

Arizona Essential Records Program



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Agenda For Today's Session

1. What we learned in the first trainings

Quick review

2. Where we are going today

a. Review essential records criteria

b. Go over the form for essential records list submissions

General Guidance

1. Please remember that while you are in the on-line classroom, all other participants **can hear everything** you say (even in the background), and **can see everything** you write on the whiteboard.
2. I will be muting All participants to help with sound distortion.
3. Please make sure that all phones are muted during the sessions. **Press *6 and your phone will be muted.**
4. Feel free to submit notes during session for discussion. If you would like to **send a note / comment**, please **send to "all"** so that everyone can see the question and then hear the answer to that question.
5. Please raise your hand if you wish to speak
6. Take a vote: How many of you participated in the first or second round of trainings on essential records?
7. Take a vote: How many of you are participating in today's session with a group of co-workers?
8. If so, how many of you are there in your group? (Send # as a note)
9. At the end of the training, **I will be taking questions.** Write down any questions you have during the session, and **we will have an opportunity to ask them at the end.**

The Essential Records Game Plan

- The Essential Records training and program grew out of a revision to the E.R. Statute, and questions received after the revision.
- LAPR – ARM (Archives and Records Management) discussed how to approach Essential Records as a Program, and developed the trainings, ER Form and Guidance ("***Establishing An Essential Records List***").

Essential Records Training

We decided on three (3) Phases:

1. **Introductory Training** on Essential Records:

- What are ER?
- What is required of public bodies?

2. **Town Hall Sessions**

- Review General Retention Schedules
- Discuss and vote whether each records series is essential
- Keep track of voting
- Release *Essential Records Voting Tally*

3. **Wrap-up Sessions** (Today's session)

“Records” — As Defined By Statute

41-151.18. Definition of records

In this article, unless the context otherwise requires, "records" means all books, papers, maps, photographs or other documentary materials, **regardless of physical form or characteristics**, including prints or copies of such items produced or reproduced on film or electronic media pursuant to section 41-151.16, **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 of the informational and historical value of data contained in the record, and includes records that are made confidential by statute.

Why Prepare for the Worst?

- Records custodians must be prepared to protect their essential records so that, in the **event of an emergency**, their **offices can recover quickly** and **return to service** for the residents of their state or locality.

Agency Requirements

ARS §41-151.14:

- 5.A. The head of each state and local agency shall:
Once every five years submit to the director **lists of all essential public records** in the custody of the agency.

LAPR Requirements

ARS §41-151.12 - Essential Records Defined

Two Categories of Essential Records:

- “4. Establish criteria for designation of **essential records** within the following general categories:
- (a) Records containing information necessary to the operations of government in the emergency created by a disaster.
 - (b) Records containing information necessary to protect the rights and interests of persons or to establish and affirm the powers and duties of governments in the resumption of operations after a disaster.”

Essential Records: How Do I Identify Them?



Criteria for designation: Five Types of Essential Records

Records are considered essential when they:

1. Are necessary for emergency response
2. Are necessary to resume or continue operations
3. Protect the health, safety, property, and rights of residents
4. Would require massive resources to reconstruct
5. Document the history of communities and families

Priority for Access

PRIORITY FOR ACCESS	ESSENTIAL RECORDS ARE RECORDS THAT:
Priority 1: First 1-12 hours	Are necessary for emergency response
	Are necessary to resume or continue operations
Priority 2: First 12-72 hours	Protect the health, safety, property, and rights of residents
	Would require massive resources to reconstruct
Priority 3: After first 72 hours	Document the history of communities or families

Four Sources of Essential Records Information

- Essential records differ by agency.
- Each agency must determine which of its records is or are essential.
- What you need to know to identify essential records:
 1. Your agency's essential functions
 2. The stakeholders
 3. Your agency's records
 4. Relevant statutes, regulations, and standards

Differentiate Essential Records from Other Records

- Only a small percentage of records are essential
- Its critical value during and/or after an emergency makes a record essential.
- As disruption time increases, more records become essential.



Retention Schedules as Resources

- Retention Schedules are “lists” of records that are being created or received by public bodies.
- Some of the records series listed on Retention Schedules will be essential records.
- A great place to start when thinking about your essential records is by reviewing all the General and Custom Schedules that apply to your public body .
- During review, decide which records series on these Schedules are essential for you and circle the records series number.

Identifying Essential Records Additional Considerations

- Try a Teamwork approach
- Look at each state of the record lifecycle

Location of Form and Guidance



Arizona State Library, Archives
and Public Records
A Division of the Secretary of State



Search

Home

RECORDS MANAGEMENT

Records Center Operations

Preservation Imaging

Forms

Retention Schedules and
Manuals

Standards and Guidelines

Disaster Preparedness and
Recovery

Public Records Laws

Training

Accessing Arizona Public
Records

Additional Resources



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Disaster Preparedness and Recovery

When disasters occur, government agencies do not have the luxury of closing their doors and shutting down. In many cases, the agency is the first responder to the disaster. The information below will help state and local agencies meet statutory obligations for listing essential records, and provide additional resources for before and after potential disasters.

Library, Archives and Public Records (LAPR) Resources

Essential Records

It is the responsibility of the head of each state and local agency to establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. As part of that responsibility, the head of each state and local agency must submit lists of all essential records in the custody of the agency to the State Library every five years (ARS §41-151.14 a.5).

- [Establishing an Essential Records List](#)
- [Essential Records Listing form \(8.5" x 11" Excel version\) \(8.5" x 14" Excel version\)](#)
- [Essential Records Voting Tally](#)

Essential Records List

*** REQUIRED INFORMATION ***

Record Series Title/Records Description	Schedule # or Date	Item #	E.D. 1-5

Essential Records List

- E.D. = Essential Designation

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Item #	E.D. 1-5	1-12	12-72

1	Are necessary for emergency response.
2	Necessary to resume or continue operations.
3	Protect the health, safety, property and rights of residents and the government.
4	Would require massive resources to reconstruct.
5	Document the history of communities or families.

When is the ER List Due?

- Your submitted “List of Essential Records” needs to be received by the LAPR before close of business on 12/31/2014.

Got Questions?



Any Questions?

HELPFUL CONTACTS

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Department of Emergency and Military Affairs / Emergency Management – Preparedness:

<http://www.dem.azdema.gov/preparedness/index.html>

Phone: (602) 244-0504 / Toll Free: 1-800-411-ADEM (2336)

Council of State Archivists (CoSA) / Emergency Preparedness:

<http://www.statearchivists.org/prepare/index.htm>

Telephone: 518-473-9098 / Fax: 518-473-7058

Federal Emergency Management Agency:

<http://www.fema.gov/plan-prepare-mitigate>