

Handout 1.1—Develop Your REAP— First Steps Activity

Activity Goal

The purpose of this activity is for you to complete the initial steps in developing your Records Emergency Action Plan (REAP), including:

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

Activity Instructions

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

- Identify the disaster plans relevant to your state, county, city, and/or agency and record the information in *Section I. Disaster Plans*.
 - Suggested resources for locating these documents include the following:
 - For state-wide information, start with your state page in the CoSA Resource Center.
 - For county and municipality information, consult your Emergency Management Office. Specific state or local government agencies may also have in place their own plans, which should be available through the Agency Director or the agency's Emergency Management Officer.
- Identify the existing emergency or Continuity teams authorized within your agency or chain of command and record the information in *Section II. Emergency or Continuity Teams*.
- Determine the scope of your REAP; identify the records emergency planning that needs to be completed for your REAP and record the information in *Section III. Scope and Planning*.

If you are taking this course with other people from your agency, you may opt to work together and complete this activity as a team.

Be prepared to share your answers with the class at the beginning of the next webinar (Session 2).

Submit Your Completed Sheet

Please email a copy of your completed sheet to your instructor no later than the day before Session 2.

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Name(s): _____

Agency: _____

Table 1: Developing a REAP—First Steps, Part I: Disaster Plans

DISASTER PLANS RELEVANT TO MY STATE, COUNTY, CITY, AND/OR AGENCY	DOCUMENT VERSION/ DATE	SOURCE OF THE PLAN (ORIGINATING AGENCY, ETC.)	LOCATION WHERE THE PLAN CAN FOUND	BRIEF DESCRIPTION OF THE DISASTER PLAN	DOES THE PLAN ADDRESS RECORDS? IF SO, HOW?

Table 2: Developing a REAP—First Steps, Part II: Emergency or Continuity Teams

EMERGENCY OR Continuity TEAMS AUTHORIZED WITHIN MY AGENCY OR CHAIN OF COMMAND	CONTACT NAME(S)	CONTACT INFORMATION

Table 3: Developing a REAP—First Steps, Part III: Scope and Planning

SCOPE OF MY REAP	RECORDS EMERGENCY PLANNING THAT NEEDS TO BE COMPLETED

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Handout 2.1—Emergency Contact Directory Template

Emergency Contact Directory

STAFF CONTACT INFORMATION

Name	Title
Address	Email (work)
Email (home)	Phone (work)
Phone (home)	Phone (mobile)
Emergency Contact (Name & Number)	Distance from home to work

Name	Title
Address	Email (work)
Email (home)	Phone (work)
Phone (home)	Phone (mobile)
Emergency Contact (Name & Number)	Distance from home to work

Name	Title
Address	Email (work)
Email (home)	Phone (work)
Phone (home)	Phone (mobile)
Emergency Contact (Name & Number)	Distance from home to work

Name	Title
Address	Email (work)
Email (home)	Phone (work)
Phone (home)	Phone (mobile)
Emergency Contact (Name & Number)	Distance from home to work

ELECTRONIC DISTRIBUTION LISTS

TYPE	TITLE/RECIPIENTS	POSTING ADDRESS
Email		
Text messaging		

OTHER EMERGENCY CONTACTS

FIRST RESPONDERS

SERVICE/POSITION	NAME	COMPANY/ORG.	PHONE NUMBER
Police Chief			
Nearest Police Station			
Fire Chief			
Nearest Fire Station			
Sheriff			
Nearest Hospital			
Local Emergency Management Agency			
State Emergency Management Agency			
FEMA Regional Office			
Local Red Cross			
Public Health Dept			
OTHER			

PUBLIC/MUNICIPAL CONTACTS

POSITION	NAME	COMPANY/ORG.	PHONE NUMBER
Mayor/ Town Administrator/ Town Manager, etc.			
County Commissioner			
Town/City/County Clerk			
County Manager			
Chief Operations Officer			
Chief Financial Officer			
OTHER			
OTHER			

MAINTENANCE/UTILITIES

SERVICE/POSITION	NAME	COMPANY/ORG	PHONE NUMBER
Gas			
Electric			
Water Utility			
Fire Detection and Suppression			
HVAC			
Plumber			
Electrician			
Telephone Provider			
Internet Provider			
Locksmith			
Janitorial Services			
Pest Control			
Architect			
Legal Counsel			
Security			
OTHER			

VENDORS, CONTRACTORS, RECOVERY SPECIALISTS

SERVICE/POSITION	NAME	COMPANY/ORG	PHONE NUMBER
Document Recovery Services			
Building Recovery Services			
Local Freezer Space			
Out-of-area Freezer Space (in case of a larger/regional disaster)			
Trucking/Transport			
Conservator/ Preservation Expert			
Mycologist			
OTHER			

INSURANCE

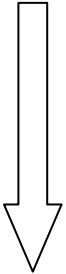
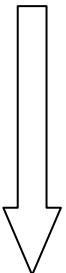
SERVICE/POSITION	NAME	COMPANY/ORG	PHONE NUMBER
Risk Manager			
Insurance Company			

OTHER CONTACTS

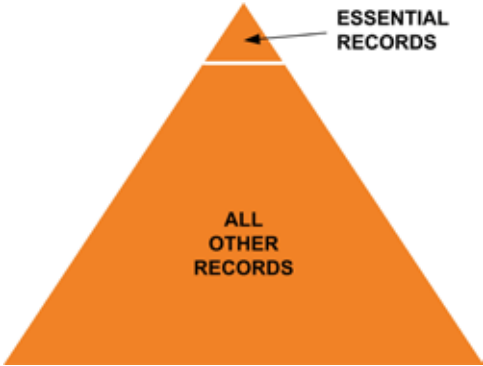
SERVICE/POSITION	NAME	PHONE NUMBER
State Archives		
State Historical Records Advisory Board (SHRAB)		
Local Disaster Networks		
Regional Preservation Services		
Govt. Records Organization		
State/Regional Archival Organization		
NARA Regional Office		

Handout 2.2—Essential Records

NOTE: The left-hand column below indicates salvage priorities for essential records based on how quickly access will be required following an emergency.

PRIORITY FOR SALVAGE	ESSENTIAL RECORDS ARE RECORDS THAT:	EXAMPLES INCLUDE:
Priority 1: First 1–12 hours 	Are necessary for emergency response	<ul style="list-style-type: none"> • Copy of emergency and/or Continuity of Operations (COOP) Plan • Infrastructure and utility plans • Maps and building plans • Emergency contact information
	Are necessary to resume or continue operations	<ul style="list-style-type: none"> • Delegations of authority • Contracts and leases • Payroll • Prison, jail, and parole records • Insurance records
Priority 2: First 12–72 hours 	Protect the health, safety, property, and rights of residents	<ul style="list-style-type: none"> • Deeds, mortgages, land records • Birth and marriage records • Medical records • Active court proceedings • Education and military service records • Voting records • Professional licenses
	Would require massive resources to reconstruct	<ul style="list-style-type: none"> • Geographic information systems data • Tax records
Priority 3: After first 72 hours	Document the history of communities and families	<ul style="list-style-type: none"> • Historical documents • Photographs • Identity records

- Only a small percentage (typically, less than five percent) of all Government records are essential
- Value during an emergency makes a record essential
- As disruption time increases, more records become essential
- “Records” can be in many different formats, including paper or electronic



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Handout 2.3—Sample Records Priorities List

Table 1: Sample Records Priorities List

PRIORITY	RECORD SERIES	SCHEDULE ITEM	RETENTION PERIOD	LOCATION
First Priority	Program Correspondence Files	101a	PERM	Director's Office Main Cabinet Drawer 1
First Priority	Advisory Commissions	202	PERM	Assistant Admin Office Cabinet 3 Drawer 2
First Priority	Erosion Control Study System database (tapes)	306	TEMP—20 yrs	Environmental Research Staff
First Priority	Site Containment Photographs		Unscheduled	Assistant Admin for Recreation
Second Priority	Analytical Compilations	305	TEMP—20 yrs	Resources Evaluation Cabinet 5 Drawer 3
Second Priority	Site Containment Maps		Unscheduled	Assistant Admin for Recreation
Third Priority	Subject Files	103	TEMP—3 yrs	Admin Area Cabinet 1
Third Priority	Tracking Files	106	TEMP—No longer needed	Admin Area Cabinet 1

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Handout 2.4—Supplies and Equipment List

Note: Use the following to create your own checklist of supplies and equipment tailored to the risks faced in your agency or geographic region. Having such a list is important when conducting periodic checks of preparedness. Take into consideration what you will need for an immediate response as well as what you might need for records that require special treatment, such as air drying or freezing for stabilization.

Table 1: In-House Stash of Supplies for Immediate Response

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X			33-gallon plastic trash can with wheels and lid (to store supplies)
X			1 roll 10' x 100' 2 mil plastic sheeting
X			1 roll masking/duct tape (to use with sheeting)
X			1 spool packing string (to hang sheeting)
X			10 large plastic trash bags (to fit can)
X			1 large sponge
X			1–5-gallon bucket
X			1 box disposable gloves
X			1 roll “Do not enter” barricade tape
X			2 rolls paper towels
X			1 pair scissors
X			1 dozen pencils (mechanical or sharpened)
X			2 black permanent marking pens
X			Lined paper pad
X			Flashlight (self-standing, extra batteries)
X			10 dust masks

Table 2: Documentation

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X	X	X	Camera, memory cards (in case a digital camera is not available, keep a disposable camera in emergency supply stash)
X	X	X	Video camera, memory cards
X	X	X	Laptop computer
X	X	X	Waterproof pens/markers
X	X	X	Pencils (mechanical or sharpened)
X	X	X	Clipboards
X	X	X	Paper pads/logs

Table 3: Personal Safety and Protection

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X	X	X	First Aid kit (keep in mind treatment of paper cuts, staple pokes)
X	X	X	Gloves (disposable, work)
X	X	X	Hard hats (size adjustable)
X	X	X	Masks and respirators (dust, mold)
X	X	X	Rubber boots (non-skid), many sizes
X	X	X	Safety goggles
X	X	X	Eyewash kits
X	X	X	Aprons (plastic, disposable)
X	X	X	Overalls, jumpsuits
X	X	X	Vest (or jacket) with pockets
X	X	X	Antimicrobial soap/alcohol hand wash
X	X	X	Drinking water
X	X	X	Portable toilet
X	X	X	Identification badges

Table 4: Packing Supplies

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X		X	Self-adhesive labels, color-coded adhesive dots
X		X	Hand trucks, dollies, book carts
X	X	X	Plastic bags (garbage, zipper lock, assorted sizes)
X		X	Corrugated cardboard boxes
X		X	Tape (masking, packing, duct), tape dispensers
X		X	Scissors, utility knives (extra blades)
X		X	Plastic crates
X		X	Rescubes® (see description on p. 4 of this handout)
X		X	Pallets

Table 5: Communication

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X			Hand radio sets/Walkie-talkies
X			Portable radios
X			Cellular phones (with emergency numbers)
X			Ham radios
X			Megaphone

Table 6: Environmental Monitoring and Moisture Control

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X			Air conditioners (portable)
X	X		Dehumidifiers
X	X		Fans
X	X		Monitors (temperature, humidity)

Table 7: Other Supplies and Equipment

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X			Acrylic sheets (Plexiglas™)
	X		Blotting paper (white)
X	X	X	Brooms, dustpans, shovels, mops, buckets
X	X	X	Bubble pack
X			Cleaning products, disinfectant
X	X		Cloths: cotton rags, dust cloths, lint-free cloths, nonwoven polyester web, cheesecloth
X	X		Clothesline, rope, string (heavy packing on spool)
	X		Clothespins (rust proof)
	X		Dish-drying racks (plastic-covered)
X			Dry ice
X	X	X	Flashlights (self-standing), headlamps, extra batteries, chemical light sticks
X	X	X	Generator (portable, fuel supply)
X		X	Ladders and kick stands
X	X		Mat board
X	X		Moisture meter
X	X		Newsprint (un-inked, blank), butcher paper
X	X	X	Office supplies (paper pads, pencils, waterproof pens/markers, flipcharts, large self-adhesive labels)
X	X		Photo Flo, wetting agent (Kodak)
X	X		Plastic clips/clothespins
X	X	X	Plastic garbage cans, washtubs
X			Plastic sheeting (polyethylene) rolls
X			Plywood or masonite board

Table 8: Other Supplies and Equipment (cont'd.)

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X	X		Polyester film (Mylar), 3 to 5 mil
	X	X	Polyester, spunbond (Reemay, Hollytex)
X			Pump (portable)
X	X		Screen (nylon), screen or bakery drying racks
		X	Shrink wrap
X	X		Signs: "Caution Wet Floor"
	X	X	Silicone release paper
X	X		Sponges (cellulose, chemical)
X	X		Surge protectors, extension cords (50+ ft., heavy-duty, grounded)
X	X	X	Tables (portable, folding)
X	X	X	Tool kit (crowbar, hammer, wrenches, pliers, screwdriver)
X	X		Towels (absorbent cloth, paper)
X	X		Trays (deep, for rinsing)
X			Water hoses, adjustable spray nozzles
X			Wet vacuum (10-gallon industrial)

Other Equipment and Supplies to Consider:

Water Diverter: For protection from overhead leaks. An industrial vinyl plastic tarpaulin carried by ProText, Inc.; stocked in sizes from 3' × 6' to 6' × 10'; can also be ordered in custom sizes. There are grommets at the edges to facilitate hanging over a collection, and a standard garden-hose fitting makes it easy to lead water away. The diverter, which is reusable, would be a good thing to have if your institution suffers from persistent roof leaks.

Corrugated Cardboard Boxes: Not ideal for soaking-wet materials, but it is good to have flattened boxes in the emergency supplies. They take up relatively little space and are inexpensive compared to plastic crates. They can be lined with large plastic bags before wet records go in.

Be-Ready Preparedness Carton®: One-piece folding boxes made of corrugated polyethylene. They are reusable and can be stored flat and set up as needed. They do not absorb water from wet records and do not need to be lined. They have several ventilation openings. Records can be sent to freeze-drying facilities in these cartons. Available from Gaylord Archival®, Hollinger Metal Edge, and other conservation suppliers.

Be-Ready Recovery Kit®: The kit consists of a Be-Ready Preparedness Carton® (described above) filled with basic supplies and equipment. Boxes take up little space and can be stored in multiple locations. Be-Ready Recovery Kits® can be bought instead of or in addition to an immediate response kit. Available from Gaylord Archival® and other conservation suppliers.

Zipper Spill Kit®: A compact kit with supplies that are ideal for emergency spill situations. These kits include absorption materials for oil and water-based liquids and chemical spills. Zipper Spill Kits® are easy to store in locations with limited space. Also available as a **Large Spill Cart Kit®**, with the same supplies stored in a 32-gallon cart. Both options are provided by Hollinger Metal Edge®.

Handout 2.5—Initial Damage Assessment and Response Checklist

Field Guide Assessment Form

Date _____ Time _____ AM PM
Name _____ Affiliation _____
Other participants _____
Assessor/Inspector: Conservator Volunteer Staff Member
 Other _____
Page(s) 1 of _____ Attachments: Sketches Documents
 Images Other _____

Assessor Contact Info

Street Address _____
City/State/Zip _____
Phone _____ Email _____

Assessment Location

Site Location _____
City _____ County _____ State _____
Neighborhood/area _____

Jurisdictional Information

If known; leave blank if not sure. Name of agency, institution, or individual that currently owns or administers the collection and is responsible for its long-term care.

Owner/Administrator _____
Contact _____ Dept./Division _____
Street Address _____
City/State/Zip _____
Phone _____ Email _____

Initial Situation Survey

What type of emergency is it? _____
Is it still happening? Yes No
What is the nature (e.g., water, fire structural dirt/debris) and extent of damage?

Where is the damage (e.g., room, furniture, collection)?

Can staff handle the situation initially? Yes No
Who is in charge? _____
Is it safe to enter? Yes No
If no, what needs to be done to make it safe? _____
Who discovered/reported damage? _____
How long has the collection been damaged? _____
What has been done so far? _____
What is the security status? _____
Does anything need to be done to clean and/or secure the area before attending to the collection? _____
Other notes _____

FROM THE FIELD GUIDE TO EMERGENCY RESPONSE, ©2017

NOTE: A copy of this form is available at the American Institute for Conservation (AIC) and can be downloaded here: <https://www.culturalheritage.org/resources/emergencies/disaster-response-recovery/fieldguide>

Rapid Collections Assessment

Nature of damage		D) Structural damage	F) Losses	I) Fire damage	Severity of damage		
A) Water damage			G) Peeling, flaking, or tenting paint	J) Discoloration	1) Severe		
B) Mold		E) Cracks, splits, breaks, or holes	H) Delamination	K) Loose pieces	2) Moderate		
C) Corrosion				L) Tears	3) Minor		
Material	# objects damaged	% collections damaged	Nature/severity (use key below)	Treatment needed?	Curatorial priority?	Notes	
Ex: Books	<u>1,037</u>	<u>~5%</u>	<u>A1, B3, K2, L2</u>	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no	<input checked="" type="checkbox"/> urgent <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3	<u>many books ok; some need urgent care</u>	
Books	_____	_____	_____	yes no	urgent 1 2 3	_____	
Paper	_____	_____	_____	yes no	urgent 1 2 3	_____	
Photos	_____	_____	_____	yes no	urgent 1 2 3	_____	
Film	_____	_____	_____	yes no	urgent 1 2 3	_____	
Magnetic media	_____	_____	_____	yes no	urgent 1 2 3	_____	
Plastic	_____	_____	_____	yes no	urgent 1 2 3	_____	
Electronic equipment	_____	_____	_____	yes no	urgent 1 2 3	_____	
Wood	_____	_____	_____	yes no	urgent 1 2 3	_____	
Other organic:	_____	_____	_____	yes no	urgent 1 2 3	_____	
Stone	_____	_____	_____	yes no	urgent 1 2 3	_____	
Metal	_____	_____	_____	yes no	urgent 1 2 3	_____	
Ceramic	_____	_____	_____	yes no	urgent 1 2 3	_____	
Glass	_____	_____	_____	yes no	urgent 1 2 3	_____	
Furniture	_____	_____	_____	yes no	urgent 1 2 3	_____	
Textile	_____	_____	_____	yes no	urgent 1 2 3	_____	
Paintings	_____	_____	_____	yes no	urgent 1 2 3	_____	
Other:	_____	_____	_____	yes no	urgent 1 2 3	_____	
_____	_____	_____	_____	yes no	urgent 1 2 3	_____	
_____	_____	_____	_____	yes no	urgent 1 2 3	_____	

Are collections in jeopardy of further damage? Yes No
If yes, what needs to be done to prevent further damage?

FROM THE FIELD GUIDE TO EMERGENCY RESPONSE, ©2017

NOTE: A copy of this form is available at the American Institute for Conservation (AIC) and can be downloaded here: <https://www.culturalheritage.org/resources/emergencies/disaster-response-recovery/fieldguide>

Handout 2.6—Components of a REAP

A Records Emergency Action Plan (REAP) provides direction for reducing the risk to records and information from natural and human hazards. No two REAPs will be the same, because every agency has its own risks, protection strategies, resources, policies, etc. However, there are several common components that should be part of every REAP.

If you have already completed a Pocket Response Plan, it will provide a good start for completing several of these components.

Use the table below to help you think through the components of your REAP.

- What will you include?
- Where will you find the information related to that component?
- Are some of the components already covered in your overall agency emergency plan or Continuity Plan?
- Which components should receive special attention?

Table 1: Components of a REAP

COMPONENT	DESCRIPTION/CONTENTS	NOTES FOR YOUR REAP
Introduction	The briefest part of the REAP. It should state the purpose of the REAP and the entire preparedness program. It should also include information about how to use and revise the document.	
Policy Statement	Include a clear policy statement or directive from the most senior officer in the agency, approving the Plan and identifying it as an official agency policy. The policy statement should clearly mandate the preparation and implementation of the REAP in order to secure the necessary cooperation among departments, have the authority to examine business processes and functions, and assign the organizational resources needed to prepare and implement the REAP.	

COMPONENT	DESCRIPTION/CONTENTS	NOTES FOR YOUR REAP
Responsibilities and Authorities	Provide information about delegation of authority, chain of command, and roles and responsibilities for various activities, including REAP Team assignments, response/recovery manager duties, phone trees, media contacts, and offers of assistance (volunteer labor, supplies, cash donations, etc.).	
Communication Plan	<p>Identify multiple communications strategies to be used during an emergency at both the primary site and an alternate site, if required. Consider call-in voice recordings and information relaying systems.</p> <p>Establish a <u>Phone Tree</u> to disseminate information in an orderly way but not overburden one individual with the responsibility.</p> <p>Create an <u>emergency contact directory</u> that lists (as appropriate) telephone numbers (office, home, cell), email addresses, and physical locations of key contacts, including agency staff, emergency responders, contractors and suppliers, and others whom you will need to reach in an emergency.</p> <p>Identifying communications strategies is usually a major component of the larger Continuity Plan, but also a critical part of your REAP.</p>	
Locations of Essential Records	Include the essential records inventory, including title, location, retention period, container identification, format and media, volume, and location of master copy (if one exists).	

COMPONENT	DESCRIPTION/CONTENTS	NOTES FOR YOUR REAP
<p>Salvage Priorities</p>	<p>Organize this section in a list that makes it clear which records will require attention first and which ones can wait.</p> <p>Include the record series under each priority category; item numbers from records schedules, retention period, and the physical location of the records.</p>	
<p>Supplies (should be included as an appendix)</p>	<p>Include a list of supplies you may need in the event of an emergency, including all supplies needed to prevent further damage to records, to aid in packing out records for further recovery, and information on how to purchase the supplies. See Handout 2.4—Sample Supplies and Equipment List.</p>	
<p>Financial or Funding Information</p>	<p>Plan and document how you will obtain funds that may be required to purchase any necessary equipment and supplies you may not have on hand.</p> <p>Finance and accounting personnel will need to track expenses associated with an emergency. Establish special codes for labor, equipment, and supplies to ensure proper accounting of expenses.</p>	
<p>Vendors and Suppliers (should be included as an appendix)</p>	<p>Include a list of vendors and suppliers of emergency services and supplies in your REAP. Consider developing standing contracts for professional service providers and temporary storage facilities, if possible.</p>	

COMPONENT	DESCRIPTION/CONTENTS	NOTES FOR YOUR REAP
<p>Contractor Statement of Work</p>	<p>Include a generic draft Statement of Work (SOW) ready to use to obtain needed services in the event that an emergency befalls your records. Obtain this draft SOW from your Procurement Office.</p> <p>Include any signed contracts or Memorandums of Understanding (MOUs) with individual contractors for specific services. However, if they contain confidential or private information, access to them should be restricted. Make sure to include in your REAP the procedures for activating the contract or MOU.</p> <p>Include the names, addresses, and phone numbers of the contractors with which you have established contracts for response and recovery.</p>	
<p>Facility Information (should be included as an appendix)</p>	<p>Include all relevant facility information, especially evacuation plans and provisions for employees and visitors with disabilities; locations and operating instructions for equipment, mechanical systems, and emergency supplies; locations of master keys, floor plans, hazardous materials, doorways, stairways, and windows.</p>	
<p>Staging Space</p>	<p>Contact the proprietors of your building(s) about the availability of space and make arrangements for use of the space in the event of an emergency. Document these arrangements in your REAP.</p> <p>Spell out agreements and procedures, and keep contact and all other information up-to-date in your REAP.</p> <p>Also, outline the procedures you will use to transfer or obtain office equipment and supplies and the services you will need, such as electricity, water, communications, and computers.</p>	

COMPONENT	DESCRIPTION/CONTENTS	NOTES FOR YOUR REAP
<p>Preparedness, Response, and Recovery Procedures</p>	<p>The Preparedness, Response, and Recovery Procedures section will comprise the largest and most detailed section of your Plan. As explained earlier, your REAP must address specific emergencies and how to handle them, as identified in your risk assessment. It must provide for both major and minor emergencies and should include both site-specific and community-wide events.</p>	
<p>Training, Testing, and Updating</p>	<p>Document the goals, objectives, and schedules for training all employees, plus testing the REAP and updating it periodically. Specific training programs for responders and specialized teams should also be developed and documented in the REAP.</p>	
<p>Appendixes</p>	<p>The final section of the REAP provides information which is needed for the effective execution of the Plan, but which should be kept separate from the main narrative of the Plan. You can place these items in the Plan as an appendix. They should include a Phone Tree; a supplies, equipment, and space list; forms for assessing damage and tracking records (pack-out tracking log); reduced floor plans with locations of emergency equipment and utility boxes; and your essential records inventory and plan.</p>	

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Handout 2.7—Pocket Response Plan (PReP) Template

The Pocket Response Plan (PReP), created by the Council of State Archivists (CoSA), is a concise document for recording essential information needed by staff in case of an emergency. It is NOT intended to be a substitute for a REAP (Records Emergency Action Plan).

CoSA and other organizations have developed several variations of the PReP template to fit specific types of agencies or organizations. Two are illustrated in this handout:

- The ***government agencies version*** is generic, designed for use by any state agency and other governmental entities at any level of government.
- The ***local government version*** incorporates elements specific to county and municipal governments.

Copies of both of these PReP templates are available as editable Word documents and PDF files on the CoSA Emergency Preparedness Resource Center along with other versions, including one for state archives and another for collections (e.g., nongovernment libraries, archives, and museums). There are options available in Spanish and Portuguese as well.

For more information on the PReP, including detailed instructions for creating and completing a PReP, refer to the PReP page on CoSA's website at:

<https://www.statearchivists.org/research-resources/emergency-preparedness/pocket-responce-templates>

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PReP Template for Government Agencies, Side A (Communications)

Template for Pocket Response Plan (PReP)™

SIDE A (Communications). Use this side to collect phone numbers for the individuals and organizations you are most likely to need to talk to in the first minutes and hours after an emergency occurs: staff, emergency responders, facility managers, utilities, vendors, and assistance organizations.

[Government Agencies] Pocket Response Plan™ (PReP™)	STATE GOVT OFFICIALS	FIRST RESPONDERS	FACILITIES MANAGEMENT	EMERGENCY SERVICE PROVIDERS	OTHER CONTACTS
INSTITUTIONAL CONTACTS Agency Head [name] [office phone] / [home phone] / [cell] Deputy Director [name] [office phone] / [home phone] / [cell]	Chief Information Officer/IT Dept [name] [phone] Risk Manager [name] [phone] Department of Public Health [phone] Purchasing Agent [phone]	Police Department [phone] Fire Department [phone] Emergency medical/ambulance service [phone] Security [phone] State EMA [phone]	Building Mgr [name] [office phone] / [home phone] / [cell] Building Staff [name] [office phone] / [home phone] / [cell]	Conservator [name] [phone] Data Recovery Service [name] [phone] Dehumidification Services (building) [name] [phone] Commercial Recovery Services (freeze drying) [name] [phone]	State historical records advisory board [name of designated contact] [phone] Local government records commission [name] [phone] Local government association(s) [phone] National Archives regional office [phone]
DISASTER TEAM Team Leader [name] [office phone] / [home phone] / [cell] Member 1 [name] [office phone] / [home phone] / [cell]	STATE ARCHIVES & RECORDS MANAGEMENT CONTACTS State Archivist [name] [office phone] / [home phone] / [cell] State Records Manager [name] [office phone] / [home phone] / [cell]	Local EMA [phone] State Command Center [phone] State Police [phone]	UTILITIES Electricity [name] [phone] Gas [name] [phone] Telephone [name] [phone]	Exterminator / Fumigation Service [name] [phone] Freezer Storage Space [name] [phone]	FEMA regional office [phone] National Heritage Response Hotline 202-661-8068 Council of State Archivists (CoSA) CoSA administrative staff 502-229-8222 info@statearchivists.org
Member 2 [name] [office phone] / [home phone] / [cell] Member 3 [name] [office phone] / [home phone] / [cell]	Department/Section Manager1 [name] [office phone] / [home phone] / [cell] Department/Section Manager2 [name] [office phone] / [home phone] / [cell]	Highway Patrol [phone] Sheriff [phone] Centers for Disease Control [phone]	Water – Fire sprinklers [name] [phone] Water – Potable [name] [phone]	Industrial Hygienist/Mold Testing Lab [name] [phone] Refrigerated Trucking Service [name] [phone]	American Association for State & Local History 615-320-3203 ARMA International 913-444-9174 844-565-2120
Member 4 [name] [office phone] / [home phone] / [cell] Parent agency contact [name] [office phone] / [home phone] / [cell]	Preservation Manager [name] [office phone] / [home phone] / [cell] Conservator [name] [office phone] / [home phone] / [cell] Local Governments Mgr [name] [office phone] / [home phone] / [cell]	Red Cross [phone] MUTUAL AID PARTNERS [institution] [name] [phone] [institution] [name] [phone]	Internet provider [name] [phone] Elevators [name] [phone] Security system [name] [phone]	Freezer Storage Space [name] [phone] Refrigerated Trucking Service [name] [phone]	National Association of Government Archives & Records Administrators 202-938-1988 Society of American Archivists 312-606-0722 866-722-7858
		[institution] [name] [phone]	Fire alarm/suppression system [name] [phone]	REGIONAL PRESERVATION SERVICES [name] [phone] [name] [phone] [name] [phone]	

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PReP Template for Government Agencies, Side B (Actions)

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<p>[Government Agencies] Pocket Response Plan™ (PReP™)</p> <hr/> <p>Response checklist for an emergency in a facility housing archives or records</p> <p>Follow these steps as you respond to an emergency in the state archives or records center.</p> <p>Coordinate your agency's response</p> <ul style="list-style-type: none"> <input type="checkbox"/> Recognize and define the emergency <input type="checkbox"/> Notify public authorities and first responders <input type="checkbox"/> Ensure that all staff and visitors are safe and accounted for <input type="checkbox"/> Contact risk manager and insurance agent <input type="checkbox"/> Activate the Disaster Plan <input type="checkbox"/> Activate the Disaster Team <input type="checkbox"/> Activate agency command center <input type="checkbox"/> Establish communication with staff, public <p>Phone tree [customize to fit your repository]</p>	<p>Assessment, salvage, recovery</p> <ul style="list-style-type: none"> <input type="checkbox"/> Ensure that all hazards are cleared before entry <input type="checkbox"/> Assess and document damage to holdings, building, information systems <ul style="list-style-type: none"> <input type="checkbox"/> What type of an emergency was it (fire, smoke, chemical, clean water, dirty water, heat, humidity)? <input type="checkbox"/> What areas have been affected? <input type="checkbox"/> What is the nature of the e? <input type="checkbox"/> How much of the collection has been affected? <input type="checkbox"/> What types of materials have been damaged? <input type="checkbox"/> Are critical information systems functional / safe? <input type="checkbox"/> Maintain security <input type="checkbox"/> Stabilize the environment at your facility <input type="checkbox"/> Identify and gather emergency supplies <input type="checkbox"/> Locations of supplies: <ul style="list-style-type: none"> <input type="checkbox"/> Contact state archives and records management program <input type="checkbox"/> Contact other aid partners <input type="checkbox"/> Contact outside emergency service providers <input type="checkbox"/> Begin salvage <input type="checkbox"/> Contact news media <input type="checkbox"/> Report status to constituents 	<p>Response checklist for statewide response</p> <p>Follow these steps as you respond to an emergency with a regional or statewide impact involving records.</p> <p>Identify and contact agencies or repositories that might be affected</p> <ul style="list-style-type: none"> <input type="checkbox"/> Use directories to locate state agency field offices, local governments, and archival repositories <input type="checkbox"/> Establish mechanism for state and local government agencies to report threats to records. <input type="checkbox"/> Account for all affected records repositories in region or state <input type="checkbox"/> Determine if state ARM is holding a copy of affected organizations' emergency response plans <p>Protect vital records or those containing sensitive or personal data</p> <ul style="list-style-type: none"> <input type="checkbox"/> Assess status of secure storage facilities <input type="checkbox"/> Check condition of vital records <input type="checkbox"/> Obtain appropriate storage space for threatened vital records <input type="checkbox"/> Determine if microfilm or other duplicates of vital records are stored elsewhere <input type="checkbox"/> Assist affected agency or repository to establish salvage priorities 	<p>Establish and maintain channels of communication</p> <ul style="list-style-type: none"> <input type="checkbox"/> Make contact with state and local EMA (emergency management agency) <input type="checkbox"/> Post staff at EMA Command Center <input type="checkbox"/> Establish communication with appropriate local government networks <input type="checkbox"/> Post emergency information and instructions on _____ Web site <input type="checkbox"/> Contact National Archives regional office <input type="checkbox"/> Establish communication with FEMA, other NARA officials <input type="checkbox"/> Contact risk manager and insurance agent <input type="checkbox"/> Contact the news media (list outlets/contact info here): 	<p>Provide or coordinate emergency services</p> <ul style="list-style-type: none"> <input type="checkbox"/> Obtain appropriate permissions to enter disaster site from public safety authorities, public health department <input type="checkbox"/> Deliver services to repositories in need: <ul style="list-style-type: none"> <input type="checkbox"/> Connect institutions in need with services (send vendor/supplier list from state ARM emergency plan) <input type="checkbox"/> Recruit volunteers <input type="checkbox"/> Provide supplies <input type="checkbox"/> Facilitate trips <input type="checkbox"/> Conduct assessments <input type="checkbox"/> Assist with public relations <input type="checkbox"/> Provide recovery assistance <input type="checkbox"/> Contact outside emergency service providers <input type="checkbox"/> Confirm funding sources for emergency services <p>Educate and train responders</p> <ul style="list-style-type: none"> <input type="checkbox"/> Coordinate deployment of staff and volunteers to affected areas <input type="checkbox"/> Train response and salvage crews 	<p>Local and Regional Preservation Services</p> <p>Check with your local/regional Alliance for Response (AFR). AFR networks consist of local cultural heritage and emergency management professionals, who can offer advice and hands-on assistance. https://www.culturalheritage.org/resources/emergencies/alliance-for-response</p> <p>The Preservation Directorate of the Library of Congress provides a list of emergency web pages of institutions that can assist individuals and institutions with damaged art and artifacts at loc.gov/preservation/emergprep/emerother. Some of the institutions listed offer 24/7 emergency help lines.</p> <p>The Heritage Emergency National Task Force (HENTF), a partnership between FEMA and the Smithsonian Institution, can direct impacted organizations to federal resources that support response and recovery efforts. Email FEMA hentf@fema.dhs.gov to request assistance.</p> <p>The National Heritage Responders hotline is always available: 202-661-8068 emergenceis@culturalheritage.org</p> <p>Contact the conservation/preservation department of a major museum, library, or archives in your area for advice.</p>
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PReP Template for State Archives & Records Management, Side A (Communications)

Template for Pocket Response Plan (PReP)™

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State Archives Pocket Response Plan™ (PReP™)	FIRST RESPONDERS	ARCHIVES FACILITY	RECORDS CENTER	EMERGENCY SERVICE PROVIDERS	OTHER CONTACTS
INSTITUTIONAL CONTACTS Agency Head [name] [office phone] / [home phone] / [cell] Deputy Director [name] [office phone] / [home phone] / [cell] State Archivist [name] [office phone] / [home phone] / [cell] State Records Manager [name] [office phone] / [home phone] / [cell] Department/Section Manager1 [name] [office phone] / [home phone] / [cell] Department/Section Manager2 [name] [office phone] / [home phone] / [cell] Preservation Manager [name] [office phone] / [home phone] / [cell] Conservator [name] [office phone] / [home phone] / [cell] Local Governments Mgr [name] [office phone] / [home phone] / [cell] Parent agency contact [name] [office phone] / [home phone] / [cell]	Police Department [phone] Fire Department [phone] Emergency medical/ambulance service [phone] Security [phone] State EMA [phone] Local EMA [phone] State Command Center [phone] State Police [phone] Highway Patrol [phone] Sheriff [phone] Centers for Disease Control [phone] Red Cross [phone] DISASTER TEAM Team Leader [name] [office phone] / [home phone] / [cell] Member 1 [name] [office phone] / [home phone] / [cell] Member 2 [name] [office phone] / [home phone] / [cell] Member 3 [name] [office phone] / [home phone] / [cell] Member 4 [name] [office phone] / [home phone] / [cell]	Building Manager [name] [office phone] / [home phone] / [cell] Building Staff [name] [office phone] / [home phone] / [cell] Utilities Electricity/gas [name] [phone] Telephone [name] [phone] Water [name] [phone] Internet provider [name] [phone] Elevators [name] [phone] Security / fire system provider(s) [name] [phone] STATE GOVT OFFICIALS Chief Information Officer/IT Dept [name] [phone] Risk Manager [name] [phone] Department of Public Health [phone] Purchasing Agent [phone]	Building Mgr [name] [office phone] / [home phone] / [cell] Building Staff [name] [office phone] / [home phone] / [cell] Utilities Electricity/gas [name] [phone] Telephone [name] [phone] Water [name] [phone] Internet provider [name] [phone] Elevators [name] [phone] Security / fire system provider(s) [name] [phone] MUTUAL AID PARTNERS [institution] [name] [phone] [institution] [name] [phone] [institution] [name] [phone]	Conservator [name] [phone] Data Recovery Service [name] [phone] Dehumidification Services (building) [name] [phone] Document Recovery Services (freeze drying) [name] [phone] Exterminator [name] [phone] Freezer Space [name] [phone] Industrial Hygienist (mold) [name] [phone] Refrigerated Trucking Service [name] [phone] REGIONAL PRESERVATION SERVICES [name] [phone] [name] [phone] [name] [phone]	SHRAB – designated contact [name] [phone] Local government records commission [name] [phone] Local govt association(s) [name] [phone] National Archives Regional Office [phone] National Heritage Response Hotline 202-661-8068 Council of State Archivists (CoSA) 502-229-8222 info@statearchivists.org Natl Endowment for the Humanities 800-NEH-1121 202-606-8400 Institute for Museum & Library Services 202-653-4657 American Association for State & Local History 615-320-3203 ARMA International 913-444-9174 844-565-2120 National Association of Government Archives & Records Administrators 202-938-1988 Society of American Archivists 312-606-0722 866-722-7858

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Email FEMA hentf@fema.dhs.gov to request assistance.</p> <p>The National Heritage Responders hotline is always available: 202-661-8068 emergencis@culturalheritage.org</p> <p>Contact the conservation/preservation department of a major museum, library, or archives in your area for advice.</p>
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Handout 2.8—Test a REAP and Develop Your REAP's Table of Contents Activity

Activity Goals

PART 1—Test a REAP:

- To practice testing a Records Emergency Action Plan (REAP) by applying it to an emergency situation

PART 2—Develop Your REAP's Table of Contents:

- To apply what you learned about the components of a REAP by creating the table of contents for your REAP

Activity Materials

Test the REAP WorksheetPage 3
Develop Your REAP's Table of Contents Worksheet.....Page 4
DPR Agency Overview.....Page 5
DPR Emergency Scenario.....Page 8
Department of Public Recreation Records Emergency Action PlanPage 11

Activity Instructions

PART 1—Test a REAP:

Congratulations! You are now a new member of the Division of Public Recreation's (DPR's) Records Emergency Action Team.

Your mission: Using the DPR Emergency Scenario provided on page 9 and the information provided in the DPR Agency Overview on page 5, review DPR's Records Emergency Action Plan in light of the first two days of your response and answer the questions on the Test the REAP Worksheet, located on page 3.

Please note: It is not your assignment to outline a response; instead, you should determine whether the REAP gives you enough information to form an effective response.

PART 2—Develop Your REAP's Table of Contents

Create the table of contents for your state agency's, city's, or county's REAP, and record it on the Develop Your REAP's Table of Contents Worksheet, located on page 4.

If you are taking this course with other people from your agency, you may opt to work together and complete this activity as a team.

Be prepared to share your answers and experiences with the class at the beginning of the next webinar session (Session 3).

Submit Your Completed Worksheets

Please email a copy of your completed worksheets to your instructor no later than the day before Session 3.

Develop Your REAP's Table of Contents Worksheet

Name(s): _____

Agency: _____

PART 2—Develop Your REAP's Table of Contents

DPR Agency Overview

The Division of Public Recreation is a state agency in the state of Columbia. Its mission is to monitor and encourage safe recreational use of Columbia's waterways. The Headquarters Office is in Springfield and serves as the office of record only for administrative records, such as personnel, time, and attendance records. Each program is responsible for creating and maintaining the records and information related to its particular role. The Administrator's office is in Springfield, while the Deputy Administrator is located in Washington Grove and reports to the Springfield office.

Current Administrative Structure and Activities in the Jacksonville Regional Office

The Assistant Administrator for Recreation currently also serves as the director for the Three Lakes Advisory Commission. The Commission is comprised of agency heads from other state agencies as well as from state and local governments that border the Mancove, Charleston, and Savannah Lakes. The Charleston Lake is within the boundary of the National Forest. The Commission focuses on finding ways to protect the lakes environment against the effects of gas-powered engines (this includes engines powering boats and jet skis) on the lakes' environment. The lakes are currently home to three endangered species of fish and several types of endangered plant life. The Commission has passed a mandate allowing only electric motors to be used on the lakes, which led to public outcry.

Due to this public controversy, the Columbia State legislature asked to be kept informed of all proposed Commission decisions. Therefore, the Legislative Liaison for DPR is now required to attend all Three Lakes Advisory Commission meetings.

The Public Affairs Office (PAO) is currently trying to keep up with the public's requests for information about this controversy. The Deputy Director is responsible for clearing PAO press releases.

The Environmental Quality Office (EQO) monitors and protects the health of the waterways, including conducting water-quality studies and approving permits for recreational watercraft wishing to use federally-protected waters. In addition, the EQO generates Environmental Impact Studies (EIS) documenting the effects of recreational usage on the waterways. This office has issued several EISs which differ from those issued by other state and local agencies. The laboratory in the EQO houses hazardous chemicals which are used in the testing. At the request of the Commission, the lab is currently testing water samples from the lakes.

The Procurement Office administers routine procurement files and issues and monitors grants to local governments, as well as to universities and private companies in connection with the Advisory Commissions programs. Subject to public review, these grants often lead to controversy and protest.

The Records

The *Records Liaison* oversees all records created at the local office.

The *Deputy Administrator* submits monthly reports to the Administrator, HQ, Springfield. The Deputy Administrator receives biweekly reports from each of DPR's five departments. He manages documents that support the Delegation of Authority and the Orders of Succession, which are stored in a locked drawer in the Deputy Administrator's desk.

The *Assistant Administrator for Resources Evaluation, Research, and Policy* files support policy development that helps preserve land for recreational purposes and oversee such offices as the Environmental Quality Office.

General Counsel records document numerous pieces of legislation sponsored in full or in part by DPR, including active and closed files.

Administrative Services holds procurement and grant files which contain original contracts with grantees and complete records of all grants and monitoring activities, including the final reports of projects, as well as payroll, personnel, Equal Employment Opportunity (EEO) complaints, and personal injury case files. Administrative Services is located at headquarters, in Springfield, and all their records are maintained in their office. Only the previous month's time information is stored at the regional office.

Assistant Administration for Recreation is the official repository for Advisory Commission records. It maintains records created by the Terrestrial and Aquatic Recreation Office, which includes Site Containment and Cleanup Files, Critical Habitat Maps, and Waterway Charts.

Information Technology staff completes weekly system backups and maintains system documentation and manuals.

The Building

Located on the southeastern seaboard in Danville, Columbia, the building lies 20 miles north of Washington Grove. The area is prone to severe weather and is located near an alligator- and snake-infested swamp and an airport. DPR, one of four tenants in a three-story building owned by the state, occupies offices on the second and third floors and an area in the basement. The building was constructed in 1964 with a metal-framed glass-curtain exterior wall. None of the windows opens. A sprinkler system was installed in the building in 1967; almost 30 years later a sprinkler pipe leak caused a flood in both the DPR offices and records storage room. A hot-water and chilled-water system, installed in 1996 features pipes which snake back and forth between the ceiling of one story and the floor of the story above it. The ceilings also contain plumbing pipes. Asbestos tiles still hang above drop ceilings installed in the 1970s.

The Holdings

Few filing cabinets can be found throughout DPR's offices, which face the inoperable windows. Due to lack of space in the offices, the basement has become the central file room. That room consists of 10 file cabinets containing the agency's current files. One can often find mice scurrying around in the basement, along with other vermin and insects. There is no air conditioning or heating in the basement. The basement has a ground floor walk-out door leading to the public parking lot.

The DPR keeps about 200 boxes of older records—including closed contracts that must be retained—in a roomy cage, secured by a wire-link fence. The boxes rest on wooden shelving, the bottom shelf of which lies directly on the floor. So that the bottom tier of boxes is only one inch above the floor. You can find a set of leather-bound final reports regarding grant projects in the General Counsel's Office. That office—also in the basement—holds multiple additional copies in boxes stacked in the basement storage area.

A file cabinet in the upstairs office space of the EQO contains agency reports. When the drawers become too full (about every six months) upstairs, workers refile them in the basement. The agency receives hazardous chemical report data both electronically and on paper that they plot electronically on maps in the EQO computer tracking program. For awhile the agency recorded data from paper reports via scans, but were not able to sustain that effort.

The Procurement Office stores the current year's contracts in its office file cabinet. The office keeps open grant files in its office, while it keeps closed files in the basement. The Terrestrial and Aquatic Recreation Office keeps its large-format charts and maps in boxes and tubes on wooden shelving. It holds current, small-format documents in the upstairs office, with most in the basement file drawers.

Public Affairs is unable to store anything in its office space due to a lack of storage space. Instead, it routes everything to basement filing. Seven years earlier, DPR installed a LAN. They situated the file server in a small room carved from the General Counsel Office space in the basement. The LAN is backed up nightly within itself and onto tape weekly. The agency stores backup tapes in the same room as the file server. Shortly after the installation, when backups were a year old, they were destroyed. But some five-year-old files still lurk on PC hard drives, backwaters where records management has seldom delved. Over the years, fewer and fewer files have been printed and filed, despite the fact that paper-format long remained the "official record copy." As a result, records that are two, three, and four years old are partly paper and partly electronic. Some are in both formats. Last year, DPR specified electronic format as the record copy standard. Scanning incoming paper enjoyed a very brief popularity before it was sidelined as too time-consuming. DPR continues to navigate in a world of paper and electronic records.

A COOP Plan was written in FY 1993 and was last updated in 1999. Currently, there is no designate assigned responsibility for the plan. So, although a file plan exists, not all offices put the protocols into practice. Because the Deputy Administrator does not seem to understand the concept of essential records, no one has identified essential records.

DPR Emergency Scenario

Water Leak—Day One

On a Sunday evening in November, REAP Action Team Coordinator John Jones is dining with a new acquaintance at La Bohème, a trendy oceanside restaurant. His beeper goes off just as the server uncorks a bottle of French wine, a vintage superior to his usual choice. The Building Security Officer, Lorenzo Medici, is alerting him to an emergency situation at the DPR building. Jones pushes a credit card toward the server, mumbles hurried apologies to his dinner companion, and rushes away.

Jones arrives to find the DPR offices flooded with water. When the IRS office complex above them downsized, the landlord remodeled several offices to meet its needs. Several water feeder lines were replaced. One of them developed a slow leak at the point where it joined the old system. Before the Facility Services Manager became aware of this problem, the line ruptured and poured water into the wall between DPR's Environmental Quality Office (including the Laboratory) and the Public Affairs Office. When the night security watchman made his 8:00 p.m. check, he found two inches of water on the floor in these offices. Other areas of the second floor were also wet.

Jones surveys the scene, and then goes to the basement storage area. Water is a foot and a half deep, and still rising. If it rises another inch, the next shelf of records will begin to soak up water from the bottom. Jones, standing on the third stair from the bottom, wonders briefly if he should do something about those next-shelf boxes, but is reluctant to set foot in all that water. His attention is distracted by some loose papers and small cardboard boxes floating on the surface. A handful of photographs have curled up into a cylinder shape and are bobbing in a small whirlpool of water near the corner floor drain.

Jones returns to his office, finds his copy of the DPR REAP, and places a call to Security Officer Medici. A recorded voice instructs him to check the number and dial again. He goes to the next name on the list: Building Manager Abigail Washington. No answer. He wonders if he should call the Deputy Administrator, but does not see his name listed on the REAP Phone Tree. He redials Washington. Again, no answer.

Water Leak—Day Two

Monday morning dawns cool and gray. Last night's 10:00 p.m. news carried a story about yesterday's leak (no pun intended). Secretary Ernestine Tomlin, who hasn't missed a day of work in 16 years and has accumulated nearly 1,700 hours of sick leave, is at her desk early, knowing that extra effort will be needed today. There are 27 messages on the main office phone. A dozen are from staff calling in sick; eight are staff asking if the office will be closed today because of the mess, six are TV stations wanting immediate updates, and one is an individual wanting to sell "Mr. Mancove" aluminum siding at an unbelievably low price.

Eventually the REAP Action Team drifts in. Patrick Henry, Agency Records Officer, is the last to arrive, citing heavy traffic, just as he does about two mornings a week. While waiting for him, the Action Team sips coffee, locates a copy of the REAP, and starts reading. Security Officer Medici goes down to the basement and returns several minutes later muttering something that begins “Geez, Louise....”

When the Action Team is fully assembled, they head for the basement. Fortunately, all but three inches of standing water has drained. Betsy Flagg recognizes boxes on the bottom shelf, still partially submerged, as hers. She says firmly, “Let’s start here. This stuff is in the worst shape. Form a bucket brigade. I’ll pull boxes off the shelf and pass them along. Spread yourselves out! Abby, you stack the boxes on the bottom stairs. Okay? Let’s go!” The first box moves along the line and is plopped soggly on a stair. The second box breaks apart when being passed between the third and fourth people in line. Files spill into the water with a noisy splash.

Flagg asks for a plastic trash bag so the box contents can at least be kept together. The brigade continues to work, stacking soaked boxes in ever-shifting towers on the stairs. Word comes back that there are no trash bags in the emergency supply closet but one has been appropriated from the janitor’s supply. Files are pulled out of the water and stuffed into the bag. The ruined box floats dejectedly a few feet away. One of the box-towers on the stairs becomes overbalanced and slumps back into the shallow water with a splash.

Eventually the dripping boxes are brought upstairs and set outside the dock door to drain. Work proceeds with other boxes that had stood in only an inch of water at high tide. Flagg says, “We can dry these here. Let’s take them upstairs.” An hour later, the half-wet boxes are on plastic-sheeted tables in the General Counsel’s office. “Now what should I do?” asks a staff member eager to help. Flagg pauses to think.

Later in the day, Medici goes out to the dock for a cigarette. He notices a big patch of wet cement where the boxes of soaked records were placed. Oh, yes: Those records....where did they end up? Morning was so long ago and so much has happened. As he ponders this, he hears a noise he immediately recognizes as the garbage truck. He looks up to see the dumpster hoisted and emptied into the truck. A moment later the compactor makes its familiar hydraulic hiss.

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Department of Public Recreation Records Emergency Action Plan

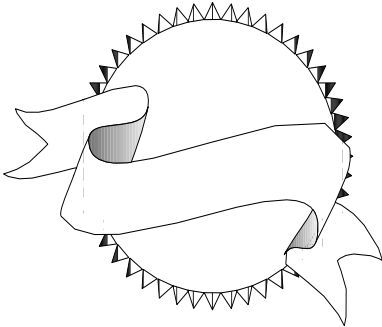


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Preserving the natural and cultural resources park system
for enjoyment, education, and inspiration of this
and future generations

1776 Eagle Way
Springfield, Columbia 32214

Introduction

The preservation of essential evidence requires twin strategies: **preparedness** and **response**. **Preparedness** requires (1) storing records in correct environmental and physical conditions, and (2) informed, effective planning to avoid or minimize preventable emergencies. Effective **response** requires a coherent and practical plan for responding to an emergency when it does occur. While these two strategies will not guarantee immunity to loss, they *will* substantially reduce the risk. The purposes of this Records Emergency Action Plan (REAP) are:

- To enable employees to meet an emergency with maximum efficiency and minimum loss to records
- To outline contingency planning, including provisions for the protection of records from physical, chemical, biological, and other agents of deterioration
- To provide for proper maintenance of environmental controls
- To maintain an adequate level of emergency prevention awareness
- To provide adequate security for records in the event of an emergency

This plan is to be activated in the event of any occurrence that causes a significant interruption of the normal operations of DPR. Such disruptions might be caused by, but are not limited to, those precipitated by tornado, fire, flood, water damage, explosion, or loss of utilities.

(DPR REAP page 2)

Emergency Prevention

1. **Monitoring of temperature and humidity control equipment.** Records, to the extent possible, should be stored in a clean environment with a constant temperature of 70° ($\pm 5^\circ$) and a relative humidity of fifty percent ($\pm 5\%$). These conditions should be monitored by hygrothermographs, which should be calibrated regularly.
2. **Safe storage of records.** Records should not be stored nearer than 18 inches to sprinkler heads; in contact with electrical or fire alarm systems; or where they will obstruct any exit, access panel, air conditioning duct, or fire extinguisher. Eating or drinking in records storage areas is prohibited. Indications of roof leaks, rodents, or insects should be immediately reported to the Facility Services Manager.
3. **Fire prevention.** Good housekeeping, constant monitoring, and prompt elimination of fire hazards are essential. Smoking and storage of flammable solvents in records storage areas are prohibited. Electrical outlets must not be overloaded. Extension cords will be industrial-weight and used only on a temporary basis. All employees must be familiar with the location and operation of fire alarms and extinguishers, emergency exits, and evacuation routes.

Procedures in Case of Emergency

General Procedures

1. **Human safety first.** No activity or operation should be undertaken if it endangers human safety. The safety of the records is always subordinate to human safety.
2. Evacuate site if necessary.
3. Identify source and extent of the problem as quickly as possible.
4. Activate Action Team (see page 5).
5. Call the media.
6. Wait for Action Team to be assembled.

Action Team First Response

1. **Human safety first** (see General Procedures, item 1).
2. Establish contact with fire department/police/building security.
3. Assess damage.
4. Develop a plan of action. Call in appropriate resource people for assistance as required (see pages 6–7).

Action Team Second Response: Response Operations

1. **Human safety first** (see General Procedures, item 1).
2. Stabilize environment if possible.
3. Establish work and/or storage space.
4. Arrange for transportation.
5. Remove or otherwise stabilize undamaged/unaffected materials.
6. Stabilize the remainder of the collection.
7. Remove equipment and arrange for recovery.
8. Arrange drying operations for wet and damp materials.
9. Sterilize records and facilities.

Action Team Third Response: Recovery Operations

1. Repair facility/arrange for alternate facilities.
2. Re-shelve collections.
3. Replace damaged materials, equipment, and supplies.
4. Assess restoration requirements.
5. Arrange for restoration/repair.

(DPR REAP page 4)

Action Team List

Coordinator

Preparedness: Arranges periodic training for Action Team members.

Response: Assesses seriousness of incident, meets with Facility Services Manager to determine if area is safe to enter. Assembles Action Team members at assigned location and assigns duties, establishes and enforces work schedules and rest breaks. As “first among equals,” participates fully in response efforts.

Recovery: Chairs emergency post-mortem meetings, prepares (with input from other Action Team members) final report.

Facility Services Manager

Preparedness: Maintains current blueprints of structure, obtains/operates alternative power sources.

Response: Assesses damage to structure and determines its safety for staff, supervises clean-up operations.

Recovery: Ensures return of building to appropriate temperature and humidity levels as soon as possible, arranges for outside recovery services for physical plant.

Security

Preparedness: Ensures accuracy and currency of instructions for security staff to follow in event of incident, establishes liaisons with police and fire departments to ensure their familiarity with facility.

Response: Limits to authorized persons only access to building or damaged area; ensures availability to appropriate personnel of keys to all locked access areas.

Recovery: Reestablishes security at facility and prepares report on security issues and measures during the emergency.

Administrative Officer

Preparedness: Carries agency credit card on his/her person at all times.

Response: Coordinates all acquisition of supplies required when on site supplies cannot be accessed.

Health and Safety

Preparedness: Establishes evacuation procedures.

Response: Assesses emergency site for potential hazards—physical (e.g., electrical problems) and biological (e.g., unsanitary water leak).

Recovery: Monitors mold and mildew levels.

(DPR REAP page 5)

Public Affairs

Preparedness: Maintains communications plan to address media and public inquiries in the event of an incident.

Response: Responds to all external and internal inquiries, releases only such information on details of incident as will not embarrass agency and only when information is specifically requested.

General Counsel

Preparedness: Reviews all Statements of Work contracts.

Response: Confers with Facilities Services Manager and Safety Officer to ensure the safety of employees.

Recovery: Reviews after-action report for incident liability.

Records Management

Preparedness: Ensures that a copy of the file plan is included in the REAP.

Response: Upon entry into emergency area, assesses damage and establishes priorities for response; organizes pack-out if necessary.

Recovery: Supervises staff participating in on site recovery.

Human Resource

Preparedness: Maintains employee information and updates the Records Emergency Action Plan's Phone Tree.

Response: Implements procedures for notification of all employees.

Recovery: Provides necessary procedures and forms for employee benefits (including compensatory time earned) and completes Workers' Compensation forms.

Phone Tree

First name on the tree calls second name. Second name calls third name, and so forth. If you cannot reach that person, go immediately to the next name on the list so that all are notified as soon as possible. Keep trying until you reach your first point of contact.

Table 1: Phone Tree

Name/Action Team Position	Home address	Home/Office phones
John Jones <i>Coordinator</i>	1234 Bonhomme Richard Road Folkston, Columbia 31501	H: 912-555-2244 O: 333-0000
Stanley K. Dobermann Security Lorenzo Medici	2345 Riverfront Wharf Springfield, Columbia 32204	H: 904-555-4568 O: 333-0244 555-2442
Abigail Washington <i>Facility Services Manager</i>	3456 Lake Ave. Callston, Columbia 32027	H: 904-555-3857 O: 333-0245
Paige Shuffler <i>Administrative Officer</i>	4567 Foreclosure Circle Elk Valley, Columbia 32205	H: 904-555-2938 O: 333-0748
Rebecca Hurst <i>Public Affairs</i>	6789 Tabloid Avenue, #13 Springfield, Columbia 32204	H: Unlisted O: 333-0647
James Barton <i>Health and Safety</i>	7890 Bandage Street Jackson Beach, Columbia	H: 904-555-2948 O: 333-0386
John Alden <i>Grants Records Custodian</i>	4321 Rock Road Yules, Columbia 32214	H: 904-555-3861 O: 333-0257
Betsy Flagg <i>General Counsel</i>	5432 Legal Avenue Springfield, Columbia 32204	H: 904-555-3775 O: 333-0763
Patrick Henry <i>Agency Records Officer</i>	Red Hill Plantation Barnegat Beach, Columbia 32204	H: 904-555-4929 O: 333-0269

(DPR REAP page 7)

Holdings List

File plan

- 101 General Correspondence Files
- 104 Timecards and Sheets
- 202 Advisory Commissions
- 203 Meeting Minutes
- 301 Policy Development Case Files
- 303 Survey Reports
- 305 Analytical Compilations
- 401 Policy Development
- 403 Directives
- 405 Regulations Files
- 501 System Planning File
- 503 System Administration Files
- 505 Records Management Files
- 506 Records Management Guidance Files
- 601 Official Personnel Files
- 701 Budget and Finance Policy Files
- 704 Routine Procurement Files
- 705 Budget Files
- 706 Grant Files
- 803 Reports and Analysis Files
- 804 Letters to State Recreation Directors
- 805 Laboratory Notebooks
- 807 Site Containment and Clean-up Files
- 809 Maps
- 906 Freedom of Information Act and Privacy Act Files
- 1001 Speech Files
- 1004 News Releases
- 1006 Congressional Liaison Files

Clippings files

Restaurant menus

Hotel brochures

(DPR REAP page 8)

Sources of Supply

DPR Emergency Supply Cabinet:

- Current copy of Records and Information Emergency Response Plan
- Blotting paper
- Indelible marking pens
- Freezer paper
- Plastic gloves
- Face masks
- Rolls of plastic sheeting
- Hardhats
- Flashlights
- First aid kit

Deep-freeze facilities: ~~Polar Bare Storage~~ *Out of business*
~~15566 West Winter Street~~ ~~32 Iceberg St.~~
~~Arlington, VA 22208~~ ~~Arlington 22202~~
~~(703) 647-4747~~ ~~703-FRE-EZED~~

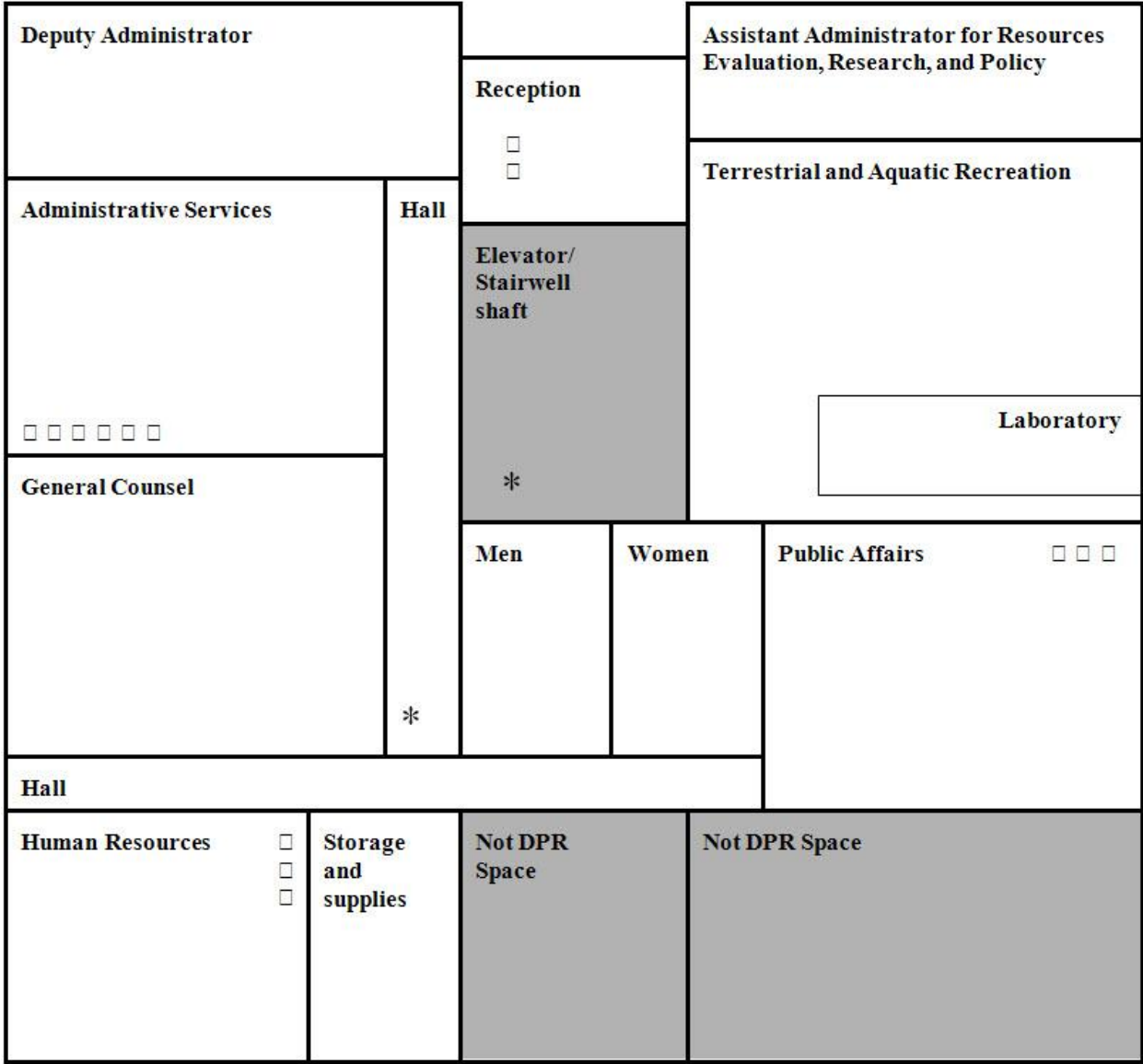
Refrigerated trucks: Kool-on-Wheels
83765 Wintergreen Parkway
Suitland, MD 20746
(301) 647-6477

Conventional trucks: Hot Wheels, Inc.
8602 River Road
Jacksonville, FL 32204
(904) 647-6647

Food delivery: Gino's Pizza
160 E. Superior
Chicago, IL 60604
(312) 943-1134

(DPR REAP page 9)

Floor Plan: Second Floor



(DPR REAP page 10)

Handout 3.1—Response Plan Template

Incident Information

DESCRIPTION OF INCIDENT		
LOCATION OF INCIDENT		
Building:	Floor:	Room:
CAN INCIDENT BE HANDLED IN-HOUSE?	<input type="checkbox"/> Yes	<input type="checkbox"/> No (See Staff and Contractor Information section below.)

Records Information

RECORDS AFFECTED (List all affected records. Add rows as necessary.)	RECORD FORMAT/MEDIA	RECOVERY TECHNIQUE FOR EACH RECORD	IS THE RECORD CONFIDENTIAL?
PRIORITIES FOR RESPONSE (List in order, from first priority to last. Add rows as necessary.)	1. 2. 3. 4. 5.		
INSTRUCTIONS FOR HANDLING CONFIDENTIAL RECORDS			

Record Tracking

PROCEDURE FOR TRACKING RECORDS

Staff and Contractor Information

REQUIRED RESPONSE/RECOVERY STAFF (Add rows as necessary.)			
Name	Contact Information		
STAFF ROLES AND RESPONSIBILITIES (Add rows as necessary.)			
Staff Name	Role	Responsibility	
REQUIRED CONTRACTORS/VENDORS (Add rows as necessary.)			
Name	Contact Information	Service(s) Required	Contract in Place?

Supply and Equipment Information

REQUIRED SUPPLIES/EQUIPMENT (Add rows as necessary.)			
Item:	Current location:	On hand or needs to be purchased?	Needed where? (For example, emergency operations center, staging area, recovery area, etc.)

Emergency Operations Center and Staging and Recovery Areas

EMERGENCY OPERATIONS CENTER	
Location:	
Necessary equipment/supplies (Add rows as necessary.)	

STAGING AREA	
Location:	
Necessary equipment/supplies (Add rows as necessary.)	

RECOVERY AREA	
Location:	
Necessary equipment/supplies (Add rows as necessary.)	

Handout 3.2—Personal Health and Safety During Response

Personal protection equipment:

- Steel-toed boots, preferably water-proofed
- Heavy-duty and water-proof (e.g., latex or nitrile) work gloves
- Something to cover your nose and mouth if there is a potential for splashes or airborne particulates (dust)
- Goggles/safety glasses with side shields
- Long-sleeve shirts and long pants, or coveralls
- An ANSI-approved hard hat if there's 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 respirator¹:
 - With HEPA filtration for mold or biological hazards
 - With 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. Do not scrub too hard or rub overly hard on your skin, which needs to remain intact.
- Clean cuts and abrasions thoroughly with soap and water and apply antibiotic ointment.

¹ The use of respirators in the workplace is governed by the Respiratory Protection Standard 29 (CFR1910.134) adopted by OSHA in 1998. Before an employee can use a negative pressure respirator, he/she must be fit-tested annually with the same make, model, style, and size of respirator as the one that will be used. Individuals with facial hair or conditions that may impede formation of a tight seal may not be able to wear a respirator. The Fit Test must be carried out by a trained individual, and requires following OSHA-developed protocols to evaluate the fit of the respirator qualitatively or quantitatively. For a more detailed description, see <http://www.osha.gov>

Prevention of dehydration and 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 and wear a hat, sunscreen, and loose-fitting clothes if you have to work in the sun.
- If possible, 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, or allergies.
- If you or a team member begins to feel unwell, stop physical tasks and let someone know.

Decontamination of equipment and clothing:

- Wash gear with warm, soapy water and/or bleach.
- Clothing can be washed normally in a household washer.

Handout 3.3—Emergency Response Checklist: First 48 Hours

Records Emergency Response Team Leader

- Finalize response plan.
- Set up staging area that is safe and secure from the effects of the emergency.
- If necessary, set up a secure area for handling confidential records.
- Set up drying area for in-house recovery, if applicable.
- Deploy environmental monitoring equipment.
- Gather sufficient staff/experts, contractors, and other personnel necessary to carry out the recovery.
- Decide on recovery techniques and procedures.
- Decide who will perform the work, and where.
- Assign recorder to document damage (in writing, dictated orally, photographed, or taped) and track the movement of materials.
- Decide on pack-out procedures.
- Provide on-site training of personnel.
- Implement tracking system.
- Communicate with Action Team Leader and recovery personnel.
- Activate delivery of more supplies.
- Arrange for food, water, and services for personnel carrying out the response.

Records Emergency Response Team

- Check every shelf and drawer, and surrounding floors and areas.
- Label materials for recovery efforts as dry, damp, or wet.
- Remove dry materials from the affected areas.
- Remove wet and/or damp materials to appropriately labeled containers.
- Move containers to air-drying, freezing, or further tracking/sorting areas.
- Document response and recovery.
- Record information in tracking system.

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Handout 3.4 - CyberSecurity Activity to be given at a later date.

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Handout 3.5—Develop Your REAP- Action Team Activity

Activity Goal

The purpose of this activity is to continue working on your Records Emergency Action Plan (REAP).

Activity Instructions

Establish your REAP Action Team. Identify the individuals you want to be on your team and assign their roles and responsibilities.

If you are taking this course with other people from your agency, you may opt to work together and complete this activity as a team.

Be prepared to share your answers with the class at the beginning of the next Session.

Name(s):

Agency:

Members of Your Action Team:

Name, Job Title, Action Team Responsibilities:

Handout 4.1—Sample Pack-Out Tracking Log

Records Storage: _____
 Shelf Location: _____
 Office: _____
 Office Location: _____
 Office Contact: _____

Table 1: Pack-Out Tracking Log

Cabinet/Drawer #	Box #	Description of Files	Security/ Privacy Concerns? (Y/N)	Records Priority	Media	Staging Location	In-House Recovery Process Air Dry	In-House Recovery Process Vacuum	In-House Recovery Process Clean	Date and Initials	Outsource Recovery Process
<i>SAMPLE ENTRIES:</i>											
F2 R83 U2 S5	2	Gilmer County Plats	No	Medium	Doc	Loading Dock				2/2009 CW	Vacuum freeze dry
F2R84U4S5	3-5	Government Prints	No	High	Photos	Cons Lab	x		x	2/2009 CW	N/A
F2R84U5S2		Tax Digests	Yes	Medium	Bound	Rm 221	x			2/2009 CW	N/A

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Handout 4.2—Response and Recovery Procedures

Table 1: Special Procedures for Specific Types of Damage

TYPE OF DAMAGE	PROCEDURE
Fire-Damaged Records	If a fire has occurred, the records will be both wet and brittle. Support can be provided by placing pieces of paper toweling or unprinted newsprint under charred materials before they are moved.
Muddy Records	<p>Do not attempt more than a minimal cleaning of wet records that are also muddy, unless there is a large quantity of clean running water and you have the time. Attempting to remove mud from wet paper records may force dirt farther into the paper if a rubbing action is used. Mud may be easier to remove when dry. Some tightly wound tapes may be able to be rinsed, as only the edges will be exposed to additional water.</p> <p>It may be possible to rinse mud off boxes or enclosures to make the drying process faster.</p>
Contaminated Records	<p>If records are contaminated, or you suspect that they may be, make sure all staff members use proper protective equipment and clean-up procedures. It is often best to leave this to trained operators under your supervision.</p> <p>A contractor who specializes in treatment of contaminated materials should always be consulted, as these records require special handling and treatment.</p>
Wet Records	<p>Should Records Be Kept Wet and Recovered by a Specialized Contractor?</p> <p>Some materials should be kept wet until they can be recovered by a contractor who specializes in the recovery of those materials. Some examples include microfilm, motion picture film, and hard drives from computers.</p> <p>With film-based media in particular—because there are so many photographic processes—unless you are sufficiently knowledgeable about photographic process identification, it is important to receive expert advice from a photographic conservator as soon as possible before determining how to proceed with the response.</p> <p>If the determination is made that the photographic process is stable enough:</p> <ul style="list-style-type: none"> • Place wet microfilm or motion picture film in plastic bags to keep it from drying before it can be handled by an experienced conservator or specialized contractor. • With guidance from a conservator, it may be possible to wash off mud or dirt under cold, clean, running water, and then seal the items in bags. <p>There are some photographic processes and other media that should never be exposed to water. Special care should be taken to keep them dry if they are important to the agency. Boxes with water-proof coating would be best for storing these records.</p>

TYPE OF DAMAGE	PROCEDURE
<p>Mold</p>	<p>Small Outbreaks</p> <p>Quarantine moldy records from unaffected records. They will need to be dried in a location that vents to the outside. The area where the moldy records were found will need to be thoroughly dried and cleaned to ensure that mold does not germinate elsewhere.</p> <p>Mold cannot be removed from wet or damp collections. Items must be completely dry before any attempt is made to remove mold. If using fans to dry the records, make sure the fans are not blowing directly on the materials or you will spread the mold spores. Point the fans at the ceiling.</p> <p>Records will have to be cleaned once the mold has dried. A HEPA-filtered vacuum and micro-hose kit may be used, but this is very labor-intensive and should be carried out in a fume hood to avoid exposing others to the fumes produced by the cleaning step. This works better than brushing records clean and keeps the mold spores from returning to the air. Vacuum through a screen if the item is fragile.</p> <p>Larger Outbreaks</p> <p>Quarantine and freeze the records. Placing the moldy items in an environment with a temperature below freezing will halt growth, but will not kill spores.</p> <p>The preferred method of drying is vacuum freeze drying, so as not to spread the dry mold spores.</p> <p>If the outbreak is too large for local staff to handle, call a contractor that specializes in mold remediation. Vacuum freeze drying, while expensive, is an effective method for eliminating most molds, and may be considered for records which have special value or are irreplaceable.</p> <p>Cleaning the Location Where Moldy Records Were Found</p> <p>Begin by cleaning the area with a high-efficiency particulate air (HEPA)-filtered vacuum. Then clean all surfaces—shelves, floors, walls, ceilings, and windows—with an anti-fungal or anti-bacterial solution, including bleach.</p> <p>Ducts for air circulation and air conditioning will also need to be assessed and monitored for the presence of mold. If molds persist, the ducts may need to be replaced.</p>

Table 2: Special Procedures for Specific Types of Records

TYPE OF RECORD	PROCEDURE
<p>Paper—Large or Oversized Paper (Maps, Architectural or Engineering Drawings)</p>	<ul style="list-style-type: none"> • Large or oversized paper records often require two people to safely handle and transport them, and will require a secondary support (the original drawer, a tray, or spun-bond polyester). • If the record is rolled or folded, make sure there is enough space on the table to accommodate the record when it is unrolled or unfolded. • Rolled paper can be vacuum freeze dried successfully.
<p>Paper—Coated Papers</p>	<ul style="list-style-type: none"> • Coated paper such as magazines or journals stick together, or “block,” and must be dried immediately to prevent damage. They must not be allowed to have their surfaces in contact with one another during drying. Architectural linen is coated with starch which acts as an adhesive when wet. • If the pages are stuck together, or “blocked,” place the record in a freezer and vacuum freeze dry. • If the pages are not stuck or blocked, gently place pre-cut pieces of spun-bond polyester fabric between the pages. <ul style="list-style-type: none"> – Allow air to circulate, and wait until record is completely dry to remove interleaving material (the absorbent material placed between leaves of paper to hasten drying; interleaving material should be thin, absorbent, ink-free, and acid-free).
<p>Paper—Encapsulated and Shrink-Wrapped Records</p>	<p>Although exterior housings such as encapsulation and shrink-wrap do slow the intrusion of water, encapsulated or shrink-wrapped records are not protected from water damage. If the records do become wet, it is possible to successfully vacuum freeze dry the encapsulation record.</p> <p>If you are planning to air dry the records, the exterior housing must be removed:</p> <ul style="list-style-type: none"> • Using scissors, cut through the encapsulation bond or weld on all sides of the record. If the plastic sheet is clean, it can be re-used to support the wet record while it is carried to the drying site.
<p>Paper—Loose Paper or Paper Held Together with Fasteners</p>	<p>Steps to take when handling loose pages or paper held together with fasteners:</p> <ul style="list-style-type: none"> • Remove outer paper or paperboard folders and/or record jackets. If they contain valuable identification information, place the folders near their contents to dry. • In some cases, it may not be prudent or possible to remove fasteners, but when it is possible, removing them will hasten drying and prevent corrosive rust from forming on the records.

TYPE OF RECORD	PROCEDURE
<p>Paper—Loose Paper or Paper Held Together with Fasteners (continued)</p>	<ul style="list-style-type: none"> • To prevent tearing when moving older and fragile paper, use supports such as sheets of polyester film, nylon screening, or spun-bond polyester. Modern printer papers contain fillers which give the paper wet-strength even when they are wet or saturated with water. It is important to recognize the difference and act according to the paper’s needs for support. • Arrange paper records individually, if possible, or in small stacks of 1–5 records each. Turn records over frequently to increase exposure to the air. • Do not re-box records until they are completely dry.
<p>Paper—Bound Volumes</p>	<p>It is preferable to freeze and vacuum freeze dry bound volumes quickly because this will help minimize the danger of distortion.</p> <p>Bound volumes can also be successfully air dried, but will require attention to ensure that the spine area of the book is completely dry before the book is returned to a location without air circulation and with high humidity; book spines and covers are highly susceptible to mold.</p> <p><i>Small Bound Volumes</i></p> <p>Small bound volumes with rigid covers which are only partially wet can be dried by standing them upright:</p> <ul style="list-style-type: none"> • Place the book upright and hold it open with blotter pieces to allow increased air circulation and to expose the tightly bound spine to air. • If the book covers are sturdy enough, fan the pages open and interleave with small pieces of pre-cut blotter paper placed close to the spine. • Invert books to even the stress on the binding, rotating books upside-down to right-side-up while drying. • Remove the blotters when the book is dry. <p><i>Large or Ledger-Bound Volumes</i></p> <p>Large or ledger volumes may need to be dried flat and open if their weight does not allow them to stand upright and open. This includes bound volumes with soft covers that are not sturdy enough to stand upright.</p> <ul style="list-style-type: none"> • If the pages are damp but not totally wet, fan them open. • Otherwise, interleave pages with blotter paper, clean newsprint, or spun-bond polyester to wick moisture away from the paper. • Turn the pages frequently and change the absorbent paper. • Spun-bond polyester does not absorb water, and does not need to be changed if it is clean. It can be re-used.

TYPE OF RECORD	PROCEDURE
<p>Photographs</p>	<p>Photographs, both negatives and prints, involve such a wide variety of material types, and such a long history of technological innovation, that it is difficult to give general advice on the recovery of photographic materials. If the photographs in your office are valuable to your agency, it is best to have the advice of a conservator or expert, because they have the requisite knowledge of photographic history and preservation.</p> <ul style="list-style-type: none"> • Photographs, just like coated paper will stick together, or “block,” and therefore must be dried immediately to prevent damage. • Do not allow their surfaces to come in contact with one another during drying. • If the photos are stuck together or blocked, do not try to separate them. Contact a conservator for advice. • Photographs can normally be successfully vacuum freeze dried. Do not vacuum freeze dry glass plate and cased photographs. • When air drying, photographs must be dried under restraint or they will curl and distort. • Photographs are made up of more than one layer, and each layer dries at a different speed. This causes them to curl as they dry, which is why you need to apply pressure to keep them flat. • It is very difficult to correct this problem. • If air drying: <ul style="list-style-type: none"> – If the surface is not cracked or flaking, and the photographs have soot or mud on the surface, you may be able to rinse them in a tray of cool, clear water while they are still wet. – Dry photographs image side up on clean blotters for at least one hour. – If the emulsion or surface of the photograph is sticky or tacky to the touch, it will need to be interleaved between sheets of spun-bond polyester to prevent disturbance of the surface during drying. – Place the polyester and photographs between blotters to create a stack. – Put a flat sheet of Plexiglas™ or other heavy-weight flat material on top of the stack. – Suitable weights include telephone books or bricks wrapped in plastic to add additional pressure.

TYPE OF RECORD	PROCEDURE
<p>CDs and DVDs</p>	<p>All types of disks are composed of several layers. Of these, the metal reflective layer is probably the most important and the most vulnerable to physical damage. Normally, this layer is covered by a very thin protective coating.</p> <p>The metal reflective layer is usually unaffected by water unless it has been soaking for a week or longer.</p> <p>If time and resources permit, immediate response can save the information on the disks.</p> <ul style="list-style-type: none"> • Remove the disk from its case or cartridge. Cases that are not damaged can be thoroughly cleaned with water or soap and water and re-used. Damaged ones should be discarded. • Rinse the disk in clean room-temperature tap water and then in distilled water. • If any residue remains, using distilled water, gently wipe the disk surface with a wet, soft cotton tissue—not paper towels, as they are too abrasive. • Wipe in a radial direction, not a circular direction, to remove the water. Follow this wiping with another rinse in clean, distilled water. • After rinsing, gently blot off any excess water with a soft, lint-free tissue to prevent water spots during drying. <p>The best chance of avoiding damage is to limit the time a disk is wet. Therefore, it is best to recover disks immediately. If immediate recovery is impossible, rinse the disks in distilled water and store them in their cases in cool clean water until they can be recovered. If the disks need to be transported, they can be sealed in zip-lock bags immersed in cool or cold water in a portable cooler.</p>
<p>Computer Hard Drives</p>	<p>Modern information carriers such as computer hard drives and electronic media also require immediate attention to ensure recovery.</p> <p>Computer hard drives have a large number of components, some of which are metal and susceptible to rust and oxidation; others are soft plastics and materials susceptible to mold.</p> <ul style="list-style-type: none"> • Remove hard drives from computers. • Send hard drives to a contractor as soon as possible for recovery. • Keep hard drives wet, sealed in plastic, and do not let them dry out
<p>Magnetic Tapes</p>	<p>Tapes are constructed of layers of water-resistant materials. Although water will not cause these layers to swell and break up (as would the layers in a photograph), tapes can still be damaged. Both the tape and the binder layer may be susceptible to degradation when exposed to water. A properly wound tape is less susceptible to water damage than a loosely wound tape.</p>

TYPE OF RECORD	PROCEDURE
Magnetic Tapes (continued)	<ul style="list-style-type: none"> • Magnetic tape recovery should be a high priority if the tapes are valuable to your agency. • Do not play or rewind a tape that is wet. • Consideration should be given to sending the magnetic tapes to a contractor who specializes in recovery of magnetic tape. • Initial response steps, if air drying: <ul style="list-style-type: none"> – Drain any excess water out of the cassette or off the reel of tape. The cassette gate, if present, may be flipped open to allow water to drain. – If the tape is wet with seawater or contaminated water, rinse the tightly wound tape with cool, clean water. – For reel-to-reel tapes, wipe the wound surfaces with a wet or damp soft, lint-free cloth. – For cassette tapes, shake as much excess moisture out of the cassette housing as possible, and stand the tape vertically with the empty hub on the bottom for air drying. – Allow the tape to acclimatize to the new environment for at least two days before any further treatment.

Additional Tips on Handling Damaged Records

- Some water-soluble inks will bleed; freeze as quickly as possible to minimize damage and vacuum freeze dry.
- Air dry records indoors if possible. Sunlight and heat may dry certain materials too quickly, particularly bound volumes or artifacts made with wood, causing splitting, warping, and buckling.
- Documents, books, photographs, and special media are extremely fragile when wet. They tear easily and require caution when being handled. Always consider providing a secondary support to prevent more physical damage.
- When mud or soot is present, with guidance you may be able to rinse off some of the particulate in cool, clean water, but do not scrub the surface.
- Many plastics will swell and soften when they are wet. Sensitive surfaces, including wet photographs or electronic and optical media such as CDs or DVDs, must be handled with care to avoid scratching the surface.
- While exterior housings such as folders, encapsulation, or shrink-wrapping may slow the seepage of water into the records, they will not prevent water damage and must be removed to allow air drying.

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Handout 4.3—Sample Records Emergency After-Action Report

Types of Incidents to Be Assessed

1. Any incident in which the Records Emergency Action Plan is activated
2. Incidents which, while not resulting in use of the emergency plan, offer an opportunity to examine safety hazards, risks to records, security vulnerabilities, etc. (an assessment may be requested by the branch or program involved, or by an office head or the agency administrator)

System of Emergency Assessment

1. The Action Team should undertake a records emergency response assessment as soon as feasible after the situation is brought under control, but no more than 30 days after the event. The Action Team may solicit assessments from other involved parties.
2. The attached checklist of questions (see next page) is to be used as a guide or reminder in preparing the assessment; respond to the questions that are relevant to the event and your involvement in it.
3. The assessment may be done by individuals or collectively for an amalgamated report at the discretion of the Action Team leader.
4. The Action Team leader reviews assessments submitted by each program or branch, and prepares a final report on the emergency response and lessons learned within 30 days of receipt of the assessments.
5. The Action Team leader creates a permanent file of all documents relating to the recovery, including the assessments.

Records Emergency Response Assessment Checklist

Facility:	
Date of Incident:	Response Dates:
Quantity of Records Affected:	Cubic Feet:
Assessment Completed by:	Date:
1. Cause	
What were the major contributing factors?	
Additional comments:	
2. Notification	
Were you given timely notice of the emergency?	
Of your assigned role?	
Was the Records Emergency Action Team system activated?	
How were you notified and by whom?	
Were you given accurate and adequate information?	
How can notification procedures be improved?	
Additional comments:	

3. Communication
What methods of communication were used: telephones, runners, radios, beepers, other?
If a manager or supervisor, did you receive a radio or other communication device?
Did you use it?
Were the communications effective?
Additional comments:
4. Records Recovery performed by (respond to all that apply)
<ul style="list-style-type: none">• In-house Staff (complete section 4)• Contractor Services (complete sections 4 and 5)
Did the damage mitigation procedures and salvage operations reduce or prevent water damage, fire damage, etc.?
How could these operations be improved?
Were conservation efforts well-coordinated and prioritized?
Were adequate personnel available?
Were agency and contractor personnel effectively deployed?
Were movement of records and temporary storage arrangements well-planned and well-handled?

What kinds of specialized preservation tools and supplies were needed that were not available?
Were they obtained subsequently?
Did the delay play a significant role in the outcome of the incident?
Were damage to records and movement of records documented in a timely manner?
Were photos taken?
Was the incident videotaped?
Additional comments:
5. Contractor Performance
Name of contractor (if more than one contractor was hired, duplicate this table as needed):
Performance overall: Excellent_____ Satisfactory_____ Unsatisfactory_____
Timeliness of contractor response: Excellent_____ Satisfactory_____ Unsatisfactory_____
Actions performed by contractor:
Would recommend using this service again: Yes_____ No_____ Perhaps_____
Additional comments:

6. Security
Were operations effective?
Were communications clear and concise?
Were communications timely?
Were events documented?
Were appropriate security personnel assigned to assist?
How can procedures be improved?
Were the security and safety of staff and other visitors properly considered at the outset of the event?
Were an adequate number of security personnel available?
Were security personnel effectively deployed?
Did security personnel use safe methods and equipment?
Was security of records, buildings, and grounds maintained?
Additional comments:

7. Facilities
Was the appropriate pool of equipment and supplies established?
Were adequate facilities personnel available and did they have requisite knowledge of facility systems (electrical, gas and water cut-offs, HVAC system capabilities, emergency back-up systems, etc.)?
Were facilities personnel well-deployed?
Did facilities personnel use safe methods and equipment?
What kinds of equipment or supplies were needed that were not available? Were they obtained? Did the delay play a significant role in the outcome of the incident?
Did all equipment operate properly?
Additional comments:

8. Media Relations
Were the media contacted?
Did the media contact the agency?
Did the staff in contact with the media give only the appropriate information?
How can contact with the media be improved?
Additional comments:
9. Action Checklists
Did you use an action checklist?
Which list(s) did you use?
Were they useful?
How can they be improved?
Additional comments:

10. Unexpected Contingencies
Were records emergency procurement procedures efficient and responsive?
Were there any special circumstances or serious unexpected problems?
Were they handled appropriately?
What other problems could have arisen?
How could they have been handled?
Additional comments:
11. Overall Effectiveness of Records Emergency Action Plan
Was a records emergency declared and did someone take charge?
Was a chain of command established, clearly understood, and followed?
Were duties delegated to the appropriate people and the necessary adjustments made?
Were major decisions and activities documented?
Additional comments:

12. Recommendations and Conclusions

How could the incident have been avoided?

Damage lessened?

What policies and procedures need reevaluation?

What specific lessons were learned?

Additional comments:

13. Recommendations for Future Actions

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Handout 4.4—Sample Post-Event Report

Date and location of incident	<input type="checkbox"/> Date: _____	
	<input type="checkbox"/> Location: Bldg: _____ Floor: _____ Room: _____	
Type of incident	<input type="checkbox"/> Water—clean	<input type="checkbox"/> Mold
	<input type="checkbox"/> Water—gray	<input type="checkbox"/> Pest infestation
	<input type="checkbox"/> Water—black	<input type="checkbox"/> Contamination
	<input type="checkbox"/> Fire	<input type="checkbox"/> Other: _____
Source of problem		
Areas affected		
Types of materials affected and amount	<input type="checkbox"/> Bound volumes	Quantity (include units, e.g., boxes, cubic feet, linear feet, items)
	<input type="checkbox"/> Unbound paper	_____
	<input type="checkbox"/> Maps, plans, oversized records	_____
	<input type="checkbox"/> Photos/film/electronic media	_____
	<input type="checkbox"/> Magnetic tapes, CDs	_____
	<input type="checkbox"/> Artifacts	_____
	<input type="checkbox"/> Microforms	_____
	<input type="checkbox"/> Other—please specify:	_____

Recovery methods		Material Treated & Volume	Reason
	<input type="checkbox"/> Air drying in-house <input type="checkbox"/> Air drying contractor <input type="checkbox"/> Freezing in-house <input type="checkbox"/> Freezing contractor <input type="checkbox"/> Vacuum freeze drying		_____ _____ _____ _____ _____
		Material Treated & Volume	Reason
	<input type="checkbox"/> Replacement <input type="checkbox"/> Discarded <input type="checkbox"/> Other in-house <input type="checkbox"/> Other contractor		_____ _____ _____ _____

Agency staff involved	Name & Unit	Role	Dates
Contractor(s)	Name	Work Performed	Dates
Notes/comments			

Handout 4.5—Common Drying Methods

Air Drying

Air drying involves drying records at room temperature. Typically materials are spread out on, or interleaved with, absorbent papers. In some instances, materials may be dried under restraint in a stack of weighted blotters.

Air drying is a tried and true method most familiar to many, has been proven through many experiences, and provides the greatest control over the drying process. It provides security and privacy controls if done in-house, and allows separation of materials that require special handling, such as photographs, coated paper, parchment, magnetic media, etc. It also provides for the direct monitoring of the original order and intellectual control of materials, but may result in problems if the materials become disarranged outside of their containers. This method therefore requires a meticulous system for tracking items during the drying process. It is also labor-, space-, and materials-intensive, particularly in terms of the absorbent paper used.

Air drying can be made more efficient with the addition of drier air. The current choices for adding drier air include increasing air circulation with a fan or hiring a contractor to bring in equipment that provides heated, extremely dry air.

Air Drying with Added Heat (Desiccant or Dehumidification Drying)

Materials are dried by pumping cycles of moist air out of a chamber or space and introducing dried (desiccated or dehumidified) air with relative humidity (or moisture content) lower than fifteen percent. One potential problem with this is that air temperatures are usually in the range of 80°–100° F, which can dry paper records too much, resulting in distortion, increased volume, and re-boxing problems.

This method is often cited in the literature as giving excellent results for damp collections, and it allows access to the materials during the drying process, if that is required. It can be performed onsite with equipment rented from a contractor or by employing in-house staff or professionals from the drying service. Items can also be sent directly to the contractor for service. Drying is complete within several days, depending on how wet the items were originally.

Vacuum Freeze Drying

Vacuum freeze drying is almost always recommended for most incidents involving records in boxes, where the quantities are large and the records are of varying levels of wetness. The records will generally be frozen first for transport to the facility, and held in storage in a freezer until the drying process is carried out.

These facilities are all contractor-owned. Contractors dry the materials using a very strong vacuum to lower the pressure while the temperature is held below freezing. Cycles of controlled heat may be used on the shelving. This process sublimates the frozen water; this means that the water passes from a frozen state to a vaporous state without passing through a liquid phase. The items remain frozen throughout the drying process.

Vacuum freeze drying can be performed off-site at a contractor's facility or onsite in mobile vacuum freeze drying chambers. The mobile chambers are smaller than the fixed-site ones, since the walls of the chamber have to be strong enough to withstand the low pressure of the vacuum. On-site drying is more expensive than drying records at the contractor's facility.

Among the advantages of vacuum freeze drying, the procedure:

- Minimizes the feathering and bleeding of soluble media
- Allows coated materials to dry without blocking
- Results in minimal distortion to the records
- Does not require the removal of encapsulations or polyester sleeves from records before drying
- Allows records to be dried in their original containers, thus reducing risk of disruption of original order

The process is performed at the drying facility because of the weight of the structure needed to create a chamber where the pressure can be lowered significantly. Drying time depends on the wetness of the materials, but for each volume of material that fits into the chamber, the drying time is normally less than two weeks.

If records need to be used frequently, the agency will need to indicate to the contractor the order in which to process the records. There may be additional costs for gaining access to the records while they are with the contractor.

Vacuum Thermal Drying

Vacuum thermal drying is similar to vacuum freeze drying in the kind of chamber used, but different in that cycles of warm to hot air are used. Vacuum thermal drying is a cost-effective option for temporary records or archival materials of low intrinsic value. The procedure distorts paper considerably, causes coated records to block, and exacerbates the feathering and bleeding of soluble inks. The drying time is usually less than that for vacuum freeze drying, but also depends on initial wetness.

Most vacuum-drying facilities no longer use this method because of the problems discussed above.

Thermal Vacuum Freeze Drying

Another method is thermal vacuum freeze drying. This technique is similar to vacuum freeze drying in that a vacuum is used, but controlled heat is applied to vaporize the water, and this method also has a patented procedure to compress the materials into shape. It is more expensive per cubic foot than vacuum freeze drying.

Freeze Drying

Freeze drying is a very slow technique. Records are packed in permeable containers and kept in a cold storage vault for months. Over time, moisture sublimates out of the records in the same way that food gets freezer burn. This is a slow process that will dry damp and partially wet records, but the records are inaccessible for a long period of time and the energy used to keep them frozen is very expensive.

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