Plan, Prepare, Protect, Respond: Records Emergency Planning

Essential Records

Section 2: Identify Risks to Essential Records
This program is part of the INTERGOVERNMENTAL PREPAREDNESS FOR ESSENTIAL RECORDS (IPER) program developed by the COUNCIL OF STATE ARCHIVISTS (CoSA) in cooperation with the NATIONAL ARCHIVES & RECORDS ADMINISTRATION (NARA) and sponsored by the FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA).
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• IPER’s purpose:
  
  – Training state, territorial, tribal, and local governments

  – Giving you the knowledge and skills needed to secure your most essential records and recover records damaged by natural or human-caused emergencies

Photo courtesy of NARA
IPER supports a fundamental component of Continuity of Operations (COOP):
- Ensuring that state and local governments can access and use records needed to restore essential services
This is a shortened version of the IPER Essential Records course

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

- http://rc.statearchivists.org/

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

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

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

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

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

2. Records Emergency Planning and Response
   - Preparing a Records Emergency Action Plan
   - Records Emergency Response and Recovery
Review from First Section

Defined “Essential Records” as those that:

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

Essential records differ by agency. Know:

– Your essential functions
– Your stakeholders
– Your specific records
– Relevant laws and standards
Identify Risks to Essential Records
Risk Management Key Terms

• Hazard creates...
• Risk
• Risk management
• Risk assessment
• Risk analysis

Flood in Oneonta, NY
Photo courtesy of Mario R. Arevalo, Oneonta (NY) City Assessor
Risk Assessment—Identify Risks

Categories of risks:
- Risks from loss of agency memory
- Risks related to emergencies
- Risks related to records management

Photo courtesy of NARA
Risk Assessment—Identify Risks (cont’d.)

• Risks related to emergencies
  – Natural emergencies
  – Technological emergencies
  – Civil emergencies

Photo courtesy of NARA
Risk Assessment—Identify Risks (cont’d.)

• Risks to records…
  – Security
  – Technology
  – Long-term preservation of records

• Cause risks to your agency
  – Legal
  – Business
  – Accountability

Photo courtesy of NARA
Risk Assessment Factors

• Existing risks to records
• Physical location of the essential records
• Security and controls already in place
• Vulnerable areas
• Timing
Risk Assessment Techniques

• Physical site survey
• Expert interviews
• Brainstorming
Activity – Brainstorm Some Risks

• Write down 2-3 real risks to essential records in your organization

• We’ll use some examples as we look at how risk assessments work
# Activity – Create a Risk Matrix

<table>
<thead>
<tr>
<th><strong>Essential Record</strong></th>
<th><strong>Potential Risk</strong></th>
<th><strong>Source of Risk</strong></th>
<th><strong>Location of Impact</strong></th>
<th><strong>Potential Effects on Essential Record</strong></th>
<th><strong>Existing Control Measures</strong></th>
<th><strong>How Likely is an Incident? (Probability Rating)</strong></th>
<th><strong>Severity of Effects (Impact Rating)</strong></th>
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Risk Analysis—Evaluate Risks

• Establish a rating system:
  – Probability rating
  – Impact rating

• Rate your risks.

• Evaluate your findings.
Activity: Rate Your Risks

• Use the Risk Analysis Worksheet to rate your risks according to:
  
  – Probability: How likely is the event to occur?
  
  – Impact: What is the impact to the records if the event occurs?
### Activity: Rate Your Risks

<table>
<thead>
<tr>
<th>Impact of Risk</th>
<th>Low</th>
<th>Medium</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low</td>
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<td>Medium</td>
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<td>High</td>
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<table>
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<th>Probability of Risk</th>
<th>Low</th>
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</table>
Evaluate Your Findings

• Determine your threshold for action

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<th>Impact of Risk</th>
<th>Low</th>
<th>Medium</th>
<th>High</th>
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</thead>
<tbody>
<tr>
<td>Low</td>
<td>Minor/marginal impact; some loss</td>
<td>Minor/marginal impact; some loss</td>
<td>Minor/marginal impact; some loss</td>
</tr>
<tr>
<td></td>
<td>The event has little chance of occurring.</td>
<td>Similar events have occurred in the past.</td>
<td>The event is expected to occur.</td>
</tr>
<tr>
<td>Medium</td>
<td>Serious/critical impact; significant loss</td>
<td>Serious/critical impact; significant loss</td>
<td>Serious/critical impact; significant loss</td>
</tr>
<tr>
<td></td>
<td>The event has little chance of occurring.</td>
<td>Similar events have occurred in the past.</td>
<td>The event is expected to occur.</td>
</tr>
<tr>
<td>High</td>
<td>Catastrophic impact; devastating loss</td>
<td>Catastrophic impact; devastating loss</td>
<td>Catastrophic impact; devastating loss</td>
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<tr>
<td></td>
<td>The event has little chance of occurring.</td>
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Risk Analysis Rating System

Impact of Risk = Action

Probability of Risk

= No action
Managing the Risk: Prioritizing Actions

• To prioritize your actions, rank the risks that require action.

• When prioritizing, consider:
  – Cost to reconstruct the data
  – Cost of defending against legal actions associated with loss
Document the Risks

• Document the results of your risk assessment, risk analysis, and prioritizing.

• Prepare a strategy to communicate your findings to your agency so it can address the risks as:
  – Part of the COOP planning
  – Part of the essential records program planning
  – Part of emergency planning
  – Part of records management and information technology planning
Handling Risks

Photo courtesy of Tina Seetoo, Georgia Archives
Resources

- IPER Resource Center: http://rc.statearchivists.org/default.aspx
- MNWALK -- identifies the general requirements for the contents of emergency operation plans: https://dps.mn.gov/divisions/hsem/all-hazards-planning/Pages/mnwalk.aspx
- Minnesota Government Records and Information Network (MN-GRIN): http://sites.google.com/site/mngrin/
- Minnesota State Archives: http://www.mnhs.org/preserve(records/index.htm

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Thank You!