



Records Emergency Planning and Response Webinar

Session 3

Instructor Guide

Final, July 2010



FEMA

Course Number: AWR-211-2

DHS Branded Disclaimer Page

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Session 3—Administration Page

Duration

90 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 is provided 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 keep track of whether or not you’re on schedule.

Table 1: Suggested Time Plan

TOPIC	DURATION	START TIME
Session 3 Introduction		
• Session 3 Welcome and Overview	5 minutes	
Take-Home Activity Debrief		
• Session 2 Activity: Test a REAP and Develop Your REAP’s Table of Contents	15 minutes	
Module 2—Records Emergency Response and Recovery		
• Introduction and Objectives	5 minutes	
• Lesson 1: Assessing the Damage to Records	20 minutes	
• Lesson 2: Developing the Response	25 minutes	
• Lesson 3: Implementing the Response	10 minutes	
Session 3 Review and Wrap-Up		
• Session Review	5 minutes	
• Take-Home Activity: Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team	5 minutes	
Total Duration	90 minutes	



Scope Statement

Session 3 focuses on assessing the damage to records after an emergency and developing and implementing a response to a records emergency. It includes:

- Session 3 Introduction
- Take-Home Activity Debrief
- Module 2—Preparing a Records Emergency Action Plan (REAP):
 - Lesson 1: Assessing the Damage to Records
 - Lesson 2: Developing the Response
 - Lesson 3: Implementing the Response
- Session 3 Review and Wrap-Up

Session 3 Introduction

The Session 3 Introduction provides a quick review of the material covered in prior sessions and a preview of the material to be covered in Session 3.

Take-Home Activity Debrief

The Take-Home Activity debrief provides participants with the opportunity to share the results of their homework assignment with the class, receive feedback from the instructors, and discuss any issues or questions they may have about the activity.

Module 2

Lesson 1 of Module 2 focuses on the first step in responding to an emergency: assessing the damage to records. It presents procedures and advice for assessing damaged records, including entering the damage area, documenting damage, determining response and recovery priorities, and communicating findings.

Lessons 2 and 3 of Module 2 focus on creating a response plan and implementing a response. Lesson 2 addresses the elements that go into a response plan, and Lesson 3 addresses response procedures.



NOTE: Module 2 is split among Sessions 3 and 4:

- Lessons 1, 2, and 3 are presented in Session 3.
- Lesson 4 is presented in Session 4.

Session 3 Review and Wrap-Up

The Session 3 Review and Wrap-Up provides a quick review of the key points covered in Session 3 and introduces the material to be covered in Session 4. The Take-Home Activity is also introduced.

Session Objectives

Module 2—Records Emergency Response and Recovery

NOTE: As noted above, Module 2 is presented across two sessions. The objectives addressed in this session are shown in bold.

Terminal Learning Objective:

- Participants will be able to assess a situation and then develop and implement a response for records affected by an emergency, using their REAP as a guide.

Enabling Objectives:

- **Assess damage to records after an emergency.**
- **Define the Assessment Team roles and responsibilities.**
- **Develop a response plan for records damaged in an emergency.**
- **Describe the health and safety issues that should be addressed during a response.**
- **Determine when and how to work with private vendors.**
- Discuss response procedures for records in all media.



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

This session uses the following instructional methods:

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

Practical Exercise

Session 3 contains a Take-Home Activity, Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team, in which participants are asked to complete one of four tasks:

- Meet with the decision maker responsible for authorizing the time and resources needed to develop a REAP and get his or her authorization to move forward on the REAP project.
- Conduct a site assessment.
- Develop the goals and timetables for their REAPs.
- Establish their REAP Action Teams.

Sources of Course Content

- NARA's course, Records Emergency Planning and Response (April 2008)
- *Emergency Management for Records and Information Management Programs*, Virginia A. Jones, Kris E. Keyes, ARMA International, Prairie Village, Kansas, 2001
- Washington State Archives, Essential Records and Disaster Preparedness Manual



Instructional Materials

- Session 3 Instructor Guide (for instructors)
- Session 3 Participant Guide (for participants)
- Session 3 Slides
- Handout(s):
 - **Handout 2.4**—Supplies and Equipment List
 - **Handout 2.5**—Initial Damage Assessment and Response Checklist
 - **Handout 2.8**—Test a REAP and Develop Your REAP’s Table of Contents Activity
 - **Handout 3.1**—Sample Pack-Out Tracking Log
 - **Handout 3.2**—Response Plan Template
 - **Handout 3.3**—Personal Health and Safety During Response
 - **Handout 3.4**—Emergency Response Checklist: First 48 Hours
 - **Handout 3.5**—Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team
- 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 3.1**—The Response Coordinator’s responsibilities include:
 - **PQ 3.2**—True or false? If the incident is small-scale—for example, 10 or fewer boxes of records—a tracking system does not need to be implemented.
 - **PQ 3.3**—What should you do if you are denied access to damaged records for more than 48 hours?



Equipment

- **PQ 3.4**—True or false? Although encapsulation and shrink-wrap slow the intrusion of water, they do not protect records from water damage.
- Prepared Powerboard file(s):
 - **PB 3.1**—Session 3 Review
- Evaluation(s):
 - None
- 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.



Session 3 Introduction

Instructor Notes

Participant Guide



PG 3-1

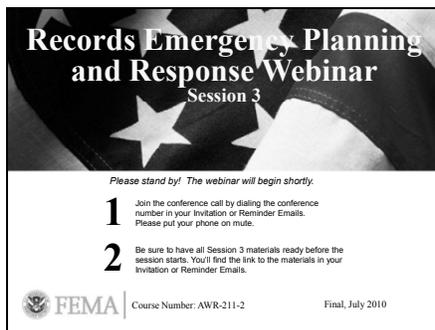
(Duration: 5 minutes)

START TIME: _____

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 3 slides file in iLinc.

Show slide 3-1.



Session 3 Welcome and Overview

Required materials for Session 3:

- Session 3 Participant Guide
- Session 3 handout(s):
 - **Handout 3.1**—Sample Pack-Out Tracking Log
 - **Handout 3.2**—Response Plan Template
 - **Handout 3.3**—Personal Health and Safety During Response



- **Handout 3.4**—Emergency Response Checklist: First 48 Hours
- **Handout 3.5**— Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team
- Materials from prior sessions:
 - **Handout 2.4**—Supplies and Equipment List
 - **Handout 2.5**—Initial Damage Assessment and Response Checklist
 - Your completed worksheet from the Session 2 Take-Home Activity: **Handout 2.8**—Test a REAP and Develop Your REAP’s Table of Contents Activity
- Course Reference(s):
 - **Reference 01**—Resource Center, References, Reading List

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.
- When you are not speaking to the participants, **remember to have** your phone on mute.
- 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 that is 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 3-1 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.

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:

- **Say:** Hi, everybody. This is <your name>. 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:

- **Say:** Hi, everybody. This is <your name>. 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).

BEGIN THE SESSION:



Start the iLinc recorder.

Say:

- Welcome to Session 3 of the *Records Emergency Planning and Response Webinar*.



- To refresh your memory, I'm <your name> and teaching with me today is <name of Instructor 2>.
- Before we get started, I'd like to remind everyone to mute your phone and not to put your phone on hold during the webinar. If you need to take another call or a break during the session, please hang up and call back to rejoin.

Remind participants that they should have the Session 3 course materials ready (either printed or open on their computers) so they can access them when needed.

- **Remind** participants that the Reminder Email provided a link to the materials.

Say: We don't recommend that you print the materials now, but if you do, please make certain your phone is on mute.

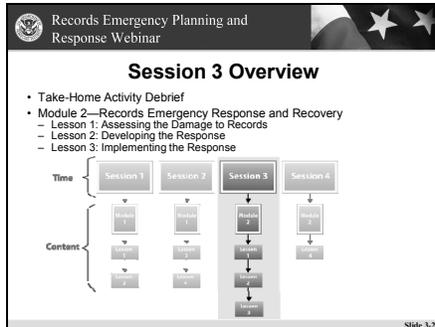
Remind participants that recordings of the sessions are available on the IPER Resource Center, and if they missed the prior session, they can view a recorded version at:
<http://www.statearchivists.org/resource-center>



Transition: Let's do a quick review of what we covered in our past sessions and take a look at what we're going to discuss today.



Show slide 3-2.



Say:

- In Session 1, we learned how to prepare a Records Emergency Action Plan, or REAP.
- And last week, in Session 2, we focused on creating a REAP and properly maintaining the REAP to ensure that it remains useful.

Go over what will be covered in Session 3:

- **Say:** Today, we will examine putting your REAP into action and assessing the damage to records after an emergency. We'll also take a look at how to develop your response plan and how to implement your response.
- **Say:** The session is comprised of the following:
 - **Read** the Session 3 Overview, as provided on the slide.

Say: Today's session is 1 hour and 30 minutes in duration. Because it's a shorter session, there will not be a break.



Take-Home Activity Debrief

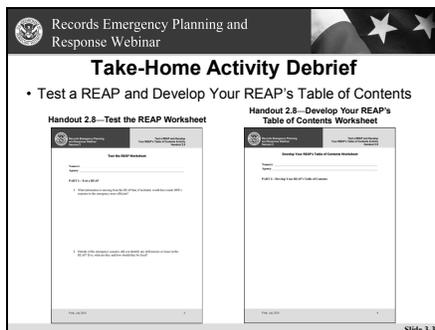


PG 3-3

(Duration: 15 minutes)

START TIME: _____

Show slide 3-3.



Tell participants to go to the Test a REAP Worksheet, located on page 3 of **Handout 2.8** (from the Session 2 materials).

- **Remind** participants that this is the worksheet for the first part of the activity, which they should have completed and emailed to you by the previous day.



Ask participants to raise their hands (or use the “Public” tab of the Chat tool) if they had any difficulties completing the Take-Home Activity.

- If anyone had a problem, **make sure to resolve it** before continuing.



Debrief the activity by conducting a group discussion.

- **Say:**
 - There were two parts to this activity: testing a REAP and creating a table of contents for your REAP.
 - Let’s start with the first part. The purpose of this part was to practice testing a REAP by applying it to an emergency situation.
 - Using the emergency scenario provided, and the Department of Public Recreation’s (DPR’s) agency information, you were to determine what information was missing from the REAP that, if included, would have made DPR’s response to the emergency more efficient.
- **Say:** I need a volunteer to share his or her answers.



- **Tell** participants to share the following—**ask** one question at a time, and **allow** participants to answer each question before moving on:
 - What was missing from the plan—something that, if included, would have made response to the emergency more efficient?
 - Did they identify any deficiencies or issues in the REAP, and if so, what were those deficiencies and how should they be fixed?
- **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.
 - Suggested answers are provided on the Test the REAP Answer Sheet, located on page IG 3-20.
- **OPTIONAL:** If no participants volunteer, you may opt to share a response from one of the homework sheets submitted by the participants.



Continue to debrief the first part of the activity in the same manner.

- **Have** at least two participants share for each question.
- **Make sure** different participants share, so the same few don't do all the talking or chatting.

After the participants have finished sharing their answers, **provide** the answers given in the answer sheet, located on page IG 3-21:

- **Review** the problems in the plan revealed by the scenario.
- **Review** the suggestions for improving the DPR's REAP.
- **Make sure to focus on** those answers that were not addressed by the participants.

Tell the participants that you will send them an answer sheet listing the problems in the REAP and the suggestions for improving the REAP after this session is completed.

Say: There wasn't anything really good about the DPR REAP. It was presented as a non-example to provide a lesson on what not to do. Hopefully, you applied this lesson when completing the second part of this activity and creating the table of contents for your own REAP.

Ask: Would anybody like to make a case that the DPR REAP had some helpful features?



- **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.
 - Expected answer: The REAP has no strong points, so participants should not be able to provide any.

Say: Now let’s take a look at your tables of contents.



Tell participants to go to the Develop Your REAP’s Table of Contents Worksheet, located on page 4 of **Handout 2.8** (from the Session 2 materials).

- **Remind** participants that this is the worksheet for the second part of the activity, which they should have completed and emailed to you by the previous day.

Say: I need a volunteer to share his or her table of contents.



- **Tell** participants to raise their hands to answer.
- **Call on** participants who have their hands raised.
 - **Remind** participants to take their phones off mute before speaking.
- If no participants volunteer, **call on** a participant and **ask** him or her to share his or her answer.
 - NOTE: You may opt to refer to the homework sheets submitted by the participants to select a participant.
- **Confirm or correct** responses as appropriate.

NOTES TO INSTRUCTOR:

- You may opt to use a Powerboard to record the participants' tables of contents.
- You may opt to show a table of contents from the submitted homework as an example.

Continue to debrief in the same manner.

- **Have** at least two participants share their tables of contents.
- **Make sure** different participants share, so the same few don't do all the talking or chatting.



Ask for and resolve
any questions.

Remind participants why it is important to do the homework, as assigned. The activities are designed to:

- Apply what was discussed in a particular session
- Build on each other
- Take you through the initial steps of creating your REAP



Transition: Let's get started with Module 2.



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Answer Sheet—Test the REAP

Problems in the Plan Revealed by the Scenario

Day 1

- Jones has problems with the Phone Tree. No backups are listed for the eventuality in which one cannot reach a particular Action Team member. This may leave everyone stranded. It's obvious that DPR has never tested its plan in a mock emergency, because this shortcoming would have surfaced immediately.
- The Phone Tree is more of a stick—completely linear; therefore, it would take longer to work through than a branched “tree.”
- With no essential records identified and no priority recovery list, Jones has no idea which records to try to save first. If he gets as far as the Emergency Supply Cabinet, he is unlikely to find much there to help him.

Day 2

- Again, the lack of a holdings priority list leaves the Action Team without direction. Whether Flagg's decision to rescue her own office's records first turns out to be a good choice is irrelevant. What matters is that the REAP leaves a vacuum in which Flagg must make knee-jerk decisions.
- Flagg errs in rescuing the waterlogged records first, rather than those that are partially damp. She assumes that the “most damaged” are top priority. This is not true. Aside from priority due to a record's importance, first attention is given where the least investment will produce the greatest results. Considerable time is spent dragging these heavy boxes upstairs. They would not have been wetter had they waited longer. Nor will they dry significantly faster for their additional couple of hours out of standing water.
NOTE TO INSTRUCTOR: Use this bullet to reemphasize the importance of prioritizing according to your REAP.
- If that same time had been spent time removing partially damp records and setting them up to dry, that could have had a significant impact on the records' chance of survival. The plan does not help Flagg make good choices.
- The plan gives no instructions in pack-out methods. It is no surprise that one box totally disintegrated. These boxes should either be repacked (in file order) into milk crates, or placed individually in garbage bags for freezing until drying choices can be made at leisure. How is the team to know this if the plan doesn't tell them?



- Faced with boxes dripping water, Flagg places them on the dock to drain. The plan does not mention security of records removed from DPR's direct custody. The plan does not instruct the team to document its work, so the pack-out has not identified what has been removed to where. When the boxes are thrown into the dumpster and interred in the trash compactor, will DPR know what is lost?
- The plan gives no practical advice on how to air dry records on site. No wonder Flagg can't give her staff useful direction.

Suggestions for Improving DPR's REAP

Page 4, Procedures

- There is no provision for moving or protecting records in present danger. This should be one of the first actions taken in the General Procedures. Much damage might be averted, for example, by covering records to protect them from dripping water, moving records out of range of a fire, or removing backup tapes from the endangered facility.
- It is a bad idea to call the media at this point (General Procedures, item 5). The media will find you plenty soon enough. Emergency is, by definition, negative publicity. Don't go looking for trouble! In addition, the plan does not make clear that only the Public Affairs person interfaces with the media.
- The First Response section should include instructions to contact agency officials and the media spokesperson. It would be really embarrassing if the head of the agency, assuming she or he is not on the Action Team, learned of the emergency from the 5 o'clock news.
- No provision is made to remove and stabilize priority items. This should occur in the Second Response. Time should not be wasted recovering old purchase orders while the ink slowly disappears from key program files.
- The Action Team must assemble (General Procedures, item 6) before anything else can be done. This may not be in DPR's best interests. At least the Building Manager could begin to assess the damage (see First Response section) while waiting for the rest of the Action Team to arrive.
- For all the touting of human safety first, this plan makes no mention of the asbestos hazard lurking above the drop ceiling. Is staff at risk if pipes leak and ceiling tiles fall down?



Page 5, Records Emergency Action Team

- No one person has overall responsibility for the records and for following the priority list in pack-out and recovery. (Perhaps this is why there is also no priority list on page 7 of the DPR REAP.) It does not take a great deal of imagination to envision three records people bickering about what has highest priority. One records custodian succeeded in moving her records to the top of the list by sheer force of personality. DPR believed that assigning three Action Team positions to records stressed the importance of records. But in a real emergency, shared responsibility muddies an effective response.
- Agency Records Officers must decide recovery priorities after the emergency has happened. A good REAP has carefully made these choices already. While some latitude must be given for assessing unique situations, there should be no general question during an emergency about which records to recover first.
- The Health and Safety Officer is responsible to establish evacuation procedures, but is not tasked with conducting periodic evacuation drills. In fact, nobody is. If an emergency or incident happened during working hours, would staff safely escape the building?
- The Administrative Officer is required to carry the Agency credit card at all times. What if she or he is a casualty? The AO and one or two others should have credit card numbers at home.
- The Public Affairs person is inclined to skew the story to put DPR in a good light. This will hurt DPR in the long run. Accurate information should be released as promptly as possible. The slightest hint of cover-up will haunt DPR for years. Public Affairs has no responsibility in the Recovery phase. This position should continue as liaison with the media during all aspects of recovery.
- The Security Officer does not have responsibility for maintaining records identifying lockable portions of buildings, who has keys, and where master keys are kept. The Security Officer is not specifically charged with guarding security of records, particularly during transfer to and from off-site locations and while at an off-site location for drying, etc.

Page 7, Phone Tree

- Rebecca Hurst has been permitted to keep her unlisted telephone number a secret. This renders her useless if the emergency happens after hours. An unreasonable right to privacy must be set aside if the plan is to be effective.
- The plan was last updated in 1999, and some pages longer ago than that. Pen-and-ink changes provide incomplete information about the new Security Officer. The person who wrote down the phone number probably knew the area code, but did not enter it. All phone lists should include area codes. No cell phones are included on the phone list.



- Did you catch a subtle but very important shortfall? The Action Team Coordinator lives in Folkston, GA. He commutes 80 or 90 miles to work. He is too far away from the facility to be an effective Action Team Coordinator, as he simply cannot get there in time. (Although it did not happen at DPR, Directors commonly appoint themselves as Coordinators, believing that they must always be in charge. Not necessarily.)

Page 8, Holdings List

- A file plan per se is only marginally useful in a REAP. The plan does not identify essential records or prioritize holdings. It therefore fails to provide needed information.
- The holdings list covers all DPR files in one sequence arranged by file code number. Where are these files kept? According to the floor plan, files are in various offices. Even if there were a designation of essential records and priority of rescue, we would not know where to look for these records.

Page 9, Sources of Supply

- The emergency supply cabinet lacks many items, including milk crates, heavy-duty plastic bags, washing tubs, clotheslines and clothespins, Plexiglas™ sheets, etc. No supplier for these items is listed, either. About all the Response Team will be able to do with the supplies currently in the cabinet is walk around and look at things in the dark.
- It would be a good idea to have a copy of the REAP in the emergency supply cabinet.
- No commercial records recovery services are listed. In the event of a major emergency, the Response Team has to start from scratch to find suppliers and services. Would they even know where to look? This is a classic example of how planning ahead can save time and effort in crisis.
- One source of supply is already noted as being out of business. The manuscript note may keep you from making a useless call, but it doesn't help you find the supplies you need. It's time to research a new source of supply and substitute its name.
- This section includes one important point done correctly in the REAP. The team will naturally get hungry. The supply list includes a Chicago source for pizza because pizza is filling for hard-working emergency recovery folks, and we all know that the only really good pizza you can get comes from Chicago. However, the pizza will be cold before it arrives.



Page 10, Floor Plan

- The floor plan does not show all DPR space. Procurement and Grants Department is absent; is it on the third floor? One of the LAN file servers occupies a room carved out of General Counsel's space in 1997. This page was updated in 1999, yet it fails to show the LAN at all. Basement storage is not included. Do we know where in the basement records are stored?
- The floor plan is a fairly decent amateur effort. But its bird's-eye view assumes that recovery workers will be familiar with the building. For instance, "elevator/stairwell shaft" is shown as "dead" space for which DPR is not responsible. In a real emergency, a recovery worker could come up the stairs, arrive in the lobby, and not have a clue which of the four walls of that lobby he was facing. No doors are shown on the floor plan. One could not stand in the hallway, floor plan in hand, and figure out which door leads to which office.
- It is obvious that not all files are shown on the floor plan. Four offices record no files at all, including the General Counsel's office!!! An inventory needs to be made, and the floor plan updated accordingly. Indication of essential records' locations, and of those records that are high in recovery priority, would not be amiss.



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Module 2— Records Emergency Response and Recovery



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Module 2 Introduction and Objectives

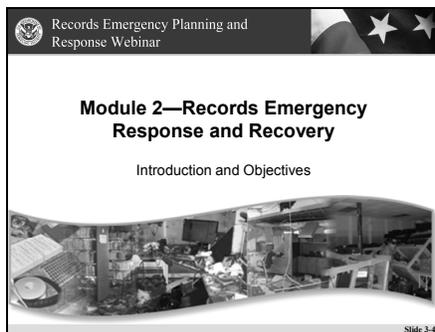


PG 3-7

(Duration: 5 minutes)

START TIME: _____

Show slide 3-4.



Introduce the module.

- **Say:**
 - Building on the proactive approach presented in Module 1, the goal of Module 2 is for you to learn how to apply your REAP, assess the damage to records, and respond, based on an analysis and plan of action.



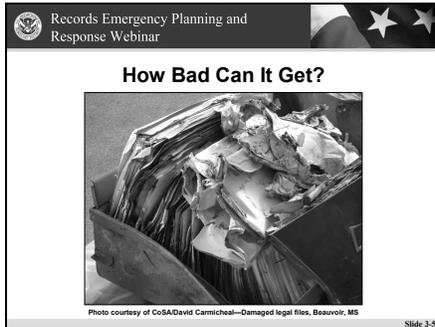
- **Say:**
 - The type of response will be governed by the extent of the incident—whether it is a localized minor to moderate incident within your institution, a major incident involving all or most of your institution, or a catastrophic incident affecting your community and potential resources.
 - Module 2 contains four lessons, which are presented across two sessions. In today's session, we'll complete Lessons 1, 2, and 3.
 - We will discuss the steps required to respond effectively to an emergency, and finally, we will go over recovery strategies for records, including special media records.

Say: Going on the theory that a picture's worth a thousand words, let's take a look at a few images to see the degree and types of damage to records that an emergency can cause.



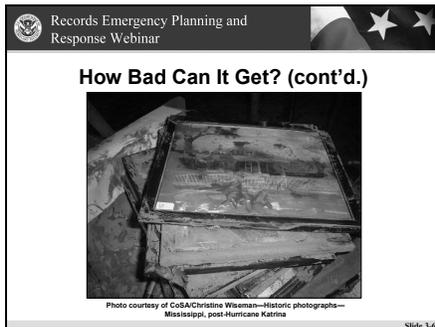
How Bad Can It Get?

Show slide 3-5.



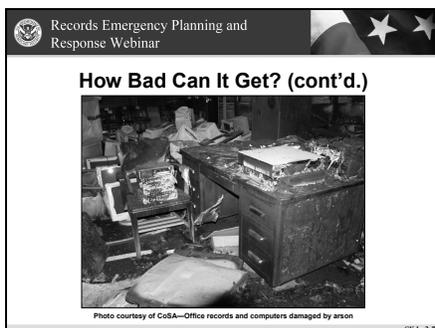
Say: This first image shows legal files damaged by Hurricane Katrina.

Show slide 3-6.



Say: Here we see historic photographs water-damaged and covered in mud from Hurricane Katrina.

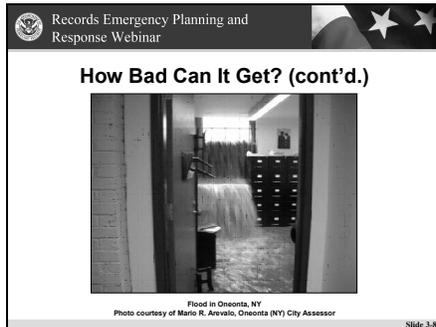
Show slide 3-7.





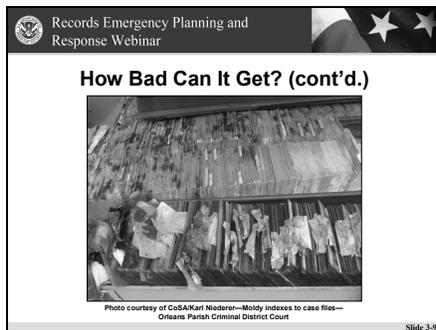
Say: This slide shows damage to paper and electronic records caused by arson.

Show slide 3-8.



Say: Here we see flood waters rushing through a window and into a records storage area.

Show slide 3-9.



Say: In this final photograph, we see water-damaged and moldy index files, resulting from Hurricane Katrina.

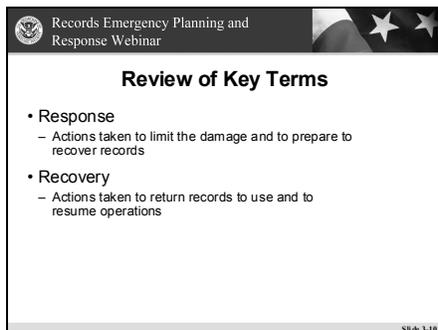
Say: Obviously, the effects of an emergency on records can run the gamut, and they can be quite severe. When faced with a records emergency situation, it's critical that you have predetermined response and recovery procedures in place, so you can recover your records quickly and effectively.



Transition: Before we get to the module objectives, let's take a couple of minutes to look at some terms, concepts, and tips fundamental to records emergency response and recovery.

Records Emergency Response and Recovery— Terms, Concepts, and Tips

Show slide 3-10.



Say: I want to take just a minute to review a couple of terms from Module 1. We went over them briefly in Session 1, but now we're going to go into much greater detail.

Review the definitions of response and recovery.

Emphasize the difference between response and recovery:

- **Say:** Response is what happens immediately following the incident, while recovery is what you need to do to be able to resume your normal operations.

Review of Key Terms

In Session 1 we discussed the terms “response” and “recovery.” Now we're going to focus on how to put them into action. Let's review each term quickly:

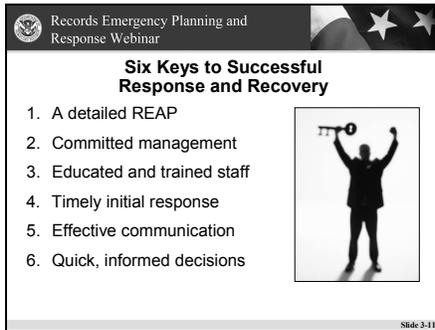
- **Response**—Response is the taking of action to save lives, prevent injuries, and prevent or limit property damage when an incident occurs. The damage or impact is assessed and the level of containment and control activity is determined. The primary activity during this phase is activating the REAP.
- **Recovery**—Recovery is the implementation of the procedures and activities necessary to restore resources or resume operations following an emergency, incident, or other atypical disruption of routine activities. During this phase, those engaged in recovery efforts try to reconstruct damaged agency records in order to restore normal operations.



Say: Now let's learn the six keys for successful response and recovery.

Six Keys to Successful Response and Recovery

Show slide 3-11.



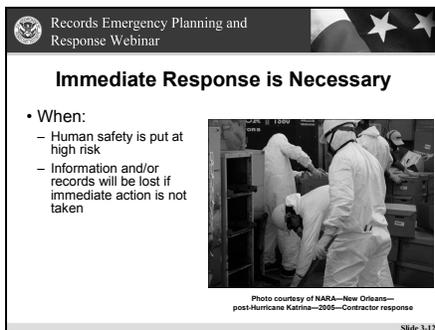
Review the six keys to successful response and recovery.

Emphasize the importance of the REAP, as it provides the basis for response and recovery actions.

1. A detailed REAP
2. Committed management
3. Educated and trained staff
4. Timely initial response
5. Effective communication
6. Quick, informed decisions

Immediate Response is Necessary

Show slide 3-12.





Explain that an immediate response is necessary when human safety and/or records are at risk.

Review the example situations in which records would be at risk and immediate response would be necessary.

You must respond at once if an incident occurs which puts human safety at high risk and/or in which records or information will be lost if you do not take immediate action. For example:

- A water main has broken and records, PCs, and/or servers are wet.
- There has been a fire or an explosion, and water has been used to extinguish the fire.
- Wind has blown the roof off, or high winds have broken windows, and the rain is streaming in.
- Records have suffered water damage that was not discovered in time, and mold has begun to spread on them.

In incidents like these, the threat is that future use of the records is compromised.

Say: The photograph on slide 3-12 shows recovery efforts for records damaged by Hurricane Katrina. The response had to wait for the locations to be accessible. Because of the contaminated water and the materials originally held in these offices, those responding had to use the highest level of protective gear.



Lead a group discussion.

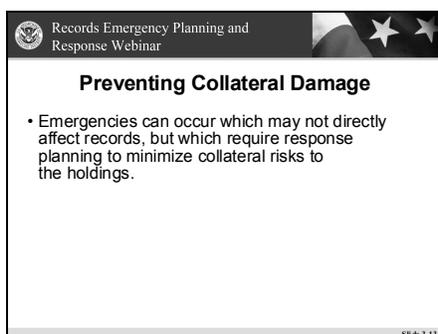
Ask: Do any of you have experience with responding to water-damaged records or other incidents in your agency that required a rapid response?



- **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 and **ask** them to share their experience.
 - In particular, **ask** emergency management participants (if any) to comment.
 - **Remind** participants to take their phones off mute before speaking.
- **Acknowledge** any responses provided in the Chat tool.
- If no participants respond, **describe** an experience you’ve had with an emergency that required a rapid response.

Preventing Collateral Damage

Show slide 3-13.



Explain that there are emergencies that don’t directly affect records but could create collateral damage.

In addition to events that directly affect records, emergencies can occur which may not directly affect records but which require response planning to minimize collateral risks to the holdings. For example:

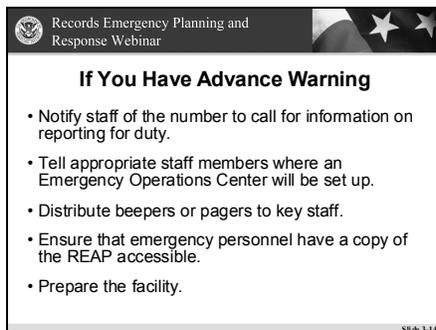


Explain that response planning is also necessary in these situations.

- There has been a power outage. Security, computer systems, and cold-storage conditions are disrupted.
- There has been an explosion or fire, but no records have been affected directly. Security of holdings can be affected.
- A bomb threat or contamination threat has been received.

If You Have Advance Warning

Show slide 3-14.



Review the steps to take if you get advance warning of an emergency during business hours.

Say: Sometimes the warning comes several days beforehand, such as when a hurricane approaches, or when rain storms have been severe and prolonged, and you know you are susceptible to flooding from a rising river. It is helpful to have someone who watches for risks all the time.

If you have been warned during business hours of an impending emergency, such as flooding or storms, you should do the following:

- Notify staff of the number to call for information on reporting for duty.
- Tell appropriate staff members where an Emergency Operations Center will be set up before the building is closed and the staff dispersed.
- Distribute beepers or pagers to key staff if they do not have them already.
- Ensure that emergency personnel have a copy of the REAP accessible, including copies in their cars and/or homes.



Review the steps to take to prepare the facility when advance warning is given.

- Prepare the facility. For example:
 - Move or secure records, PCs, and servers.
 - Move high-priority records away from windows, and toward safer areas protected from water.
 - Move key records, PCs, and servers to higher floors if there is danger from flooding.
 - Move records from the top floor or out from under the roof if a hurricane or flood waters are threatening.
 - Wrap highly vulnerable materials in plastic and seal with waterproof tape.
 - Verify that master switches are shut off for gas, water, and electricity, if this can be done without shutting off the sprinkler system for fire.
 - Cover windows (plywood screwed into the frame) or tape them to reduce the shattering of glass.

Say: Knowing what response is required for which risk or hazard will allow staff to respond effectively and quickly when a risk is imminent. You may be able to mitigate some of the potential damage and loss by being prepared.



Transition: Let's look at the objectives for Module 2.



PG 3-15

Module 2 Objectives

Show slide 3-15.

Records Emergency Planning and Response Webinar

Module 2 Objectives

- At the completion of this module, you will be able to:
 - **Assess damage to records after an emergency**
 - Define the Assessment Team roles and responsibilities
 - Develop a response plan for records damaged in an emergency
 - Describe the health, safety, security, and privacy issues that should be addressed during a response
 - Determine when and how to work with private vendors
 - Discuss response procedures for records in all media

Slide 3-15

Review the module objectives.

Say: We'll cover all but the last objective in this session, as indicated with bold text. We'll address the last objective in Session 4.

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

- **Assess damage to records after an emergency**
- **Define the Assessment Team roles and responsibilities**
- **Develop a response plan for records damaged in an emergency**
- **Describe the health, safety, security, and privacy issues that should be addressed during a response**
- **Determine when and how to work with private vendors**
- Discuss response procedures for records in all media



Transition: Let's get started with Lesson 1 and look at the first step in the response and recovery process: assessing the damage.



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Lesson 1: Assessing the Damage to Records

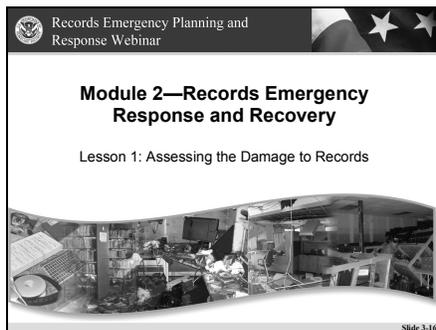


PG 3-17

(Duration: 20 minutes)

START TIME: _____

Show slide 3-16.



Introduce the lesson:

- **Say:**
 - In Lesson 1, we will focus on assessing the damage to records.
 - We will start with a quick introduction to emergency response and recovery and then review your first steps for responding to an emergency, and review how to assess the nature and severity of the damage.
 - Then, we will address the initial coordination of medium- and large-scale incidents and examine the assessment team's roles and responsibilities.



- Finally, we will discuss entering a damaged area and determining response and recovery priorities.



Transition: Let's start with assessing the nature and severity of the damage.



PG 3-17

Assess the Nature and Severity of the Damage

Show slide 3-17.

Records Emergency Planning and Response Webinar

Assess the Nature and Severity of the Damage

- Now's the time to use your:
 - PReP
 - Phone Tree
 - Initial Damage Assessment and Response Checklist
 - REAP
- The scale of your response depends on the answers to these questions:
 - How many staff do you have available?
 - Do you have appropriate staff available?
 - How many records are affected?
 - Is this too large or complicated for you to handle?

Slide 3-17

Explain the first steps that should be taken after an incident occurs.

First Steps

If the incident has occurred with no prior warning, and if you've now been notified that there has been damage to the buildings and/or records, then:

- Don't simply rush in—keep your response plan in mind!
- Your first step is to secure the building and assess the safety status of the building for entry, both structurally and in terms of its contents.
- Your next step is to assess the damage to records.



Point out that if you created a PReP, now is the time to use it.

Remind participants of the PReP template provided in **Handout 2.7**.

- **Point out** that Side B of the template is used to record step-by-step instructions for responding to an emergency.

Explain that you'll need to answer several questions to determine the necessary actions.

Point out that this is where your Phone Tree and Initial Damage Assessment and Response Checklist come into action.

Remind participants that a sample Initial Damage Assessment and Response Checklist is provided in **Handout 2.5**.

Go over the questions that need to be answered.

Explain that participants should have their REAPs ready to brief management.

Address the recovery process systematically. If you created a Pocket Response Plan (PReP), you will use it now.

It will be important to answer a series of questions as quickly as possible to determine the necessary actions. This is where your Phone Tree and Initial Damage Assessment and Response Checklist come into action.

(Refer again to **Handout 2.5**—Initial Damage Assessment and Response Checklist for an example of a damage assessment checklist.)

To assess the nature and severity of the damage, you will need to answer a number of questions immediately, including:

- How many staff do you have available?
- Do you have appropriate staff available?
- How many records are affected?
 - What formats?
 - What is their value?
- Is this too large or complicated for you to handle?

The scale of your response depends on the answers to these questions.

Have your REAP ready and inform senior management about your needs, resources, priorities, and any other relevant issues.



Determine Whether the Incident is Small-, Medium-, or Large-Scale

Show slide 3-18.

Records Emergency Planning and Response Webinar

Small-Scale Incident

- Can recover using in-house resources
- Within timeframe that does not put records at increased risk for mold
- With resources and expertise at hand

Photo courtesy of NARA—NARA's Washington National Records Center—2005

Slide 3-18

Say: To answer the last two questions—how many records are affected and whether the incident is too large or complicated—you need to determine whether the incident is small-, medium-, or large-scale.

Point out that setting criteria ahead of time for what to consider small-, medium-, and large-scale incidents can be helpful when assessing the situation and determining the response.

Review small-scale incidents.

To answer the last two questions—how many records are affected and whether the incident is too large or complicated—you need to determine whether the incident is small-, medium-, or large-scale.

Set ahead of time your limits for what to consider small-, medium-, and large-scale incidents. For example, 10 record boxes affected by an emergency may be your in-house limit for a small-scale incident.

Small-Scale Incident

A small-scale incident means that you can recover all the damaged records using in-house staff expertise and resources (space, in particular) within a timeframe that does not put the records at additional risk.

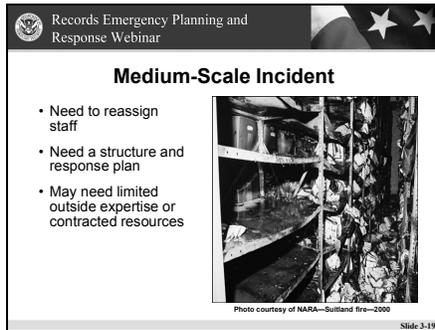
For example, flooding that does not reach the level of the lowest shelf of records might be fully recoverable using in-house staff in a timely way.

If the incident is small-scale and occurs within your agency space, on-site coordination will be provided by your REAP.



Medium-Scale Incident

Show slide 3-19.



Review medium-scale incidents.

A medium-scale incident affects all the staff in an agency. You will need to reassign staff to respond to the crisis, and you may need a limited contractor response.

What is considered medium-scale will depend to a great extent on the resources of the agency.

Explain that agencies should find the ICS useful for managing assessment, response, and recovery for incidents of any scope or size, including those that only affect records in their own facility. It is designed to be useful for any kind of emergency, from routine to massive.

For a medium-scale incident, you should use the Incident Command System (ICS) to assist with managing the assessment, response, and recovery. In fact, the ICS is useful for managing assessment, response, and recovery for incidents of any scope or size, including those that only affect records in your agency's own facility. It is designed to be useful for any kind of emergency, from routine to massive.

Remind participants that they learned about the ICS in Session 1.

Explain that the ICS is a standardized, on-scene, all-hazards incident management tool for meeting the demands of emergency situations.

Point out that using the systematic method of planning and reporting from the ICS will help with the coordination of the first responders, the facility, acquisitions, purchasing staff, and contractors.



Large-Scale Incident

Show slide 3-20.

Records Emergency Planning and Response Webinar

Large-Scale Incident

- Affects all staff and the long-term mission of the agency
- Requires extensive resources and use of contractors, including labor, beyond those available in the agency

Photo courtesy of FEMA - Gulfport SBA and Court - 2005

Slide 3-20

Review large-scale incidents.

Point out that you should work with the ICS for a large-scale incident.

Explain that, in order to work successfully with the ICS during an emergency, it's important to build relationships with the ICS team and local emergency management authorities before an incident occurs.

Say:

- It is important to remember that recovery may be complicated by the presence of hazardous biological contaminants.
- This creates an incident that requires professional handling; you should not allow untrained volunteers to participate in the response because they could be injured or unintentionally do further damage to the records!

A large-scale incident will affect a large local area or region, and/or involve more than one agency or jurisdiction. If this happens, you should begin working as soon as possible within the regional ICS. Your objective is to make sure that the protection, response, and recovery of records are addressed early in the overall response.

One important reason to work within the ICS system is to gain safe access to your own facility and advocate for a quick assessment of your institutional needs. You may require assistance to reach your own facility or you may need to have local, state, or national responders secure the facility.

You will also need to know the big picture—how this all fits together, who does what tasks, and how the larger incident response works. Records may not have the highest priority in the incident.



Transition: Let's take a look at the initial coordination for medium- and large-scale incidents.



PG 3-22

Initial Coordination for Medium- and Large-Scale Incidents

Show slide 3-21.

Records Emergency Planning and Response Webinar

Initial Coordination

- Be prepared to communicate concerns and priorities about records affected by the emergency.
 - Confidential records or information require extra security.
 - Essential records should be recovered first.
 - Permanent records also have high priority.
 - Photos, maps, and electronic and other special media require special handling.

Slide 3-21

Go over communicating records concerns and priorities.

Communicating Records Concerns and Priorities

The structure of the Incident Command System (ICS) and the roles and responsibilities of participants will vary, depending on the size and complexity of the incident. Records managers and archivists may be activated to serve as technical specialists in a variety of roles within the ICS for medium- and large-scale incidents.

Say:

- While this section discusses the use of the Incident Command System (ICS) for medium- to large-scale incidents, ICS is scalable and can be just as useful for relatively small events.



- The guidance for state and local governments about ICS was published in December 2008, after the IPER course development was well underway.
- Few, if any, emergencies that have affected records have used ICS during response so far, but the Council of State Archivists (CoSA) is hearing reports from archivists and records managers who wish they had known about ICS and incorporated it into their own planning efforts.
- As we move forward, CoSA will provide information in the IPER Resource Center about actual records-related applications of ICS.
- We hope that will allow archivists and records managers to understand ICS principles and concepts better in the future and fully integrate ICS with their own planning and response efforts.

Whether the records that have sustained damage or are threatened belong to your own agency or another agency, be ready to speak openly and frankly about your considerations, priorities, and concerns. You will want to make the incident commanders fully aware of all issues relating to the security of, and need for quick response for, damaged records.



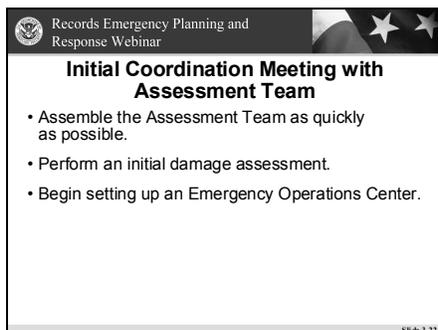
Review the items on which the personnel representing your agency should brief those managing the response.

Your agency representatives should be ready to brief those managing the response about the agency's authorities, responsibilities, equipment, skills, experience, and capabilities with respect to records, as well as any constraints under which it may be operating.

- Be prepared to demonstrate the significance of the affected records and the functions they support.
- Security will have to be provided for confidential records or information.
- Essential records which have not been, or could not be, duplicated and stored off site will have a higher priority for recovery than essential records which have been protected through duplication and dispersal.
- Permanent records also have a high priority.
- Special handling will be required for materials such as photographs, architectural and cartographic records, and electronic media.

Initial Coordination Meeting with Assessment Team

Show slide 3-22.



Review participants' initial coordination meeting with their staffs.

Using the Communication Plan from your REAP, assemble the Assessment Team as quickly as possible to help control the situation and to assess and document the extent and nature of the damage.



Go over setting up an Emergency Operations Center from which all actions regarding all records in the damage area must be cleared.

The Assessment Team should perform an initial damage assessment to determine the extent and kinds of damage to records. Be prepared to start your initial assessment off site, based on what you know.

Also, begin the process of setting up an Emergency Operations Center from which all actions regarding all records in the damage area must be cleared.

- Insist that everyone follow agency policy and procedure regarding the handling of all records after an emergency. Experience shows that often agency staff will attempt to take matters into their own hands, resulting in further damage and loss of records and of intellectual control over them (what records existed, where, extent of damage and what happened to them, information essential for insurance and disclosure purposes).
- If necessary, assign recovery team members the task of enforcing agency emergency recovery policy and securing records from uncontrolled and untrained efforts to “clean house” or recover records.
- Make sure everyone follows appropriate health and safety procedures.

Say:

- There are several things to keep in mind as you set up your Emergency Operations Center. Everyone should follow agency policy and procedures regarding the handling of records.
- Team members will also want to keep certain health and safety precautions in mind during response.
- We will be discussing health and safety during Session 3.



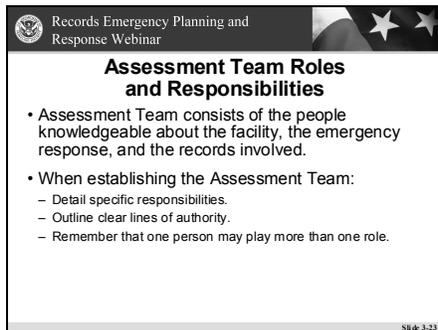
Transition: Next, let's take a look at the roles and responsibilities of the Assessment Team.



PG 3-24

Assessment Team Roles and Responsibilities

Show slide 3-23.



Review the roles of the Assessment Team.

Remind the participants that the Assessment Team is a subteam of the REAP Action Team.

The Assessment Team consists of the people knowledgeable about the facility, emergency response, and the records involved. The following sections outline the Assessment Team's roles and responsibilities for a records damage assessment. When establishing the Assessment Team, it is important to detail specific responsibilities, outline clear lines of authority, and remember that a person may play more than one role.

Say:

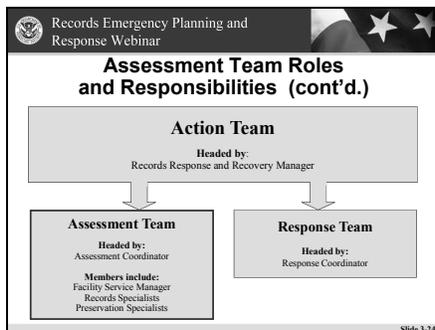
- The descriptions of roles and responsibilities imply that each will be assigned to a single individual, but in smaller governmental units two or more of the roles may be assigned to one person.



- It is also possible that your agency does not have an employee with the particular skills described, such as those required for clean-up of facilities or those of preservation specialists who understand how to salvage records.
- Don't hesitate to consult with your state emergency management agency, your state archives and records management program, or other organizations to obtain specialized support as necessary.

Assessment Coordinator

Show slide 3-24.



Review the responsibilities of the Assessment Coordinator.

The Assessment Coordinator, who reports to the Records Response and Recovery Manager, organizes and manages the process by which damage is evaluated and is responsible for:

- Selecting and assembling the Assessment Team
- Instructing the team on methods of inspection and investigation, assessing damaged records, and documenting the process



- Evaluating findings and making recommendations
- Notifying and gaining necessary approvals from senior management to enlist the assistance of in-house or outside experts and resources
- Contacting the Response and Recovery Coordinator and planning with him or her the response and recovery steps

Review the responsibilities of the Facility Services Manager.

Say: If your building is leased, the building owner will need to have a representative on your Action Team and on the Assessment Team as well.

Facility Services Manager

The Facility Services Manager is responsible for:

- Securing the affected area and/or buildings
- Ensuring that the building is safe and contaminant-free
- Stabilizing environmental conditions by lowering the temperature and relative humidity and increasing air circulation to prevent mold growth.
- Evaluating damage to the building
- Implementing measures to remedy immediate threats to human safety or to the records
- Establishing priorities for facility clean-up (e.g., turning off water, providing lighting for Assessment Teams, removing water and debris from the floors, overseeing clean-up of debris, etc.)

Point out that the Facility Services Manager described here should not be confused with the ICS Facility Unit Leader who is responsible for setting up, maintaining, and demobilizing all facilities used in support of incident operations, as well as providing facility maintenance and security services required to support incident operations.



Review the responsibilities of the Records Specialists and Preservation Specialists.

Records Specialists and Preservation Specialists

The team should include Records and Preservation Specialists (conservators, if they are available), whose responsibilities include:

- Recording observations and recommending priorities for response and recovery
- Photographing types of damage to records
- Investigating and documenting the location, indicating the extent of the damage to the records, and documenting the significance of the records
- Assessing potential, apparent, and actual damage to IT media (some media or equipment may appear undamaged but may have problems due to dampness, dust, heat, etc.)
- Estimating the volume of records requiring response and recovery
- Noting additional risks



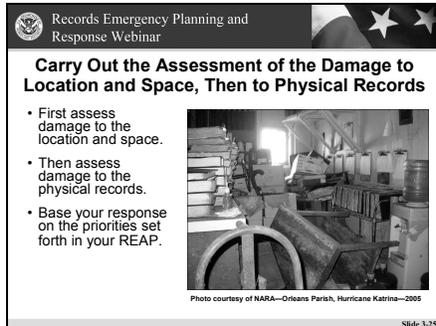
Transition: Now that we have our teams assembled, let's take a look at carrying out the assessment.



PG 3-27

Carry Out the Assessment of the Damage to Location and Space, Then to Physical Records

Show slide 3-25.



Records Emergency Planning and Response Webinar

Carry Out the Assessment of the Damage to Location and Space, Then to Physical Records

- First assess damage to the location and space.
- Then assess damage to the physical records.
- Base your response on the priorities set forth in your REAP.



Photo courtesy of NARA—Orleans Parish, Hurricane Katrina—2005

Slide 3-25

Explain that the first step after an emergency is to assess the type and extent of the damage.

As stated earlier, the first step after an emergency is to assess the type and extent of the damage. This assessment should be made first for damage to the location and space, and then for damage to the physical records. Once an accurate assessment has been made, the response can be implemented based on the priorities set forth in your REAP.

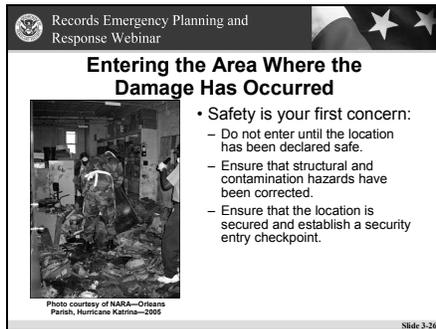


Transition: To assess the damage, you must enter the area where the damage has occurred.



Entering the Area Where the Damage Has Occurred

Show slide 3-26.



Review the tips for conducting the location and space assessment.

Point out that safety should be your first concern.

Emphasize the importance of not entering the location until it has been declared safe by facility or emergency management officials. People come first, every time!

Say: If your agency does not have a functional Continuity of Operations (COOP) Plan, or if the incident is a large-scale one, you may have to assume responsibility for your own safety and that of the members of the Assessment Team.

To assess the damage, you need to enter the area where the damage has occurred. It is essential to gain access as quickly as possible because some records will begin to deteriorate within 12 hours, and mold will begin to grow within 48 to 72 hours. Access will be decided by the fire department, safety officer, or another authority and can be delayed for days or weeks.

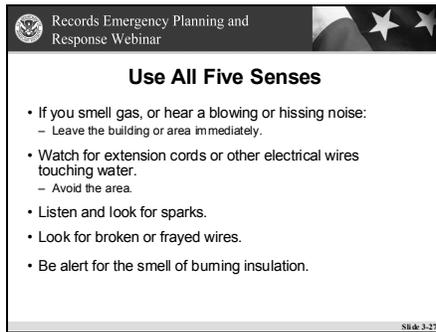
No matter what, safety should always be your first concern:

- Do not enter until the location has been declared safe by the Facility Services Manager or first responders.
- Ensure that structural and contamination hazards have been corrected so that it is safe to enter the location.
- Ensure that the location is secured and establish a security entry checkpoint.



Use All Five Senses

Show slide 3-27.



Review the tips for using all five senses to assess the safety of an area where damage has occurred.

Point out that turning off utilities is better left to trained facility or institutional managers.

Point out that you will need portable light sources as part of your assessment kit.

Use your five senses to assess the safety of areas where damage has occurred.

- If you smell gas, or hear a blowing or hissing noise, leave the building or area immediately. If it's not possible to leave the building, open windows.
 - Turn off the gas at the main valve if trained to do so. Call the gas company at once.
- Watch for extension cords or other electrical wires touching water. Avoid the area. In particular, do not step into water!
- Listen and look for sparks; look for broken or frayed wires; be alert for the smell of burning insulation.



Safety—Use Common Sense!

Show slide 3-28.

Records Emergency Planning and Response Webinar

Safety—Use Common Sense!

- Be responsible for your own safety and health.
 - Remain calm.
 - Always work in pairs.
 - Wear protective clothing or gear at all times.
 - Carry a respirator or dust mask.

Photo courtesy NARA—NARA staff—Orleans Parish, post-Hurricane Katrina—2005

Slide 3-28

Review the tips for remaining safe by using common sense.

Say: All the protective clothing and gear that you will need for the assessment should be located in a kit that is kept in your car or at home, in case the storage location in the building is inaccessible.

Even if the facility has been cleared for entry, be aware that there may still be hazards or issues that you will need to address before the assessment can begin. When in the facility, if something concerns you, leave immediately and report the problem. You are the only one who can take care of yourself, so be responsible for your own safety and health.

- Remain calm.
- Always work in pairs; never enter a damaged building alone.
- Wear protective clothing or gear at all times. Minimal preparation for an unknown situation includes wearing:
 - Durable and sturdy shoes
 - Heavy duty and/or waterproof gloves that are also durable and sturdy
 - Protective clothing (Tyvek® jumpsuits are waterproof and disposable if contaminated)
 - Hardhat
 - Light source (power might be lost while you are inside)
 - Eye protection
 - Respirator (if warranted by the conditions)



Say:

- Dust masks provide very little or no protection, especially against mold. N95 respirators can be purchased at Home Depot and similar stores for less than \$10 each and are much more effective.
- It is always a good idea to consult with an industrial hygienist before entering an area with any kind of contamination.
- Staff with medical conditions—compromised immune systems, asthma, allergies—should not come in contact with records affected by mold and other contaminants.
- An industrial hygienist would also be the professional responsible for customized fit testing if you need to provide fuller protection for staff.

Point out the importance of having an up-to-date tetanus immunization.

Say: A good rule of thumb is to consider a damaged building or collection guilty until proven innocent!

- Carry a respirator or dust mask.

Remember: Some building contents may be contaminated. You should have a current tetanus immunization before entering an area that has been flooded, and there are other vaccinations that you may also want to keep current—check with local health officials.



PG 3-31

Document the Volume and Extent of Damage

Show slide 3-29.

Records Emergency Planning and
Response Webinar

Document the Volume and Extent of Damage

- Document all types of damage present.
- Do not move objects or records without first documenting their condition.
- Photograph or videotape the conditions of records and structures.
 - Record identifying information: location, time, damage, etc.

Slide 3-29

Review documenting the damage. When it is safe to enter the site, in team(s) of at least two people, tour all affected areas and document all types of damage present. Documentation should include:

- The cause of the damage: for example, clean or contaminated water, fire or soot, and/or mold
- Volume of records damaged
- Locations of damaged records

Do not move objects or records without first documenting their condition. Photograph or videotape the conditions of records and structures. Make sure the images clearly record the damage—a picture is worth 1,000 words (and several hours of writing). However, uncaptioned pictures do not tell the whole story, either. While one person takes photographs, the other should record information about location, time, damage, etc.

Emphasize the importance of photographic documentation.

Photographic documentation of all damaged areas and records is the best method to illustrate the nature of the damage to, and the condition of, the records. The photographic documentation can be shared with the Response Team members to assist in planning the response and with consultants and contractors.

A camera should be included in the documentation supply kit for your Assessment Team.



Say: To prove the importance of photographing or videotaping an incident, let's see how much information you can gather from just a single photograph.

Show slide 3-30.



Lead a group discussion.

- **Ask** the following questions, one at a time, and **allow** participants to answer each question before moving on:
 - Briefly, what do you see in this image?
 - What are the safety issues?
 - What kinds of records are damaged?
- **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.

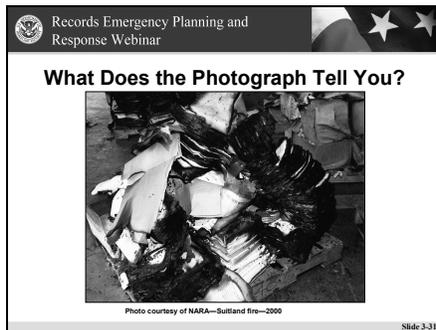


- **Acknowledge** any responses provided in the Chat tool.
- If no participants respond, **provide the answers**.

Expected answers:

- Water damage and mold are shown in the photo.
- Safety issues include possible contaminated water, exposure to mold.
- The kinds of records damaged are paper, electronic, cartographic.

Show slide 3-31.



Lead a group discussion.

- **Ask** the following questions, one at a time, and **allow** participants to answer each question before moving on:
 - Briefly, what do you see in this image?
 - What are the safety issues?
 - What kinds of records are damaged?



- **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.
- If no participants respond, **provide the answers**.

Expected answers:

- Fire damage is shown in the photo.
- Safety issues include:
 - Toxic fumes may result from hazardous materials among the burned records.
 - Other records on pallets may be stacked high enough to threaten salvage workers.
 - Staples and metal bindings may present a hazard.
- The records damaged are paper-based.



Transition: To document the damage properly, you will need to identify which records have been damaged.



Identify Which Records Are Affected

Show slide 3-32.

Records Emergency Planning and Response Webinar

Identify Which Records Are Affected

- For the records that have been damaged, identify:
 - Record types
 - The finding aid or database
 - Easily replaced records
 - Formats
 - The damage
 - Records that require additional expertise and/or expense to recover, or for which there are special recovery concerns

Slide 3-32

Review identifying the records that are affected.

In order to document the damage properly, you will need to identify the records that have been damaged, and you will need a rough estimate of the number of each record type damaged and the nature of the damage.

Explain that some finding aids may be essential records if they are needed to retrieve critical information.

- Identify the record types—An archivist or a custodian of the affected records will need to provide important identification information, including:
 - The record type, series name, or other identification
 - Any other information that must stay with the records as they are recovered
- Identify the finding aid or database—Identify any indexes, inventories, folder lists, catalogs, databases, or other finding aids that are needed to use the record. If these exist in a database or other electronic format, access to the files will be needed.
- Identify easily replaced records—Rather than be recovered, can the records be replaced easily and more cost-effectively from copies held elsewhere, or are they unique and irreplaceable? It is important not to spend valuable time and resources to recover records when there is an undamaged copy of the record stored elsewhere or when the value is unknown.



- Identify formats—You will need to document the formats in order to determine the preservation expertise required for recovery. This includes documenting whether the records are boxed, in bound volumes, or unbound (loose) paper; oversized records including maps and plans; photographic records including both film and print; electronic media on tapes; disks, or in hard drives; magnetic tapes; CDs and DVDs; and artifacts.
- Identify the damage—
 - Damp or wet box or container only
 - Damp records
 - Wet records
 - Damp or wet computers or servers, status of media unknown
 - Burnt or charred records or container only
 - Contaminated records or surface-soiled only
 - Evidence of mold
 - Current temperature and relative humidity in the affected area(s)
 - The kind of water that has damaged the records:
 - Clean water—from a supply water pipe that has been affecting records for less than 48 hours
 - Gray water—water from a pipe that is carrying some matter; for example, water coming from an appliance such as a dishwasher, washing machine, or garbage disposal
 - Black water—contaminated water from a source that carries sewage or flood waters from the river or ground surface where the water has picked up sewage, chemicals, oils, etc.
 - Salt water from tidal flooding



- Identify records that are difficult and/or expensive to recover or for which there are special recovery concerns.
 - Refer all damaged or potentially damaged electronic records and systems to IT specialists.
 - If you have particular concerns, it is best to photograph the damaged records and consult with experts on their conservation.

Say: It's helpful for your Assessment Team to have both archival and preservation expertise to ensure that the information being gathered about the records is correct. This will save time when planning your response.



Refer participants again to **Handout 2.5**—Initial Damage Assessment and Response Checklist for a checklist they can use to gather information about the damaged records.

(Refer again to **Handout 2.5**—Initial Damage Assessment and Response Checklist for a checklist you can use to gather information about the damaged records.)

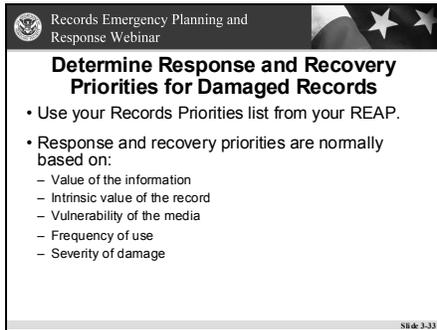


Transition: Your next step is to analyze information about the damaged records in order to determine the necessary response and recovery efforts.



Determine Response and Recovery Priorities for Damaged Records

Show slide 3-33.



Explain determining response and recovery for damaged records.

Say:

- If the Records Priorities list is not complete or current, consult with the owners of the records, as the value of the records may have changed, depending on business needs.
- Don't assume that you know the value of records unless they are your own responsibility.

Review what response and recovery priorities are normally based on.

Point out that intrinsic value is the value of a record regardless of its content because of its form, age, or association with a person or event.

After you have determined what damage has occurred and which records are affected, your next step is to determine your response and recovery priorities.

Use your Records Priorities list from your REAP. If the Records Priorities list is not complete or current, consult with the owners of the records, as the value of the records may have changed, depending on business needs.

As we discussed earlier, response and recovery priorities are normally based on:

- Value of the information (for example, has it been determined to be essential or permanent?)
- Intrinsic value of the record



Review where the records information can come from.

- Vulnerability of the media
- Frequency of use
- Severity of damage

You can obtain the information you need from:

- File plans or records schedules
- The prioritized list from your REAP
- Facility maps to determine where records are located, etc.



Transition: You need to keep senior management and all stakeholders in the loop.



PG 3-36

Communicate Your Findings

Show slide 3-34.

Records Emergency Planning and Response Webinar

Communicate Your Findings

- Communicate your findings to:
 - Senior management
 - All relevant custodians and owners
 - IT staff (for electronic records and systems)
- Include information about:
 - Which records are affected and their current condition
 - The impact on the continuity of operations
 - Decisions regarding recovery priorities and techniques

Slide 3-34

Review the findings that should be communicated to senior management.

Your final step in assessing the damage to records is to communicate your findings to senior management and all relevant custodians and owners, including IT staff, when dealing with electronic records and systems.

Include information about:

- Which records are affected and their current condition
- The impact on the Continuity of Operations
- Decisions regarding recovery priorities and techniques



Follow up by repeating the assessment as conditions change, and continue to make visual, written, and voice records of each step of the response procedures.

If you hold records for another office or agency, notify the owners of the records. Inform them as to which records are affected, their status, and their condition, and ask for their estimation of the value and importance of the records.



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

- **Resolve** any outstanding questions.



Transition: Let's move on to Lesson 2 and creating your response.



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Lesson 2: Developing the Response

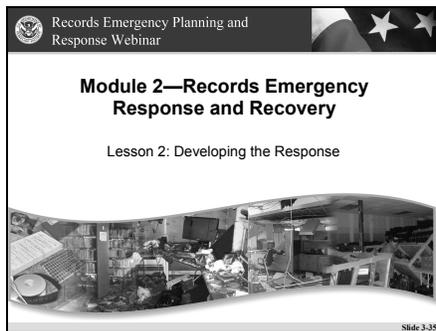


PG 3-37

(Duration: 25 minutes)

START TIME: _____

Show slide 3-35.



Introduce the lesson.

Say:

- Once the damage has been assessed, you can plan your response, using the information provided in your REAP.
- This lesson will discuss the issues you must consider when developing a response to a records emergency.
- Let's start by taking a look at the initial step in the process: when the Assessment Team transfers authority to the Response Team.



PG 3-38

Show slide 3-36.

Records Emergency Planning and Response Webinar

Transferring Authority from the Assessment Team to the Response Team

- Once the assessment is complete, it's time to transfer authority from the Assessment Team to the Response Team.
- Decisions to be made by the Response Team:
 - Priorities for response
 - Recovery techniques to be used for each type of record
 - Resources to be used

Slide 3-36

Transferring Authority from the Assessment Team to the Response Team

Explain that once the Assessment Team has completed its assessment, it's time to transfer authority from the Assessment Team to the Response Team.

Point out that in many cases, especially smaller communities or in small-scale incidents, there will be no difference in the membership of "Assessment" and "Response" Teams.

Explain that a meeting should be held to go over the Assessment Team's findings.

Go over the decisions the team needs to make.

After the Assessment Team has completed its assessment of the damage, it's time to communicate what it has found and transfer authority to the Response Team.

In many cases, especially in smaller communities or in small-scale incidents, there will be no difference in the membership of "Assessment" and "Response" Teams.

Hold a meeting to review the Assessment Team's findings, evaluate the magnitude of the incident and the impact on the records, and determine the needed and available resources. Everyone does not need to be present in the room, but should be available by teleconference or videoconferencing.

Decisions to Be Made

Decisions will need to be made on:

- Priorities for response
- Recovery techniques to be used for each type of record



- Resources to be used, including staff, contractors, space, and time

Everyone involved in the decision-making process will need access to the documentation from the assessment and will need to be present for the decisions, which should also be documented.

Explain that the decisions are based on the REAP, and are used by the Response Team to develop the response plan.

These decisions, which should be made based on the information provided in your REAP, will guide the Response Team in the development of the response plan—the guide that details the specific response and recovery actions that will be taken for a specific incident. The response plan enables team members to function effectively and provides documentation and a record of what needs to be done and what has been done.

Use Your REAP

Show slide 3-37.

Records Emergency Planning and Response Webinar

Transferring Authority from the Assessment Team to the Response Team (cont'd.)

- Use the REAP to determine the following response plan elements:
 - Staffing
 - Location of the Emergency Operations Center
 - Supply chain
 - Location of the staging area and any recovery areas needed
 - Any contractor contacts
 - Priorities for response
 - Procedures for handling sensitive or confidential records

Slide 3-37

Review the issues determined by the Response Team in order to formulate the response plan.

In developing the response plan, the Response Team will use the REAP to determine:

- The staffing
- The location of the Emergency Operations Center for communications during the response
- The supply chain
- The location of the staging area and any recovery areas needed
- Any contractor contacts



- Priorities for response
- Procedures for handling sensitive or confidential records

Ultimately, once the response plan is agreed upon by all decision makers, including senior management, the Response Coordinator will be in charge of carrying out the plan to meet the objectives.

NOTE TO INSTRUCTOR:

- At this point, you may choose to share a personal example of a response plan.
 - **Be sure to point out** the elements of the response plan that correspond with the items listed above, so it will be relevant to the training.



Transition: Let's take a closer look at the Response Team.



PG 3-40

Response Team Roles and Responsibilities

Show slide 3-38.

Records Emergency Planning and Response Webinar

Response Team Roles and Responsibilities

- Response Team members may be responsible for:
 - Separating records
 - Moving records
 - Packing records
 - Drying material
 - Maintaining tracking logs
 - Maintaining documentation of records
 - Labeling records
 - Labeling or relabeling boxes

Slide 3-38



Review the responsibilities of the entire Response Team.

Say: Remember that staff will tire quickly if they are moving records that are significantly heavier than normal due to water logging. Be sure to have enough staff on hand so that the contractors can keep working, but staff members can take breaks when needed.

The Response Team may include many or all staff members. It will require a mix of special skills, physical stamina, and expertise. The Response Team members may be responsible for:

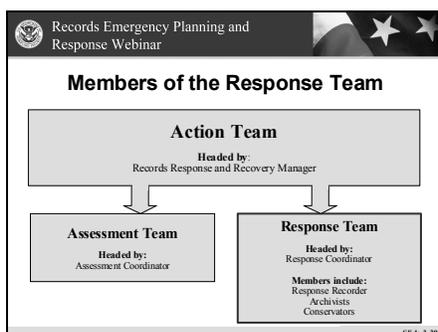
- Separating records and other material to be recovered
- Moving records to be recovered from affected areas to drying, staging, or other storage spaces
- Packing records that will require shipment to another facility
- Drying material

Other responsibilities may include:

- Maintaining tracking logs of the pack-out, including inventories and dates on which items are sent out of the building to off-site storage or other facilities
- Maintaining documentation of records which have been frozen, treated, or dried; documentation of where records have been relocated; and documentation of records in need of additional attention
- Labeling records that have lost identifying information
- Labeling or relabeling boxes with locator information and boxes ready for shipment

It makes sense, if there is sufficient space, to have different Response Team groups performing different sets of activities, so that they can proceed simultaneously.

Show slide 3-39.





Review the members of the Response Team.

Members of the Response Team include:

- Response Coordinator
- Response Recorder
- Archivists and Conservators

Say: Let's look at each team member in detail.

Review the responsibilities of the Response Coordinator.

Response Coordinator

The Response Coordinator, who reports to the Records Response and Recovery Manager, organizes and manages the response and recovery process. In many cases, the Assessment Team Coordinator and the Response Team Coordinator will be the same person.

The Response Coordinator is responsible for:

- Setting priorities based on information received from the assessment of the Assessment Team
- Assigning Response Team members to teams and designating roles and responsibilities
- Instructing the Response Team on the response plan and how the team will carry it out
- Providing the team with health and safety precautions and instructions
- Monitoring the progress of the response and the continuing health and safety concerns of the Response Team members
- Reporting on the progress achieved, actions taken, problems encountered, and future risks



Review the responsibilities of the Response Recorder.

Response Recorder

The Response Recorder is responsible for:

- Documenting the progress of the response
- Keeping records of all documentation (photographic, mapping, communications, and decisions) related to the incident
- Recording and tracking purchases and orders placed
- Coordinating requests for materials, information, and other assistance
- Recording the number of hours worked by Response Team members

Explain that the Response Recorder should maintain all documentation needed for reimbursement by FEMA in a presidentially declared disaster.

Point out that the Response Recorder will require immediate access to a telephone.

This position will require immediate access to a telephone.

Review the responsibilities of the Archivists and Conservators.

Archivists and Conservators

Archivists and conservators are responsible for:

- Working with both the Assessment and the Response Coordinator to advise on recovery priorities concerning records and different types of materials
- Recommending appropriate techniques and procedures
- Assisting in choosing and locating supplies, equipment, and services necessary for recovery

The Archivists and Conservators may take on other leadership roles because of their familiarity with the records and recovery techniques for records composed of different materials.



Say: Information about your state's sources of archivists and conservators is provided on the IPER Resource Center.

Say: Let's take a moment to visit the Resource Center and look at your state's sources of archivists and conservators.



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 sources of archivists and conservators.

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

Access to archivists and conservators will differ across state and local government agencies. To learn more about your state's sources of archivists and conservators, please visit the IPER Resource Center, at:

<http://www.statearchivists.org/resource-center/iper>

Say:

- Let's see what you learned about the Response Team roles and responsibilities.
- Answer the question shown in the content area of the iLinc window.



Launch polling question
in iLinc:

- **PQ 3.1**—The Response Coordinator’s responsibilities include:
- **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.
- **Provide** the correct answer:
 - All of the above

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



Transition: Let’s take a look at an incident that can be handled in-house.



PG 3-43

Show slide 3-40.

Records Emergency Planning and
Response Webinar

**Definition of an Incident That Can
Be Handled In-House**

- Small area
- Few records
- Clean water

Photo courtesy of NARA—NARA's Washington
National Records Center—2005

Slide 3-40

Review the criteria for determining whether an incident can be handled in-house.

Say: Pack-out is the process of removing the materials from the shelves, file cabinets, etc., moving them to a staging area, applying the tracking procedures, and moving them from there to the recovery area or to the contractor's facility.

Definition of an Incident That Can Be Handled In-House

If the incident is confined to a small area or a few records and involves hardcopy records damaged by clean water, the Response Team may be able to respond and recover on site or at a nearby facility, with a minimal plan, using the staff and resources on hand. Evaluate the magnitude of the incident and its impact on your records against the resources you have available.

Clean-water damage that affects fewer than 10 boxes of records is the most common occurrence, and can be easy to recover from with sufficiently trained staff, space, and the appropriate supplies.

Even if the emergency is large-scale and affects a large volume of records in different formats, you may choose to recover some of the paper records on site if, for instance, they are only damp, are needed for resumption of operations, are confidential, or for another compelling reason.

With proper supervision, staff with no prior experience can be trained to handle pack-out, freezing, and drying procedures as appropriate.



- **Point out** that this will be discussed in detail in the next lesson.

Say: Small water incidents left untreated can cause mold which can turn a possible in-house recovery into one that requires a paid contractor to resolve.

Review the tips on handling wet records in-house.

Tips on Handling Wet Records In-House

Remember that paper swells when wet and becomes much heavier. One damp or wet records center box, which holds about one linear foot of records, can weigh up to 40–60 pounds, so be cautious when lifting. Also, damp or wet records are more easily torn, so be sure to handle them carefully.

Drying space is also a consideration—make sure you have enough space to accommodate the expected volume. A damp or wet records center box will require at least one 2.5' × 8' table to dry over several days. You will need to spread the records out in stacks no higher than one-quarter to one-half an inch thick. Under dry conditions with good air circulation, they should dry in one to three days.

Review the problems with mold.

Point out that mold will also be discussed in detail in the next lesson.

If records are not dried in 48 to 72 hours, they may develop mold, which is:

- Dangerous for staff to handle without protective gear
- Damaging to the records
- Difficult and expensive to recover from

Mold can cause irreversible damage to the records. Recovery techniques for mold cause weakening and discoloration of the original records beyond the water and mold damage itself.



Say: Not all agencies will be able to handle even a small-scale incident entirely with in-house expertise and resources. It is better to request assistance sooner rather than later, before the situation becomes more complex.



Transition: Let's take a look at an incident that will require external resources and/or contractors.



PG 3-45

Show slide 3-41.

Records Emergency Planning and Response Webinar

Definition of an Incident That Will Require External Resources and/or Contractors

- Large-scale incident
- Large volume of records
- Extensive and serious damage
- Records on special media and formats

Photo courtesy of NARA—Hurricane Katrina—Orleans Parish—2005

Slide 3-41

Review the criteria for determining whether an incident would require external resources and/or contractors.

You will need to call on external resources, including the services of experts and contractors, if:

- The incident is large-scale and affects a large volume of records
- The incident is beyond the capability of your space and staff to perform an effective recovery



Point out that external help is needed when the damage to the records:

- Is extensive and serious
- Affects records on special media and formats

Remind participants that you discussed the types of contaminants in water in the previous session.

There are some instances in which you will need to implement special handling and pack-out procedures: if the damage to the records is extensive or serious, such as that caused by fire, mold, or contaminated water, or if the records are on special media formats, such as photographic material, hard drives, or magnetic tapes. If you don't have personnel trained in the appropriate handling and packing of such records, you will need to use a contractor who can provide these services.



Transition: Included in your response plan should be your staffing plan for the response and recovery stages.



PG 3-46

Plan for Staffing the Response and Recovery Stages

Show slide 3-42.

Records Emergency Planning and Response Webinar

Plan for Staffing the Response and Recovery Stages

- The nature, severity, and extent of the incident will determine the make-up of the Response Team.

Photo courtesy of NARA

Slide 3-42

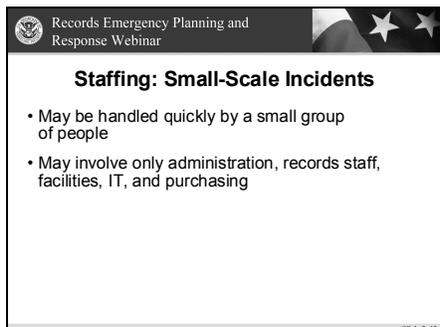
Explain that the nature, severity, and extent of the incident will determine the size and make-up of the team.

The nature, severity, and extent of the incident will determine the size and make-up of the team you assemble.



Small-Scale Incidents

Show slide 3-43.



Review the staffing requirements for small-scale incidents.

Point out that small-scale incidents, although small, should still be recorded, documented, and communicated.

A minor incident, such as a small leak in the ceiling during business hours or the collapse of a shelf, may be handled quickly by a small group of people, and may involve only administration, records staff, facilities, information technology (IT) (in the case of electronic records and equipment), and purchasing. This group may be able to recover the materials; assemble needed equipment such as

book carts, fans, and dehumidifiers; and purchase supplies and replacements with a relatively small outlay of time, money, and equipment.

Even though some incidents are small-scale, they should still be documented and made known to senior management. Small incidents should be reviewed by the administration to ensure that they do not lead to larger incidents later; for example, small leaks can be a precursor to failure of an entire piping system.

NOTE TO INSTRUCTOR:

- If you have time, you may wish to conduct the following feedback question.

Say: I'd like to know how many of you have had a small-scale incident that you dealt with on site and with your regular staff.



Set up the Feedback tool in iLinc.

- **Select** the “Yes/No” answer set.

Say: Let me know if you’ve handled a small-scale incident in-house by selecting the appropriate response from the choices displayed in the Feedback area.

Allow participants enough time to respond; then **briefly address** the results.

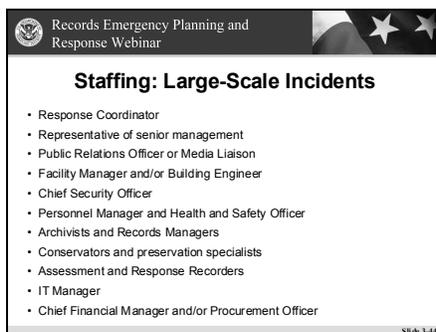
When done, **withdraw** the feedback.

NOTE TO INSTRUCTOR:

- If time allows, you may wish to follow up on the participants’ responses to the feedback by asking them to share their experiences.

Large-Scale Incidents

Show slide 3-44.





Review the staffing requirements for large-scale incidents.

For a large-scale incident, the Response Team may include some or all of the following members:

- Response Coordinator
- Representative of senior management
- Public Relations Officer or Media Liaison
- Facility Manager and/or Building Engineer
- Chief Security Officer
- Personnel Manager and Health and Safety Officer
- Archivists and Records Managers
- Conservators and preservation specialists
- Assessment and Response Recorders
- IT Manager
- Chief Financial Manager and/or Procurement Officer

Say: Keep in mind that, depending on the scope of the incident, the same individuals may or may not play more than one role on the team.

Say: Remember that recovery is hard work, and that what appears to be a small recovery project may require more staff than is obvious at the beginning.



Transition: Another part of your response plan involves determining which records will be recovered and in what order.



PG 3-49

Determine Response Priorities

Show slide 3-45.

Records Emergency Planning and
Response Webinar

Determine Response Priorities

- Use the salvage priorities specified in your REAP.
- As a general rule, recover essential and valuable records first.
- The Response Team must also be concerned with all records at the damage site.

Photo courtesy of NARA—Disaster Response Team pack-out after fire—Sulland, MD

Slide 3-45

Review determining response priorities.

Emphasize the fact that you should determine the availability of essential record backups prior to initiating recovery.

Determine which records to recover using the salvage priorities specified in your REAP. As a general rule, recover essential and valuable records first. However, you should determine the availability of essential record backups prior to initiating recovery. If it is confirmed that backups exist and that those backups are adequate surrogates and can be accessed, then you can refocus your recovery efforts on other records (inasmuch as having backups makes the salvage of the backed-up records a lower recovery priority).

In addition to essential and valuable records, the Response Team must also be concerned with all records at the damage site.

- Valueless records suddenly become important as a nuisance and cost factor if they must be moved out of the way for reconstruction or repair of the facility, for shredding, or because of mold growth.
- Undamaged records may be destined for storage, but if they have been in an environment conducive to mold growth, records storage facilities may refuse to take them.



Transition: Another item in your response plan should be the Emergency Operations Center.



PG 3-50

Set Up the Emergency Operations Center

Show slide 3-46.

Records Emergency Planning and
Response Webinar

Set Up the Emergency Operations Center

- Identify one or more areas on site that can serve as a Emergency Operations Center and/or area for response operations.
- Make sure communication equipment is available.
- Designate a spokesperson.

Photo courtesy of FEMA/ES Edahi

Slide 3-46

Review setting up an Emergency Operations Center.

As part of your response planning activities, you should identify one or more areas on site that can serve as an Emergency Operations Center and/or area for response operations.

If the emergency is relatively small-scale and you can continue to occupy your building, set up an Emergency Operations Center on site with office equipment such as desks, computers, fax machines, a photocopier, and Internet access. Make sure communication equipment is available. If land lines and cell phones are not operable, use walkie-talkies.

Explain that a spokesperson should be selected.

Designate a Spokesperson

Make sure someone from your Public Relations, Communications, or Director's Office is available and authorized to act as spokesperson, and that you keep him or her informed so that he or she can provide accurate information to the media. The spokesperson can also make appeals for assistance and volunteers, if necessary.



Transition: Activating the notification system is also a step in planning your response.



PG 3-51

Activate the Notification System

Show slide 3-47.

Records Emergency Planning and Response Webinar

Activate the Notification System

- Follow the procedures in the REAP's Communication Plan.
- If communication systems are working:
 - Notify the Action Team members.
 - Inform them of the nature of the emergency.
 - Decide which members of their teams they should summon.
 - If you cannot reach an Action Team member, contact his or her alternate.

Slide 3-47

Review activating the notification system.

Say: Part of the planning must include a notification procedure.

Activate the Phone Tree and make provisions to assemble the necessary equipment and services at the appropriate areas (staging area, emergency area, recovery area, etc.). Tell each staff person to whom he or she will report and what his or her role and responsibilities will be.

Follow the procedures as written and tested in your REAP Communication Plan.

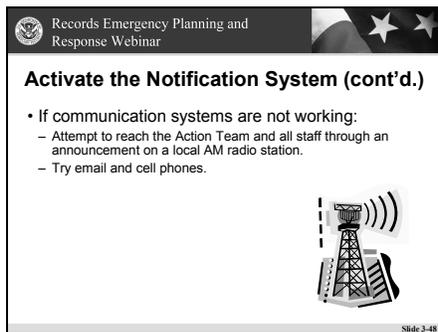
If communication systems are working, do the following:

- Notify the Action Team members, who should include the Facility Manager as well as the heads of security, facilities, IT, and finance.
- Inform them of the nature of the emergency and decide which members of their teams they should summon.
- If you cannot reach an Action Team contact within a specified time period, such as an hour, contact his or her alternate.



Point out that a growing number of cities and college campuses are using community alert systems, similar to Reverse 911, in which emergency notifications are distributed via automated telephone calls and email messages. You might be able to tap into such a system for notifying staff when an incident occurs.

Show slide 3-48.



Go over the suggestions of what to do if communication systems aren't working.

If communication systems are not working (for example, services are disrupted or it's after hours) and you have had no warning ahead of time:

- Attempt to reach the Action Team and all staff through an announcement on a local AM radio station which they have been monitoring as part of the disaster plan.
- Try email and cell phones in case service is available.

Explain that you may need to use a variety of approaches if communication systems are down, including Twitter and individuals or organizations that could serve as remote points of contact.



Point out that it may take some time for staff to respond, as they may be dealing with their own personal emergencies.

Remember that staff may be dealing with damaged or destroyed homes or injured or missing family members, and may not be able to respond until their personal situations are stabilized.



Transition: Once you've contacted and assembled your staff, it's important that the full Response Team meet on site.



PG 3-53

Meet On Site

Show slide 3-49.

Records Emergency Planning and Response Webinar

Meet On Site

- Review procedures with team leaders.
- Inform them of the priorities and arrangements made by the emergency on-site coordinator.
- Make staff assignments.
- Decide how many staff members you will need to mobilize.

Slide 3-49

Review meeting on site.

Review procedures with team leaders and inform them of the priorities and arrangements made by the emergency on-site coordinator. Make staff assignments based on what needs to be done, as well as on individuals' skills, abilities, and experience. Decide how many staff members you will need to mobilize to implement the response plan.



Transition: Another step in planning your response is to plan for supply and equipment deployment or purchase.



PG 3-54

Plan for Supply and Equipment Deployment or Purchase

Show slide 3-50.

Records Emergency Planning and
Response Webinar

Plan for Supply and Equipment Deployment or Purchase

- Use the Supplies section of your REAP.
- Determine the supplies and equipment you will need.
 - What do you have on hand?
 - What do you need to purchase?

Photo courtesy of NARA

Slide 3-50

Review planning the supplies.

Use the Supplies section of your REAP to help determine what supplies and equipment you will need (including IT equipment), what supplies you have on hand, and which additional items you will need to purchase.

If you will need protective equipment, such as hardhats, masks, gloves, rubber boots, respirators, and suits, make sure the equipment is available before staff enters the affected area.

Arrange for the supplies you will need to be delivered to the staging and/or recovery area.

Remind participants that a Supplies and Equipment List is provided in **Handout 2.4**.

(Refer to **Handout 2.4**—Supplies and Equipment List for an example of a supplies list.)



Transition: You also need to plan for keeping track of the records.



PG 3-55

Plan the Record Tracking System

Show slide 3-51.

Records Emergency Planning and Response Webinar

Plan the Record Tracking System

- All records moved from an affected area need to be tracked to ensure they are:
 - Accounted for throughout response and recovery
 - Returned to proper locations
- Track records even in small-scale incidents.
- Develop codes and labels.

Photo courtesy of NARA—Washington National Records Center (WNRC)—2006

Slide 3-51

Review planning the record tracking system.

Records will have to be moved from the affected areas to the on-site recovery area or to the staging area for transport off site or to a contractor. These records need to be tracked to ensure that all records are accounted for throughout the entire response or recovery process and are returned to their proper locations.

Even if the incident is small-scale, you will need to track which records have been removed, their original location, their location during recovery, type(s) of damage, and all actions performed on the records.

Keep in mind that the “location during recovery” may require special security if the records contain sensitive content that could affect public safety, personal privacy, or similar issues. Special consideration will also be required for records having significant monetary value.

The list of records (with salvage priorities and locations) must itself be kept secure. If it is not, it could be easier for someone to steal valuable or sensitive records.

The person assigned to begin recording this information on site will need paper, pens, pencils, waterproof markers, and a clipboard.



From your initial assessment, you will have determined which records need to be removed and in what order, although you must remain flexible if additional damage is uncovered during the pack-out or if the damage is not as extensive as first thought.

Explain that codes and labels should be developed to aid with tracking.

Say:

- If you used the “Initial Emergency Assessment and Response Checklist” form in **Handout 2.5**, you will already have assigned codes related to the “Nature of the Damage” and can use those.
- You will also want to note where the original records were stored, being as specific as possible, for example, the aisle, shelf, cabinet, and drawer number.
- If the records are scattered all over the floor, do your best to match them to their original location, even if all you can do is specify a room or cubicle number.

Point out that participants will need to document:

- Where they found the records
- What needs to be done to the records
- What, if any, security is required
- The recovery priority

Develop codes and labels for tracking. The codes should denote the original location, type of treatment needed, level of security required, and/or priority. If you must improvise, try to stay within the naming conventions and select terms that are self-explanatory.



Explain that contractors will have a tracking system in place, but that the agency will need to work with the contractor to link it to the agency's database.

Say: The Response Team may need to work alongside the contractor to assist with tracking control and to respond to records and materials issues that arise during response and pack-out.



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

- Document name: **Handout 3.1—Sample Pack-Out Tracking Log.**
- **Tell** participants to go to **Handout 3.1—Sample Pack-Out Tracking Log** for an example of a tracking system that can be set up easily and quickly.
- **Point out** the information captured in the tracking log.

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

Say:

- Let's see what you learned about the records tracking system.
- Answer the question shown in the content area of the iLinc window.

If you are working with contractors, they will have a tracking system in place. The agency will need to work with the contractor to link the contractor's tracking system to the agency's database.

(Refer to **Handout 3.1—Sample Pack-Out Tracking Log** for an example of a tracking system that can be set up easily and quickly using a word-processing document, a spreadsheet, or a simple database.)



Launch polling question
in iLinc:

- **PQ 3.2**—True or false? If the incident is small-scale—for example, 10 or fewer boxes of records—a tracking system does not need to be implemented.
- **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** results with the participants via iLinc.
- **Provide** the correct answer:
 - False

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



Transition: If a contractor will be needed to assist with any response actions, consider what kinds of orders will be needed.



PG 3-57

Plan for Contractor Response

Show slide 3-52.

Records Emergency Planning and
Response Webinar

Plan for Contractor Response

- Prepare the Contract Task Order and Deliverables.
 - Describe the incident.
 - Contract specifications (examples)
 - Contractor's contact person
 - Work to be performed
 - Deliverables
 - Criteria for assessing performance
 - Time for completion
 - Security requirements
 - Itemized cost estimates
 - Agency's contract administrator
 - Agency responsibilities under the contract

Slide 3-52

Go over the items that should be included in the Task Order to the contractor.

Prepare the Contract Task Order and Deliverables

Treat any outside entity that is providing assistance as a “contractor” to ensure clear communication about your requirements, even if your contractor is another government agency (such as an IT department) or your private IT support provider.

The Task Order to the contractor should do the following:

- Describe the incident or condition that triggered the emergency.
- Describe the formats of all of the affected records.
- Specify the work to be carried out by the contractor.
 - Spell out who will be responsible for what.
- Identify exactly what the agency representative has to approve.
 - Make it clear that the agency will make all major decisions.
- List the deliverables (be specific and try to cover all necessary work).
- Include specific security requirements.



- Identify who will oversee the pack-out, tracking system, etc.
- Include a cost estimate for every service.
- Establish a timeframe for completion of the work.
- Identify the criteria for accepting work performance.

It may be necessary to work with more than one contractor to achieve all of the objectives for the recovery in a timely and effective manner. This can be done either by subcontracting through a single contractor or contracting separately by record medium or recovery strategy.

Say: Remember to check first to see whether your government already has a contract in place that can simply be invoked. You may not need to start from scratch. Contact your agency's records officer or emergency manager to find out what might be available. We discussed available contracts in Session 2. Refer to page PG 2-28 for a review.

Remind participants briefly about any statewide or other contracts that are available to them.

Review the items that should be included in a contractor's estimate.

The contractor may participate in developing an estimate for the incident. The estimate should include:

- A description of all services to be provided as Task Orders or Deliverables
- A cost estimate for each and every service
- A timeframe for completion of the work
- Criteria for accepting work performance

State in the Task Order that payment will be authorized only after the products are reviewed for quality and accepted.



Contractor Services and Equipment

Show slide 3-53.

Records Emergency Planning and Response Webinar

Contractor Services and Equipment

- Examples include:
 - Dehumidification
 - Freezer and cold storage
 - Sanitization and decontamination
 - Mold remediation
 - Media recovery

Photo courtesy of NADIC—Sullivan—Munters' Moisture Control providing building dehumidification—2000

Slide 3-53

Contractor services may include:

- Dehumidification for the location
- Freezer and cold storage facilities
- Transportation in freezer trucks
- Vacuum freeze drying
- Sanitization and decontamination services
- Mold remediation services
- Media recovery and preservation reformatting
- Data recovery services

Deliverable(s) for Records Emergency Response and Recovery Task Order

Show slide 3-54.

Records Emergency Planning and Response Webinar

Deliverable(s) for Records Emergency Response and Recovery Task Order

- Examples include:
 - Facility stabilization
 - Rehousing and relabeling
 - Retrieving, packing, and transporting damaged records
 - Vacuum freeze drying water-damaged records
 - Sanitizing, decontaminating, and/or cleaning
 - Recovery of special formats
 - Reformatting damaged records

Slide 3-54



Review the deliverables on a Task Order for records emergency response and recovery.

Say: It may be necessary to include several deliverables on Task Orders, divided by special media formats.

The deliverables on a Task Order for records emergency response and recovery may include any or all of the following actions:

- Facility stabilization
- Rehousing and relabeling records in new containers
- Retrieving, packing, and transporting of damaged records
- Freezing water-damaged records
- Storage of frozen records until recovery is completed
- Vacuum freeze drying water-damaged records
- Air drying records
- Cleaning records
- Sanitizing and/or decontaminating records
- Recovery of special formats, including photographs, microfilm, magnetic media, film, electronic record formats such as CDs, DVDs, optical disks, hard drives, etc.
- Reformatting of paper-based, film-based, electronic, microfilm, and magnetic tape records



PG 3-61

Show slide 3-55.

Records Emergency Planning and
Response Webinar

Document Your Response Plan

- Document the decisions and plans you've made while planning your response.

Slide 3-55

Document Your Response Plan



Explain that your response plan should be documented.

When planning your response, it's important to document the decisions and plans you've made. **Handout 3.2—Response Plan Template** provides a sample template for documenting your response plan.



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

- Document name: **Handout 3.2—Response Plan Template**
- **Tell** participants to go to **Handout 3.2—Response Plan Template** for a sample template for documenting your response plan.
- **Review** the handout and **point out** the information that should be captured when documenting your response plan.

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



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

Resolve any outstanding questions.



Transition: Let's take a look at implementing your response.



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Lesson 3: Implementing the Response

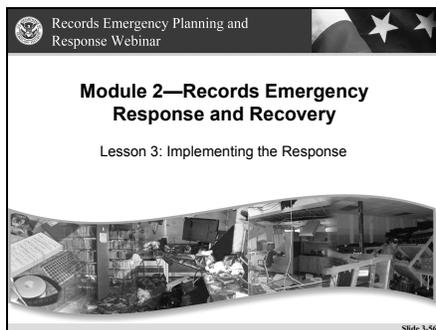


PG 3-63

(Duration: 10 minutes)

START TIME: _____

Show slide 3-56.



Introduce the lesson.

Say:

- Now that you have a response plan in place, Lesson 3 will provide detailed information and guidance on implementing a response to a records emergency.
- We'll examine personal health, safety, security, and privacy issues; initial action steps; procedures for handling specific types of damage; and working with contractors.
- Let's start by taking a look at your first priority in a response: personal health and safety.



PG 3-64

First Priority—Personal Health and Safety During Response

Show slide 3-57.

Records Emergency Planning and Response Webinar

First Priority—Personal Health and Safety During Response

- Personal protection equipment
- Personal hygiene
- Prevention of dehydration, exhaustion, and injury
- Decontamination procedures

Photo courtesy of NARA

Slide 3-57

Introduce the health and safety issues that should be addressed during a response.

The assessment of damage to the records has been made, the response has been planned, and the Response Team has been assembled and is ready to begin the response. But, as always, personal safety and health come first.

The health and safety issues that should be addressed during a response include personal protection equipment; personal hygiene; prevention of dehydration, exhaustion, and injury; and decontamination procedures.

Say: Let's look more closely at these issues.

Review the personal protective equipment that may be necessary during a response.

Personal Protection Equipment

- Steel-toed boots, preferably water-proofed
- Heavy-duty, water-proof work gloves
- Something to cover your nose and mouth if there is a potential for splashes or airborne particulates (dust)
- Goggles or safety glasses with side shields
- Long-sleeve shirts and long pants or coveralls
- An ANSI-approved hardhat if there is a danger of falling debris



- Hearing protection such as ear plugs or landscaper's ear muffs if you are in an area where you must shout to be heard
- Mosquito repellent in tropical areas
- If there is a risk of contaminants, including mold, a fit-tested respirator with:
 - High Efficiency Particulate Air (HEPA) filtration for mold or biological hazards
 - N95-filtration (activated charcoal), if advised to minimize unpleasant odors

Review the personal hygiene rules that may be necessary during a response.

Personal Hygiene Rules

- Do not, under any circumstances, put your hands in your mouth or on objects that could go into your mouth, such as water bottles or food.
- Wash your hands and body with soap and warm, drinkable water. Don't scrub too hard, or rub overly hard on your skin, which needs to remain intact to prevent infection.
- Clean cuts and abrasions thoroughly with soap and water and apply antibiotic ointment.

Review the steps to take to prevent dehydration, exhaustion, and injury during a response.

Prevention of Dehydration, Exhaustion, and Injury

- Drink lots of water (or a 50:50 mix of sports drink and water), and drink at least every half-hour. Avoid soda, alcohol, coffee, and tea, as they can dehydrate your body.
- Take frequent rest breaks and rotate physical tasks.
- Eat light meals.
- Avoid direct sunlight; wear a hat, sunscreen, and loose-fitting clothes if you have to work in the sun.



- Take care when lifting heavy boxes, especially if they are waterlogged, because wet paper is significantly heavier than dry.
- Use caution when walking in water or when working with wet hands to avoid electrical shock or serious injury.
- If working in hot weather, do the heaviest work early in the morning, from 6:00 a.m. to 11:00 a.m., and late in the afternoon, from 3:00 p.m. to 7:30 p.m.
- Notify your supervisor if you or any of the Response Team members have health or medical conditions, such as high blood pressure, a heart condition, back problems, or allergies.
- If you or a team member begins to feel unwell, stop physical tasks and let someone know.



Refer participants to **Handout 3.3**—Personal Health and Safety During Response for a one-page, printable version of this list.

(Refer to **Handout 3.3**—Personal Health and Safety During Response for a one-page, printable version of this list.)

Review how to decontaminate equipment and clothing during a response.

Decontaminating Equipment and Clothing

- Wash gear with warm, soapy water and/or bleach.
- Wash clothing normally in a household washer.



Transition: Let's look at how to work with mold and other contaminants.



PG 3-66

Working With Mold and Other Contaminants

Show slide 3-58.

Records Emergency Planning and Response Webinar

Working With Mold and Other Contaminants

- Molds, bacteria, and other contaminants can have an adverse effect on people.
- Mold is the most common contaminant in water-based emergencies.
- When working with moldy records wear protective gear.

Photo courtesy of NARA—Using a fume hood, NARA conservator removes mold from dried record

Slide 3-58

Review working with mold and other contaminants.

Point out that people should also be aware of region-specific contaminants (for example, hantavirus in the Western United States, which is contracted from contact with rodent urine and droppings).

Molds (fungi, bacteria, and other water- and air-borne contaminants) can have an adverse effect on people, particularly individuals with allergies, asthma, or other respiratory problems, or immune system problems. People with respiratory impairments and sensitivities or compromised immune systems should stay away from contaminated areas.

The most common category of contaminant in water-based emergencies is mold. Be warned that mold is most likely present in any building that was flooded. If mold is present, response personnel will require additional respiratory protection.

When working with moldy records, wear a respirator, disposable rubber or plastic gloves, a lab coat, and eye protection. Wash clothing in hot water and bleach after exposure to mold and make sure that you don't touch your mouth, nose, or eyes with contaminated fingers.

Ordinary dust masks are not sensitive enough to filter mold spores. You will need to be fit-tested for a respirator with a High Efficiency Particulate Air (HEPA) filter. Be aware that respirators are ineffective if used improperly. People with facial hair will not be protected, as they cannot get a sufficiently tight fit.



Say: This section is adapted from the State Library and Archives of Florida’s website. The URL for the website is provided in **Reference 01**—Resource Center, References, Reading List.



Transition: Now let’s look at your second priority, security and privacy.



PG 3-67

Second Priority—Security and Privacy

Show slide 3-59.

Records Emergency Planning and Response Webinar

Second Priority—Security and Privacy

- Security
 - Allow only authorized people in affected areas.
 - Use a tracking system.
 - Process damaged records in secure areas.
 - Never leave records unsupervised or in an insecure location.
 - Try to maintain at least the same level of security as existed before the incident.

Slide 3-59

Introduce the second priority, security and privacy, with regard to response and recovery.

Go over the security provisions for handling damaged records.

After ensuring the Response Team’s health and safety during the response, your next priority is to ensure the security and privacy of the affected records.

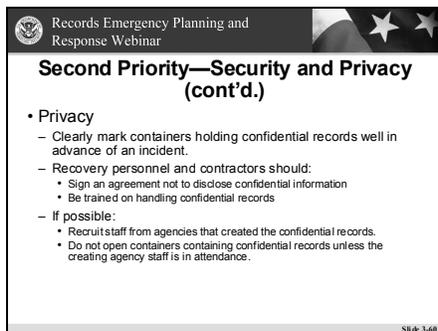
Security

During a response, damaged records are typically relocated from their current location to a location not affected by the emergency. No longer in controlled-access offices or storage areas, the records face security issues such as theft, vandalism, or mutilation. Do the following to maintain the security of records:



- Ensure that only those people authorized to participate in recovery are allowed into affected areas.
- Ensure that a tracking system is in place and is monitored.
- Process damaged records in secure areas.
- Never leave the records unsupervised or in an insecure location.
- Try to maintain at least the same level of security as existed before the incident (locked storage, locked cabinets, safes), to the degree practicable, when recovery action is not taking place.

Show slide 3-60.



Go over the privacy provisions for handling damaged confidential records.

Privacy

In addition to security issues, privacy also becomes an issue when confidential records are affected. Do the following to maintain the privacy of confidential records:

- Ensure that containers holding confidential records are clearly labeled well in advance of any emergency and include the creating agency's name.
- Ensure that people authorized to participate in recovery (1) have signed an agreement not to disclose confidential information and (2) have been instructed on the importance of respecting confidentiality and on how to handle confidential records.



- Ensure that contractors recovering the records, who should be vetted by checking their references, sign an agreement not to disclose confidential information.
- If possible, recruit staff from agencies that created the confidential records to assist in recovery.
- If possible, do not open containers containing confidential records unless the creating agency staff is in attendance.



Transition: Within the first 48 hours after an incident, there are several steps you can take to help mitigate the damage to records.



PG 3-69

Initial Action Steps—Within the First 48 Hours

Show slide 3-61.

Records Emergency Planning and Response Webinar

Initial Action Steps—Within the First 48 Hours

- There are several actions you can take within the first 48 hours to mitigate the damage to records.
- “48 hours” is a rule of thumb—many damaged records can survive far longer than 48 hours.

Slide 3-61

Go over the initial action steps that can be taken within the first 48 hours to help mitigate damage to records, both when you have access to the records and when you don't.

There are several actions you can take within the first 48 hours to help mitigate the damage to the records, including the following:

- Cover materials with plastic if water is dripping on them.



- Remove standing water.
- Drop temperature to 65° F or lower.
- Drop relative humidity (RH) to below 50 percent, and monitor.
- Use fans to circulate air, unless the records are contaminated by mold.

If you don't have access to the records, you can still take steps to mitigate damage, including the following:

- Start whatever planning is possible before actually seeing the damage.
- Order the recovery materials you know you'll need.
- Prepare your coding system and labels (for packing out).
- Get in touch with conservators and document restoration professionals.

Say:

- Did you notice that most of the initial action steps address damage caused by water? That's because, although emergencies take many forms, most of the issues with records come down to water.
- For example, records that can be recovered from a fire have been doused by the water used to extinguish the fire. Storms blow off roofs and allow rain to get in. Floods bring water into buildings and record storage areas.

Point out that “48 hours” is a rule of thumb, and you may not get access until much later.

It should be pointed out that the figure of 48 hours is given as a rule of thumb, and circumstances may dictate otherwise.

You may not get immediate access to emergency areas, and records professionals may be denied access for far longer than 48 hours.



Explain that many damaged records can survive far longer than 48 hours, so don't think the records are lost.

However, many damaged records can survive far longer than 48 hours, so don't think after 48 hours that you should throw in the towel and write off the records as lost.



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

- Document name: **Handout 3.4—Emergency Response Checklist: First 48 Hours**
- **Tell** participants to go to **Handout 3.4—Emergency Response Checklist: First 48 Hours** for a thorough listing of actions that should be performed within the first 48 hours of an emergency.

For a thorough listing of actions that should be performed within the first 48 hours of an emergency, refer to **Handout 3.4—Emergency Response Checklist: First 48 Hours**.

- **Point out** the information captured in the checklist.

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

Say:

- Let's see what you learned about the initial action steps.
- Answer the question shown in the content area of the iLinc window.



Launch polling question in iLinc:



- **PQ 3.3**—What should you do if you are denied access to damaged records for more than 48 hours?
- **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** results with the participants via iLinc.
- **Provide** the correct answer:
 - Wait until you gain access to the area where the damaged records are located; then begin response and recovery actions. “48 hours” is just a rule of thumb, and many damaged records can survive far longer than 48 hours.

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



Ask: Before moving on, are there any questions about what we’ve covered so far?

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 module, we’ll go over your Take-Home Activity.



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Session 3 Review and Wrap-Up



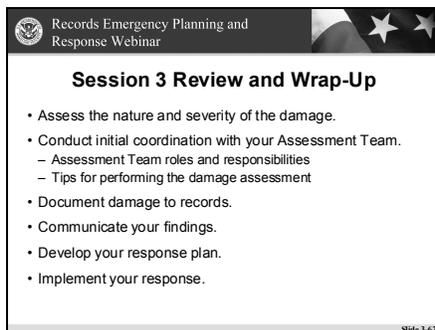
PG 3-71

(Duration: 5 minutes)

Session Review

START TIME: _____

Show slide 3-62.



Records Emergency Planning and Response Webinar

Session 3 Review and Wrap-Up

- Assess the nature and severity of the damage.
- Conduct initial coordination with your Assessment Team.
 - Assessment Team roles and responsibilities
 - Tips for performing the damage assessment
- Document damage to records.
- Communicate your findings.
- Develop your response plan.
- Implement your response.

Slide 3-62

Review the key points covered in this session.

Say:

- In this session, we focused on putting your REAP into action to assess the damage to records, develop your response plan, and implement your response.

NOTE TO INSTRUCTOR:

- The Session Review can be conducted as a Q&A session or as an instructor presentation. Instructions are provided 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 which records are typically recovered first during an emergency? Answer via the Chat tool “Public” Tab.



Open a prepared Powerboard in iLinc:

- **PB 3.1**—Session 3 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 done 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.

- How to assess the nature and severity of damage
 - OPTIONAL: Redisplay slide 3-17, “Assess the Nature and Severity of the Damage”
 - **Say:** We started the session by examining how to assess the nature and severity of the damage to records after an emergency

- How to conduct the initial coordination meetings with your Assessment Team
 - OPTIONAL: Redisplay slide 3-22, “Initial Coordination Meeting with Assessment Team”
 - **Say:** We then learned about the initial coordination for medium- and large-scale incidents, including meeting with your Assessment Team.

In Session 3, you learned:

- How to assess the nature and severity of the damage

- How to conduct the initial coordination meetings with your Assessment Team



- Assessment Team roles and responsibilities
 - OPTIONAL: Redisplay slide 3-23, “Assessment Team Roles and Responsibilities”
 - **Say:** We also reviewed the Assessment Team roles and responsibilities.
- Tips for performing the damage assessment
 - OPTIONAL: Redisplay slide 3-26, “Entering the Area Where the Damage Has Occurred”
 - **Say:** Next we reviewed several tips for performing the damage assessment. We learned how to enter the damaged area safely, and how to use our five senses and common sense to keep ourselves and our team members safe; and we addressed security.
- How to document damage to records
 - OPTIONAL: Redisplay slide 3-29, “Document the Volume and Extent of Damage”
 - **Say:** We examined documenting the damage to records and learned the importance of taking photographs and video of the scene. We also learned the specific information needed to identify the damaged records and to determine the appropriate response and recovery priorities.
- Assessment Team roles and responsibilities
- Tips for performing the damage assessment
- How to document damage to records



- Communicating your findings
 - OPTIONAL: Redisplay slide 3-34, “Communicate Your Findings”
 - **Say:** Finally, we reviewed the need to communicate your findings to senior management and all relevant custodians and owners.
- Developing your response plan
 - OPTIONAL: Redisplay slide 3-36, “Transferring Authority from the Assessment Team to the Response Team”
 - **Say:** We started the session by examining how to develop a response to a records emergency, starting with the first step of transferring authority from the Assessment Team to the Response Team.
 - **Say:** We then examined the Response Team’s roles and responsibilities.
 - **Say:** We examined how to determine whether an incident can be handled in-house or whether you need external resources.
 - **Say:** And we addressed the issues that need to be part of your response plan, including:
 - Planning for staffing
 - Determining response priorities
 - Setting up the Emergency Operations Center
 - Activating the notification system
- The importance of communicating your findings
- Developing your response plan



- Setting up the on-site meeting
- Planning for supplies and equipment
- Planning the record tracking system
- Planning for contractor response

Say: Once you have the response plan in place, it's time to implement the response.

- OPTIONAL: Redisplay slide 3-57, "First Priority—Personal Health and Safety During Response"

Say:

- We addressed the first step in implementing your response: personal health and safety.
- We then examined security and privacy issues for handling confidential records.
- Lastly, we examined the initial action steps that should be performed within the first 48 hours.



Ask: Are there any questions before we discuss resources for help?

Resolve any outstanding questions.

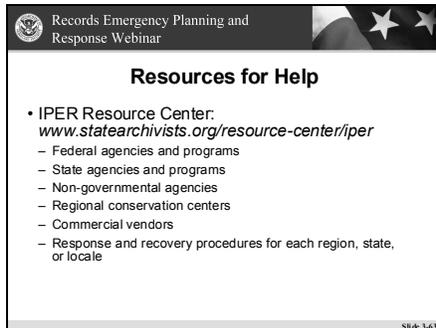
- Implementing your response



PG 3-72

Resources for Help

Show slide 3-63.



Explain that a list of records emergency resources is provided on the IPER Resource Center.

Point out that each region or state will have its own records emergency resources.

Say: Information about the response and recovery resources available in your area is provided on the IPER Resource Center.

Say: Let's take a moment to visit the Resource Center and look at the response and recovery resources applicable to your area.

- IPER Resource Center—
<http://www.statearchivists.org/resource-center/iper>
 - Federal agencies and programs
 - State agencies and programs
 - Non-governmental agencies
 - Regional conservation centers
 - Commercial vendors
 - Response and recovery procedures for each region or state



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 response and recovery resources applicable to your area.
- Examples may include:
 - Supply caches (if available)
 - Vendor directory
 - Local conservators and IT recovery specialists
 - Local or regional network
 - Local Alliance for Response network

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



Transition: Let’s take
a look at your Take-Home
Activity.



PG 3-73

Take-Home Activity: Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team Activity

(Duration: 5 minutes)

START TIME: _____

Show slide 3-64.



Introduce the activity.

Facilitate the activity using the Activity Instructions on page IG 3-126.



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Activity Setup

Activity Snapshot:

Activity Name:	Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team
Activity Purpose/Goal:	For the participants to continue working on their REAPs.
Notes:	None
Prerequisite for Subsequent Activities (name and location of subsequent activities):	No Note: The REPR course activities can be conducted independently and in any order, but all activities must be completed to build a REAP
Group or Individual Activity:	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">• 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">• Handout 3.5—Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team
Activity Scenario (if applicable):	None
Activity Debrief:	Group discussion, conducted at the beginning of Session 4

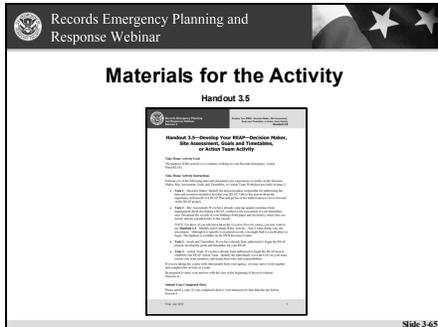


Activity Instructions:

Instructions:

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

Show slide 3-65.



Tell participants to locate the materials for the activity:

- **Handout 3.5**—Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team

Tell participants to raise their hands when they've located **Handout 3.5**.

- **Assist** any participants having trouble locating the handout.

Point out the following in the handout:

- The instructions on page 1.
- The Decision Maker, Site Assessment, Goals and Timetables, or Action Team Worksheet, on page 2.

Say: The purpose of this activity is to continue working on your REAPs.

Tell the participants that this is a Take-Home Activity to be completed outside of the webinar session.

Say: For this activity, you will choose to complete one of the following four tasks and document your experiences or results on the Decision Maker, Site Assessment, Goals and Timetables, or Action Team Worksheet:

Continued on next page...



- **Task 1**—Decision Maker: Identify the decision maker who is responsible for authorizing the time and resources needed to develop your REAP. Talk to this person about the importance and benefit of a REAP Plan and get his or her authorization to move forward on the REAP project.
- **Task 2**—Site Assessment: If you have already come up against resistance from management about developing a REAP, then conduct a site assessment of your immediate area. Document the records in your holdings (both paper and electronic), where they are stored, and any potential risks to the records.
NOTE: For those of you who have taken the *Essential Records* course, you may want to use **Handout 2.3**—Identify and Evaluate Risks Activity—Part 2 when doing your site assessment. Although it is specific to essential records, you might find it a useful place to begin. The handout is available on the IPER Resource Center.
- **Task 3**—Goals and Timetables: If you have already been authorized to begin the REAP project, develop the goals and timetables for your REAP.
- **Task 4**—Action Team: If you have already been authorized to begin the REAP project, establish your REAP Action Team. Identify the individuals you want to be on your team, recruit your team members, and assign roles and responsibilities.

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 Decision Maker, Site Assessment, Goals and Timetables, or Action Team Worksheet is provided as a Word document so you can complete it electronically and submit it via email.

NOTE TO INSTRUCTOR:

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

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 4).

- **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 Session 4.

Continued on next page...



Tell the participants to keep **Handout 3.5** handy, as they will need it in Session 4.



Ask for and resolve any questions.

End the activity.



Show slide 3-66.



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.

Say: This concludes Session 3 of the Records Emergency Planning and Response Webinar.

Say:

- Next week, in Session 4, we'll take a look at recovery procedures for handling specific types of damage, review several common drying methods for water-damaged records, and examine a comparison of records recovery techniques.
- We'll also plan next steps in developing your own REAP.
- We'll meet on <date of Session 4> at <time of Session 4>.



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 appear in the Chat tool, on the "Public" tab.

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

Say: We'd like to remind you that you're welcome to send us an email and let us know your thoughts on the course thus far, and let us know if there's anything that we can do to improve the course or your experience.



Stop the iLinc recorder.



End the webinar session.

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

NOTE TO INSTRUCTOR:

Immediately after the conclusion of Session 3, **do the following:**

- **Email** the Test the REAP Answer Sheet to the participants.