



Essential Records Webinar

Session 1

Instructor Guide
Final, July 2010



FEMA

Course Number: AWR-210-2

DHS Branded Disclaimer Page

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Session 1—Administration Page

Duration 130 minutes

The following is a suggested time plan for this session. We encourage the Instructor to adapt it as needed.

The blank “Start Time” column exists as a worksheet on which you can create a schedule for your specific session. Using the scheduled start time of your session and the suggested durations provided in Table 1, calculate the start time of each topic and enter it in the “Start Time” column. Also record the start times in the blank Start Time fields provided throughout this document, at the beginning of the topics. This will help you keep track of your progress and help you check whether or not you’re on schedule.

Table 1: Suggested Time Plan

TOPIC	DURATION	START TIME
Course Introduction		
• Welcome	2 minutes	
• iLinc Overview	5 minutes	
• The IPER Project	5 minutes	
• Why Are We Here?	3 minutes	
• Course Organization and Agenda	2 minutes	
• Course Objectives	2 minutes	
• Course Materials	4 minutes	
• Getting to Know You	5 minutes	
• Essential Records Pre-Test	35 minutes	
Session 1 Introduction		
• Session 1 Overview	2 minutes	



Table 1: Suggested Time Plan (cont'd)

TOPIC	DURATION	START TIME
Module 1—Identify Essential Records		
• Introduction and Objectives	5 minutes	
• Lesson 1: Distinguish Between Nonessential and Essential Records	15 minutes	
• Lesson 2: Identify Essential Records by Examining Critical Business Needs and Functions	20 minutes	
Session 1 Review and Wrap-Up		
• Session Review	5 minutes	
• Activity: Determine Essential Functions and Identify Essential Records	20 minutes	
Total Duration	130 minutes	

Scope Statement

Session 1 introduces the *Essential Records Webinar*, orients participants to the iLinc webinar application, and begins addressing how to identify essential records. It includes:

- Course Introduction
- Session 1 Introduction
- Module 1—Identify Essential Records:
 - Lesson 1: Distinguish Between Nonessential and Essential Records
 - Lesson 2: Identify Essential Records by Examining Critical Business Needs and Functions
- Session 1 Review and Wrap-Up



Course Introduction

In the Course Introduction, participants learn about the Intergovernmental Preparedness for Essential Records (IPER) Project and the *Essential Records* course, including the course objective, agenda, and materials. The Course Introduction also answers the question “Why are we here?” with a high-level look at the importance of identifying and protecting essential records. It concludes with the Essential Records Pre-Test.

Session 1 Introduction

The Session 1 Introduction quickly previews the material covered in Session 1.

Module 1

Module 1 focuses on the difference between a nonessential and an essential record, and addresses the ways to identify essential records. In Lesson 1, participants will learn the definition of an essential record and why essential records are important. They will also learn the categories and characteristics of essential records, and the information needed to identify essential records. Lesson 2 focuses on how to determine an agency’s essential functions in order to identify essential records. (Here “agency” is used as an all-inclusive term, to include all state, territorial, tribal, and local government offices.)

Session 1 Review and Wrap-Up

The Session 1 Review and Wrap-Up quickly reviews the key points covered in Session 1 and introduces the material to be covered in Session 2. It includes an In-Session Activity and introduces the Take-Home Activity.



Session Objectives

Course Introduction

Terminal Learning Objective:

- Participants will be able to provide a general overview of the *Essential Records Webinar*.

Enabling Objectives:

- Explain the course objectives.
- Explain the course structure.
- State the estimated time to complete the course.

Module 1—Identify Essential Records

Terminal Learning Objective:

- Participants will be able to identify the records that need to be designated as essential records.

Enabling Objectives:

- Distinguish between nonessential and essential records.
- Identify the five types of essential records.
- Explain the four sources of information you need to know to identify your essential records.
- Identify stakeholders who are resources for identifying essential records.
- Determine an agency's critical functions in order to identify essential records.

Instructor-to-Participant Ratio

2:30—We suggest that at least two Instructors lead each webinar, and that there be no more than 30 participants.



Methods

The following instructional methods are used in this session:

- Instructor presentation
- Polling question
- Group discussion
- In-Session Activity
- Take-Home Activity

Practical Exercise

Session 1 contains one two-part activity, Determine Essential Functions and Identify Essential Records, in which participants analyze agency information (mission and departmental statements, or similar information) to identify the essential functions and essential records of the agency.

- Part 1 is an In-Session Activity focusing on a fictitious state agency.
- Part 2 is a Take-Home Activity focusing on the participant's agency.

Sources of Course Content

- National Archives and Records Administration's (NARA) course, Vital Records (April 2008)
- Council of State Archivists' (CoSA) Essential Records handout:
http://statearchivists.org/iper/promo_docs/Handouts-EssentRecs-2009-04.pdf
- National Incident Management System (NIMS) Resource Center
<http://www.fema.gov/emergency/nims>
- Washington State Archives' Essential Records and Disaster Preparedness Manual, Appendix B, City of West Ballard Essential Records Schedule
<http://www.secstate.wa.gov/Archives/erdpm.aspx>
- American National Standards Institute (ANSI)/ARMA International 5-2-003 "Vital Records Programs: Identifying, Managing, and Recovering Business Critical Records"
<http://www.arma.org/standards/VitalRecords.cfm>



Instructional Materials

- Session 1 Instructor Guide (for Instructors)
- Session 1 Participant Guide (for participants)
- Session 1 Slides
- Handout(s):
 - **Handout 1.1**—Essential Records
 - **Handout 1.2**—NIMS Resource Management Concepts and Principles
 - **Handout 1.3**—Potential Candidates for Essential Records Status
 - **Handout 1.4**—Examples of Information/Records, by Function, That Might Be Designated as Essential
 - **Handout 1.5**—Essential Records Questionnaire
 - **Handout 1.6**—The Division of Public Recreation (DPR) Overview
 - **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity
- Reference(s):
 - **Reference 01**—Resource Center, References, Reading List
 - **Reference 02**—Key Terms for the IPER Courses
 - **Reference 03**—Participant Webinar Reference Guide
 - **Reference 04**—iLinc Quick Reference for IPER Instructors (Instructors only)
 - **Reference 05**—Webinar Troubleshooting Guide (Instructors only)
- Polling question(s):
 - **PQ 1.1**—Type of agency
 - **PQ 1.2**—Discipline
 - **PQ 1.3**—Years experience in the field
 - **PQ 1.4**—Experience with essential records
 - **PQ 1.5**—Have you worked on a BIA or contingency plan?
- Prepared Powerboard file(s):
 - **PB 1.1**— Sound check/technical issues
 - **PB 1.2**—Session 1 Review
- Evaluation(s):
 - Essential Records Webinar Pre-Test



Equipment

- Required equipment:
 - Internet-enabled computer
 - Telephone (Each Instructor should have his or her own telephone. If you want to use the telephone hands-free, you should use a headset instead of a speakerphone to reduce background noise that will distract the participants.)
- Optional equipment:
 - A second Internet-enabled computer, logged into the webinar as a participant, so you can see what the participants see.



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Course Introduction

Instructor Notes	Participant Guide
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Important Notes to Instructors on TEAM TEACHING:

- This course is taught by a minimum of two Instructors.
- In order to help keep the participants engaged in the webinar, it is important for both Instructors to present content, switching speaking responsibilities occasionally throughout the course.
- For the information provided at the start of the course (from the initial contact with the participants through the iLinc overview), the Instructor Notes provide guidance on which of you should speak. After the iLinc overview (from the IPER Project topic on), you should determine who will speak, and when.
- While the presenting Instructor is teaching, the Instructor who is not presenting should be doing the following:
 - Watching for participant questions and issues by monitoring the Chat section, raised hands, etc.
 - Addressing technical issues that may arise



- Performing iLinc functions, such as launching polling questions and handling polling question feedback, launching WebSync, executing shared applications, and so forth, if requested by the presenting Instructor
- Providing input or personal experiences when invited by the presenting Instructor
- Monitoring the progress of the webinar in relation to the schedule and alerting the presenting Instructor if the presentation starts falling behind significantly



PG 1-1

Welcome to the *Essential Records Webinar*

(Duration: 2 minutes)

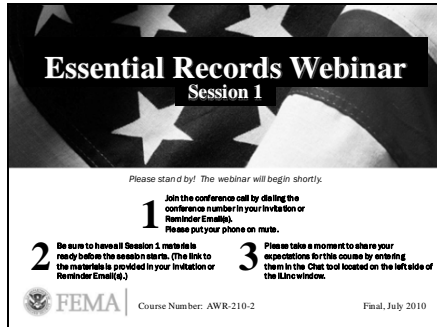
START TIME: _____

[Instructors 1 & 2] Log in to iLinc 30 minutes prior to the start of the webinar session to make sure there are no technical issues.

Launch the Session 1 slides file in iLinc.



Show slide 1-1.



Required materials for Session 1:

- Session 1 Participant Guide
- Session 1 Handouts
 - **Handout 1.1**—Essential Records
 - **Handout 1.2**—NIMS Resource Management Concepts and Principles
 - **Handout 1.3**—Potential Candidates for Essential Records Status
 - **Handout 1.4**—Examples of Information/Records, by Function, That Might Be Designated as Essential
 - **Handout 1.5**—Essential Records Questionnaire
 - **Handout 1.6**—The Division of Public Recreation (DPR) Overview
 - **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity
- Course References:
 - **Reference 01**—Resource Center, References, Reading List
 - **Reference 02**—Key Terms for the IPER Courses
 - **Reference 03**—Participant Webinar Reference Guide

REMINDERS TO INSTRUCTOR:

- Before class begins, **be sure to check** (1) the IPER Resource Center for special announcements to Instructors about the course and (2) the Frequently Asked Questions (FAQs) to see if there are any newly posted items that may be relevant to your course or participants.

As you're waiting for class to begin, please take a moment to share your expectations for this course by entering them in the Chat tool located on the left side of the iLinc window.



- When you are not speaking to the participants, **remember to mute** your phone.
- When you are speaking to the participants, **remember to reduce or eliminate** background noises, such as pages being turned, co-workers talking, etc.
- If you are recording this session, **remember** that discussions conducted via iLinc's Chat tool are captured in the session recording. When using the Chat tool, **make sure to maintain** a professional dialog appropriate for everyone to view.
- When using iLinc's WebSync function, participants cannot see any actions you perform (such as moving your cursor or scrolling); therefore, when you interact with a web page or document, you will need to provide instructions to the participants on what to do ("scroll down," "select this," etc.) so their view will match your view.

Continue to show slide 1-1 until all participants have joined the session (or until it's time to start the webinar).

[Instructor 1] Welcome participants as they enter the webinar.

- **Tell them** that the webinar will begin shortly.



- **Point out** item 3 on the slide, and tell participants to share their expectations for the course by entering them in the “Public” tab of the Chat tool located on the left side of the iLinc window.

Five minutes prior to the start of the session, **check** the Attendee panel in iLinc and **compare** it to the class roster to see if all of the participants have entered the webinar.

If all of the participants have entered the webinar:

- *[Instructor 1] Say:* Hi, everybody. This is <your name>, one of the Instructors for the course. I know it’s a couple of minutes early, but since everybody’s here, I’d like to get started, if that’s OK with everyone.
- **Begin the session** (see the “Begin the Session” Instructor Note below).

If all of the participants have not yet entered the webinar:

- *[Instructor 1] Say:* Hi, everybody. This is <your name>, one of the Instructors for the course. We are waiting for a few more people to join us, and then we’ll get started.
- **Monitor the Attendee panel** until all participants have entered the session or until the start time is reached.



- **Begin** the session (see the “Begin the Session” Instructor Note below).



Start the iLinc recorder.

BEGIN THE SESSION:

[Instructor 1] Say: Welcome to the *Essential Records Webinar*.



[Instructor 2] Open a prepared Powerboard in iLinc:

- **PB 1.1**— Sound check/technical issues

[Instructor 1] Ask: Can everyone hear me? Please confirm by replying through the Chat tool located in the bottom left section of your screen. Be sure to use the “Public” tab of the Chat tool.

[Instructor 1] Say: Also, if you are having any technical issues, please let us know via the “Public” tab of the iLinc Chat tool. If your Chat tool is not working, please unmute your phone and tell us directly.



[Instructor 2] **Compare** the names of the participants who respond to the names on the class roster.

- **Make sure** all participants have responded.

[Instructor 1]

Either continue or wait, depending on how many participants are having problems.

If only a couple of participants are experiencing problems, then **continue** while Instructor 2 resolves the issues.

If several participants are experiencing problems, then **wait** until all participants can hear you before moving on.

[Instructor 2]

If any participants indicate they are experiencing technical issues, **use** the “Private” tab of the Chat tool to communicate with them and resolve their issue(s).

If participants are having technical problems that you are not able to address, **direct** them to call iLinc’s technical support at 1 800-799-4510.

Close the Powerboard for everybody by selecting “Close All” when prompted.



Say: Today's session is 2 hours and 10 minutes in duration. A short break will be provided about mid-way through the session.

[Instructor 1] **Say:** As I said, my name is <your name> and I'm one of the Instructors for this course.

[Instructor 1] **Share** with the participants the following information about yourself:

- The state or locality for which you work
- Your job title
- A brief description of your responsibilities with regard to records and/or emergency management

[Instructor 1] **Provide** your contact information:

- **Type** your name and contact information in the Chat tool, using the "Public" tab.
- **Tell** participants to record your name and contact information in the space provided on page PG 1-2 of the Participant Guide.

Instructor name:

Contact information:

[Instructor 1] **Say:** Joining me in presenting this webinar is <name of Instructor 2>.

[Instructor 2] **Say:** Hi, everybody! I'm <your name> and I'll be assisting <name of Instructor 1> with this course.



[Instructor 2] **Share** with the participants the following information about yourself:

- The state or locality for which you work
- Your job title
- A brief description of your responsibilities with regard to records and/or emergency management

[Instructor 2] **Provide** your contact information:

Instructor name:

Contact information:

- **Type** your name and contact information in the Chat tool, using the “Public” tab.
- **Tell** participants to record your name and contact information in the space provided on page PG 1-2 of their Participant Guide.

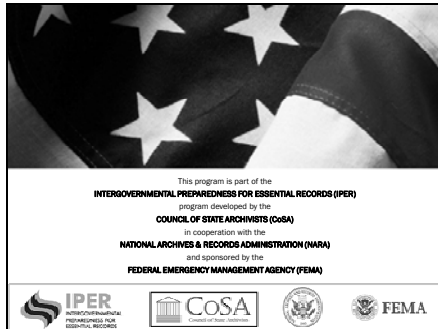
[Instructor 2] **Remind** participants that your biographies are available on the IPER Resource Center and that the Invitation Email provided the link.

[Instructor 1] When Instructor 2 has finished introducing himself or herself, **say**:

- Thanks, <name of Instructor 2>. In a few minutes, we'll give you folks a chance to share some information about yourselves, but first I want to provide some information on this course and make sure everybody's comfortable with the webinar software.

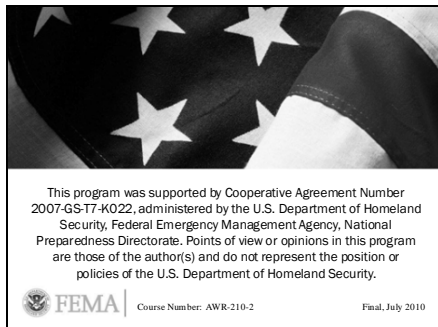


Show slide 1-2.



[Instructor 1] Say: This course is part of the IPER program developed by CoSA in cooperation with NARA and FEMA.

Show slide 1-3.



[Instructor 1] Say: This program was supported by a Cooperative Agreement administered by the U.S. Department of Homeland Security, FEMA National Preparedness Directorate.



[Instructor 1] Say: Now let's take a moment to get familiar with the iLinc webinar software. Please make sure you have your Participant Webinar Reference Guide (**Reference 03**) ready for a quick review of iLinc.

[Instructor 1] Point out that a link to the Participant Webinar Reference Guide was provided in the Invitation Email.

[Instructor 2] Say: I hope that all of you have already gone through the Reference Guide and familiarized yourselves with iLinc, because today we're just going to provide a quick overview of basic functions of the program.



PG 1-4

iLinc Overview

(Duration: 5 minutes)

START TIME: _____

Show slide 1-4.





[Instructor 2] **Review** the iLinc screen capture shown on the slide.

- OPTIONAL: When applicable, **use** iLinc's Pointer and/or Highlight Tools to point out key elements.
- NOTE: There is a time delay when using iLinc's Pointer and Highlight Tools. The participants will not see the pointer or highlight until a few moments after you've used it. **Please accommodate** for this delay when speaking.

NOTE TO INSTRUCTOR:

- You may want to zoom in on the slide and use the scroll bars to show the callout box areas better.
- To zoom, **do the following:**
 - **Select** "Control" on the iLinc menu bar; then **select** "View" from the drop-down menu, and then **select** "Zoom" and **increase** your Zoom percentage.

[Instructor 2] **Point out** to participants that they can change the size of the slides by selecting "Control" on the iLinc menu bar, then selecting "View" from the drop-down menu, and then selecting "Zoom."



Say:

- The left side of the iLinc window shows information about the class, and provides a way to respond to the Instructor.
- The top box shows the class attendance list, and the Floorholder—the Instructor who is currently speaking.
- The middle box is the Feedback Tool. Here you can select from a list of options—generally, Yes or No, True or False, or a way to indicate when you have completed an in-class assignment.



Set up the Feedback Tool in iLinc.

- **Select** the “yes/no” answer set.

Say: Let’s give this a try. Have you participated in a webinar before? Select Yes or No from the Feedback Tool.

Wait until most participants have answered, and then **share** the results.

Say:

- Wonderful! Well, whether this is your first time in a webinar, or you’re an “old pro,” we hope the experience will be a good one for you.



- Sometimes the Feedback Tool will automatically collapse. You can make it visible again by selecting the Expand and Collapse button in the top right-hand corner of the pane.
- Below the Feedback Tool is the Chat tool, a tool for communicating with the Instructors and other participants.

Say:

- You're already acquainted with the chat tool—you just used it to respond to our question about sound or technical problems—but I want to point out that there are two tabs on the Chat tool: "Public" and "Private."
- Everyone can see what you type in the "Public" tab. If you select the "Private" tab, you can communicate privately with the Instructors and other participants.
- Now let's look at the Hand Raise Tool.
- Just as in a classroom, the Hand Raise Tool allows you to alert the Instructor that you have something to say.
- Select the Hand Raise icon to raise your hand. Let's practice quickly. Everyone please raise your hand.



When everyone's hand is raised,
say:

- Notice that when your hand is raised, a diagonal red slash appears across the hand icon. This may be the opposite of what you would expect.
- If your hand is raised, the hand icon will show with the red slash, and if your hand is lowered, the hand icon will not show the red slash.
- Select the hand icon again to lower your hand. Everyone please do that now.

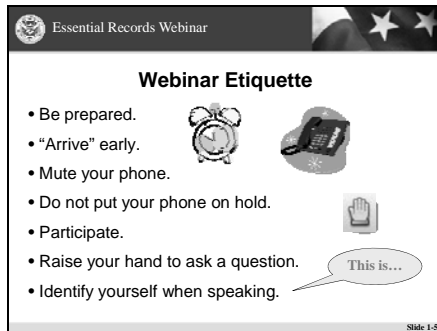
When everyone's hand is lowered, **say:**

- Great, thank you. There are two more sections of the window you should note. The first is the content area, in which you will see the slides, as well as any documents or websites we share with you. You will also see polling questions in this area.
- Finally, when the webinar session is over, you can close the window to exit the webinar by clicking the "x" in the upper right corner.



Webinar Etiquette

Show slide 1-5.



[Instructor 2] Say: Keep in mind that when you participate in a webinar, many other people are participating as well. In order to keep the experience pleasurable for all, we ask that you please practice proper webinar etiquette.

[Instructor 2] Review the webinar etiquette.

[Instructor 2] Remind participants that the link to the session's materials is provided in their Invitation Email and their Reminder Email.

NOTE TO INSTRUCTOR:

- If you'd like, you may provide the link to the course materials by copying it from the Invitation Email and pasting it into the "Public" tab of the Chat tool.

- Be prepared—Download all session materials prior to the session and have them readily available (either printed or open on your computer).
- "Arrive" early—Log in and dial in at least five minutes prior to the webinar's scheduled start time.



[Instructor 2] **Emphasize** the importance of participants keeping their phones on mute when they are not speaking.

If your conference line provides a mute function, **provide** instructions on how to mute the phone via the conference line. For example, by pressing “*6.”

[Instructor 2] **Emphasize** the importance of participants not putting their phones on hold at any time during the webinar.

[Instructor 2] **Tell** participants that if they have to take another call or a break, they should hang up and call back to rejoin.

NOTE TO INSTRUCTOR:

- **Be sure to present** the “Participate” bullet item in an upbeat tone (it should be like a pep talk), and not as if you’re reprimanding the participants.

[Instructor 2] **Emphasize** the importance of participating in the webinar.

Say: Training is the same as most things in life: You only get out of it what you put into it. So, to get the most out of this course, we encourage you to participate: provide answers to questions posed to the class, share your experiences, participate in group discussions, and share your answers for the activities.

- Mute your phone.
- Do not put your phone on hold during the webinar.
- Participate.



Say: We understand that some of you may be in an environment where you cannot speak aloud, such as in a cubicle environment, but we still encourage you to participate through the “Public” tab of the Chat tool.

[Instructor 2] **Point out** that when you say “raise your hand,” you mean for participants to raise their hand in iLinc by selecting the Hand Raise icon.




[Instructor 2]

Transition: Let’s take a moment to learn more about IPER, the reason for this course.

REMINDER TO INSTRUCTOR:

- From this point on, the Instructor Notes no longer indicate which of you should speak. **Please determine for yourselves** who will speak, and when.

- Raise your hand  to ask a question and wait to be recognized by the Instructor.
- Identify yourself when speaking.

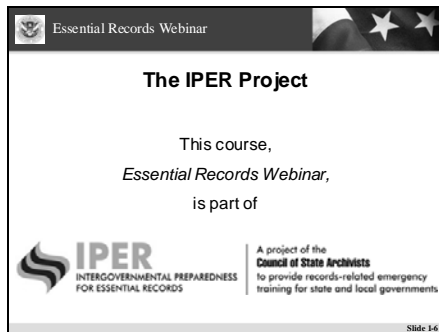


PG 1-6

(Duration: 5 minutes)

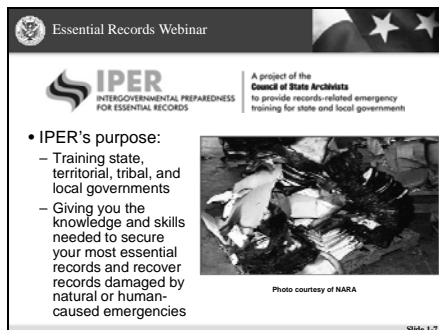
START TIME: _____

Show slide 1-6.



Say: As we mentioned earlier, this *Essential Records Webinar* is part of the training curriculum for the Intergovernmental Preparedness for Essential Records (IPER) project, created by the Council of State Archivists (CoSA) and sponsored by the Federal Emergency Management Agency (FEMA).

Show slide 1-7.





Explain IPER's purpose.

Point out that throughout the course, we often use the abbreviated term "state and local governments" to apply to all four categories: state, territorial, tribal, and local.

Say: The IPER curriculum consists of two primary courses: *Essential Records and Records Emergency Planning and Response*. We recommend that, if you haven't already, you review the IPER curriculum in your Participant Guide.

The purpose of the IPER Project is to deliver training to state, territorial, and local governments nationwide, giving you the knowledge and skills you need to secure your essential records and recover records damaged by natural or human-caused emergencies. Many of the concepts and practices presented also apply to tribal governments.

Note: Throughout the course, we often use the abbreviated term "state and local governments" to apply to all four categories.

IPER's training curriculum consists of two primary courses that have complementary content and are designed to be taken sequentially.

In the *Essential Records* course, participants will learn to:

- Define an essential record
- Identify an organization's critical business needs and functions and the records that are essential to support those functions
- Evaluate the hazards and risks that most threaten your agency's essential records
- Develop appropriate protection strategies against these threats
- Specify time frames in which access will be needed to specific records
- Develop procedures to ensure that essential records remain both accessible and secure
- Develop an essential records template that can be incorporated into a broader COOP Plan and/or emergency plan
- Understand applicable federal, state, and local COOP regulations and procedures



In the *Records Emergency Planning and Response* course, participants will learn to:

- Understand the benefits of records emergency planning
- Relate records emergency planning to COOP Plans and procedures
- Develop, analyze, and test a Records Emergency Action Plan (REAP)
- Assess the damage to records after an emergency and implement a response
- Identify federal, state, and local resources that are available to assist when an emergency occurs

Say:

- For those of you who are new to records management, we also recommend that you take the *Introduction to Records and Information Management for State and Local Governments* web-based training course.
- You can access this course from the IPER Resource Center, which we will discuss in a moment.

Also part of the IPER curriculum is a third course—a supporting course—*Introduction to Records and Information Management for State and Local Governments*. This course provides a basic understanding of records management and prepares those with little or no records management experience for the two primary courses.

Show slide 1-8.

Essential Records Webinar

IPER
INTERGOVERNMENTAL PREPAREDNESS
FOR ESSENTIAL RECORDS

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

• 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

Photo courtesy of NARA

Slide 1-8

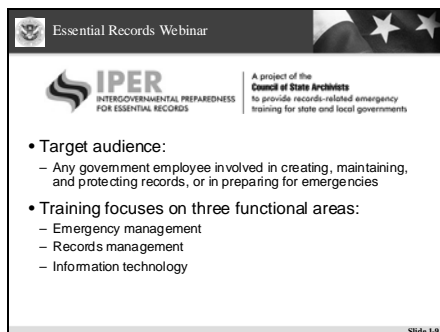


Say: IPER supports a fundamental component of Continuity of Operations (COOP): protecting records needed to restore essential services after an emergency.

Say: IPER's training will also help state and local agencies identify other records that need protection—those that:

- Define people's rights
- Document government obligations
- Secure your community's economic well-being
- Provide community identity

Show slide 1-9.



Say: IPER's target audience includes state and local government officials who bear significant recordkeeping responsibilities, such as county, municipal, and court clerks and recorders.

IPER supports a fundamental component of Continuity of Operations (COOP): ensuring that state and local governments can access and use records—both paper and electronic—needed to restore essential services and functions after a disaster or emergency.

IPER's training will also help state and local agencies identify other records that need protection because they have long-term legal, administrative, or cultural value. These records include those that define people's rights, document government obligations, secure your community's economic well-being, and provide community identity.

IPER's target audience is any government employee involved in creating, maintaining, and protecting records, or in preparing for emergencies.



Go over the three functional areas addressed in the training.

The training focuses on three functional areas:

- Emergency management
- Records management
- Information technology

If you would like to learn more about the IPER Project, please visit the website at <http://www.statearchivists.org/iper>

Say: Before moving on, it's important to point out that the IPER courses use the term "essential records" instead of "vital records." This is done to make a clear distinction between those records commonly referred to in state and local governments as "vital"—birth, marriage, death, etc.—and those records that are critical for agencies to maintain operations.

Say: Now that you're familiar with the IPER project, let's take a look at why you are here.



PG 1-10

(Duration: 3 minutes)

START TIME: _____

Show slide 1-10.



Explain the importance of records when an emergency strikes.

Say: Unfortunately, records are often severely affected by an emergency, as shown in this photograph of the Biloxi Public Library after Hurricane Katrina.

Introduce CoSA's report, *Safeguarding a Nation's Identity*.

When emergencies strike, records are critically important:

- Emergency responders need records to respond to the situation and to continue operations.
- Government agencies need records to provide essential services.
- Individuals need government records to prove their identity and re-establish their lives.

Unfortunately, records are often severely affected by an emergency.

CoSA's report, *Safeguarding a Nation's Identity*, issued in the wake of the devastating 2005 hurricane season, describes many such losses. The report highlights why it is important to protect records and the challenges faced by governments in doing so. The report is available at:

<http://www.statearchivists.org/prepare/index.htm>



Say: Let's look at a few other photos showing the effect of emergencies on records.

NOTE TO INSTRUCTOR:

- Move quickly through the following photos, using only the Instructor column content.
- These photos present a risk for taking too much time, as people want to share their stories and experiences in response to the images. So it's important that you move through them quickly (don't stop and dwell on them, provide other stories, etc.).

Show slide 1-11.



Review the scene in the photo:

- A devastating tornado that hit Fort Worth, Texas in 2000

Point out the paper records strewn about the grass and the damaged computers containing electronic records.



Show slide 1-12.



Review the scene in the photo:

- Damage to records after a fire

Show slide 1-13.

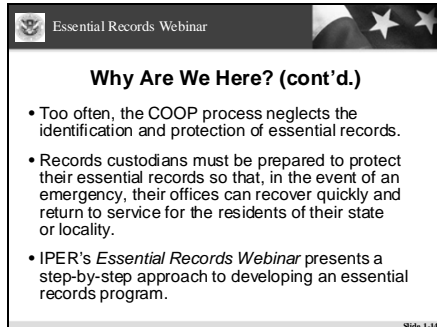


Review the scene in the photo:

- These melted computers were the result of an arson fire at the University of Georgia Library in July 2003. In addition to damaging computers, the fire caused damage to federal depository documents and several cases of microfiche.



Show slide 1-14.



Point out that too often, the COOP process focuses on physical infrastructure and systems, and neglects records.

Explain that records custodians must be prepared to protect their essential records, so offices can recover quickly and return to service.

Explain that this course addresses this need by presenting a step-by-step approach to developing an essential records program that is based on FEMA's COOP guidance.

During and after an emergency, the ability to access critical records and information quickly and easily is a major function of COOP. However, too often the COOP process emphasizes the physical infrastructure and systems, neglecting 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.

IPER's *Essential Records Webinar* addresses this need by presenting a step-by-step approach to developing an essential records program that is based on FEMA's COOP guidance.

In four sessions we will cover identification, protection, accessibility, and implementation of a scalable essential records program. Using Take-Home assignments designed for you to apply immediately what you've learned to your particular workplace setting, you will develop all the components necessary for a comprehensive essential records program.



Transition: Let's take a closer look at the course, including our agenda, objectives, and materials.

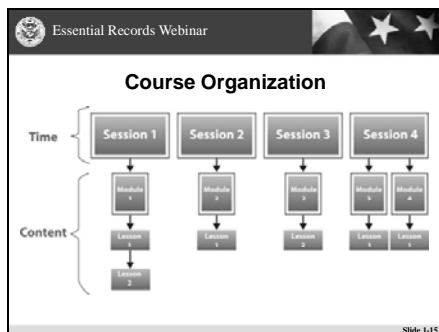


PG 1-14

(Duration: 2 minutes)

START TIME: _____

Show slide 1-15.



Say:

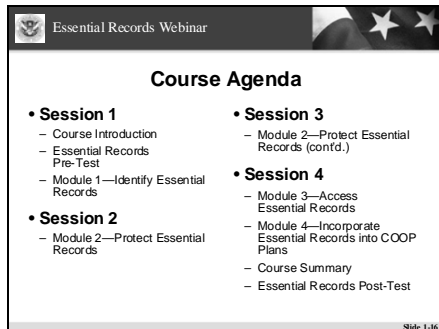
- The course organization reflects the two aspects of the webinar: time and content.
- The time is organized by session.
- The content is organized by modules and lessons.
- Notice that a couple of modules are taught across more than one session.

Say: Now that we understand the course organization, let's take a look at our agenda.



PG 1-14

Show slide 1-16.



Say: Your course agenda appears in your Participant Guide on Page PG 1-14. Notice:

- Session 1 is two hours and 10 minutes long.
- Sessions 2 and 3 are 1 hour and 30 minutes long.
- Session 4 is 1 hour and 50 minutes long.

Session 1 (2:10)

- Course Introduction
- Essential Records Pre-Test
- Module 1—Identify Essential Records

Session 2 (1:30)

- Module 2—Protect Essential Records

Session 3 (1:30)

- Module 2—Protect Essential Records (cont'd.)

Session 4 (1:50)

- Module 3—Access Essential Records
- Module 4—Incorporate Essential Records into COOP Plans
- Course Summary
- Essential Records Post-Test



Say:

- At the end of this course, those of you who have completed the following can request a Certificate of Completion:
 - Attended all sessions of the course
 - Completed all homework assignments
 - Completed the Pre- and Post-tests
 - Completed the Course Evaluation
- We'll explain how to get your Certificate in Session 4.

Explain that recordings of the sessions will be made available on the IPER Resource Center after each session, so if participants miss a session, they can view the recorded version and thus catch up for the next session.

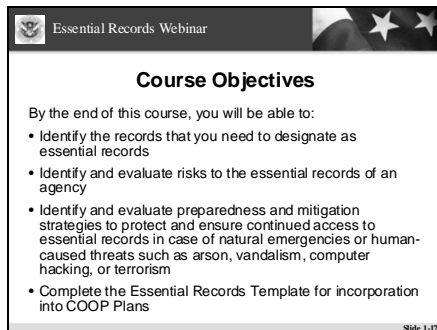


PG 1-16

(Duration: 2 minutes)

START TIME: _____

Show slide 1-17.



Review the course objectives by reviewing the bullets on the slide.

NOTE TO INSTRUCTOR:

- If you already went through the ER course objectives when describing IPER curriculum, do not repeat here.

Point out that the term “agency” is used in this course as an all-inclusive term and includes all types of state and local government entities.

Course Objectives

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

- Identify the records that need to be designated 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 disasters or human-caused threats such as arson, vandalism, computer hacking, or terrorism
- Complete the Essential Records Template for incorporation into COOP Plans

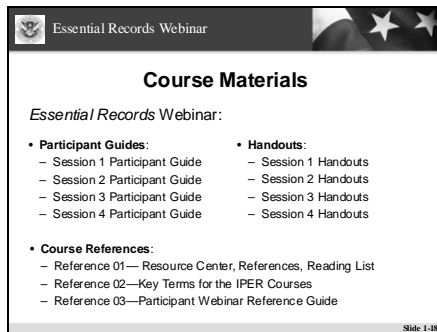


PG 1-17

(Duration: 4 minutes)

START TIME: _____

Show slide 1-18.



Say:

- Your Invitation and Reminder Emails provided a link to the session's materials. For today's session, you will need:
 - Session 1 Participant Guide
 - Session 1 Handouts
 - Course References
- Prior to each session, you will receive a Reminder Email with a link to that session's materials.
- Please be sure to download the session materials (and print them if desired) prior to the start of each session.

Course Materials

- Participant Guides (PGs)
- Handouts
- Course References



Remind participants that instructions for printing and assembling their Participant Guide materials are provided in the “Read Me” document included with the course materials.



Transition: Now let's take a look at a critical resource for the IPER courses, the IPER Resource Center.

IPER Resource Center

Show slide 1-19.

Essential Records Webinar

IPER Resource Center

- www.statearchivists.org/resource-center
- 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

Slide 1-19

Introduce the IPER Resource Center.

The online IPER Resource Center located at <http://www.statearchivists.org/resource-center> shows you how the broad principles taught in the IPER courses apply to your state. It contains links to a wealth of information about the identification, management, and protection of essential records nationwide with search and retrieval tools that make it possible to see how they apply to your circumstances. Look on the Resource Center home page for tips on how to locate items or information on a particular topic.

Information in the Resource Center can be displayed both by state or territory and by topic. As a result, you can review all available information about your own state or territory in one place. You can also identify and compare all documents on a particular topic (e.g., COOP Plans or records schedules for public health agencies) across all states.



Say: The URL for the Resource Center is provided in your Participant Guides.



Open a document from the “Course Handouts and References” WebSync file in iLinc:

- Document name: **Reference 01**—Resource Center, References, Reading List
- **Tell** participants to go to **Reference 01**—Resource Center, References, Reading List and look at Table 1.

Explain that throughout the course, you will be showing the participants how to use the Resource Center to locate regulations, guidance, and other information that apply to records in their state or territory.

Explain that participants should record notes in the blank spaces provided in Table 1 of **Reference 01**.

When done, **close** the document for everybody by selecting “Close All” when prompted.

Say: Let’s take a moment to visit the IPER Resource Center.

Throughout this course, your Instructors will be showing you how to use the Resource Center to locate regulations, guidance, and other information that applies to records in your state or territory. We encourage you to record notes—and the relevant URLs—during these demonstrations in the spaces provided in Reference 01—Resource Center, References, Reading List, so you have a handy guide to using these tools after you finish the course.

We hope that you will continue to draw on contents of the Resource Center when you return to your jobs and implement what you have learned during IPER training. We have designed it to be the first place you turn for information about managing and safeguarding state and local government records.



Launch web page in
iLinc:

- Web page: IPER Resource Center
 - URL:
<http://www.statearchivists.org/resource-center>
- **Access** the main page for your state or territory.
- **Point out** the key information and links provided for your state (contact information for the state archives and records management agency, records schedules, emergency and COOP Plans, vendor directories, etc.).
- **Access** the page for your state's archives and records management program(s).
- **Perform a search** across the whole Resource Center on a particular topic—e.g., “COOP Plans” or “state records schedules”—to show participants what it looks like when information from all states is displayed.

When done, **close** the web page for everybody by selecting “Close All” when prompted.

Say:

- Another important feature of the IPER Resource Center is the Participant Dashboard.



- Each participant has one and it will come in handy as you progress through the course.
- It provides easy access to your Instructors and IPER staff, links to the courses you're enrolled in and to your own state's resource center, and announcements from your Instructors and the IPER office.



Transition: Now let's give you folks an opportunity to share some information about yourselves.

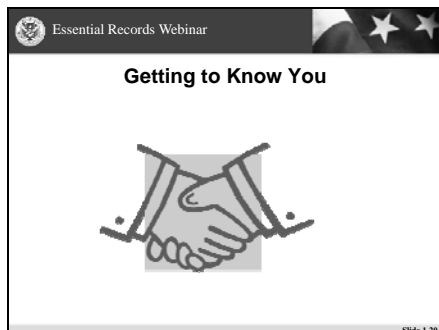


PG 1-19

(Duration: 5 minutes)

START TIME: _____

Show slide 1-20.



Getting to Know You



NOTE TO INSTRUCTOR:

- There is not enough time for each participant to verbally introduce himself or herself and share what they do, so the following polling questions are used instead.

Say:

- We'd like to ask you a couple of questions about who you are and what you do.
- We're going to launch a polling question.
- Notice that this feature differs from the feedback question feature we tried out a few minutes ago.
- Polling questions appear in the content area of your screen, and you answer directly there.



Launch polling question in iLinc:

- **PQ 1.1**—Type of agency
- **Tell** participants to answer the question by selecting the appropriate response from the choices displayed in the "Polling" tab.
- **Wait** a few moments until most or all participants have answered, and then **share** results with the participants via iLinc.



- NOTE: When you share the results, the poll closes and participants can no longer answer, so it's important that you don't share the results prematurely.
- When done, **close** the "Polling" tab for everybody by selecting "Close All" when prompted.

NOTE TO INSTRUCTORS:

- To begin building rapport, you may wish to follow up on the participants' responses for any of the Getting to Know You polling questions. For example:
 - "I see some of you are from the municipal level. Anyone want to tell us what city?"
 - "I see several of you are on the county level; any county clerks (raise hands)?"



Launch polling question in iLinc:

- **PQ 1.2**—Discipline
- **Tell** participants to answer the question by selecting the appropriate response from the choices displayed in the "Polling" tab.
- **Point out** that municipal or county clerks and county recorders would fall under the "administrative or records" option.



- **Wait** a few moments until most or all participants have answered, and then **share** results with the participants via iLinc.
- When done, **close** the “Polling” tab for everybody by selecting “Close All” when prompted.



Launch polling question in iLinc:

- **PQ 1.3**—Years of experience in the field
- **Tell** participants to answer the question by selecting the appropriate response from the choices displayed in the “Polling” tab.
- **Wait** a few moments until most or all participants have answered, and then **share** results with the participants via iLinc.
- When done, **close** the “Polling” tab for everybody by selecting “Close All” when prompted.



Launch polling question in iLinc:

- **PQ 1.4**—Experience with essential records



- **Tell** participants to answer the question by selecting the appropriate response from the choices displayed in the “Polling” tab.
- **Wait** a few moments until most or all participants have answered, and then **share** results with the participants via iLinc.
- When done, **close** the “Polling” tab for everybody by selecting “Close All” when prompted.

Say:

- One of the goals for the IPER project is to open the lines of communication across agencies and across functions (records management, information technology [IT], and emergency management).
- By asking you to share some information about yourselves, we hope to introduce the varied perspectives in this class.
- You’ll be learning a lot from your classmates through these sessions. We want to get everybody talking!



Transition: Let’s move on to the Pre-Test.



PG 1-19

(Duration: 35 minutes)

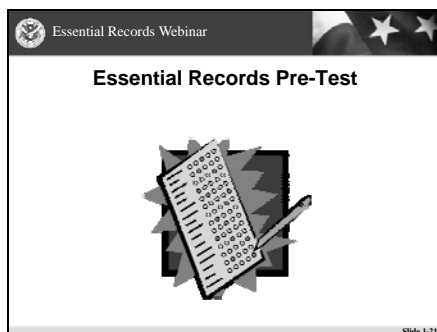
Essential Records Pre-Test

START TIME: _____

NOTE TO INSTRUCTOR:

- The total duration of the Pre-Test topic is 35 minutes. This allows for:
 - 25 minutes for the Pre-Test
 - 10 minutes to provide feedback on the participant's expectations for the course

Show slide 1-21.



Introduce the Essential Records Pre-Test:

- **Say:**
 - As we just saw in the polling questions, class members come with varied backgrounds and levels of experience in records management and emergency management.



- The Pre-Test is a way for us to determine the class’s level of expertise in the specific course content, so we can adapt our instruction accordingly.
- We will not share your grades with other participants or with anyone else outside the project. Reports to FEMA will include composite scores for the entire class, but will not identify individual participants’ scores.
- The course ends with a Post-Test. Any change (an improved score, we hope) between the Pre- and Post-Test gives us an idea what you’ve learned.
- In addition, data from pre- and post-testing enable FEMA to evaluate the success of our project and the impact of their funding.
- Bottom line: You should not expect to know all the answers to these questions.

NOTE TO INSTRUCTOR:

The following “Says” are extremely important to convey to participants.

Say:

- When you are taking the test, you will need to select “Next” to advance to the next question, and you will need to select “Submit” when you’ve finished the last question.



- Do **not** switch to another content tab—meaning don't leave the "Test" tab—before completing the test; otherwise, you won't be able to return to the test.
- Select "Completed" in the Feedback area when you have completed the test.
- Please do not talk during the test. If you need to communicate with an Instructor during the test, please do so via the Chat tool.
- You will have **25 minutes** to complete the test, which gives you time to finish the test and then take a short break. The test should take you about 15–20 minutes, thus allowing for a 5–10 minute break.
- Class will resume at <time when class will resume>.
- Please start the test now.



Set up the Feedback Tool in iLinc.

- **Select** the "Assignment status" answer set.

Type the following reminder in the Chat tool, using the "Public" tab:

- Remember to select "Completed" in the Feedback Tool when you've finished taking the test.



NOTE TO INSTRUCTOR:

- On the test question screen there is a “How To Take a Test” link. When a participant clicks this link to get the “how to” instructions, then they close the instructions, they are not automatically put back on the test. This may confuse some participants, and they may not be able to figure out how to return to the test. If this happens, instruct the participant to click the “Test” tab at the top of the screen to return to the test.



Pause the iLinc recorder.



Launch TestLinc in iLinc:

- Test: Essential Records Pre-Test

NOTES TO INSTRUCTOR:

- While the participants are taking the Pre-Test, **review** the participants’ expectations entered in the Chat tool and **prepare** to provide feedback.
- **Prepare to address** any expectations that will not be addressed in this course, by directing participants on where they can go for more information.



When **25 minutes** have passed, and if all participants have completed the Pre-Test (based on the input from the Feedback Tool), **close** TestLinc and **resume** the class.

- NOTE: If, after 25 minutes, people are still taking the pre-test, **allow** a few extra minutes beyond the allotted 25 minutes. If, after the extra time, there are still people taking the test, **move forward** with the class, and **allow** them to continue taking the test.



Restart the iLinc recorder.

Say: I'd like to take a moment to review the expectations you shared while waiting for the webinar to begin.

Provide feedback on the expectations by:

- Confirming the expectations that will be met in this course
- Addressing any expectations that are addressed in the other IPER course, *Records Emergency Planning and Response*
 - **Encourage** participants to take this course.



- Addressing any expectations that are not met by either of the IPER courses
 - **Direct** participants on where they can go for more information.



Ask: Does anyone have any questions before we get started?

- **Resolve** any questions or issues.



Transition: Let's take a look at what we're going to cover in this session.



Session 1 Introduction



PG 1-21

(Duration: 2 minutes)

Session 1 Overview

START TIME: _____

Show slide 1-22.

Essential Records Webinar

Session 1 Overview

- Module 1—Identify Essential Records
 - Lesson 1: Distinguish Between Nonessential and Essential Records
 - Lesson 2: Identify Essential Records by Examining Critical Business Needs and Functions

Time

Content

Slide 1-22

Go over what is covered in Session 1:

- **Say:** In this first session, we will address how to identify essential records.
- **Say:** The session includes following:
 - **Read** the Session 1 Overview, as provided on the slide.



Transition: Let's get started with Module 1.



[This page intentionally left blank.]



Module 1— Identify Essential Records



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Module 1 Introduction and Objectives



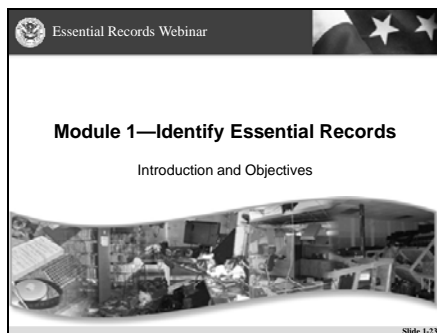
PG 1-25

(Duration: 5 minutes)

Module 1 Introduction

START TIME: _____

Show slide 1-23.



Introduce the module:

- **Say:**
 - In Module 1, we will focus on the difference between a nonessential record and an essential record, and address how essential records are identified.
 - We will begin by learning the definition of an essential record and why essential records are important. We will also review the types of essential records, and the agency information and tools used to identify essential records.



- Finally, we will discuss how to identify essential records by determining an agency's essential functions.

Say:

- It may seem obvious that Records Managers need to understand essential records, but our Emergency Management and Information Technology folks need to understand them as well, for two reasons.
- The first reason is that you create essential records, and you need to be able to identify your own essential records.
- The second is that, during an emergency, you may encounter the essential records of others. You may find them at the emergency site, or you may have custody of them on your servers.
- So being able to understand essential records is important for everyone participating today.



Transition: Let's take a look at the objectives for Module 1.



PG 1-26

Module 1 Objectives

Show slide 1-24.

Essential Records Webinar

Module 1 Objectives

- At the completion of this module, you will be able to:
 - Distinguish between nonessential and essential records
 - Identify the five types of essential records
 - Explain the four sources of information you need to know to identify your essential records
 - Identify stakeholders who are resources for identifying essential records
 - Determine an agency's critical functions in order to identify essential records

Slide 1-24

Review the module objectives.

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

- Distinguish between nonessential and essential records
- Identify the five types of essential records
- Explain the four sources of information you need to know to identify your essential records
- Identify stakeholders who are resources for identifying essential records
- Determine an agency's critical functions in order to identify essential records



Transition: Let's get started with Lesson 1 and talk about what essential records are.



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Lesson 1: Distinguish Between Nonessential and Essential Records

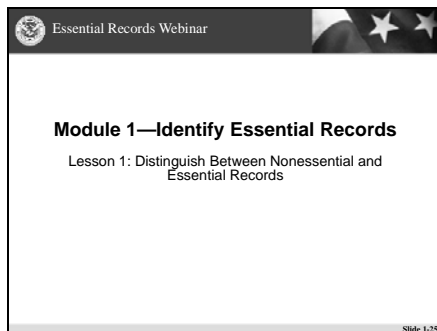


PG 1-27

(Duration: 15 minutes)

START TIME: _____

Show slide 1-25.



Introduce the lesson.

- **Say:** Not all records are essential, although it may seem as if they are. In this lesson, we'll take a look at what makes a record essential, and we'll learn how to distinguish essential records from other records.



PG 1-27

What Are Essential Records?

Show slide 1-26.

The screenshot shows a slide titled "What Are Essential Records?" with a bulleted list of criteria for essential records. The slide also includes a small logo in the top left and three stars in the top right.

Essential Records Webinar

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

Slide 1-26

Define essential records.

Remind participants that this course uses the term “essential records,” but these records also go by other names, including “vital records” and “mission-critical or business-critical records.”

Essential records provide the agency with information it needs to conduct business under other-than-normal conditions, and to resume more normal business afterwards. These records, combined with other components of a business continuity plan, allow the agency to continue functioning under a range of adverse conditions, whatever their intensity and duration.

We use the term “essential records” in this course, but these records also go by other names. The federal government refers to them as “vital records” and the business community often calls them “mission-critical or business-critical records.” We use “essential records” as synonymous with all of these terms.

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



Say: These five points, identifying which records are considered essential, are fundamental concepts that you will be hearing about again and again throughout the *Essential Records* course.

Explain that essential records support the immediate resumption or continuation of operations in the first few hours after an emergency occurs. They also aid long-term recovery efforts that may extend for months or years.



Open a document from the “Course Handouts and References” WebSync file in iLinc.

- Document name:
Handout 1.1—Essential Records
- **Tell** participants to go to **Handout 1.1—Essential Records** for examples of records that fall into each of these five categories.
- **Review** the handout.
 - **Point out** that we will address the “Priority” column on the left when we discuss accessing essential records in Session 4.
 - If time permits, **review** each category and **ask** participants to suggest other examples in addition to those provided.

Handout 1.1—Essential Records provides examples of records that fall into each of these five categories.



When done, **close** the document for everybody by selecting “Close All” when prompted.

Tell participants to keep **Handout 1.1** handy, as they’ll be using it again in Session 4.

Agencies must be prepared to cope with a wide range of emergencies, from fires or plumbing failures that might affect a single building, to natural emergencies, pandemics, and power failures that could affect a broad geographic area. In every case, certain records are critical to the agency and to those who depend on it for services.

Point out that each state or locality may have its own unique definition of an essential record.

Say: You can find the statutes and regulations for your state that define essential records on the IPER Resource Center.

Remind participants that **Reference 01**—Resource Center, References, Reading List provides information on the IPER Resource Center.

Point out that **Reference 01**—Resource Center, References, Reading List is included in the participant materials per the link provided in the Invitation Email.

Say: Let’s take a moment to visit the Resource Center and look at the statutes and regulations for your state that define essential records.



Launch web page in
iLinc:

- Web page: IPER Resource Center
 - URL:
<http://www.statearchivists.org/resource-center>
- **Access** the page for your state.
- **Point out** the statutes and regulations that define essential records.

When done, **close** the web page for everybody by selecting “Close All” when prompted.

Show slide 1-27.

Essential Records Webinar

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.

Slide 1-27

Explain that essential records require special protection strategies.

Essential records require special protection strategies, such as backing up systems, or copying and dispersing files and resources off site. These strategies ensure that essential records are not only protected from the effects of an emergency, but are also accessible during and after an emergency.



Point out that essential records can be found in any format—paper, electronic, microfilm, photographs, and more.

Emphasize that records are deemed essential based on the information they contain, not on their format.

Essential records can be found in any format and in any medium—paper, electronic, microfilm, photographs, and more. Essential records are considered to be essential based on the information they contain, not on their format.



PG 1-30

Essential Records and NIMS

Show slide 1-28.

Essential Records Webinar

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.

NATIONAL INCIDENT MANAGEMENT SYSTEM
December 2008
Homeland Security

Slide 1-28

Explain that the federal government recognizes the importance of essential records (which it calls “vital records”) in the National Incident Management System (NIMS).

Say: A complete discussion of NIMS is beyond the scope of this course, but we will cover it briefly here and refer to it periodically throughout the course.

The importance of essential records is recognized by the federal government in the National Incident Management System (NIMS).



Explain that:

- NIMS is a national approach to incident management.
- It is a standardized set of operating structures that can be scaled up or down to address incidents of any size.
- It is the standard way that government agencies work together during an emergency.

NIMS is a comprehensive, national approach to incident management that is applicable at all jurisdictional levels and across functional disciplines. NIMS enables government entities to work together to prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life and property and harm to the environment.

NIMS is **flexible** because it is applicable to any incident regardless of cause, size, location, or complexity, and its components can also be used to develop all-hazards plans, processes, procedures, agreements, and roles.

Additionally, NIMS provides an organized set of **scalable** and **standardized** operational structures, which is critical for allowing various organizations and agencies to work together in a predictable, coordinated manner.

Go over how NIMS fits with this course.

NIMS and Preparedness

NIMS has five different components, and this course fits well with the first component, Preparedness. NIMS specifically urges elected and appointed officials to lead preparedness efforts in their community and agencies.

Preparedness is achieved and maintained through a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action. (NIMS, p. 9)

NIMS and Essential Records Programs

NIMS also specifically urges the implementation of an essential records program at all levels of government to prevent loss of crucial documents and records.



Refer participants to **Handout 1.2**—NIMS Resource Management Concepts and Principles for an introduction to NIMS concepts and principles.

Refer to **Handout 1.2**—NIMS Resource Management Concepts and Principles for an introduction to NIMS concepts and principles.



Refer participants to the NIMS Resource Center on FEMA's website for more information on NIMS.

Additional information about NIMS can be found at the NIMS Resource Center on FEMA's website at:
<http://www.fema.gov/emergency/nims>

Tell participants that the URL appears in their Participant Guides and in **Reference 01**—Resource Center, References, Reading List, and that they can also access the NIMS website through the IPER Resource Center.



Transition: Let's look at how essential records status is determined.



PG 1-32

Differentiate Essential Records from Other Records

Show slide 1-29.

Essential Records Webinar

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.

ESSENTIAL RECORDS

ALL OTHER RECORDS

Slide 1-29

Explain that only a small percentage of records are essential.

Point out that with some agencies, a larger percentage of records may be deemed essential.

Explain that this course will examine the factors that help you determine whether records are essential.

Explain that the critical value during and/or after an emergency is what makes a record essential.

Determining which of your records are “essential” requires a great deal of thought, and opinions will vary widely. All records are useful to the agency in some way; however, only a small percentage—typically less than five percent, government-wide—are essential. However, some agencies, such as court clerks and county recorders, may legitimately designate a more substantial percentage as essential.

Throughout this course, we will be examining in detail the factors that will help you make the decision as to whether a record is an essential record, including:

- Mission-critical functions of your agency
- Costs (time, money, operational, and human) associated with potential loss
- The speed with which you will need to access the records when an emergency occurs
- Ability to reconstruct record

Its critical value during and/or after an emergency is what makes a record essential, and these four factors determine the critical value of a record.



Explain that as disruption time increases, more records become essential.

As disruption time increases, more records become essential.

Provide the following examples of records that become essential as disruption time progresses:

- Personnel records:
 - Hours worked and payroll
 - Files for severance or periodic performance evaluations
 - Proof of benefits coverage
 - Service records for retirements
- Customer records:
 - Public assistance files
 - Inmate records for offenses and release dates
 - Proofs of permits for buildings or subdivisions
 - Records of land ownership
- Records to ensure that deadlines are met:
 - Grant applications
 - Legal obligations
 - Budget preparations
 - Conduct of election



Transition: Essential records can be either dynamic or static. Let's look at the difference between the two.



PG 1-33

Characteristics of Essential Records

Show slide 1-30.

The screenshot shows a presentation slide with a dark header containing the text 'Essential Records Webinar' and a small American flag icon. The main content area is white and lists two categories of essential records: 'Dynamic essential records' and 'Static essential records'. Each category has two bullet points describing their characteristics. The slide number 'Slide 1-30' is visible in the bottom right corner.

Essential Records Webinar

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

Slide 1-30

Explain dynamic essential records and static essential records.

Essential records are either dynamic or static:

- Dynamic essential records contain information that can change periodically—for example, phone trees, in which the phone numbers and contact names may change over time. In order to be useful in an emergency, dynamic essential records must be kept up-to-date. This requires actively validating the information in the record and making updates as changes occur.
- Static essential records contain information that does not change over time—for example, birth records and the results of elections. Because the record's information doesn't change, these records do not require updates.



PG 1-34

Which of Your Agency's Records Are Essential?

Show slide 1-31.

Essential Records Webinar

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

Slide 1-31

Explain that essential records differ by agency, and each agency must determine which of its records is or are essential.

Essential records differ from agency to agency—there is no master list of all the records that an agency should deem essential. Each agency must determine for itself the records required to respond to an emergency and continue operations. While federal and state laws and regulations may establish general categories of records deemed to be essential, matching those categories to specific records series in each agency must be done by those who know both the records and the agency's functions very well.

Bottom line: No one can define for you which of your records is or are essential.

Introduce the four pieces of information needed to identify essential records.

To identify your essential records, there are four pieces of information you need to know:

- Your agency's essential functions
- The stakeholders
- Your agency's records
- Relevant statutes, regulations, and standards

Say: Let's take a look at each piece of information in detail.



Know Your Agency's Essential Functions

Show slide 1-32.



Explain that essential records are identified by examining your agency's essential functions—the records that support those functions are your essential records.

The identification of essential records starts with understanding the essential functions of your agency, its departments, and its programs. This must be done in close consultation with people up and down and across the agency, as well as with stakeholders from the outside.

Once you've identified the essential functions, you can determine which of those functions your agency must continue to perform regardless of operating conditions. From there you will be able to determine the records needed to support those functions—i.e., your essential records.

Point out that in the next lesson we'll focus specifically on essential functions and get into the details of how to identify your essential records by determining your essential functions.



Know the Stakeholders

Show slide 1-33.

Essential Records Webinar

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

Slide 1-33

Review the stakeholders that can help identify an agency's essential records.

Discuss talking with people who depend on your agency's services as a way to identify essential records.

Another way to identify your essential records is to know the people who have an interest in identifying and protecting your agency's essential records.

Talk to the people who depend on your agency's services. These stakeholders can help you understand which of your services are essential to them and why. This, in turn, will help you identify the records that support those services.

You'll want to consult with other agencies or outside organizations that come to you often for information or services, because they can help you identify which records are essential to their operations and cannot be found elsewhere. Likewise, one of the most important considerations is the public and its requirements. Residents of your state or locality depend on the government to retain critical information needed to sustain their families and businesses, and to make that information available when needed.



Discuss talking with the people you depend on as a way to identify essential records.

Also talk to the people you depend on in order to provide services. If your agency depends on records in other organizations to support your ongoing operations, you'll want to ensure that that agency's records will remain available during an emergency, or you'll want to make provisions to obtain critical information elsewhere. If, for instance, you depend on certain computer systems, but those systems are managed and maintained by people outside your office, you need to talk to the custodians of those systems to identify records that are essential to you but may not be under your control (such as system documentation, for example).

Go over the additional stakeholders that can help identify essential records.

Additional stakeholders you'll want to consult with include mission-critical program or department heads, the Information Technology (IT) Director, Human Resources (HR), Legal staff and senior executives, and others. Later, the COOP Manager and Emergency Manager for your agency should be consulted, so that they see how to integrate your work with the current plan and emergency training. The agency head (or designee) and IT Director should be briefed fully on aspects of your plan that will require resources—especially those recommendations for protecting records.

Say:

- Building a network of key stakeholders and soliciting their input and support is important throughout the several steps this course presents—identifying, protecting, and planning for access to essential records.
- Furthermore, this network is crucial to having the agency eventually adopt the essential records procedures.
- We will revisit your network of stakeholders later in the course as well.



Know Your Agency's Records

Show slide 1-34.



Explain that you must know the agency's records in order to identify the essential records.

Explain that two records management documents can help you learn the agency's records: records inventories and records retention schedules.

Go over records inventories.

Selection of essential records is based on comprehensive knowledge of all the agency's records. Most state and local governments mandate specific records management practices through laws, regulations, or administrative rules. These practices and the documents that result provide the comprehensive knowledge of an agency's records.

A well-developed records management program can go a long way toward protecting and accessing essential records in an emergency. In addition to ensuring that best practices are followed for the storage and reproduction of records, two documents at the heart of a proper records management program will help you identify essential records:

- **Records inventories** are basic tools of records management—you can't manage something unless you know what you have and where it is. The inventory is also the foundation for every effective Essential Records Program. A records inventory is a complete and accurate survey of an agency's business information that documents the function, flow, and description of records. Paper records are inventoried by record series. Electronic records are inventoried by information systems. To be effective, an inventory should take into account records in all media, including records in all media, including paper, microfilm, microfiche, photographs, and electronic formats, if they are part of the same process, to ensure that the relationships between them can be fully identified.



Say:

- It is important to recognize that government records have value to agencies and individuals beyond their roles in emergency response and recovery.
- Governments use records retention schedules to identify all records created and maintained by an agency and to specify how long each should be retained.
- These records retention schedules can help you understand who creates specific records and how they are used.

Point out that, increasingly, essential records are being flagged in retention schedules, so starting with the retention schedule as a source for identifying essential records may save you a great deal of time.

NOTE TO INSTRUCTORS:

- You may want to show examples of retention schedules from your state and point out any records that are designated as essential, if the schedules make that distinction.

- **Records retention schedules** systematically identify and describe all the records in an agency (often from information gathered during a records inventory), specify how long they should be retained, and designate certain records as permanent. Permanent records, generally speaking, are essential because they meet one of the five criteria we spoke of earlier (see “What Are Essential Records?” topic). Generally, they are not needed in the first hours or days of an emergency, but their long-term value requires that they be protected. We will talk about this later in the course.

Records retention schedules can help you understand who creates specific records and how they are used.

Increasingly, essential records are being flagged in retention schedules, so starting with the retention schedule as a source for identifying essential records may save you a great deal of time.

State archives and records management programs are often responsible for producing and/or approving retention schedules for state agencies and local governments, so they are a good place to start if you are looking for records schedules for your agency.



To learn more about the basics of records management, we suggest starting with the following IPER resources:

- ***Introduction to Records and Information Management for State and Local Governments Course***, a 90-minute narrated PowerPoint presentation developed to introduce participants to the fundamentals of records and information management practices and terminology. It is available for viewing free of charge through the IPER Resource Center.
- **IPER Glossary of Key Terms**, which includes many definitions for records management tools and practices. It is provided in the materials for this course as Reference 02 and is also available through the IPER Resource Center.



Ask: How many of you have a records retention schedule for your agency?

- **Tell** participants to raise their hands to answer or to type their answer in the Chat tool, using the “Public” tab.

Say: You’ll be using your agency’s records schedule during this session’s Take Home activity. If you don’t have a copy, then part of your homework will be to find it.

Say: For those of you who do not know how to locate your records schedule, we suggest _____ <provide suggestions on how participants can locate their schedules>.



NOTE TO INSTRUCTOR:

- When providing suggestions on how participants can locate their schedules, be sure to provide suggestions specific to your state or locality. Examples include:
 - Visiting the IPER Resource Center (if records schedules for your state are on the Resource Center)
 - Contacting the state archives and/or records management agency for assistance in developing schedules if none exist
 - Briefly telling participants about General Records Schedules that apply to their agency, if they are available in your state

NOTE TO INSTRUCTOR:

- If records schedules for your state *are on* the Resource Center, then **say:** Let's take a moment to visit the Resource Center and look at the records retention and disposition schedules applicable to your agency.
- If records schedules for your state *are NOT on* the Resource Center, then **say:** Let's take a moment to visit the Resource Center and look at the resources available to help you locate your records schedules.



Launch web page in
iLinc:

- Web page: IPER Resource Center
 - URL:
<http://www.statearchivists.org/resource-center>
 - **Access** the page for your state.
 - **Do one of the following**, depending upon which is applicable:
 - **Point out** the records retention schedule(s)
- OR
- **Point out** the resources available to help participants locate their records retention schedule(s) (e.g., state archives contact information, etc.).

When done, **close** the web page for everybody by selecting “Close All” when prompted.



Know the Relevant Statutes, Regulations, and Standards

Show slide 1-35.



Explain how statutes, regulations, and standards can help identify essential records.

Statutes and Regulations

Statutes and regulations addressing emergency management and records management typically include directives on identifying and protecting essential records. When identifying essential records, it's important to know the statutes and regulations that apply to your agency, so that you can ensure that you meet your agency's operational and legal requirements. While statutes and regulations don't often address essential records directly, the laws assume that you will protect the resources—including records—you need to meet your legal obligations.

Standards

You should also be aware of the industry standards for essential records, as they provide useful information to help identify essential records.

An example of an industry standard for essential records is:

- ANSI/ARMA 5-2003 “Vital Records Programs: Identifying, Managing, and Recovering Business Critical Records”
<http://www.arma.org/standards/VitalRecords.cfm>

Your state archives and records management program may also issue standards and/or best practices that will help you identify and protect essential records. If your state issues these, you will find links to them in the IPER Resource Center.



Refer participants to the IPER Resource Center, where they can find links to their state's laws and regulations addressing emergency management and records management.

Say: Let's take a moment to visit the Resource Center and look at your state's laws and regulations.



Launch web page in the webinar software:

- Web page: IPER Resource Center
 - URL:
<http://www.statearchivists.org/resource-center>
- **Browse** to the class's state.
- **Point out** the laws and regulations addressing emergency management and records management.

When done, **close** the web page for everybody by selecting "Close All" when prompted.

Refer to the IPER Resource Center, for links to your state's laws and regulations addressing emergency management and records management.

Say: Let's take a look at a handout that can help you start thinking about possible essential records in your agency.



Open a document from the "Course Handouts and References" WebSync file in iLinc.

(Refer to **Handout 1.3**—Potential Candidates for Essential Records Status to help you start thinking about the records in your agency that may be essential records.)



- Document name: **Handout 1.3**—Potential Candidates for Essential Records Status
- **Tell** participants to go to **Handout 1.3**—Potential Candidates for Essential Records Status.
- **Review** the handout.

When done, **close** the document for everybody by selecting “Close All” when prompted.

Say: Now I’d like to show you an example of an actual essential records schedule from a local government: The City of West Ballard in Washington State. Again, this should help you start thinking about the possible essential records in your agency.



Launch web page in iLinc:

- Web page: Washington State Archives
 - URL:
<http://www.secstate.wa.gov/Archives/erdpm.aspx>
 - Appendix B, Adobe Acrobat
 - Pages 4–7
- **Briefly review** the City’s Essential Records Schedule (B-2) and the list of essential records from the State General Schedule (B-3).
- **Point out** that this list should help participants start thinking about their own essential records.



- **Point out** that not all agencies will have the same records (for example, cemetery records), which is why it's important that agencies take the time to determine *their* specific and unique essential records.

When done, **close** the web page for everybody by selecting "Close All" when prompted.

Point out that the URL to this web page is provided on the IPER Resource Center. To learn more about the Resource Center, refer to **Reference 01**—Resource Center, References, Reading List.

Remind participants that this document is available for download with their session materials.



Ask: Before moving on to the next lesson, are there any questions about what we've covered so far?

Resolve any outstanding questions.



Transition: In our next lesson, we'll talk about identifying an agency's essential business needs and functions in order to identify essential records.



Lesson 2: Identify Essential Records by Examining Critical Business Needs and Functions

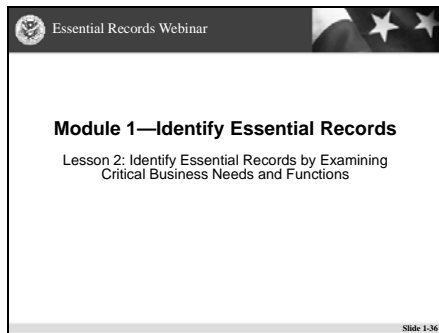


PG 1-41

(Duration: 20 minutes)

START TIME: _____

Show slide 1-36.



Introduce the lesson.

Say:

- As mentioned in Lesson 1, in order to identify essential records, you need to examine the essential functions of your agency, its departments, and its programs.
- By examining essential functions, you will be able to determine those functions that your agency must continue to perform regardless of operating conditions, and from there you will be able to determine the records needed to support those functions—i.e., your essential records.



PG 1-41

Determine Essential Functions

Show slide 1-37.

The screenshot shows a slide titled "Determine Essential Functions" from an "Essential Records Webinar". The slide content is as follows:

- 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.

Slide 1-37

Review the definition of an essential function.

Explain that essential functions must continue under all circumstances.

Point out that these functions are also continuing functions that governments routinely provide, even when there is no emergency.

Point out that it is the responsibility of the COOP team to determine the essential functions of an agency.

Say: Review the COOP Plan before attempting to identify essential functions, because the COOP Manager may have already accomplished this task.

Essential functions are the functions that enable a government to provide vital services, exercise civil authority, maintain the safety and well-being of the general population, and sustain its jurisdiction's industrial and economic base in an emergency.

These functions must continue under all circumstances with minimal disruption, and cannot be interrupted for even a short period of time without compromising the agency's ability to perform its mission.

It is the responsibility of your agency's COOP (Continuity of Operations) team to determine the essential functions of your agency. Be sure to review the COOP Plan before you start identifying essential functions, because the COOP Manager may already have accomplished this task.



Ask: How many of you have or know how to locate the COOP Plan for your agency?

- **Tell** participants to raise their hands to answer or to type their answer in the Chat tool, using the “Public” tab.

Say: You’ll be using your agency’s COOP Plan during the Take Home activity following this session. If you don’t have a copy, then part of your homework will be to find it. If your agency doesn’t have one of its own, it may be covered in a COOP Plan that applies more broadly, such as for the city, county, or state in which your agency operates.

Say: For those of you who do not know how to locate your COOP Plan, we suggest _____
<provide suggestions on how participants can locate their COOP Plans>.

NOTE TO INSTRUCTORS:

- **Be sure to provide** suggestions that are specific to your state. For example:
 - Participants can contact officials that oversee emergency management for their agency or department.
 - Or, if they don’t have or can’t find a COOP Plan, they can find sample COOP Plans on the IPER Resource Center.



Show slide 1-38.



Introduce the steps that should be followed to determine an agency's essential functions.

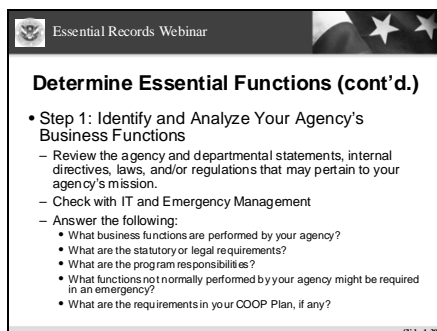
If a COOP Plan or team has not been established for your agency, and you have been tasked with coordinating an Essential Records Program, follow these steps to determine your agency's essential functions:

1. Identify and analyze your agency's business functions.
2. Determine essential business functions.
3. Determine the essential records that support those functions.

Let's look at each of these steps in detail.

Step 1: Identify and Analyze Your Agency's Business Functions

Show slide 1-39.





Review step 1:

Say: The first step in determining an agency's essential functions, and thus determining its essential records, is to identify and analyze the agency's business functions.

Explain that you should look to your agency's statements and directives, etc., that pertain to your agency's mission.

Point out that participants should also talk to IT and Emergency Management, as they may already have performed analyses to identify critical agency functions.

Explain that this is a good way to begin collaborating with emergency planners or managers and with IT.

In this phase, you are gathering comprehensive information about your agency's business functions by reviewing agency and departmental statements, internal directive, laws, and/or regulations that pertain to your agency's mission.

At this point, you should also check with IT and Emergency Management to see if they have already undertaken any contingency planning or BIA (Business Impact Assessment) activity. These analyses result in identification of essential agency functions and can save you much time if they already exist. You can find more information about the BIA process on the IPER Resource Center.

NOTE TO INSTRUCTOR:

- The main goal of the following polling question is to have participants from IT who may have participated in one or both of these processes (BIA or contingency planning) share any valuable information they may have about these processes and essential functions.
- Therefore, if there are no participants from IT in the class, the polling question is optional.



Say: We have a question for you.



Launch polling question in iLinc:

- **PQ 1.5**—Have you worked on a BIA or contingency plan?
- **Tell** participants to answer the question by selecting the appropriate response from the choices displayed in the “Polling” tab.
- **Wait** a few moments until most or all participants have answered; then **share** the results with the participants via iLinc.

Comment on or review the results.

- If the results show that some participants have participated in a BIA or contingency plan, **say:**
 - Okay, so I see some of you have worked on a BIA or contingency plan.
 - It would be great if you could share your experiences with the class.
 - <Insert name of a participant who answered “yes”>, tell us about your experience with a BIA or contingency plan, and tell us how a BIA or contingency plan is useful for identifying business functions.



- <Insert name of another participant who answered “yes”>, what was your experience with a BIA or contingency plan, and what are your thoughts on using them to identify business functions?
- If the results show that no participants have participated in a BIA or contingency plan, or if no one is willing to share his or her experiences, **provide** a brief review of a BIA, using the information from the IPER Resource Center.

If applicable, **share** an experience you’ve had with performing a BIA or contingency plan.

When done, **close** the “Polling” tab for everybody by selecting “Close All” when prompted.

Review the questions that should be answered.

So, we said that you can gather information about your agency’s business functions by looking at internal documents (such as laws, regulations, and directives) and by looking at a BIA, if it exists. A third way to gather information about your agency’s business functions is by talking to key stakeholders, including agency managers and staff (see “Interview Stakeholders” topic for information on talking with stakeholders).



Your information-gathering will seek to answer the following questions about your agency:

- What business functions are performed by your agency?
 - What is the purpose of the agency?
Of each department?
 - What is the agency’s major function? Each department’s major function?
- 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?
- What are the requirements in your COOP Plan, if any?



Conduct a group discussion by asking:

- Where would you go to answer these questions?
What offices or which people manage or maintain agency and departmental statements, internal directives, laws, and/or regulations that may pertain to your agency’s mission?
- **Tell** participants to raise their hands to answer or to type their answers in the Chat tool, using the “Public” tab.
- **Call on** participants who have their hands raised.
 - **Remind** participants to take their phones off mute before speaking.



- **Acknowledge** any responses provided in the Chat tool.
- **Confirm** or **correct** responses as appropriate.
- If no participants respond, **provide** some examples (possible answers are provided below).
- **Possible answers:**
 - Executive and/or Administrative Offices (including those of mayors and other elected officials, county and municipal managers, agency or division)
 - Directors, and financial and legal officers) for official copies of signing authorities, grants, directives, policies, contracts and agreements, legal records, and minutes of governing bodies
 - Payroll and Personnel for official copies documenting employment and employee benefits
 - Administrative Services or Facilities Management for blueprints and capital assets
 - Emergency Management for COOP Plans
 - Information Systems for backup computer files

Point out that business functions do not necessarily mean only those functions transacted between the agency and the public.

Keep in mind that business functions do not necessarily mean only those functions transacted between the agency and the public. Business functions also refer to those functions performed between agencies.



Step 2: Determine the Essential Business Functions

Show slide 1-40.

Essential Records Webinar

Determine Essential Functions (cont'd.)

- Step 2: Determine the Essential Business Functions
 - Is there anything that your agency or division does that is critical?
 - Which of these critical functions are performed only by your own agency or division?
 - Is there an alternative method of carrying out those functions during the emergency and recovery periods?
 - After eliminating the business functions for which there are alternative methods of support, what functions are left? These are your essential business functions.

Slide 1-40

Review step 2:

Explain how to analyze an agency's business functions by reviewing the bullet points on the slide.

Once you have identified the business functions, you will need to analyze and prioritize them based on what functions your agency, and the government as a whole, must perform under adverse operating conditions.

1. Is there anything that your own agency or division does that is critical to the larger agency or government of which it is a part? That is, if your operation were shut down because of an emergency, how greatly would that affect the rest of your organization, other agencies, the government as a whole, or the public?
2. Which of these critical functions is or are performed only by your own agency or division and not also done elsewhere?
 - Keep in mind the importance of each function:
 - Does it ensure uninterrupted communication, responsibility, and leadership of the department?
 - Does it protect critical facilities, systems, equipment, and records?
 - Does it continue to pay the government's obligations?
3. For the functions that are essential to your agency and are not done elsewhere, is there an alternative method of carrying out those functions during the emergency and recovery periods (regardless of how inefficient the alternative method may be)?



4. After eliminating the business functions for which there are alternative methods of support, what functions are left? These functions constitute your essential business functions.

Say: Notice that in the fourth action, you are eliminating from your list of “essential functions” those for which there’s an alternative method of support during emergency or recovery.

NOTE: You should continue to monitor any essential functions that you have eliminated because they have alternative support. Changing circumstances may mean that your agency will have to resume responsibility for those functions in the future and will once again need records to support them.

Step 3: Determine the Essential Records That Support Those Functions

Show slide 1-41.

Essential Records Webinar

Determine Essential Functions (cont'd.)

- Step 3: Determine the Essential Records That Support Those Functions
 - Your final step is to determine what records these functions create. You will identify which are essential from that record pool.
 - Do you consider any of these records to be invaluable?
 - Are there records that you create or maintain that the public would need in an emergency?
 - How soon would you need access to duplicates of these records?
 - Think about what records your agency creates or maintains that may be essential to other agencies or emergency services.
 - Check the records that support essential functions against the five core types of essential records.

Slide 1-41

Review step 3:

Explain how to determine the essential records by reviewing the bullet points on the slide.

Your final step is to determine what records are created by those essential functions, because this will be the pool of records from which your essential records will come.



- Do you consider any of these records to be invaluable? That is, if one or more of these records were lost because of an emergency, or were unavailable during an emergency, would there be any dramatic effect on your agency's ability to perform its critical functions? Any effect on the rest of your agency's operation? Any effect on other agencies or the public?
- Are there records that you create or maintain that the public would need in an emergency?
- How soon would you need access to duplicates of these records if one or more of the original records were lost or unavailable because of the emergency?
- Also think about what records your agency creates or maintains that may be essential to other agencies or emergency services but are NOT essential to your essential functions—for example, the floor plan of your agency or building plans.
- For a final determination, check the records that support essential functions against the five core types of essential records listed in Lesson 1:
 - Are they necessary for emergency response?
 - Are they necessary to resume or continue operations?
 - Do they protect the health, safety, property, and rights of residents?
 - Would it require massive resources to reconstruct them?
 - Do they document the history of families and communities?



Open a document from the “Course Handouts and References” WebSync file in iLinc.

- Document name: **Handout 1.4—Examples of Information/Records, by Function, That Might Be Designated as Essential**
- **Tell** participants to go to **Handout 1.4—Examples of Information/Records, by Function, That Might Be Designated as Essential**, for a list of records commonly found in an agency that may be deemed critical to continuity of operations.
- **Review** the handout.

Refer to **Handout 1.4—Examples of Information/Records, by Function, That Might Be Designated as Essential**, for a list of records commonly found in an agency that may be deemed critical to continuity of operations.

When done, **close** the document for everybody by selecting “Close All” when prompted.

Say: Once you identify your essential functions, you are ready to identify which records support those functions. Those are your essential records—the records you need to protect. Some records are typical across agencies. Let’s talk about what some of those might be.



Conduct a group discussion by asking the following questions, one at a time:

- What records do you think would be needed to ensure uninterrupted communication in the department?
 - What records do you think would be needed to protect critical facilities, systems, equipment, and records?
 - What records do you think would be needed to continue to pay the government's obligations?
- **Tell** participants to raise their hands to answer or to type their answers in the Chat tool, using the “Public” tab.
 - **Call on** participants who have their hands raised.
 - **Remind** participants to take their phones off mute before speaking.
 - **Acknowledge** any responses provided in the Chat tool.
 - **Confirm** or **correct** responses as appropriate (for sample answers, see below).
 - If no participants respond, **provide** some examples.



Possible answers:

- Records needed to ensure uninterrupted communication in a department:
 - Disaster and emergency plans
 - Contact information for key staff, emergency responders, service providers (utilities, tech support, facility contractors)
- Records needed to protect critical facilities, systems, equipment, and records:
 - Utility maps and diagrams
 - System backups
 - Software manuals
 - Records retention schedules and inventories
- Records needed to continue to pay the government's obligations:
 - Accounts payable
 - Loan papers



PG 1-47

Interview Stakeholders


Show slide 1-42.

The slide content is as follows:

Essential Records Webinar

Interview Stakeholders

- Interview key stakeholders and staff to get information about essential functions.
- Ask specific and pointed questions:
 - **Yes:** "What if you didn't have access to that series of records for 24 hours?"
 - **No:** "How long could you operate without that series of records?"
- You may also want to use a questionnaire to gather information.



Slide 1-42

Say: We mentioned earlier that you may need to interview stakeholders to help determine your business functions, but now we want to talk about how stakeholder interviews can help you decide which records are essential.

Emphasize the importance of asking specific and pointed questions.

Explain that it may be helpful to use a questionnaire to gather essential functions and essential records information.

NOTE TO INSTRUCTOR:

- **Point out** the kinds of specific questions used to gather essential functions and essential records information by going directly to **Handout 1.5** and highlighting the types of questions there.

In most cases, you won't know the answers to all the questions that have to be asked to identify essential functions, so you will need to interview key stakeholders, including staff members, to find your answers.

When conducting your interviews, it's important to ask specific and pointed questions to get at essential record information. Open-ended questions may not get you the answers you need.



For example, instead of asking, “Can you operate without that series of records?” ask, “What if you didn’t have access to that series of records for 24 hours? What would the impact be on other agencies? On the public?”

You may want to review with the stakeholders the five categories of essential records described in **Handout 1.1—Essential Records**. This will help determine what needs to be up and running or readily available in the event of an emergency.

You may also want to use a questionnaire to help gather information. Refer to **Handout 1.5—Essential Records Questionnaire** for a sample questionnaire to identify essential functions and records.



Open a document from the “Course Handouts and References” WebSync file in iLinc.

- Document name: **Handout 1.5—Essential Records Questionnaire**
- **Tell** participants to go to **Handout 1.5—Essential Records Questionnaire**, for a sample questionnaire for identifying essential functions and records.
- **Review** the handout.
 - **Point out** Part I and Part II; explain that Part I is used to capture interview data and Part II to capture essential records data.
 - **Point out** examples where the wording used in the questions is specific and pointed.



- **Ask** participants to think back to the stakeholders identified in Lesson 1. Who should be interviewed using this questionnaire?

When done, **close** the document for everybody by selecting “Close All” when prompted.



Ask: Before wrapping up this session, are there any questions about what we’ve covered?

Resolve any outstanding questions.



Transition: Let’s review what we covered in this session; then we’ll do an activity to apply what we’ve learned. And to complete the session, we’ll go over your Take-Home Activity.



Session 1 Review and Wrap-Up



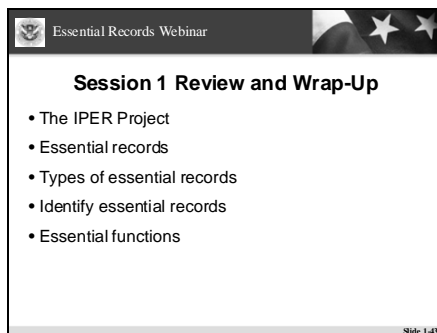
PG 1-49

(Duration: 5 minutes)

Session Review

START TIME: _____

Show slide 1-43.



Review the key points covered in this session.

NOTE TO INSTRUCTORS:

- The Session Review can be conducted as a question and answer (Q&A) session or as an Instructor presentation. Instructions appear below for each approach.

Q&A instructions:

If time allows, *facilitate* the review by turning some or all of the bullet points into questions.



- For example:
 - **Ask:** Who can tell me the five types of essential records? Answer via the Chat tool, using the “Public” tab.



Open a prepared Powerboard in iLinc:

- **PB 1.2**—Session 1 Review
- **Review** the key points covered in this session, as provided on the Powerboard.
- **Turn** the bullet points into questions, as appropriate.
- As participants answer the questions, **type** the correct answers on the Powerboard, under the appropriate bullet.
- **Use** the notes from the Instructor presentation section (below) to help formulate your questions and for the correct answers.

When you are finished with the review, **close** the Powerboard for everybody by selecting “Close All” when prompted.

- **Do not save** the Powerboard.

Instructor presentation review instructions:

Review the key points covered in this session, as provided on the slide.



Elaborate on the bullet points as follows.

- NOTE: For each bullet point, you may opt to redisplay the relevant slide to help reinforce retention. Slide references are provided.
- About the IPER Project
 - OPTIONAL: Redisplay slide 1-7, “IPER’s purpose”
 - **Say:** IPER is created by the Council of State Archivists (CoSA) and sponsored by the Federal Emergency Management Agency (FEMA) to provide training to state and local governments about how to secure your most essential records and recover records damaged by natural or human-caused emergencies.
- The definition of essential records
 - OPTIONAL: Redisplay slide 1-26, “What Are Essential Records”
 - **Say:** Essential records are those records that provide the agency with information it needs to conduct business under other-than-normal conditions, and to resume more normal business afterwards.
- The five types of essential records
 - OPTIONAL: Redisplay slide 1-26, “What Are Essential Records”

In Session 1, you learned:

- About the IPER Project
- The definition of essential records
- The five types of essential records



- **Say:** Which are records that:
 - Are necessary for emergency response
 - Protect the health, safety, property, and rights of residents
 - Are necessary to resume or continue operations
 - Would require massive resources to reconstruct
 - Document the history of communities and families
- Essential records are dynamic or static.
 - OPTIONAL: Redisplay slide 1-30, “Characteristics of Essential Records”
 - **Say:** Dynamic essential records contain information that can change periodically. Static records contain information that does not change over time.
- The information needed to identify essential records
 - OPTIONAL: Redisplay slide 1-31, “Which of Your Agency’s Records are Essential?”
 - **Say:** You need to know:
 - Your agency’s essential functions
 - The stakeholders
 - Your agency’s records
 - Relevant statutes, regulations, and standards
- **Say:** We took a closer look at one of these pieces of information, essential functions.
- That essential records are dynamic or static
- The information needed to identify essential records



- About essential functions and their relationship to essential records
 - OPTIONAL: Redisplay slide 1-37, “Determine Essential Functions”
 - **Say:** Essential functions enable a government to provide vital services, exercise civil authority, maintain the safety and well-being of the general population, and sustain its jurisdiction’s industrial economic base in an emergency.
 - Essential functions must be continued under all circumstances.
 - The records that support essential functions are your essential records.
- How to identify essential functions
 - OPTIONAL: Redisplay slide 1-38, “Determine Essential Functions (cont’d.)”
 - **Say:** There are three steps to identify your essential functions:
 - First: Identify and analyze your agency’s business functions.
 - Second: Determine the essential business functions.
 - Third: Determine the essential records that support those functions.
- About essential functions and their relationship to essential records
- How to identify essential functions



Ask: Are there any questions before we begin the activity?

Resolve any outstanding questions.



Transition: Let's practice what we have learned today.



PG 1-50

(Duration: 20 minutes)

START TIME: _____

Show slide 1-44.



Introduce the activity.

Facilitate the activity using the Activity Instructions on page IG 1-113.

Activity materials:

- **Handout 1.6**—The Division of Public Recreation (DPR) Overview
- **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity



Activity Setup

Activity Snapshot:

Activity Name:	Determine Essential Functions and Identify Essential Records
Activity Purpose/Goal:	Practice identifying the essential records that support essential functions.
Notes:	<p>This is a two-part activity:</p> <ul style="list-style-type: none">● Part 1 is to be completed during the webinar session. Participants are given information about a fictitious agency and asked to determine the essential records for one of the following agency essential functions:<ul style="list-style-type: none">– Deputy Administration– Information Technology– Environmental Quality Office● Part 2 is to be completed as a Take-Home Activity, outside of the webinar session. Participants are tasked with identifying one essential record from his or her office or agency for each of the five types of essential records—records that:<ul style="list-style-type: none">– Are necessary for emergency response– Protect the health, safety, property, and rights of residents– Are necessary to resume or continue operations– Would require massive resources to reconstruct– Document the history of communities and families
Prerequisite for Subsequent Activities (name and location of subsequent activities):	<ul style="list-style-type: none">● Session 2 Activity: Identify and Evaluate Risks—Part 1 on page IG 2-67 of the Instructor Guide and page PG 2-36 of the Participant Guide.
Group or Individual Activity:	<ul style="list-style-type: none">● Part 1 is an individual activity.● Part 2 is an individual activity. NOTE: Depending upon the make-up of the class, this activity can also be a group activity performed by teams from the same agency.



Time to Complete Activity:	<ul style="list-style-type: none">● Part 1 = 15 minutes total:<ul style="list-style-type: none">– 5 minutes for introduction– 5 minutes for participant work time– 5 minutes for debrief● Part 2 = 5 minutes total:<ul style="list-style-type: none">– 5 minutes for Take-Home Activity introduction
Required Materials (name and location):	<ul style="list-style-type: none">● Part 1:<ul style="list-style-type: none">– Handout 1.6—The Division of Public Recreation (DPR) Overview– Handout 1.7—Determine Essential Functions and Identify Essential Records Activity● Part 2:<ul style="list-style-type: none">– Handout 1.7—Determine Essential Functions and Identify Essential Records Activity
Activity Scenario (if applicable):	<ul style="list-style-type: none">● Part 1:<ul style="list-style-type: none">– Participants are tasked with identifying essential records for a fictitious agency.● Part 2:<ul style="list-style-type: none">– N/A
Activity Debrief:	<ul style="list-style-type: none">● Part 1:<ul style="list-style-type: none">– Group discussion● Part 2:<ul style="list-style-type: none">– Group discussion, conducted at the beginning of Session 2



Activity Instructions:

Instructions:



Tell participants to locate the materials for the activity:

- **Handout 1.6**—The Division of Public Recreation (DPR) Overview
- **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity

Tell participants to raise their hands when they've located all the documents needed for the activity.

- **Assist** any participants having trouble locating the necessary documents.

Say: The purpose of this activity is to practice identifying the essential records that support essential functions.

Tell the participants that this is a two-part activity:

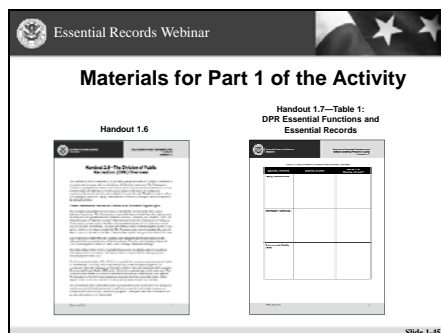
- Part 1 is to be completed during the webinar session.
- Part 2 is to be completed as a Take-Home Activity outside of the webinar session.

Begin Part 1 of the activity.

Say: In Part 1, you will review information about the Division of Public Recreation—a fictitious agency used for this training—and determine the essential records for one of the agency's essential functions.

Say: Let's take a look at the materials you'll be using for Part 1.

Show slide 1-45.



Continued on next page...



Tell participants to go to **Handout 1.6**.

- **Explain** this is where they will find the information about the Division of Public Recreation.



Tell participants to go to **Handout 1.7**.

- **Point out** the instructions for Part 1 on page 1 of the handout.
- **Point out** the DPR Essential Functions and Essential Records table (Table 1), located on page 2.
 - **Explain** that this is the table they will complete for the activity.

Say: Complete the DPR Essential Functions and Essential Records table by using the DPR information provided in **Handout 1.6** and doing the following:

- Select one of the three essential functions of the DPR Jacksonville Regional Office provided in the **Essential Functions** column
- Identify the essential records that might be created by the DPR Jacksonville Regional Office in support of the essential function and enter those records in the **Essential Records** column
- Provide the rationale for their determinations in the **Why Is It an Essential Record?** column

Say:

- **Handout 1.6** contains more information than necessary and that part of the task is to go through the information and weed out what you need.
- You may need to make some assumptions (be creative) in order to complete this part of the activity.

Tell participants to be prepared to share their answers with the class.

Tell participants they have **5 minutes** to complete the activity.

Continued on next page...



Set up the Feedback Tool in iLinc.

Select the “Assignment status” answer set.

Tell participants to select “Completed” in the Feedback area when they have completed the activity.

Tell participants that you are going to remain silent so they can concentrate on the activity, and if they need to communicate with an Instructor during the activity, to please do so via the Chat tool.

Tell participants to begin working.



Pause the iLinc recorder.

Monitor the activity:

- **Three minutes** into the activity, **send a message** to the class using the “Public” tab of the Chat tool.
 - **Ask** participants if they’re doing OK, or if anybody needs help.
 - **Tell** participants to raise their hands if they need help.
- **Provide** assistance as needed, using the “Private” tab of the Chat tool.

When **4 minutes** have passed, **advise** participants that they have **1 minute** left for the activity.

When **5 minutes** have passed, tell the participants to stop working.



Restart the iLinc recorder.

Reconvene the class.

Debrief the activity using a large-group discussion:

- **Say:** I need a volunteer to share the essential function they selected, the essential records they identified for that function, and their rationale for why they thought the records are essential.

Continued on next page...



- **Tell** participants to raise their hands to answer or to type their answers in the Chat tool, using the “Public” tab.
- **Call on** participants who have their hands raised.
 - **Remind** participants to take their phones off mute before speaking.
- **Acknowledge** any responses provided in the Chat tool.

Confirm or correct responses as appropriate.

- Correct answers are provided in bold in the Answer Sheet—DPR Essential Functions and Essential Records Activity—Part 1, located on page IG 1-120.
 - NOTE: The correct answers appear only in the IGs. The corresponding version of the table that is provided for the participants’ use does not contain the answers.
- **Explain** any correct answers that differ from the answer(s) given by the participants.



For non-presenting Instructor: **Open** a new Powerboard and **record** the correct answers on the Powerboard.

Tell participants that they are welcome to record the correct answers in the DPR Essential Functions and Essential Records table in **Handout 1.7**, but that they will also receive an email with the correct answers following the session.

Continue to debrief the activity until all the answers in the DPR Essential Functions and Essential Records Table have been addressed.

Tell participants to keep the DPR Essential Functions and Essential Records table handy, as they’ll need it in the next session (Session 2).



Ask for and **resolve** any questions.

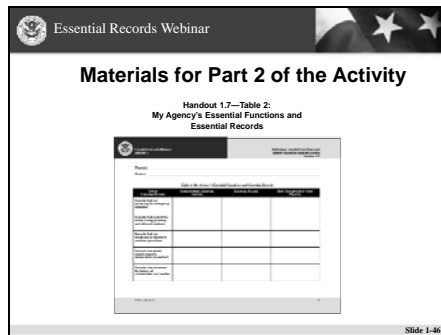
Continued on next page...



Begin Part 2 of the activity.

Say: Let's take a look at the materials you'll be using for Part 2.

Show slide 1-46.



Tell participants to remain in **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity:

- **Point out** the instructions for Part 2 on pages 3-4 of the handout.
- **Point out** the My Agency's Essential Functions and Essential Records Table (Table 2), located on page 5 of the handout.
 - **Explain** that this is the table they will complete for the activity.

Say: For the take-home portion of this activity, you will be identifying essential records, as you just did with DPR, except this time you will be doing it for your own agency. You will need to identify only five essential records, one for each of the five types of essential records—records that:

- Are necessary for emergency response
- Protect the health, safety, property, and rights of residents
- Are necessary to resume or continue operations
- Would require massive resources to reconstruct
- Document the history of communities and families

Continued on next page...



Say: Complete the My Agency's Essential Functions and Essential Records Table located on page 5 of **Handout 1.7** by doing the following:

- For each essential record type, determine a corresponding essential function performed by your agency or department and record that function in the **Corresponding Essential Functions** column.
- Identify an essential record that is created by your agency in support of the essential function and enter that record in the **Essential Records** column.
- In the **Brief Description of Your Process** column, provide a brief explanation of the process you used to determine the essential functions and identify the essential records.

Tell participants that in the event that there is NO essential record for one of the five types, they should leave blank the **Essential Records** block for that type, but in the corresponding **Brief Description of Your Process** block they should describe the process they used to determine that there was no essential record.

Explain that participants may use whatever process they like to determine essential functions and identify essential records, including:

- Reviewing mission and departmental statements (or similar information) for their agency and/or department
- Determining the requirements of their COOP Plan
- Reviewing existing records retention schedules
- Interviewing key staff members
- Consulting IT's BIA or Contingency Plan

Tell participants that if they are taking this course with other folks from their agency, they can opt to work together and do this activity as a team.

Say: As part of your course materials, the My Agency's Essential Functions and Essential Records Table is provided as a Word document so you can complete it electronically and submit it via email.

NOTE TO INSTRUCTORS:

- **Determine** ahead of time to whom the participants should send their homework: Instructor 1 or Instructor 2.

Continued on next page...



Tell the participants to complete the assignment and email their completed sheets to <name of Instructor who will receive the completed homework> no later than one day before the next webinar session (Session 2).

- **Type** the name and email address of the Instructor to receive the homework in the Chat tool, using the “Public” tab.

Remind participants that they must complete all homework assignments in order to receive their Certificates of Completion.

Tell the participants to be prepared to share their answers with the class at the beginning of the Session 2.

Tell the participants to keep **Handouts 1.6** and **1.7** handy, as they’ll need them in Session 2.



Ask for and **resolve** any questions.

End the activity.



Answer Sheet—Determine Essential Functions and Identify Essential Records Activity—Part 1

Table 2: DPR Essential Functions and Essential Records

ESSENTIAL FUNCTIONS	ESSENTIAL RECORDS	WHY IS IT AN ESSENTIAL RECORD?
Deputy Administration	Delegation of Authority Orders of Successions	Rationale for both records: <ul style="list-style-type: none"> • Are necessary for emergency response • Are necessary to resume or continue operations
Information Technology	System backup tapes System documentation and manuals	Rationale for both records: <ul style="list-style-type: none"> • May protect the health, safety, property, and rights of residents • Are necessary to resume or continue operations • Would require massive resources to reconstruct • May document the history of communities and families
Environmental Quality Office	Location of hazardous chemicals Lab results of water samples Unique Environmental Impact Studies (EIS)	Rationale for all three records: <ul style="list-style-type: none"> • May be necessary for emergency response • Protect the health, safety, property, and rights of residents • May be necessary to resume or continue operations • Would require massive resources to reconstruct • Document the history of communities and families



Show slide 1-47.



Remind participants that they can access course materials, as well as contact Instructors and IPER staff, through their own Participant Dashboard on the IPER Resource Center.

NOTE TO INSTRUCTOR:

- If you *are* opting to run a state-based discussion forum, then introduce the forum using the Instructor notes that follow.
- If you *are not* opting to run a forum, then skip the following instructions and go directly to the “Conclude Session 1” Instructor note.

Say: I'd like to take you to the IPER Resource Center one last time today and show you a final feature: the discussion forum.



Launch web page in iLinc:

- Web page: IPER Resource Center
 - URL:
<http://www.statearchivists.org/resource-center>
- **Access** your state's discussion forum in the IPER Resource Center.
- **Explain** to the participants that they can use the discussion forum to maintain interaction with their Instructors and classmates even after they've completed the course.
- **Type** the URL for the discussion forum in the Chat tool, using the "Public" tab.

Conclude Session 1:

Say: This concludes session 1 of the *Essential Records Webinar*.

Say: Next week, in Session 2, we'll talk about how to identify and analyze hazards and risks to essential information. We'll meet on <date of Session 2> at <time of Session 2>.



Ask for and **resolve** any outstanding questions.



Say: Please don't hesitate to contact us, should you have any questions about the content we covered today or about the Take-Home Activity. Our names and contact information are provided in the Chat tool.

- **Type** your names and contact information in the Chat tool using the "Public" tab.

Say: We're always looking to improve the course and your experience, so we'd like to get any feedback you may have on the course thus far. You will have the opportunity at the end of the course (after Session 4) to do a comprehensive evaluation, but if you see anything that we can improve now, please send us an email and let us know.



Stop the iLinc recorder.



End the webinar session.

- **Remember** to dismiss all the participants in iLinc.

NOTE TO INSTRUCTORS:

Immediately after the conclusion of Session 1, **do the following:**

- **Email** the answer sheet to Part 1 of the Determine Essential Functions and Identify Essential Records activity to the participants.

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