Plan, Prepare, Protect, Respond: Records Emergency Planning

Essential Records

Section 1: Identify Essential Records

Association of Minnesota Counties - April 2014
This program is part of the INTERGOVERNMENTAL PREPAREDNESS FOR ESSENTIAL RECORDS (IPER) program developed by the COUNCIL OF STATE ARCHIVISTS (CoSA) in cooperation with the NATIONAL ARCHIVES & RECORDS ADMINISTRATION (NARA) and sponsored by the FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA)
This program was supported by Cooperative Agreement Number 2007-GT-T7-K022, administered by the U.S. Department of Homeland Security, Federal Emergency Management Agency, National Preparedness Directorate. Points of view or opinions in this program are those of the author(s) and do not represent the position or policies of the U.S. Department of Homeland Security.
IPER’s purpose:

- Training state, territorial, tribal, and local governments
- Giving you the knowledge and skills needed to secure your most essential records and recover records damaged by natural or human-caused emergencies
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
This is a shortened version of the IPER Essential Records course.

The course was originally given in four, 90-minute online sessions.
IPER Resource Center

- http://rc.statearchivists.org/

- The first place to look for information about managing and safeguarding state and local government records

- Gives you access to the regulations, guidance, other records information that apply to your state or territory

- Search and display by state or territory, or by topic

- Available to everyone—not just IPER participants—and will remain available indefinitely
Course Overview

1. Essential Records
   - Identify Essential Records
   - Identify Risks to Essential Records
   - Protect and Ensure Access to Essential Records

2. Records Emergency Planning and Response
   - Preparing a Records Emergency Action Plan
   - Records Emergency Response and Recovery
Course Objectives: Essential Records

By the end of this course, you will be able to:

• Identify the records that you need to designate as essential records

• Identify and evaluate risks to the essential records of an agency

• Identify and evaluate preparedness and mitigation strategies to protect and ensure continued access to essential records in case of natural emergencies or human-caused threats such as arson, vandalism, computer hacking, or terrorism
Why Are We Here?

Damage from 2008 flood in Cedar Rapids, Iowa.
Photo/Joan McCalmant, Linn County (IA) Recorder
Why Are We Here? (cont’d.)

Photo courtesy of NARA—Fort Worth, Texas—2000 Tornado
Why Are We Here? (cont’d.)

Photo courtesy of NARA
Why Are We Here? (cont’d.)

Photo courtesy of University of Georgia Libraries
Why Are We Here? (cont’d.)

• Too often, the COOP process neglects the identification and protection of essential records.

• 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.

• This training presents a step-by-step approach to developing an essential records program.
Identify Essential Records
What Are Essential Records?

- Records are considered essential when they:
  - Are necessary for emergency response
  - Are necessary to resume or continue operations
  - Protect the health, safety, property, and rights of residents
  - Would require massive resources to reconstruct
  - Document the history of communities and families
What Are Essential Records? (cont’d.)

### Handout 1.3—Potential Candidates for Essential Records Status

**Table 1: Potential Candidates for Essential Records Status by Category**

<table>
<thead>
<tr>
<th>Category</th>
<th>Specific Records</th>
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<tbody>
<tr>
<td>1. Proof of ownership by the agency</td>
<td>Property and equipment inventories; real estate records (titles, deeds); Accounts Receivable</td>
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<tr>
<td>2. Proof of monies owed to the organization</td>
<td>Accounts Receivable, contracts, leases</td>
</tr>
<tr>
<td>3. Fiscal obligations of organization</td>
<td>Accounts Payable, loans, and other fiscal obligations</td>
</tr>
<tr>
<td>4. Employee compensation and benefits</td>
<td>Labor contracts, payroll registers, insurance, and retirement plans</td>
</tr>
<tr>
<td>5. Records regarding physical plant</td>
<td>Engineering drawings, building plans or blueprints, equipment specifications, hardware inventories, civil defense plans, hazardous material inventories, etc.</td>
</tr>
<tr>
<td>6. Records relating to production or work product</td>
<td>Product processes, formulae designs, warehouse inventories, inventory controls lists, process specifications</td>
</tr>
<tr>
<td>7. Operating policies and procedures</td>
<td>Orders of succession, delegations of authority, staffing assignments, task specifications, policies and procedures manuals, directives</td>
</tr>
<tr>
<td>8. Records regarding computer infrastructure</td>
<td>System documentation and backups, software documentation manuals</td>
</tr>
<tr>
<td>9. Future directions</td>
<td>Strategic plans, forecasts</td>
</tr>
<tr>
<td>10. Past management</td>
<td>Board and executive meeting, reports, and official</td>
</tr>
</tbody>
</table>
What Are Essential Records? (cont’d.)

- 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.
Essential Records in Minnesota Law

MS15.17

- Subd. 2 “Responsibility for records. The chief administrative officer of each public agency shall be responsible for the preservation and care of the agency's government records, which shall include written or printed books, papers, letters, contracts, documents, maps, plans, computer-based data, and other records made or received pursuant to law or in connection with the transaction of public business. It shall be the duty of each agency, and of its chief administrative officer, to carefully protect and preserve government records from deterioration, mutilation, loss, or destruction.
Essential Records in Minnesota Law

MS138.17

- Subd. 7. “Records management. It shall be the duty of the… governing body of each county, municipality, and other subdivision of government to establish and maintain an active, continuing program for the economical and efficient management of the records of each agency, county, municipality, or other subdivision of government.”

- Subd. 8 “Emergency records preservation. Every county, municipality, or other subdivision of government may institute a program for the preservation of necessary documents essential to the continuity of government in the event of a disaster or emergency.”
Essential Records and NIMS

- NIMS recognizes the importance of essential records.
  - A national approach to incident management

- The Essential Records course fits with the first NIMS component, *Preparedness.*

- NIMS also urges the implementation of an essential records program.
Differentiate Essential Records from Other Records

• Only a small percentage of records are essential, typically less than five percent.

• Its critical value during and/or after an emergency makes a record essential.

• As disruption time increases, more records become essential.
Which of Your Agency’s Records Are Essential?

• 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:
  – Your agency’s essential functions
  – The stakeholders
  – Your agency’s records
  – Relevant statutes, regulations, and standards
Know Your Agency’s Essential Functions

• Identification of essential records starts with understanding essential functions.
Determine Essential Functions

• During an emergency, essential functions:
  – Provide vital services
  – Exercise civil authority
  – Maintain the safety and well-being of the general population
  – Sustain the jurisdiction’s industrial economic base

• Essential functions must continue under all circumstances.

• Identify the records that support these functions.
Know the Stakeholders

• 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
Know Your Agency’s Records

• Importance of a good records management program
• Records inventories
• Records retention schedules
  – General Records Retention Schedule for Minnesota Cities (available via MCFOA and State Archives websites)
Know Relevant Statutes, Regulations, and Standards

- Statutes and ordinances that apply to your state and locality.

- Regulations issued by state and local governments.

- Standards from federal agencies and national organizations.

- Guidance from state and federal agencies, professional and industry associations.
Please join us for the continuation of this course:

Essential Records
Section 2: Protect Essential Records
Resources

• IPER Resource Center: http://rc.statearchivists.org/default.aspx

• Minnesota Homeland Security and Emergency Management: https://dps.mn.gov/divisions/hsem

• MNWALK -- identifies the general requirements for the contents of emergency operation plans: https://dps.mn.gov/divisions/hsem/all-hazards-planning/Pages/mnwalk.aspx


• Minnesota Government Records and Information Network (MN-GRIN): http://sites.google.com/site/mngrin/

• Minnesota State Archives: http://www.mnhs.org/preserve/records/index.htm
Thank You!