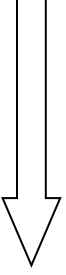
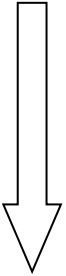
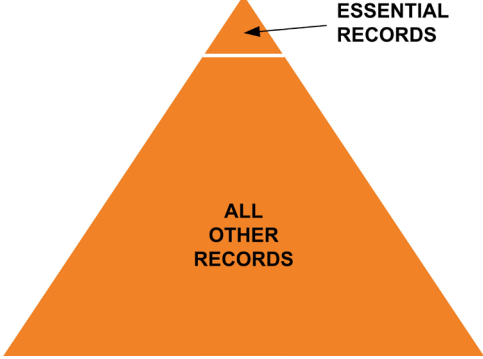


Handout 1.1—Essential Records

PRIORITY FOR ACCESS*	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 • Historical documents • Photographs • Identity records
<ul style="list-style-type: none"> • 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 		

* See **Handout 4.1—Access Priorities Table** for details on what is covered in each of these priority categories.

Handout 1.2—NIMS Resource Management Concepts and Principles

The **National Incident Management System (NIMS)** guides all levels of government, nongovernmental organizations, and the private sector in their efforts to “prevent, protect against, respond to, recover from, and mitigate the effects of incidents, regardless of cause, size, location, or complexity, in order to reduce the loss of life and property and harm to the environment.” NIMS incorporates the following concepts and principles¹:

1. CONCEPTS

The underlying concepts of resource management are as follows:

- **Consistency**—Provision of a standard method for identifying, acquiring, allocating, and tracking resources
- **Standardization**—Resource classification to improve the effectiveness of mutual aid agreements or assistance agreements
- **Coordination**—Facilitation and integration of resources for optimal benefit
- **Use**—Incorporation of available resources from all entities, where appropriate, in resource management planning efforts
- **Information Management**—Provisions for the thorough integration of communications and information management elements into resource management organizations, processes, technologies, and decision support
- **Credentialing**—Use of criteria that ensure consistent training, licensure, and certification standards

¹ This handout summarizes the NIMS concepts and principles presented in the *National Incident Management System* (FEMA, October 2017), www.fema.gov/sites/default/files/2020-07/fema_nims_doctrine-2017.pdf

2. PRINCIPLES

The foundations of resource management are based on the following five interwoven principles:

a. Planning

Coordinated planning, training to common standards, and inclusive exercises provide a foundation for the interoperability and compatibility of resources throughout an incident. Jurisdictions should work together in advance of an incident to develop plans for identifying, ordering, managing, and employing resources.

b. Use of Agreements

Agreements among all parties providing or requesting resources are necessary to enable effective and efficient resource management during incident operations. This includes standing agreements and contracts for services and supplies.

c. Categorizing Resources

Resources are organized by category, kind, and type, including size, capacity, capability, skill, and other characteristics. This makes the resource-ordering and dispatch process more efficient and ensures that needed resources are received.

d. Resource Identification and Ordering

The resource management process uses standardized methods to identify, order, mobilize, and track the resources required to support incident management activities. Those with resource management responsibilities perform these tasks either at the request of the Incident Commander (IC) or in accordance with planning requirements. Identification and ordering of resources are intertwined.

e. Effective Management of Resources

Resource management involves acquisition procedures, management information, and redundant systems and protocols for ordering, mobilizing, dispatching, and demobilizing resources.

(1) Acquisition Procedures

Acquisition procedures are used to obtain resources to support operational requirements. Examples include mission tasking, contracting, drawing from existing stocks, and making small purchases. A key aspect of the inventorying process is determining whether an organization needs to warehouse specific items prior to an incident. Material resources may be acquired in advance and stockpiled or obtained “just in time” through appropriate pre-incident contracts. An integral part of acquisition procedures is developing methods and protocols for the handling and distribution of donated resources.

(2) Management Information Systems

These systems are used to provide decision support information to managers by collecting, updating, and processing data, and tracking resources. They enhance resource status information flow and provide real-time data in fast-paced environments in which different jurisdictions, emergency management and response personnel, and their affiliated organizations are managing different aspects of the incident and should coordinate their efforts. Examples of management information systems include resource tracking, transportation tracking, inventory management, reporting, and geographical information systems.

(3) Redundant Information Systems

Those with resource management responsibilities should be able to identify and activate backup systems to manage resources in the event that the primary resource management information system is disrupted or unavailable. Management information systems should also have sufficiently redundant and diverse power supplies and communication capabilities. If possible, the backup storage should not be co-located, and the information should be backed up at least every 24 hours during the incident.

(4) Ordering, Mobilization, and Demobilization Protocols

Protocols are followed when requesting resources, prioritizing requests, activating and mobilizing resources to incidents, and returning resources to normal status. Preparedness organizations develop standard protocols for use within their jurisdictions. Examples include tracking systems that identify the location and status of mobilized or dispatched resources, and procedures to demobilize resources and return them to their original locations and status.

Handout 1.3—Potential Candidates for Essential Records Status

Table 1: Potential Candidates for Essential Records Status by Category

CATEGORIES	SPECIFIC RECORDS
1. Proof of ownership by the agency	Property and equipment inventories; real estate records (titles, deeds); Accounts Receivable
2. Proof of monies owed to the organization	Accounts Receivable, contracts, leases
3. Fiscal obligations of organization	Accounts Payable, loans, and other fiscal obligations
4. Employee compensation and benefits	Labor contracts, payroll registers, insurance, and retirement plans
5. Records regarding physical plant	Engineering drawings, building plans or blueprints, equipment specifications, hardware inventories, civil defense plans, hazardous material inventories, etc.
6. Records relating to production or work product	Product processes, formulae designs, warehouse inventories, inventory controls lists, process specifications
7. Operating policies and procedures	Orders of succession, delegations of authority, staffing assignments, task specifications, policies and procedures manuals, directives
8. Records regarding computer infrastructure	System documentation and backups, software documentation manuals
9. Future directions	Strategic plans, forecasts
10. Past management	Board and executive meetings, reports, and official statements
11. Research findings and product development	Formulae, patent authorizations, product development plans, research and development (R & D) records, baseline data, specifications
12. Location of records	Essential records inventory lists; file plans and retention schedules
13. Records regarding the maintenance of public health, safety, and order in emergency	Emergency procedures, emergency contact lists, computer program documentation, disaster and emergency plans
14. Records needed to protect the rights and interests of individual residents or associations of residents	Legal records, identity documentation, voting registration lists, property titles, education transcripts, etc.

Handout 1.4—Examples of Information/Records, by Function, That Might Be Designated as Essential

Note: Many of these records may exist in more than one format—e.g., paper, microfilm, electronic versions, etc.

Table 1: Key to Designations

ESSENTIAL RECORDS	OTHER RECORDS, NON-ESSENTIAL
1 = Emergency response; health, and safety of staff	6 = Important (30-year-plus retention)
2 = Necessary to resume or continue operations	7 = Useful (10–30-year retention)
3 = Health, safety, property, and rights of residents and the government	8 = Dispensable (less than 10-year retention)
4 = Require massive resources to reconstruct	
5 = Document the history of communities or families	

Table 2: Examples of Information/Records by Function and Designation(s)

ESSENTIAL RECORD TYPE	DESIGNATION
ADMINISTRATION	
Payroll	2
Correspondence of policy-level content by heads of major departments	5
Correspondence of transmittal, of thanks, information requests	8
Purchase orders	8
Insurance	2
Delegation of authority	2
Current ordinances, laws, policies, directives	2
Taxes (paid, unpaid, pending, abated, liens)	3, 4
Property value assessing	3
Computer program documentation	2
Computer system documentation, unpublished manuals	2
Office equipment inventory/repair records	6
Forms for applications, licenses, permits, tax payments	2
Annual reports summarizing the government's activity	5
Published manuals, procedures, reference material	7

Table 2: Examples of Information/Records by Function and Designation(s), continued

ESSENTIAL RECORD TYPE	DESIGNATION
COUNTY, CITY, TOWN CLERKS/REGISTRARS	
Minutes of meetings	2, 5
Birth and death certificates, burial permits, marriage licenses	3
Voter registration lists	3
Deeds, mortgages, land records	3
Licenses, permits issued/applications	3
Case files	3
Adoptions	3
Changes of name	3
Decedents' estates	3
FINANCE, TREASURY, ACCOUNTING	
Accounts payable and receivable	2
Bonds, notes	2
Capital assets	3
Audit reports	5
Audit, internal (working papers)	6
Budget, final official document	4
Budget, working files	6
FACILITIES, PUBLIC WORKS	
Building plans, existing buildings	1
Building plans, no longer owned	8
Infrastructure and utility plans	1
Maps (e.g., tax, roads, subdivisions, hazards)	1
EMERGENCY SERVICES	
Emergency Management Plan	1
Continuity of Operations Plan (contingency plan)	1
Essential records plans, locations of records	1
Emergency delegations of authority	1
Emergency contact information	1
E911 addressing data	1
HUMAN RESOURCES/PERSONNEL	
Employee contracts, status, benefits, retirement	2
Wage rates	2
Applications for employment, position pending	2
Applications for employment, position filled	8

Handout 1.5—Essential Records Questionnaire

PART I—INTERVIEW QUESTIONS

Date: _____ Interviewer: _____

Office/Location (Building/Room): _____

Office Contact Name & Number: _____

1. In "layman's terms," please tell me what your office does.

2. Is there anything that your office does that you would consider to be critical to your agency? That is, if your operation were shut down because of some emergency, how greatly would it affect the rest of your agency? Other organizations or agencies? The public? (Specify mission-critical processes. There may be none.)

3. Briefly describe the types of records or other information this office creates.

4. Do you consider any of these records to be **essential**? That is, if one or more of the types of records or information sets you create were lost because of an emergency or were unavailable during an emergency, would there be any dramatic effect on the rest of your agency's operation? Other agencies? The public?

If any records are essential, please provide the record series title below and complete an Essential Records Profile (see Part II—Essential Records Information) for each essential record:

1. Record series title:
2. Record series title:
3. Record series title:
4. Record series title:
5. Record series title:
6. Record series title:
7. Record series title:
8. Record series title:
9. Record series title:
10. Record series title:

5. Other Comments

PART II—ESSENTIAL RECORD INFORMATION

Essential Records Profile

For each essential record listed in Section 4 of Part I, provide the following information (you may duplicate this page as many times as needed):

Record series title:

Records Retention Schedule number, if available:

Media:

How soon would you need access to the record after an emergency (hours, days, or weeks)?

Why is the record deemed to be essential? (Select all that apply.)

- Necessary for emergency response. If so, how used?

- Protects the health, safety, property, and rights of residents. If so, how used?

- Necessary to resume or continue operations. If so, how used?

- Would require massive resources to reconstruct. If so, how used?

- Documents the history of communities and families. If so, how used?

5. Are you protecting this essential record? If so, how?

Handout 1.6—Determine Essential Functions and Identify Essential Records Activity

Activity 1 Part 1

Activity Instructions

Complete page 2 with information based on your agency.

- Select one of the essential functions of your agency.
- Identify the essential records that are created by your agency in support of your selected essential function and enter those records in the **Essential Records** column.
- Provide the rationale for why you thought the records are essential in the **Why Is It an Essential Record?** column.

Handout 1.6—Activity Part 1

Agency Name

Agency mission

Location of Agency Headquarters

Location of Satellite Offices

Divisions/Units and Function of Each

The Records Liaison

The Building

The Holdings

Activity 1 Part 2

Activity Goal

Identify five essential records, one for each of the five types of essential records. These are records that:

- Are necessary for emergency response
- Protect the health, safety, property, and rights of residents
- Are necessary to resume or continue operations
- Would require massive resources to reconstruct
- Document the history of communities and families

Activity Instructions

Complete the *Essential Functions and Essential Records Table* by doing the following:

- For each essential record type, determine a corresponding essential function performed by your agency or department and record that function in the **Corresponding Essential Functions** column.
- Identify an essential record that is created by your agency in support of the essential function and enter that record in the **Essential Record** column.
- In the **Brief Description of Your Process** column, provide a brief explanation of the process you used to determine the essential function and essential record.

In the event that there is NO essential record for one of the five types, leave blank the **Essential Records** block for that type, but in the corresponding **Brief Description of Your Process** block, describe the process you used to determine that there was no essential record corresponding to that type.

Handout 1.6—Activity Part 2

NOTE: You may use any process you like to determine essential functions and identify essential records, including:

- Review mission and departmental statements (or similar information) for your agency or department
- Determine the requirements of your Continuity Plan
- Review existing records retention schedules
- Interview key staff members
- Consult information technology's (IT) Business Impact Analysis (BIA) or Contingency Plan

Most likely, you will need to use several different processes to complete the activity.

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 session.

Handout 1.6—Activity Part 2

Name(s): _____

Agency: _____

My Agency's Essential Functions and Essential Records

TYPE OF ESSENTIAL RECORD	CORRESPONDING ESSENTIAL FUNCTION	ESSENTIAL RECORD	BRIEF DESCRIPTION OF YOUR PROCESS
Records that are necessary for emergency response			
Records that protect the health, safety, property, and rights of residents			
Records that are necessary to resume or continue operations			
Records that would require massive resources to reconstruct			
Records that document the history of communities and families			

Handout 2.1—Risk Assessment— Sample Hazards Inspection Checklist

- Used for prioritizing the needs of equipment and supplies
- Used as an assessment tool for future budget plan
- Used to inform first responders (especially fire) about building condition
- Update information at least once a year

Table 1: Evaluation of Current Building Condition

BUILDING FACTORS	CONDITION/LOCATION	POSSIBLE HAZARDS
Where is the Building Situated?	Building is located at north end of Federal Complex, at the corner of 1 st Ave. and Main.	Holding pond, north of North Ave.
Surrounding Area	Other federal office buildings are located to the west and south. A large parking lot lies to the east. A road is north of the building—Route 66, located about 1/8 th mile north of the building.	Vulnerability to Hazmat incidents on Route 66. Risk of collateral effects of emergencies at nearby buildings.
Location of Records	Records are stored in decentralized file locations throughout the building.	One file station is in a basement, vulnerable to water drainage in a major storm or leak.
Security	Nine staff members have keys to the building.	Possible hazard. Lost or stolen keys present security risk.
Environmental Stability in the Building	One records area—the technical library and archives—is temperature- and humidity-controlled.	Minimal hazard
Structural Stability	Brick structure. Building was constructed in phases: 1942, 1950s, 1960s, and 1970s. Last addition, completed in 1973, includes the new front office areas.	Minimal hazard
Roof Type	Metal roof with tar and gravel covering. Library stack area roof is reinforced with special roofing materials.	Moderate. Older parts of the building are still vulnerable to roof leak around drains.
Drainage/Sprinkler System	Wet pipe sprinkler system	Minimal hazard
Fire Protection System	Fire alarms, sprinkler alarms activated by heat-sensing sprinkler heads. Fire extinguishers are present.	Minimal hazard
Hazardous Materials On Site or Near Site	Small amounts of paint and other substances are maintained in the dock in a locking cabinet.	Minimal hazard
Chemical*	Location/Amount	Possible hazards

*Inventory of dangerous chemicals stored on site

Handout 2.2—Possible Hazards

Use the following list of possible hazards as a tool to start identifying the risks to your essential records. Of course, when identifying risks, it's important to be realistic and focus on those risks that are likely to happen in your state or locality and or circumstances. In other words, don't be concerned about a tsunami if you live in Iowa.

For more information on the hazards relevant to your state or locality, visit the Council of State Archivists (CoSA) Resource Center, <https://www.statearchivists.org/research-resources/resource-center>.

Table 1: List of Possible Hazards by Type

TYPE	HAZARDS
Natural Hazards	Hurricane Tornado Severe storm Winter storm Flooding Fire, wild Lightning damage Water damage Disease Earthquake, other seismic event Volcanic eruption Tsunami
Human-Caused Hazards	Fire, structure/arson Plumbing failure Structural failure Power failure Telecommunications failure Computer network failure Building access/closing Transportation disruption Medical emergency Hazardous materials incident Disgruntled employee/sabotage Bomb or bomb threats Airplane crash Nuclear plant meltdown Terrorism Civil unrest

Handout 2.3 — Identify and Evaluate Risks Activity

Activity Goal - Identify, analyze, and document the risks for two essential records from your agency. **Take-Home Activity Instructions**

Refer to the essential records you identified in Part 2 of the Session 1 Activity [see the My Agency's Essential Functions and Essential Records table on page 5 of **Handout 1.6**]. *Select two* of those essential records and *then complete* the My Agency's Risk Matrix table for the records by doing the following:

- In the **Essential Record** column, enter the two essential records you selected from Part 2 of the Session 1 activity.
- In the **Potential Risk** column, list the risks to each essential record. For example, there might be a risk of water damage. (Try to come up with at least two to four risks for each record.)
- In the **Source of Risk** column, record the potential cause of each risk. For example, the water damage might be caused by a leaky roof.
- In the **Location of Impact** column, record where each risk will have an impact. Is it agency-wide? One particular part of the building? One work process or function? One system?
- In the **Potential Effects on Essential Records** column, list the potential effects of each risk. For example, mold and mildew might begin to grow on waterlogged records.
- In the **Existing Control Measures** column, describe any current steps, processes, or strategies your agency has in place to detect the presence of a risk, prevent it from happening, and/or mitigate its effects.
- In the **How Likely is an Incident?** column, rate the probability of each risk occurring, using the Risk Analysis Rating System provided on page 2. For example, in a rainy area, the likelihood of a roof leak that damages the records might have a higher rating than in a desert area.
- In the **Severity of Effects** column, rate the impact of the potential effects using the Risk Analysis Rating System provided on page 3.

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 after lunch.

Rating System

Risk Analysis Rating System

RISK ANALYSIS RATING SYSTEM				
Impact of Risk	High	Catastrophic impact; devastating loss The event has little chance of occurring.	Catastrophic impact; devastating loss Similar events have occurred in the past.	Catastrophic impact; devastating loss The event is expected to occur.
	Medium	Serious/critical impact; significant loss The event has little chance of occurring.	Serious/critical impact; significant loss Similar events have occurred in the past.	Serious/critical impact; significant loss The event is expected to occur.
	Low	Minor/marginal impact; some loss The event has little chance of occurring.	Minor/marginal impact; some loss Similar events have occurred in the past.	Minor/marginal impact; some loss The event is expected to occur.
		Low	Medium	High
		Probability of Risk		

Name(s): _____

Agency: _____

Essential records selected from Handout 1.6: _____

My Agency's Risk Matrix

ESSENTIAL RECORD	POTENTIAL RISK	SOURCE OF RISK	LOCATION OF IMPACT	POTENTIAL EFFECTS ON ESSENTIAL RECORD	EXISTING CONTROL MEASURES	HOW LIKELY IS AN INCIDENT? (PROBABILITY RATING)	SEVERITY OF EFFECTS (IMPACT RATING)

Handout 3.1—Protection Strategies Based on Media Requirements

NOTE: Electronic copies of fixed-format (paper, microfilm/fiche, photographic) records created as “backups” or for off-site access should **NOT** be considered appropriate for long-term preservation unless they have been created to archival standards. These records may become inaccessible without special attention.

Table 1: Protection Strategies Based on Information Status

INFORMATION STATUS	A PAPER COPY WILL SUFFICE	A PAPER COPY WILL NOT SUFFICE
The information is static	<ul style="list-style-type: none"> • Make a backup paper copy; store off site. • Microfilm the static record; store off site with access to microfilm printer. • Scan to a readable format (PDF, TIFF); save off site. 	<ul style="list-style-type: none"> • Copy the electronic version; store off site with read capability.
The information is dynamic	<ul style="list-style-type: none"> • Make a backup paper copy of the current content; store off site; update as needed. • Microfilm the current content; store off site with access to microfilm printer; update as needed. • Scan the current content to a readable format (PDF, TIFF); save off site. • Ensure off-site access to the system supporting the dynamic record; back up that system to a hot site. 	<ul style="list-style-type: none"> • Ensure off-site access to the system supporting the dynamic record; back up that system to a hot site.

Table 2: Protection Strategies Based on Volume of Records

VOLUME OF RECORDS	PAPER RECORD	ELECTRONIC RECORD
Large	<ul style="list-style-type: none"> • Store in a very secure location anticipating probable threats. • Designate sufficient personnel and equipment to recover and restore if necessary. • Consider microfilming with off-site storage and access to microfilm printer. 	<ul style="list-style-type: none"> • Ensure off-site access to the system supporting the records; back up that system to a hot site. • Ensure that copies will be available to those who need them in the form (electronic or paper) they require.
Small	<ul style="list-style-type: none"> • Make backup copies; store off site. 	<ul style="list-style-type: none"> • Same strategies as for large volume.

Table 3: Protection Strategies Based on Timeframe for Recovery

TIMEFRAME FOR RECOVERY	PAPER RECORD	ELECTRONIC RECORD
Immediate	<ul style="list-style-type: none"> Document the record's location; ensure that first responders know the location; designate the recipient to whom first responders should deliver the record. 	<ul style="list-style-type: none"> Ensure off-site access to the system supporting the records; back up that system to a hot site.
One to two days	<ul style="list-style-type: none"> Document the record's location; ensure that second-wave responders know the location; designate the recipient to whom first responders should deliver the record. 	<ul style="list-style-type: none"> Ensure off-site access to the system supporting the records; back up that system to a hot site.
Longer than two days	<ul style="list-style-type: none"> Direct first and second responders to higher-priority records; determine the record's location and risk status; establish the necessary recovery timeline. Document the record's location; ensure that second-wave responders know the location; designate the recipient to whom first responders should deliver the record. 	<ul style="list-style-type: none"> Ensure off-site access to the system supporting the records; back up the system for future recovery.

Table 4: Protection Strategies Based on Need for Copies

SEVERAL PEOPLE NEED COPIES?	PAPER RECORD	ELECTRONIC RECORD
YES	<ul style="list-style-type: none"> Make sufficient copies in advance; store in multiple locations. Consider conversion to electronic media, balancing needs for hard copy and for multiple access points. 	<ul style="list-style-type: none"> Ensure off-site access to the system supporting the records; back up that system to a hot site. Ensure that copies will be available to those who need them in the form (electronic or paper) they require.
NO	<ul style="list-style-type: none"> If immediately critical, make a copy accessible off site for the employee who needs it. If not immediately critical, direct first and second responders to higher-priority records; determine the record's location and risk status; establish the necessary recovery timeline. 	<ul style="list-style-type: none"> Ensure off-site access to the system supporting the records; back up that system to a hot site. Ensure that copies will be available to those who need it in the form (electronic or paper) they require.

Table 5: Protection Strategies Based on Format of Records

FORMAT OF RECORDS	PAPER RECORD	ELECTRONIC RECORD
Critical to functions; change in format WOULD lose information	<ul style="list-style-type: none"> • Store in a very secure location anticipating probable threats. • Consider microfilming with off-site storage and access to microfilm printer if critical information is not at risk (review both sides of original document and check color requirements). • Consider scanning as a high-quality electronic image if critical information is not at risk (review both sides of original document); treat as electronic records. 	<ul style="list-style-type: none"> • Ensure secure off-site access to the system supporting the records; back up that system to a hot site. • Ensure that copies will be available to those who need them in the form (electronic or paper) they require.
Critical to functions; change in format WOULD NOT lose information	<ul style="list-style-type: none"> • Store in a very secure location anticipating probable threats. • Microfilm with off-site storage and access to microfilm printer. • Scan as a high-quality electronic image (review both sides of original document and check color requirements); treat as electronic records. 	<ul style="list-style-type: none"> • Ensure secure off-site access to the system supporting the records; back up that system to a hot site. • Ensure that copies will be available to those who need them in the form (electronic or paper) they require.
Important, not critical; change in format WOULD lose information	<ul style="list-style-type: none"> • Store in a convenient, secure location anticipating routine threats, such as misplacement or unauthorized access. • Consider scanning selected records as an electronic image if information is not at risk (review both sides of original document and check color requirements); treat as electronic records. 	<ul style="list-style-type: none"> • Ensure off-site access to the system supporting the records. • Ensure that copies will be available to those who need them in the form (electronic or paper) they require.
Important, not critical; change in format WOULD NOT lose information	<ul style="list-style-type: none"> • Store in a convenient, secure location anticipating routine threats, such as misplacement or unauthorized access. • Consider creating electronic copies and treat as electronic records. 	<ul style="list-style-type: none"> • Ensure off-site access to the system supporting the records. • Ensure that copies will be available to those who need them in the form (electronic or paper) they require.

Handout 3.2—Determine Protection Strategies and Measures Activity

Activity Instructions

Using the essential record and risks identified in the Session 2 Activity [**Handout 2.3**], complete the Protection Strategies and Measures table with the following information:

- In the **Essential Record** column, enter the essential record you used in the Session 2 activity.
- In the **Potential Risk** column, enter each risk to the essential record you identified in the Session 2 activity.
- In the **Protection Strategy** column, identify which protection strategy you will use for each risk. For example, essential records stored in a basement are at risk for water damage due to flooding. You decide you want to take measures to lessen this risk, so you decide on a mitigation strategy.
- In the **Protective Measures** column, describe the protective measures you will take to protect the essential record from the risks. For example, to mitigate the risk of a flood damaging your essential records, you may opt to perform on-site protection, such as storing the records at least 6 inches above the ground.

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 (Session 4).

Table 1: Protection Strategies and Measures

ESSENTIAL RECORD	POTENTIAL RISK	PROTECTION STRATEGY (ACCEPTANCE OR MITIGATION)	PROTECTIVE MEASURE(S)

Handout 4.1—Access Priorities Table

Table 1: Access Priorities Table

LEVEL	DEFINITION	ACCESS	EXAMPLES	TIMEFRAME FOR ACCESS
Priority 1	Records essential for response and emergency operations and therefore needed immediately	Physical protective storage is close to disaster response site for immediate access. Electronic replication methods are available for immediate access of information.	<ul style="list-style-type: none"> • Emergency action plan • Business continuity plan • Vital records manual • Current facility drawings • Personnel security clearance files 	Within the first 0–12 hours
Priority 2	Records essential for quick resumption and continuation of business following an emergency	Physical protective storage is close to disaster recovery site for quick business resumption. Electronic methods are quickly accessible, and backups can be quickly restored.	<ul style="list-style-type: none"> • Current client files • In-progress Accounts Payable and Accounts Receivable • Research documentation • Current contracts and agreements 	Within the first 12–72 hours
Priority 3	Records needed to continue essential functions if normal agency information were unavailable for a prolonged period	Physical protective storage is accessible and outside of the disaster area.	<ul style="list-style-type: none"> • Accounts Payable and Accounts Receivable files • Existing contracts and agreements • Unaudited financial records 	After the first 72 hours

This chart is based in part on ARMA International, ANSI-ARMA 5–2003 *Vital Records: Identifying, Managing, and Recovering Business-Critical Records*.

Handout 4.2—Establishing a Duplication Schedule for Essential Records

Duplication schedules for *electronic* records are quite straightforward: Copy the records; move them off site; and rotate the “backup” media, if any, periodically. Not so with fixed media that are harder to copy and update, such as paper and microform.

However, Priority 1 Essential Records are so critical to emergency response that updated copies *must* be located off site.

For other essential records in electronic form, backup copies should be made daily and fully accessible copies should be transferred off site monthly, either through a wide-area network or by physical media, such as tapes, external hard drives, or disks. Off-site software and hardware capable of reading these records are critical to the success of this strategy.

Other essential records not in electronic form should be (1) held in secure and fire-resistant locations while in active office use, and (2) transferred to a secure, fire- and other-hazard-resistant location, such as a fully qualified records center, as soon as their current business use has passed. Earlier copying of the most important of these by paper duplication, electronic imaging, or microform for off-site storage will substantially reduce the risk of loss and improve chances of an early return to business after an emergency.

Table 1: Factors for Establishing a Duplication Schedule for Essential Records

ESSENTIAL RECORDS SUCH AS:	THAT MAY CHANGE:	LIKELY WORKING MEDIA:	RECOMMENDED METHOD AND MEDIA FOR COPIES	COMMENTS
Geographic Information System (GIS) data and images; large databases containing financial information	Continuously	Electronic, possibly photographic prints	Electronic—Mirroring	Priority should be given to moving these records to electronic form for ease of duplication and safeguarding.
Priority 1 Essential Records <ul style="list-style-type: none"> • General Emergency, Records Emergency Action Plans (REAP), and Continuity of Operations (COOP) Plans • Delegation of authority • Infrastructure and utility plans; maps and building plans • Emergency contact information • E911 addressing data 	Daily	Paper and electronic	Electronic—Tape or Disk	Priority should be given to moving these records to electronic form for ease of duplication and safeguarding. Routine backup on separate media for each business day.
Priority 1 Essential Records, continued.	Weekly	Paper and electronic	Electronic—Tape or Disk	Retain a cumulative backup for the month, releasing the media holding weekly data for reuse. Ensure that fully accessible copies are made, with supporting software and hardware for recovery.
Priority 1 Essential Records, continued.	Monthly	Paper and electronic	Electronic—Tape	
Birth, death, marriage, adoptions, land titles, and other vital personal information; payroll; insurance; delegation of authority; current ordinances, laws, policies, directives	Rarely, though new records may be added periodically	Electronic, sometimes paper and/or microfilm	Microfilm remains the best method of preservation for paper records that change infrequently and that must be protected against unauthorized alteration.	If records are created electronically, follow the advice for records that change monthly (see above).

Handout 4.3—Determine Timeframes for Accessibility Activity

At-Home Activity

Activity Instructions

This activity will be conducted as a group discussion.

Select several records from your Priorities and Time-frames for Accessibility table and determine the records' accessibility priority, accessibility time-frame, and cycling frequency.

Table 1: Priorities and Time-frames for Accessibility

	ESSENTIAL RECORDS	ACCESSIBILITY PRIORITY	ACCESSIBILITY TIMEFRAMES	CYCLING FREQUENCY
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				

Handout 4.4—Essential Records Template

Table 1: Essential Records Template

ESSENTIAL RECORD*	FORMAT(S) OF RECORD	ACCESS PRIORITY LEVEL (SEE KEY)	ACCESS TIMEFRAME	LOCATION OF ORIGINAL (INCLUDE COMPUTER NAME & PATH FOR ELECTRONIC RECORDS)	ACCESSIBLE AT ALTERNATIVE FACILITY?	BACKED UP AT THIRD LOCATION	MAINTENANCE FREQUENCY	PREVENTION/ MITIGATION STRATEGIES
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Example:

<i>Delegation of Authority</i>	<i>Hardcopy and PDF file</i>	<i>Priority 1</i>	<i>Immediately, within 0–12 hours of the event</i>	<i>Deputy Administrator's Office, Washington Grove facility. GBaxter on 'gandalfuserdirs\$My_Documents\Disaster\DofA'</i>	<i>Records storage facility</i>	<i>Office of the Administrator, Springfield Facility, 2nd floor, Office 213b, top drawer of file cabinet next to secretary's desk</i>	<i>Bi-weekly</i>	<i>Backup tapes of Gandalf server</i>
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* Not every distinct essential record needs to be listed. Record series may suffice (e.g., death certificates, obviously, may be listed once), if at the same location and on the same medium or media.

Table 2: Priority Level Key

PRIORITY LEVEL	DESCRIPTION
Priority 1	Essential for emergency operations and therefore needed immediately—in the first few hours—to respond to the emergency.
Priority 2	Records that are needed to manage the incident and resume operations.
Priority 3	Records needed to continue essential functions if normal agency records were unavailable for a prolonged period. These include records that are needed off site to work on specific programs or projects most critical to the agency's mission.