Phase IV: Essential Records Follow-up

Karen Gray, Archives and Records Management Branch
Jerry Lucente-Kirkpatrick, Archives and Records Management Branch
Melanie Sturgeon, Director, Archives and Records Management Branch
GENERAL GUIDANCE FOR ON-LINE SESSIONS

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 are participating in today’s session with a group of co-workers?

7. If so, how many of you are there in your group? (Send # as a note)

8. 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.
IPER supports a fundamental component of Continuity of Operations (COOP):

Ensuring that state and local governments can access and use records needed to restore essential services.
“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.”
Not Public Records

A.R.S. §41-151.18

1. “Library or museum material made or acquired solely for reference or exhibition purposes,”

2. “Extra copies of documents preserved only for convenience of reference”

3. And “stocks of publications or documents intended for sale or distribution to interested persons”

…”are not included within the definition of records as used in this article.”
What You Should Know By Now

1. Distinguish between nonessential and essential records
2. Identify the five types of essential records
3. Explain the four sources of information you need to know to identify your essential records
4. Identify stakeholders who are resources for identifying essential records
5. Determine an agency’s or public body’s essential business functions in order to identify essential records
6. Know how to use Retention Schedules to start preparing your “lists of all essential public records”.
If You Don’t Know By Now...

1. Review previous Essential Records Trainings:

Here is what you are looking for:

- **Phase I - Creating Lists of Essential Records**
- 1.5 hours. ARS §41-151.14 requires all public bodies to, "...once every five years submit to the director lists of all essential public records in the custody of the agency." By the end of this training, you will be able to:
  - **Power Point Presentation**  **PDF of Presentation**
  - **Audio Recording of Online Session**
Phases II and III Trainings

Phase II - Essential Records

• 1.5 hours each. The round of our Creating Lists of Essential Records Project sessions consist of 90 minute sessions requiring audience participation and voting. This is an opportunity for public bodies to review groupings of Retention Schedules and decide which records series should be considered "essential". We have organized 10 on-line sessions built around groups of shared interests and Retention Schedules....

• Administrative, Library, and Miscellaneous Records
• [Power Point Presentation](#) [PDF of Presentation](#)
• Assessor, Recorder and Treasurer Records
• [Power Point Presentation](#) [PDF of Presentation](#)

Phase III - Wrap-Up Session

• [Audio Recording of Online Session](#)
E.R. Guidance and Form

2. Link to Essential Records Guidance and Form:
   • http://www.azlibrary.gov/arm/conservation

Here is what you are looking for:
   • 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  (Guidance)
   • Essential Records Listing form  (8.5” x 11” Excel)  (8.5” x 14” Excel)  - FORM
   • Essential Records Voting Tally  (E.R. Tool)
Review At The End

3. Work through the REVIEW at the end of this presentation.

• It will help you answer these six (6) important questions.
QUICK REVIEW

QUICK REVIEW OF ESSENTIAL RECORDS
PROJECT
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.

Basics of this statute are from the 1970s
   “Once every five years” added in 2011/12 Legislative Session
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.”
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
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 the actual disruption time increases, more records become essential.
Where To Find The Essential Records Tools?

Conservation, Disaster Preparedness and Emergency Recovery

Conservation
The Conservation Officer at the Arizona Archives and Records Management Division provides a variety of services to Arizona’s citizens, libraries, and agencies as well as national organizations. In most cases, these services are free, courtesy of the Arizona State Library, Archives and Public Records.

The Conservator provides:

- A variety of talks ranging from preserving family history collections to disaster planning for libraries and government agencies.
- Consultations on conservation issues with individuals as well as institutions via telephone, email or on-site.
- Hands-on workshops on book repair for circulating collections, disaster prevention and response, papers conservation and other topics. A fee to cover the cost of supplies may be necessary for some workshops.

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) (8.5” x 14” Excel)
- Essential Records Voting Tally

We’re here to help
Arizona State Archives
602-926-3720
Email
Records Management
602-926-3815
Guidance:

Establishing An Essential Records List

Establishing an Essential Records List

Criteria and Reporting Essential Records to the Arizona State Library, Archives and Public Records

October, 2013
Essential Records Listing Form:
What Information is Required?

<table>
<thead>
<tr>
<th>Record Series Title/Records Description</th>
<th>Schedule # or Date</th>
<th>Item #</th>
<th>E.D.</th>
</tr>
</thead>
<tbody>
<tr>
<td>* REQUIRED INFORMATION *</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Essential Records Listing Form: Why Are These Records Essential?

- E.D. = Essential Designation

<table>
<thead>
<tr>
<th>Item #</th>
<th>E.D.</th>
<th>Record Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1</td>
<td>Are necessary for emergency response.</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>Necessary to resume or continue operations.</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>Protect the health, safety, property and rights of residents and the government.</td>
</tr>
<tr>
<td></td>
<td>4</td>
<td>Would require massive resources to reconstruct.</td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>Document the history of communities or families.</td>
</tr>
</tbody>
</table>

1-12: Priority Access (in hours)

* ION
# Essential Records Listing Form: What Information is Optional

Optional does **NOT** mean "unimportant" or "unnecessary". Records Managers will find this information **VERY** useful in the event of a disaster.

<table>
<thead>
<tr>
<th>Priority Access (in hours)</th>
<th>Media</th>
<th>Document Type</th>
<th>Location</th>
<th>Quantity</th>
<th>Update Cycle</th>
<th>Salvage Instructions</th>
<th>Backup Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-12</td>
<td>Paper</td>
<td>Electronic</td>
<td>Location</td>
<td></td>
<td></td>
<td></td>
<td>On Site</td>
</tr>
<tr>
<td>12-72</td>
<td>Paper</td>
<td>Microfilm</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>After 72</td>
<td>Paper</td>
<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>Paper</td>
<td>Original</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Copy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Schedule Number</td>
<td>Title</td>
<td>Item #</td>
<td>Item alpha</td>
<td>Item numeric</td>
<td>Record Series Title</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>-----------------</td>
<td>------------------------</td>
<td>--------</td>
<td>------------</td>
<td>--------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-----</td>
<td>----</td>
</tr>
<tr>
<td>3 000-12-15</td>
<td>Administrative Records</td>
<td>1</td>
<td></td>
<td></td>
<td>Accident and Fire Prevention Program Records (including lists of first aid trained personnel)</td>
<td>31</td>
<td>35</td>
</tr>
<tr>
<td>4 000-12-15</td>
<td>Administrative Records</td>
<td>2</td>
<td></td>
<td></td>
<td>Administrative Directives (Fire Districts only)</td>
<td>16</td>
<td>15</td>
</tr>
<tr>
<td>5 000-12-15</td>
<td>Administrative Records</td>
<td>3</td>
<td></td>
<td></td>
<td>Advertisements</td>
<td>0</td>
<td>64</td>
</tr>
<tr>
<td>6 000-12-15</td>
<td>Administrative Records</td>
<td>4</td>
<td></td>
<td></td>
<td>Appointment Calendars</td>
<td>9</td>
<td>63</td>
</tr>
<tr>
<td>7 000-12-15</td>
<td>Administrative Records</td>
<td>5</td>
<td></td>
<td></td>
<td>Assurance Statements (statement from Public Body concerning retention and maintenance of permanent electronic records; office copy, official copy at Arizona State Library, Archives and Public Records (ASLAPR) /History and Archives Division)</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>8 000-12-15</td>
<td>Administrative Records</td>
<td>6</td>
<td></td>
<td></td>
<td>Certificates of Compliance (certificate from microfilm vendors verifying microfilm meets Arizona State Library, Archives and Public Records (ASLAPR) standards; office copy, official copy at ASLAPR/ History and Archives Division)</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>9 000-12-15</td>
<td>Administrative Records</td>
<td>7</td>
<td></td>
<td></td>
<td>Citizenship Verification Records (When applying for public benefit in response to ARS §1-501, §1-502 and similar)</td>
<td>44</td>
<td>14</td>
</tr>
<tr>
<td>10 000-12-15</td>
<td>Administrative Records</td>
<td>7 a.</td>
<td></td>
<td></td>
<td>Filed with application paperwork</td>
<td>44</td>
<td>14</td>
</tr>
<tr>
<td>11 000-12-15</td>
<td>Administrative Records</td>
<td>7 b.</td>
<td></td>
<td></td>
<td>Filed separately from application paperwork</td>
<td>44</td>
<td>14</td>
</tr>
<tr>
<td>12 000-12-15</td>
<td>Administrative Records</td>
<td>7 b. i.</td>
<td></td>
<td></td>
<td>Application approved</td>
<td>44</td>
<td>14</td>
</tr>
<tr>
<td>13 000-12-15</td>
<td>Administrative Records</td>
<td>7 b. ii.</td>
<td></td>
<td></td>
<td>Application denied</td>
<td>44</td>
<td>14</td>
</tr>
<tr>
<td>Record Series Title/Records Description</td>
<td>Schedule # or Date</td>
<td>E.D.</td>
<td>Priority Access (in hours)</td>
<td>Media</td>
<td>Document type</td>
<td>Location</td>
<td>Quantity</td>
</tr>
<tr>
<td>----------------------------------------</td>
<td>------------------</td>
<td>------</td>
<td>---------------------------</td>
<td>-------</td>
<td>---------------</td>
<td>----------</td>
<td>---------</td>
</tr>
<tr>
<td>Equipment/Vehicle Services Records</td>
<td>000-12-24</td>
<td>20</td>
<td>12-72</td>
<td>Paper</td>
<td>Original</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment/Vehicle Services Records</td>
<td>000-12-24</td>
<td>21</td>
<td>12-72</td>
<td>Paper</td>
<td>Original</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities/Grounds Management Records</td>
<td>000-11-8</td>
<td>1</td>
<td>After 72</td>
<td>Paper</td>
<td>Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities/Grounds Management Records</td>
<td>000-11-8</td>
<td>2</td>
<td>After 72</td>
<td>Paper</td>
<td>Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities/Grounds Management Records</td>
<td>000-11-8</td>
<td>3</td>
<td>After 72</td>
<td>Paper</td>
<td>Original</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Facilities/Grounds Management Records</td>
<td>000-11-8</td>
<td>4</td>
<td>After 72</td>
<td>Paper</td>
<td>Original</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Walk-around Inspection Records (checklists done by drivers before driving publicly owned vehicle)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Alarm Code and Key Control 1 Records (records tracking employee access in buildings)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Architect/Consultant Records Not 3 Used (including Requests for Proposals)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>As-built Plans, Drawings, - Blueprints, Floor Plans, Layouts, Specifications and Americans with Disabilities Act (ADA) Compliance Records</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Building Inventory Records</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
When Is Your “List of All Essential Records” Due?

• Your submitted “List of Essential Records” needs to be received by the LAPR before close of business on 12/31/2014.
Open Q & A (40-minutes)

Where are you at in your ER Listing process?

Listing Form completed?
Listing Form 50% completed?
Listing Form not yet started?
Still identifying our essential records?
Still putting our E.R. Team together?
Have identified the E.R. Project Coordinator?
Not sure where we are in the process?
Open Q & A (40-minutes)

• What is going right for you in the E.R. Project?
• What successes are you experiencing in the process?
• What is going wrong in the E.R. Project?
• What problems are you encountering in the process?
• What insights have you gained in the process that you would like to share?
Open Q & A (40-minutes)

- How can the LAPR help you meet your goal of completing and submitting an Essential Records Listing Form?
- What would you like us to do for you?
- What is your main roadblock?
- Can we help you with that?
Review Questions
What You Should Know By Now

1. Distinguish between nonessential and essential records
2. Identify the five types of essential records
3. Explain the four sources of information you need to know to identify your essential records
4. Identify stakeholders who are resources for identifying essential records
5. Determine an agency’s or public body’s essential business functions in order to identify essential records
6. Know how to use Retention Schedules to start preparing your “lists of all essential public records”.
Essential Records are defined as...

• What are essential records?

ARS §41-151.12

a....necessary to the operations of government in the emergency....

b....necessary to protect the rights and interests of persons...

or to establish and affirm the powers and duties of governments...."
Non-Essential Records - Importance

- What is the importance of nonessential records?

They are still records and need to be retained and access provided according to ARS §39 and §41.151
Identify the **five types** of essential records

- **Type # 1:** “Are necessary...**for emergency response**
- **Type # 2:** “Are necessary...**to resume or continue operations**
- **Type # 3:** “Protect the...**health, safety, property, and rights of residents**
- **Type # 4:** “Would **require**...**massive resources to reconstruct**
- **Type # 5:** “Document the...**history of communities and families**
Four Sources of ER Information

What are the four sources of information you will need to know to identify your essential records?

• Your State or Local Agency’s Essential Functions

• Your Stakeholders:
  • Who do you rely on?
  • Who relies on you?

• Your Agency’s Records

• Your Agency’s Relevant Statutes, Regulations, and Standards
Four Sources

2. Know the Stakeholders

This is the second source of information used in identifying your Essential Records

• Who depends on you? Who do you depend on?
  – Individuals
  – Other agencies
  – Outside organizations

• Who provides mission-critical support?
  – Information technology
  – Human resources
  – Legal and accounting
  – Emergency management, COOP
Three Steps To Identifying ER Records

Determine an agency’s or public body’s essential business functions in order to identify essential records.

What are the three steps to determining essential functions?

• Step # 1: “Identify...Your Business Functions
• Step # 2: “Analyze...Your Business Functions
• Step # 3: “Determine...the Essential Business Functions
Still Want More Training on Essential Records and Disaster Planning?

Be careful what you ask for...

- State Archives and RMD will begin re-offering the two-part IPER trainings, sometime in 2015:

  - Essential Records Workshop
    The goal of the Essential Records seminar is to provide participants with the knowledge and skills needed to identify and secure their agencies' most essential records, respond appropriately when an emergency occurs, and ensure continued access to essential records for the duration of the emergency and beyond.

  - Records Emergency Planning and Response
    The goal of this workshop is to provide participants with the knowledge and skills they need to protect, mitigate damage to, and recover records in the event of an emergency.
Got Essential Questions?

Any Questions?
HELPFUL CONTACTS

• Dr. Melanie Sturgeon: msturgeon@azlibrary.gov
  Phone: 602-926-3720 / Toll Free: 1-800-228-4710 (Arizona only)

• Jerry Lucente-Kirkpatrick: jkirkpatrick@azlibrary.gov
  Phone: 602-926-3820

• Karen Gray: kgray@azlibrary.gov
  Phone: 602-926-3817

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

• Federal Emergency Management Agency:
  http://www.fema.gov/plan-prepare-mitigate