Plan, Prepare, Protect, Respond: Records Emergency Planning

Essential Records

Section 3: Protect and Ensure Access to Essential Records

Association of Minnesota Counties - April 2014
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

Photo courtesy of NARA
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

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
Review from Second Section

Hazards Create Risks

Risks may be related to Natural, Technological or Civil emergencies

Risks to records cause risks to your agency

Risk analysis and rating worksheets can help you map out your risks in terms of:

- Probability
- Impact

Risk documentation should be included in your COOP plan
Protect and Ensure Access to Essential Records
Strategies for Handling Risk

- Acceptance
- Mitigation

Photo courtesy of Tina Seetoo, Georgia Archives
Preparedness and Mitigation Measures

• Dispersal
• On-site protection
• Evacuation
• Tape backup
• Data replication
• Mirroring
Duplication of the Original Records

Duplication formats:

- Microform
- Digital formats
- Backup tapes
- Paper
Storage of Essential Records

• On-site storage options:
  – Vaults
  – Secure central file rooms
  – Fire-resistant containers

• Off-site storage options:
  – Another office
  – State Archives or records center
  – Commercial storage facility
  – “Hot” and “cold” sites

Photo courtesy of NARA
Evaluate Protective Measures

- Consider formats
- Consider cost
Make Essential Records Available

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

Photo courtesy of NARA
• Agencies must be prepared to access their essential records.
  – Retrieval procedures should require only routine effort.
  – All equipment needed to read essential records must be available.
Prioritize Access to Essential Records

Based on the type of essential record:

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

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

- **Priority 3:** After first 72 hours
  - Documents the history of communities and families
Priority Levels and Timeframes for Accessing Essential Records

• Priority 1—First 12 hours
  – Needed immediately, to respond to the incident

• Priority 2—First 12–72 hours
  – Needed to manage the incident and resume operations

• Priority 3—After first 72 hours
  – Needed to continue essential functions and for long-term recovery
Access Records in Storage

• Priority 1
  – Store in close proximity and have 24-hour availability

• Priorities 2 and 3
  – Store in facilities farther away, with less need for quick access

Photo courtesy of NARA
“Grab and Go” Kits

• Certain agency officials will be on call immediately following the emergency.
  – They should have “Grab and Go” kits that contain specific essential records.

• Develop procedures to keep “Grab and Go” kits up-to-date.
Essential Records and COOP Plans

• Essential records should be part of the COOP Plan.
## Essential Records Template

A method for including essential records information in your agency’s COOP Plan

<table>
<thead>
<tr>
<th>Essential Record</th>
<th>Format(s) of Record</th>
<th>Access Priority Level (See key)</th>
<th>Access Timeframe</th>
<th>Location of Original (include computer name &amp; path for electronic records)</th>
<th>Accessible at Alternative Facility?</th>
<th>Backed Up at Third Location</th>
<th>Maintenance Frequency</th>
<th>Prevention/Mitigation Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EXAMPLE:</strong> Delegation of Authority</td>
<td>Hardcopy and .pdf file</td>
<td>Priority 1</td>
<td>Immediately, within 0–12 hours of the event</td>
<td>Deputy Administrator’s Office, Washington Grove facility. GBaxter on ‘gandalf\userdirs\My Documents\Disaster \DofA’</td>
<td>Records storage facility</td>
<td>Office of the Administrator, Springfield Facility, 2nd floor, Office 213b, top drawer of file cabinet next to secretary’s desk</td>
<td>Bi-weekly</td>
<td>Backup tapes of Gandalf server</td>
</tr>
</tbody>
</table>
Essential Records - Course Review

• You know how to:
  – Identify records that need to be designated as essential
  – Identify and evaluate risks to essential records
  – Protect essential records
  – Ensure continued access to essential records during and after an emergency
  – Incorporate essential records into a COOP Plan by using the Essential Records Template
Resources

• IPER Resource Center: http://rc.statearchivists.org/default.aspx

• Minnesota Homeland Security and Emergency Management: https://dps.mn.gov/divisions/hsem

• 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
Thank You!