

Phase IV: Essential Records Follow-up



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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.



A project of the
Council of State Archivists
to provide records-related emergency
training for state and local governments

*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

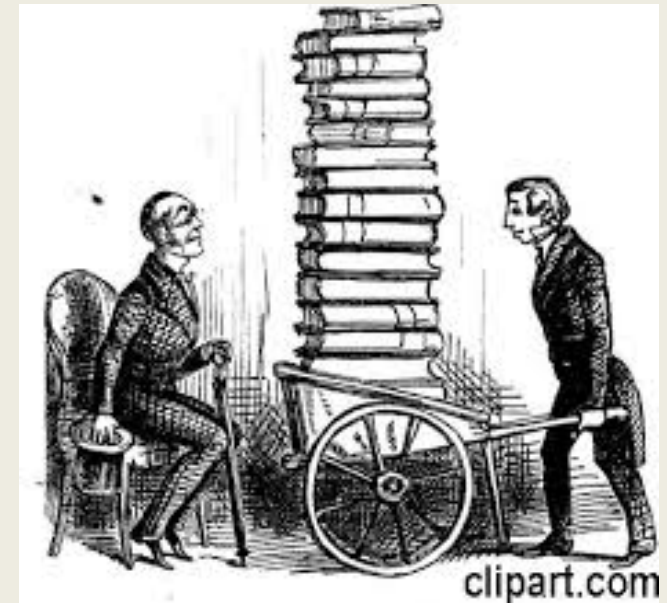
as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the **informational and historical value** of data contained in the record,

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:

- <http://www.azlibrary.gov/arm/programs-training-and-presentations/classes>

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?

[Home](#) > [Branches](#) > [Archives and Records Management](#) >

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](#)

Archives and Records Management

[Research at the Archives](#)

[Records Center Services](#)

[Retention Schedules, Standards, Form Guidance](#)

[Accessing Arizona Public Records](#)

[Conservation, Disaster Preparedness and Emergency Recovery](#)

[Programs, Training, and Presentations](#)

[Archives and Records Management Po](#)

[Contact the State Archives and Record Management Center](#)

We're here to help

Arizona State Archives
602-926-3720
[Email](#)

Records Management
602-926-3815

Guidance:

Establishing An Essential Records List



ARIZONA STATE
LIBRARY, ARCHIVES AND PUBLIC RECORDS
A DIVISION OF THE ARIZONA SECRETARY OF STATE



Joan Clark, State Librarian & Director

ARCHIVES AND RECORDS MANAGEMENT

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?

*** REQUIRED INFORMATION ***

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

Essential Records Listing Form: Why Are These Records Essential?

- 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.

Essential Records Listing Form: What Information is Optional

* OPTIONAL INFORMATION *															
Priority Access (in hours)			Media				Document type					Backup Information			
1-12	12-72	After 72	Paper	Electronic	Microfilm	Other	Original	Copy	Location	Quantity	Update Cycle	Salvage Instructions	On Site	Off Site	Location

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

Voting Talley – Administrative Records

2	Schedule Number	Title	Item #	Item alpha	Item numeric	Record Series Title	Yes	No
3	000-12-15	Administrative Records	1			Accident and Fire Prevention Program Records (including lists of first aid trained personnel)	31	35
4	000-12-15	Administrative Records	2			Administrative Directives (Fire Districts only)	16	15
5	000-12-15	Administrative Records	3			Advertisements	0	64
6	000-12-15	Administrative Records	4			Appointment Calendars	9	63
7	000-12-15	Administrative Records	5			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)	N/A	N/A
8	000-12-15	Administrative Records	6			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)	N/A	N/A
9	000-12-15	Administrative Records	7			Citizenship Verification Records (When applying for public benefit in response to ARS §1-501, §1-502 and similar)	44	14
10	000-12-15	Administrative Records	7	a.		Filed with application paperwork	44	14
11	000-12-15	Administrative Records	7	b.		Filed separately from application paperwork	44	14
12	000-12-15	Administrative Records	7	b.	i.	application approved	44	14
13	000-12-15	Administrative Records	7	b.	ii.	application denied	44	14

Combine Listing Form and Voting Talley

* REQUIRED INFORMATION *					* OPTIONAL INFORMATION *															
Record Series Title/Records Description	Schedule # or Date	Item #	E.D. 1-5	Priority Access (in hours)				Media				Docu-ment type		Location	Quant-ity	Update Cycle	Salvage Instructions	Backup Information		
				1-12	12-72	After 72	Paper	Electroni-c	Microfilm	Other	Original	Copy	On Site					Off Site	Location	

000-12-24	Equipment/Vehicle Services Records	20					Walk-around Inspection Records (checklists done by drivers before driving publicly owned vehicle)	0	20
000-12-24	Equipment/Vehicle Services Records	21					Warranty Records	12	8
000-11-8	Facilities/Grounds Management Records	1					Alarm Code and Key Control 1 Records (records tracking employee access in buildings)	16	2
000-11-8	Facilities/Grounds Management Records	2					Architect/Consultant Records Not 3 Used (including Requests for Proposals)	0	20
000-11-8	Facilities/Grounds Management Records	3					As-built Plans, Drawings, - Blueprints, Floor Plans, Layouts, Specifications and Americans with Disabilities Act (ADA) Compliance Records	14	1
000-11-8	Facilities/Grounds Management Records	4					Building Inventory Records	11	6

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



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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

Essential Records Types

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>