



Records Emergency Planning and Response Webinar

Session 3

Participant Guide
Final, July 2010



FEMA

Course Number: AWR-211-2



Table of Contents

Session 3 Introduction	3-1
Session 3 Welcome and Overview	3-1
Take-Home Activity Debrief	3-3
Session 2 Activity: Test a REAP and Develop Your REAP’s Table of Contents.....	3-3
Module 2—Records Emergency Response and Recovery	3-5
Module 2 Introduction and Objectives	3-7
Module 2 Introduction	3-7
How Bad Can It Get?.....	3-7
Records Emergency Response and Recovery—Terms, Concepts, and Tips.....	3-10
Module 2 Objectives	3-15
Lesson 1: Assessing the Damage to Records	3-17
Assess the Nature and Severity of the Damage	3-17
First Steps.....	3-18
Determine Whether the Incident is Small-, Medium-, or Large-Scale	3-19
Initial Coordination for Medium- and Large-Scale Incidents.....	3-22
Communicating Records Concerns and Priorities	3-22
Initial Coordination Meeting with Assessment Team	3-23
Assessment Team Roles and Responsibilities	3-24
Assessment Coordinator	3-25
Facility Services Manager.....	3-25
Records Specialists and Preservation Specialists	3-26
Carry Out the Assessment of the Damage to Location and Space, Then to Physical Records.....	3-27
Entering the Area Where the Damage Has Occurred	3-28
Use All Five Senses	3-29
Safety—Use Common Sense!.....	3-30
Document the Volume and Extent of Damage	3-31
Identify Which Records Are Affected	3-33
Determine Response and Recovery Priorities for Damaged Records	3-35
Communicate Your Findings.....	3-36
Lesson 2: Developing the Response	3-37
Transferring Authority from the Assessment Team to the Response Team.....	3-38
Decisions to Be Made	3-38
Use Your REAP	3-39



Response Team Roles and Responsibilities..... 3-40

 Response Coordinator..... 3-41

 Response Recorder..... 3-42

 Archivists and Conservators 3-42

Definition of an Incident That Can Be Handled In-House 3-43

Definition of an Incident That Will Require External Resources and/or Contractors 3-45

Plan for Staffing the Response and Recovery Stages 3-46

 Small-Scale Incidents..... 3-47

 Large-Scale Incidents..... 3-48

Determine Response Priorities..... 3-49

Set Up the Emergency Operations Center 3-50

 Designate a Spokesperson..... 3-50

Activate the Notification System 3-51

Meet On Site 3-53

Plan for Supply and Equipment Deployment or Purchase..... 3-54

Plan the Record Tracking System..... 3-55

Plan for Contractor Response 3-57

 Prepare the Contract Task Order and Deliverables..... 3-57

 Contractor Services and Equipment..... 3-59

 Deliverable(s) for Records Emergency Response and Recovery Task Order 3-60

Document Your Response Plan 3-61

Lesson 3: Implementing the Response 3-63

 First Priority—Personal Health and Safety During Response..... 3-64

 Personal Protection Equipment..... 3-64

 Personal Hygiene Rules 3-65

 Prevention of Dehydration, Exhaustion, and Injury 3-65

 Decontaminating Equipment and Clothing..... 3-65

 Working With Mold and Other Contaminants..... 3-66

 Second Priority—Security and Privacy 3-67

 Security 3-67

 Privacy 3-68

 Initial Action Steps—Within the First 48 Hours 3-69

Session 3 Review and Wrap-Up 3-71

 Session Review 3-71

 Resources for Help..... 3-72

 Take-Home Activity: Develop Your REAP—Decision Maker, Site
 Assessment, Goals and Timetables, or Action Team Activity 3-73



Session 3 Introduction

Session 3 Welcome and Overview

Slide 3-1

**Records Emergency Planning
and Response Webinar**
Session 3

Please stand by! The webinar will begin shortly.

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

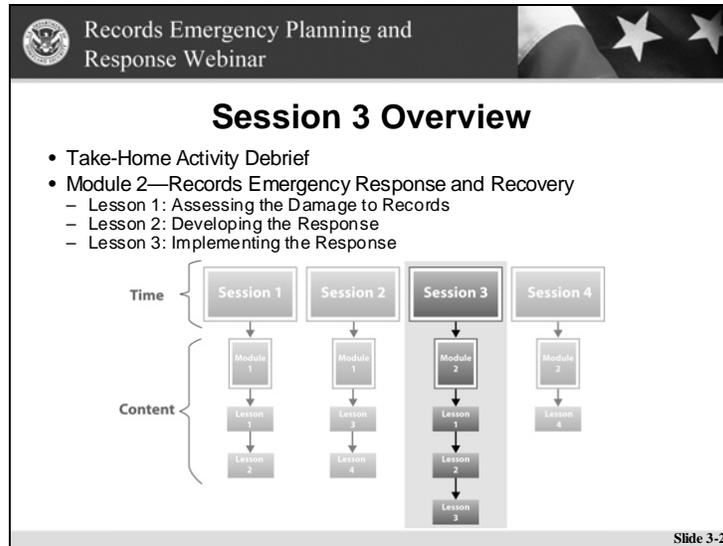
FEMA |

Required materials for Session 3:

- Session 3 Participant Guide
- Session 3 handout(s):
 - **Handout 3.1**—Sample Pack-Out Tracking Log
 - **Handout 3.2**—Response Plan Template
 - **Handout 3.3**—Personal Health and Safety During Response
 - **Handout 3.4**—Emergency Response Checklist: First 48 Hours
 - **Handout 3.5**— Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team
- Materials from prior sessions:
 - **Handout 2.4**—Supplies and Equipment List
 - **Handout 2.5**—Initial Damage Assessment and Response Checklist
 - Your completed worksheet from the Session 2 Take-Home Activity: **Handout 2.8**— Test a REAP and Develop Your REAP’s Table of Contents Activity
- Course Reference(s):
 - **Reference 01**—Resource Center, References, Reading List



Slide 3-2





Take-Home Activity Debrief

Session 2 Activity: Test a REAP and Develop Your REAP's Table of Contents

Slide 3-3

The slide displays two handout worksheets side-by-side. The left worksheet is titled "Test the REAP Worksheet" and the right is "Develop Your REAP's Table of Contents Worksheet". Both worksheets have a header with the U.S. Department of Homeland Security logo and the text "Records Emergency Planning and Response Webinar". Below the header, the main title "Take-Home Activity Debrief" is centered. Underneath, a bullet point reads "• Test a REAP and Develop Your REAP's Table of Contents". The worksheets contain sections for "Name:" and "Agency:" and a "PART 1" section with numbered questions. The right worksheet has a "PART 2" section for developing a table of contents. Both worksheets have a footer with "Final, July 2010" and a page number "3".

Slide 3-3



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Module 2— Records Emergency Response and Recovery



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Module 2 Introduction and Objectives

Module 2 Introduction

Slide 3-4

Records Emergency Planning and Response Webinar

Module 2—Records Emergency Response and Recovery

Introduction and Objectives



Slide 3-4

How Bad Can It Get?

Slide 3-5

Records Emergency Planning and Response Webinar

How Bad Can It Get?



Photo courtesy of CoSA/David Carmichael—Damaged legal files, Beauvoir, MS

Slide 3-5



Slide 3-6

Records Emergency Planning and
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How Bad Can It Get? (cont'd.)



Photo courtesy of CoSA/Christine Wiseman—Historic photographs—
Mississippi, post-Hurricane Katrina

Slide 3-6

Slide 3-7

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How Bad Can It Get? (cont'd.)



Photo courtesy of CoSA—Office records and computers damaged by arson

Slide 3-7



Slide 3-8

Records Emergency Planning and
Response Webinar

How Bad Can It Get? (cont'd.)



Flood in Oneonta, NY
Photo courtesy of Mario R. Arevalo, Oneonta (NY) City Assessor

Slide 3-8

Slide 3-9

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How Bad Can It Get? (cont'd.)



Photo courtesy of CoSA/Karl Niederer—Moldy indexes to case files—
Orleans Parish Criminal District Court

Slide 3-9



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

Slide 3-10

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Review of Key Terms

- **Response**
 - Actions taken to limit the damage and to prepare to recover records
- **Recovery**
 - Actions taken to return records to use and to resume operations

Slide 3-10

Review of Key Terms

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

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



Six Keys to Successful Response and Recovery

Slide 3-11

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Six Keys to Successful Response and Recovery

- A detailed REAP
- Committed management
- Educated and trained staff
- Timely initial response
- Effective communication
- Quick, informed decisions

Slide 3-11

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



Immediate Response is Necessary

Slide 3-12

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Immediate Response is Necessary

- When:
 - Human safety is put at high risk
 - Information and/or records will be lost if immediate action is not taken



Photo courtesy of NARA—New Orleans—
post-Hurricane Katrina—2005—Contractor response

Slide 3-12

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

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

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



Preventing Collateral Damage

Slide 3-13

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Preventing Collateral Damage

- Emergencies can occur which may not directly affect records, but which require response planning to minimize collateral risks to the holdings.

Slide 3-13

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

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



If You Have Advance Warning

Slide 3-14

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If You Have Advance Warning

- Notify staff of the number to call for information on reporting for duty.
- Tell appropriate staff members where an Emergency Operations Center will be set up.
- Distribute beepers or pagers to key staff.
- Ensure that emergency personnel have a copy of the REAP accessible.
- Prepare the facility.

Slide 3-14

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

- Notify staff of the number to call for information on reporting for duty.
- Tell appropriate staff members where an Emergency Operations Center will be set up before the building is closed and the staff dispersed.
- Distribute beepers or pagers to key staff if they do not have them already.
- Ensure that emergency personnel have a copy of the REAP accessible, including copies in their cars and/or homes.
- Prepare the facility. For example:
 - Move or secure records, PCs, and servers.
 - Move high-priority records away from windows, and toward safer areas protected from water.
 - Move key records, PCs, and servers to higher floors if there is danger from flooding.
 - Move records from the top floor or out from under the roof if a hurricane or flood waters are threatening.
 - Wrap highly vulnerable materials in plastic and seal with waterproof tape.
 - Verify that master switches are shut off for gas, water, and electricity, if this can be done without shutting off the sprinkler system for fire.
 - Cover windows (plywood screwed into the frame) or tape them to reduce the shattering of glass.



Module 2 Objectives

Slide 3-15

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Module 2 Objectives

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

Slide 3-15

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

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



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Lesson 1: Assessing the Damage to Records

Slide 3-16

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**Module 2—Records Emergency
Response and Recovery**

Lesson 1: Assessing the Damage to Records

Slide 3-16

Assess the Nature and Severity of the Damage

Slide 3-17

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**Assess the Nature and
Severity of the Damage**

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

Slide 3-17



First Steps

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

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

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

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

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

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

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

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

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



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

Slide 3-18

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Small-Scale Incident

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

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

Slide 3-18

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

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

Small-Scale Incident

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

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

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



Medium-Scale Incident

Slide 3-19

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Medium-Scale Incident

- Need to reassign staff
- Need a structure and response plan
- May need limited outside expertise or contracted resources

Photo courtesy of NARA—Suitland fire—2000

Slide 3-19

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

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

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



Large-Scale Incident

Slide 3-20



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Large-Scale Incident

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



Photo courtesy of NARA—Gulfport SBA
and Court—2005

Slide 3-20

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

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

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



Initial Coordination for Medium- and Large-Scale Incidents

Slide 3-21

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Initial Coordination

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

Slide 3-21

Communicating Records Concerns and Priorities

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

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

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

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



Initial Coordination Meeting with Assessment Team

Slide 3-22

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Initial Coordination Meeting with Assessment Team

- Assemble the Assessment Team as quickly as possible.
- Perform an initial damage assessment.
- Begin setting up an Emergency Operations Center.

Slide 3-22

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

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

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

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



Assessment Team Roles and Responsibilities

Slide 3-23

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Assessment Team Roles and Responsibilities

- Assessment Team consists of the people knowledgeable about the facility, the emergency response, and the records involved.
- When establishing the Assessment Team:
 - Detail specific responsibilities.
 - Outline clear lines of authority.
 - Remember that one person may play more than one role.

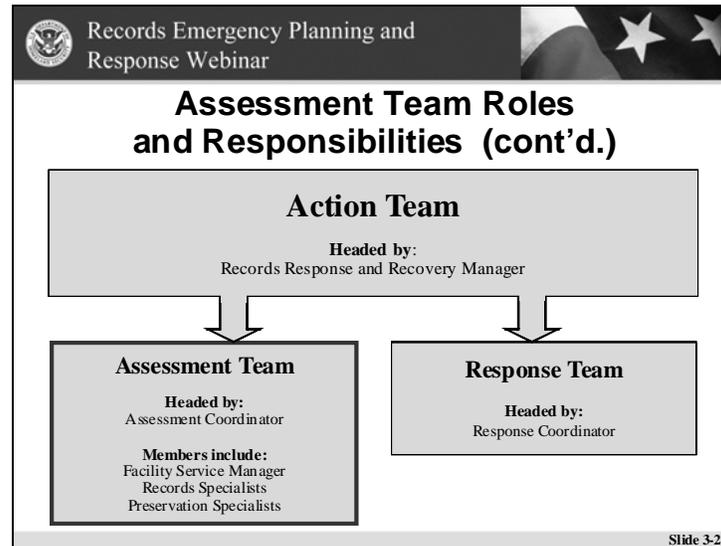
Slide 3-23

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



Assessment Coordinator

Slide 3-24



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

- Selecting and assembling the Assessment Team
- Instructing the team on methods of inspection and investigation, assessing damaged records, and documenting the process
- Evaluating findings and making recommendations
- Notifying and gaining necessary approvals from senior management to enlist the assistance of in-house or outside experts and resources
- Contacting the Response and Recovery Coordinator and planning with him or her the response and recovery steps

Facility Services Manager

The Facility Services Manager is responsible for:

- Securing the affected area and/or buildings
- Ensuring that the building is safe and contaminant-free
- Stabilizing environmental conditions by lowering the temperature and relative humidity and increasing air circulation to prevent mold growth.



- Evaluating damage to the building
- Implementing measures to remedy immediate threats to human safety or to the records
- Establishing priorities for facility clean-up (e.g., turning off water, providing lighting for Assessment Teams, removing water and debris from the floors, overseeing clean-up of debris, etc.)

Records Specialists and Preservation Specialists

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

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



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

Slide 3-25

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

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



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

Slide 3-25

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



Entering the Area Where the Damage Has Occurred

Slide 3-26

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Entering the Area Where the Damage Has Occurred



- Safety is your first concern:
 - Do not enter until the location has been declared safe.
 - Ensure that structural and contamination hazards have been corrected.
 - Ensure that the location is secured and establish a security entry checkpoint.

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

Slide 3-26

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

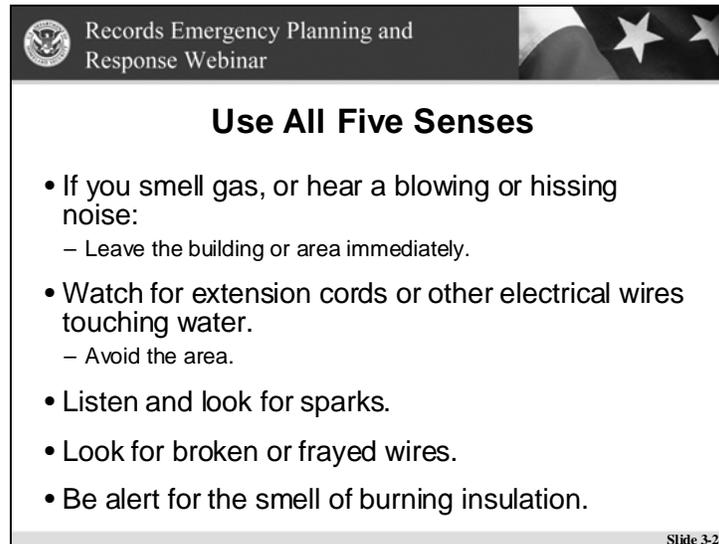
No matter what, safety should always be your first concern:

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



Use All Five Senses

Slide 3-27



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Use All Five Senses

- If you smell gas, or hear a blowing or hissing noise:
 - Leave the building or area immediately.
- Watch for extension cords or other electrical wires touching water.
 - Avoid the area.
- Listen and look for sparks.
- Look for broken or frayed wires.
- Be alert for the smell of burning insulation.

Slide 3-27

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

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



Safety—Use Common Sense!

Slide 3-28

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Safety—Use Common Sense!

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

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

Slide 3-28

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

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

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



Document the Volume and Extent of Damage

Slide 3-29

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Document the Volume and Extent of Damage

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

Slide 3-29

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

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

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

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

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



Slide 3-30

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What Does the Photograph Tell You?



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

Slide 3-30

Slide 3-31

Records Emergency Planning and
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What Does the Photograph Tell You?



Photo courtesy of NARA—Suitland fire—2000

Slide 3-31



Identify Which Records Are Affected

Slide 3-32

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Identify Which Records Are Affected

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

Slide 3-32

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

- Identify the record types—An archivist or a custodian of the affected records will need to provide important identification information, including:
 - The record type, series name, or other identification
 - Any other information that must stay with the records as they are recovered
- Identify the finding aid or database—Identify any indexes, inventories, folder lists, catalogs, databases, or other finding aids that are needed to use the record. If these exist in a database or other electronic format, access to the files will be needed.
- Identify easily replaced records—Rather than be recovered, can the records be replaced easily and more cost-effectively from copies held elsewhere, or are they unique and irreplaceable? It is important not to spend valuable time and resources to recover records when there is an undamaged copy of the record stored elsewhere or when the value is unknown.
- Identify formats—You will need to document the formats in order to determine the preservation expertise required for recovery. This includes documenting whether the records are boxed, in bound volumes, or unbound (loose) paper; oversized records including maps and plans; photographic records including both film and print; electronic media on tapes; disks, or in hard drives; magnetic tapes; CDs and DVDs; and artifacts.



- Identify the damage—
 - Damp or wet box or container only
 - Damp records
 - Wet records
 - Damp or wet computers or servers, status of media unknown
 - Burnt or charred records or container only
 - Contaminated records or surface-soiled only
 - Evidence of mold
 - Current temperature and relative humidity in the affected area(s)
 - The kind of water that has damaged the records:
 - Clean water—from a supply water pipe that has been affecting records for less than 48 hours
 - Gray water—water from a pipe that is carrying some matter; for example, water coming from an appliance such as a dishwasher, washing machine, or garbage disposal
 - Black water—contaminated water from a source that carries sewage or flood waters from the river or ground surface where the water has picked up sewage, chemicals, oils, etc.
 - Salt water from tidal flooding
- Identify records that are difficult and/or expensive to recover or for which there are special recovery concerns.
 - Refer all damaged or potentially damaged electronic records and systems to IT specialists.
 - If you have particular concerns, it is best to photograph the damaged records and consult with experts on their conservation.

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



Determine Response and Recovery Priorities for Damaged Records

Slide 3-33

Records Emergency Planning and
Response Webinar

Determine Response and Recovery Priorities for Damaged Records

- Use your Records Priorities list from your REAP.
- Response and recovery priorities are normally based on:
 - Value of the information
 - Intrinsic value of the record
 - Vulnerability of the media
 - Frequency of use
 - Severity of damage

Slide 3-33

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

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

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

- Value of the information (for example, has it been determined to be essential or permanent?)
- Intrinsic value of the record
- Vulnerability of the media
- Frequency of use
- Severity of damage

You can obtain the information you need from:

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



Communicate Your Findings

Slide 3-34

Records Emergency Planning and
Response Webinar

Communicate Your Findings

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

Slide 3-34

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

Include information about:

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

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

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



Lesson 2: Developing the Response

Slide 3-35

Records Emergency Planning and
Response Webinar

**Module 2—Records Emergency
Response and Recovery**

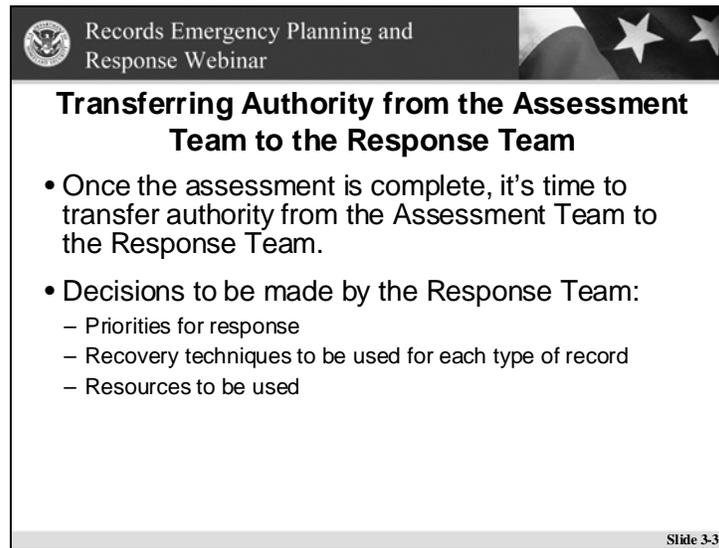
Lesson 2: Developing the Response

Slide 3-35



Transferring Authority from the Assessment Team to the Response Team

Slide 3-36



Records Emergency Planning and Response Webinar

Transferring Authority from the Assessment Team to the Response Team

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

Slide 3-36

After the Assessment Team has completed its assessment of the damage, it's time to communicate what it has found and transfer authority to the Response Team. In many cases, especially in smaller communities or in small-scale incidents, there will be no difference in the membership of "Assessment" and "Response" Teams.

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

Decisions to Be Made

Decisions will need to be made on:

- Priorities for response
- Recovery techniques to be used for each type of record
- Resources to be used, including staff, contractors, space, and time

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

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



Use Your REAP

Slide 3-37

Records Emergency Planning and
Response Webinar

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

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

Slide 3-37

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

- The staffing
- The location of the Emergency Operations Center for communications during the response
- The supply chain
- The location of the staging area and any recovery areas needed
- Any contractor contacts
- Priorities for response
- Procedures for handling sensitive or confidential records

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



Response Team Roles and Responsibilities

Slide 3-38

Records Emergency Planning and
Response Webinar

Response Team Roles and Responsibilities

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

Slide 3-38

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

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

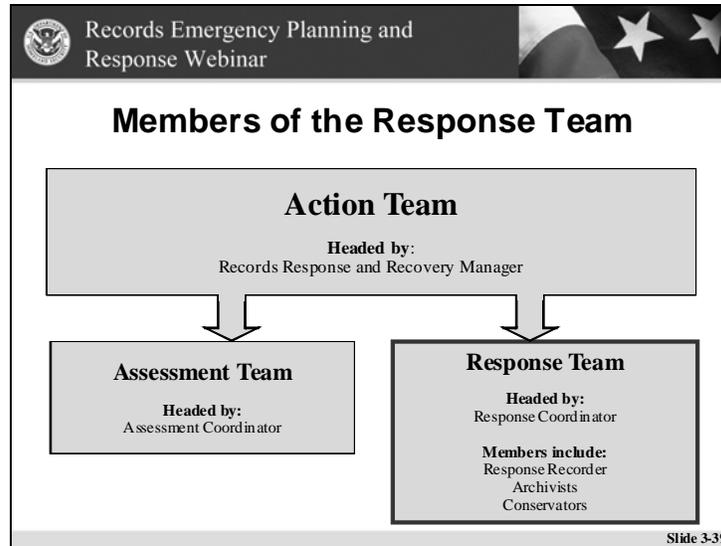
Other responsibilities may include:

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

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



Slide 3-39



Members of the Response Team include:

- Response Coordinator
- Response Recorder
- Archivists and Conservators

Response Coordinator

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

The Response Coordinator is responsible for:

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



Response Recorder

The Response Recorder is responsible for:

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

This position will require immediate access to a telephone.

Archivists and Conservators

Archivists and conservators are responsible for:

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

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

Access to archivists and conservators will differ across state and local government agencies. To learn more about your state's sources of archivists and conservators, please visit the IPER Resource Center, at: <http://www.statearchivists.org/resource-center/iper>



Definition of an Incident That Can Be Handled In-House

Slide 3-40

Records Emergency Planning and
Response Webinar

Definition of an Incident That Can Be Handled In-House

- Small area
- Few records
- Clean water

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

Slide 3-40

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

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

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

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

Tips on Handling Wet Records In-House

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



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

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

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

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



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

Slide 3-41

Records Emergency Planning and
Response Webinar

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

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



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

Slide 3-41

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

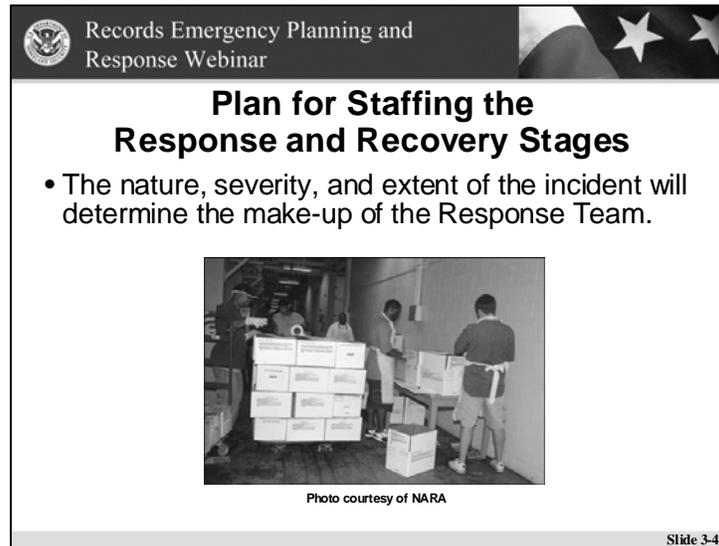
- The incident is large-scale and affects a large volume of records
- The incident is beyond the capability of your space and staff to perform an effective recovery

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



Plan for Staffing the Response and Recovery Stages

Slide 3-42



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Response Webinar

Plan for Staffing the Response and Recovery Stages

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



Photo courtesy of NARA

Slide 3-42

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



Small-Scale Incidents

Slide 3-43

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Response Webinar

Staffing: Small-Scale Incidents

- May be handled quickly by a small group of people
- May involve only administration, records staff, facilities, IT, and purchasing

Slide 3-43

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

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

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



Large-Scale Incidents

Slide 3-44

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Response Webinar

Staffing: Large-Scale Incidents

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

Slide 3-44

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

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



Determine Response Priorities

Slide 3-45



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Determine Response Priorities

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



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

Slide 3-45

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

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

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



Set Up the Emergency Operations Center

Slide 3-46



Records Emergency Planning and
Response Webinar

Set Up the Emergency Operations Center

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



Photo courtesy of FEMA/Ed Edahl

Slide 3-46

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

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

Designate a Spokesperson

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



Activate the Notification System

Slide 3-47

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Response Webinar

Activate the Notification System

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

Slide 3-47

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

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

If communication systems are working, do the following:

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



Slide 3-48

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Activate the Notification System (cont'd.)

- If communication systems are not working:
 - Attempt to reach the Action Team and all staff through an announcement on a local AM radio station.
 - Try email and cell phones.



Slide 3-48

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

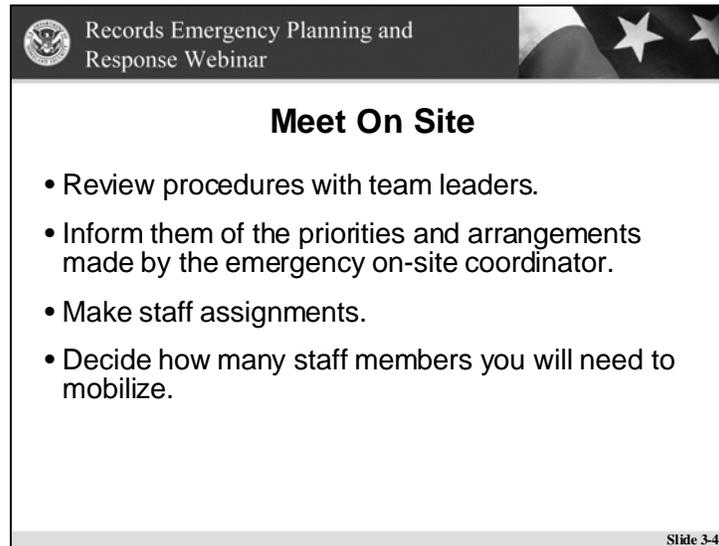
- Attempt to reach the Action Team and all staff through an announcement on a local AM radio station which they have been monitoring as part of the disaster plan.
- Try email and cell phones in case service is available.

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



Meet On Site

Slide 3-49



Records Emergency Planning and
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Meet On Site

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

Slide 3-49

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



Plan for Supply and Equipment Deployment or Purchase

Slide 3-50

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Response Webinar

Plan for Supply and Equipment Deployment or Purchase

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



Photo courtesy of NARA

Slide 3-50

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

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

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

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



Plan the Record Tracking System

Slide 3-51



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Plan the Record Tracking System

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



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

Slide 3-51

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

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

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

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

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

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



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

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

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



Plan for Contractor Response

Slide 3-52

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Response Webinar

Plan for Contractor Response

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

Slide 3-52

Prepare the Contract Task Order and Deliverables

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

The Task Order to the contractor should do the following:

- Describe the incident or condition that triggered the emergency.
- Describe the formats of all of the affected records.
- Specify the work to be carried out by the contractor.
 - Spell out who will be responsible for what.
- Identify exactly what the agency representative has to approve.
 - Make it clear that the agency will make all major decisions.
- List the deliverables (be specific and try to cover all necessary work).
- Include specific security requirements.
- Identify who will oversee the pack-out, tracking system, etc.
- Include a cost estimate for every service.
- Establish a timeframe for completion of the work.
- Identify the criteria for accepting work performance.



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

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

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

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



Contractor Services and Equipment

Slide 3-53

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Response Webinar

Contractor Services and Equipment

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



Photo courtesy of NARA—Sutland—Munters'
Moisture Control providing building
dehumidification—2000

Slide 3-53

Contractor services may include:

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



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

Slide 3-54

Records Emergency Planning and
Response Webinar

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

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

Slide 3-54

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

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



Document Your Response Plan

Slide 3-55

Records Emergency Planning and
Response Webinar

Document Your Response Plan

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

Slide 3-55

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



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Lesson 3: Implementing the Response

Slide 3-56

Records Emergency Planning and
Response Webinar

**Module 2—Records Emergency
Response and Recovery**

Lesson 3: Implementing the Response

Slide 3-56

The slide features a black header with the DHS logo and webinar title. Below the header, the main title and lesson title are centered. At the bottom, a photograph shows a severely damaged office environment with debris, overturned desks, and a person in the background. The slide number 'Slide 3-56' is located in the bottom right corner of the image area.



First Priority—Personal Health and Safety During Response

Slide 3-57

Records Emergency Planning and
Response Webinar

First Priority—Personal Health and Safety During Response

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

Photo courtesy of NARA

Slide 3-57

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

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

Personal Protection Equipment

- Steel-toed boots, preferably water-proofed
- Heavy-duty, water-proof work gloves
- Something to cover your nose and mouth if there is a potential for splashes or airborne particulates (dust)
- Goggles or safety glasses with side shields
- Long-sleeve shirts and long pants or coveralls
- An ANSI-approved hardhat if there is a danger of falling debris
- Hearing protection such as ear plugs or landscaper's ear muffs if you are in an area where you must shout to be heard



- Mosquito repellent in tropical areas
- If there is a risk of contaminants, including mold, a fit-tested respirator with:
 - High Efficiency Particulate Air (HEPA) filtration for mold or biological hazards
 - N95-filtration (activated charcoal), if advised to minimize unpleasant odors

Personal Hygiene Rules

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

Prevention of Dehydration, Exhaustion, and Injury

- Drink lots of water (or a 50:50 mix of sports drink and water), and drink at least every half-hour. Avoid soda, alcohol, coffee, and tea, as they can dehydrate your body.
- Take frequent rest breaks and rotate physical tasks.
- Eat light meals.
- Avoid direct sunlight; wear a hat, sunscreen, and loose-fitting clothes if you have to work in the sun.
- Take care when lifting heavy boxes, especially if they are waterlogged, because wet paper is significantly heavier than dry.
- Use caution when walking in water or when working with wet hands to avoid electrical shock or serious injury.
- If working in hot weather, do the heaviest work early in the morning, from 6:00 a.m. to 11:00 a.m., and late in the afternoon, from 3:00 p.m. to 7:30 p.m.
- Notify your supervisor if you or any of the Response Team members have health or medical conditions, such as high blood pressure, a heart condition, back problems, or allergies.
- If you or a team member begins to feel unwell, stop physical tasks and let someone know.

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

Decontaminating Equipment and Clothing

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



Working With Mold and Other Contaminants

Slide 3-58

Records Emergency Planning and
Response Webinar

Working With Mold and Other Contaminants

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

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

Slide 3-58

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

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

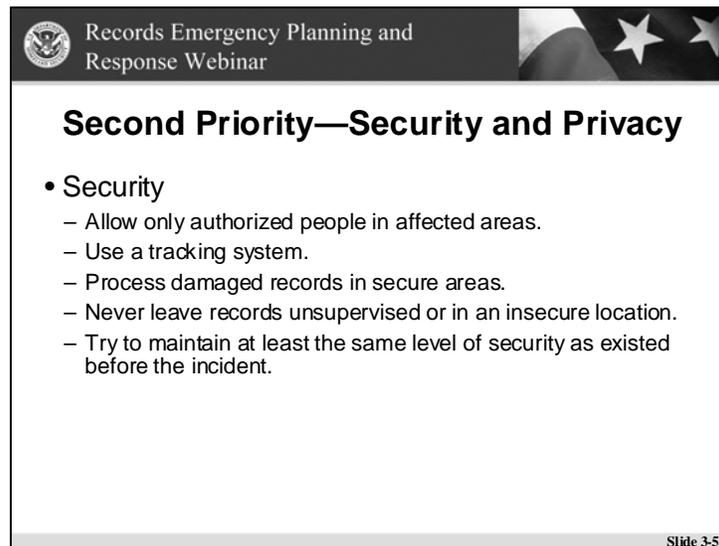
When working with moldy records, wear a respirator, disposable rubber or plastic gloves, a lab coat, and eye protection. Wash clothing in hot water and bleach after exposure to mold and make sure that you don't touch your mouth, nose, or eyes with contaminated fingers.

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



Second Priority—Security and Privacy

Slide 3-59



Records Emergency Planning and
Response Webinar

Second Priority—Security and Privacy

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

Slide 3-59

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

Security

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

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



Slide 3-60

Records Emergency Planning and
Response Webinar

Second Priority—Security and Privacy (cont'd.)

- Privacy
 - Clearly mark containers holding confidential records well in advance of an incident.
 - Recovery personnel and contractors should:
 - Sign an agreement not to disclose confidential information
 - Be trained on handling confidential records
 - If possible:
 - Recruit staff from agencies that created the confidential records.
 - Do not open containers containing confidential records unless the creating agency staff is in attendance.

Slide 3-60

Privacy

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

- Ensure that containers holding confidential records are clearly labeled well in advance of any emergency and include the creating agency's name.
- Ensure that people authorized to participate in recovery (1) have signed an agreement not to disclose confidential information and (2) have been instructed on the importance of respecting confidentiality and on how to handle confidential records.
- Ensure that contractors recovering the records, who should be vetted by checking their references, sign an agreement not to disclose confidential information.
- If possible, recruit staff from agencies that created the confidential records to assist in recovery.
- If possible, do not open containers containing confidential records unless the creating agency staff is in attendance.



Initial Action Steps—Within the First 48 Hours

Slide 3-61

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Response Webinar

Initial Action Steps—Within the First 48 Hours

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

Slide 3-61

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

- Cover materials with plastic if water is dripping on them.
- Remove standing water.
- Drop temperature to 65° F or lower.
- Drop relative humidity (RH) to below 50 percent, and monitor.
- Use fans to circulate air, unless the records are contaminated by mold.

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

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

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



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

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

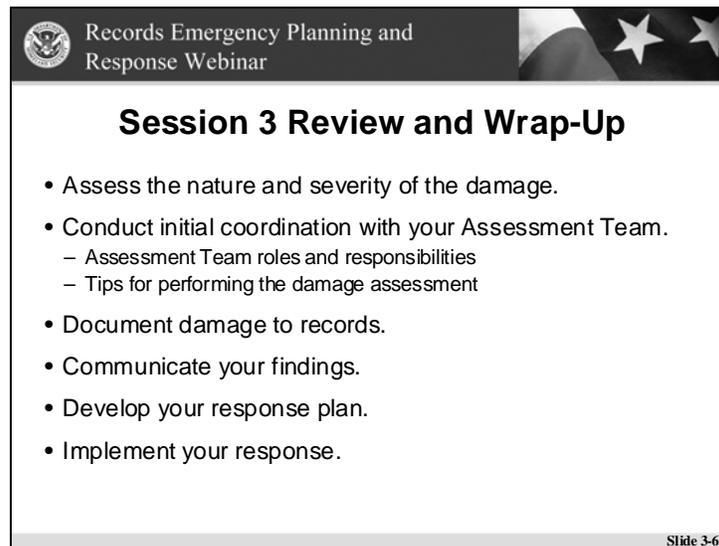
For a thorough listing of actions that should be performed within the first 48 hours of an emergency, refer to **Handout 3.4**—Emergency Response Checklist: First 48 Hours.



Session 3 Review and Wrap-Up

Session Review

Slide 3-62



Records Emergency Planning and Response Webinar

Session 3 Review and Wrap-Up

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

Slide 3-62

In Session 3, you learned:

- How to assess the nature and severity of the damage
- How to conduct the initial coordination meetings your Assessment Team
 - Assessment Team roles and responsibilities
 - Tips for performing the damage assessment
- How to document damage to records
- The importance of communicating your findings
- Developing your response plan
- Implementing your response



Resources for Help

Slide 3-63

Records Emergency Planning and
Response Webinar

Resources for Help

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

Slide 3-63

- IPER Resource Center—
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 - Federal agencies and programs
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 - Commercial vendors
 - Response and recovery procedures for each region or state



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

Slide 3-64

Records Emergency Planning and Response Webinar

Activity

Develop Your REAP—Decision Maker, Site Assessment, Goals and Timetables, or Action Team

Slide 3-64

Slide 3-65

Records Emergency Planning and Response Webinar

Materials for the Activity

Handout 3.5

Records Emergency Planning and Response Webinar

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

Take-Home Activity Goal
The purpose of this activity is to conduct working on your Records Emergency Planning (REP) plan.

Slide Deck: Activity Instructions
Before one of the following tasks and document your experience or results on the Decision Maker, Site Assessment, Goals and Timetables, or Action Team worksheet provided on page 2.

- **Task 1: Decision Maker** Identify the Administrator responsible for collecting the information necessary to develop your REP. Talk to this person about the importance and benefits of REP. Plan and gather the information to create content on the REP plan.
- **Task 2: Site Assessment** If you have already done an impact assessment, then you can skip this task. If you have not, then you will need to conduct a site assessment. This includes identifying the location of your records, the location of your records, and any potential risks to the records.
- **Task 3: Goals and Timetables** If you have already done an impact assessment, then you can skip this task. If you have not, then you will need to develop goals and timetables for your REP plan. Develop the goals and timetables for your REP plan.
- **Task 4: Action Team** If you have already done an impact assessment, then you can skip this task. If you have not, then you will need to develop an action team. Identify the individuals you want to be on your team, and assign them roles and responsibilities.

If you are having trouble with any of the tasks, please bring your agency name to the help desk and complete this activity as a team.

This activity is designed to be completed in 30 minutes. If you need more time, you can complete this activity in 60 minutes.

Handout 3.5 Worksheet
Please print a copy of your completed sheet to use later on the Day After Tomorrow, Session 3.

Final July 2010

Slide 3-65



Slide 3-66



Thank You!



The slide features a black and white photograph of an American flag at the top. Below the flag, the text "Thank You!" is centered in a bold, serif font. At the bottom of the slide, there is a horizontal bar containing four logos: IPER (Intergovernmental Preparedness for Essential Records), CoSA (Council of State Archivists), the U.S. Department of Homeland Security logo, and FEMA (Federal Emergency Management Agency).