Records Emergency Planning and Response Webinar

Session 1

Instructor Guide

Final, July 2010

FEMA

Course Number: AWR-211-2

DHS Branded Disclaimer Page

FEMA

Table of Contents

Session 1—Administration Page

Duration

130 minutes

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

The blank "Start Time" column 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 help you check whether or not you're on schedule.

Table 1: Suggested Time Plan

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

Table 1: Suggested Time Plan (cont.)

TOPIC	DURATION	START TIME
Module 1—Preparing a Records Emergency Action Plan (REAP)		
• Introduction and Objectives	5 minutes	
• Lesson 1: Overview of Emergency Planning and the REAP	30 minutes	
• Lesson 2: Planning for the REAP	15 minutes	
Session 1 Review and Wrap-Up		
• Session Review	5 minutes	
• Take-Home Activity: Develop Your REAP—First Steps	5 minutes	
Total Duration	**130 minutes**	

Scope Statement

Session 1 introduces the *Records Emergency Planning and Response Webinar*, orients the participants to the iLinc webinar application, and introduces emergency planning and the Records Emergency Action Plan (REAP). It includes:

- Course Introduction

- Session 1 Introduction

- Module 1—Preparing a Records Emergency Action Plan (REAP):

  - Lesson 1: Overview of Emergency Planning and the REAP
  - Lesson 2: Planning for the REAP

- Session 1 Review and Wrap-Up

Course Introduction

In the Course Introduction, participants learn about the Intergovernmental Preparedness for Essential Records (IPER) Project and the *Records Emergency Planning and Response Webinar*, including the course objectives, agenda, and materials. The Course Introduction also provides an overview of the other IPER course, *Essential Records*, and answers the question "Why are we here?" with a high-level look at the importance of protecting, mitigating damage to, and recovering records in the event of an emergency. It concludes with the Records Emergency Planning and Response Pre-Test.

Session 1 Introduction

The Session 1 Introduction provides a quick preview of the material to be covered in Session 1.

Module 1

Lesson 1 of Module 1 provides an introduction to emergency management. Participants learn key emergency management terms and concepts and are introduced to the Records Emergency Action Plan (REAP). Lesson 2 discusses how to plan for the REAP. Participants focus on preparation for the REAP, including determination of goals and timetables, fiscal implications of creating a REAP, and formation of the REAP teams.

NOTE: Module 1 is split between Sessions 1 and 2:

- Lessons 1 and 2 are presented in Session 1.

- Lessons 3 and 4 are presented in Session 2.

Session 1 Review and Wrap-Up

The Session 1 Review and Wrap-Up provides a quick review of the key points covered in Session 1, introduces the material to be covered in Session 2, and introduces the Take-Home Activity.

Session Objectives

Course Introduction

Terminal Learning Objective:

- Participants will be able to provide a general overview of the *Records Emergency Planning and Response Webinar*.

Enabling Objectives:

- Explain the course objectives.

- Explain the course structure.

- State the estimated time to complete the course.

Module 1—Preparing a Records Emergency Action Plan (REAP)

NOTE: As mentioned above, Module 1 is presented across two sessions. The objectives addressed in this session are shown in bold.

Terminal Learning Objective:

- Participants will be able to develop, analyze, and test a REAP, which includes procedures for reducing risk (mitigation), preparedness, response, and recovery.

Enabling Objectives:

- **Define key terms related to emergency management.**

- **Identify federal and state emergency management initiatives, guidance, and systems relevant to protecting state and local government records.**

- **Explain what a REAP is.**

- **Explain the benefits of developing a REAP.**

- **Identify members and assign responsibilities for the teams described in a REAP.**

- Write a REAP.

- Analyze and test a REAP.

**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
- Polling question
- Group discussion
- Take-Home Activity

Practical Exercise

Session 1 contains a Take-Home Activity, Develop Your
REAP—First Steps, which tasks participants with:

- Identifying the disaster plans relevant to their state,
  county, city, and/or agency, with a special focus on
  how this guidance addresses records related
  preparedness and response

- Identifying the existing emergency or Continuity of
  Operations (COOP) teams authorized within their
  agency or chain of command

- Determining the scope of their REAP and beginning
  to identify the records emergency planning that they
  need to complete

**Sources of Course
Content**

- NARA's course, Records Emergency Planning and
  Response (April 2008)

- National Continuity Programs Directorate
  http://www.fema.gov/about/org/ncp/index.shtm

- National Response Framework (NRF) Resource
  Center
  http://www.fema.gov/emergency/nrf

- National Incident Management System (NIMS) Resource Center
  http://www.fema.gov/emergency/nims

- Incident Command System (ICS) Resource Center
  http://training.fema.gov/EMIWeb/IS/ICSResource/index.htm

- ICS Training—ICS-100: Introduction to ICS
  http://www.training.fema.gov/EMIWeb/IS/is100.asp

- Continuity Guidance Circular 1 (CGC1)
  http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

- Washington State Archives, Essential Records and Disaster Preparedness Manual
  http://www.secstate.wa.gov/Archives/erdpm.aspx

- *Emergency Management for Records and Information Management Programs*, Virginia A. Jones, Kris E. Keyes, ARMA International, Prairie Village, Kansas, 2001

- IPER Resource Center
  http://www.statearchivists.org/resource-center/iper

Instructional Materials

- Session 1 Instructor Guide (for instructors)

- Session 1 Participant Guide (for participants)

- Session 1 Slides

- Handout(s):
  - **Handout 1.1**—Develop Your REAP—First Steps Activity

- Reference(s):
  - **Reference 01**—Resource Center, References, Reading List
  - **Reference 02**—Key Terms for the IPER Courses
  - **Reference 03**—Participant Webinar Reference Guide

- **Reference 04**—iLinc Quick Reference for IPER Instructors (instructors only)
        - **Reference 05**—Webinar Troubleshooting Guide (instructors only)

- Polling question(s):
    - **PQ 1.1**—Have you taken the IPER *Essential Records* course?
    - **PQ 1.2**—Type of agency
    - **PQ 1.3**—Discipline
    - **PQ 1.4**—Years of experience in the field
    - **PQ 1.5**—Experience with records emergency planning and response
    - **PQ 1.6**—Do you have a REAP-type plan in place (even if it's not called a REAP)?
    - **PQ 1.7**—How many members do you foresee having in your Action Team?

- Prepared Powerboard file(s):
    - **PB 1.1**—Sound check/technical issues
    - **PB 1.2**—Session 1 Review

- Evaluation(s):
    - Records Emergency Planning and Response Pre-Test

Equipment

- Required equipment:
    - Internet-enabled computer
    - Telephone (Each instructor should have his or her own telephone. If you want to use the telephone hands-free, you should use a headset instead of a speakerphone to reduce background noise that will distract the participants.)

- Optional equipment:
    - A second Internet-enabled computer, logged into the webinar as a participant, so you can see what the participants see.

[This page intentionally left blank.]

Course Introduction

Instructor Notes	Participant Guide

**Important Notes to Instructors
on TEAM TEACHING:**

- This course is taught by a
  minimum of two instructors.

- In order to help keep the
  participants engaged in the
  webinar, it is important for both
  of you to present content,
  switching speaking
  responsibilities occasionally
  throughout the course.

- For the information provided at
  the start of the course (from the
  initial contact with the
  participants through the iLinc
  overview), the Instructor Notes
  provide guidance on which of
  you should speak. After the iLinc
  overview (from the IPER Project
  topic on), you should determine
  who will speak, and when.

- While the presenting instructor
  is teaching, the instructor who
  is not presenting should be
  doing the following:

  - Watching for participant
    questions or issues by
    monitoring the Chat tool,
    raised hands, etc.

  - Addressing technical issues
    that may arise

- Performing iLinc functions, such as launching polling questions and handling polling question feedback, launching WebSync, executing shared applications, and so forth, if requested by the presenting instructor

- Providing input or personal experiences when invited by the presenting instructor

- Monitoring the progress of the webinar in relation to the schedule and alerting the presenting instructor if the presentation starts falling behind significantly

PG 1-1

Welcome to the *Records Emergency Planning and Response Webinar*

(Duration: 2 minutes)

START TIME: _____

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

Launch the Session 1 slides file in iLinc.

Show slide 1-1.
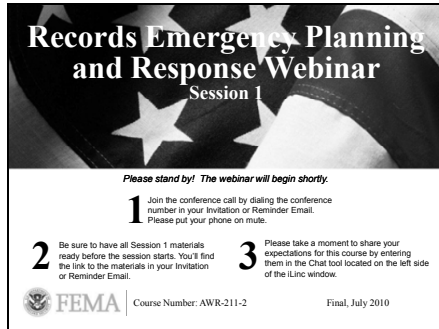
Required materials for Session 1:

- Session 1 Participant Guide

- Session 1 Handout:
    - **Handout 1.1**—Develop Your REAP—First
      Steps Activity

- Course References:
    - **Reference 01**—Resource Center, References,
      Reading List
    - **Reference 02**—Key Terms for the IPER Courses
    - **Reference 03**—Participant Webinar
      Reference Guide

REMINDERS TO INSTRUCTOR:

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

- When you are not speaking to
  the participants, ***remember to
  mute*** your phone.

- When you are speaking to the
  participants, ***remember to
  reduce or eliminate***
  background noises, such as
  pages being turned,
  co-workers talking, etc.

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

- If you are recording this session, *remember* that discussions conducted via iLinc's Chat tool are captured in the session recording. When using the Chat tool, *make sure to maintain* a professional dialog appropriate for everyone to view.

- When using iLinc's WebSync function, participants cannot see any actions you perform (such as moving your cursor or scrolling); therefore, when you interact with a web page or document, you will need to provide instructions to the participants on what to do ("scroll down," "select this," etc.) so their view will match your view.

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

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

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

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

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

If all of the participants have entered the webinar:

- *[Instructor 1] Say:* Hi, everybody. This is <u><your name></u>, one of the instructors for the course. I know it's a couple of minutes early, but since everybody's here, I'd like to get started, if that's OK with everyone.

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

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

- *[Instructor 1] Say:* Hi, everybody. This is <u><your name></u>, one of the instructors for the course. We are waiting for a few more people to join us, and then we'll get started.

- ***Monitor the Attendee panel*** until all participants have entered the session or until the start time is reached.

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

 Start the iLinc recorder.

BEGIN THE SESSION:

[Instructor 1] **Say:** Welcome to the *Records Emergency Planning and Response Webinar*.

 [Instructor 2] **Open** a prepared Powerboard in iLinc:

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

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

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

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

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

[Instructor 1]　　[Instructor 2]

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

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

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

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

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

[Instructor 2] ***Close*** the Powerboard for everybody by selecting "Close All" when prompted.

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

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

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

- The state or locality for which you work

- Your job title

- A brief description of your responsibilities with regard to records and/or emergency management

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

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

- **Tell** participants to record your name and contact information in the space provided on page PG 1-2 of their Participant Guides.

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

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

Instructor name:

Contact information:

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

- The state or locality for which you work

- Your job title

- A brief description of your responsibilities with regard to records and/or emergency management

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

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

- **Tell** participants to record your name and contact information in the space provided on page PG 1-2 of their Participant Guides.

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

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

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

Instructor name:

Contact information:
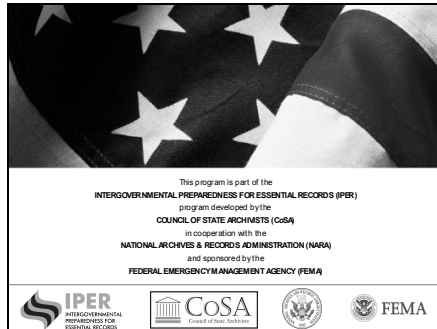
Show slide 1-2.

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

Show slide 1-3.
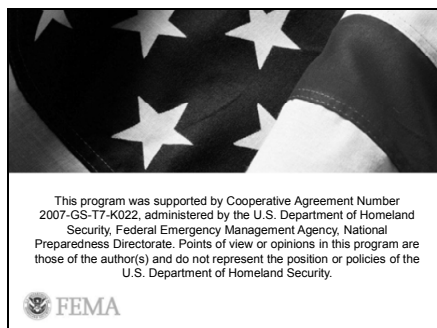
[Instructor 1] **Say:** This program was supported by a Cooperative Agreement administered by the U.S. Department of Homeland Security, FEMA/National Preparedness Directorate.

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

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

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

PG 1-4

iLinc Overview

(Duration: 5 minutes)

START TIME: _____

Show slide 1-4.
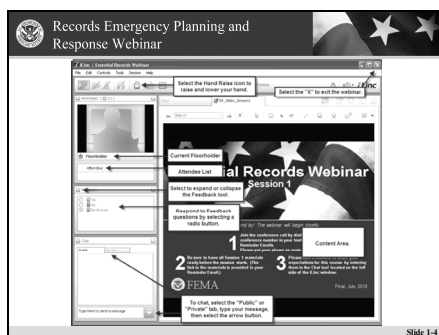
[Instructor 2] **Review** the iLinc screen capture shown on the slide.

- OPTIONAL: When applicable, **use** iLinc's pointer and/or highlight tool to point out key elements.

- NOTE: There is a time delay when using iLinc's pointer and highlight tools. The participants will not see the pointer or highlight until a few moments after you've used it. ***Please accommodate*** for this delay when speaking.

NOTE TO INSTRUCTOR:

- You may want to zoom in on the slide and use the scroll bars to show the callout box areas better.

- To zoom, ***do the following:***

  − ***Select*** "Control" on the iLinc menu bar; then ***select*** "View" from the drop-down menu, and then ***select*** "Zoom" and ***increase*** your Zoom percentage.

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

Say:

- The left side of the iLinc window shows information about the class, and provides a way to respond to the instructor.

- The top box shows the class attendance list, and the Floorholder—the instructor who is currently speaking.

- The middle box is the Feedback tool. Here you can select from a list of options—generally, Yes or No, True or False, or a way to indicate when you have completed an in-class assignment.

Set up the Feedback tool in iLinc.

- *Select* the "yes/no" answer set.

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

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

Say:

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

- Sometimes the Feedback tool will automatically collapse. You can make it visible again by selecting the Expand and Collapse button in the top right-hand corner of the pane.

- Below the Feedback tool is the Chat tool, a tool for communicating with the instructors and other participants.

Say:

- You're already acquainted with the chat tool—you just used it to respond to our question about sound or technical problems—but I want to point out that there are two tabs on the Chat tool: Public and Private.

- Everyone can see what you type in the Public tab. If you select the Private tab, you can communicate privately with the instructors and other participants.

- Now let's look at the Hand Raise tool.

- Just as in a classroom, the Hand Raise tool allows you to alert the instructor that you have something to say.

- Select the Hand Raise icon to raise your hand. Let's practice quickly. Everyone please raise your hand.

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

- Notice that when your hand is raised, a diagonal red slash appears across the hand icon. This may be the opposite of what you would expect.

- If your hand is raised, the hand icon will show with the red slash, and if your hand is lowered, the hand icon will not show the red slash.

- Select the hand icon again to lower your hand. Everyone please do that now.

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

- Great, thank you. There are two more sections of the window you should note. The first is the content area, in which you will see the slides, as well as any documents or websites we share with you. You will also see polling questions in this area.

- Finally, when the webinar session is over, you can close the window to exit the webinar by clicking the "x" in the upper right corner.

Webinar Etiquette

Show slide 1-5.

Records Emergency Planning and Response Webinar

Webinar Etiquette

- Be prepared.
- "Arrive" early.
- Mute your phone.
- Do not put your phone on hold.
- Participate.
- Raise your hand to ask a question.
- Identify yourself when speaking.

This is…

Slide 1-5
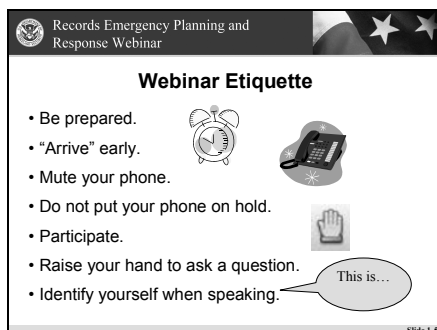
[Instructor 2] Say: Keep in mind that when you participate in a webinar, many other people are participating as well. In order to keep the experience pleasurable for all, we ask that you please practice proper webinar etiquette.

[Instructor 2] Review the webinar etiquette.

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

NOTE TO INSTRUCTOR:

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

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

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

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

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

NOTE TO INSTRUCTOR:

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

- Be prepared—Download all session materials prior to the session and have them readily available (either printed or open on your computer).

- "Arrive" early—Log in and dial in at least five minutes prior to the webinar's scheduled start time.

- Mute your phone.

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

- Participate.

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

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

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

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

[Instructor 2] **Transition:** Let's take a moment to learn more about IPER, the reason for this course.

- Raise your hand to ask a question and wait to be recognized by the instructor.

- Identify yourself when speaking.

REMINDER TO INSTRUCTOR:

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

PG 1-6

The IPER Project

(Duration: 5 minutes)

START TIME: _____

Show slide 1-6.
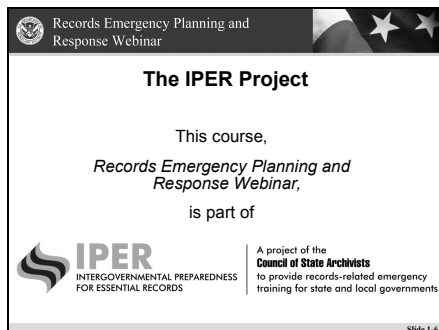
Say: As we mentioned earlier, this *Records Emergency Planning and Response Webinar* is part of the training curriculum for the Intergovernmental Preparedness for Essential Records (IPER) project, created by the Council of State Archivists (CoSA) and sponsored by the Federal Emergency Management Agency (FEMA).

Show slide 1-7.
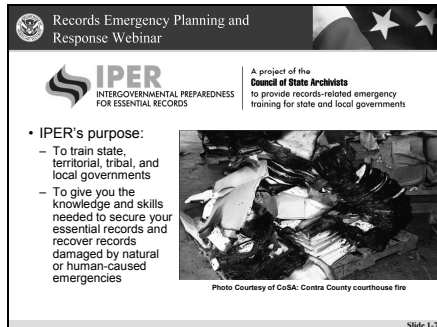
Explain IPER's purpose.	The purpose of the IPER Project is to deliver training to state, territorial, and local governments nationwide, giving you the knowledge and skills you need to secure your essential records and recover records damaged by natural or human-caused emergencies. Many of the concepts and practices presented also apply to tribal governments.
Point out that throughout the course, we often use the abbreviated term "state and local governments" to apply to all four categories: state, territorial, tribal, and local.	Note: Throughout the course, we often use the abbreviated term "state and local governments" to apply to all four categories.

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

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

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

- Define an essential record

- Identify an organization's critical business needs and functions and the records that are essential to support those functions

- Evaluate the hazards and risks that most threaten your agency's essential records

- Develop appropriate protection strategies against these threats

- Specify time frames in which access will be needed to specific records

- Develop procedures to ensure that essential records remain both accessible and secure

- Develop an essential records template that can be incorporated into a broader COOP Plan and/or disaster plan

- Understand applicable federal, state, and local COOP regulations and procedures

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

- Understand the benefits of records emergency planning

- Relate records emergency planning to COOP Plans and procedures

- Develop, analyze, and test a Records Emergency Action Plan (REAP)

- Assess the damage to records after an emergency and implement a response

- Identify federal, state, and local resources that are available to assist when an emergency occurs

Say:

- For those of you who are new to records management, we also recommend that you take the *Introduction to Records and Information Management for State and Local Governments* web-based training course.

- You can access this course from the IPER Resource Center, which we will discuss in a moment.

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

Show slide 1-8.
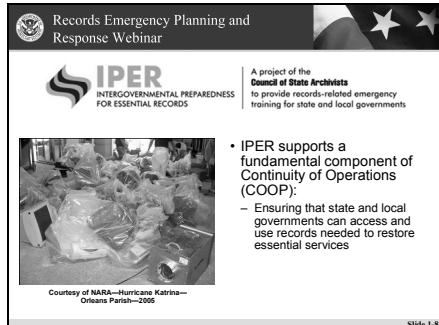
Say: IPER supports a fundamental component of Continuity of Operations (COOP): protecting records needed to restore essential services after a disaster or emergency.

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

- Define people's rights

- Document government obligations

- Secure your community's economic well-being

- Provide community identity

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

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

Show slide 1-9.
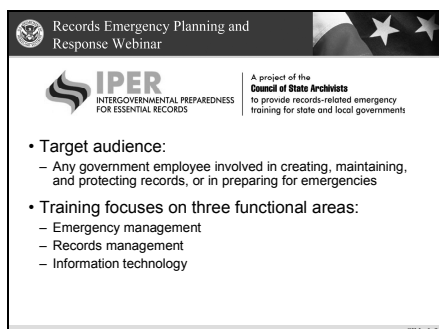
Say: IPER's target audience includes state and local government officials who bear significant recordkeeping responsibilities, such as county, municipal, and court clerks and recorders.

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

Go over the three functional areas addressed in the training.

The training focuses on three functional areas:

- Emergency management

- Records management

- Information technology

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

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

Say: The content of this course assumes that you are familiar with the content of IPER's other webinar, *Essential Records*. If you have not taken the *Essential Records* course, check the IPER Resource Center for the next scheduled occurrence of that course. Recorded versions of the course may be available as well. Please check with the instructor by email after class.

Say: I'd like to find out how many of you have taken the *Essential Records* course.

 Launch polling question in iLinc:

- **PQ 1.1**—Have you taken the IPER *Essential Records* course?

- *Tell* participants to answer the question by selecting the appropriate response from the choices displayed in the Polling tab.

- *Wait* a few moments until most or all participants have answered, and then *share* results with the participants via iLinc.

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

Say: Although it wasn't required, it was recommended that you take the *Essential Records* course before taking this course. So let's do a quick overview of what was covered in the *Essential Records* course.

PG 1-10

(Duration: 5 minutes)

Previously, in the *Essential Records* Course

START TIME: _____

Show slide 1-10.

In the *Essential Records* course, we focused on a specific and critical type of agency record: essential records.
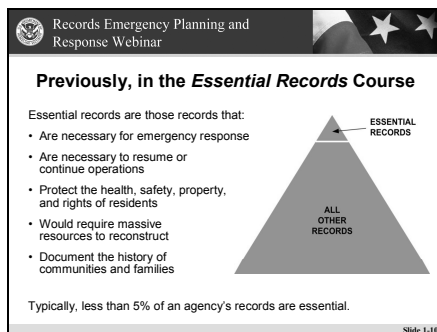
Review the definition of essential records.

Essential records are those records that:

- Are necessary for emergency response

- Are necessary to resume or continue operations

- Protect the health, safety, property, and rights of residents

- Would require massive resources to reconstruct

- Document the history of communities and families

For most agencies, only a small percentage of records—typically less than five percent—are essential.

In the *Essential Records* course, we learned how to identify records that need to be designated as essential records and how to protect those records. Essential records require special protection strategies, such as backup of systems, or copying and dispersing off-site. These strategies ensure that essential records not only are protected from the effects of an emergency but also are accessible during and after an emergency.

Show slide 1-11.

Say: The Essential Records course culminated in what we've titled the Essential Records Template, which is a concise way of documenting the crucial information about your agency's essential records. It is designed to be easily incorporated into COOP plans and other existing disaster plans, so that those plans adequately discuss records. It includes:

- The essential record

- The record's format

- The access priority level

- The access timeframe

- The location of the original

- The alternate facility at which it can be accessed

- A third location at which it can be accessed

- The frequency at which it is maintained or updated

- Prevention or mitigation strategies associated with the record

Because essential records are critical for responding to an emergency and for continuing operations, they should be part of an agency's Continuity of Operations (COOP) Plan. (Most likely, your agency, state, or locality *requires* essential records to be part of your COOP Plan.) Therefore, the *Essential Records* course also provided the Essential Records Template (*Essential Records* Handout 4.4) as a way to incorporate essential records into your agency's COOP Plan.

Point out that the Essential Records Template is **Handout 4.4** from the *Essential Records* course, and is available on the IPER Resource Center.

Say: Now that you're familiar with what the *Essential Records Webinar* covered, let's take a look at why you are here in this course.

PG 1-12

Why Are We Here?

(Duration: 3 minutes)

START TIME: _____

Show slide 1-12.
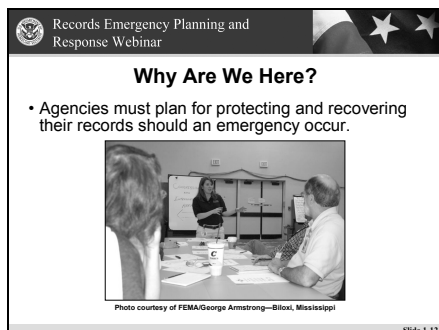
Explain that awareness of the importance of records is an underlying concept for records emergency planning and response.

Explain that agencies must plan to protect and recover their essential and nonessential records should an emergency occur.

An underlying concept for records emergency planning and response is the awareness of the importance of records to your agency.

While essential records must be included in your agency's COOP Plan, your agency must also plan for protecting and recovering its important or useful records should an emergency occur.

Say: in the *Records Emergency Planning and Response* course, we will focus on all agency records and the Records Emergency Action Plan (REAP).

In this course, *Records Emergency Planning and Response*, we will broaden our focus from essential records to all agency records, and examine the **Records Emergency Action Plan (REAP)**, the plan created *before* an emergency happens that details how your agency will handle records during an emergency.

Show slide 1-13.

Explain the importance of a REAP.

In the case of emergency preparedness, it could be said that "the best offense is a good defense." Although you cannot prevent all emergencies affecting records, with a REAP in place, you can defend yourself against loss and increase the odds of protecting and/or recovering your records.

Tell participants that the reference for this publication is provided in **Reference 01**—Resource Center, References, Reading List.

NOTE: Much of the discussion of records and information management disaster plans throughout this curriculum, including definitions, is taken from the ARMA publication, "Emergency Management for Records and Information Management Programs," by Virginia A. Jones, CRM and Kris E. Keyes, 2001.

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

PG 1-14

Course Organization and Agenda

(Duration: 2 minutes)

START TIME: _____

Show slide 1-14.
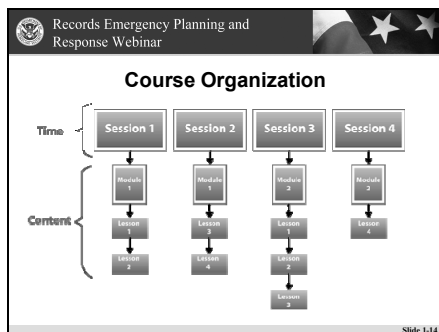
Say:

- The course organization reflects the two aspects of the webinar: time and content.

- The time is organized by <u>session</u>.

- The content is organized by <u>modules</u> and <u>lessons</u>.

- Notice each module is taught across more than one session.

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

PG 1-14

Show slide 1-15.
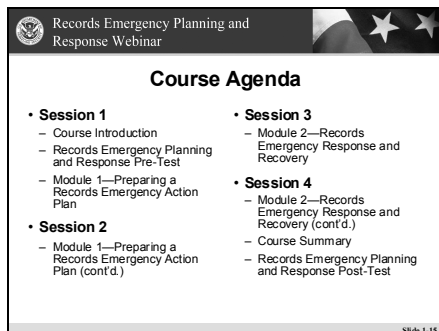
Say: Your course agenda appears in your Participant Guide on Page PG 1-14. Notice:

- Session 1 is 2 hours and 10 minutes long,

- Sessions 2 and 3 are 1 hour 30 minutes long, and

- Session 4 is 2 hours and 10 minutes long.

Session 1 (2:10)

- Course Introduction

- Records Emergency Planning and Response Pre-Test

- Module 1—Preparing a Records Emergency Action Plan

Session 2 (1:30)

- Module 1—Preparing a Records Emergency Action Plan (cont'd.)

Session 3 (1:30)

- Module 2—Records Emergency Response and Recovery

Session 4 (2:10)

- Module 2—Records Emergency Response and Recovery (cont'd.)

- Course Summary

- Records Emergency Planning and Response Post-Test

Say:

- At the end of this course, those of you who have completed the following can request a Certificate of Completion:

    − Attended all sessions of the course

    − Completed all homework assignments

    − Completed the pre- and post-tests

    − Completed the Course Evaluation

- We'll explain how to get your Certificate in Session 4.

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

PG 1-16

(Duration: 2 minutes)

START TIME: _____

Show slide 1-16.
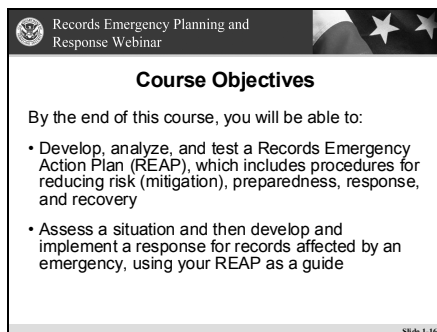
Course Objectives

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

NOTE TO INSTRUCTOR:

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

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

- Develop, analyze, and test a Records Emergency Action Plan (REAP), which includes procedures for reducing risk (mitigation), preparedness, response, and recovery

- Assess a situation and then develop and implement a response for records affected by an emergency, using your REAP as a guide

Course Materials

PG 1-17

(Duration: 4 minutes)

START TIME: _____

Show slide 1-17.

> Records Emergency Planning and Response Webinar
>
> **Course Materials**
>
> *Records Emergency Planning and Response* Webinar:
>
> • **Participant Guides:**   • **Handouts:**
>   – Session 1 Participant Guide   – Session 1 Handout
>   – Session 2 Participant Guide   – Session 2 Handouts
>   – Session 3 Participant Guide   – Session 3 Handouts
>   – Session 4 Participant Guide   – Session 4 Handout
>
> • **Course References:**
>   – Reference 01—Resource Center, References, Reading List
>   – Reference 02—Key Terms for the IPER Courses
>   – Reference 03—Participant Webinar Reference Guide
>
> Slide 1-17

Say:

- Your Invitation and Reminder Emails provided a link to the session's materials. For today's session, you will need*:*

  − Session 1 Participant Guide

  − Session 1 Handouts

  − Course References

- Prior to each session, you will receive a Reminder Email with a link to that session's materials.

- Please be sure to download the session materials (and print them if desired) prior to the start of each session.

- Participant Guides (PGs)

- Handouts

- Course References

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

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

PG 1-18

Show slide 1-18.

Records Emergency Planning and Response Webinar

IPER Resource Center

• *http://www.statearchivists.org/resource-center*

• The first place to look for information about records emergency planning and response

• Gives you access to the regulations, guidance, and other records information that applies to *your* state or territory

• Search and display by state and/or territory or by topic

• Available to everyone—not just IPER participants—and will remain available indefinitely

Slide 1-18

Introduce the IPER Resource Center.

IPER Resource Center

The online IPER Resource Center, located at *http://www.statearchivists.org/resource-center* shows you how the broad principles taught in the IPER courses apply to your state. It contains links to a wealth of information about records emergency planning and response nationwide with search and retrieval tools that make it possible to see how they apply to your circumstances.

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

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

iLinc

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

- Document name: **Reference 01**—Resource Center, References, Reading List

- *Tell* participants to go to **Reference 01** and look at Table 1.

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

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

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

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

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

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

iLINC

Launch web page in iLinc:

- Web page: IPER Resource Center
  - *http://www.statearchivists.org/resource-center*

- *Access* the main page for your state or territory.

- *Point out* the key information and links provided for your state (contact information for the state archives and records management agency, records schedules, emergency and COOP Plans, vendor directories, etc.).

- *Access* the page for your state's archives and records management program(s).

- *Perform a search* across the whole Resource Center on a particular topic—e.g., "COOP Plans" or "state records schedules"—to show participants what it looks like when information from all states is displayed.

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

Say:

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

- Each participant has one and it will come in handy as you progress through the course.

- It provides easy access to your instructors and IPER staff, links to the courses you're enrolled in and to your own state's resource center, and announcements from your instructors and the IPER office.

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

Getting to Know You

PG 1-19

(Duration: 5 minutes)

START TIME: _____

Show slide 1-19.

NOTE TO INSTRUCTOR:

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

Say:

We'd like to ask you a couple of questions about who you are and what you do.

- We're going to launch a polling question.

- Notice that this feature differs from the feedback question feature we tried out a few minutes ago.

- Polling questions appear in the content area of your screen, and you answer directly there.

iLINC

Launch polling question in iLinc:

- **PQ 1.2**—Type of agency

- *Tell* participants to answer the question by selecting the appropriate response from the choices displayed in the Polling tab.

- *Wait* a few moments until most or all participants have answered, and then *share* results with the participants via iLinc.

- − NOTE: When you share the results, the poll closes and participants can no longer answer, so it's important that you don't share the results prematurely.

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

NOTE TO INSTRUCTOR:

- To begin building rapport, you may wish to follow up on the participants' responses for any of the Getting to Know You polling questions. For example:

  - − "I see some of you are from the municipal level. Anyone want to tell us what city?"

  - − "I see several of you are on the county level; any county clerks (raise hands)?"

iLINC

  Launch polling question in iLinc:

- **PQ 1.3**—Discipline

- **Tell** participants to answer the question by selecting the appropriate response from the choices displayed in the Polling tab.

- **Point out** that municipal or county clerks and county recorders would fall under the "administrative or records" option.

- *Wait* a few moments until
  most or all participants have
  answered, and then *share*
  results with the participants via
  iLinc.

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

iLINC

Launch polling question
in iLinc:

- **PQ 1.4**—Years of experience
  in the field

- *Tell* participants to answer the
  question by selecting the
  appropriate response from the
  choices displayed in the
  Polling tab.

- *Wait* a few moments until
  most or all participants have
  answered, and then *share*
  results with the participants via
  iLinc.

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

iLINC

Launch polling question
in iLinc:

- **PQ 1.5**—Experience with
  records emergency planning
  and response

- *Tell* participants to answer the
  question by selecting the
  appropriate response from the
  choices displayed in the
  Polling tab.

- *Wait* a few moments until most or all participants have answered, and then *share* results with the participants via iLinc.

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

Say:

- One of the goals for the IPER Project is to open the lines of communication across agencies and across functions (records management, information technology [IT], and emergency management).

- By asking you to share some information about yourselves, we hope to introduce the varied perspectives in this class.

- You'll be learning a lot from your classmates through these sessions. We want to get everybody talking!

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

PG 1-19

Records Emergency Planning and Response Pre-Test

(Duration: 35 minutes)

START TIME: _____

NOTE TO INSTRUCTOR:

• The total duration of the Pre-Test topic is 35 minutes. This allows for:

  − 25 minutes for the Pre-Test

  − 10 minutes to provide feedback on the participant's expectations for the course

Show slide 1-20.
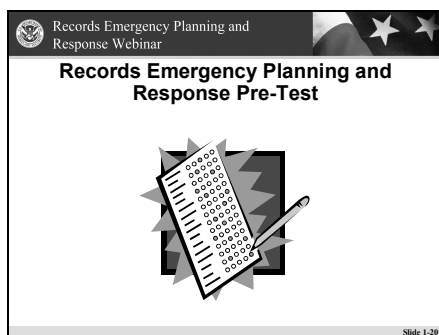
Introduce the Records Emergency Planning and Response Pre-Test.

• ***Say:***

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

- The Pre-Test is a way for us to determine the class's level of expertise in the specific course content, so we can adapt our instruction accordingly.

- We will not share your grades with other participants or with anyone else outside the project. Reports to FEMA will include composite scores for the entire class, but will not identify individual participants' scores.

- The course ends with a Post-Test. Any change (an improved score, we hope) between the Pre- and Post-Test gives us an idea what you've learned.

- In addition, data from pre- and post-testing enable FEMA to evaluate the success of our project and the impact of their funding.

- Bottom line: You should not expect to know all the answers to these questions.

NOTE TO INSTRUCTOR:

The following "Says" are extremely important to convey to participants.

Say:

- When you're taking the test, you will need to select "Next" to advance to the next question, and you will need to select "Submit" when you've finished the last question.

- Do **not** switch to another
  content tab—meaning don't
  leave the Test tab—before
  completing the test; otherwise,
  you won't be able to return to
  the test.

- Select "Completed" in the
  Feedback area when you have
  completed the test.

- Please do not talk during the
  test. If you need to
  communicate with an instructor
  during the test, please do so
  via the Chat tool.

- You will have **25 minutes** to
  complete the test, which gives
  you time to finish the test and
  then take a short break. The
  test should take you about 15-
  20 minutes, thus allowing for a
  5-10 minute break.

- Class will resume at <u><time
  when class will resume></u>.

- Please start the test now.

 Set up the Feedback tool
in iLinc.

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

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

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

NOTE TO INSTRUCTOR:

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

 Pause iLinc recorder.

 Launch TestLinc in iLinc:

- Test: Records Emergency Planning and Response Pre-Test

NOTES TO INSTRUCTOR:

- While the participants are taking the Pre-Test, ***review*** the participants' expectations entered in the Chat tool and ***prepare*** to provide feedback.

- ***Prepare to address*** any expectations that will not be addressed in this course, by directing participants to where they can go for more information.

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

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

  Restart the iLinc
recorder.

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

Provide feedback on the
expectations by:

- Confirming the expectations
  that will be met in this course

- Addressing any expectations
  that are dealt with in the
  other IPER course,
  Essential Records

  − **Encourage** participants to
    take this course if they
    haven't done so already.

- Addressing any expectations
  that are not met by either of
  the IPER courses

  − *Direct* participants on where
    they can go for more
    information.

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

- *Resolve* any questions
  or issues.

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

Session 1 Introduction

PG 1-21

Session 1 Overview

(Duration: 2 minutes)

START TIME: _____

Show slide 1-21.
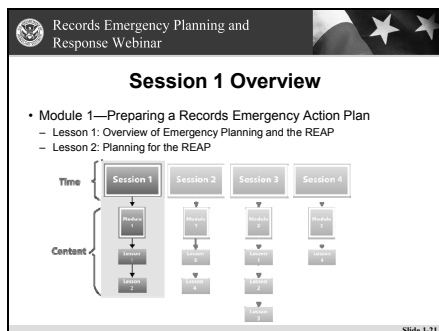
Review what will be covered in Session 1:

- ***Say:*** In this first session, we will review emergency planning for records and begin discussing the REAP.

- ***Say:*** The session is comprised of the following:

  - ***Read*** the Session 1 Overview, as provided on the slide.

 Transition: Let's get started with Module 1.

[This page intentionally left blank.]

Module 1—
Preparing a
Records Emergency Action Plan

[This page intentionally left blank.]

Module 1 Introduction and Objectives

PG 1-25

Module 1 Introduction

(Duration: 5 minutes)

START TIME: _____

Show slide 1-22.
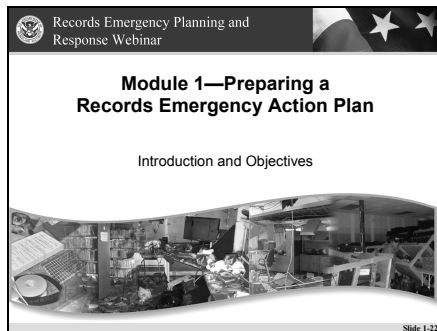
Introduce the module:

- Say:

  - Module 1 contains four lessons, which are presented across two sessions. In today's session, we'll complete Lessons 1 and 2, and in our next session we'll complete Lessons 3 and 4.

  - Today we will focus on emergency planning and the REAP.

  - We will begin with a review of several emergency management concepts and terms.

– We'll then examine what a REAP is and the items and issues that need to be considered when planning to develop a REAP.

Point out that we use the term "agency" in this course as an all-inclusive term that includes all state, territorial, tribal, and local government offices.

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

PG 1-26

Module 1 Objectives

Show slide 1-23.

Records Emergency Planning and Response Webinar

Module 1 Objectives

At the completion of this module, you will be able to:
– **Define key terms related to emergency management**
– **Identify federal and state emergency management initiatives, guidance, and systems relevant to protecting state and local government records**
– **Explain what a REAP is**
– **Explain the benefits of developing a REAP**
– **Identify members and assign responsibilities for the teams described in a REAP**
– Write a REAP
– Analyze and test a REAP

Slide 1-23

Review the module objectives.

Say: We'll cover the first five objectives in this session, as indicated by bold text; we'll address the last two objectives in Session 2.

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

- **Define key terms related to emergency management**

- **Identify federal and state emergency management initiatives, guidance, and systems relevant to protecting state and local government records**

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Introduction and Objectives**

- **Explain what a REAP is**

- **Explain the benefits of developing a REAP**

- **Identify members and assign responsibilities for the teams described in a REAP**

- Write a REAP (To be covered in Session 2)

- Analyze and test a REAP (To be covered in Session 2)

 Transition: Let's get started with Lesson 1 and review emergency planning and the REAP.

[This page intentionally left blank.]

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

Lesson 1: Overview of Emergency Planning and the REAP

PG 1-27

(Duration: 30 minutes)

START TIME: _____

Show slide 1-24.
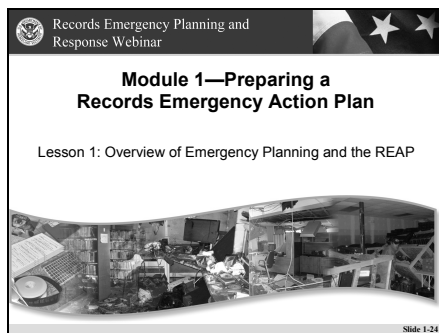
Introduce the lesson.

- ***Say:*** This lesson provides the fundamental emergency management information needed to create and implement your REAP. We'll start by looking at several emergency management terms; the phases of emergency management; and emergency initiatives, guidance, and systems. Then we'll take a look at what a REAP is and its benefits.

Transition: Let's start by reviewing several emergency management terms.

Emergency Management Terms

PG 1-27

Show slide 1-25.

Records Emergency Planning and Response Webinar

Emergency Management Terms

• Incident
• Emergency
• Disaster
• Response
• Recovery

Photo courtesy of CoSA/Karl Niederer—
Orleans Parish Criminal District Clerk of Court

Slide 1-25
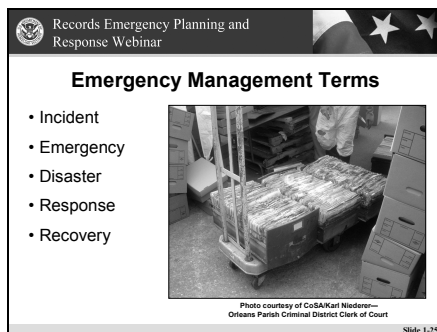
Review the definition and examples of an incident.

Incident

An incident is an occurrence caused by human or natural phenomena that requires actions in response to prevent or minimize loss of life or damage to property and/or the environment.

Examples of incidents include:

- Fire, both structural and wildland

- Natural disasters, such as tornadoes, floods, ice storms, and earthquakes

- Human and animal disease outbreaks

- Hazardous materials incidents

- Criminal acts and crime-scene investigations, such as arson

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

Review the definition and examples of an emergency.

Emergency

An emergency is the more common type of incident. It is an unplanned incident that requires you to secure your operations and protect assets. Emergencies require immediate response, but usually losses are limited compared to those from a disaster.

Examples of emergencies include:

- Broken pipes

- System crashes

- Bomb threats

- Severe storms

Review the definition and examples of a disaster.

Say: The escalation of emergency incidents to the level of disaster *can* be due to a lack of readiness and preparation, which this course will help you avoid with a REAP. A well-thought-out emergency preparedness, prevention, and response plan should help prevent emergencies from turning into full-fledged "disasters."

Disaster

A disaster is an emergency incident that progresses from the realm of standard operating procedures and moves to conditions requiring resources beyond your means. Disasters result in significant financial and operational damage to an agency, with potential for serious injury or loss of life.

Examples of disasters include:

- Fire
- Flood
- Tornado
- Terrorist bombing

Lead a group discussion.

- ***Ask:*** Have any of you ever experienced an incident, emergency, or disaster in your agency that has resulted in the inability to access records and information?

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

- ***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 briefly their experience.

  - ***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 where you were not able to access records and information due to an incident, emergency, or disaster.

Say: In this course, we are going to use the term "emergency" for consistency—and because that is the level at which most incidents occur.

Review the definition of response.

Response

Response is the action taken to save lives, prevent injuries, and prevent or limit property damage when an emergency occurs. During response, the impact of the emergency is assessed, and the level of containment and control activity is determined. In regard to records management, the primary response activity is to activate the REAP.

Review the definition of recovery.

Recovery

Recovery involves the procedures and activities necessary to restore resources or resume operations following an emergency or other atypical disruption of routine activities. During recovery, efforts are made to reconstruct damaged agency records in order to restore normal operations.

Transition: Now let's take a look at the phases of emergency management.

PG 1-30

Phases of Emergency Management

Show slide 1-26.
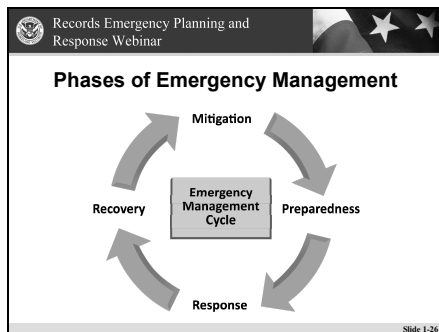
Review the four phases of emergency management.

There are four phases to emergency management:

- Mitigation

- Preparedness

- Response

- Recovery

Explain that the REAP encompasses these phases.

Say: Let's look at each of these phases individually.

The REAP encompasses these phases, so it's important that you take them into account when creating your REAP.

Review the Mitigation phase.

Mitigation

The Mitigation phase is undertaken to prevent or reduce the probability of loss during an emergency. This phase also involves taking steps to eliminate threats or to minimize the impact of threats. It entails:

- Conducting a risk analysis

- Conducting a facility self-assessment

- Ensuring the proper management and storage of records

Say: Let's take a closer look at risk analysis.

Explain that a risk analysis should be one of your first steps when preparing for the REAP because it allows you to determine and prioritize your response and recovery actions.

Risk Analysis

The first step to preparing your REAP is to perform a risk analysis of your records, because it allows you to determine and prioritize your response and recovery actions. It is critical to perform the risk analysis *before* you write your REAP. However, you may want to select your REAP team members before doing the risk analysis.

The process of identifying your agency's risks will take place in conjunction with the overall emergency planning process; however, because a REAP is part of the overall disaster plan, it is important for you to participate in the risk analysis from the perspective of risks to records.

Remind participants that the IPER *Essential Records* course covered risk analysis in detail, and those of you who have taken the *Essential Records* course have done a risk assessment of your essential records.

Review the steps of a risk analysis.

As discussed in the *Essential Records* course, the steps of a risk analysis are as follows:

1. Identify potential risks to records.
2. Analyze the probability and impact of those potential risks.
3. Evaluate your findings and determine appropriate mitigation and preparedness strategies.

Review the Preparedness phase.

Preparedness

The Preparedness phase requires that an agency be positioned effectively to respond if an emergency does occur. It includes the activities that assist in responding to an emergency, including:

- Developing, testing, and updating your disaster plan, COOP Plan, and REAP

- Developing an essential records program

- Testing emergency systems

- Training personnel

- Stocking emergency supplies

- Developing agreements with vendors and others who can render assistance or mutual aid

Explain that during the Preparedness phase, participants should determine how their agency or locality is insured.

Insurance

During the Preparedness phase, you should talk to your administrative agency to determine how your agency or locality is insured and how that may affect your ability to get reimbursed for recovery costs.

Go over the insurance options available to governments.

Governments can be covered by commercial insurance, self-insurance, or some combination of the two.

- With commercial insurance, you pay a premium to an independent firm that will reimburse the agency after a loss.

- Self-insurance means that the institution (or parent agency) sets aside a certain sum of money in reserve to use for recovery or replacement costs in the case of an emergency. Sometimes this reserve is unfunded, in which case the self-insurance basically means no insurance.

You may need insurance to cover salvage of damaged records and also for the building and its contents (computers, furniture, machinery, etc.).

Say:

- There are a range of complex issues to consider when planning for insurance, including:
  - How to calculate the value of records
  - How much coverage you can afford
  - Coverage of records when offsite

- Therefore, it's important to discuss insurance with your risk manager or insurance agent.

There are a range of complex issues to consider when planning for insurance, many of which are too involved to cover in this class. It's very important that you discuss insurance with your risk manager or insurance agent *before* an emergency strikes to determine what coverage is right for your agency.

Review the Response phase.

Response

The Response phase includes the immediate and short-term steps an agency takes to react to an emergency. Examples of response actions include:

- Calling the fire department

- Contacting recovery vendors

- Setting your disaster plans in motion

Time is of the essence when it comes to recovering damaged records, so it is very important that your team be prepared to respond in accordance with your REAP. This includes preliminary damage assessment and the stabilization of the environment as soon as the emergency response officials send out the "all clear" sign.

Review the Recovery phase.

Recovery

The Recovery phase involves the actions necessary to bring things back to normal to the extent possible, including full damage assessment, insurance claims, salvage and stabilization of records, and the resumption of business operations. Examples of recovery actions include:

- Resuming critical operations at a pre-established location

- Moving wet records into a freezer as soon as possible

- Ensuring that your building is repaired, the carpets and furniture replaced, and so on

- Returning the dried records to cabinets and records storage vaults or areas

Transition: The federal government provides guidance to assist with emergency planning and domestic incident management.

NOTE TO INSTRUCTOR:

- At this point, you *should do a time check*. If you don't have 35 minutes left before ending the course:
  - *Recommend* to participants that they read about these resources in their PG on their own.
  - *Tell* participants that they should pay particular attention to CPG101.
  - *Suggest* that all participants take ICS 100 and other ICS courses that are available online free-of-charge through the Emergency Management Institute so that they understand how emergency response is structured and who bears responsibility for various components.

– *Move on* to pointing out their state emergency plan in the Resource Center, highlighting any portion regarding records, or the lack thereof. See page IG 1-92.

PG 1-33

Show slide 1-27.
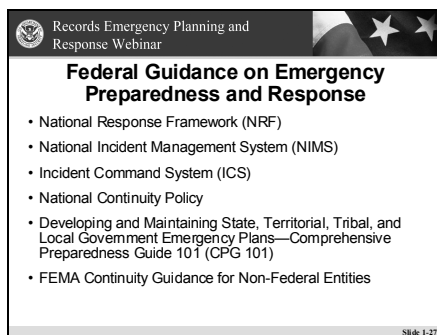
Say:

- This slide gives you an overview of emergency federal guidance relevant to protecting state and local government records.

- Let's look at each federal emergency guidance individually.

Federal Guidance on Emergency Preparedness and Response

Complex 21st-century threats, exemplified by the horrific events of September 11, 2001, demand that all levels of government, the private sector, and nongovernmental agencies be prepared to prevent, protect against, respond to, and recover from major events whose impact exceeds the capacity of any single entity.

To achieve a unified and coordinated national approach to these events, the Department of Homeland Security and other government agencies provide the following guidance to assist with planning and domestic incident management:

- National Response Framework (NRF)

- National Incident Management System (NIMS)

- Incident Command System (ICS)

- National Continuity Policy

- Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans—Comprehensive Preparedness Guide 101 (CPG 101)

- FEMA Continuity Guidance for Non-Federal Entities
    - Continuity Guidance Circular 1 (CGC1)
    - Continuity Assistance Tool

National Response Framework (NRF)

Show slide 1-28.

Review the National Response Framework (NRF).

Point out that it provides a tiered response to incidents.

The NRF is an all-discipline, all-hazards plan for the management of domestic incidents across all levels of government (federal, state, local, territorial, and tribal), the private sector, and nongovernmental agencies. Through a tiered approach, the NRF provides the structure and mechanisms to coordinate and integrate incident management activities and emergency support functions.

Show slide 1-29.
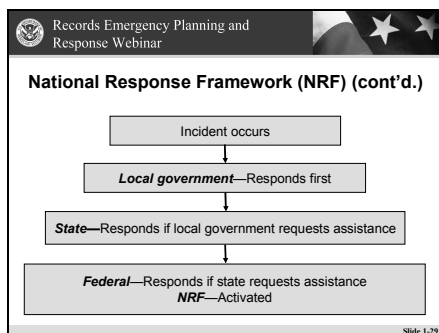
Explain the NRF's tiered response to incidents and how this response leads to the activation of the NRF.

From an emergency management perspective, it is important to understand the tiered response process.

The local government acts as first responder. If it cannot contain the incident and finds its resources overwhelmed, it will request assistance from the state. The state will provide assistance in the form of emergency management resources and personnel. If the incident cannot be contained and state resources are overwhelmed, the state will request federal assistance, and the NRF may be activated. Note that federal reimbursement is a key focus for federal emergency requests.

You should also know that National Response Framework operates through 15 Emergency Support Functions (ESFs) that include "Search and Rescue" and "Public Health and Medical Services." Records fall within ESF-11, "Agriculture and Natural Resources," because records are classified as cultural resources, which are grouped with natural resources. Every state plan is modeled on the national response framework and includes the 15 ESFs.

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

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

Information about the NRF is available at the NRF Resource Center on FEMA's website at: *http://www.fema.gov/emergency/nrf*

National Incident Management System (NIMS)

Show slide 1-30.
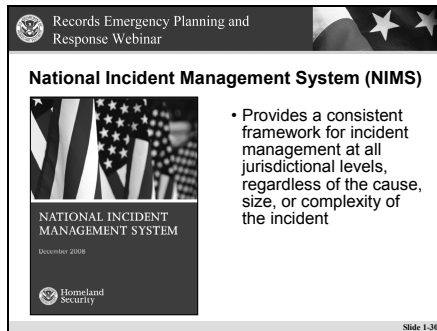
Review NIMS.

NIMS provides a consistent framework for incident management at all levels of government, regardless of the cause, size, or complexity of the incident. Building upon the Incident Command System (ICS), NIMS provides the nation's first responders, hospitals, government, etc., with the same foundation for incident management for terrorist attacks, natural disasters, and other emergencies.

Go over the five components in the NIMS system.

There are five major components in the NIMS system:

Explain that the Preparedness Component of NIMS relates directly to the goals of the IPER courses. It promotes, in advance of an incident, ongoing activities that include risk assessment, planning, training, and exercises. Identification of personnel who could provide important expertise or services—like records managers or data recovery specialists—is also part of the Preparedness component.

- Preparedness

Explain that the Communication and Information Management Component calls for systems to be interoperable, reliable, and portable in order to sustain communications and information availability during an incident. NIMS encourages redundancy—creating more than one copy of essential data—a risk management strategy that is also recommended in the IPER courses.

Explain that the Command and Management Component provides the structure for managing and coordinating the response to an event. It incorporates the Incident Command System (ICS), which we will be discussing next.

Point out that NIMS compliance is a requirement for all entities receiving federal homeland security funding.

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

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

- Communications and Information Management

- Resource Management

- Command and Management

- Ongoing Management and Maintenance

NIMS compliance is a requirement for all entities receiving federal homeland security funding.

Information about NIMS can be found at the NIMS Resource Center on FEMA's website at: *http://www.fema.gov/emergency/nims*

On this page, the link to the "NIMS Document" accesses a comprehensive publication about NIMS. It provides context for understanding how the specific goals and strategies of records preparedness being taught in this course fit within the larger emergency preparedness framework used by all governments at the federal, state, and local levels.

Say:

- We discussed NIMS briefly during Session 1 of the *Essential Records* course. A summary of key points about NIMS is provided in **Handout 1.2**—NIMS Resource Management Concepts and Principles, from the *Essential Records* course. (Handout 1.2 is available on the IPER Resource Center.)

- The fact that NIMS cites the importance of vital records (which we are calling *essential records*) programs is a real plus as all of us try to convince government managers to implement the practices being taught in the IPER courses.

For those taking the IPER courses, it is important to note that "Implementing a vital [essential] records program at all levels of government to prevent loss of crucial documents and records" is one of the specific mitigation strategies cited on page 21 of the NIMS document.

Incident Command System (ICS)

Show slide 1-31.

Records Emergency Planning and Response Webinar

Incident Command System (ICS)

- Is a standardized, on-scene, all-hazards incident management tool
- Offers an integrated structure to match demands of single or multiple incidents without hindering jurisdictional boundaries
- Represents organizational best practices

Slide 1-31

Review the ICS.	ICS is a standardized, on-scene, all-hazards incident management tool for meeting the demands of all situations. A key feature of NIMS allows its users to adopt an integrated structure to match the demands of single or multiple incidents, unhindered by jurisdictional boundaries.

The Incident Command System represents organizational best practices. It is a proven system used widely by firefighters, rescuers, emergency medical teams, and hazardous materials teams. |
| *Review* the areas in which ICS helps to ensure success. | ICS helps to ensure:

• The safety of responders and others

• The achievement of tactical objectives

• The efficient use of resources

• The use of common nomenclature to enhance communications |
| *Show* slide 1-32.
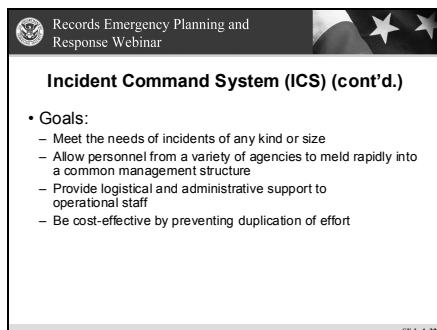
 | |
| *Review* the goals of ICS. | The ICS is designed to:

• Meet the needs of incidents of any kind or size

• Allow personnel from a variety of agencies to meld rapidly into a common management structure

• Provide logistical and administrative support to operational staff

• Be cost-effective by preventing duplication of effort |

Show slide 1-33.

Incident Command System (ICS) (cont'd.)

- ICS provides the flexibility and organizational structure for various levels of government to work together in a coordinated effort.
- ICS helps all responders communicate, and get what they need when they need it.

Slide 1-33
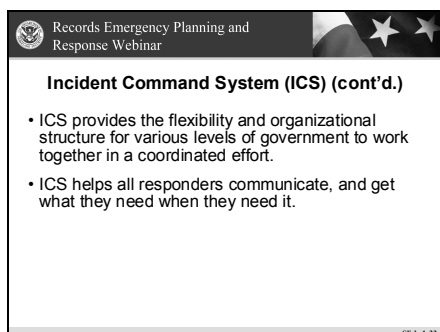
Explain that the ICS facilitates governments in working together and communicating.

The ICS provides the flexibility and organizational structure for various levels of government to work together in a smooth, coordinated effort.

ICS helps all responders communicate efficiently and get *what* they need *when* they need it by eliminating duplication of efforts, resources, supplies, and space.

Explain the records-related functions of the ICS's Planning Section.

The Planning Section of the ICS Command and Management component incorporates two different records-related functions.

- The Documentation Unit is "responsible for collecting, recording, and safeguarding all documents relevant to the incident itself."

- Technical Specialists may be assigned anywhere they are needed within the ICS structure to bring necessary skills or expertise during emergency response. The ICS provides examples of specialists who may be activated during an incident, specifically citing records management, cultural resources, and data management specialists (Appendix B of the NIMS document, page 105).

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

More information about ICS can be found at the ICS Resource Center on FEMA's website: *http://training.fema.gov/EMIWeb/IS/ICSResource/index.htm*

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

Say:

- We recommend you take FEMA's Independent Study Program Course—*ICS 100a: Introduction to ICS*—to begin to learn more about how the system functions and where you fit into its structure.

- When ICS is implemented in a jurisdiction, it becomes the primary channel of communication during the response and recovery period, so it's important that you know how it works and how to access it.

Tell participants that a growing number of archivists, Records Managers, conservators, and preservation specialists are taking ICS training. It is available free online through FEMA's Emergency Management Institute as well as through in-person training. Those taking the training have found it invaluable to understanding how our concerns fit into the larger emergency response and recovery framework and how to communicate these needs to responders.

Say: I'd like to see how many of you have taken ICS 100.

FEMA provides an independent study course on ICS, namely, *ICS 100a: Introduction to ICS,* at: *http://www.training.fema.gov/EMIWeb/IS/is100.asp*

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

iLINC

Set up the Feedback tool in iLinc.

- ***Select*** the "yes/no" answer set.

Say: Let me know whether or not you've taken ICS 100 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.

Explain that:

- FEMA's documents about the ICS contain organizational charts for a range of functions that are applicable to any incident, but the placement within the ICS structure of specialists mobilized to help with response and recovery for medium- to large-scale incidents will vary.

- The ICS list of technical specialists does include records management specialists, cultural resources specialists, and data management specialists.

- Formal recognition of these functions in NIMS should help open the door to your involvement in a response that involves records, if and when the time comes.

Tell participants that the URLs for the ICS Resource Center and independent study courses appear in their Participant Guides and in **Reference 01**—Resource Center, References, Reading List, and that they can also access federal guidance through the IPER Resource Center.

National Continuity Policy

Show slide 1-34.
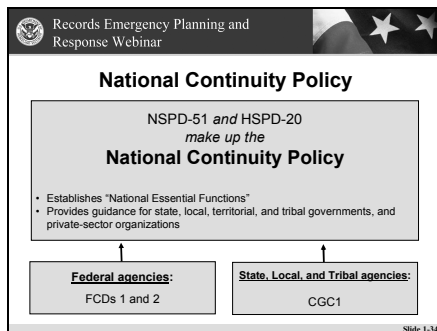
Explain that NSPD-51 and HSPD-20 are the directives that make up the National Continuity Policy.

National Security Presidential Directive-51 (NSPD-51) and Homeland Security Presidential Directive-20 (HSPD-20) are the directives that make up the National Continuity Policy.

The purpose of this policy is to strengthen continuity of operations capabilities and to promote interoperability among federal, state, local, territorial, and tribal governments and the private sector. The policy achieves these goals by doing the following:

- Establishing eight "National Essential Functions"

- Prescribing continuity requirements for all Executive departments and agencies

- Providing guidance for state, local, territorial, and tribal governments and private-sector organizations

For federal government agencies, the Federal Continuity Directives (FCDs) 1 and 2 provide operational guidance for implementing the National Continuity Policy.

The equivalent for state, local, tribal, and other non-federal entities is found in the Continuity Guidance Circular 1 (CGC1), described below on page PG 1-43.

Refer participants to the National Continuity Programs Directorate on FEMA's website for more information.

For more information about the National Continuity Policy, visit the National Continuity Programs Directorate on FEMA's website at:
http://www.fema.gov/about/org/ncp/index.shtm

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

Developing and Maintaining State, Territorial, Tribal, and Local Government Emergency Plans—Comprehensive Preparedness Guide 101 (CPG 101)

Show slide 1-35.
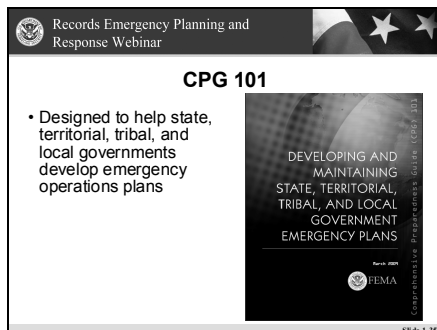
Explain that CPG 101 brings all of the other FEMA guidance together and explains how it can and should work at the state and local level. It is written to be useful for both novice and experienced planners.

The Comprehensive Preparedness Guide (CPG) 101 is designed to help state, territorial, tribal, and local governments develop emergency operations plans (EOPs). The EOPs encompass both **deliberative planning**—based on facts or assumptions about what could happen in an emergency—and **incident action planning,** during which existing deliberative plans are activated in response to or in anticipation of an event.

BACKGROUND INFORMATION FOR INSTRUCTOR:

- Like all other FEMA guidance, the CPG 101 assumes that response will start at the local level and that state, regional, and federal resources will be tapped—in that order—only if the resources of the level below are overwhelmed.

CPG 101 emphasizes the need to "achieve unity of purpose through horizontal coordination and vertical integration of plans among all levels and sectors." This reflects one of the foundational principles of emergency management: "Security operations start at the local level and add state, regional, and federal assets as the affected jurisdiction requires additional resources and capabilities" (CPG Introduction, page 1).

Explain that many state emergency operations mirror NRF and include identifying agencies responsible for emergency support functions (ESFs).

Explain that federal ESF #11 includes government records.

Say: You should examine your state's Emergency Operations Plan to determine whether it also contains provisions for cultural and historic properties and/or government records.

Many state emergency operations plans mirror the structure of the federal National Response Framework, including the identification of agencies responsible for specific emergency support functions (ESFs)—areas of particular expertise like communications and transportation that are needed to support response and recovery. At the federal level, ESF #11 (Agriculture and Natural Resources) encompasses the protection of natural and cultural resources and historic properties (abbreviated as "NCH"), and has been expanded to include government records. The emergency operations plan in your state may also have similar provisions, either in its own ESF #11 or another support annex.

Explain the relevance of ESF #11 to IPER participants.

The federal ESF #11 assigns the direction and coordination of NCH resources protection to the U.S. Department of the Interior (DOI), which may then call upon other agencies and organizations during ongoing actions. Specifically, ESF #11 includes the following provision pertinent to the concerns of IPER participants:

> "[The DOI] utilizes the national network of resources represented by the National Archives and Records Administration's partnership with the Council of State Archivists on issues relating to government records and historical documents."

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

**BACKGROUND INFORMATION
FOR INSTRUCTOR:**

- As of the spring of 2010, no
  one has invoked this section of
  ESF #11 to access resources
  from the National Archives or
  the state archives (collectively
  through CoSA). CoSA
  believes that it is important to
  be included in ESF #11 so that
  it is available in the future,
  if needed.

Refer participants the CPG 101
page on FEMA's website for
more information.

For more information about CPG 101, visit FEMA's
website at:
http://www.fema.gov/about/divisions/cpg.shtm

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

**FEMA Continuity Guidance for Non-Federal
Entities**

Show slide 1-36.

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**
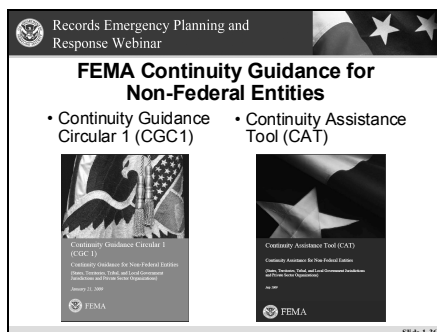
Say: The Continuity Guidance Circular 1 is the **operational** definition of the National Continuity Policy we just mentioned. It's important to note that "vital records management"—what IPER refers to as "essential records management"—is one of the crucial continuity capabilities cited.

Refer participants to Continuity Guidance Circular 1 on FEMA's website for more information.

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

Continuity Guidance Circular 1

FEMA's Continuity Guidance Circular 1 (CGC1) provides direction for developing continuity plans and programs for non-federal entities—i.e., state, local, territorial, and tribal governments and the private sector. Effective continuity planning and programs facilitate the performance of essential functions during situations that disrupt normal operations.

This document identifies the elements critical to establishing and maintaining an effective continuity capability. It covers 10 elements of continuity capabilities:

1. Essential functions
2. Orders of succession
3. Delegations of authority
4. Continuity facilities
5. Continuity communications
6. Vital records management
7. Human capital
8. Test, training, and exercise program
9. Devolution of control and direction
10. Reconstitution operations

For more information about Continuity Guidance Circular 1, visit FEMA's website at:
http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

Say: CAT helps agencies measure how well they are achieving the capabilities outlined in the Continuity Guidance Circular. It provides a checklist for creating a continuity plan and program.

Continuity Assistance Tool

This Continuity Assistance Tool (CAT) works with Continuity Guidance Circular 1. It contains a series of checklists that agencies can use to measure how well they are achieving the capabilities outlined in the Circular. Section 1.6 covers vital (essential) records management and asks such questions as: "Does the vital records program identify those records needed to protect the legal and financial rights of the organization and residents?"

CAT is useful regardless of location, size, and status of existing continuity programs or plans. If an agency does not have a program, CAT can be used as a checklist to create an initial continuity plan and program. CAT:

- Allows for comprehensive continuity program review

- Provides a continuity program baseline for strategic planning

- Provides program orientation for new staff and leaders

- Creates a framework for budget, staff, and resource justification

- Enables the development of plans to rectify deficiencies

Refer participants to the Continuity Assistance Tool on FEMA's website for more information.

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

CAT is available on FEMA's website at:
http://www.fema.gov/pdf/about/org/ncp/cat.pdf

Refer participants to the IPER Resource Center for more information on federal programs and guidance.

Say:

- In addition to this federal guidance, guidance specific to your own state or locality will also apply to your agency.

- For your Session 1 Take-Home Activity—which we'll review at the end of this session—you will be asked to identify the emergency guidance that applies to your state and/or locality.

Say: To continue to achieve a unified and coordinated national approach to emergency management and response, some of the guidance that we will discuss may be updated periodically. Be sure to check the source documents from time to time.

PG 1-45

Emergency Response—How it Works at the State and Local Levels

Show slide 1-37.

Records Emergency Planning and Response Webinar

Emergency Response—How it Works at the State and Local Levels

- Response always starts at the local level.

- Each state government has its own emergency response plan.

- Several levels of government may become involved.
  - NIMS ensures that all responders are operating and communicating under the same protocols for incident management.
  - ICS ensures a clear chain of command.
  - CGC1 and CAT ensure that operations will resume.

Slide 1-37

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

Go over the initial response.

Point out that response always starts at the local level. Larger events may require involvement from the state or even the federal government.

Say: Although we say that response always starts at the local level, there are exceptions. If an incident occurs on federal or private property, the initial response might not use local resources if the agency has its own resources available.

Point out that each state government has its own emergency response plan that provides the framework for response within its borders.

Explain that emergency first responders automatically swing into action at the first sign of an emergency and follow time-tested protocols, local knowledge, and their own experience.

Explain that the protocols followed by first responders focus on:

- Saving human life

- Reducing threats to life and injury

- Protection of property

Explain that first responders don't usually consider records to be property; therefore, they need to be educated that records are crucial assets to be protected like other valuable property.

Initial Response

Response always starts at the local level. Local officials may call on the state for assistance if the magnitude of the incident is beyond their capacity to respond. Similarly, very large events often precipitate a request from the Governor to the federal government for assistance. Each state government has its own emergency response plan that provides the framework for response within its borders.

As a practical matter, emergency first responders automatically swing into action at the first sign of an emergency or other threatening event. They follow time-tested protocols, local knowledge, and their own experience.

These protocols focus on saving human life, reducing threats to life and injury, and protection of property. However, first responders usually do not consider records to be property. Protection and recovery of records are not high in their priorities when life and property are threatened. They need to be educated that records are crucial assets to be protected like other valuable property.

Point out that records will rarely, if ever, be a top priority when response to an incident begins. However, if participants have already gotten to know the emergency management personnel for their jurisdiction, it is more likely that they'll be able to communicate records-related needs quickly. If they also have a thorough records response plan in place, like the REAP that they'll be learning to develop during this course, they'll be able to work more effectively with emergency responders.

Even modest incidents can become confusing as fire, rescue, police, electric utility, and telephone crews, among others, scramble to assess and repair damage and to communicate with each other. Hospitals, shelters, the Red Cross, hazardous materials experts, and other community resources may be mobilized.

Discuss the continuing demands.

Continuing Demands

After the initial response, government officials, the public, private companies, and news agencies press the responders for information, sometimes inhibiting critical ongoing activities.

Depending on the magnitude of the incident, several levels of government may become involved (municipal, county, state, tribal, federal), along with interstate entities such as power grids, water control authorities, and port authorities.

Explain the payoff of planning and training.

The Payoff of Planning and Training

This is where advanced planning and training become crucial. With proper training, first responders will be familiar with NIMS and will work within its framework for incident management at all jurisdictional levels. That will ensure that they and their counterparts in other agencies are operating and communicating under the same protocols for incident management.

Tell participants that the Incident Command System is used by many jurisdictions nationwide, so it's important for them to understand how it works and where they fit.

Remind participants that ICS training is available free of charge from FEMA.

They will be familiar with the ICS and its mission to ensure a clear chain of command for operational decision-making. Governmental agencies will be able to resume some operations as they follow plans developed using the guidance in Continuity Guidance Circular 1 and the Continuity Assistance Tool.

Having worked with your emergency management director (EMD), you will have a greater chance of gaining access to your records sooner rather than later, Furthermore, the EMDs will recognize the value of the records and protect them according to your agency's disaster plans.

And, with your work on the importance of essential records, first responders will have the information they need to locate critical facilities and utilities. They will recognize the value of records and mitigate damage to them until full recovery can be undertaken.

NOTE TO INSTRUCTOR:

- At this point, you may choose to share an incident from your own experience in which emergency personnel helped during the response period.

  - ***Be sure to tie*** the story to one or more of the points discussed above, so it will be relevant to the topic.

Say: As I mentioned earlier, each state government has its own emergency response plan that provides the framework for response within its borders.

Say: The emergency response plan for your state or territory is available on the IPER Resource Center.

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

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

Say: Let's take a moment to visit the Resource Center and look at the emergency response plan for your state or territory.

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 emergency response plan.

- *Point out* any other guidance or documents that are particularly relevant, such as COOP Plans.

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

Say: You may notice when browsing the Resource Center, that not all state and local emergency response plans are posted. In some cases, plans may not be posted due to confidential nature or vulnerability of information.

Transition: It should be clear from all this that every level of government has a responsibility to prepare for emergencies. One key component of preparedness is the protection of your records. Let's move on, then, and turn our focus to the REAP.

PG 1-47

What is a Records Emergency Action Plan (REAP)?

Show slide 1-38.

Records Emergency Planning and Response Webinar

What is a Records Emergency Action Plan (REAP)?

- A REAP is a written, approved, implemented, and periodically tested plan that includes the information and actions needed to respond to and recover from a records emergency.

- All response and recovery players should participate in developing, approving, and testing the plan.

Slide 1-38

Define a REAP.

The Records Emergency Action Plan (REAP) is a written, approved, implemented, and periodically tested plan that includes the information and actions needed to respond to and recover from a records emergency. It addresses probable and existing vulnerabilities identified in your risk analysis, and the resulting corrective or protection actions.

The purpose of the REAP is to prevent the following after an emergency:

- Loss of records and information
- Costly salvage of records and information
- Delay in restoring critical business functions

A good REAP helps to minimize the time, effort, and cost of recovery.

Explain why it's important to have a REAP.

Even if you have an excellent, trained staff that has knowledge of emergency response and recovery techniques, it is still important to have a written Records Emergency Action Plan, which will serve as a vital organizational tool in the event of an emergency. The chaos associated with emergency situations can make the most efficient person forget important established response priorities, such as:

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

- Where keys are located

- Where the water shutoff valve is located

- How to find an employee's phone number

- What to do if an important emergency team member is away on vacation (i.e., Chain of Command)

Without written instructions, plans, and checklists, others are left behind to guess what to do, and the middle of an emergency is not the time to guess. Additionally, in a major emergency your staff may be geographically scattered or preoccupied with recovery of their own personal property, making it impossible for them to respond to an emergency at work. The people left to implement your REAP may be unfamiliar with the records and your facility.

Explain that all stakeholders in emergency response and recovery should play a role in the REAP.

Ideally, persons responsible for recovery from emergencies should participate in developing, approving, and testing the plan.

Point out that states and other entities may have different names for REAP-type plans.

It should be pointed out that "REAP" is a term used in this training; however, states and other entities may have different names for REAP-type plans.

Say: For example, Washington state refers to its plan as the Records Disaster Prevention and Recovery Plan.
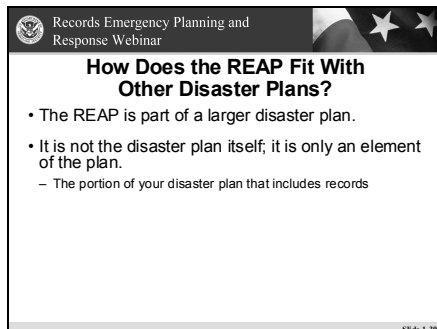
NOTES TO INSTRUCTOR:

- If your state or locality has a REAP-like document, ***provide*** the name or acronym to the participants.

  − Name or acronym of your state's or locality's REAP-like document:

  _____
  _____

- You may opt to show the document to the class and quickly walk them through the information contained in the document.

How Does the REAP Fit With Other Disaster Plans?

Show slide 1-39.

Explain that the REAP fits within your agency's or department's overarching disaster plans—whether a so-called emergency plan or a COOP Plan. The REAP is not a general plan such as these, because it specifically addresses only records emergencies.

The REAP should complement existing general disaster plans or be part of a larger emergency plan. It is not the disaster plan itself, but only an element of the plan—the portion of your disaster plan that addresses records.

Point out that the REAP should not duplicate or conflict with the general disaster plan.

The REAP need not and should not duplicate or conflict with provisions of the general disaster plan. It should define those details needed to protect and recover records.

Explain that the general disaster plan should incorporate the REAP via reference and policy.

It is possible to embed the REAP in the general plan, but it will probably be too large to be accepted. A good way to relate the two plans is to have the general plan refer to the REAP by reference and policy.

Point out that for the purposes of the training, the REAP is being presented as a paper document; however, it can also be an electronic document. REAPs are likely to be drafted in electronic form; however, one or more printed copies should be located on site and off site in case electronic copies are inaccessible. You might also want to create an electronic copy to carry on portable devices, if the devices can be properly secured.

Disaster Plan vs. REAP vs. COOP Plan

Show slide 1-40.
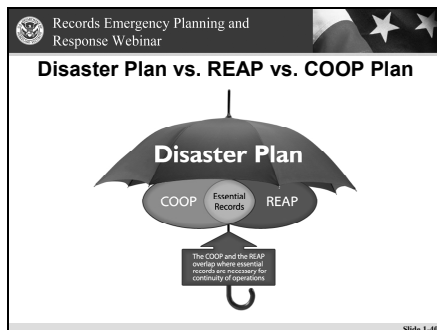
Explain the differences and commonalities of a disaster plan, a COOP Plan, and a REAP.

Explain a disaster plan.

Explain that our definition of a disaster plan encompasses both COOP and REAP Plans.

Remind participants that we discussed COOP (Continuity of Operations) Plans in the *Essential Records* course.

Point out that the "general" disaster plan we refer to may be limited to a single department or agency or may extend to all agencies in the state or local government. FEMA refers to these statewide, county-wide, or city-wide plans as "Emergency Operations Plans," or EOPs. An increasing number of states and other jurisdictions are adopting that terminology.

Tell participants what the general disaster plan for your state or locality is called, if applicable.

To help clarify the role of the REAP with regard to the role of other disaster plans, let's take a look at the various disaster plans used in government agencies.

Disaster Plan

A **disaster plan** encompasses the full range of challenges presented by an incident: protection of life and property; transportation and communication systems; command and coordination of specific plans, such as evacuation, public health, REAP, and COOP Plans.

Explain a COOP Plan.

COOP Plan

A **COOP Plan** addresses all aspects of how to protect employees and resume time-critical operations in the event of an emergency. It focuses on getting the agency back in business as quickly as possible. The Plan may (and should) address records, but the COOP Plan will address only those records that are essential to continuity of operations.

Explain a REAP.

REAP

A **REAP** addresses all of an agency's records, including all essential records. Some essential records are necessary for continuity of operations (the REAP overlaps the COOP Plan at that point); other essential records are not. The REAP provides much more detailed guidance on responding to and recovering from an emergency that affects records.

PG 1-51

Benefits of a REAP

Show slide 1-41.

Records Emergency Planning and Response Webinar
Benefits of a REAP
• Fast, appropriate, and effective response
• Rapid resumption of operations
• Increased appreciation of the importance of good records management practices
• Protected records = protected rights and government accountability
Slide 1-41
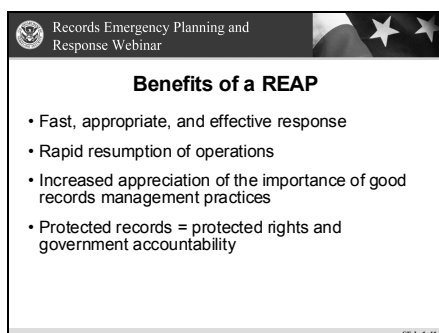
Review the benefits of a REAP.

Whether it is the ability to act quickly in the event of a water-pipe break in your facility, or the opportunity to prepare your facility in advance for the onslaught of a major hurricane, the benefits provided by a comprehensive REAP can save you time and expense.

Implementation of a REAP should prevent the widespread loss of records and information and significantly reduce recovery costs.

The benefits of a REAP include:

- Fast, appropriate, and effective response

- Rapid resumption of operations

- Increased appreciation of the importance of good records management practices

- Protected records = protected rights and government accountability

Say: As you can see, there are several important benefits to having a REAP when faced with records emergencies or emergencies that threaten records. It is an essential guide to acting quickly and appropriately in those emergencies to save records, and by saving records, it is crucial to continuing operations, protecting the rights of residents, and keeping costs down.

Say: Articulating the benefits of the REAP to your administrative staff is an effective way to gain their support, even if there are no other disaster plans or COOP Plans in place.

Say: Let's look at each of these benefits in detail.

Review the benefit that a REAP offers of appropriate and effective response.

Fast, Appropriate, and Effective Response

When emergencies do occur, whether small-scale or catastrophic, they can be overwhelming. During the emergency and immediately thereafter, you will not have time to develop a comprehensive REAP.

Having a plan with the response and recovery actions already in place allows for fast action and correct decisions.

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

Say: Be proactive and develop the REAP now!

Say: One of the many lessons we can take from Hurricane Katrina is to prepare now! It is much easier to prepare for an emergency when people are calm and rational and you have the luxury of time and resources, than to play catch-up after one has occurred.

Review the benefit that REAP offers of rapid resumption of operations.

Rapid Resumption of Operations

Although we have no control over Mother Nature (or over some human-caused events), planning for an emergency that may affect your agency's records could mitigate the damage the emergency leaves behind. Continuity of Operations (COOP) Plans are designed to do just that. Every COOP Plan must include provisions to identify, protect, and access records critical to resumption of operations, which are also elements of a REAP.

Agencies with a tested REAP in place are likely to experience less impact during or following an emergency, because essential records were protected, allowing for a more rapid resumption of operations. If these principles are also incorporated in the agency's overall COOP Plan, then managers and emergency responders will be more likely to recognize the key role that essential records play in resuming operations.

Review the benefit that a REAP offers of increased appreciation of the importance of good records management practices.

Increased Appreciation of the Importance of Good Records Management Practices

Another benefit to developing a REAP is that when you involve other agency personnel who are not knowledgeable about records, they gain an appreciation of good records management practices. They will learn the importance of identifying, protecting, and maintaining business information.

Review the benefit that a REAP offers of protecting rights and maintaining government accountability.

Say: I'd like to take a quick poll.

iLINC

Launch polling question in iLinc:

- **PQ 1.6**—Do you have a REAP-type plan in place (even if it's not called a REAP)?

- *Tell* participants to answer the question by selecting the appropriate response from the choices displayed in the Polling tab.

- *Wait* a few moments until a few moments until most or all participants have answered; then *share* results with the participants via iLinc.

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

Protected Records Equal Protected Rights and Government Accountability

Records protect the rights of the public and maintain government accountability—and, therefore, the records too must be protected. Having a REAP in place is the best way to mitigate damage to records resulting from emergencies and to guarantee that the records will be there to protect rights and maintain accountability. Having a REAP also demonstrates due diligence on the part of the government. If you are unprepared for an emergency—it's bad news for the government AND for the records.

NOTE TO INSTRUCTOR:

- The duration of the following discussion is up to you; it can be as short or as long as you want. However, the discussion has the potential to take up a lot of time. *Be conscious* of where you are in the timeframe of the webinar session and *control* the length of the discussion accordingly.

     If any participants answered yes, *conduct* a group discussion.

- *Say:* For those of you who answered yes, have you ever needed to use your REAP? If so, please share your experience and explain the benefits provided by your REAP. (For example, did your REAP help provide a fast, appropriate, and effective response? Did it contribute to the rapid resumption of operations? And so forth….) Raise your hand.

- *Call on* participants who have their hands raised.

     - *Remind* participants to take their phones off mute before speaking.

- *Comment on or respond to* participant answers as appropriate.

  - *Make connections* to course content when possible.

- If no participants volunteer, *move on*.

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

- *Resolve* any outstanding questions.

Transition: In our next lesson, we'll talk about the steps involved in creating your REAPs.

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 1: Overview of Emergency Planning
and the REAP**

[This page intentionally left blank.]

Lesson 2: Planning for the REAP

PG 1-53

(Duration: 15 minutes)

START TIME: _____

Show slide 1-42.
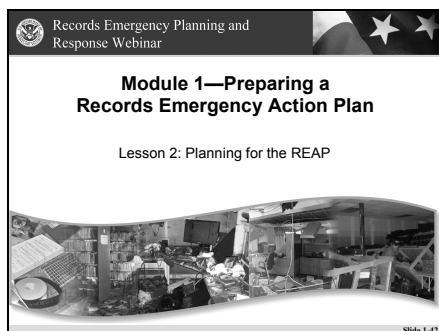
Introduce the lesson.

Say:

- Creating a REAP takes a significant amount of time and resources, so it's important that you approach the task with a good understanding of what's involved and a plan for getting it done.

- We'll start this lesson by reviewing the importance of setting goals and timetables for developing the REAP.

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 2: Planning for the REAP**

• We'll look at the stages of a REAP project and examine the fiscal implications of a REAP.

• We'll complete the lesson by examining the REAP teams.

Transition: Let's look at the first step in developing a REAP: identifying the resources that are already in place.

PG 1-54

Identify the Disaster Plans and People Relevant to Your State, Locality, and Agency

Show slide 1-43.

Explain the need to identify the disaster plans in place and the people charged with emergency planning when developing a REAP.

In the previous lesson you saw how the REAP related to other disaster plans, such as emergency plans and COOP Plans. When creating your REAP, it's important that you identify the disaster plans in place and in effect for your agency, locality, and state, so your REAP can tie most effectively into those plans and address any records-specific shortcomings they may have.

Similarly, your agency, locality, and state will have teams of people or an individual charged with emergency planning. These are people you'll want to identify and meet to inform them about your REAP planning project.

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 2: Planning for the REAP**

Say: Those of you who have taken the IPER *Essential Records* course will remember that the people in charge of emergency planning are some of the stakeholders you identified in the *Essential Records* course.

Tell participants where they can locate the people in charge of emergency planning in their state.

Transition: Let's look at the next step in developing a REAP: determining your goals and timetables.

PG 1-55

Determine Goals and Timetables

Show slide 1-44.

Records Emergency Planning and Response Webinar

Determine Goals and Timetables

• A REAP should be treated like any other project.

• Address the stages of a REAP project when developing your goals and timetables.

• Consider developing an interim plan.

Slide 1-44

Explain that creating a REAP should be treated like any other project, given goals and timetables, and be provided with the necessary time and resources.

Although for most of us, creating a REAP is not a routine assignment, it should still be treated like any other project and given goals and timetables for completion, and be provided with the necessary time and resources. However, unlike other projects that have definite end points, emergency planning is dynamic and requires routine review and updating on an established cycle.

Say: Before you begin work on your REAP, ensure that you and your team have explicit authorization to allocate sufficient time and other resources to complete the REAP. Use what you learn in this course to provide your supervisors with the information they need to support your efforts.

Point out that it's important to be flexible and reasonable when developing a REAP project timetable.

Review the stages of a REAP project.

Explain that the first step in a REAP project is to form the Action Team—the team that will create the REAP.

Point out that you'll be discussing the REAP teams in detail shortly.

Keep in mind that a good REAP will take several months to complete, so be flexible and reasonable when developing your timetable. Although a deadline is important, you can modify the timeline as you are able to define the priorities more clearly.

Stages of a REAP Project

Also, like any other project, a REAP project passes through various stages of completion. Be sure to address each of these stages when developing your goals and timetables.

The stages of a REAP project are:

- Forming the Action Team—Create the team that will develop the REAP and coordinate efforts during an emergency.

- Identifying needs—Examine existing emergency guidance: Does your agency have a Continuity of Operations (COOP) or other disaster plan? Identify deficiencies in protecting essential records. Analyze facilities for potential hazards to records. Perform a risk analysis.

- Determining scope—Define the administrative span of the REAP: Which agency(ies), department(s), or other functional units will it cover?

- Establishing goals—State the goals in writing and record the tasks necessary to accomplish each goal.

- Implementation—Direct each team to work on writing its component of the REAP.

- Termination—Finish the tasks and produce the plan.

Throughout all the stages, it's important to control and evaluate the process. Monitor the work with project management software or other techniques.

Discuss developing an interim plan.

Consider Developing an Interim Plan

You may want to develop an interim plan which can be accomplished quickly, in case an incident occurs before your REAP is ready. For example, you can make a good start, and provide a solid foundation for future work, by:

- Developing a phone tree for key agency personnel

- Gathering contact information for emergency responders and vendors who provide support for utilities, computer systems, security, and emergency response

- Defining the actions that agency staff will need to take in the first 24–72 hours after the emergency occurs and assign responsibility for follow-through

- Assembling a cache of critical supplies

All of these actions can be documented in a Pocket Response Plan (PReP), which we will discuss in more detail during Session 2.

Throughout the rest of this course, we will be discussing ways to expand the interim plan into a fully developed REAP.
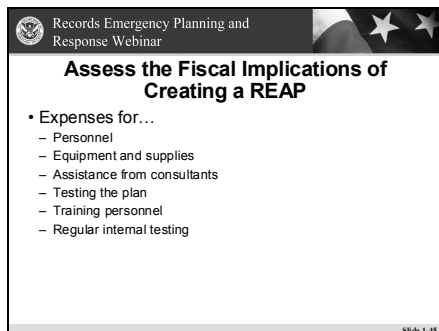
Transition: When planning a REAP, you should also assess the fiscal implications of the REAP project.

PG 1-57

Assess the Fiscal Implications of Creating a REAP

Show slide 1-45.

Records Emergency Planning and Response Webinar

Assess the Fiscal Implications of Creating a REAP

• Expenses for…
  – Personnel
  – Equipment and supplies
  – Assistance from consultants
  – Testing the plan
  – Training personnel
  – Regular internal testing

Slide 1-45

Review the costs involved in creating and maintaining a REAP.

Creating and maintaining a REAP costs money; the time and resources involved are not free. However, the cost of doing nothing is often greater than the money you put into planning at the front end. By analyzing the potential costs, you can sell emergency planning to management more effectively.

Here are some of the costs you may encounter:

- Personnel costs

Point out that you'll be discussing the equipment and supplies needed for rapid response in Lesson 3.

- Equipment and supplies you may buy to help with rapid response to an incident

- Assistance from consultants

- Expenses for testing the plan

- Expenses for training personnel

- Regular internal testing, which requires money for the personnel who run the computers, for the computer downtime involved, and for all the staff who participate

Tell participants they can find information about the costs and benefits of developing a REAP at the IPER Resource Center.
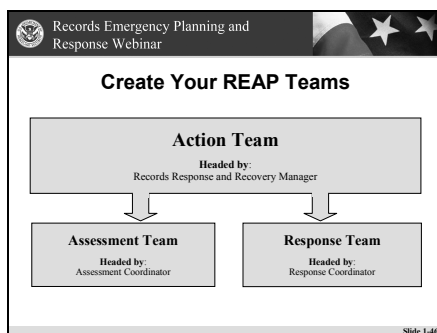
Transition: Another consideration when planning your REAP is who will be part of your REAP teams.

PG 1-58

Create Your REAP Teams

Show slide 1-46.

Review the three REAP teams.

Three teams are involved in creating and implementing a REAP, but in smaller governmental units the three teams may, in fact, be one group of people addressing all three activities. For purposes of clarity, they are presented here as three separate teams:

- **Action Team**—Which creates the REAP and acts as the overall coordinator of the assessment, planning, response, and recovery. The Action Team is headed by the Records Response and Recovery Manager.

    - **Assessment Team**—A sub-team of the Action Team, activated in the event of an incident to assess the damage and communicate its findings to the Response Team. The Assessment Team is headed by the Assessment Coordinator.

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 2: Planning for the REAP**

    –   **Response Team**—A sub-team of the Action Team, responsible for creating the response plan for a specific incident and carrying out the response and recovery actions. The Response Team is headed by the Response Coordinator.

Explain that team members may be both internal and external to your agency.

Many of these team members will be drawn from your agency or office, including IT personnel, but some—police, fire, contractors, safety managers, emergency managers, and facility managers—may come from the outside.

Point out that you'll get into more detail about the teams and their responsibilities in Session 3.

Point out to records management personnel that they should not be intimidated if they don't have enough people. In the event of an emergency, outside workers may assist with response and recovery, so don't think that everyone involved with these functions must come from within the agency. Key agency personnel, though, must be on hand to direct operations and make decisions.

Explain that, based on the size of the agency and the scale of the incident, individuals may serve on more than one team and in more than one role.

As mentioned above, based on the size of your agency, individuals may serve on more than one team and in more than one role. In many cases, especially in smaller communities or small-scale incidents, there will be no difference in the membership of the Assessment and Response Teams.
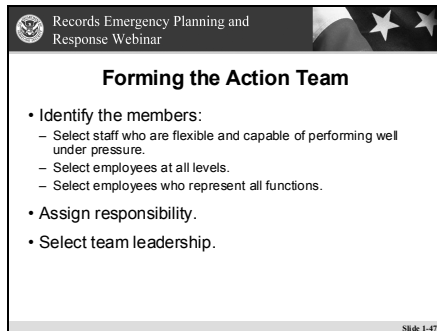
Transition: Let's talk in more detail about forming the Action Team.

Forming the Action Team

Show slide 1-47.

Explain what to look for when identifying the members of the Action Team.

Identify the Members

Forming an Action Team can be one of the most important and challenging aspects of developing the REAP. It is essential to have upper management support, which should be secured as a first step in the planning process. Once you've accomplished that, you'll be on your way.

When selecting the team, it is important to select staff members who are flexible and capable of performing well under pressure. The team should consist of employees at all levels who represent important functions of the agency. A cross-functional Action Team may include the following people:

- Records and information manager

- Emergency managers

- Computer analyst

- Safety director

- Administrative assistant

- Staff with purchasing authority and contracts management responsibilities

- Facility manager

Say: Choose team members wisely. Use people who are self-starters, who exhibit leadership, and who have the ability to work closely with others. You will also need to involve managers and line supervisors. Above all, remember that teamwork counts!

Say: For the success of the plan, it is important to involve employees from all levels who represent all important functions of the agency. They will be more willing to invest their time in a plan they helped to develop.

Say: Remember: Emergency management personnel, IT staff, and contractors are valuable partners in the development and support of your plan.

Say: I'd like to take a quick poll.

 Launch polling question in iLinc:

- **PQ 1.7**—How many members do you foresee having in your Action Team?

- *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.

- *Comment* on the results as appropriate.

Have team participants appointed in writing by their supervisor or upper management. Also, arrange to have the team as a whole formally designated by a directive or written formal approval.

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 2: Planning for the REAP**

- If most participants respond with low numbers, *say:* I see most of you anticipate having Action Teams with only a few members. That's OK. Don't let this deter you from moving forward with your REAP. What's important is that you do what you can with the resources available. There are many effective Action Teams that consist of only two members. Also, large teams may be unwieldy.

- If the participants' responses are evenly dispersed, *say:* I see we've got Action Teams of various sizes. For those of you who anticipate having Action Teams with many members, that's great news! For those of you who anticipate having Action Teams with only a few members, that's OK. Don't let this deter you from moving forward with your REAP. What's important is that you do what you can with the resources available. There are many effective Action Teams that consist of only two members. Also, large teams may be unwieldy.

- If most participants respond with high numbers, *say:* I see most of you anticipate having Action Teams with many members. That's great!

Lead a group discussion:

- ***Ask*** a couple of participants to explain their (high or low) estimates:

  − What size agency are they from?

  − How assured are they of "buy-in" by others?

  − Whom are they expecting to involve?

Use this as an opportunity to encourage folks who have small teams (there are many effective Action Teams with only a few members) and caution those who have large teams (large teams may become unwieldy).

- ***Say:*** For those of you who anticipate having Action Teams with only a few members, that's OK. Don't let this deter you from moving forward with your REAP. What's important is that you do what you can with the resources available. There are many effective Action Teams that consist of only two members.

- ***Say:*** For those of you who anticipate having large Action Teams we'd like to caution you that large teams may be unwieldy.

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

Review the decisions that need to be made when assigning responsibility to Action Team members or other agency staff.

Assign Responsibility

Once you have identified the team members, you need to decide who will be responsible for major activities:

- Who will be the senior decision-maker, which includes activating the phone tree?

- Who will interact with the police, fire department, and facility management?

- Who will handle requests from the news media for information?

- Who will serve as backups in the event that designated individuals cannot make it to your facility?

Review the ongoing responsibilities within the Preparedness and Response phases that need to be assigned.

Major ongoing responsibilities within the Preparedness and Response phases also need to be assigned, including:

- Selecting, maintaining, and controlling the supplies on hand

- Establishing contact with vendors and contractors and acting as liaison

- Retrieving essential records

Explain the necessity of assigning backups for each responsibility.

Be sure to assign at least one backup for each responsibility and the chain of command. Two or three are even better. Ensure that absences due to vacation, illnesses, travel, or temporary disabilities will not affect the response effort.

Explain the necessity of including emergency-related responsibilities in position descriptions or contracts and making sure that staff members receive training.

Be sure to write emergency-related responsibilities clearly into each position description or contract and make sure that staff members who are going to be part of your Response Team receive regular and appropriate training.

**Records Emergency Planning
and Response Webinar
Session 1**

**Module 1—Preparing a Records Emergency
Action Plan
Lesson 2: Planning for the REAP**

Explain that participants also need to ensure that certain records relating to the REAP are treated as "essential." These would include documentation of assigned responsibilities, team appointments by supervisors, and supporting directives or approvals. These should be readily accessible during an emergency.

Explain how to select the team leadership.

Select Team Leadership

During the Preparedness phase, everyone needs to have someone to whom they report—a team or project leader. This person should be someone who has already demonstrated leadership qualities and can take care of questions and concerns and monitor and coordinate the various teams and committees working on the plan. After the plan is completed, these same people are good candidates to be leaders of the Assessment and Response Teams in the event of an incident.

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

Resolve any outstanding questions.

Transition: Let's review what we covered in this session; then we'll go over your Take-Home Activity.
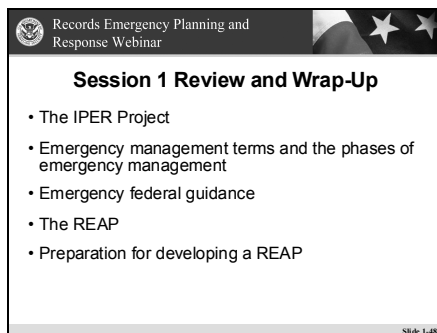
Session 1 Review and Wrap-Up

PG 1-61

Session Review

(Duration: 5 minutes)

START TIME: _____

Show slide 1-48.

Records Emergency Planning and Response Webinar
Session 1 Review and Wrap-Up
• The IPER Project
• Emergency management terms and the phases of emergency management
• Emergency federal guidance
• The REAP
• Preparation for developing a REAP
Slide 1-48

Review the key points covered in this session.

NOTE TO INSTRUCTORS:

• The Session Review can be conducted as a Q&A session or as an instructor presentation. Instructions are provided below for both approaches.

Q&A instructions:

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

• For example:

  − ***Ask:*** Who can tell me the phases of emergency management? Answer via the Chat tool "Public" tab.

iLINC

Open a prepared
Powerboard in iLinc:

- **PB 1.2**—Session 1 Review

- **Review** the key points
  covered in this session, as
  provided on the Powerboard.

- **Turn** the bullet points into
  questions, as appropriate.

- As participants answer the
  questions, **type** the correct
  answers on the Powerboard,
  under the appropriate bullet.

- **Use** the notes from the
  instructor presentation section
  (below) to help formulate your
  questions and for the correct
  answers.

When you are 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.

- About the IPER Project

  − OPTIONAL: Redisplay slide 1-7, "IPER's purpose"

  − *Say:* IPER is created by the Council of State Archivists (CoSA) and sponsored by the Federal Emergency Management Agency (FEMA) to provide training to state and local governments about how to secure your most essential records and recover records damaged by natural or human-caused emergencies.

- Emergency management terms and concepts

  − OPTIONAL: Redisplay slide 1-25, "Emergency Management Terms"

  − *Say:* We learned the definitions for incident, emergency, disaster, response, and recovery.

  − An incident is an occurrence caused by either human or natural phenomena that requires response actions to prevent or minimize loss of life or damage to property and/or the environment.

In Session 1, you learned:

- About the IPER Project

- A number of emergency management terms and the phases of emergency management

- An emergency is an unplanned incident that requires you to secure your operations and protect assets. It is the most common type of incident.

- A disaster is an emergency incident that progresses from the realm of standard operating procedures and moves to conditions requiring resources beyond your means.

- Response is the action taken to save lives, prevent injuries, and prevent or limit property damage when an emergency occurs.

- Recovery involves the procedures and activities necessary to restore resources or resume operations following an emergency or other atypical disruption of routine activities.

- *Say:* We also learned the phases of emergency management:

    - OPTIONAL: Redisplay slide 1-26, "Phases of Emergency Management"

- The Mitigation phase is undertaken to prevent or reduce the probability of loss during an emergency.

- We started addressing this phase in the Essential Records course. The rest of the phases we address here in the REPR course.

- The Preparedness phase requires that an agency be positioned to respond effectively if an emergency does occur.

- The Response phase includes the immediate and short-term steps an agency takes to react to an emergency.

- The Recovery phase involves the actions necessary to bring things back to normal after an emergency.

- Emergency federal guidance relevant to protecting state and local government records

  - OPTIONAL: Redisplay slide 1-27, "Federal Guidance on Emergency Preparedness and Response"

  - *Say:* Emergency federal guidance relevant to protecting state and local government records includes:

    - National Response Framework (NRF)
    - National Incident Management System (NIMS)
    - Incident Command System (ICS)
    - National Continuity Policy
    - FEMA Continuity Guidance for Non-Federal Entities, including:
      - Continuity Guidance Circular 1 (CGC1)
      - Continuity Assistance Tool

- Emergency federal guidance relevant to protecting state and local government records

- About the REAP
  - OPTIONAL: Redisplay slide 1-38, "What is a Records Emergency Action Plan (REAP)?"
  - *Say:* a Records Emergency Action Plan, or REAP, is a written, approved, implemented, and periodically tested plan that includes the information and actions needed to respond to and recover from a records related emergency.
  - OPTIONAL: Redisplay slide 1-40, "Disaster Plan vs. REAP vs. COOP Plan"
  - *Say:* The REAP is not the disaster plan itself, it is only an element of the plan—the portion of the disaster plan that includes records.
  - OPTIONAL: Redisplay slide 1-41, "Benefits of a REAP"
  - *Say:* The benefits of a REAP include:
    - Fast, appropriate, and effective response
    - Rapid resumption of operations Increased appreciation of the importance of good records management practices
    - Protected records = protected rights and government accountability

- About the REAP
  - The definition of a REAP
  - How the REAP fits with other disaster plans
  - The benefits of a REAP

- Preparation for developing a REAP
  - OPTIONAL: Redisplay slide 1-44, "Determine Goals and Timetables"
  - *Say:* The first step in preparing to develop a REAP is to determine goals and timetables. Creating a REAP should be treated like any other project and given goals and timetables for completion.
  - OPTIONAL: Redisplay slide 1-45, "Assess the Fiscal Implications of Creating a REAP"
  - *Say:* When determining your goals and timetables, be sure to address each stage of a REAP project:
    - Identifying needs
    - Determining scope
    - Establishing goals
    - Implementation
    - Termination
  - OPTIONAL: Redisplay slide 1-46, "Create Your REAP Teams"
  - *Say:* When preparing to develop a REAP, you also need to assess the fiscal implications of creating a REAP. The costs you may encounter include: Personnel costs
    - Equipment and supplies
    - Consultants
    - Testing expenses
    - Training expenses

- Preparation for developing a REAP
  - Determine goals and timetables
  - Assess the fiscal implications of creating a REAP
  - Create your REAP Teams

- Creating your REAP Teams is also part of preparing to develop a REAP. There are three REAP Teams: Action Team, Assessment Team, and Response Team

 Ask: Are there any questions before we move on to your Take-Home Activity?

Resolve any outstanding questions.

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

PG 1-62

Take-Home Activity: Develop Your REAP—First Steps

(Duration: 5 minutes)

START TIME: _____

Show slide 1-49.

Introduce the activity.

Facilitate the activity using the Activity Instructions on page IG 1-130.

Activity materials:

- **Handout 1.1**—Develop Your REAP—First Steps Activity

[This page intentionally left blank.]

Activity Setup

Activity Snapshot:

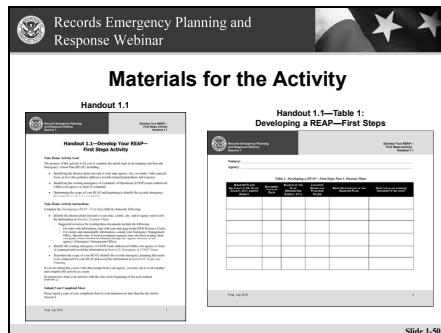|	
Activity Name:	Develop Your REAP—First Steps
Activity Purpose/Goal:	Participants complete the initial steps in developing their REAPs, including: • Identifying the disaster plans relevant to their state agency, city, or county, with a special focus on how this guidance addresses records preparedness and response • Identifying the existing emergency or COOP teams authorized within their agency or chain of command • Determining the scope of their REAP and beginning to identify the records emergency planning that needs to be completed for 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:	• **5 minutes** total: − **5 minutes** for Take-Home Activity introduction
Required Materials (name and location):	• **Handout 1.1**—Develop Your REAP—First Steps Activity
Activity Scenario (if applicable):	N/A
Activity Debrief:	Group discussion, conducted at the beginning of Session 2

Activity Instructions:

Instructions:

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

Show slide 1-50.

Tell participants to locate the materials for the activity:

- **Handout 1.1**—Develop Your REAP—First Steps Activity

Tell participants to raise their hands when they've located **Handout 1.1**.

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

Point out the following in the handout:

- The instructions on page 1.
- The Developing a REAP—First Steps table (Table 1) on page 3.

Say: The purpose of this activity is to complete the initial steps in developing your REAP, including:

- Identifying the disaster plans relevant to your state, county, city, and/or agency, with a special focus on how this guidance addresses records preparedness and response
- Identifying the existing emergency or COOP teams authorized within your agency or chain of command
- Determining the scope of your REAP and beginning to identify the records emergency planning that needs to be completed for your REAP

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

Continued on next page...

Say: Complete the Developing a REAP—First Steps table by doing the following:

- Identify the disaster plans relevant to your state, county, city, and/or agency and record the information in **Part I: Disaster Plans**.

- Identify the existing emergency or COOP teams authorized within your agency or chain of command and record the information in **Part II: Emergency or COOP Teams**.

- Determine the scope of your REAP and identify the records emergency planning that needs to be completed for your REAP and record the information in **Part III: Scope and Planning**.

Tell the participants there are resources to help them locate relevant disaster plans, including the following:

- For state-wide information, start with your state page in the IPER Resource Center.

- For county and municipality information, consult your Emergency Management Office. Specific state or local government agencies may also have their own plans in place, which should be available through the Agency Director or the agency's Emergency Management Officer.

Point out that these resources are listed in **Handout 1.1**.

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 Developing a REAP—First Steps table 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 <u><name of instructor who will receive the completed homework></u> no later than one day before the next webinar session (Session 2).

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

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

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

Tell the participants to keep **Handout 1.1** handy, as they'll need it in Session 2.

Ask for and resolve any questions.

End the activity.

Show slide 1-51.

Thank you!

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

NOTE TO INSTRUCTOR:

- If you *are* opting to run a state-based discussion forum, then introduce the forum now, using the instructor notes that follow.

- If you *are not* opting to run a forum, then skip the following instructions and go directly to the "Conclude Session 1" instructor note.

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

Launch web page in iLinc:

- Web page: IPER Resource Center

    − URL: *http://www.statearchivists.org/resource-center*

- ***Access*** your state's discussion forum in the IPER Resource Center.

- ***Explain*** to the participants that they can use the discussion forum to maintain interaction with their instructors and classmates even after they've completed the course.

- ***Type*** the URL for the discussion forum in the Chat tool, using the "Public" tab.

Conclude Session 1:

Say: This concludes Session 1 of the *Records Emergency Planning and Response Webinar*.

Say: Next week, in Session 2, we'll talk about how to develop and maintain your REAP, and we'll start talking about records emergency response and recovery. We'll meet on <u><date of Session 2></u> at <u><time of Session 2></u>.

 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.

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

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

 Stop the iLinc recorder.

 End the webinar session.

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

[This page intentionally left blank.]