



# Records Emergency Planning and Response Webinar

## Session 1

Participant Guide  
*Final, July 2010*



FEMA

Course Number: AWR-211-2





## Table of Contents

<b>Course Introduction.....</b>	<b>1-1</b>
Welcome to the <i>Records Emergency Planning and Response Webinar</i> .....	1-1
iLinc Overview .....	1-4
Webinar Etiquette .....	1-5
The IPER Project .....	1-6
Previously, in the <i>Essential Records Course</i> .....	1-10
Why Are We Here?.....	1-12
Course Organization and Agenda .....	1-14
Course Objectives .....	1-16
Course Materials .....	1-17
IPER Resource Center .....	1-18
Getting to Know You.....	1-19
Records Emergency Planning and Response Pre-Test .....	1-19
<b>Session 1 Introduction.....</b>	<b>1-21</b>
Session 1 Overview.....	1-21
<b>Module 1—Preparing a Records Emergency Action Plan.....</b>	<b>1-23</b>
<b>Module 1 Introduction and Objectives .....</b>	<b>1-25</b>
Module 1 Introduction .....	1-25
Module 1 Objectives .....	1-26
<b>Lesson 1: Overview of Emergency Planning and the REAP .....</b>	<b>1-27</b>
Emergency Management Terms .....	1-27
Incident .....	1-28
Emergency .....	1-28
Disaster .....	1-28
Response .....	1-29
Recovery .....	1-29
Phases of Emergency Management .....	1-30
Mitigation.....	1-30
Preparedness .....	1-31
Response .....	1-32
Recovery .....	1-32
Federal Guidance on Emergency Preparedness and Response.....	1-33
National Response Framework (NRF).....	1-34
National Incident Management System (NIMS) .....	1-36
Incident Command System (ICS) .....	1-37



National Continuity Policy ..... 1-40

Developing and Maintaining State, Territorial, Tribal, and Local Government  
Emergency Plans—Comprehensive Preparedness Guide 101 (CPG 101) ..... 1-41

FEMA Continuity Guidance for Non-Federal Entities ..... 1-43

Emergency Response—How it Works at the State and Local Levels ..... 1-45

Initial Response..... 1-45

Continuing Demands ..... 1-46

The Payoff of Planning and Training..... 1-46

What is a Records Emergency Action Plan (REAP)? ..... 1-47

How Does the REAP Fit With Other Disaster Plans? ..... 1-49

Disaster Plan vs. REAP vs. COOP Plan ..... 1-50

Benefits of a REAP ..... 1-51

Fast, Appropriate, and Effective Response..... 1-51

Rapid Resumption of Operations..... 1-52

Increased Appreciation of the Importance of Good Records  
Management Practices ..... 1-52

Protected Records Equal Protected Rights and Government Accountability ..... 1-52

**Lesson 2: Planning for the REAP ..... 1-53**

Identify the Disaster Plans and People Relevant to Your State, Locality, and Agency ..... 1-54

Determine Goals and Timetables..... 1-55

Stages of a REAP Project ..... 1-55

Consider Developing an Interim Plan..... 1-56

Assess the Fiscal Implications of Creating a REAP ..... 1-57

Create Your REAP Teams ..... 1-58

Forming the Action Team..... 1-59

**Session 1 Review and Wrap-Up ..... 1-61**

Session Review ..... 1-61

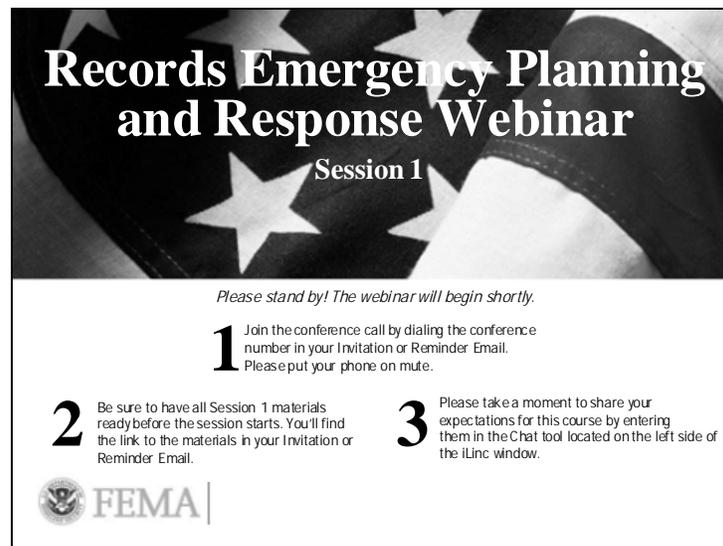
Take-Home Activity: Develop Your REAP—First Steps ..... 1-62



## Course Introduction

### Welcome to the *Records Emergency Planning and Response Webinar*

Slide 1-1



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

*Please stand by! The webinar will begin shortly.*

- 1 Join the conference call by dialing the conference number in your Invitation or Reminder Email. Please put your phone on mute.
- 2 Be sure to have all Session 1 materials ready before the session starts. You'll find the link to the materials in your Invitation or Reminder Email.
- 3 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.

 FEMA |

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



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.

Instructor name:

Contact information:

Instructor name:

Contact information:



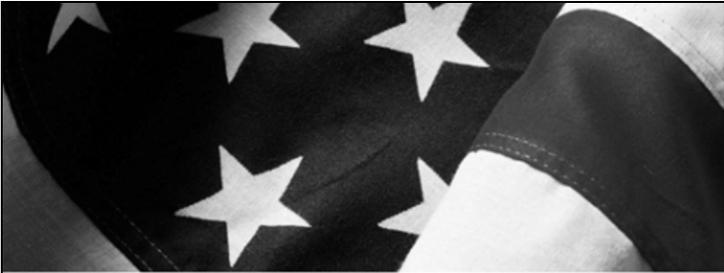
Slide 1-2



This program is part of the  
**INTERGOVERNMENTAL PREPAREDNESS FOR ESSENTIAL RECORDS (IPER)**  
program developed by the  
**COUNCIL OF STATE ARCHIVISTS (CoSA)**  
in cooperation with the  
**NATIONAL ARCHIVES & RECORDS ADMINISTRATION (NARA)**  
and sponsored by the  
**FEDERAL EMERGENCY MANAGEMENT AGENCY (FEMA)**



Slide 1-3



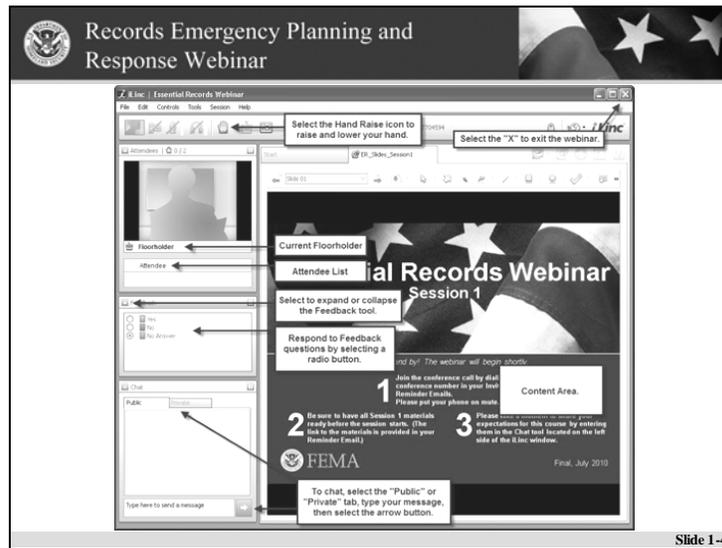
This program was supported by Cooperative Agreement Number  
2007-GT-T7-K022, administered by the U.S. Department of Homeland  
Security, Federal Emergency Management Agency, National  
Preparedness Directorate. Points of view or opinions in this program are  
those of the author(s) and do not represent the position or policies of the  
U.S. Department of Homeland Security.





## iLinc Overview

Slide 1-4

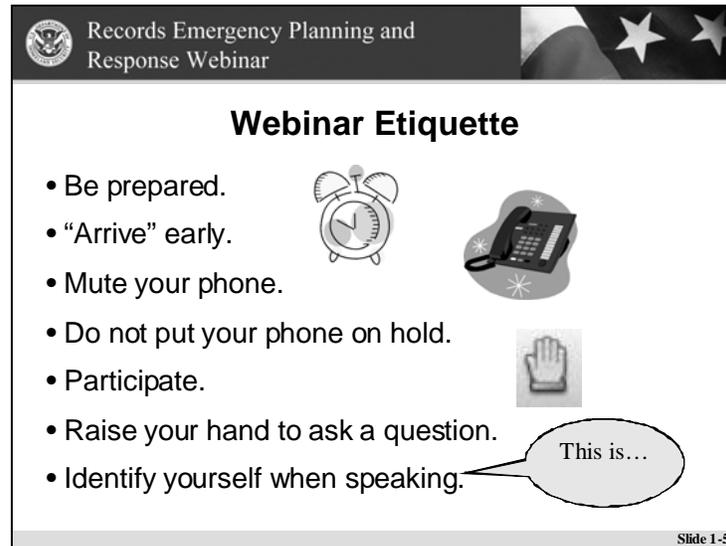


Slide 1-4



## Webinar Etiquette

Slide 1-5



The slide features a dark header with the U.S. Department of Homeland Security logo and the text "Records Emergency Planning and Response Webinar". The main content is titled "Webinar Etiquette" and lists seven bullet points. To the right of the first two points are icons of an alarm clock and a telephone. To the right of the third point is a muted phone icon. To the right of the fourth point is a hand icon. To the right of the fifth point is a hand icon with a speech bubble containing the text "This is...". The bottom right corner of the slide is labeled "Slide 1-5".

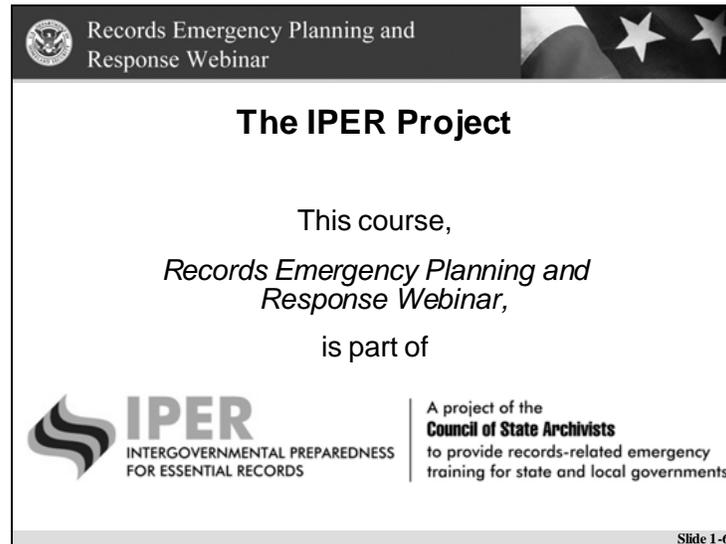
- Be prepared.
- “Arrive” early.
- Mute your phone.
- Do not put your phone on hold.
- Participate.
- Raise your hand to ask a question.
- Identify yourself when speaking.

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



## The IPER Project

Slide 1-6



Records Emergency Planning and Response Webinar

### The IPER Project

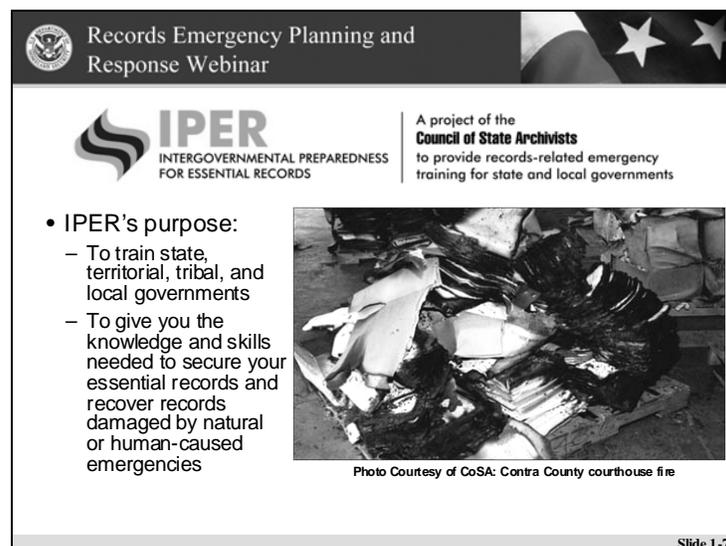
This course,  
*Records Emergency Planning and Response Webinar*,  
is part of

 **IPER**  
INTERGOVERNMENTAL PREPAREDNESS  
FOR ESSENTIAL RECORDS

A project of the  
**Council of State Archivists**  
to provide records-related emergency  
training for state and local governments

Slide 1-6

Slide 1-7



Records Emergency Planning and Response Webinar

 **IPER**  
INTERGOVERNMENTAL PREPAREDNESS  
FOR ESSENTIAL RECORDS

A project of the  
**Council of State Archivists**  
to provide records-related emergency  
training for state and local governments

- IPER's purpose:
  - To train state, territorial, tribal, and local governments
  - To give you the knowledge and skills needed to secure your essential records and recover records damaged by natural or human-caused emergencies



Photo Courtesy of CoSA: Contra County courthouse fire

Slide 1-7

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.



Note: Throughout the course, we often use the abbreviated term “state and local governments” to apply to all four categories.

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

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.



Slide 1-8

Records Emergency Planning and Response Webinar

**IPER**  
INTERGOVERNMENTAL PREPAREDNESS  
FOR ESSENTIAL RECORDS

A project of the  
**Council of State Archivists**  
to provide records-related emergency  
training for state and local governments

- IPER supports a fundamental component of Continuity of Operations (COOP):
  - Ensuring that state and local governments can access and use records needed to restore essential services

Courtesy of NARA—Hurricane Katrina—Orleans Parish—2005

Slide 1-8

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.



Slide 1-9

Records Emergency Planning and Response Webinar

**IPER**  
INTERGOVERNMENTAL PREPAREDNESS  
FOR ESSENTIAL RECORDS

A project of the  
**Council of State Archivists**  
to provide records-related emergency  
training for state and local governments

- Target audience:
  - Any government employee involved in creating, maintaining, and protecting records, or in preparing for emergencies
- Training focuses on three functional areas:
  - Emergency management
  - Records management
  - Information technology

Slide 1-9

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

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>



## Previously, in the *Essential Records* Course

Slide 1-10

Records Emergency Planning and  
Response Webinar

### Previously, in the *Essential Records* Course

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

Typically, less than 5% of an agency's records are essential.

Slide 1-10

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



Slide 1-11

Records Emergency Planning and Response Webinar

**Previously, in the *Essential Records Course* (cont'd.)**

The Essential Records Template

Essential Record	Format(s) of Record	Access Priority Level (See key)	Access Timeframe	Location of Original (include computer name & path for electronic records)	Accessible at Alternative Facility?	Backed Up at T Nrd Location	Maintenance Frequency	Prevention/Mitigation Strategies
EXAMPLE: Delegation of Authority	Hardcopy and .pdf file	Priority 1	Immediately, within 0-12 hours of the event	Deputy Administrator's Office, Washington Grove facility. GBaxter on 'ganda#users\$WY\Documents\Disaster\DoA'	Records storage facility	Office of the Administrator, Springfield Facility, 2 <sup>nd</sup> floor, Office 213b, top drawer of file cabinet next to secretary's desk	Bi-weekly	Backup tapes of Grand server

Slide 1-11

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.



## Why Are We Here?

Slide 1-12

Records Emergency Planning and Response Webinar

### Why Are We Here?

- Agencies must plan for protecting and recovering their records should an emergency occur.

Photo courtesy of FEMA/George Armstrong—Biloxi, Mississippi

Slide 1-12

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.

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.



Slide 1-13

Records Emergency Planning and  
Response Webinar

### Why Are We Here? (cont'd.)

- The best offense is a good defense.

Slide 1-13

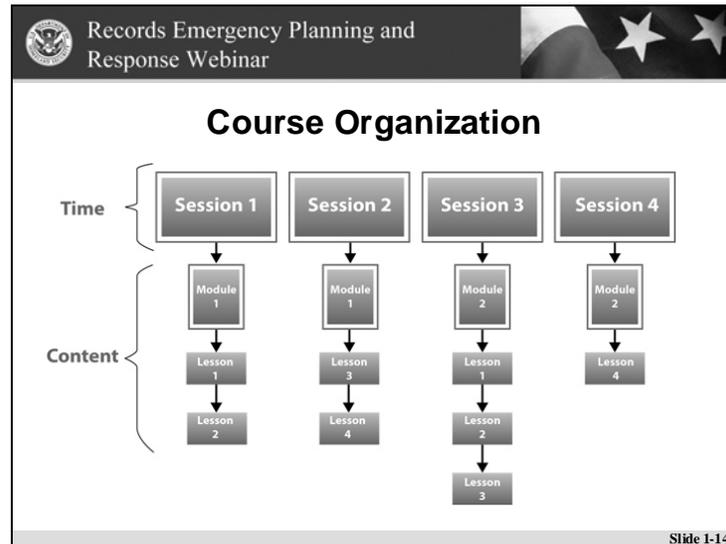
In the case of emergency preparedness, it could be said that “the best offense is a good defense.” Although you cannot prevent all emergencies affecting records, with a REAP in place, you can defend yourself against loss and increase the odds of protecting and/or recovering your records.

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.

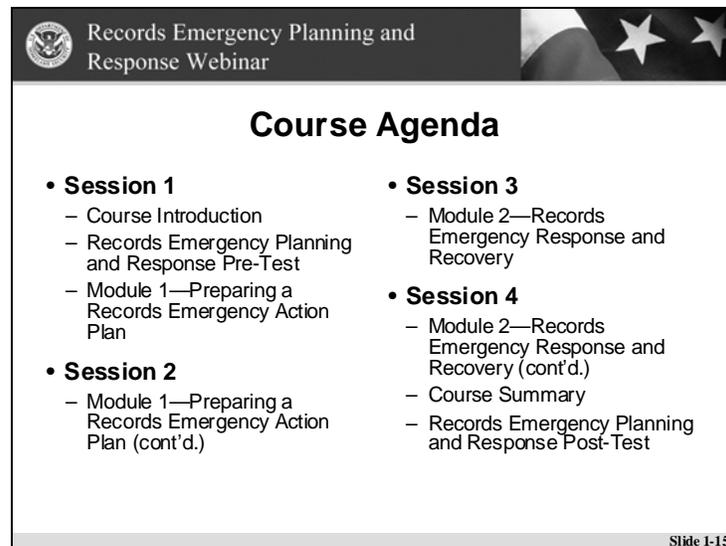


## Course Organization and Agenda

Slide 1-14



Slide 1-15



### 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

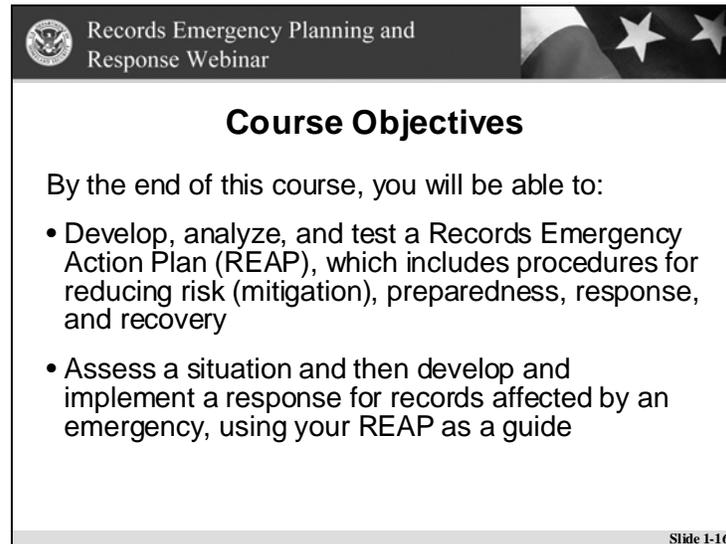
**Session 4** (2:10)

- Module 2—Records Emergency Response and Recovery (cont'd.)
- Course Summary
- Records Emergency Planning and Response Post-Test



## Course Objectives

Slide 1-16



Records Emergency Planning and  
Response Webinar

### Course Objectives

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

Slide 1-16

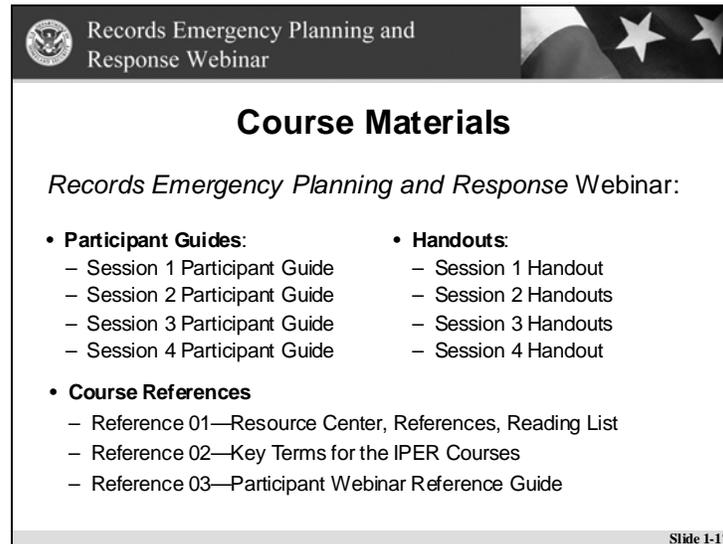
By the end of this course, you will be able to:

- 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

Slide 1-17



Records Emergency Planning and  
Response Webinar

### Course Materials

*Records Emergency Planning and Response Webinar:*

- **Participant Guides:**
  - Session 1 Participant Guide
  - Session 2 Participant Guide
  - Session 3 Participant Guide
  - Session 4 Participant Guide
- **Handouts:**
  - Session 1 Handout
  - Session 2 Handouts
  - Session 3 Handouts
  - 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

- Participant Guides (PGs)
- Handouts
- Course References



## IPER Resource Center

Slide 1-18

Records Emergency Planning and  
Response Webinar

### IPER Resource Center

*[www.statearchivists.org/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

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.

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.



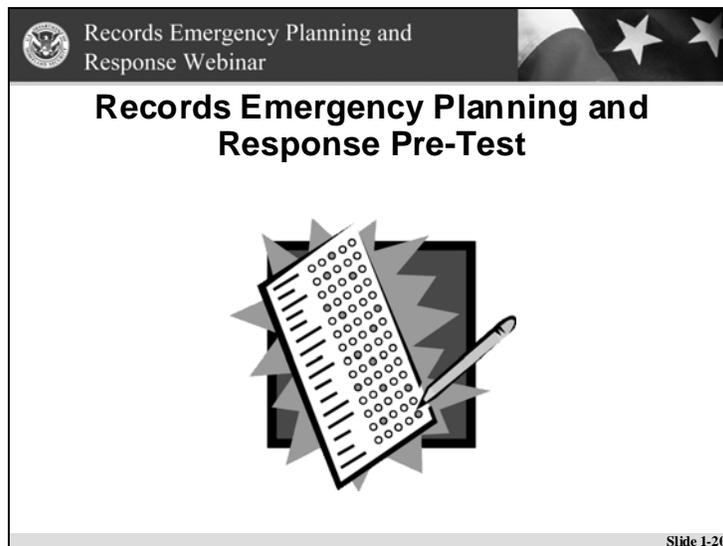
## Getting to Know You

Slide 1-19



## Records Emergency Planning and Response Pre-Test

Slide 1-20





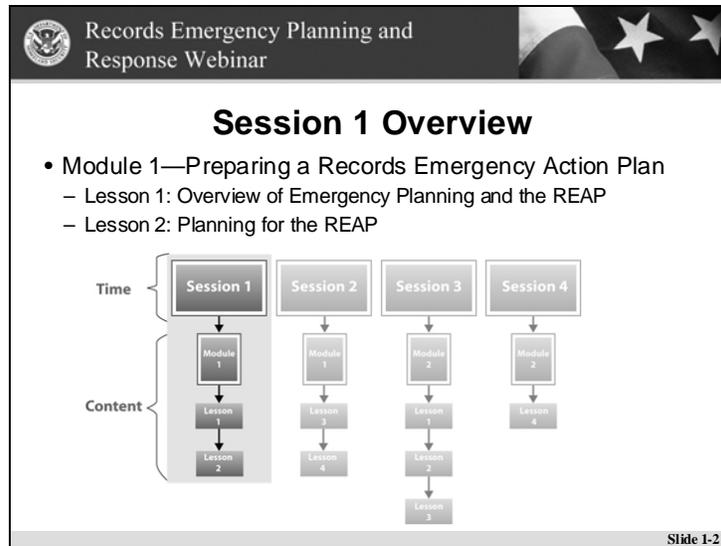
[This page intentionally left blank.]



# Session 1 Introduction

## Session 1 Overview

Slide 1-21





[This page intentionally left blank.]



# Module 1— Preparing a Records Emergency Action Plan



[This page intentionally left blank.]



# Module 1 Introduction and Objectives

## Module 1 Introduction

Slide 1-22

Records Emergency Planning and  
Response Webinar

**Module 1—Preparing a  
Records Emergency Action Plan**

Introduction and Objectives

Slide 1-22

The slide features a header with the U.S. Department of Homeland Security logo and the text 'Records Emergency Planning and Response Webinar'. The main content area contains the title 'Module 1—Preparing a Records Emergency Action Plan' and the subtitle 'Introduction and Objectives'. Below the text is a black and white photograph of a cluttered office or server room with desks, computers, and equipment. The slide is labeled 'Slide 1-22' in the bottom right corner.



## Module 1 Objectives

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

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



# Lesson 1: Overview of Emergency Planning and the REAP

Slide 1-24

Records Emergency Planning and Response Webinar

## Lesson 1: Overview of Emergency Planning and the REAP

Module 1—Preparing a Records Emergency Action Plan

Slide 1-24

## Emergency Management Terms

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



## 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

## 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

## 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



## 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.

## 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.



## Phases of Emergency Management

Slide 1-26



There are four phases to emergency management:

- Mitigation
- Preparedness
- Response
- Recovery

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

### 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



### *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.

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.

### **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

### *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.

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.).

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.

## 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.

## 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



## Federal Guidance on Emergency Preparedness and Response

Slide 1-27

Records Emergency Planning and  
Response Webinar

### Federal Guidance on Emergency Preparedness and Response

- 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

Slide 1-27

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)

Slide 1-28

Records Emergency Planning and  
Response Webinar

### National Response Framework (NRF)

- All-discipline, all-hazards plan for the management of domestic incidents
- Tiered approach to handling emergencies
- Across federal government and state, local, and tribal government entities, the private sector, and nongovernmental agencies

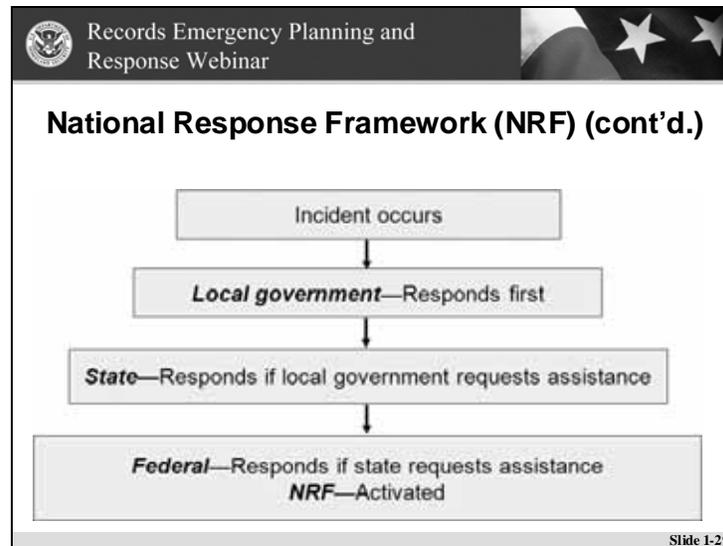
National Response Framework  
January 2008  
Homeland Security

Slide 1-28

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.



Slide 1-29



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.

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)

Slide 1-30

Records Emergency Planning and  
Response Webinar

### National Incident Management System (NIMS)

- Provides a consistent framework for incident management at all jurisdictional levels, regardless of the cause, size, or complexity of the incident

NATIONAL INCIDENT  
MANAGEMENT SYSTEM  
December 2008  
Homeland  
Security

Slide 1-30

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.

There are five major components in the NIMS system:

- Preparedness
- 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.

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)

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

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.

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



Slide 1-32

Records Emergency Planning and  
Response Webinar

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

- Goals:
  - 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

Slide 1-32

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



Slide 1-33

Records Emergency Planning and  
Response Webinar

### 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

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.

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).

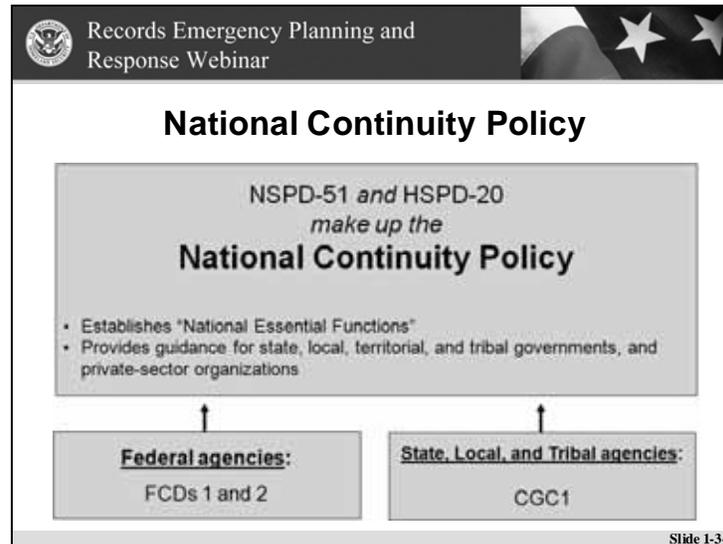
More information about ICS can be found at the ICS Resource Center on FEMA’s website:  
<http://training.fema.gov/EMIWeb/IS/ICSResource/index.htm>

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



## National Continuity Policy

Slide 1-34



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.

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>



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

Slide 1-35

Records Emergency Planning and  
Response Webinar

### CPG 101

- Designed to help state, territorial, tribal, and local governments develop emergency operations plans

DEVELOPING AND  
MAINTAINING  
STATE, TERRITORIAL,  
TRIBAL, AND LOCAL  
GOVERNMENT  
EMERGENCY PLANS

March 2009  
FEMA

Comprehensive Preparedness Guide (CPG) 101

Slide 1-35

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.

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).

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.



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:

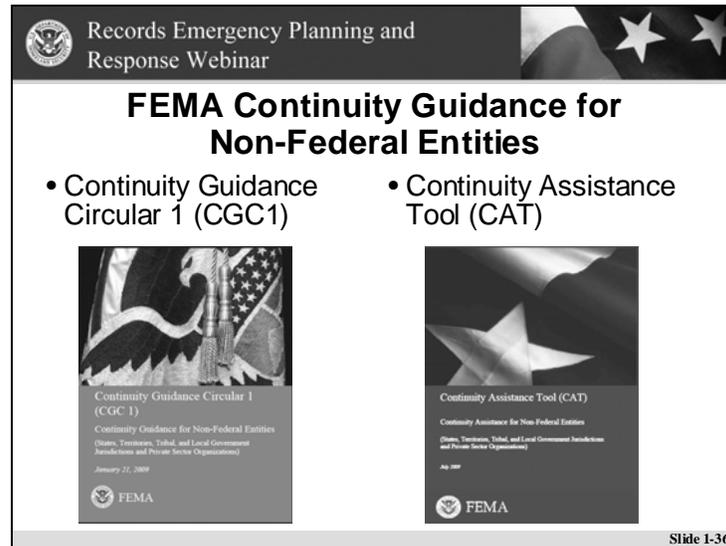
“[The DOI] utilizes the national network of resources represented by the National Archives and Records Administration’s partnership with the Council of State Archivists on issues relating to government records and historical documents.”

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



## FEMA Continuity Guidance for Non-Federal Entities

Slide 1-36



### *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](http://www.fema.gov/pdf/about/org/ncp/cont_guidance1.pdf)

### *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

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



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

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

### 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.

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.



## 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.

## 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.

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.



## What is a Records Emergency Action Plan (REAP)?

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

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. 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:

- 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.

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

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.



## How Does the REAP Fit With Other Disaster Plans?

Slide 1-39

Records Emergency Planning and  
Response Webinar

### How Does the REAP Fit With Other Disaster Plans?

- The REAP is part of a larger disaster plan.
- It is not the disaster plan itself; it is only an element of the plan.
  - The portion of your disaster plan that includes records

Slide 1-39

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.

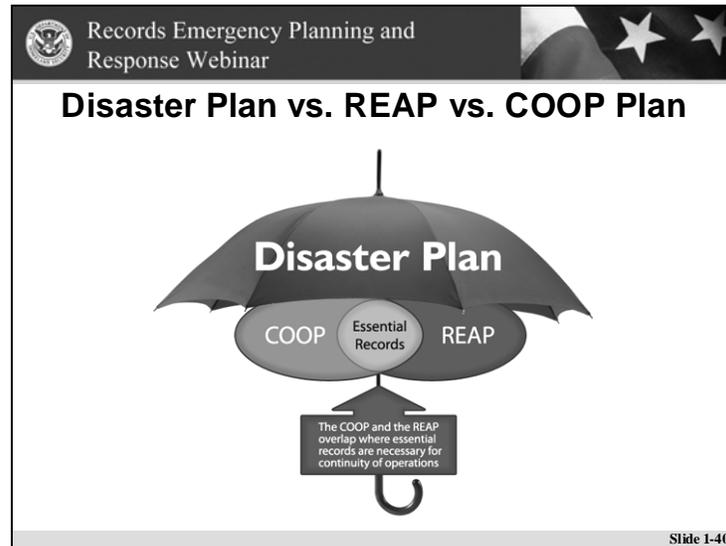
The REAP need not and should not duplicate or conflict with provisions of the general disaster plan. It should define those details needed to protect and recover records.

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.



## Disaster Plan vs. REAP vs. COOP Plan

Slide 1-40



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.

### *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.

### *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.



## Benefits of a REAP

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

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

### 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.



## **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.

## **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.

## **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.



## Lesson 2: Planning for the REAP

Slide 1-42

Records Emergency Planning and  
Response Webinar

**Module 1—Preparing a  
Records Emergency Action Plan**

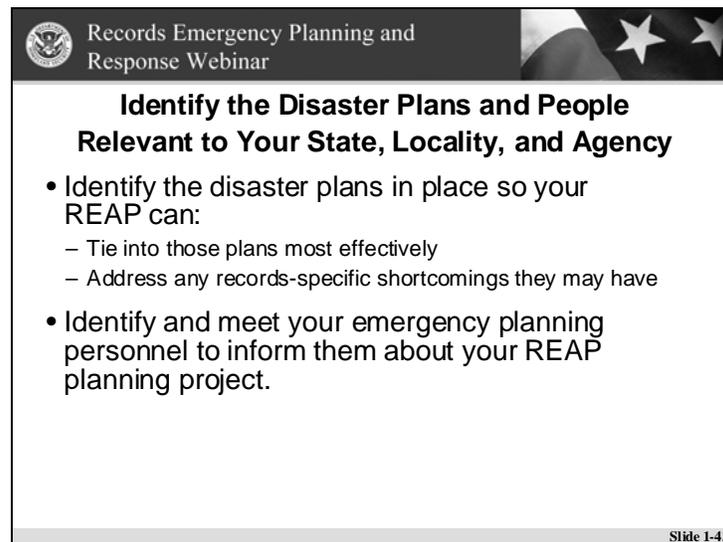
Lesson 2: Planning for the REAP

Slide 1-42



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

Slide 1-43



Records Emergency Planning and  
Response Webinar

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

- Identify the disaster plans in place so your REAP can:
  - Tie into those plans most effectively
  - Address any records-specific shortcomings they may have
- Identify and meet your emergency planning personnel to inform them about your REAP planning project.

Slide 1-43

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.



## Determine Goals and Timetables

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

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.

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.

### 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.



## Assess the Fiscal Implications of Creating a REAP

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

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.

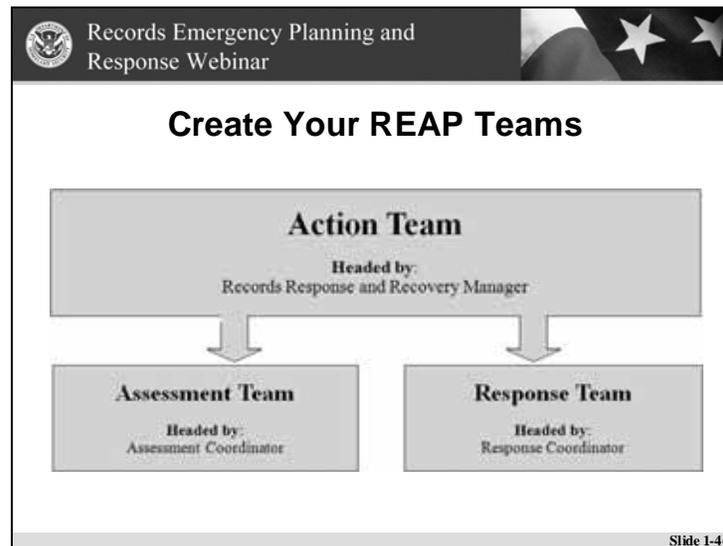
Here are some of the costs you may encounter:

- Personnel costs
- 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



## Create Your REAP Teams

Slide 1-46



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.
  - **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.

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.

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.



## Forming the Action Team

Slide 1-47

Records Emergency Planning and  
Response Webinar

### Forming the Action Team

- Identify the members:
  - Select staff who are flexible and capable of performing well under pressure.
  - Select employees at all levels.
  - Select employees who represent all functions.
- Assign responsibility.
- Select team leadership.

Slide 1-47

### *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



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.

### *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?

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

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.

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.

### *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.



# Session 1 Review and Wrap-Up

## Session Review

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

In Session 1, you learned:

- About the IPER Project
- A number of emergency management terms and the phases of emergency management
- Emergency federal guidance relevant to protecting state and local government records
- 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
  - Determine goals and timetables
  - Assess the fiscal implications of creating a REAP
  - Create your REAP Teams



## Take-Home Activity: Develop Your REAP—First Steps

Slide 1-49

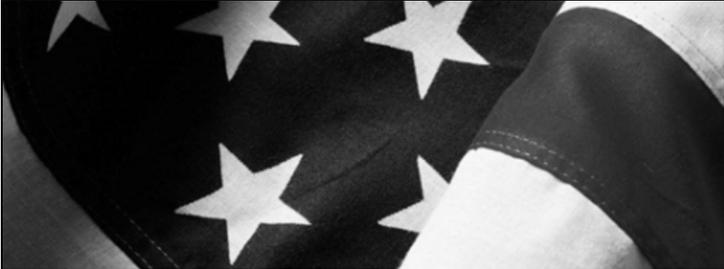
Activity materials:

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

Slide 1-50



Slide 1-51



**Thank you!**



The slide features a black and white photograph of an American flag in the upper portion. Below the flag, the text "Thank you!" is centered in a large, bold, serif font. At the bottom of the slide, there is a horizontal row of four logos: IPER (Intergovernmental Preparedness for Essential Records), CoSA (Council of State Archivists), the U.S. Department of Homeland Security seal, and FEMA.

[This page intentionally left blank.]