



Handout 1.3—Potential Candidates for Essential Records Status

Table 1: Potential Candidates for Essential Records Status by Category

CATEGORIES	SPECIFIC RECORDS
1. Proof of ownership by the agency	Property and equipment inventories; real estate records (titles, deeds); Accounts Receivable
2. Proof of monies owed to the organization	Accounts Receivable, contracts, leases
3. Fiscal obligations of organization	Accounts Payable, loans, and other fiscal obligations
4. Employee compensation and benefits	Labor contracts, payroll registers, insurance, and retirement plans
5. Records regarding physical plant	Engineering drawings, building plans or blueprints, equipment specifications, hardware inventories, civil defense plans, hazardous material inventories, etc.
6. Records relating to production or work product	Product processes, formulae designs, warehouse inventories, inventory controls lists, process specifications
7. Operating policies and procedures	Orders of succession, delegations of authority, staffing assignments, task specifications, policies and procedures manuals, directives
8. Records regarding computer infrastructure	System documentation and backups, software documentation manuals
9. Future directions	Strategic plans, forecasts
10. Past management	Board and executive meetings, reports, and official statements
11. Research findings and product development	Formulae, patent authorizations, product development plans, research and development (R & D) records, baseline data, specifications
12. Location of records	Essential records inventory lists; file plans and retention schedules
13. Records regarding the maintenance of public health, safety, and order in emergency	Emergency procedures, emergency contact lists, computer program documentation, disaster and emergency plans
14. Records needed to protect the rights and interests of individual residents or associations of residents	Legal records, identity documentation, voting registration lists, property titles, education transcripts, etc.

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Handout 1.5—Essential Records Questionnaire

PART I INTERVIEW QUESTIONS

Date: _____ Interviewer: _____

Office/Location (Building/Room): _____

Office Contact Name & Number: _____

1. In "layman's terms," please tell me what your office does.

2. Is there anything that your office does that you would consider to be critical to your agency? That is, if your operation were shut down because of some emergency, how greatly would it affect the rest of your agency? Other organizations or agencies? The public? (Specify mission-critical processes. There may be none.)

3. Briefly describe the types of records or other information this office creates.

4. Do you consider any of these records to be **essential**? That is, if one or more of the types of records or information sets you create were lost because of an emergency or were unavailable during an emergency, would there be any dramatic effect on the rest of your agency's operation? Other agencies? The public?
If any records are essential, please provide the record series title below and complete an Essential Records Profile (see Part II—Essential Records Information) for each essential record:
 1. Record series title:
 2. Record series title:
 3. Record series title:
 4. Record series title:
 5. Record series title:
 6. Record series title:
 7. Record series title:
 8. Record series title:
 9. Record series title:
 10. Record series title:

5. Other Comments



PART II ESSENTIAL RECORD INFORMATION

Essential Records Profile

For each essential record listed in Section 4 of Part I, provide the following information (you may duplicate this page as many times as needed):

Record series title:

Records Retention Schedule number, if available:

Media:

How soon would you need access to the record after an emergency (hours, days, or weeks)?

Why is the record deemed to be essential? (Select all that apply.)

- Necessary for emergency response. If so, how used?

- Protects the health, safety, property, and rights of residents. If so, how used?

- Necessary to resume or continue operations. If so, how used?

- Would require massive resources to reconstruct. If so, how used?

- Documents the history of communities and families. If so, how used?

5. Are you protecting this essential record? If so, how?



Handout 2.1—Risk Assessment— Sample Hazards Inspection Checklist

- Used for prioritizing the needs of equipment and supplies
- Used as an assessment tool for future budget plan
- Used to inform first responders (especially fire) about building condition
- Update information at least once a year

Table 1: Evaluation of Current Building Condition

BUILDING FACTORS	CONDITION/LOCATION	POSSIBLE HAZARDS
Where is the Building Situated?	Building is located at north end of Federal Complex, at the corner of 1 st Ave. and Main.	Holding pond, north of North Ave.
Surrounding Area	Other federal office buildings are located to the west and south. A large parking lot lies to the east. A road is north of the building—Route 66, located about 1/8 th mile north of the building.	Vulnerability to Hazmat incidents on Route 66. Risk of collateral effects of emergencies at nearby buildings.
Location of Records	Records are stored in decentralized file locations throughout the building.	One file station is in a basement, vulnerable to water drainage in a major storm or leak.
Security	Nine staff members have keys to the building.	Possible hazard. Lost or stolen keys present security risk.
Environmental Stability in the Building	One records area—the technical library and archives—is temperature- and humidity-controlled.	Minimal hazard
Structural Stability	Brick structure. Building was constructed in phases: 1942, 1950s, 1960s, and 1970s. Last addition, completed in 1973, includes the new front office areas.	Minimal hazard
Roof Type	Metal roof with tar and gravel covering. Library stack area roof is reinforced with special roofing materials.	Moderate. Older parts of the building are still vulnerable to roof leak around drains.
Drainage/Sprinkler System	Wet pipe sprinkler system	Minimal hazard
Fire Protection System	Fire alarms, sprinkler alarms activated by heat-sensing sprinkler heads. Fire extinguishers are present.	Minimal hazard
Hazardous Materials On Site or Near Site	Small amounts of paint and other substances are maintained in the dock in a locking cabinet.	Minimal hazard
Chemical*	Location/Amount	Possible hazards

*Inventory of dangerous chemicals stored on site

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Handout 4.1—Access Priorities Table

Table 1: Access Priorities Table

LEVEL	DEFINITION	ACCESS	EXAMPLES	TIMEFRAME FOR ACCESS
Priority 1	Records essential for response and emergency operations and therefore needed immediately	Physical protective storage is close to disaster response site for immediate access. Electronic replication methods are available for immediate access of information.	<ul style="list-style-type: none"> • Emergency action plan • Business continuity plan • Vital records manual • Current facility drawings • Personnel security clearance files 	Within the first 0–12 hours
Priority 2	Records essential for quick resumption and continuation of business following an emergency	Physical protective storage is close to disaster recovery site for quick business resumption. Electronic methods are quickly accessible, and backups can be quickly restored.	<ul style="list-style-type: none"> • Current client files • In-progress Accounts Payable and Accounts Receivable • Research documentation • Current contracts and agreements 	Within the first 12–72 hours
Priority 3	Records needed to continue essential functions if normal agency information were unavailable for a prolonged period	Physical protective storage is accessible and outside of the disaster area.	<ul style="list-style-type: none"> • Accounts Payable and Accounts Receivable files • Existing contracts and agreements • Unaudited financial records 	After the first 72 hours

This chart is based in part on ARMA International, ANSI-ARMA 5–2003 *Vital Records: Identifying, Managing, and Recovering Business-Critical Records*.

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Handout 4.4—Essential Records Template

Table 1: Essential Records Template

ESSENTIAL RECORD*	FORMAT(S) OF RECORD	ACCESS PRIORITY LEVEL (SEE KEY)	ACCESS TIMEFRAME	LOCATION OF ORIGINAL (INCLUDE COMPUTER NAME & PATH FOR ELECTRONIC RECORDS)	ACCESSIBLE AT ALTERNATIVE FACILITY?	BACKED UP AT THIRD LOCATION	MAINTENANCE FREQUENCY	PREVENTION/ MITIGATION STRATEGIES
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Example:

<i>Delegation of Authority</i>	<i>Hardcopy and PDF file</i>	<i>Priority 1</i>	<i>Immediately, within 0–12 hours of the event</i>	<i>Deputy Administrator's Office, Washington Grove facility. GBaxter on 'gandalfuserdirs\$My_Documents\Disaster\DofA'</i>	<i>Records storage facility</i>	<i>Office of the Administrator, Springfield Facility, 2nd floor, Office 213b, top drawer of file cabinet next to secretary's desk</i>	<i>Bi-weekly</i>	<i>Backup tapes of Gandalf server</i>
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* Not every distinct essential record needs to be listed. Record series may suffice (e.g., death certificates, obviously, may be listed once), if at the same location and on the same medium or media.



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Table 2: Priority Level Key

PRIORITY LEVEL	DESCRIPTION
Priority 1	Essential for emergency operations and therefore needed immediately—in the first few hours—to respond to the emergency.
Priority 2	Records that are needed to manage the incident and resume operations.
Priority 3	Records needed to continue essential functions if normal agency records were unavailable for a prolonged period. These include records that are needed off site to work on specific programs or projects most critical to the agency's mission.

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Resources and assistance in MINNESOTA for topics covered in the IPER courses

The following links were compiled in conjunction with the IPER courses, *Essential Records* and *Records Emergency Planning and Response*. They mirror the Reference 01 sheets included in the course materials for both courses and are specific to the state of Minnesota. For more information about the IPER project and the courses offered, please visit the [IPER Project page](http://rc.statearchivists.org/Content/IPER-Project.aspx) (<http://rc.statearchivists.org/Content/IPER-Project.aspx>).

Essential Records

1 Main page for my state in the IPER Resource Center

Minnesota main page:

<http://rc.statearchivists.org/Resource-Center/State/MN/State-Archives-and-Record-Management.aspx>

2 State/territorial archives and records management programs

Minnesota State Archives:

<http://www.mnhs.org/preserve/records/index.htm>

3 Definitions of essential records in statutes and regulations

No statutes or regulations define essential records. However, a number of statutes do provide some guidance related to recordkeeping in general

Managing Your Government Records: Guidelines for Archives and Agencies:

<http://www.mnhs.org/preserve/records/recordsguidelines/guidelines.html>

Official Records Act, Minnesota Statutes, Chapter 15.17:

<https://www.revisor.mn.gov/statutes/?id=15.17>

Records Management Act, Minnesota Statutes, Chapter 138.17:

<https://www.revisor.mn.gov/statutes/?id=138.17>

Minnesota Government Data Practices Act, Minnesota Statutes, Chapter 13:

<https://www.revisor.mn.gov/statutes/?id=13>

Preserving and Disposing of Government Records:

http://www.mnhs.org/preserve/records/docs_pdfs/PandD_may2008.pdf

4 Records retention and disposition schedules applicable to my agency

General Records Retention Schedules:

<http://www.mnhs.org/preserve/records/retentionsched.html>

5 Laws and regulations addressing emergency management and records management

Minnesota Emergency Management Act, Minnesota Statutes, Chapter 12:

<https://www.revisor.mn.gov/statutes/?id=12>

Governor's Executive Order Assigning Emergency Responsibilities to State Agencies:

<http://www.dps.state.mn.us/dhsem/uploadedfile/07-14%20Exec%20Order.pdf>

Minnesota Disaster Management Handbook:

http://www.dps.state.mn.us/homsec/uploads/Disaster_Management_Handbook_2010_Rev4_Package.pdf

Minnesota Disaster Recovery Assistance Framework:

http://www.dps.state.mn.us/dhsem/uploadedfile/MDRF_Basic_Framework_Original_Issue_2010.pdf

6 Resources on identifying risks that are relevant to my state or locality

Minnesota All-Hazard Mitigation Plan:

http://www.hsem.state.mn.us/uploadedfile/state_mitigation_plan.pdf

Hazard Mitigation Planning, information from the Department of Administration:

<http://www.lpa.state.mn.us/HazardMitigation/>

7 Records storage services for state and local governments and my state's specific storage regulations that apply to essential records

Cooperative Purchasing Venture:

<http://www.mmd.admin.state.mn.us/cpv2.htm>

Recordkeeping-related CPV Contracts:

Records Storage and Management R-654(5), Electronic Media Storage C-824(5)

8 Regulations or guidelines re: the protection of records, e.g., backup requirements, media and environmental standards, offsite storage providers

Chapter VI, "Preservation of Archival Records," and Chapter VIII, "Setting up a Records Storage Area" in Preserving and Disposing of Government Records:

http://www.mnhs.org/preserve/records/docs_pdfs/PandD_may2008.pdf

Electronic Records Management Guidelines:

<http://www.mnhs.org/preserve/records/electronicrecords/erguidelines.html>

Disaster Preparedness from the State Archives (2003):

<http://www.mnhs.org/preserve/records/disaster.html>

9 Continuity of Operations (COOP) plans: examples and templates

The State of Minnesota Emergency Operations plan is non-public but can be requested from the Department of Homeland Security and Emergency Management.

In Minnesota, the Office of Homeland Security and Emergency Management in the Department of Public Safety coordinates emergency *response and preparedness*. For state agencies, the Office of Enterprise Technology manages business continuity *planning* and Minnesota Management and Budget manages business continuity *operations*.

Each agency and unit of local government should have its own Continuity of Operations Plan, OET coordinates these for state agencies.

See also, the Minnesota [Enterprise Security Strategic Plan](#) and [Enterprise Security Tactical Plan](#).

Records Emergency Planning and Response Course

1 Main page for my state in the IPER Resource Center

Minnesota main page

<http://rc.statearchivists.org/Resource-Center/State/MN/State-Archives-and-Record-Management.aspx>

2 State/territorial archives and records management programs

Minnesota State Archives:

<http://www.mnhs.org/preserve/records/index.htm>

3 The emergency response plan for my state or territory

The State of Minnesota Emergency Operations plan is non-public but can be [requested](#) from the Department of Homeland Security and Emergency Management (HSEM).

See Topic 6 below for more resources.

4 REAPs or similar documents for my state or locality

[none at this time]

5 A directory of vendors, contractors, and suppliers who specialize in various aspects of emergency response and recovery for my state and locality

Twin Cities ARMA Chapter local vendor listing

http://www.twincitiesarma.org/atcwff_007.htm

Disaster Recovery Journal website vendor directory

<http://www.drj.com/vendor-directory.html>

6 Statewide emergency response contracts, supplies, resources, etc., that apply to my state and/or locality

Minnesota Recovers is the state's official disaster recovery information center

The HSEM website includes a number of useful resources:

[Minnesota Emergency Manager's Directors Handbook](#)

[Disaster Management Handbook](#)

[Disaster Recovery Assistance Framework](#)

[Information on Hazard Mitigation Planning](#)

The Minnesota Department of Administration has additional information on [Hazard Mitigation Planning for Local Governments](#)

For Minnesota state agencies, HSEM (an office of the Department of Public Safety) coordinates emergency *response and preparedness*. For state agencies, the [Office of](#)

Enterprise Technology (OET) manages business continuity *planning* and Minnesota Management and Budget (MMB) manages business continuity *operations*.

Each agency and unit of local government should have its own Continuity of Operations Plan; OET coordinates these for state agencies.

For emergency response and preparedness related to technology, see the Minnesota Enterprise Security Strategic Plan and Enterprise Security Tactical Plan.

The League of Minnesota Cities provides an extensive list of safety and preparedness resources for cities, including an Emergency Preparedness Manual.

7 My state's sources of archivists and conservators

See below

8 Response and recovery resources available in my area

The Minnesota Historical Society and State Archives can assist state and local government entities with emergency response related to records and artifacts.

State Archives' recommendations regarding disaster preparedness
<http://www.mnhs.org/preserve/records/disaster.html>

Additional resources
<http://www.mnhs.org/preserve/conservation/floodresponse.htm>