
Disposal Date From	1/1/1900 To 6/30/2015		
Total Items	1121		
Excepted Items	0		

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Recycling of Records

- Have transitioned from shredding all paper to recycling.
 - We ship our records to Harmon Recycling Georgia Pacific in Green Bay, WI, to be recycled
 - *This generates revenue for the Hocak Nation
 - 250,000 lbs of paper sent
 - 20,000 boxes sent
 - \$15,000+ of revenue generated over the last 2 years.
 - Last fiscal year we sent 2400 stored records for recycling. These are the records that met their retention requirements last year.
 - We have completely eliminated the need to use shredders. This has saved us both time and money.
 - Expansion of our recycling program to include the Black River Falls community.
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Disaster Recovery

- The purpose of a disaster recovery plan is to prevent or mitigate loss due to a disaster (pest infestation, natural disasters, fire, etc.), to manage the initial crisis, and to recover from the disaster as quickly as possible.
 - Our disaster recovery plan **ONLY** pertains to our specific department.
 - * It outlines objectives and critical functions.
 - * Types of disasters and responses to them.
 - * Details work space and office supply requirements in case of a disaster
 - **The disaster recovery plan is also being drafted into a Hocak Nation code.**
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Emergency Action Plan

- The Emergency Action Plan (EAP) encompasses personnel safety in the event of various emergencies and includes evacuation procedures in case of:
 - * Medical emergencies
 - * Power outages
 - * Fire
 - * Tornado
 - * Flooding
 - * Personal threats
 - * Bomb threats
 - * Explosions
-

Archives

- The Hocak Records Management Department and Archives has been incorporated as one department
 - We are a Records Management Department that employs an archivist to preserve, conserve and maintain historical documents, the majority of which are governmental.
 - * Hocak Nation Legislative and Subcommittee Meeting Minutes, Resolutions, Acts and Ordinances.
 - * Newsletters and Newspapers
 - * Election Results
 - * All other documents pertinent to the Hocak Nation.
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• Vault

- * Temperature and humidity controlled environment.
- * Houses historical and permanent records.
- * Equipped with Sapphire Suppression System.

• Archival Process

- * Documents are scanned into Indus software.
 - * Cleaned with Document Cleaning pads, placed into acid-free file folders, interleaved with acid-free paper, and then stored in acid-free archival boxes.
 - * Digitization of *Hocak Worak* newsletters (1996-2012)
 - * Digitization of Hocak Nation property's blueprints.
 - * No longer using microfilm, scanning permanent records.
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Archival Holdings

- * **Currently housing historical artifacts for the Hocak Culture Resources/Heritage Preservation Department.**
- * **Hocak Elder Work Project**
 - We have been working with Hocak Elder, Sharyn Whiterabbit, for 2 years to assist her with the organization and preservation of her father, Mitchell Whiterabbit's, records that he collected over a 50-year time period as the Pastor for the Native American Church.

Archival Supplies



Conclusion

- 22 years ago, we were in the same position as many of you may be now and understand the enormity of starting your own program.
 - We have assisted other tribes with implementing quality tribal records management programs.
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