



ACQUISITIONS AND PHYSICAL STEWARDSHIP

Presented by:

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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 Nation Records Management Mission Statement

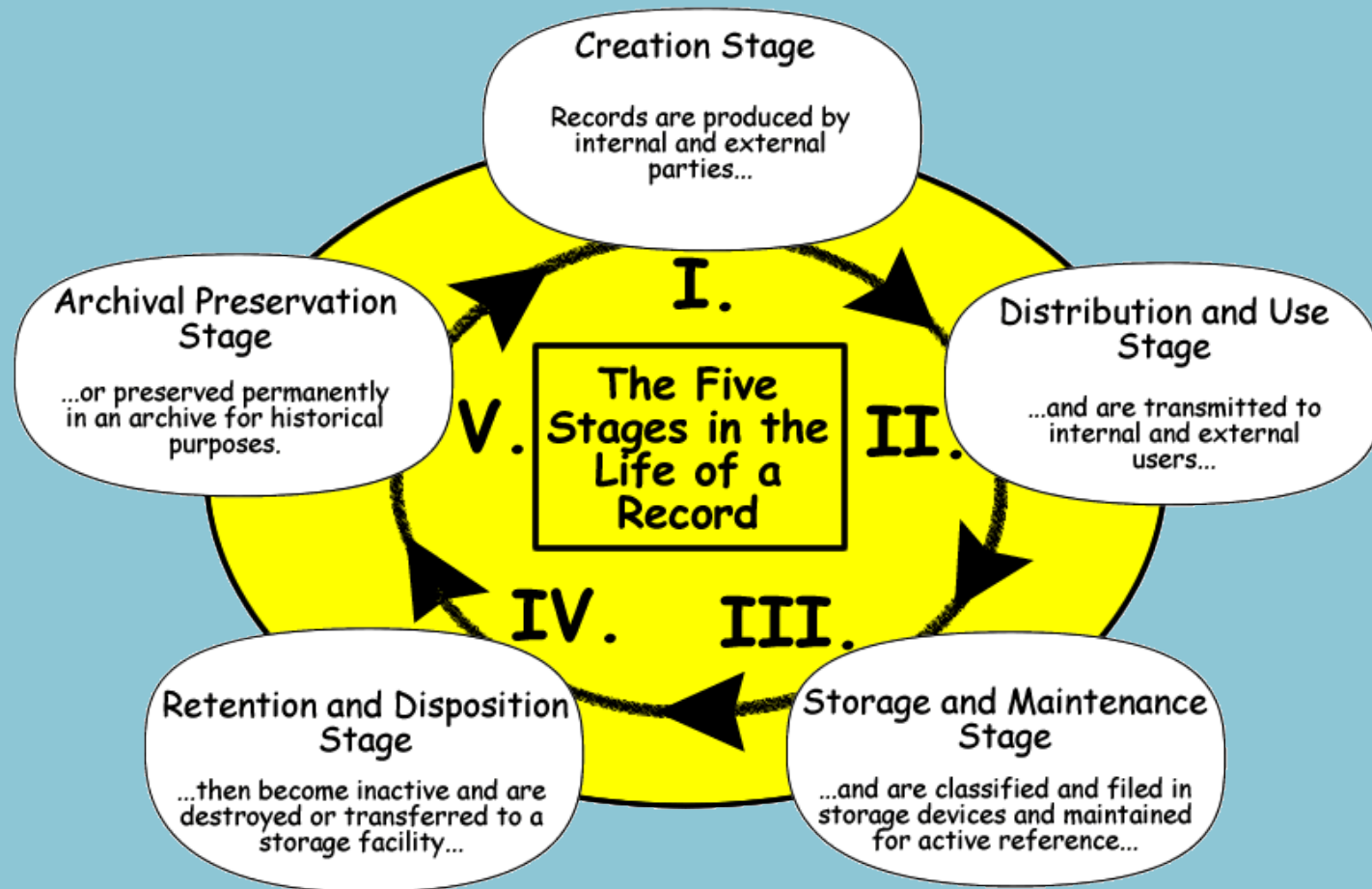
Our mission is to provide quality customer service to all of the Hocak Nation's divisions and tribal members by providing requested information in an expedited manner, while preserving, maintaining, and protecting all of the business and historical documents of the Hocak Nation. We are committed to protect 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 _____ 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 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with Federal and State laws and statutes governing the retention and availability, as well as the preservation of historical documents.
 - Reduce operating expenses by reducing the costs of various storage methods.
 - Enhance customer service by knowing what information you have and where that information is located.
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Records Appraisal

- Identify what records and information you are dealing with. This forms the basis of your retention schedule.
 - **Methods of appraisals:**
 - Inventory
 - Interview
 - Questionnaire
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Paper Records Storage Procedures

- 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.
 - * No binders, or hanging file folders are allowed 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!



INCOMING RECORDS TRACKING FORM

Date:

Name:

Title:

Dept./Facility:

Box Number(s):

Retention Code:

Description of Records:
(Be Specific)

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.

Department Personnel Signature

Records Personnel Signature

To be stored at:

- Vault
 Warehouse

Location:

Electronic Records Storage

- **Folder structures and names**
 - * meets the needs of each department, logically named.
 - * necessary for accurate filing, retrieval and maintenance.

 - **File naming conventions**
 - * Uniform and consistent.
 - * Be able to know what is in the file without opening it.
 - * Avoid abbreviations and acronyms.
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Records Requests



- Records searches are conducted 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 Virtual Office Software -
 - * Retrieval of Minutes, Resolutions, Acts, Ordinances, Budgets, Hearings, Personnel files, Newspaper Articles, *Hocak Worak* articles, Monthly and Annual Reports.
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- Folder Types
- Elder Roofs
 - EMA
 - Enrollment
 - Financial Statements
 - Form Overlay
 - Heavy Equipment
 - History
 - HOP

All Cabinets

Search Results (130)

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

Title	Subtitle	Keywords	Description
2023	HCNL MAY 2		
2023	HCNL MAY 23		
2023	HCNL JULY 18		
2023	HCNL AUGUST 22		
2023	FINANCE MARCH 1		
2023	FINANCE APRIL 24		

First Hit Previous Hit Next Hit Last Hit Jump to Hit 1 Total hits: 6

Resolution-Funding of North American Indigenous Games Restricted Account and Authorization to Utilize Funds for the 2023 North American Indigenous Games

MOTION by Rep. Stephanie Begay to adopt Resolution 05-02-23 .1, Funding of North American Indigenous Games Restricted Account and Authorization to Utilize Funds for the 2023 North American Indigenous Games. Second by Rep. Phyllis Smoke. 10-0-0 MOTION CARRIED.

Document Options: View Print Modify Detach ETL Export

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

Relations: Super-folders Sub-folders



indus[®]

Tools for the microinformation age

OPTICAL IMAGING
Electronic Filing System

Folder Type: Minutes Cabinet: Minutes

Title: 2023
Subtitle: HCNL AUGUST 22
Keywords:



Clear Form

Records Management Department Document Request Form

Date: Requester:

Title: Department:

Description of Documents (please be specific):

Please fill everything above this line before submitting

I have received....

- A Copy
 An Original

... of the above document(s) from the Record Management Department.

Time Request Taken Time Request delivered

Signature of Requester

Signature of Records Staff

Original Document Returned:

Staff Signature:

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/Policy/Act**
 - **Inventory Procedures**
 - **Retention Schedule**
 - **Destruction Procedures**
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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 a department is required to follow.
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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 GainRM inventory software with the exact location (shelf location, bay location, area of storage).
 - * Each box is also assigned a retention code in the GainRM software to provide us a specific date in which the record must be disposed of.
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Box Content

Action - Report - View -



Record Status: **Approved/Normal**

Search Box Number

Box Number	65397
Alternate Box Number	
Company	HC HO-CHUNK NATION
Department	BH-DJ HO-CHUNK GAMING MADISON
Retention Code	1012 DAILY SESSION REPORTS (CASINO), daily and monthly sales, daily revenue reports, accountability sheets
Description 1	REVENUE AUDIT
Description 2	
Description 3	
Notes	
From Date	1/29/2019
To Date	1/29/2019
Disposal Date	1/29/2026
Retention Type	Destroy
Actual Disposal	

Home Location	WAREHOUE WAREHOUSE
Shelf Code	06-05-08-01
Setup Date	10/27/2020
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.
 - A clearly defined plan for records retention and disposal is a VITAL component of a records management program.
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Destruction Procedures

- **GainRM Destruction Process**

- * Annual mass destruction of records.
 - * A disposition 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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Disposition Pick List :
349

Date & Time: 6/20/2023
11:04:37 AM
Page 1 of 12

Record Center Shelf Location	Item type/Number Alternate ID	Description1 Description2	Company Group	Department Section	Memo Number Disposal Date	Media Code Disposal Method
WAREHOUSE 01-02-03-02	B 54181	Bx 14 Tribal Discounts	HC	BUS	550 8/31/2022	PPA
WAREHOUSE 01-02-03-02	B 54182	Bx 68 ACCRUALS	HC	BUS	550 8/31/2022	PPA
WAREHOUSE 01-02-03-02	B 54183	Bx 73 AP Sessions	HC	BUS	550 8/31/2022	PPA
WAREHOUSE 01-02-03-02	B 54186	Bx 56 RECIEVABLES	HC	BUS	550 8/31/2022	PPA
WAREHOUSE 01-02-03-02	B 54189	BX 11 TRIBAL DISCOUNTS	HC	BUS	550 8/31/2022	PPA
WAREHOUSE 01-02-03-02	B 54192	Bx 3 BRF HCDC DAILIES	HC	BUS	550 3/31/2023	PPA
WAREHOUSE 01-02-03-02	B 54203	BX 13 TRIBAL DISCOUNTS	HC	BUS	550 8/21/2022	PPA
WAREHOUSE 01-02-03-02	B 54204	BX 12 TRIBAL DISCOUNTS	HC	BUS	550 8/21/2022	PPA
WAREHOUSE 01-02-03-02	B 54210	BX 27 TRIBAL DISCOUNT	HC	BUS	550 8/21/2022	PPA
WAREHOUSE 01-03-03-02	B 54217	BX 29 AP SESSIONS	HC	BUS	550 8/21/2022	PPA



[Update Password](#) [Help](#) [Log Out](#)

ORGANIZATION INVENTORY CIRCULATION POLICY RECORDS CNTR **DISPOSITION** BAR CODE SYSTEM

DISPOSITION MEMO DISPOSITION CHANGE REASON

Disposition Memo Content [Action](#) [Report](#) [View](#)

Memo Number	550	Processing Status	Certified
Issue Date	6/1/2023	Date of Change	8/31/2023
Issued By	DLD	Changed By	DLD
Memo Issue To	Scott Marcek	Reason Code	
Disposition Category	Standard	Pick List Number	349
Record Center	WAREHOUSE WAREHOUSE	Memo Title	
Company	HC HO-CHUNK NATION	Memo Attention	
Department	BUS BUSINESS DEPARTMENT	Memo Salutation	
Group			
Section			
Disposal Method			
Authorization Code			
Material Type	Box:		
Retention Type	Destroy		
Disposal Date From	1/1/1900 To 6/30/2023		
Total Items	98		
Excepted Items	0		

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 - almost \$50,000 in the past 10 years

We have 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.
 - * Outlines objectives and critical functions.
 - * Types of disasters and responses to them.
 - * Details work space and office supply requirements in case of a disaster
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Contact Information

- I have assisted other tribes with implementing quality tribal records management programs, and I would be happy to answer any questions you have.
 - **Contact Information:**
 - Denise Redbird
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 - Cell: (715) 299-1775
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