



**ARIZONA MUNICIPAL CLERKS' ASSOCIATION  
RECORDS MANAGEMENT COMMITTEE MEETING**

**Thursday, January 25, 2024  
9:00 a.m.  
Microsoft Teams**

**Committee Members:**

- Terri Roth – Board Liaison
- TBD, AZ LAPR Liaison
- Ben Lane – Chair
- Victoria Roedig, Co-Chair
- Debbie Altman
- Kristen Benavidez
- Charity Brooks
- Sara Burchill
- Liz Camacho
- Ruby Cervantes
- Shannon Davis
- Karen Doncovio
- Christy Estavillo
- Trina Gaston
- Maria Gonzalez
- Sehreh Goodman
- Patti Hageman
- Wendy Henson
- Andy Juarez
- Patricia Leyva
- Tami Mayes
- Ian Newcomb
- Leah Rhodes
- Kristi Salskov
- Sharla Sanders
- Cara Smothers
- Jennifer Wiita

1. Call to Order (minute taker: Tami Mayes)
2. Roll Call
3. Old Business
  - a. Discussion and possible approval of November 2, 2023 meeting minutes (attached)
  - b. Review minute taker list (attached)

4. New Business
  - a. Committee Goals for this Year
    - i. Essential Records Best Practices Guide
      - Committee discussion on draft guide (attached)
    - ii. AMCA Retention Schedule Review
      - For future meeting
    - iii. Committee Succession Plan
      - For future meeting
  - b. Topics to discuss at future meetings
    - i. Discussion with State Library related to State Retention Schedule Format (all committee members)
    - ii. Software that does not allow for extraction and purging of records (Andy Juarez)
    - iii. Handling of Historic Data for Dashboards when underlying records are purged due to retention period being met (Patti Hageman)
5. Good of the Order/Reports from Committee Members
  - a. Terri Roth – Executive Board meeting update
  - b. Roundtable
6. Next Meeting Date: Thursday, February 22, 2024 at 9:00 a.m.; Microsoft Teams  
Minute Taker: Ian Newcomb
7. Adjournment

*Ben Lane*  
*Records Management Committee Chair*



**ARIZONA MUNICIPAL CLERKS' ASSOCIATION  
RECORDS COMMITTEE MEETING MINUTES  
November 2, 2023**

**1. Call to Order**

Meeting was called to order by Chair Ben Lane at 8:32 a.m.

**2. Roll Call**

The following Records Management Committee (RMC) members attended via Microsoft Teams:

Terri Roth – Litchfield Park, Board Liaison; Ben Lane, Chair – Scottsdale; Victoria Roedig, Co-Chair – Chandler; Debbie Altman – Peoria; Kristen Benavidez – Goodyear; Charity Brooks – Clarkdale; Sara Burchill - Chino Valley; Liz Camacho – Buckeye; Sehreh Goodman – Prescott Valley; Patti Hageman – Gilbert; Karen Doncovio – Tempe; Trina Gaston - Eloy ; Andy Juarez – Maricopa; Sharla Sanders – Surprise; Patricia Leyva - Wilcox; Tami Mayes - Cottonwood; Kristi Salskov – Pinetop Lakeside; Cara Smothers – Yuma; Shannon Davis – Lake Havasu; Ian Newcomb – Florence.

Absent:

Ruby Cervantes – Superior; Maria Gonzalez – Queen Creek; Leah Rhodes - Sahuarita; and Jennifer Wiita – Prescott.

Chair Ben Lane asked the Records Management Committee Members to introduce themselves.

The members introduced themselves along with their municipality, position, and their favorite hobby.

**3. Old Business**

None.

**4. New Business**

**a. Purpose and Duties**

Chair Lane reviewed the Committee Roles and Responsibilities document from the AMCA Handbook. Chair and Co-Chair responsibilities have been combined, so Chair Lane and Co-Chair Victoria Roedig would be working on those items. An objective of the Records

Management Committee is to work with Arizona State Library, Archives, and Public Records (AZ LAPR) and Chair Lane stated that he was working on getting a designated Liaison. Chair Lane stated that this year a focus would be essential records since the listing is due to the State Library by December 2024 for municipalities and another focus would be updating the AMCA's retention schedules. Chair Lane asked if there were any questions.

There were no questions.

#### **b. Attendance and Participation Expectations**

Chair Lane asked the members to let himself and the Co-Chair know if a member knows they would be unable to attend a meeting. The Executive Board is looking into quorum requirements and the Records Management Committee has many members. Chair Lane requested if members have availability to research or work on items together, it helps better allocate responsibilities. Chair Lane asked if there were any questions.

There were no questions.

#### **c. Proposed Meeting Schedule**

Chair Lane said that meeting invites would be sent out. Last year, the Committee worked in a Microsoft Teams environment, and it helped members collaborate on documents, review meeting recordings, and have access to a chat. Chair Lane asked members to let him know if they had any issues accessing the Teams environment.

Karen Doncovio asked how to switch to the City of Scottsdale Teams environment.

Co-Chair Victoria Roedig said since members were added to the City of Scottsdale network there is a button where members can access the organization and toggle back and forth between the different Teams environments.

Karen Doncovio asked which button it was.

Co-Chair Roedig stated she would provide screenshots.

Chair Lane requested the screenshots be sent to all members and if there are any technical issues to let him know.

Chair Lane said that the next meeting was during the Thanksgiving holiday and asked if November 30 would work better for the group.

The members agreed to move the meeting to November 30.

Chair Lane asked if members were available for a meeting on December 28.

Various members stated that they would be out of the office.

Chair Lane said the December meeting would be cancelled and would reconvene in January on the fourth Thursday of the month. Chair Lane said there would not be a meeting in July due to the AMCA Summer Conference.

#### **d. Minute Taking**

Chair Lane shared the Minute Taker Schedule and explained minute takers would be assigned for each meeting. If there is a conflict, Chair Lane asked members to switch with someone else and then let Chair Lane and Co-Chair Roedig know of the change. Chair Lane asked if there was a volunteer for November 30.

Tami Mayes volunteered.

Chair Lane thanked Ms. Mayes for volunteering. Chair Lane explained Co-Chair was taking the minutes for this meeting and her minutes would serve as a good template for future meeting minutes. Additionally, the meeting recordings would be on the Teams site as another resource. Chair Lane stated he also keeps track of the Committee's goals.

### **5. Proposed Committee Goals for this Year**

#### **a. Essential Records Best Practices Document**

Chair Lane said Essential Records are records that are needed within the first three days of an emergency. Every five years a listing is due to AZ LAPR and the next one is due in December 2024. Chair Lane stated he would like to put together a best practice document. Chair Lane shared a story where he completed an essential records list without any prior history. It would have been helpful to have a document to refer to and would like to create this for AMCA. Chair Lane asked if the Committee approved of having this as a goal.

The Committee agreed.

#### **b. AMCA Retention Schedule Review**

Chair Lane said he would like to review the AMCA Retention Schedules and update it to reflect records AMCA keeps and see how it aligns with AZ LAPR. Chair Lane asked if the Committee agreed with this project.

The Committee agreed.

#### **c. Committee Succession Plan**

Chair Lane stated he would be working on a succession plan with Co-Chair Roedig so future transitions between chairs works smoothly. This would be shared with the Committee once completed.

#### **d. Other Goals?**

Chair Lane asked if the members had any other projects they would like to work on.

There were none.

### **6. Topics to Discuss at Future Meetings**

Chair Lane said at the November 30 meeting, the Committee would discuss Essential Records.

Ms. Mayes asked if there were documents that members would like to share if they should do it through the Teams platform.

Chair Lane said yes and that a folder would be created for members to review them. Chair Lane asked if any Members had feedback they would like to share.

Andy Juarez said that AZ LAPR has done away with the individualized retention schedules, and it is one single fully searchable document which makes it frustrating to find certain items. Mr. Juarez said there was also a change to the Imaging Requests and approval was no longer needed for records with a retention less than 10 years. Mr. Juarez said in Maricopa they are starting to come across software that do not allow extraction and purging of records. Mr. Juarez said he would like to discuss this with the Committee and with AZ LAPR as a future topic.

Sara Burchill agreed that the new retention schedule layout was frustrating.

Sehreh Goodman said she also noticed the change and the effective dates on some do not match the previous ones.

Patti Hageman said she had the same reaction and agreed the new format is difficult. Ms. Hageman also asked how members are handling historic data for dashboards when the records are being deleted or their retention has been met.

Co-Chair Roedig said when she accessed the retention schedules from her phone there was a portal to see individual retention schedules. Co-Chair Roedig said AZ LAPR may still be updating their website.

Sara Burchill stated the revision numbers were also gone.

Andy Juarez said he did speak with AZ LAPR but was concerned how accurate the website was since there were various links.

Co-Chair Roedig said the new portal routes to an external site using Zasio which is different than before.

Sehreh Goodman asked if this was the same area as the custom schedules.

Co-Chair Roedig described how she accessed the new portal.

Sehreh Goodman said she would often review what the last revised date was, but now that has gone away which makes it difficult to know if something was updated.

Karen Doncovio asked for more information how to use the new portal.

Patti Hageman shared the AZ LAPR screen to show the new portal and the new searchable PDF.

The members discussed the changes on the website.

Chair Lane said he recently reviewed the retention schedules, and as best he can tell, it does not look like the schedules changed, only the format.

Andy Juarez said one of his best practices is to print the retention schedules for the departments and the new format makes it challenging.

Chair Lane said he would add to a future meeting about computer systems that do not allow for destruction and historical data used for dashboards.

Patti Hageman asked if AZ LAPR would be able to talk to the Committee about the changes. Chair Lane said AZ LAPR has had some staffing changes but would reach out again to get a Committee Liaison.

## **5. Good of the Order/Reports from Committee Members**

### **a. Terri Roth – Executive Board meeting update**

Executive Board Liaison Terri Roth said the Executive Board was going to review quorum requirements for Committees and Subcommittees.

Executive Board Liaison Roth said the budget was also being reviewed for education and sponsorship such as IIMC and the Women’s League. A \$2500 sponsorship was awarded for the conference in October.

### **b. Roundtable**

Chair Lane said he adds a roundtable discussion to discuss records issues or something not on the agenda to share with the group. Chair Lane asked if there were any more items members would like to share.

Executive Board Liaison Terri Roth said she looked forward to the work the Committee would do this year.

Chair Lane thanked Executive Board Liaison Roth and stated he looked forward to working with Co-Chair Roedig this year and with the Executive Board. Chair Lane thanked everyone for their interest in the group.

## **7. Next Meeting Date:**

Thursday, November 30, 2023, at 9:00 a.m. via Microsoft Teams

Minute Taker: Tami Mayes

## **8. Adjournment**

Sara Burchill moved to adjourn the meeting; seconded by Cara Smothers.  
Motion carried unanimously.

The meeting adjourned at 9:42 a.m.

Minute Taker – Victoria Roedig, City of Chandler

**AMCA Records Management Committee**  
**Meeting and Minute Taker\* Schedule**  
**2023-24**

**Updated January 24, 2024**

<b>Meeting Date</b>	<b>Time</b>	<b>Minute Taker</b>	<b>Meeting Held?</b>
Thursday, Nov. 2, 2023	8:30 a.m.	Victoria Roedig	Yes
Thursday, Dec. 28, 2023**	9:00 a.m.	Not Applicable	No
Thursday, Jan. 25, 2024	9:00 a.m.	Tami Mayes	
Thursday, Feb. 22nd, 2024	9:00 a.m.	Ian Newcomb	
Thursday, March 28th, 2024	9:00 a.m.	Kristi Salskov	
Thursday, April 25th, 2024	9:00 a.m.	Liz Camacho	
Thursday, May 23rd, 2024	9:00 a.m.	Leah Rhodes	
Thursday, June 27th, 2024	9:00 a.m.	Trina Gaston	

\* Per the AMCA Handbook Records Management Committee Duties:

The Chair or Co-Chair shall assign a rotating list of members of the committee to take minutes of the meetings.

\*\* Meeting cancelled



A photograph of a desert landscape featuring several tall saguaro cacti in the foreground and middle ground. The background shows a rocky hillside with sparse green vegetation under a clear blue sky with light clouds.

# Essential Records

## City Clerk Best Practices

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Prepared By:  
2023-2024 Records Management Committee



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# What are Essential Records?

Essential Records are records, regardless of format or archival value, necessary for the continuity and/or resumption of daily functions and operations of government during and after an emergency. These records are what the organization needs within the first 72 hours of an emergency. Essential records are not necessarily permanent records.

## Defining Essential Records

**Code of Federal Regulations Title 36 Chapter XII Subchapter B Part 1223.2**

Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).

### **Federal Emergency Management Administration**

Information systems and applications, electronic and hardcopy documents, references, and records needed to support essential functions during a continuity event (FEMA,2018).

### **Arizona Revised Statutes [41-151\(12\)\(4\)](#)**

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

(b) Records containing information necessary to protect the rights and interests of persons or to establish and affirm the powers and duties of governments in the resumption of operations after a disaster.

Some records management resources may refer to Essential Records as Vital Records. However, the term Vital Records in state and local government is more commonly used to refer to records such as birth and death certificates. It is recommended to use the term Essential Records to ensure standardized language when referring to records needed for emergency response and recovery.

# Why are Essential Records Important?

A local municipality is often the first responder for emergencies within their jurisdiction. By identifying and safeguarding essential records, emergency responses are more efficient, and the disruption of service is minimized. The organization must rapidly restore services, regardless of the scope or type of event, to reduce economic and legal impacts. While it may take additional time to identify and protect these records, having them available during an emergency is critical for a successful outcome.

## Continuity of Operations Plan

A Continuity of Operations Plan (COOP) is a document that “establishes policy and guidance to ensure the execution of the essential functions for departments in the event that an emergency threatens or incapacitates operations; and the relocation of selected personnel and functions of any essential facilities of department are required” (Maricopa County).

According to the Arizona Department of Emergency and Military Affairs, “The identification, protection, prioritization for recovery, and availability of essential records (e.g., databases, applications, and hard copy documents) needed to support essential functions, are critical elements of a successful COOP plan” (DEMA, 2018).

An Essential Records Listing is an important component of the COOP and care should be taken to ensure the listing is up to date and the records are safeguarded.



# Types of Emergencies

An emergency is defined as, “an unforeseen combination of circumstances or the resulting state that calls for immediate action” (Merriam-Webster, 2023). In government, the term emergency or disaster could have other legal definitions for receiving additional funding or aid. Essential Records may be needed for any type of emergency which could be localized to a certain building such as a major leak or have a much larger scope and impact an entire municipality or region. There are many kinds of emergencies, each requiring a different type of response, so an Essential Records Listing must be comprehensive enough to consider a wide range of possibilities based upon the organization’s risk tolerance.



## Natural

- Flood
- Tornado
- Earthquake
- Wildfire



## Man-Made

- Workplace Violence
- Transportation Impacts
- Terrorist Attacks
- Hazardous Materials



## Electronic

- Data Loss
- Power Failure
- Cyber Attacks (Data Breach, Ransomware)
- Software or Hardware Failure

## Risk Analysis

To determine which threats should be focused on when creating an Essential Records Listing, a risk analysis should be completed. A risk analysis is the “identification of potential risks, assessment of the likelihood of specific incidents occurring, and analysis of the relative effect of each of these incidents on the institution” (NEDCC, 2017). During this process there may be risk mitigation measures taken to reduce the level of risk to the organization.

# Roles and Responsibilities

## What is the Role of the State Library?

The Arizona State Library, Archives, and Public Records (LAPR) is required to establish criteria for designating essential records within the following general categories defined in [ARS 41-151\(12\)\(4\)](#). LAPR maintains all Essential Records Listings submitted by state and local agencies and protects the listings from disclosure. In addition, LAPR may also store backup copies for various state and local agencies and assist in their reproduction as necessary. The LAPR Director is responsible for setting standards and procedures for records management and offers training and guidance to help state and local agencies adhere to those standards.

## What is the Role of the Clerk/Records Officer?

[ARS 41-151.14\(A\)\(4\)](#) specifies that the head of each state and local agency must establish, maintain, and submit lists of all essential records in the custody of the agency to the Arizona State Library, Archives & Public Records Director every five years. Although state statute requires the agency to submit every five years, it is recommended that the list be reviewed at least annually for any changes that may have occurred. The Clerk may work with a variety of stakeholders such as Information Technology, Law, and Emergency Management to integrate the Essential Records Listing where necessary.

## What is the Role of the Records Liaisons/Coordinators?

Regardless of the size of the organization, it is nearly impossible for the Clerk or Records Officer to know the details of every function of every department. The utilization of Records Liaisons or Records Coordinators can help provide subject matter expertise and add additional layers of support for records management functions. The Records Liaisons should assist the Clerk with gathering information to determine the Essential Records for their area and create a plan to safeguard and maintain the identified records.

# Identifying Essential Records

Essential Records are really a small portion of the organization's records and are only those that are used to support essential functions for your government, your residents, and other government entities or agencies.

## **Step One – Determine Essential Functions**

Essential Functions “are those functions that need to be continuous or resumed within 12 hours after an event and maintained for up to 30 days or until normal operations can be resumed” (Department of Homeland Security, 2022). The Essential Functions are likely different for each department based on their role within the organization and what other departments or residents may be relying on them for services or information.

## **Step Two – Review the Records Inventory**

Review the Records Inventory to see each department's records. The Records Inventory should identify, at minimum, the records series, retention period, and the locations the records are stored. It is recommended that the Records Inventory be compared against LAPR retention schedules to ensure that no updates have been made.

## **Step Three – Identify Essential Records**

Essential Records are the records listed on the Records Inventory that support the department's Essential Functions. The records that are identified as Essential Records should meet one of the following Essential Designations to be considered essential:

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

# Priority Access

In an emergency, records should be recovered based on their necessity to the emergency response. Each Essential Record identified should be given a Priority Access timeframe. This helps ensure resources are working to recover the records that are most critical first.

## Category I

Essential Records that are necessary for an emergency response or to continue operations (Essential Designation 1 and 2) should be recovered within the first 1-12 hours of an emergency.

Examples: Staff contact lists, emergency response plans, disaster recovery plans, enterprise architecture records, and current facility drawings.

## Category II

Records that protect financial status and legal rights for the organization and residents or would require massive amounts of resources to reconstruct (Essential Designation 3 and 4) should be recovered within the first 12-72 hours.

Examples: Payroll, Accounts Payable/Receivable, Active Contracts, Agreements, and Leases, Ownership Records, City Code, and City Charter.

## Category III

Records that provide a history of the community (Essential Designation 5) should be recovered after the first 72 hours.

Examples: Historic items, archival collections, and minutes.





# Storage and Recovery

It is important to be prepared for any type of emergency. Safeguarding essential records in a variety of ways can make retrieval more effective and efficient.

## Create Duplicates

Duplicates may be created as part of routine business processes for many records series. Essential Records, especially with Essential Designation 1 and 2, are recommended to have both physical and electronic copies in addition to the original. The locations of all copies should be specific to ensure staff members will be able to find and access them.

Electronic copies are valuable as they can be accessed quickly and are more likely to be updated in real time. Electronic copies may be kept in a variety of computer systems both on servers owned by a municipality or in vendor cloud applications.

Physical copies are important if computer systems are impacted or if there is a disruption in power or communication infrastructure. Physical records could be paper or microforms. These records should be uniquely stored to indicate that they are Essential Records. Some records may be kept in a vault or fireproof filing system; however, these storage containers may not protect against water damage. Access requirements should be documented to ensure that first responders and staff are able to locate and get access of the records.

## Dispersed Locations

The scope of an emergency may be large enough to affect the entire municipality or region. Having all backup copies in the same building or area is not sufficient to safeguard Essential Records. It is recommended that organizations consider dispersing copies across locations to ensure that at least one copy of the record will be accessible regardless of the scope of the emergency. Security standards should be in place for all copies so that any personal identifying information or other confidential information is kept safe from disclosure.

Some records are static and do not change at all while others are dynamic and change frequently during business. All copies, in all formats and locations, should be regularly updated to make sure accurate information is available during and after an emergency. These update cycles should become a routine part of business and outlined in an Essential Record Maintenance Plan.

# Submit the Essential Records Listing

Once all Essential Records have been identified, the City Clerk/Records Officer must complete the [Essential Records Listing Form](#).

ARCHIVES AND RECORDS MANAGEMENT		ESSENTIAL RECORDS LISTING														Page	of	
Pursuant to ARS §41-151.14 (5), The head of each state and local agency shall: Once every five years submit to the director lists of all essential public records in the custody of																		
Public Body Title														Date:				
Name (type or print):				Title: Records Officer or Designee (type or print):						E-mail				Phone :				
* REQUIRED INFORMATION *						* OPTIONAL INFORMATION *												
Record Series Title/Records Description	Schedule # or Date	Item #	E.D 1-5	Priority Access (in hours)				Media				Document type	Location	Quantity	Update Cycle	Salvage Instructions	Backup Information	
				1-12	12-32	Other 72	Paper	Electronic	Microfilm	Other	Original						Copy	On Site

The Essential Records Listing must be submitted to the LAPR by December 2024 by mail or emailed to [records@azsos.libanswers.com](mailto:records@azsos.libanswers.com).

The completed Essential Records Listing should be added as part of the organization’s COOP and saved in a way that will be accessible to multiple staff. The Essential Records Listing should be updated anytime there are additions or deletions from a retention schedule, the storage location has moved, or the Essential Designation changes. This review should be done annually.

# Additional Resources

[Arizona Geological Survey Center for Natural Hazards](#)

[Arizona Revised Statutes](#)

[Arizona State Library, Archives and Public Records -Essential Records](#)

[Department of Homeland Security Campus Resilience Program Resource Library](#)

[Maricopa County Threats and Hazards](#)

[National Archives and Records Administration - Essential Records Guide](#)

[Northeast Document Conservation Center - Emergency Planning](#)

# References

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