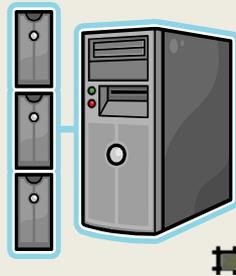
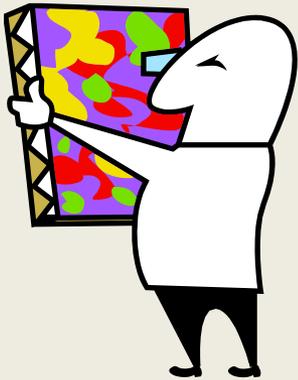


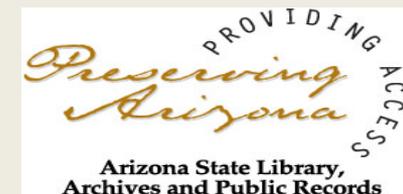
# *Why Do We Need This Training?*



# Identifying Essential Records



Jerry Lucente-Kirkpatrick, Records Management Division  
Melanie Sturgeon, History and Archives Division



# “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.”**



## *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.

# *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.

# *At the Completion of This Session You Will be Able to:*

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: How Do I Identify Them?*



# *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

# *More About Essential Records*

- Essential records require special protection strategies to ensure they are protected and accessible.
- Essential records can be found in any format and in any medium.

# *Legal & Fiscal Essential Records*

The five types of Essential Records include those that document legal & fiscal requirements

- Records to operate the office
- Contracts
- Who owes you money
- Who do you owe money to
- Case Files
- Payroll



# *Administrative Structure Essential Records*

The five types of Essential Records include records that preserve the administrative structure of your institution

- Policies
- Authorities
- Directives
- Meeting minutes



# *Preserve Rights and Entitlements of Citizens*

- Birth, Death, and Marriage
- Water Rights
- Land (Deeds and Mortgages)
- Right of Way
- Brands



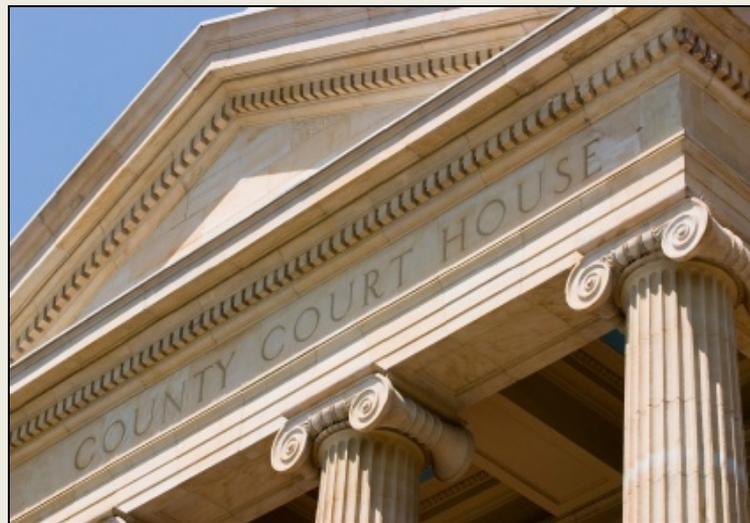
# *Four Sources of Essential Records Information*

- 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 (four sources of information):
  1. Your agency's essential functions
  2. The stakeholders
  3. Your agency's records
  4. Relevant statutes, regulations, and standards

# 1. *Know Your State or Local Agency's Essential Functions*

The first source of information to help identify your Essential Records:

- Identification of essential records starts with understanding essential functions.



# *Determine Essential Functions*

- **During an emergency, essential functions:**
  1. Provide vital services
  2. Exercise civil authority
  3. Maintain the safety and well-being of the general population
  4. Sustain the jurisdiction's industrial economic base
- **Essential functions must continue under all circumstances.**

# 3 Steps to Determine Essential Functions



Part of the first source of Essential Records:

Steps to determine essential functions

# *Step 1 and 2 - Identify and Analyze*

## **Steps 1 and 2: Identify and Analyze Your State or Local Agency's Business Functions**

- Answer the following:
  - What business functions are performed by your agency?
  - What are the statutory or legal requirements?
  - What are the program responsibilities?
  - What functions not normally performed by your agency might be required in an emergency?

# *Step 3 - Determine*

## **Step 3: Determine the Essential Business Functions**

1. Is there anything that your agency or division does that is critical?
2. Which of these critical functions are performed only by your own agency or division?
3. Is there an alternative method of carrying out those functions during the emergency and recovery periods?
4. After eliminating the business functions for which there are alternative methods of support, what functions are left?

**These are your essential business functions.**

## 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



# *Interview Stakeholders*

- Interview key stakeholders and staff to get information about essential functions.
- Ask specific and pointed questions:
  - **No:** “How long could you operate without that series of records?”
  - **Yes:** “What if you didn’t have access to that series of records for 24 hours?”
  - 48 hours?
  - 72 hours?
  - One – two weeks or longer?

How long do you think government bodies were operating in “disaster mode” before life returned to normal?

### 3. *Know Your Agency's Records*

The third source of information to help identify Essential Records

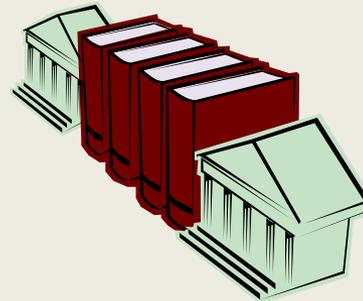
- Importance of a good records management program
- Records retention schedules
- Where are your records?
- Have you inventoried your records?



## 4. *Know Your Agency's Relevant Statutes, Regulations, and Standards*

This is the fourth source of information:

- What do statutes say your agency is supposed to do?
- What regulations are you required to follow?
- What are the standards you are required to follow?



# *Government Essential Records*

- What records are essential to your agency?
- What records are essential to the public?



# *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.



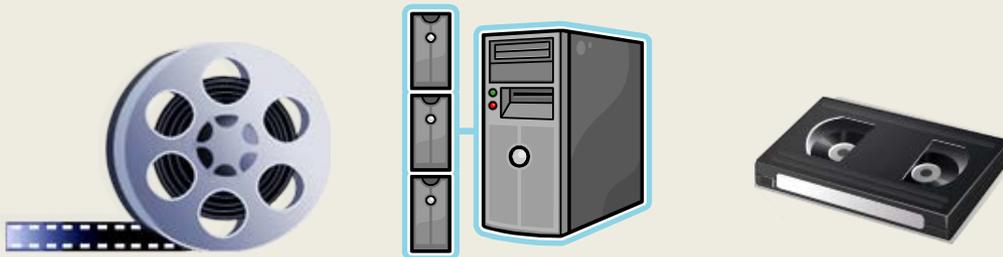
# *Characteristics of Essential Records*

- **Dynamic Essential Records**
  - Contain changing information
  - Require information to be kept up-to-date
- **Static Essential Records**
  - Contain information that does not change
  - Do not require updates

# Formats and Locations of Your Essential Records

Locate records – exactly where are they?

- What is in paper format?
- What is in electronic format?
- How current?
- How long will data / records stored on CD's last?
- Where are your permanent records?
- Where are your silver negatives of microfilm?
- Where are your backup tapes?



# *Color Code Your Essential Records*

- Label essential and permanent records
- Label or color code boxes, file cabinets and tapes.



# *Creating “Lists of essential public records”*

Now that you know which types of records can be considered essential, how do you begin creating your “lists” of essential records?

- Start with “lists” that already exist

# *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.

# *ASLAPR's Lists of Essential Records*

- On the part of the ASLAPR, Records Management and the State Archives will work together on this issue.
- We will review all General Retention Schedules and decide which records series are usually considered as essential records for many public bodies.
- We will begin the process on noting these records as essential on the General Schedules.

# *Form for Listing Essential Records*

## *- PENDING*

- It will take some time for you to review Retention Schedules and determine your essential records.
- In the next 4 months, we will further develop the “list” process.
- We will create a form for you to use when officially listing your essential records.
- As soon as we have the form, we will send it out via our email distribution lists

# *Process for Submitting Lists -* **PENDING**

- This training is the first step in the process of integrating ARS §41-151.14 into Records Management: “submit to the director **lists of all essential public records** in the custody of the agency.”
- ASLAPR will create the form for you to use.
- ASLAPR will refine and define the process for you to use to submit these lists.
- In **April (approximately)**, we will follow-up with you all on the next steps – completing the form and submitting the “lists”.

# *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 late-Spring / early-Summer:
  - **[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.



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

# *Review of this session*

## 1. Distinguish between nonessential and essential records

- What are essential records?

ARS 41-151.12

a....

# *Essential Records defined... a*

- What are essential records?

ARS 41-151.12

a....**Records containing information necessary to the operations of government in the emergency created by a disaster.**

b....

# *Essential Records defined...b*

- What are essential records?

ARS 41-151.12

**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.**

- What is the importance of nonessential records?

# *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**

# *Review of this session*

2. Identify the five types of essential records
  - Type # 1: “Are necessary...”

# *First Type*

2. Identify the five types of essential records

- Type # 1: “Are necessary...**for emergency response**”
- Type # 2: “Are necessary...”

# *Second Type*

2. 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...”

# *Third Type*

2. 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...”

# *Fourth Type*

2. 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...”

# *Fifth Type*

2. 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**”

# *Review of this session*

3. Explain the four sources of information you need to know to identify your essential records
  - First source of information?

# *First Source*

3. Explain the four sources of information you need to know to identify your essential records

- First source of information?

## **Know Your State or Local Agency's Essential Functions**

- Second source of information?

# *Second Source*

3. Explain the four sources of information you need to know to identify your essential records

- First source of information?

**Know Your State or Local Agency's Essential Functions**

- Second source of information?

**Know the Stakeholders**

- Third source of information?

# *Third Source*

3. Explain the four sources of information you need to know to identify your essential records

- First source of information?

**Know Your State or Local Agency's Essential Functions**

- Second source of information?

**Know the Stakeholders**

- Third source of information?

**Know Your Agency's Records**

- Fourth source of information?

# *Fourth Source*

3. Explain the four sources of information you need to know to identify your essential records
- First source of information?  
**Know Your State or Local Agency's Essential Functions**
  - Second source of information?  
**Know the Stakeholders**
  - Third source of information?  
**Know Your Agency's Records**
  - Fourth source of information?  
**Know Your Agency's Relevant Statutes, Regulations, and Standards**

# *Review of this session*

4. Identify stakeholders who are resources for identifying essential records

- Who depends on you?

# *Who Depends on You*

4. Identify stakeholders who are resources for identifying essential records

- Who depends on you?

**Individuals - Other agencies - Outside organizations**

- Who do you depend on?

# Who You Depend On

4. Identify stakeholders who are resources for identifying essential records
  - Who depends on you?  
**Individuals - Other agencies - Outside organizations**
  - Who do you depend on?  
**Individuals - Other agencies- Outside organizations**
  - Who are your mission critical supporters?

# *Mission Supporters*

4. Identify stakeholders who are resources for identifying essential records
  - Who depends on you?  
**Individuals - Other agencies - Outside organizations**
  - Who do you depend on?  
**Individuals - Other agencies- Outside organizations**
  - Who are your mission critical supporters?  
**Information technology - Human resources - Legal and accounting - Emergency management, COOP**

# *Review of this session*

5. 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..."

# *Identify*

5. 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...”

# Analyze

What are the three steps to determining essential functions?

- Step # 1: “Identify...**Your Business Functions**”
- Step # 2: “Analyze...**Your Business Functions**”
- Step # 3: “Determine...”

# *Determine*

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**

# *Review of this session*

6. Know how to use Retention Schedules to start preparing your “lists of all essential public records”.

- Start with...

# *Start With Retention Schedules*

6. Know how to use Retention Schedules to start preparing your “lists of all essential public records”.

- Start with...**“lists” that already exist – General and Custom Retention Schedules**
- Review...

# *Review All Schedules*

6. Know how to use Retention Schedules to start preparing your “lists of all essential public records”.

- Start with...**“lists” that already exist – General and Custom Retention Schedules**
- Review...**all the General and Custom Schedules that apply to your public body**
- Identify specific...

# *Identify Specific Records Series*

6. Know how to use Retention Schedules to start preparing your “lists of all essential public records”.
  - Start with...**“lists” that already exist – General and Custom Retention Schedules**
  - Review...**all the General and Custom Schedules that apply to your public body**
  - Identify specific...**records series on these Schedules that are essential for your public body**
  - Circle the...

# *Circle Records Series That Are Essential*

6. Know how to use Retention Schedules to start preparing your “lists of all essential public records”.
  - Start with...**“lists” that already exist – General and Custom Retention Schedules**
  - Review...**all the General and Custom Schedules that apply to your public body**
  - Identify specific...**records series on these Schedules that are essential for your public body**
  - Circle the...**records series number for those records that are essential for you**

*Got Questions?*



Any Questions?

# HELPFUL CONTACTS

**Dr. Melanie Sturgeon:** [msturgeon@azlibrary.gov](mailto:msturgeon@azlibrary.gov)

Phone: 602-926-3720 / Fax: 602-256-7982 /  
Toll Free: 1-800-228-4710 (Arizona only)

**Jerry Lucente-Kirkpatrick:** [jkirkpatrick@azlibrary.gov](mailto:jkirkpatrick@azlibrary.gov)

Phone: 602-926-3820 / Fax: 602-256-2838

**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>