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### Module 4—Incorporate Essential Records into COOP Plans

Module 4 Introduction and Objectives

- Module 4 Introduction
- Module 4 Objectives

Lesson 1: The Essential Records Template

- Essential Records and COOP Plans
- Sample COOP Plans
- Essential Records Template
- Don’t Forget Your Stakeholders

### Course Summary

- Course Review
- Next Steps
- Course Evaluations and Course Certificates
- Essential Records Post-Test
Session 4 Introduction

Session 4 Welcome and Overview

Slide 4-1

Please stand by! The webinar will begin shortly:

1. Join the conference call by dialing the conference number in your Invitation or Reminder Emails. Please put your phone on mute.

2. Be sure to have all Session 4 materials ready before the session starts. You’ll find the link to the materials in your Invitation or Reminder Emails.

Required materials for Session 4:

- Session 4 Participant Guide
- Session 4 handouts:
  - Handout 4.1—Access Priorities Table
  - Handout 4.2—Establishing a Duplication Schedule for Essential Records
  - Handout 4.3—Determine Timeframes for Accessibility Activity
  - Handout 4.4—Essential Records Template
- Materials from prior sessions:
  - Handout 1.1—Essential Records
  - Handout 1.3—Potential Candidates for Essential Records Status
  - Handout 1.5—Essential Records Questionnaire
  - Handout 1.6—The Division of Public Recreation (DPR) Overview
  - Handout 3.2—Determine Protection Strategies and Measures Activity, with Table 2 completed
Session 4 Overview

- Take-Home Activity Debrief
- Module 3—Access Essential Records
- Module 4—Incorporate Essential Records into COOP Plans
- Course Summary
Take-Home Activity Debrief

Session 3 Activity: Determine Protection Strategies and Measures—Part 2

Slide 4-3

Handout 3.2—Table 2: My Agency’s Protection Strategies and Measures
Module 3—
Access Essential Records
Module 3 Introduction and Objectives

Module 3 Introduction

Slide 4-4
Module 3 Objectives

At the completion of this module, you will be able to:

- Prioritize essential records
- Specify timeframes for essential records availability
- Develop procedures to ensure access to and security of essential records

Review the module objectives.

At the completion of this module, you will be able to:

- Prioritize essential records
- Specify timeframes for essential records availability
- Develop procedures to ensure access to and security of essential records
Lesson 1: Ensure Access to Essential Records
Make Essential Records Available

- During an emergency, could your agency access its essential records?

As we know, essential government services can be interrupted by disastrous events ranging from something as small as a burst pipe to something as catastrophic as a terrorist attack. Such disruptions may last for a short time, or they may result in a complete stoppage of government operations.

In the event of an emergency, could your agency access the essential records it needs to perform its mission?
Regardless of the scale of the emergency, agencies must be able to respond to the situation, continue to function and provide services to the public under emergency operating conditions, and resume normal business afterward. Essential records make this possible, so agencies must be prepared to access their essential records.

Agencies should ensure that retrieval procedures for essential records require only routine effort to locate needed information, especially since individuals unfamiliar with the records may need to use them during an emergency.

Agencies should also ensure that all equipment needed to read essential records will be available in case of emergency. For electronic records systems, agencies should also ensure that system documentation adequate to operate the system and access the records will be available in case of emergency and that they have the keys or access codes required.

Federal Emergency Management Agency’s (FEMA) Continuity Guidance Circular 1 (CGC1) recommends:

“As soon as possible after continuity of operations activation, but recommended within 12 hours of such activation, continuity personnel at the continuity facility should have access to the appropriate media for accessing vital [essential] records, such as:

a. A local area network,
b. Electronic versions of vital [essential] records,
c. Supporting information systems and data,
d. Internal and external email and email archives,
e. Hard copies of vital [essential] records.”
Prioritize Access to Essential Records

Prioritize Based on the Type of Essential Record

Slide 4-9

Essential Records Webinar

Prioritize Access to Essential Records

Based on the type of essential record:

Priority 1:
First 0–12 hours
- Necessary for emergency response
- Necessary to resume or continue operations

Priority 2:
First 12–72 hours
- Protects the health, safety, property, and rights of residents
- Requires massive resources to reconstruct

Priority 3:
After first 72 hours
- Documents the history of communities and families

During an emergency, you have limited time and resources to access your essential records, so it’s important to prioritize which essential records need to be accessed when. You will have to determine which essential records are needed immediately and which essential records may not be needed for several days or even weeks. That way, you can focus your energies on accessing only the records needed at that particular time.

Access to an agency’s essential records is prioritized based on the type of essential record involved.

In the first session, we identified the five types of essential records:

- Records that are necessary for emergency response
- Records that are necessary to resume or continue operations
- Records that protect the health, safety, property, and rights of residents
- Records that would require massive resources to reconstruct
- Records that document the history of communities and families

As you may recall, Handout 1.1—Essential Records provides an overview of the types of essential records and examples of each, and also provides prioritizing guidance.
The column on the left of the table in Handout 1.1 shows the priorities for accessing essential records. In general, the priorities for accessing essential records follow the same order as that in which the types of essential records are listed in this table.

The priorities start at the top with Priority 1, those records which are needed immediately for emergency response, and progress down to Priority 3, those records which will be needed later as the agency and community recover.

This ranking is meant to suggest only an overall pattern, not a rigidly hierarchy. Administrative responsibilities and particular circumstances will affect each agency’s approach to setting priorities. For instance, in November of an election year, voting records are likely to be of higher priority than at other times.
Priority Levels and Timeframes for Accessing Essential Records

Slide 4-10

Priority Levels and Timeframes for Accessing Essential Records

- **Priority 1**—First 12 hours
  - Needed immediately, to respond to the incident
- **Priority 2**—First 12–72 hours
  - Needed to manage the incident and resume operations
- **Priority 3**—After first 72 hours
  - Needed to continue essential functions and for long-term recovery

*Priority 1—Needed in the first 12 hours*

Priority 1 essential records are the records essential for emergency operations and are therefore needed immediately—in the first few hours of a crisis or emergency—to respond to that emergency. Sometimes referred to as COOP vital information, these Priority 1 essential records may include:

- Continuity of Operations (COOP) or Occupant Emergency Plans
- Telephone trees
- Delegations of authority
- Security clearance rosters
- Building blueprints
- Utility maps and diagrams
- Media policy directives
- Essential records inventory lists
- Contact information for disaster recovery vendors
Priority 2—Needed in the first 12–72 hours

Records classified under Priority 2 include records that are needed to manage the incident and resume operations.

Examples include:
- Systems manuals for databases and LANs
- Personnel records
- Time and attendance records
- Combinations to restricted areas or equipment
- Combinations and/or keys for building entry

Priority 3—Needed after the first 72 hours

Priority 3 essential records are those that would be needed to continue essential functions if normal agency records were unavailable for a prolonged period due to a catastrophic event (causing long-term displacement of personnel and equipment from the worksite to a new operating location).

These include records that are needed off site to work on specific programs or projects most critical to your agency’s mission. They also include records that would take such massive resources to reconstruct that they should receive special protection against damage or destruction.

Also included among Priority 3 records are those that are needed for long-term recovery of the agency and broader community, including those that document the history of the community and its residents.

Your Stakeholders Are Resources

Some of the same stakeholders you included in identifying essential records—Agency head, mission-critical program or department heads (Information Technology [IT] Director and systems analysts, etc.)—are also important to include in setting priorities and timeframes.

If you gathered information previously using a questionnaire like the one provided in Handout 1.5—Essential Records Questionnaire, you will already have the basic information you need. You will already have asked, “How soon would you need access to the records (hours, days, weeks)?” Given the essential records you’ve identified, you should determine which stakeholders you may need to revisit.
Access Records in Storage

Generally, how you prioritize your essential records determines the type of storage option you select to protect them.

You need to access your Priority 1 essential records during and immediately following an emergency. Therefore, you will want to store those records in close proximity to your office and have 24-hour availability (which may mean storage at a “hot” site, and may mean storing the records in a format that does not rely on special equipment to be read).

Typically, you would not need your Priority 2 and 3 essential records as quickly as you would your Priority 1 essential records, so Priority 2 and 3 essential records could be stored in facilities farther away.
Access Priorities: Putting It All Together

Slide 4-12

<table>
<thead>
<tr>
<th>Level</th>
<th>Definition</th>
<th>Access</th>
<th>Examples</th>
<th>Timeframe for Access</th>
</tr>
</thead>
</table>
| 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 application methods are available for immediate access to information. | • 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. | • 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. | • Accounts Payable and Accounts Receivable files  
• Existing contracts and agreements  
• Unaudited financial records | After the first 72 hours |

The Access Priorities Table shown on the slide and in **Handout 4.1**—Access Priorities Table summarizes the timeframe and storage considerations for each priority level.

You should assign priority levels to each of your agency’s essential records. This allows both agency staff and emergency responders to identify quickly and easily which essential records should be retrieved and when. These are decisions you don’t want to have to spend time making during an emergency.

Once priorities are assigned, you should develop a table based on **Handout 4.1** that could be incorporated in your agency’s COOP Plan.
“Grab and Go” Kits

Slide 4-13

Immediately following an emergency, certain agency officials will be on call. To guarantee that these essential personnel have access to the necessary essential records, they should be provided with “Grab and Go” kits that contain copies of specific essential records.

“Grab and Go” kits should be kept by all essential personnel “on their persons” (at home or in their vehicles), and should include specific Priority 1 documents (those needed during and immediately after an emergency) and supplies (water, medical materials, etc.).

The essential records in these kits should be updated or cycled on the same schedule as all your essential records so that the kit remains current.

Development of the kits is mainly the responsibility of a safety manager or COOP planner. However, records management can contribute to what goes into the kits.

Examples of the types of essential records and information to include in a “Grab and Go” kit are:

- COOP Plan
- Delegations of authority
- Media procedures
- Emergency telephone lists
• Passwords
• Access codes
• Emergency passes
• Directions to a “hot” site

Keep in mind that some of these documents may contain highly sensitive security information. Though they must be readily available in an emergency, you must take precautions so that sensitive information does not fall into the hands of unauthorized personnel. If you store the information on an electronic device, make sure that it is password-protected.
Cycling

• Cycling entails periodically replacing or updating obsolete copies of essential records with current copies.

• Cycling may be done:
  – Daily
  – Weekly
  – Quarterly
  – Annually

• Develop a duplication schedule.

Cycling is the periodic replacement or updating of obsolete copies of essential records with current copies.

Essential records don’t stay “essential” forever. Many essential records have limited time value: They are essential only for a specific period of time, and once that time has passed, the copies become valueless for post-emergency resumption of activities.

In order for the most current or up-to-date essential records to be available during an emergency, agencies must ensure that their essential records are cycled as a matter of routine. Cycling may be done on a daily, weekly, quarterly, or annual basis—depending on the content of the records, the media on which they are stored, and access priorities.

The agency is responsible for periodically cycling (updating) essential records by removing obsolete items and replacing them with the most recent versions, when necessary.

Remember, the essential record copy is typically a duplicate of the original record, and therefore may not be subject to your agency’s records schedule. If that is the case, it should be destroyed or deleted when it is replaced by an updated copy.
Develop a Duplication Schedule

One way to implement and track this requirement is to develop a duplication schedule or calendar. A duplication schedule simply allows you to set up cycling frequency—daily, weekly, or monthly—and to document that action formally.

Refer to **Handout 4.2**—Establishing a Duplication Schedule for Essential Records for additional guidance.
Develop Procedures to Ensure Access to Essential Records

• To ensure access, agencies should develop and document:
  – Policies
  – Delegations of authority
  – Responsibilities of agency officials
  – Procedures governing the essential records program

Agencies must develop and document procedures for the use of essential records during an emergency.

Agencies should make responsible personnel familiar with these procedures.

Each agency should document the following essential record information in appropriate issuances, such as directives or procedural manuals:

• Policies
• Delegations of authority
• Responsibilities of agency officials
• Procedures governing the essential records program

The issuances should clearly assign responsibility for coordinating essential records recovery plans and activities. They should also designate the members of the essential records team to be activated in time of need. Agencies should distribute this essential records information to all appropriate staff members.
Activity: Determine Timeframes for Accessibility

Slide 4-16

Activity

Determine Timeframes for Accessibility

Slide 4-17

Materials for the Activity

Handout 4.3—Table 1: DPR's Priorities and Timeframes for Accessibility

Activity materials:

- **Handout 4.3**—Determine Timeframes for Accessibility Activity
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Module 4—
Incorporate Essential Records into COOP Plans
Module 4 Introduction and Objectives
Module 4 Objectives

At the completion of this module, you will be able to:

- Identify the components of the Essential Records Template
- Determine the information needed to complete the Essential Records Template
- Explain how to integrate protection of essential records into an agency COOP Plan
Lesson 1: The Essential Records Template

Slide 4-20

Module 4—Incorporate Essential Records into COOP Plan

Lesson 1: The Essential Records Template
Essential Records and COOP Plans

Essential records should be part of an agency’s COOP Plan, because records are critical for responding to an emergency and for continuing operations. These include the COOP Plan itself, as well as occupant emergency plans, telephone trees, delegations of authority, security clearance rosters, building blueprints, media policy directives, and essential records inventory lists.

In addition, residents of our states and communities depend on us to keep records that are critical to protecting their health, safety, property, and rights.

Many agencies, states, and localities require essential records to be part of their COOP Plan, but even if yours does not, operations cannot continue without essential records and it is important to include them in your COOP Plan.
Sample COOP Plans

Let’s take a look at some sample COOP Plan Templates to see where and how essential records are incorporated.

COOP Example 1

FEMA’s COOP Plan Template:  

COOP Example 2

National Institute of Standards and Technology’s (NIST) Contingency Plan Template:  
http://csrc.nist.gov/groups/SMA/fasp/documents/contingency_planning/contingencyplan-template.doc
The Essential Records Template is a suggested method for including essential records information in your agency’s COOP Plan. Use this template if your agency does not already have a template in place.
Refer to **Handout 4.4**—Essential Records Template, for a copy of the template.
Don’t Forget Your Stakeholders

Slide 4-24

Don’t Forget Your Stakeholders

• Your network of stakeholders is invaluable for integrating your essential records emergency planning with your agency’s current COOP Plan
  – COOP Manager
  – Emergency Managers
  – Agency head
  – IT director
  – Legal and accounting staff
  – Records management personnel
  – Custodians of archival records
  – Agencies or outside organizations

At this point, your primary interest is to ensure that the essential records emergency planning you’ve completed and documented in your template is presented in a way that can be integrated with your agency’s current COOP Plan and other emergency plans, so that essential records procedures are clear to all those preparing for and responding to emergencies.

Again, your network of stakeholders will be invaluable. The COOP Manager and Emergency Manager in your agency should be consulted, so that they see how to integrate your work with the current emergency plan and training. The agency head (or designate) and IT Director should be briefed fully on aspects of your plan that will require resources—especially the recommendations for protecting records.

As noted during Session 1, your agency’s “stakeholders” include both the agencies and people you serve AND the agencies and people on whom you depend to provide that service, including:

• The COOP Manager for your agency, who should be involved from the beginning so that you can ensure that essential records are fully addressed in the COOP Plan

• Emergency Managers for your agency, as well as those in federal, state, and local government agencies, who should be consulted so that they can integrate your work with existing emergency plans and include essential records considerations in training courses

• First responders, who might be called in the event of an emergency, including police and fire fighters
• Agency head (or designate), who should be briefed fully on aspects of your plan that will require resources—especially those recommended for protecting records

• IT Director, who will also need to understand special considerations for providing access to essential records, beyond routine backup procedures

• Legal and accounting staff, who will ensure that all obligations are addressed in the plan

• Records management personnel who understand all of the records systems in the agency, understand who creates them, and knows how long they must be retained

• Custodians of the agency’s archival records—i.e., those records that are worthy of permanent retention—who will be able to identify the records that have an overriding historical or cultural significance to the agency or the community

• Agencies or outside organizations that come to you often for information or services, and who can help you identify which records are essential to their operations and cannot be found elsewhere

If your agency depends on records in other agencies to support your ongoing operations, you’ll want to ensure that that agency’s records remain available during an emergency, or to make provisions to obtain critical information elsewhere.

Finally, one of the most important groups of stakeholders is the public. Residents of your state or locality depend on government to maintain and make available critical information that they will need to sustain their families and businesses after an emergency.
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Course Summary

Course Review

Slide 4-25

In the *Essential Records Webinar*, you learned:

- How to identify records that need to be designated as essential
- How to identify and evaluate risks to essential records
- How to protect essential records
- How to ensure continued access to essential records during and after an emergency
- How to incorporate essential records into a COOP Plan by using the Essential Records Template
Next Steps

• Use what you've learned
  – Identify and protect your essential records
  – Incorporate them in your agency's COOP Plan

• Learn more about records
  – Take the IPER Records Emergency Planning and Response Webinar
  – Contact your state archives and records management program and/or Agency Records Manager for advice on records scheduling, storage, digitization standards, and more

• Stay informed and connected
  – Visit the IPER Resource Center often
Course Evaluations and Course Certificates

Slide 4-27

Essential Records Webinar

Course Evaluations and Course Certificates

Essential Records Post-Test

Slide 4-28

Essential Records Webinar

Essential Records Post-Test
Thank You!