



Safeguarding a Nation's Identity

The readiness of state archives to protect the records that identify who we are, secure our rights, and tell our story as a nation.

A Report to the President, Congress,
Governors, and State Legislatures of the United States

February 2007



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This report and other products of the Emergency Preparedness Initiative are available for download from the Council of State Archivists website at <http://www.statearchivists.org/prepare/>



CoSA

Council of State Archivists

Documenting government - Promoting history - Securing rights

President George W. Bush
The White House
1600 Pennsylvania Avenue
Washington, DC 20500

Dear President Bush:

When hurricanes Katrina and Rita struck the Gulf Coast in August and September 2005, the archival community, like many others, found that its disaster planning was inadequate to meet the challenge. In response, the Council of State Archivists (CoSA), representing all of the state archives agencies in the nation, worked with the National Archives and Records Administration and the National Historical Publications and Records Commission to develop and implement a "Framework for Emergency Preparedness" for public and historical records in every state. This report is one result of that effort.

Using the Framework, the Council formally assessed the current preparedness strengths and weaknesses of all fifty state archives and records management programs. The assessment was the first of its kind in the nation and the first preparedness tool to be deployed consistently in all fifty states. Among our findings:

- The importance of identifying and protecting records essential to continuity of governments as part of the emergency planning process is not adequately recognized;
- Few state archives and records management programs have involvement in revisions to their state emergency operations plans;
- Citizens and their governments are vulnerable to major disruptions that could result from the loss of records in the event of widespread disaster.

State and local government archives safeguard the records that protect individual identity, secure the rights of citizens and, together with the National Archives of the United States, tell the story of our great nation. Because of CoSA's Emergency Preparedness Initiative, state archives across the nation are better prepared to preserve essential records today than at any time in the past, but much work remains to be done.

The Council of State Archivists remains committed to increasing our preparedness in the days ahead, and we urge you, the Congress, as well as governors and legislators in every state, to support our efforts to safeguard our nation's vital documentary heritage at every level of government.

Sincerely,

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Acknowledgments

This report is the culmination of the first phase of a long-term initiative to address statewide emergency preparedness for archives and records throughout the nation. The Emergency Preparedness Initiative, led by the Council of State Archivists, was prompted by the devastating impact of the 2005 hurricane season on records and archives. After touring Louisiana and Mississippi in the fall of 2005 and talking with state and local officials and record keepers, leaders of the Council of State Archivists (CoSA) and Allen Weinstein, Archivist of the United States, agreed that statewide emergency preparedness should become an immediate and high priority for collaboration between the Council of State Archivists and the National Archives.

Much work went into the project and subsequent report. CoSA would like to acknowledge the hard work and commitment of the state archives and records management programs in responding to this initiative under very tight deadlines—leaving all states better prepared. We are also grateful to the participants in the Hurricane Conference from state archives and allied organizations, listed in Appendix D, who willingly contributed their time and considerable expertise to the project. CoSA would also like to thank Maria Holden, Christine Wiseman, Julia Marks Young, David Carmicheal, and Karl Niederer, along with CoSA staff members Vicki Walch and Jenifer Burlis-Freilich, for their work for the Council and, in particular, this initiative. Valued participants outside the Council included Rex Wamsley and his staff from the Plans Division at FEMA, Howard Lowell and Ann Seibert from the National Archives, and Richard Cameron from the National Historical Publications and Records Commission.

**The Council of State Archivists
would like to thank our partners in this effort
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National Historical Publications and Records Commission (NHPRC)**

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Safeguarding a Nation's Identity

1. Why Records Matter

Why do records matter? Why does our government—and why do we, as American citizens—need to take action to protect records from damage or destruction?

Records are essential to protecting life.

Dr. Joseph Mirro discovered this when, after Hurricane Katrina, he found himself treating eighty children with cancer who had been evacuated from New Orleans. Few of their medical records survived, so Dr. Mirro was forced to improvise treatments based on what parents could remember about their children's treatments. Less obvious, perhaps, is the fact that infrastructure records—maps of utility lines and gas mains, building layouts, and the composition of bridges, levees, and buildings—are absolutely essential to protecting life. During and immediately after both the World Trade Center attack in 2001 and the Gulf Coast hurricanes in 2005, rescue workers needed quick access to this documentation to prevent additional catastrophes—from explosions or collapsing structures—and to execute search-and-rescue operations. Without records, we cannot protect life.

Records are essential to protecting property.

After a disaster, proving what is mine becomes essential to rebuilding individual lives. In many disasters—a courthouse fire or a tornado destroying a city hall, for instance—the *official* copy maintained by the government is lost. But property owners generally have copies of deeds, mortgages, and other ownership documents in their own possession, so they have some measure of protection. The widespread devastation experienced during hurricanes Katrina and Rita, however, demonstrated that losses can compound quickly. We saw situations in which both the official record was lost when the courthouse was destroyed and the personal copies were lost when homes were washed away, leaving individuals and families with no proof of ownership. This suggests that our traditional planning for disasters has been faulty, in that we have rarely envisioned such a scenario. We also need to think about property records more broadly. We tend to focus on deeds and mortgages and property maps, but proving what is mine may involve other types of records: probate records and wills may prove an inheritance; divorce settlements

may include property distributions; school records prove what is mine by attainment. People care about what is theirs, and records are key to proving ownership.

Records are essential to protecting the rights of our citizens.

Records provide the documentation to verify the rights of citizens. These include such individual rights as the right to vote (voter registrations), the right to government services (military service records, birth records, employment records, education records), and the right to justice (court records). Government records also support the rights of communities and groups, including civil rights (employment regulations, laws, court records), community welfare (land records, transportation records, public health records), and civil protection (military records, criminal justice records). Government records provide the foundation for, and reflect our efforts to sustain, a democratic, civil society.

Records are essential to restoring order and resuming operations following a disaster.

State and local government agencies, businesses, and families depend on records as proof of assets, liabilities, contracts, and other legal obligations. Governments need documentation of decisions, regulations, precedents, and lines of succession and authority for effective continuity of operations. Individual citizens require proof of identity, medical histories, and documentation of assets. In each of these cases, records help speed the resumption of normal life after a disaster.

Records are the foundation of our nation's information infrastructure.

Just as we need roads and bridges to travel from place to place, we need records to prove identity, certify contracts and agreements, verify ownership, and establish rights to benefits. Records in today's world are not just paper—they also exist as electronic files, still and moving images, and audio recordings, all subject to their own unique vulnerabilities and capable of disappearing without proper care and attention. Because we move people and information more freely and rapidly than ever before, records are also more inter-related and integrated than ever before. Whether it is veterans making increased use of military personnel records as the result of the destruction of birth, school, or medical records, or secretaries of state and local election officials struggling because of the loss of voter registration lists and ballots to hold a scheduled election for governor or the U.S. Senate, records protection and loss can have an impact well beyond the jurisdiction or agency that created or maintained them.

Records are essential to protecting tranquility.

People want to have a sense of community, a sense of belonging, a sense of place. This sense begins with personal records and documents—birth and marriage certificates, high school diplomas, cemetery records, city council resolutions honoring local citizens or businesses, photographs and video tapes of school and community events—all of which tie individuals to a specific place, time, and group. From there, sense of community stretches out to embrace the historical records of a location or a community in its broadest sense. Even if a disaster destroys the structures that have linked a person to his or her community, historical records can restore a sense of significance and connection to the community.

What makes archives and records most vulnerable?

Maria Holden and Christine Wiseman, preservation administrators at the state archives of New York and Georgia, respectively, started the research for the Emergency Preparedness Initiative by interviewing several state archivists in the South Atlantic and Gulf Coast regions. They wanted to gain insight into the specific deficits that made archives and records most vulnerable in an emergency situation. They also sought information on relative successes.

During the interviews, the state archivists in this region drew on their experiences not only with innumerable hurricanes, including those in 2005, but also on a range of other destructive incidents that had affected records in their states over the last thirty years or more, including courthouse fires, torrential floods, and broken water pipes. The following emerged as the most significant factors affecting how well or how poorly records fared during disaster.

Vulnerabilities

- Lack of communications with repositories in affected areas during and after the disaster
- Inability to communicate and coordinate with other responding agencies
- Lack of awareness of the importance of records by FEMA, state emergency management agencies, and others
- Lack of preplanning
- No mechanism for local governments to report in to state archives in the aftermath of disasters
- Lack of authority over local governments
- Lack of trained volunteers
- Inadequate training for catastrophic disasters
- Chronic under-funding of state and national archives programs that leaves programs without the resources to plan for, or respond to, disasters

Assets

- Agencies with strong records management program fared better
- Training is critical to successful recovery

Based on the interviews and additional research, Holden and Wiseman then developed a series of “Action Items” that could significantly improve preparedness if implemented. The “Action Items” eventually evolved into the criteria enumerated in the CoSA Assessment of Emergency Preparedness, the results of which are described in some detail in section 5 of this report.

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2. Major Findings

A. State Archives and Records Management (ARM) Agency: Status of preparedness, authority, and resources for emergency response

A1. Emergency preparedness for the ARM agency itself

1. Most state archives have an emergency preparedness and recovery plan in place for the principal archival facility.
2. Emergency preparedness and recovery plans for state archives and record programs (ARMs) are often inadequately reviewed or practiced and seldom include all aspects of Continuity of Operations (COOP) planning.
3. Most states do not permit pre-arranged contracts for disaster recovery services.

A2. Key relationships

4. Collectively, the ARM relationships with agencies that develop and implement "Continuity of Government" plans are very poor. However, initial overtures by ARM staff to their state emergency managers prompted by this Assessment process have generally been well received.
5. Connections to potential partner agencies at the federal level, such as NARA and FEMA, are weak or nonexistent among state ARMs as a group, although opportunities for improving these relationships are beginning to open. Both state and federal agencies would benefit from intergovernmental partnerships, especially in the areas of education, planning, and access to expertise during emergency response.

A3. Authority and resources available to the state archives and records management program for emergency planning and response

6. More than 80% of state ARMs report having relatively strong authority for the full range of records management functions for agencies in the executive branch, but resources to effectively exercise that authority are insufficient.
7. State ARMs rarely have strong authority for records management outside the executive branch, though legislative and judicial branch records could benefit significantly from the expertise available in the state archives and records management programs.

8. State ARM agencies are generally eager to increase the quantity, quality, and accessibility of training about the proper management and protection of records for all state and local government agencies, but resources do not match authority to develop and deliver records-related consultation and training either for state agencies or for local governments. Such training and the implementation of basic records procedures increase the survivability of records affected by an emergency.

A4. Participation of archives and records management agencies in state's emergency planning and preparedness activities and access to resources for emergency preparedness and response

9. In the decades since the Cold War, recognition of the importance of identifying and protecting records essential to continuity of governments has diminished in the emergency planning process.
10. More than half of the ARM programs have no involvement in revisions to their own state's emergency operations plan; only four are formally designated as participants in the process.
11. Records schedules, a core component of sound records management programs, have proven to be valuable tools for knowing the contents, formats, and locations of government records during emergencies.

B. Records-related preparedness in state government agencies and local governments

B1. Knowledge about the location, type, and extent of records held in state and local government agencies statewide

12. A few state ARMs are already implementing geographic information systems (GIS) technology and including it in their records schedules, a trend that promises to speed response to records-related disasters.

B2. Integration of records in Continuity of Operations (COOP) plans

13. States are vulnerable to major losses of records and great difficulty in reestablishing business operations in the event of a natural disaster or other catastrophe because:
 - More than two-thirds of the existing COOP plans in executive, legislative, and judicial branch agencies do not address records;
 - In only two states do ARMs participate directly in the development of COOP plans for counties;
 - In only one state does the ARM participate directly in the development of COOP plans for municipalities.

B3. Security storage

14. Redundancy—storing copies of essential records¹ offsite—is recognized as a critical and effective practice in emergency planning. State archives and records management programs have been working with state and local government agencies for years to create and store security microfilm copies of their most important records. Similar provisions do not always exist for imaging files and other electronic records.

B4. Records-related emergency response and recovery services available to state and local government agencies

15. Centralized coordination for emergency response related to records held by state agencies is available in about one-third of the states. It is less common for records held in local governments.

16. Only 18 state archives and records management programs provide conservation and/or disaster recovery services for state agencies and only 16 for local governments. It does not appear that these services are readily available in most states from private sources, either.

17. Most states do not have ready access to freezer space for freezing wet records, an essential process for stabilizing paper following a water-related disaster.

B5. Education and training concerning protection and salvage of government records

18. ARMs are rarely included in overall emergency preparedness training. The majority of ARMs said that they could not judge whether emergency training programs are conducted for state and local government agencies, nor did they know whether existing programs address records-related concerns.

C. Emergency planning and response assistance available to nongovernmental archival repositories and other cultural organizations statewide

C1. Emergency response and recovery services available to non-government organizations and institutions

19. Nongovernmental entities, including private archival repositories and cultural institutions, are less likely than government agencies to have services available that are necessary for effective emergency response.

¹ In emergency and Continuity of Operations (COOP) planning, the terms “vital records” and “essential records” are both used to describe those records which are most critical to an organization and, therefore, warrant special consideration to protect them and ensure that they are readily available, especially during crisis situations. See *Vital Records Programs: Identifying, Managing, and Recovering Business-Critical Records*, ANSI/ARMA Standard 5-2003 (Lenexa KS: ARMA International, 2003). In this report, we have tended to use “essential records” more often to avoid confusion with the other kind of “vital records” more commonly recognized by the general public, i.e., those that document events such as births, deaths, and marriages.

20. There is little or no centralized coordination of disaster response available in most states for nongovernmental archives.

21. Only 11 state archives provide conservation services to nongovernmental entities. Relatively few states have ready access to these services from other providers.

C2. Education and training concerning protection and salvage of archives and records held outside of government

22. Only 11 state ARMs are currently active in delivering training in disaster preparedness to nongovernmental entities.

C3. Knowledge about the location, type, and extent of records held in nongovernmental archival repositories and cultural institutions statewide

23. Only a few states have up-to-date information about nongovernmental repositories holding records with cultural or informational significance, severely hampering the ability to locate facilities and respond to emergencies that threaten them.

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3. Action Steps

A broad range of gaps emerged from the assessment process, leading the Council of State Archivists to develop the following set of Action Steps. Some must be addressed collectively at the national level, while others rest primarily on the shoulders of individual state archives and records management programs. The Council of State Archivists and its members have already begun to work on a number of these priorities, as have other organizations and institutions. Wherever the responsibility for pursuing these actions lies, there will always be a need for resources to see the work through to completion as well as for continued vigilance to make sure that the nation's records are secured.

Strengthen disaster plans for ARM programs themselves

Promote the development of institutional and agency emergency plans for the state archives itself, state and local government agencies, and for all archival repositories in the state. The state archives and/or CoSA could consider several activities in conjunction with this goal:

- Provide training that focuses on emergency planning for archives and records;
- Recommend resources and provide model plans or templates so agencies and repositories do not have to start from scratch, including an endorsement of dPlan² and other readily available models;
- Provide incentives for completing plans;
- Offer plan review services to state and local government agencies and other archival repositories; and
- Work with the Society of American Archivists to increase federal, state, and local government participation in MayDay³ activities each year.

Build records into each state's emergency plan

Work to ensure that every state emergency response plan recognizes records as an asset and that the ARM is engaged directly in developing and revising the plan. This will require working with the National Archives and other federal partners to ensure that appropriate provisions for records are incorporated in the National Response Plan, National Information Infrastructure Plan, and other similar directives. Each state emergency response plan should explicitly include:

² dPlan is an online program that assists libraries, archives, museums, historical societies, and other collection-holding institutions in preparing a comprehensive written disaster plan. It was developed by the Northeast Document Conservation Center (NEDCC) with support from the Institute of Museum and Library Services (IMLS) and is available for use free of charge at www.dplan.org. In September 2006, IMLS made an additional award to NEDCC to develop a planning tool for the development of statewide disaster plans. Like dPlan, it will be available free of charge.

³ MayDay is an initiative of the Society of American Archivists to encourage every archives to do something simple to improve their preparedness on May 1 of each year—something that can be accomplished in a day but that can have a significant impact on an individual's or a repository's ability to respond to an emergency. www.archivists.org/mayday/

- Information about the importance of archives and records;
- Procedures for the recovery of records damaged by natural disasters or other incidents; and
- A station in the command center for records specialists who can respond to questions about damage to records.

Include records in all state and local agency COOP plans

Ensure that Continuity of Operations (COOP) plans for all state and local government agencies identify records and information systems essential to the resumption of government operations and specify how they will be protected during emergency situations.

Strengthen relationships and communications with state and federal partner agencies

Enhance cooperation and communication with:

- Federal and state emergency management agencies;
- Information technology staff and chief information officers;
- Other emergency responders;
- State and local government agencies throughout the state; and
- Nongovernmental archival repositories.

Form partnerships with allied organizations

Develop formal agreements, such as memoranda of understanding, and create shared supply depots with:

- State historic preservation offices;
- State libraries;
- State museums and historical societies;
- State-level professional associations serving archivists, records managers, librarians, historic site administrators, and museum professionals; and
- First responders.

Provide security storage for and facilitate duplication of essential records in state and local governments

Increase the number of states that provide security storage for digital records as well as microfilm. Provide incentives and additional resources for undertaking reliable security duplication efforts. Support the development of digital repositories that achieve economies of scale by providing security storage for digital records and other digital assets held by archives, libraries, museums, and other institutions that are necessary for continuity of government and for preservation of cultural memory.

Increase education, training, awareness, and drills

Provide training and education on emergency planning and response that covers catastrophic disasters, health and safety issues, how to develop a plan, and working with contractors and vendors. Training opportunities need to be expanded to include not only records and preservation professionals, but also upper administration, directors and agency heads, and potential volunteers. Alternative delivery methods via CD-ROM and online are also needed.

Conduct surveys in each state of all public and private organizations that hold archival collections

Surveys should include college and university special collections, public libraries, museums, local historical societies, and historic sites. Build and maintain a GIS-linked database about where these collections are held and the extent and nature of the holdings so that appropriate resources can be mobilized when the collections are threatened or damaged.

Build statewide directories of local governments and historical records repositories

From the surveys, create directories to easily identify the types and extent of records and archives that may be affected when a disaster strikes in a particular geographic area. Integrate GIS data to greatly enhance response capability.

Provide grants to develop repository-level emergency response plans

Grants to state and local government archives and records management programs, colleges and universities, public libraries, museums, historic sites, businesses, and other public and private organizations could ensure the development of repository-level emergency response plans that integrate with the statewide planning and response framework and ensure the protection of both essential records and cultural resources.

Offer centralized storage of and/or access to other agencies' and organizations' emergency plans

ARMs should provide centralized, secure storage of emergency plans for agencies throughout the state. Provide secure, web-based access to authorized users of these plans.

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4. What Constitutes Preparedness for State Archives and Records Management Programs?

The CoSA Framework for Emergency Preparedness centers on the role of the state archives and records management (ARM) agencies because, in an emergency, organizations and citizens turn to their state governments for assistance. When an emergency threatens or damages records, it is natural to seek advice and support from the ARM program, the state government agency in which expertise on records resides.

What works . . .

- ✓ Authority
- ✓ Resources
- ✓ Leadership

The ability of state ARM programs to respond to these calls for assistance varies widely across the country. A few are ready and willing to come to the aid of institutions whose records are affected by disaster, while others are not even able to provide adequate protection for their own holdings.

Acknowledging this range of capabilities, statewide emergency planning for archives and records management programs cannot be approached as a one-size-fits-all model to apply uniformly across the country. It must accommodate significant variations among state governments in the authority and resources available to state agencies (including the ARM programs). In addition, archival repositories in each state have very different experiences and traditions of collaboration. And last, but certainly not least, when it comes to emergency preparedness, each state faces its own unique combination of vulnerabilities and threats for which it must prepare.

As a result, CoSA designed the Framework for Emergency Preparedness so each state archives and records management program can adapt it to reflect its own unique circumstances as well as those of other public and private institutions in the state.

There are **three critical factors** that enable state ARM agencies either to take a primary leadership role in records-related emergencies in their states or to work as a full collaborative partner in planning and response efforts:

- ✓ **Authority**—which might come through specific provisions in statute or regulation assigning the ARM agency duties related to the management and protection of records in state government agencies, in local governments, and in other public and private organizations throughout the state. The extent of the ARM program’s authority to help others prepare for an emergency or to respond during a crisis may also be affected by whether or not its parent agency has granted explicit or implicit permission to do so.
- ✓ **Resources**—or lack thereof—may present significant impediments when an emergency occurs. State ARM programs are, as a group, chronically under-funded and under-staffed. In a crisis, they may be called upon to assist others while also coping with the effects on their own holdings and while the personal lives of their staff members may also have been disrupted by the emergency.
- ✓ **Commitment to leadership**—and to ensuring that archives and records are valued and protected—is a trait common to all state ARM programs. Many of these agencies provide leadership within their states on a range of archives and records management concerns. Some ARM programs, however, have limited views of their roles in broader professional concerns and are unlikely to assert leadership on any issue, including emergency planning.

Weakness in any one of these areas seriously diminishes the ability of the state ARM to prepare adequately for an emergency or to provide necessary services in a time of crisis. In the states in which this is the case, a coordinated effort among archives and records management programs in other sectors will have to address the diminished capabilities available from state government.

One of the principal goals of this first phase of CoSA’s Emergency Preparedness Initiative is to enable each state ARM to determine the current limits of its authority and capacity. While its first priority must be to protect its own holdings, every state ARM must also be prepared to assert whatever authority it has when emergencies threaten state or local government records. In addition, each ARM also must know to what extent it can and will respond to requests for assistance from other archival repositories and cultural organizations in the state.

Interpreting the gauges and bar graphs in Section 5

The data presented in Section 5 of this report were compiled from the Assessments of Emergency Preparedness completed by the state archives and records management programs in the summer of 2006.

Gauges at the beginning of each section provide a picture of the collective preparedness levels for all state archives and records management programs for each area. The Assessment asked the ARMs to rank specific criteria within each of these areas on a scale from zero to four, adding up the values assigned for a total “score” for each section. We then calculated the ratio of the number of points reported versus the total number of points possible for each section. That ratio is listed below each gauge and governs where on the gauge the arrow points, from zero on the far left, to 0.500 straight up, to 1.000 on the far right (which can also be thought of as 0, 50, 100).

For example, the total number of points possible for Section A1 was 148 (for the primary archival facility) and the average totals for all states was 91.21, resulting in a ratio of 0.616 ($91.21 \div 148 = 0.616$). The arrow on the gauge, therefore, points to the equivalent of 62 on a scale from zero on the left to 100 on the right.

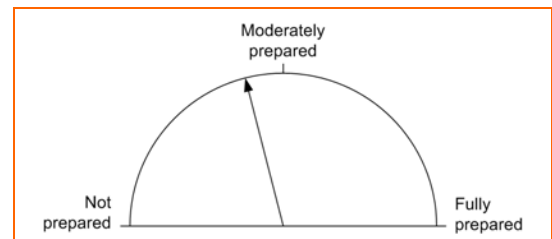
Bar charts at the end of each section are based on data from specific questions. They show how many state programs ranked their preparedness at each level from zero to four. The specific meaning of the scores depended on the context of the question. Zero generally equaled not being prepared at all based on the criteria cited in that question while a score of 4 equaled being fully prepared.

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5. How Prepared Are the State Archives and Records Management Programs?

The centerpiece of CoSA's Framework for Emergency Preparedness is an Assessment designed to guide state archives and records management (ARM) programs through a series of questions to help them identify the strengths and weaknesses of their current emergency preparedness. In the process, it establishes benchmarks by which each state can measure progress as it implements statewide planning and preparedness measures.

Collective status of overall preparedness in state archives and records management programs



Source: Average of total scores on the assessments for all states reporting. Ratio average/possible: 0.422

The Assessment evaluates:

- The status of the state archives and records management program's own preparedness, authority, and resources for emergency response;
- Records-related preparedness in other state government agencies and in local governments; and
- Records-related emergency planning and response assistance available to nongovernmental archival repositories and other organizations statewide.

In addition, the Assessment asks each ARM program to identify its most significant strengths and weaknesses and to list its own priorities for immediate, mid-term, and long-term action to improve records-related planning and preparedness.

Each state ARM will be encouraged to conduct the Assessment yearly to review its own statewide disaster preparedness and to measure progress.

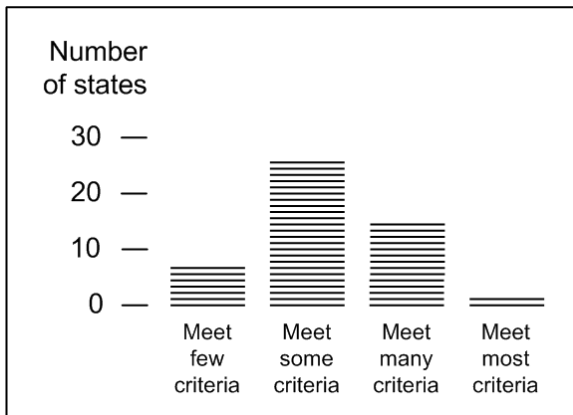
During the summer of 2006, ARM programs in all fifty states completed an Assessment and provided the results to CoSA. Most of the programs reported complete results; a few provided summary results only. In the sections that follow, CoSA has summarized the outcome of these Assessments to describe the collective status of records-related emergency preparedness in all fifty states. There has not been, and will not be, any attempt to compare conditions from one state

with another. Because this was a self-assessment process, and because program responsibilities and resources vary greatly from state to state, there is no reliable or appropriate way to use the results to do state-to-state evaluations.

Taken collectively only 16 states reported scores above the half-way point and, of those, only two fell into the highest quarter in the 2006 Assessment (figure 1). This means that two-thirds of the states met only some or few of the Assessments criteria for records-related preparedness. Work has begun already to correct this deficiency and improve preparedness levels nationwide.

Overall records-related preparedness:

Fig. 1 Records-related preparedness in the states based on rankings of criteria in the 2006 CoSA Assessment of Emergency Preparedness



Source: Total scores for each state on the CoSA Assessment
Ranges: few (0-293), some (294-586), many (587-879), most (880-1172)

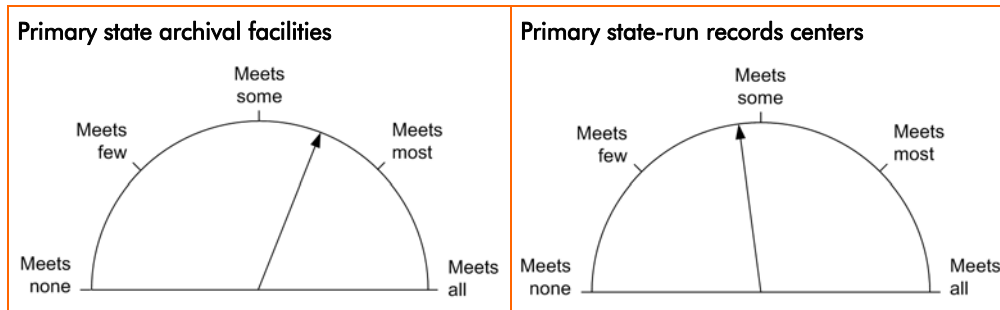
A. State Archives and Records Management (ARM) Programs: Status of preparedness, authority, and resources for emergency response

State archives and records management programs in the United States are deep reservoirs of expertise about how to identify essential records, how to protect them from disaster, and how to recover them in the event of a disaster. For this expertise to be effective, the ARM agency must have its own house in order (through preparedness plans and training), effective relationships with state and federal agencies that respond to disasters, the authority to identify and protect the essential records of state and local governments, and resources to help governments prepare for and respond to emergencies.

A1. Emergency preparedness for the ARM agency itself

Goal: The state archives and records management agency has an up-to-date emergency preparedness and recovery plan in place for all of the records in its custody.⁴

Collective status of emergency plans in state archival facilities and state-run records centers nationwide: how many of the criteria for preparedness do these facilities meet?



Source questions: A1.1-A1.38. Ratios average/possible: archival facilities, 0.616; records centers, 0.459.

Most state archives have an emergency preparedness and recovery plan in place for the principal archival facility. Two-thirds of the state programs reported meeting most or all of the criteria, while only one reported not having a plan at all (figure 2⁵).

However, not all of these plans are up to date (figure 3) or contain all of the necessary components. The Assessments indicate that plans are relatively strong on evacuation procedures, instructions for handling specific threats, lists of key contacts (especially staff, parent agency, emergency responders, facility managers), and the existence of floor plans. Most ARMs have identified essential records in their own custody to some extent, but not as fully as desired. Salvage priorities are well addressed by most.

State-run records centers are less likely to have emergency plans in place and fewer of those are up-to-date (figures 4 and 5).

When records are soaked with water—whether by hurricanes, floods, fire hoses, broken pipes, or other causes—it is essential to work quickly to prevent permanent damage or destruction. The most effective action for paper records is to move them to a dry area, rebox

⁴ A detailed list of the components of a model state archives and records management agency emergency preparedness plan is available in Appendix D of this report.

⁵ All figures appear at the end of the section in which they are cited. For instance, the figures for Section A1 can be found on p. 20.

them in stable containers, and freeze them as soon as possible. This process not only stabilizes the situation but also prevents the growth of mold that can harm both the records and the people handling them.

What worked . . .

The Notarial Archives in New Orleans had established a relationship with Munters, a document recovery contractor, before Hurricane Katrina struck. Even though the archives sustained heavy flooding, Munters was able to respond quickly and arrange for experienced and reliable professionals to access the archives. A major collection of government records was saved because the Notarial Archives had the authority and initiative to plan ahead.

In working to salvage records following the 2005 hurricanes, archivists and records managers realized how much more effective their efforts could have been if they had been able to activate pre-arranged contracts with trucking firms, archival box manufacturers, and cold storage facilities. Many states prohibit pre-arranged contracts for any purpose. States should enact laws or issue regulations that permit such pre-arranged contracts for purposes of emergency

preparedness. At the very least, state archives and records management agencies should be knowledgeable about where these services are available so they know how to obtain them quickly when they are needed.

The Assessment contained a total of thirty-eight separate criteria for establishing the preparedness of the state ARM agency. The following items received the lowest overall rankings and, therefore, appear to require the most attention from state ARMs as a group:

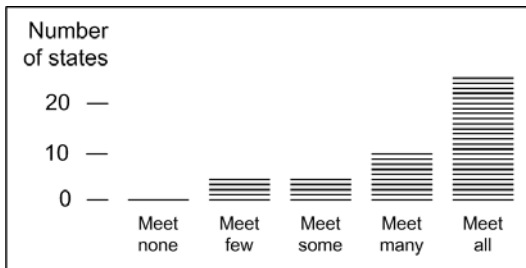
- Staff reviews the contents of the plan at least twice a year.
- New staff and volunteers receive training on ARM emergency plan and procedures.
- Staff and volunteers participate in drills at least twice a year.
- COOP planning for their own agency, including provisions for managing the effects of disruptions in business operations, the inability to access offices and storage areas, damage to or failure of information systems, and quarantines or epidemics that would prevent employees from coming to work.

Findings:

1. Most state archives have an emergency preparedness and recovery plan in place for the principal archival facility.
2. Emergency preparedness and recovery plans for state archives and record programs (ARMs) are often inadequately reviewed or practiced and seldom include all aspects of Continuity of Operations (COOP) planning.
3. Most states do not permit pre-arranged contracts for disaster recovery services.

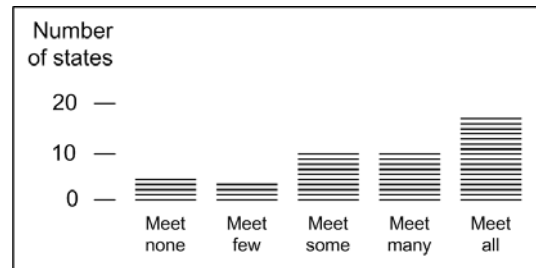
A1. Selected data

Fig. 2 Emergency plans are in place for primary state archives facility



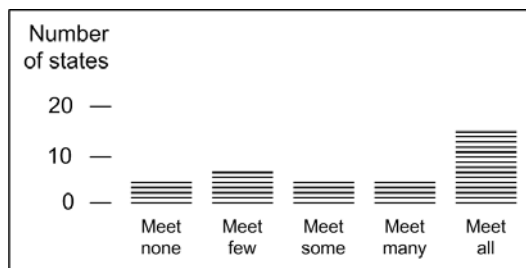
Source question: A1.1a

Fig. 3 Emergency plans for state archives facility are up to date



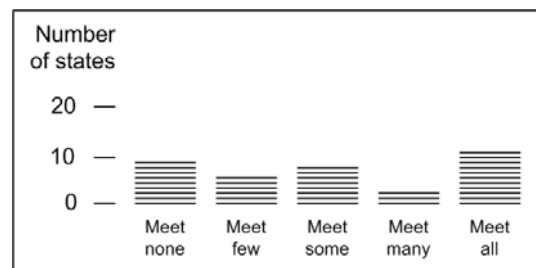
Source question: A1.2a

Fig. 4 Emergency plans are in place for state records center



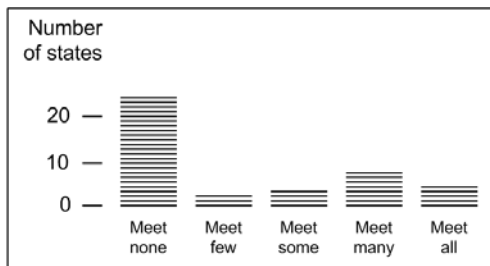
Source question: A1.1b

Fig. 5 Emergency plans for state records center are up to date



Source question: A1.2b

Fig. 6 State archives has pre-arranged contracts with vendors and suppliers

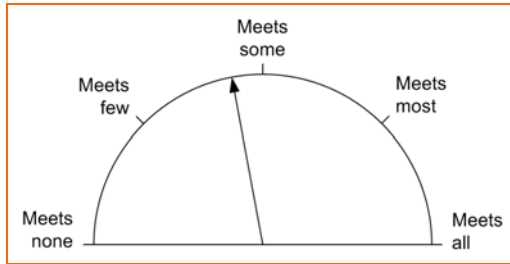


Source question: A1.24

A2. Key relationships

Goal: The state archives and records management program has established and maintains channels of communication with organizations and individuals responsible for overall emergency preparedness and recovery and the protection and preservation of archives and records.

Collective status of key relationships



Source questions: A2.1-A2.20. Ratio average/possible: 0.443.

Relationships with other state agencies

ARM programs must have solid working relationships with other state agencies to prepare for and respond to a natural disaster or other emergency situation in which records are threatened or damaged. Connections to the following are especially critical:

- State library agencies
- State historic preservation officers
- State emergency management agencies
- Chief information officers and/or information technology agencies

The criteria used to judge the quality of the relationships were rated on a scale from 4 (optimum) to 0 (nonexistent) as follows:

- 4:** ARM staff are well acquainted with officials in this agency and meet with them regularly (at least annually);
- 3:** ARM staff are well acquainted with officials in this agency but no regular meetings are scheduled;
- 2:** ARM staff have met representatives from this agency but have had no sustained contact;
- 1:** ARM staff know the names and telephone numbers of representatives from this agency, but have not met them; and
- 0:** ARM staff do not know who the officials are for this agency in their state.

The ARM programs collectively report good but not great relationships with the state library agencies (average of 2.85) and state historic preservation offices (SHPOs) (average of 2.53). Neither of these rise to the level of being “well acquainted” nor “meeting regularly” with representatives, despite the fact that these agencies should be natural allies in responding to emergencies threatening cultural assets.

The administrative structure of state governments often has an effect on how readily agencies connect. In a number of states the ARM program is either administered by the state library or the two operate under the same parent agency. The SHPOs are similarly connected to the ARM programs in others.

What worked . . .

When the City Hall of Bay St. Louis, Mississippi, was inundated by Hurricane Katrina, staff of the Mississippi Department of Archives and History had relationships in place that gave them quick access to the disaster site. Within days they had retrieved the city’s bound records and, though they were covered with muck and sludge, were able to salvage and clean them.

Collectively, the ARM relationships with agencies that develop and implement “Continuity of Government” plans are very poor (current average of 1.67). Many ARMs place a high priority on establishing connections with the state emergency management agency (SEMA) and the

regional offices for federal agencies like FEMA and the National Archives. When the Assessments were completed, only five ARMs reported meeting regularly with SEMA representatives (figure 7). Because a core component of COOP planning is the identification and protection of essential records, it is critical that the archives and records managers who bear primary responsibility for the government’s records as a whole be actively involved in COOP development.

The state ARMs also identified connections to information technology agencies and staff as critically important. It is clear—and encouraging—that these relationships are strengthening as records of all kinds move increasingly to electronic form (figure 8).

Relationships with selected federal agencies

The Assessment also focused on ARM relationships with three federal agencies that provide important support for records-related emergency preparedness and response:

- National Archives and Records Administration (NARA) regional offices
- FEMA regional offices

- Federal Executive Boards (FEBs), Councils (FECs), and Associations (FEAs)

The ARM connections to these federal agencies are largely weak or nonexistent among state ARMs. The criteria used to judge the quality of the relationships were rated on the same scale of 4 (optimum) to 0 (nonexistent) used for state agencies, as described above.

The National Archives and its regional branches are willing to provide both training and some response support. With the significant interplay among government programs and hence the records they create at the federal, state, and local level, both NARA and the state ARM programs would benefit from increased interactions on emergency preparedness.

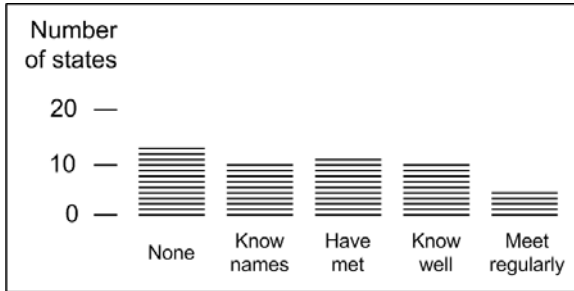
Most state agencies do not interact directly with FEMA—even during emergencies—but instead have to work through their state emergency management agencies (SEMA) to obtain disaster recovery assistance. As a result, a weak relationship with the SEMA also becomes a barrier to interactions with FEMA. However, FEMA regional offices have begun to reach out to state ARM programs, including them in training programs for state and local officials. The connections developed during these training sessions can only help the ARM officials when records in their jurisdictions are threatened or damaged. At the time ARMs completed the Assessments, however, only two reported knowing their regional FEMA staff well (figure 10).

Findings:

4. Collectively, the ARM relationships with agencies that develop and implement “Continuity of Government” plans are very poor. Initial overtures by ARM staff to their state emergency managers prompted by this Assessment process have generally been well received.
5. Connections to potential partner agencies at the federal level, such as NARA and FEMA, are weak or nonexistent among individual state ARMs, although opportunities for improving these relationships are beginning to open. Both state and federal agencies would benefit from intergovernmental partnerships, especially in the areas of education, planning, and access to expertise during emergency response.

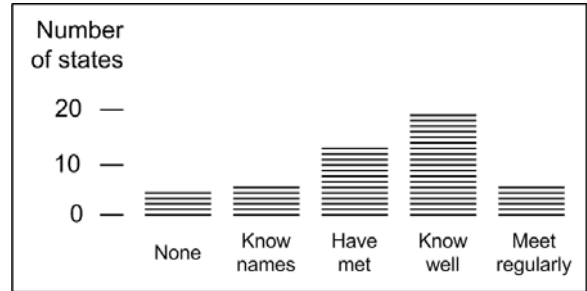
A2. Selected data

Fig. 7 Status of ARM program's relationship with state emergency management agency



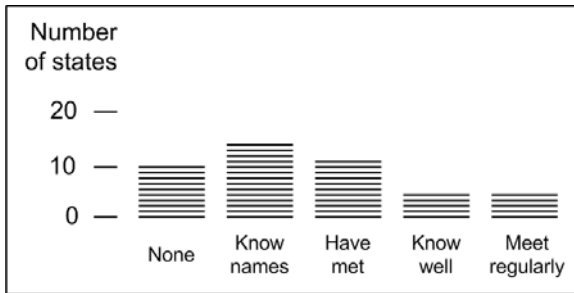
Source question: A2.2

Fig. 8 Status of ARM program's relationship with CIO and/or information technology staff



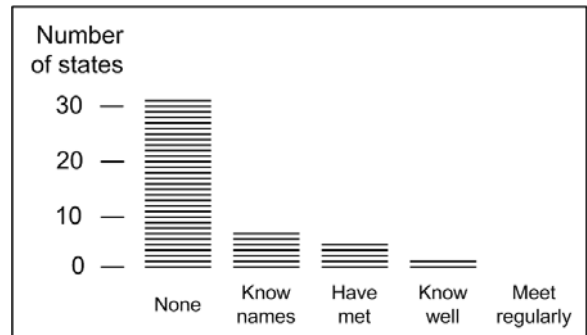
Source question: A2.5

Fig. 9 Status of ARM program's relationship with National Archives regional branch



Source question: A2.8

Fig. 10 Status of ARM program's relationship with FEMA regional offices



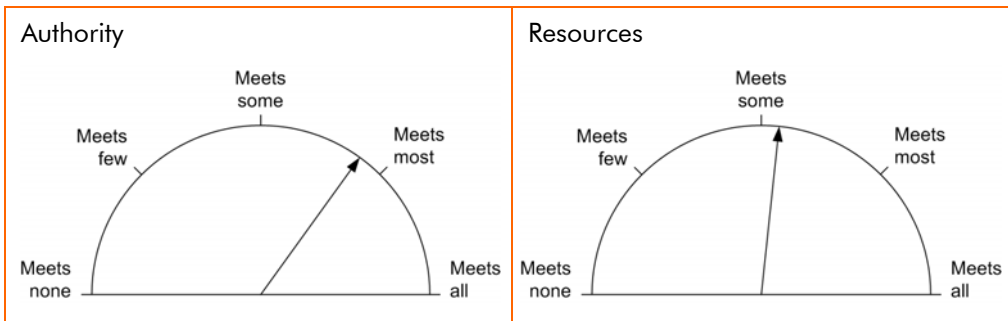
Source question: A2.9

A3. Authority and resources available to the state archives and records management program for emergency planning and response.

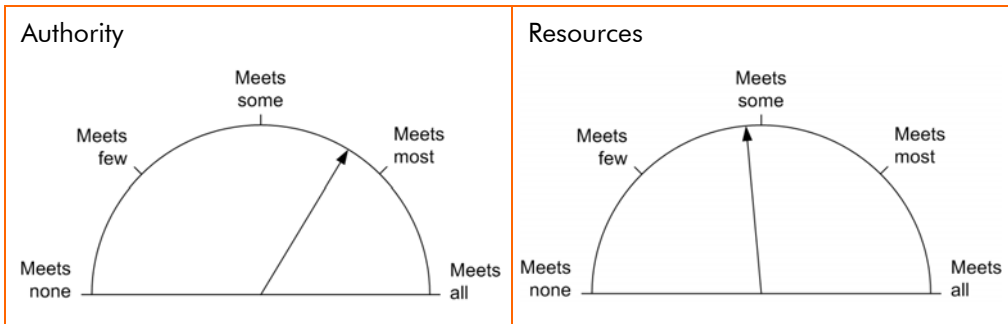
Goal: The state archives and records management agency has the authority for the full range of records management functions of state agencies and local governments and is provided with all of the resources necessary to perform these activities and to deliver these services. Likewise, the state archives and records management agency or some other state agency(ies) has authority for and/or provides advice regarding the management of records and collections of cultural organizations in the state.

Collective status of ARM authority and resources for providing assistance

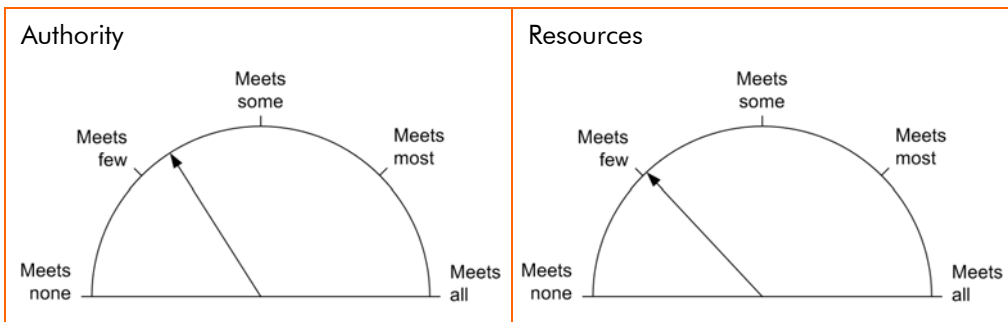
To state agencies



To local governments



To other (nongovernmental) archival repositories and cultural organizations throughout the state



Source questions: state agencies, A3.1-A3.24; local governments, A3.25-A3.32; other, A3.33-A3.38.
 Ratios average/possible: state authority, 0.701; state resources, 0.531; local government authority, 0.677; local government resources, 0.474; other authority, 0.323; other resources, 0.258.

Experience has shown that well-managed records are much more likely to survive a disaster. Sound management practices ensure that essential records are identified and secured before an emergency arises so they are readily available when needed to reestablish government operations. Records scheduling—the systematic determination of how long records should be kept and in what form—also makes it much easier to triage records salvaged following a disaster. With records schedules in place, agencies can quickly identify which records contain the most essential information and which have already been declared permanently valuable. This allows staff to concentrate their efforts on the most important records and leave behind others that were destined to be destroyed anyway.

Records scheduling and disposition

The heart of records management is records scheduling and disposition. In the Assessments, more than 80% of state archives and records management programs reported having relatively strong authority for the full range of records management functions for state agencies in the

executive branch. But too often this authority comes without sufficient resources—funding, people, and equipment—to implement it effectively (figure 11).

What worked . . .

When the Pearl River flooded twice in the 1990s, and when Hurricane Ivan struck in 2004, the Alabama Department of Archives and History had records retention schedules for each county and municipal office, which allowed ADAH staff and county staff to concentrate on salvaging the permanent records.

Records in the **legislative and judicial branches**, however, often do not fall under the scheduling jurisdiction of the state archives and records management programs. Less than half of the ARMs report having strong authority for records scheduling in the legislative or judicial branch (figures 12 and 13). Only thirty-three state archives are actively accessioning legislative or judicial branch records into their holdings. It is possible that the permanently valuable records from these branches are being properly cared for by other means, but statewide coordination of records policies and procedures is critical to ensuring that essential records are identified and secured. If these branches are establishing their own records practices, they should ensure that they harmonize with those in place for the executive branch. And if they have not developed comprehensive records management for their records, they could benefit significantly from the expertise available in the state archives and records management program.

What worked . . .

When a pipe supplying water to air conditioning and heating units broke in Cheektowaga, New York, in 2003, Town Records Manager, Lisa Bolognese responded quickly and appropriately because of training and advice provided by the New York State Archives through its regional advisory officers. The town court records, which had been soaked by water, were quickly frozen and then dried, and the court was able to resume normal operations within days.

Local government records were especially hard hit in the Gulf Coast region during the 2005 hurricanes. Floods and courthouse fires occur every year, inflicting serious damage on local records as well. Nationwide, about two-thirds of the state ARMs report having significant or strong authority for scheduling of local government records (figure 14). State-level coordination of records schedules can save localities significant time and effort because they are easily adapted

from one to another. But again, the lack of available resources in those states with authority to assist local governments is severely limiting the delivery of records management support on the local level. Of special concern is that eight ARMs report having **NO authority OR resources** for local government records schedules. In such instances, counties, municipalities, and other local entities must largely fend for themselves.

Consultation and training

In completing the Assessment, the state archives and records management programs identified records-related training as one of their highest collective priorities. They are eager to increase the quantity, quality, and accessibility of training about the proper management and protection of records for all state and local government agencies.

Once again, however, resources do not match authority to develop and deliver records-related consultation and training either for state agencies (figure 15) or for local governments (figure 16).

Training is an area in which the state archives and records management programs see great potential for collaboration with federal agencies. Both the National Archives and Records Administration and the Federal Emergency Management Agency currently have well-designed training programs for records-related disaster preparedness and for securing essential records as part of overall Continuity of Operations (COOP) planning.

Preservation and conservation services

Only eighteen state archives provide preservation or conservation services for either public or

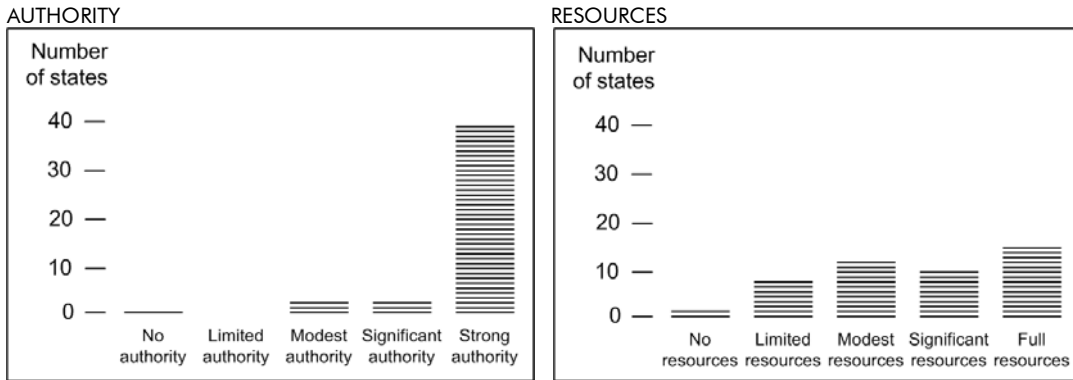
private records. In most states, therefore, records salvage and recovery following an emergency becomes the responsibility of private entities, with the possible exception of some public universities that could offer preservation services.

Findings:

6. More than 80% of the state archives and records management programs (ARMs) report having relatively strong authority for the full range of records management functions for state agencies in the executive branch. But this authority usually comes without sufficient resources—funding, people, and equipment—to implement it effectively.
7. ARMs rarely have strong authority for records management outside the executive branch, even though legislative and judicial branch records could benefit significantly from the expertise available in the state archives and records management programs.
8. State ARM agencies are often eager to increase the quantity, quality, and accessibility of training about the proper management and protection of records for all state and local government agencies, but resources do not match authority to develop and deliver records-related consultation and training either for state agencies or for local governments.

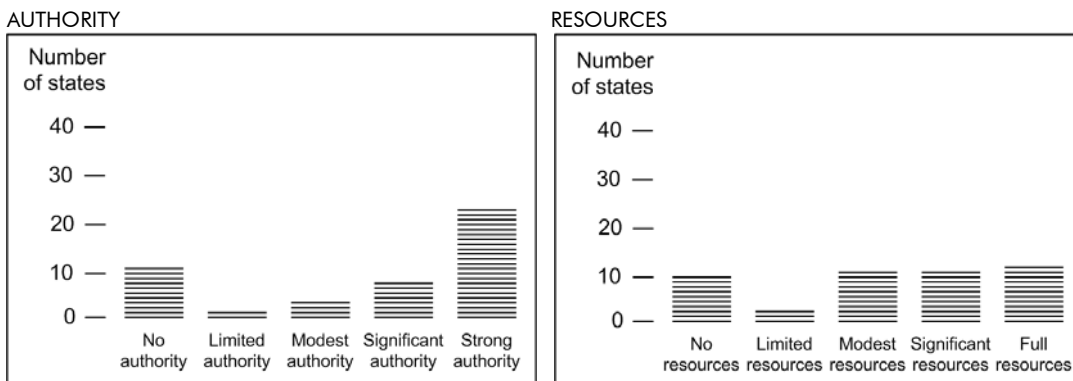
A3. Selected data

Fig. 11 ARM approves records retention and disposition schedules for executive branch



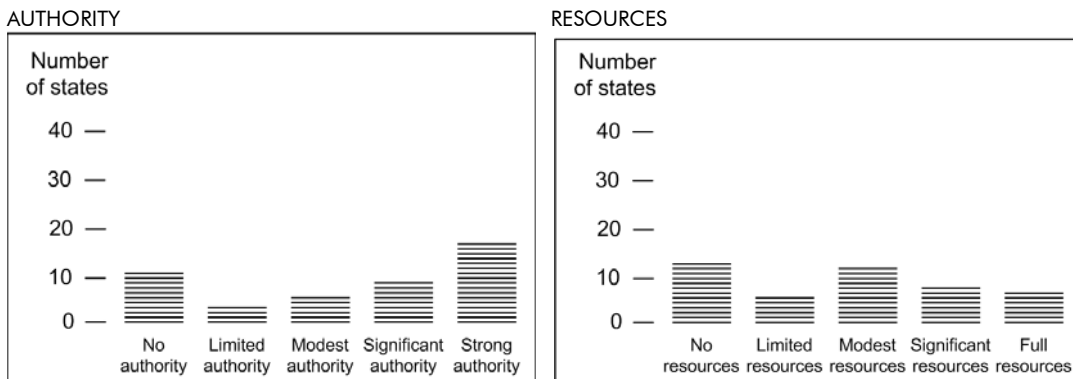
Source questions: A3.2a, A3.2r

Fig. 12 ARM approves records retention and disposition schedules for legislative branch



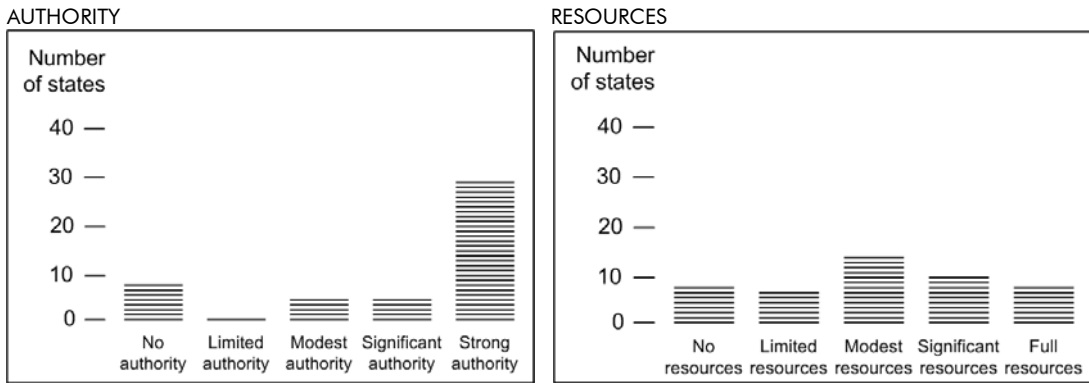
Source questions: A3.10a, A3.10r

Fig. 13 ARM approves records retention and disposition schedules for judicial branch



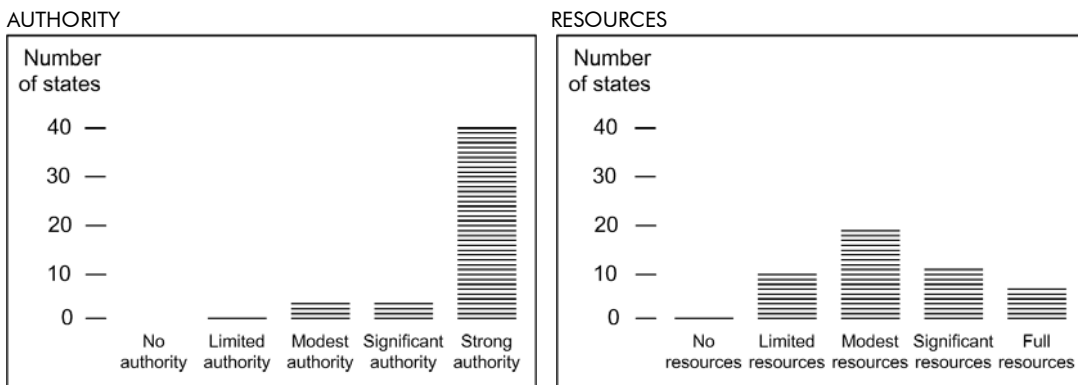
Source questions: A3.17a, A3.17r

Fig. 14 ARM approves records retention and disposition schedules for local governments



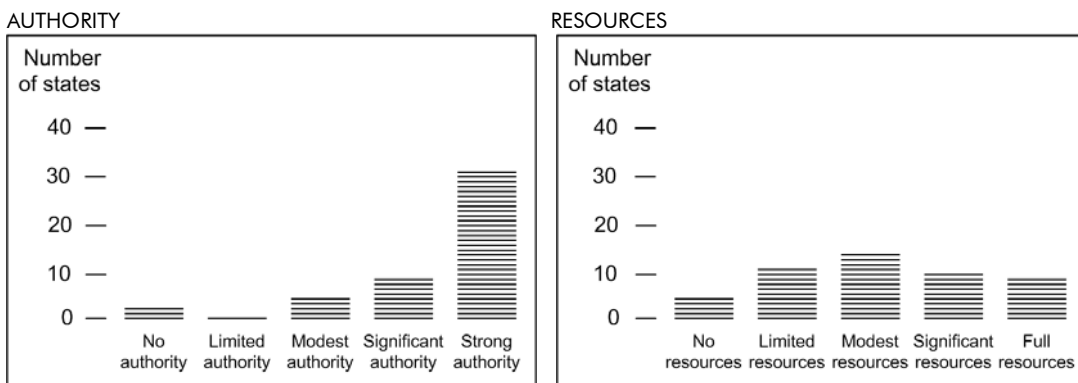
Source questions: A3.26a, A3.26r

Fig. 15 ARM provides consultation and training on records-related practices & procedures for state agencies



Source questions: A3.3a, A3.3r

Fig. 16 ARM provides consultation and training on records-related practices & procedures for local governments

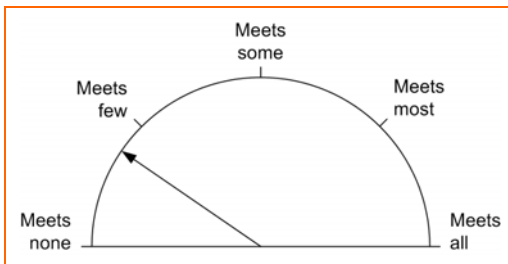


Source questions: A3.27a, A3.27r

A4. Participation of archives and records management agencies in state's emergency planning and preparedness activities and access to resources for emergency preparedness and response.

Goal: Archives and records personnel fully participate in the development and implementation of overall state emergency preparedness and response procedures as they relate to potential threats or damage to records and the collections of cultural institutions. The state archives and records management agency has access to the resources necessary to perform these activities and to deliver these services. Likewise, the state archives and records management agency or some other state agency(ies) has authority for and provides advice regarding the management of records and collections of cultural organizations in the state.

Collective status of participation of ARM programs in states' emergency planning and preparedness



Source questions: A4.1-A4.12. Ratio average/possible: 0.194

There is no greater area of weakness in records-related preparedness than in the involvement of archivists and records managers in state emergency preparedness activities. This has not always been the case. Nearly fifty years ago, the Cold War and the threat of nuclear attack prompted Civil Defense programs in federal, state, and local governments to focus significant attention on identifying and protecting records essential to the continuity of state and local governments.⁶ Archivists and records managers drafted the manuals used at the time and a number of states formed committees on essential records preservation that included records specialists. A number of states passed legislation requiring agencies to make provisions for securing essential records that is still in place.

Somehow, in the intervening decades, recognition of the importance of records in emergency planning was forgotten.

⁶ U.S. Federal Civil Defense Administration, *Preservation of Records Essential to Continuity of State and Local Government*. May 1958.

The current version of the National Response Plan, last updated in 2003, does not include records as a vital asset. As a result, when Hurricane Katrina hit the Gulf states in 2005, archivists and records managers were not immediately allowed to re-enter the damaged region to salvage important public records. In some cases, they could not reach the affected facilities for prolonged periods of time. FEMA and other first responders, following the priorities explicitly stated in the National Response Plan, had no specific obligation to attend to damaged or threatened records and no guidance in place for doing so.

Progress has already been made to rectify this gap. The National Archives has been successful in adding “records” to the definition of “Assets” in the National Information Infrastructure Plan (NIIP). The definition now reads:

***Assets.** Contracts, facilities, property, electronic and non-electronic records and documents, unobligated or unexpended balances of appropriations, and other funds or resources (other than personnel).*

In addition, the National Response Plan is currently being updated and we are optimistic that records will be explicitly included as appropriate. Because most, if not all, state emergency plans are grounded in federal policies and procedures, this recognition by the U.S. government of the importance of records will make it easier for state officials to assert the value of records in their own jurisdictions.

Another positive development came when the FEMA Plans Division enhanced coverage of essential records in its Continuity of Operations (COOP) training program for federal, state, and local officials. It asked the National Archives to prepare a section on essential records for FEMA’s training program and invited additional input from the Council of State Archivists to ensure that state and local needs were addressed appropriately. During 2006, FEMA also invited state archivists and records managers to attend their COOP training sessions in several states. This is just the beginning of what could develop into an important ongoing relationship to ensure that government officials at the state and local levels develop effective COOP plans for their agencies and include essential records in those plans.

Based on the Assessments, state archives and records management programs have a long way to go to achieve full participation in each state’s emergency planning process. More than half of the ARM programs report having no involvement in revisions to the state

emergency operations plan, and only four are formally designated as participants in the process (figure 17).

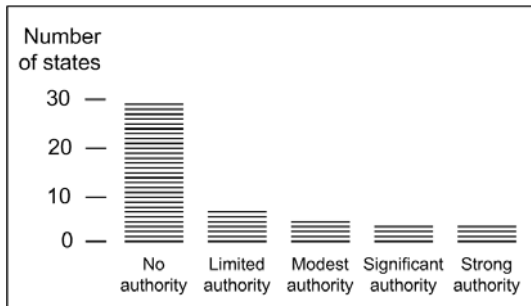
The picture for ARM participation in establishing criteria for essential records is not much better. Just six states formally designate the records experts in the state ARM programs as part of this process, while half exclude them all together (figure 18).

Findings:

9. In the decades since the Cold War, the recognition of the importance of identifying and protecting records essential to the continuity of government has diminished in the emergency planning process.
10. More than half of the ARM programs have no involvement in revisions to the state emergency operations plan and only four are formally designated as participants in the process.

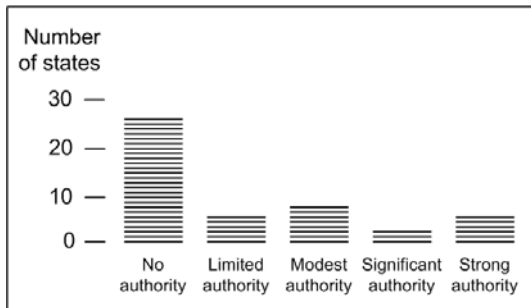
A4. Selected data

Fig. 17 ARM participation in revisions of the state emergency operations plan



Source questions: A4.1

Fig. 18 ARM participation in establishing criteria for which records are to be considered "essential" for continuity of government and business operations



Source questions: A4.5

B. Records-related preparedness in state government agencies and local governments

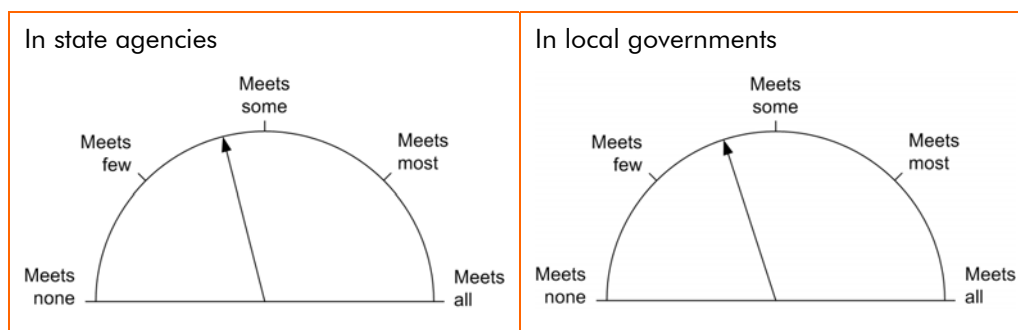
In order to protect essential records or any other important asset, state and local governments must know where they are, what they contain, and how they are stored. Governments must also recognize their relative importance so responders know what to rescue and what to leave behind if tough choices have to be made in a crisis.

The routine process of scheduling records, described briefly in Section A3, fulfills all of these requirements. It is part of the sound records management program that every state and local government should have in place. Comprehensive schedules address COOP planning and identify essential records. The gold standard for records scheduling uses geographic information systems (GIS) technology to map the locations of all records storage facilities so they can be monitored closely during an emergency and accessed quickly by responders after the event.

B1. Knowledge about the location, type, and extent of records held in state and local government agencies statewide.

Goal: All state and local government agencies have sound records management programs, with Continuity of Operations (COOP) plans and comprehensive records disposition schedules. Up-to-date and comprehensive records schedules that provide information on location, informational contents, long-term disposition, volume, and media make it easier to prioritize salvage efforts and ensure that the most important records are attended to first.

Collective status of knowledge about records



Source questions: state agencies, B1.1-B1.6; local governments, B1.7-B1.13.
Ratio average/possible: state agencies, 0.424; local governments, 0.399.

According to the results of the Assessments, most state executive branch agencies currently have records schedules in place, but too often they are not up-to-date. The status of records schedules for the legislative and judicial branches is somewhat weaker than for the executive branch, but only slightly. Of concern also are the three ARM programs who reported that they did not know the status of records scheduling in the executive branch and the four that did not know the status in the legislative or judicial branches. On the positive side, a few states are already beginning to implement GIS technology and are including GIS data in their records schedules (figure 19).

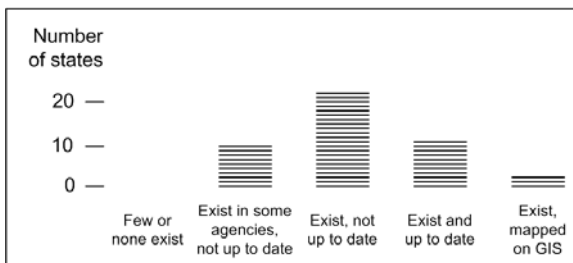
The picture for county records is about the same, but four ARMs reported having virtually no records schedules in place for county records. Another four ARM programs reported not knowing the status of records scheduling for counties in their states (figure 20).

Findings:

- 11 Records schedules, a core component of sound records management programs, have proven to be valuable tools for knowing the content, format, and location of government records during emergencies.
12. A few states are already implementing GIS technology and including it in their records schedules, a trend that promises to speed response to records-related disasters.

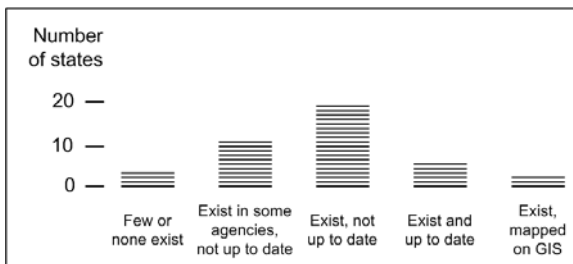
B1. Selected data

Fig. 19 Existence of up-to-date comprehensive records schedules in the executive branch



Source questions: B1.1

Fig. 20 Existence of up-to-date comprehensive records schedules in counties

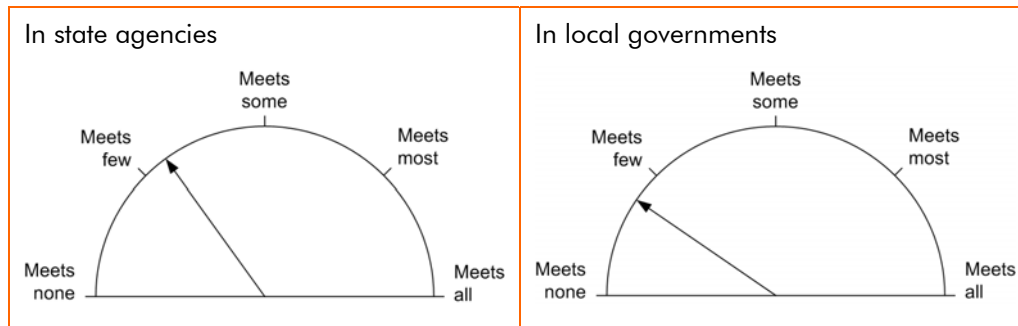


Source questions: B1.7

B2. Integration of records in Continuity of Operations (COOP) plans.

Goal: All state and local agencies have Continuity of Operations (COOP) plans in place that incorporate the protection of records essential to the restoration of business.

Collective status for integrating records in COOP plans



Source questions: state agencies, B2.1-B2.6; local governments, B2.7-B2.13.
Ratios average/possible: state agencies, 0.299; local governments, 0.188.

The Assessment asked state archives and records management programs to rate the status of integration of records in COOP planning by state and local government agencies according to the following criteria:

- 4: These agencies are required to have Continuity of Operations plans. Each agency's COOP must include specific procedures for protecting and recovering records essential to the restoration of business following an emergency that have been developed with guidance from the ARM agency.
- 3: These agencies are required to have Continuity of Operations plans. Each agency's COOP must include specific procedures for protecting and recovering records essential to the restoration of business following an emergency, but the ARM agency has not been consulted in developing these procedures.
- 2: These agencies are required to have Continuity of Operations plans, but there are currently no provisions requiring them to include specific procedures for protecting and recovering records essential to the restoration of business following an emergency.
- 1: These agencies are encouraged but not required to have Continuity of Operations plans. Little or no planning has been done relative to protecting or recovering records.
- 0: There are no COOP requirements for these agencies, or ARM employees do not know what their state government's COOP requirements are.

Among state agencies, those in the executive branch appear to be adopting COOP measures at a higher rate than in the other two branches (figure 21). About two-thirds of the

existing COOPs do not appear to address records, however. There are still significant

What worked . . .

Perhaps because it is so susceptible to hurricanes, Florida may be better prepared for records-related disasters than any other state. By July 1, 2003, every state agency was required by Chapter 252, *Florida Statutes* to have a disaster preparedness plan in place. These plans must coordinate with the statewide emergency management plan.

The same statute requires every county to have both an emergency management agency and a preparedness plan. The county plans must also coordinate and be consistent with the state plan. Every municipality is encouraged, by statute, to have both an agency and a plan, although it is not required.

All of the disaster plans are required to contain a section dealing with the identification and protection of essential records and databases. The agencies are also required to schedule tests, training, and exercises.

numbers of states with few or no COOPs or in which the state ARM simply does not know whether COOP requirements exist. In either case, essential records are probably not addressed adequately, leaving the states vulnerable to major losses of records and great difficulty in reestablishing business operations in the event of a natural disaster or other catastrophe.

COOP plans in the legislative and judicial branches are even less likely to incorporate provisions for records (figures 22 and 23).

COOP planning for records is even more of a concern in counties and municipalities. In only two states do the ARMs participate directly in COOP development for counties, and just one extends to municipalities (figures 24 and 25).

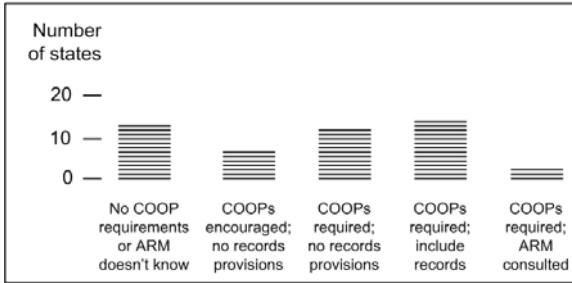
Findings:

13. States are vulnerable to major losses of records and great difficulty in reestablishing business operations in the event of a natural disaster or other catastrophe because:

- More than two-thirds of the existing COOPs in executive, legislative, and judicial branch agencies do not address records;
- In only two states do ARMs participate directly in COOP development for counties; and
- In only one state do ARMs participate directly in COOP development for major metropolitan areas.

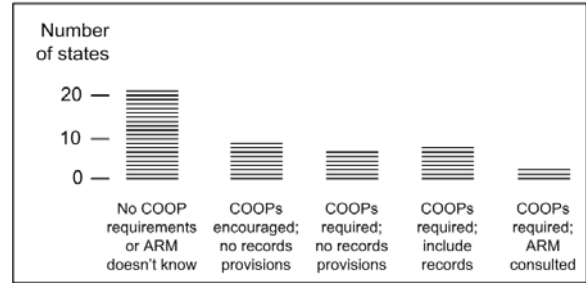
B2. Selected data

Fig. 21 Integration of records in COOP plans in the executive branch



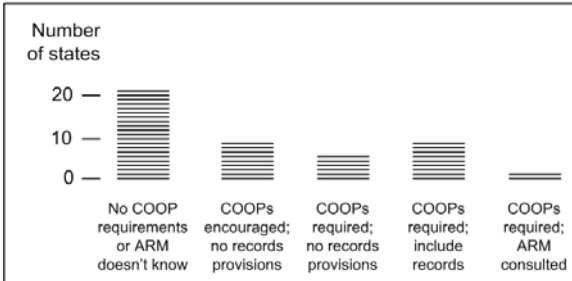
Source questions: B2.1

Fig. 22 Integration of records in COOP plans in the legislative branch



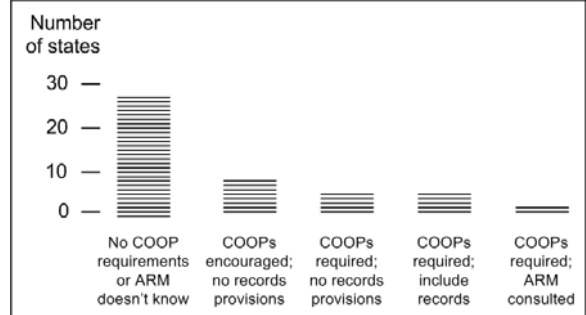
Source questions: B2.2

Fig. 23 Integration of records in COOP plans in the judicial branch



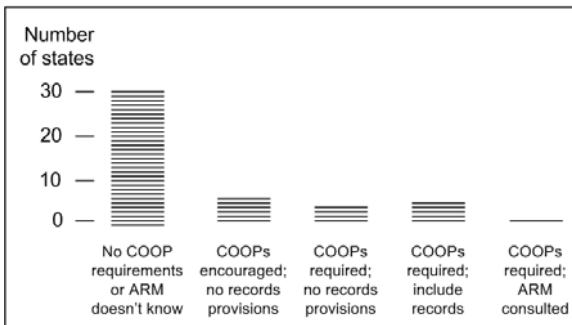
Source questions: B2.3

Fig. 24 Integration of records in COOP plans in counties



Source questions: B2.7

Fig. 25 Integration of records in COOP plans in major metropolitan areas



Source questions: B2.8

B3. Security storage.

Goal: Copies of certain records, especially those identified as vital, are stored in secure off-site locations. Such security storage may be provided by the state archives or another source. If another provider is involved, the state archives maintains current contact information and location for these facilities and knows which agencies are served by each provider.

Collective status of the availability of security storage



Source questions: state agencies, B3.1-B3.6; local governments, B3.7-B3.13. Ratios average/possible: state microfilm, 0.654; local government microfilm, 0.610; state imaging files, 0.399; local government imaging files, 0.377; state electronic records, 0.437; local government electronic records, 0.319.

One of the core principles of COOP planning for essential records is redundancy, i.e., storing duplicates of the most critical records off site, preferably at considerable distance from the original copies. State archives and records management programs have been working with state and local government agencies for years to create and store security microfilm copies of their most important records, often in cooperation with private volunteer programs,

such as the microfilming and scanning program of the Church of Jesus Christ of the Latter-day Saints. Provisions for security storage of microfilm appear to be generally available in most jurisdictions (figures 26-27).

Now that so many important records are being created and stored in digital form—as image files or in other computer-based electronic records—it is important that similar provisions be implemented for electronic records that have been deemed to have critical value. Redundancy of electronic records proved critical to recovery following the 2005 hurricanes, but the Assessments

What worked . . .
 When the Alfred P. Murrah Federal Building in Oklahoma City was bombed on April 19, 1995, the Federal Employees Credit Union was the only federal organization wholly located in the destroyed structure. All of FECU’s records for 15,000 members worldwide were destroyed, but FECU reopened just forty-eight hours later, largely because of a sound and flexible disaster recovery strategy. FECU had stored backups of their digital records off-site and kept them up-to-date. The off-site storage facility shipped copies of the data to a hot-site in Pennsylvania, and FECU was up and running with amazing speed—all because of a well-planned and actively managed disaster recovery plan.

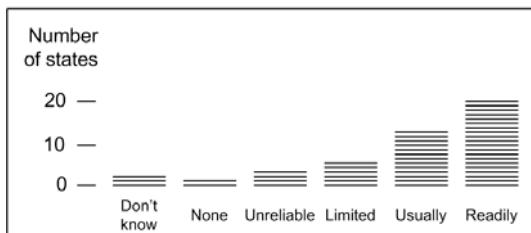
indicate that security storage for these kinds of records is uneven at the state level and relatively rare for local governments (figures 26-29).

Findings:

14. **Redundancy—storing copies of essential records off-site—is recognized as a critical and effective practice in emergency planning. State archives and records management programs have been working with state and local government agencies for years to create and store security microfilm copies of their most important records. Similar provisions do not always exist for electronic records.**

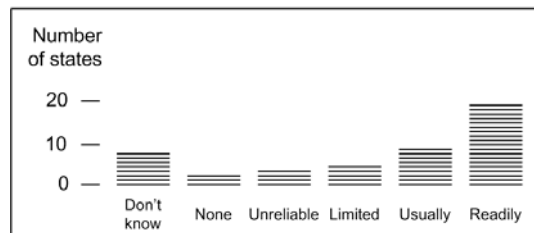
B3. Selected data

Fig. 26 Security storage available for microfilm from executive branch agencies



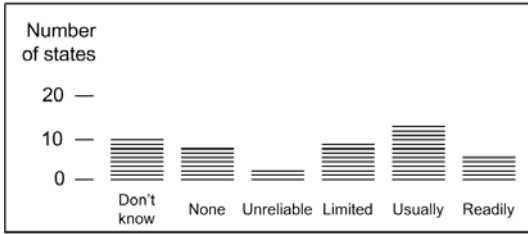
Source questions: B3.1m

Fig. 27 Security storage available for microfilm from counties/parishes



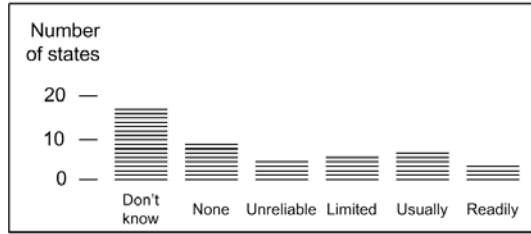
Source questions: B3.7m

Fig. 28 Security storage available for imaging files from executive branch agencies



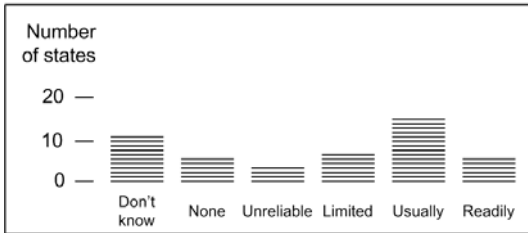
Source questions: B3.1i

Fig. 29 Security storage available for imaging files from counties/parishes



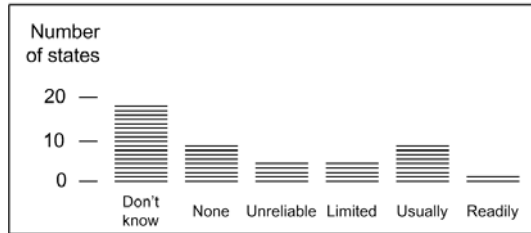
Source questions: B3.7i

Fig. 30 Security storage available for electronic records from executive branch agencies



Source questions: B3.1e

Fig. 31 Security storage available for electronic records from counties/parishes

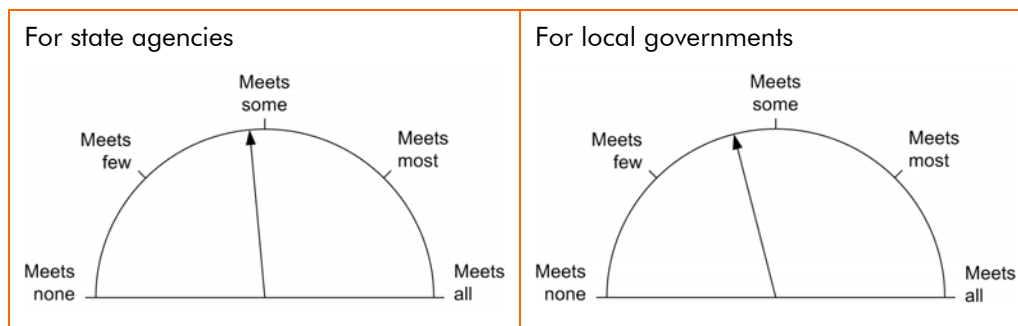


Source questions: B3.7e

B4. Records-related emergency response and recovery services available to state and local government agencies.

Goal: Services required for emergency planning and recovery for archives and records are available to recordkeepers and repositories within the state. In many states, the state archives and records management agency takes the lead role in delivering these services. If the state ARM does not have the authority or capacity to do so, another entity provides these services.

Collective status of the availability of records-related emergency response and recovery services



Source questions: state agencies, B4.1-B4.10; local governments, B4.11-B4.120.
Ratios average/possible: state, 0.467; local governments, 0.420.

When disasters occur, it is common practice to have a central point of coordination for response to encourage efficient use of resources, prevent duplication of effort, and deliver expert services as quickly as possible. One of the priorities identified during this Assessment process is to establish a seat in the response center for records experts from the state archives and records management programs (ARMs).

Their staff members have extensive experience and training in the proper management of records and knowledge about how to salvage damaged records in all media. Archivists and records managers can provide invaluable support for efforts to secure essential records and reestablish government operations.

Centralized coordination for emergency response related to records held by state agencies is available for about one-third of the states (figure 32). It is less common for records held in local governments (figure 33).

What worked . . .

A fire that swept through the Arlington, Virginia, County Circuit Court Clerk's office in 1991 demonstrates the value of security microfilm. While most of the case-file records were greatly damaged—making them difficult or impossible to recover—the deed records that were accessed by procedural microfilm were replaced within a matter of days through the expedited duplication of the camera master on file at the Library of Virginia.

When records are damaged by water or fire, they require conservation services to restore them to a usable state. In response to questions A3.7 and A3.14, only eighteen state archives and records management programs reported that they provide these services for state agencies, and only sixteen reported providing them for local governments. It does not appear that these services are readily or usually available in most states from other sources (figures 34 and 35).

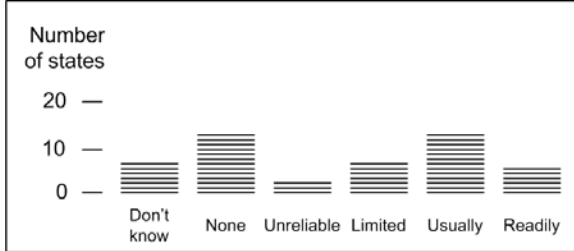
When paper records are soaked with water during hurricanes or floods, freezing them as quickly as possible not only stabilizes the situation but prevents the growth of mold that can harm both the records and the people handling them. It does not appear that there is ready access to freezer space in most states (figures 36 and 37).

Findings:

15. Centralized coordination for emergency response related to records held by state agencies is available in about one-third of the states. It is less common for records held in local governments.
16. Only 18 state archives and records management programs provide conservation/disaster recovery services for state agencies and only 16 for local governments. It does not appear that these services are readily available in most states from private sources either.
17. Most states do not have ready access to freezer space for freezing wet records, an essential process for stabilizing paper following a water-related disaster.

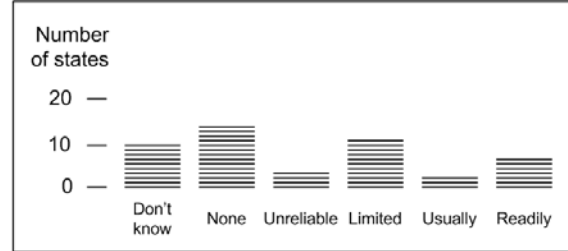
B4. Selected data

Fig. 32 Availability of centralized coordination for records-related response efforts for state agencies



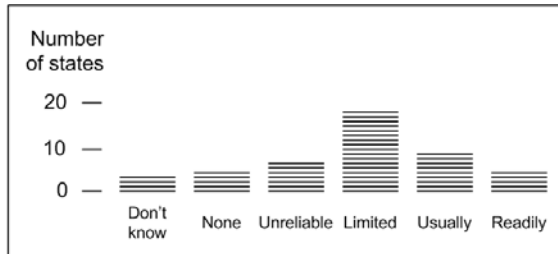
Source questions: state agencies, B4.1

Fig. 33 Availability of centralized coordination for records-related response efforts for local governments



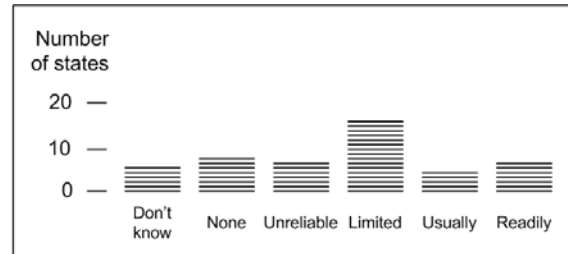
Source questions: local governments, B4.11

Fig. 34 Availability of lab-based conservation services for state agencies



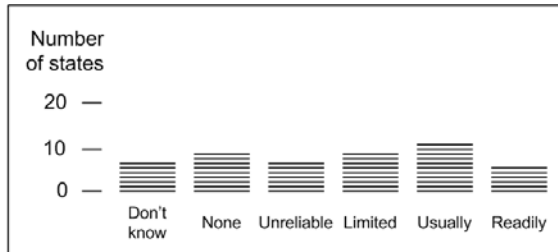
Source questions: state agencies, B4.3

Fig. 35 Availability of lab-based conservation services for local governments



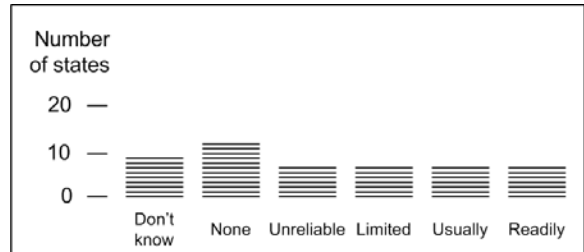
Source questions: local governments, B4.13

Fig. 36 Availability of freezers or cold storage for state agencies



Source questions: state agencies, B4.4

Fig. 37 Availability of freezers or cold storage for local governments

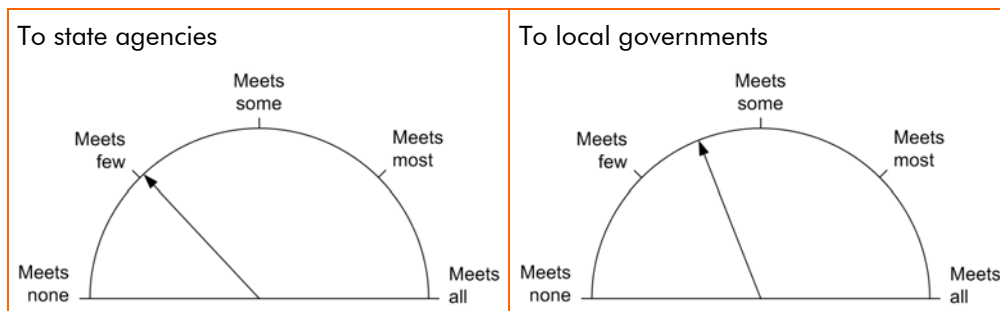


Source questions: local governments, B4.14

B5. Education and training concerning protection and salvage of government records.

Goal: State and local government agencies and other key organizations are fully aware of records-related concerns as they apply to emergency planning and receive appropriate training about how to respond when government records are threatened or damaged. The state archives and records agency may take primary responsibility for delivering this training or may share responsibility with one or more other public or private organizations.

Collective status of education and training concerning protection and salvage of government records provided



Source questions: state agencies, B5.1-B5.11; local governments, B5.12-B5.117.
Ratios average/possible: state, 0.255; local governments, 0.379.

The responses in this section of the Assessment were striking in that so many ARM programs simply did not know the status of existing emergency training programs (figures 38 and 39). The Assessment listed ten categories of state agencies and five categories of local government agencies. For each, many ARMs said they could not judge whether emergency training programs are conducted for those agencies and, if such training exists, whether it addresses records-related concerns.

This lack of knowledge is symptomatic of the overall lack of involvement in emergency planning experienced by too many state archives and records management programs. If drawn into the process, they would have much to contribute, but if excluded they have no way to share their special expertise with state and local agencies.

When these concerns are laid next to the deficits noted in section A3 about the state ARMs' own capacities for delivering training, it becomes even more understandable why it is

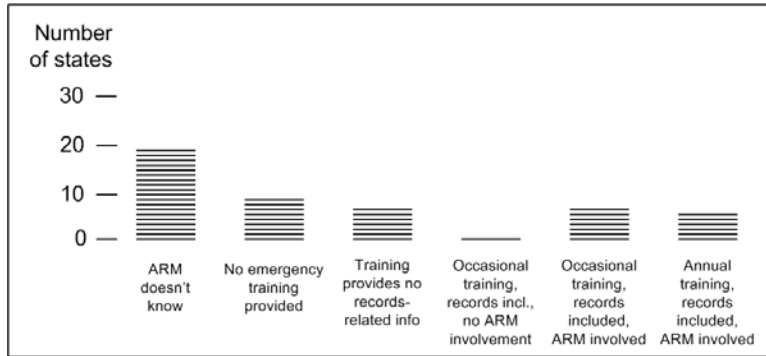
such a high priority for these agencies to provide education about how to manage records before a disaster occurs and how to secure records once they are threatened or damaged.

Findings:

- 18. ARMs are rarely included in emergency planning training. The majority of ARMs said they could not judge whether emergency training programs are conducted for state and local government agencies, nor did they know whether existing programs address records-related concerns.

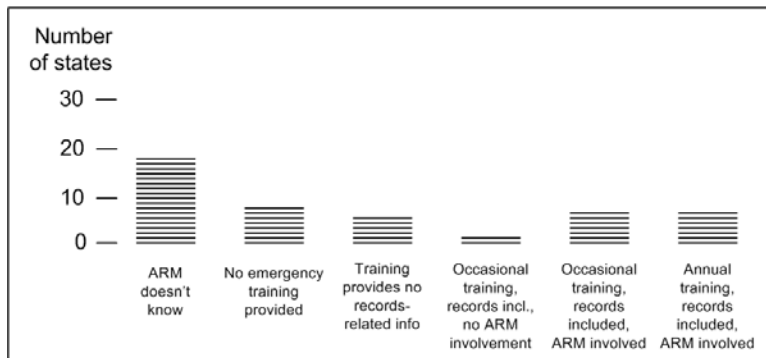
B5. Selected data

Fig. 38 Availability of centralized coordination for records-related response efforts for state agencies



Source questions: state agencies, B5.6

Fig. 39 Availability of centralized coordination for records-related response efforts for state agencies



Source questions: state agencies, B5.12

C. Emergency planning and response assistance available to nongovernmental archival repositories and other cultural organizations statewide

Most of this report has focused on the first priority of the state archives and records management programs: the management and protection of public records in state and local governments. It is important to recognize that state ARMs also have a leadership and public service role to play in helping nongovernmental institutions and organizations protect their archives and records. Many of these “privately” held records are critical to the public good. Citizens rely on:

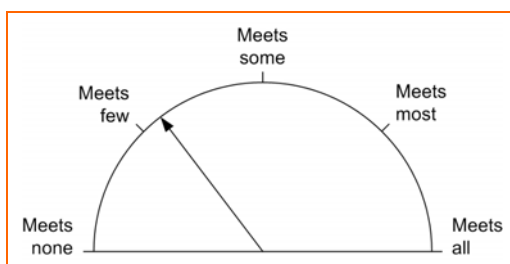
- Colleges and universities to verify educational achievement by supplying transcripts and other records that establish proof of degrees held, honors awarded, and scholarships paid;
- Churches, synagogues, mosques, and other religious institutions to maintain records of some of personal events such as baptisms and marriages; and
- Historical societies to preserve evidence of the cultural heritage of our regions, communities, and neighborhoods.

The final section of the Assessment asked what planning and response services are available to nongovernmental archival repositories and other cultural organizations statewide. These services might be provided by the state ARM or by other public or private entities.

C1. Emergency response and recovery services available to nongovernmental organizations and institutions.

Goal: Services required for emergency planning and recovery for archives and records are available to all recordkeepers and repositories within the state, both public and private. In some states, the state archives and records management agency takes the lead role in delivering these services. If it does not have the authority or capacity to do so, another entity provides these services.

Collective status of the availability of records-related emergency response and recovery services for nongovernmental organizations and institutions



Source questions: C1.1-C1.11. Ratio average/possible: 0.286.

The Assessments indicate that nongovernmental entities, including archival repositories and cultural institutions, are even less likely than government agencies to have services available to respond to emergencies that threaten or damage records.

As noted in Section B4, central coordination is a well-accepted and necessary practice for any kind of emergency response. Coordination of effort for salvaging records in nongovernmental archival repositories and other cultural organizations is just as important as it is for those in government agencies. Unfortunately, there is little or no such centralized coordination available in most states (figure 40).

Section B4 also describes the importance of access to conservation services when records are damaged. Only eleven state ARMs indicated in their responses to question A3.36 that they themselves provide conservation service for nongovernmental entities. And, in C1.3, few states indicated that there are such conservation services readily available from any source (figure 41).

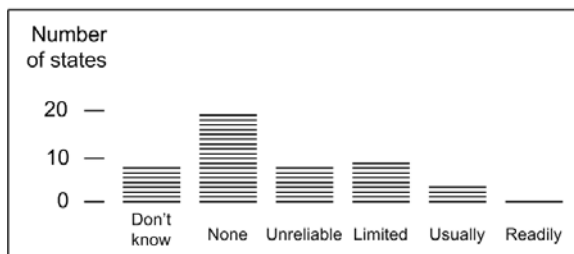
As noted earlier, the availability of cold storage for stabilizing damp or wet records is another essential part of the records salvage process. Again, these services may not be easy for nongovernmental entities to find in most states (figure 42).

Findings:

19. Nongovernmental entities, including archival repositories and cultural institutions, are less likely than government agencies to have services available that are necessary for effective emergency response.
20. There is little or no centralized coordination of disaster response available in most states for nongovernmental archives.
21. Only 11 state archives provide conservation services to nongovernmental entities. Relatively few states have ready access to these services from other providers.

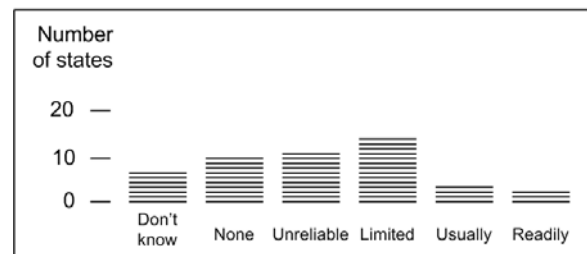
C1. Selected data

Fig. 40 Availability of centralized coordination for records-related response efforts for nongovernmental archival repositories and other cultural organizations



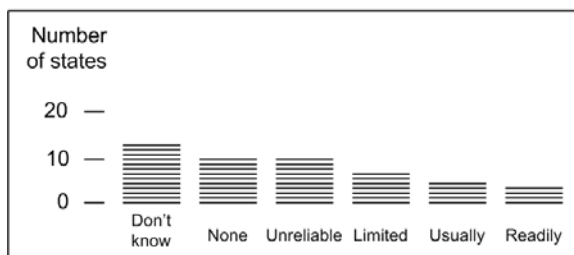
Source questions: state agencies, C1.1

Fig. 41 Availability of lab-based conservation services for nongovernmental archival repositories and other cultural organizations



Source questions: state agencies, C1.3

Fig. 42 Availability of freezers or cold storage for nongovernmental archival repositories and other cultural organizations

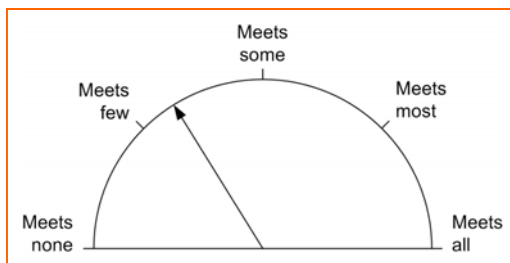


Source questions: state agencies, C1.5

C2. Education and training concerning protection and salvage of archives and records held outside of government

Goal: Training in disaster planning and preparation is readily available to archivists and records managers working in nongovernmental institutions and organizations. The state archives and records agency may take primary responsibility for delivering this training or may share responsibility with one or more other public or private organizations.

Collective status of the availability of records-related education and training for nongovernmental organizations and institutions



Source questions: C2.1-C2.10. Ratio average/possible: 0.308.

One key to increasing preparedness is to provide training to those who care for records and archives. There are many entities, public and private, that offer such training to archival repositories, libraries, museums, and others, but they are spread thin. State archives and records management programs applaud the work of organizations like Heritage Preservation, the regional conservation centers, and other preservation organizations in developing and delivering this important training.

Accessibility and affordability of training is an issue that challenges archives of all kinds, no matter what the topic. The problems that archivists and records managers have obtaining training extend to that designed to enhance emergency preparedness. The factors most often cited as barriers to continuing education of any kind are limited funding, lack of offerings nearby, and an inability to travel either because of insufficient funding or no staff to cover absent employees.

In the Assessments, only a few states report that emergency training for nongovernmental entities is readily available within their borders (figures 43 and 44). State archives could help improve this situation and bring training to both government agencies and nongovernmental entities nationwide, either by using their own staff or by partnering with organizations that

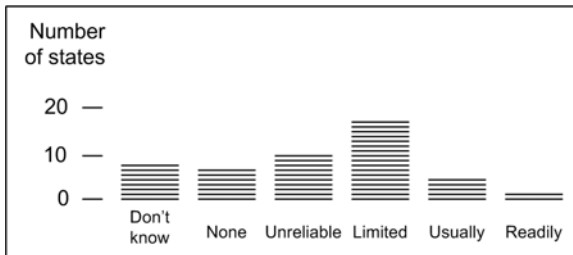
have already developed these programs. Only eleven state archives and records management programs reported in question A3.36 that they are currently active in delivering training to nongovernmental entities. At the same time, many asserted that such training was a priority.

Findings:

- 22. Only 11 state ARMs are currently active in delivering training in disaster preparedness to nongovernmental entities.

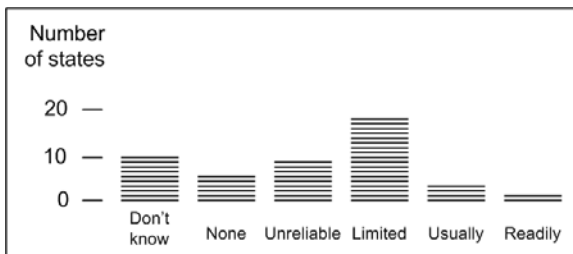
C2. Selected data

Fig. 43 Availability of records-related emergency training for nongovernmental archival repositories



Source questions: state agencies, C2.1

Fig. 44 Availability of records-related emergency training for libraries that hold archival records

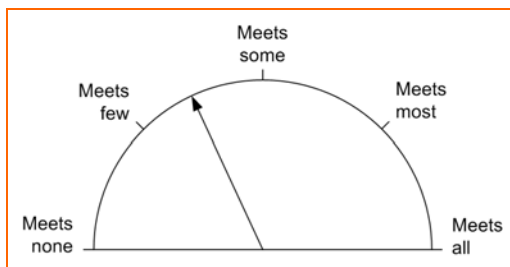


Source questions: state agencies, C2.3

C3. Knowledge about the location, type, and extent of records held in nongovernmental archival repositories and cultural institutions statewide

Goal: The state has compiled and maintains directories of organizations within its borders that have significant archival holdings. For each repository, these directories identify the location of the facility, contact information for the individuals in charge, and the volume and types of records and/or collections held in these facilities. Compilation and maintenance of these directories may be a function managed primarily by the state archives, or there may be multiple agencies and organizations involved, each one focusing on a different sector of recordkeepers. If the functions are distributed, the organizations coordinate the maintenance of these directories to ensure that they are both compatible and comprehensive. Having this information readily available will make it much easier to respond to emergencies that threaten these institutions.

Collective status of the knowledge about records held by nongovernmental organizations and institutions



Source questions: C3.1-C3.6. Ratio average/possible 0.357.

A number of states have compiled directories of archival repositories, both public and private, that list their location, describe the types of records they hold, and provide contact information for staff and volunteers who manage the facility. These directories fulfill several important functions on a daily basis, allowing researchers easier access to collections and facilitating collaboration among archival repositories on issues of common concern.

In an emergency, such directories take on an even more important role. They are a vital resource in helping responders pinpoint locations of records

What worked . . .

The day after the World Trade Center attack, the New York State Archives used its statewide directory to identify the seventy-three organizations in the “hot zone” affected by the collapse of buildings. This allowed staff to make contact with repositories regarding collection losses or damage by dust/debris/water and then to deploy assistance as needed. Despite communications challenges resulting from the attack, the Archives was able to ascertain that colleagues had survived the attack and could work with colleagues in the New York archival community to identify and address the collections issues.

whose informational or cultural content is irreplaceable and allow them to quickly locate facilities and the staff responsible for them.

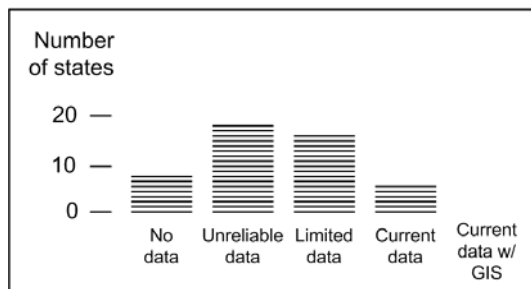
Unfortunately, most directories compiled in the states are not up to date. Assessments from many of the state ARMs indicated that rectifying this situation was a priority. Several are already considering taking the process a step further and plan to link GIS location data to the facility descriptions.

Findings:

23. Only a few states have up-to-date information about nongovernmental repositories holding records with cultural or informational significance, severely hampering the ability to locate and respond to emergencies that threaten them.

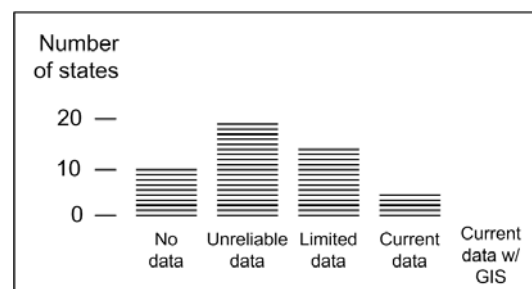
C3. Selected data

Fig. 45 Knowledge about records held in nongovernmental archival repositories



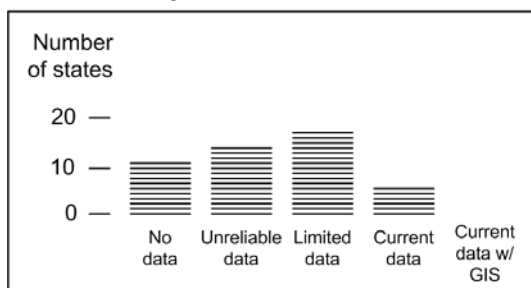
Source questions: state agencies, C3.1

Fig. 46 Knowledge about records held in museums and libraries holding archival collections



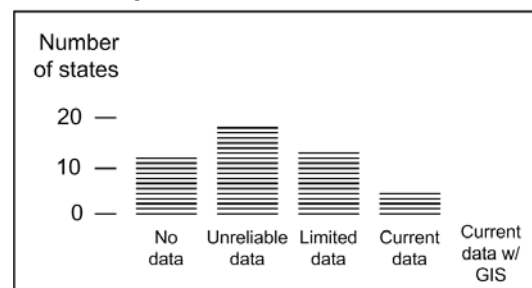
Source questions: state agencies, C3.2, C3.3

Fig. 47 Knowledge about records held in historical societies holding archival collections



Source questions: state agencies, C3.4

Fig. 48 Knowledge about records held by historical sites holding archival collections



Source questions: state agencies, C3.5

Safeguarding a Nation's Identity

Appendix A

A Snapshot of Records Disasters

The 2005 hurricanes focused the attention of state archivists and records managers on the vulnerability of records and the broad impact their loss can have on governments, communities, and individual citizens. While the effects of the hurricanes were devastating, disasters come in many shapes and sizes and affect every state in the union.

Place: University of Hawaii at Manoa
Date: October 2004
Disaster: Flash Flood

The power of the flash flood that hit the library October 30, 2004, forced water and mud into map drawers and even compromised the seals of encapsulated maps. Staff had a disaster plan in place, which enabled them to respond quickly to prevent mold growth (a potential costly secondary disaster in Hawaii's environment). Maps were removed in their drawers and stacked in freezers to stabilize them until treatment options could be determined.



University of Hawaii at Manoa Library

The collections in the main library building (including archival materials in the Asia, Hawaiian, and Pacific collections) were without electricity or air-conditioning for several months. Generators were brought in to stabilize collections by dehumidification and circulation of cool, dry air until electrical service was resumed.

Place: Contra Costa County, California
Date: September 1995
Disaster: Arson

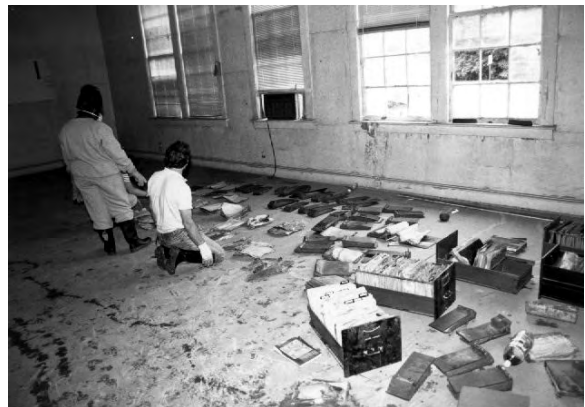
This fire was the culmination of three arson fires directed at public buildings in three cities over a two-week period. The basement files room was heavily impacted, with extensive fire and water damage to records, many of which had permanent value.



NARA—Pacific Region

Place: Princeville, North Carolina
Date: September 1999
Disaster: Hurricane Floyd

The main places that sustained records damage after Hurricane Floyd were the clerk of court's office in Edgecombe County and the city hall in Princeville. Both victims of the rising Tar River, the basement records vault of the courthouse and the entire city of Princeville were destroyed by the flood waters. There is no accurate estimate of the volume of records destroyed in the courthouse or in Princeville. A guess would be over 2,000 cubic feet of records and fifty volumes. Fortunately, many of the court records had been microfilmed earlier. Princeville city officials, however, struggled to locate key series, such as payroll records, that were needed to continue vital town functions.



North Carolina State Archives

Place: New York City, New York
Date: September 2001
Disaster: Terrorist Attack

According to the United States Search and Rescue Task Force, paper scattered by the attacks on the World Trade Towers stood more than half a foot deep in places around the site. Here paper lies among the headstones at Trinity Church Cemetery in lower Manhattan. Many federal, state, and local agencies were located in the buildings.



Booher, FEMA News

Place: Biloxi, Mississippi
Date: September 2005
Disaster: Hurricanes Katrina and Rita

Some of the effects of Katrina and Rita were immediately obvious; others revealed themselves well after the initial storms. These damaged legal agreements at Beauvoir in Mississippi were probably in this condition immediately following the hurricanes. The mold shown in the next photo took time to develop.



Carmicheal, Georgia Archives

Place: Biloxi, Mississippi
Date: September 2005
Disaster: Mold

Mold blooms on Harrison County's minute books in the Local History Collection of the Biloxi Public Library weeks after Hurricanes Katrina and Rita.



Wiseman, Georgia Archives

Place: New Orleans, Louisiana
Date: November 2005
Disaster: Recovery Effort Damage

Lack of access to the stricken areas contributed to the loss. In some cases, records had swollen to the extent that they irrevocably damaged the file cabinets which had to be discarded. The debris clean-up further hampered the recovery effort.



Niederer, New Jersey State Archives

Place: New Orleans, Louisiana
Date: November 2005
Disaster: Data loss

Vital records are not always paper-based. The New Orleans District Attorney's Office sustained heavy damage to its desktop computers, many of which held victim assistance and economic crime records.



Fager, Louisiana State Archives

Place: Waveland, Mississippi
Date: September 2006
Disaster: Hurricane Katrina

After the 2005 hurricanes, all that is left of the Waveland City Hall are the steps, the cement slab, and the flagpole. The volumes from Waveland survived only because the city clerk had moved them to a bank vault the day before the storm hit. The bank was destroyed; the bank vault was the only surviving part of the structure.



Carmicheal, Georgia Archives

Place: Oneonta, New York
Date: June 2006
Disaster: Flash flooding

Muddy water pours through a window in the City Assessor's Office during a flash flood in Oneonta, New York. The water is flowing over a map file as it fills the room. Upstate New York was hit with a series of flash floods in the spring of 2006.



Arevalo, City Assessor, Oneonta NY

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Appendix B

Roles and Responsibilities of State Archives and Records Management Programs

In state governments, the state archives and records management programs generally hold primary responsibility for managing current records and determining which records deserve to be kept permanently. The size, authority, and organization of specific archives and records management programs in the states vary greatly nationwide, however.

All fifty states have a functioning repository for their archival records but two do not have a state records management program. In 36 states and the District of Columbia, the two programs are administered by the same agency. Twelve states have assigned the archives and the records management functions to separate parent agencies (table B1). The split programs have to work harder to communicate with one another and coordinate their work with state and local agencies to ensure that records are properly managed and preserved.

State archives and records management programs balance responsibilities in three sectors while discharging their records-related responsibilities. They must participate and have some measure of influence in all three areas—management/administration, information/communications, and culture/education—to have a fully developed and effective records program.

Table B1. Placement of archives and records functions in state government. Number of states in which archives and records management programs are assigned to each type of parent agency. Some parent agencies are nested within another, such as state libraries assigned to Secretaries of State, so the total number presented below exceeds 50.

Parent agency	Archives and Records Mgt	Archives only	Records Mgt only
Secretary of State	14	3	2
State historical society	2	8	0
State library agency	9	1	0
Dept of Administration	2	0	5
Cultural Resources	6	1	0
Independent agency	5	2	0
Education	4	1	0
General Services	1	0	3
Information Technology	1	0	2
Tourism	1	0	0

Administration and management

Agencies in this sector of state government focus on making government operate more effectively and efficiently, reducing costs, and saving time. State archives and records management programs, through improved recordkeeping practices, reduce the need for expensive office space, save time in locating and delivering desired information, and answer questions about precedents and intent in policy and legislative actions. Continuity of Operations (COOP) planning is an important function of this sector. Records professionals bring critical knowledge and experience to the identification and protection of essential records as part of COOP implementation.

Information and communication

Agencies in this sector of state government focus on connecting workers and the general public with the data and documentation they need for business and personal reasons. The archives and records program ensures that essential evidence is captured and retained over the long term. It also provides specialized reference and referral services to other government agencies and the general public.

Culture and education

Agencies in this sector of state government focus on enhancing the intellectual, social, and recreational life of citizens. The archives supplies rich resources to educators for supplementing curricula in K–12 and higher education settings, raises the public’s understanding and appreciation of the state’s history and provides documentation and tools for researching the history of localities, organizations, families, and individuals.

The constituents of each of these three functional areas are quite different, with widely varying degrees of expectations and needs. State archivists and their staffs face significant challenges in maintaining a responsible and responsive balance among them.

Role of Archivists and Records Managers in Information Resources Management

- Through statutory and other legal mandates, archivists and records managers are the responsible stewards of government records and information.
- Archivists and records managers establish the institutional memory of government by identifying and ensuring the preservation of records that document the work and impact of federal, state, and local governments.
- By identifying and preserving records that possess enduring value, archivists and records managers protect the legal and economic rights and interests of government, citizens, and private organizations.
- Archivists and records managers serve as a central resource to help citizens and government officials identify, locate, and make accessible government information.
- Archivists and records managers assist government agencies in guaranteeing open, timely, and unobstructed access to records and information deemed public, while simultaneously ensuring the security and confidentiality of records to which access is restricted by law.

NAGARA/University of Pittsburgh, Institute on Government Information Policy, *NAGARA Clearinghouse* (June 1996):1.

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Appendix C

How the Framework Was Developed

The CoSA Framework for Emergency Preparedness was designed to help each state archives realistically evaluate its own capacities and define the responsibilities it is able and willing to bear in responding to emergencies affecting records within its state. It is important that each state archives and records management program fully understands what could be expected of it during a disaster or other emergency in which records are threatened or damaged. Once it gains that understanding, it must either work to increase its own response capacity to meet those expectations or identify alternate sources of assistance that can be made available.

The Framework includes three components, the first two of which are complete.

- An **Assessment** designed to help state archives and records management programs assess their current disaster preparedness strengths and weaknesses. It also provides benchmarks by which each state can measure progress as it implements statewide planning and preparedness measures.
- A template for a **Pocket Response Plan (PRoP)** designed to hold key contact information and a condensed version of the agency's communication and action plans for the first 24–72 hours after a disaster. Folded to credit-card size and inserted in a Tyvek envelope, the PRoP can be carried easily in a staff member's wallet.
- CoSA will also develop a **Toolkit and Resource Directory** for addressing the concerns identified through the Assessments and locating contacts and suppliers while completing the preparedness document. The Toolkit will attempt to complement, not compete with, existing resources, guiding users to the best available information and tools for solving the problems they face.

While the CoSA Framework has helped state archives and records management programs evaluate their own readiness and ability to respond to emergency situations, it is important to remember that statewide emergency planning for archives and records management is not something that the state archives and records management program can or should do unilaterally. Comprehensive statewide emergency planning is by definition a group effort. It

requires a great deal of coordination and cooperation with other government agencies and private organizations at the local, state, and federal level.

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Appendix D

Components of an Emergency Plan for the State Archives and Records Management Program and for a Statewide Plan

This table serves two purposes. The column on the left provides a list of components that should be included in a comprehensive emergency response plan for a state archives and records management (ARM) agency. The right-hand column contains comparable components that should be addressed in a statewide emergency plan for archives and records. The latter are not the sole responsibility of the ARM program. ARM staff could use these components to discuss preparedness with other state, local, and private entities and to build collaborative approaches to their implementation.

Components of an ARM agency emergency plan	Comparable components of a statewide emergency plan
<p>Communications and control Assignments to coordinate: Overall response/recovery (command center) Communications among staff (telephone tree)</p> <p>Communications with emergency responders</p> <p>Media contacts Offers of assistance Volunteer labor Supplies Cash donations Other</p> <p>Other assignments: Floor monitors (to clear individuals from work and storage spaces) Recorders (to account for individuals exiting the building) Procedures for staff to report on locations and status, especially if evacuations are involved Procedures for using toll-free conference line to report on status and needs</p>	<p>Communications and control Assignments to coordinate: Overall statewide response Communications among managers and staff of organizations whose records are affected Communications with emergency responders Media contacts Offers of assistance Volunteer labor Supplies Cash donations Other</p> <p>Other assignments: Monitor/report on conditions in localities throughout the state Web-based information center Define responsibilities for creating, maintaining, controlling access Use for posting status of repositories, collections; locations of evacuated staff; need for supplies, volunteers Procedures for using toll-free conference line to report on status and needs</p>

Components of an ARM agency emergency plan	Comparable components of a "statewide" emergency plan
<p>Locations of vital records/salvage priorities Inventory of vital (essential) records, including title, location, retention, container ID, format, volume, location of security copy (if one exists) Salvage priorities, i.e., what records should be recovered first in an emergency</p>	<p>Locations of records/salvage priorities Directory of archives and records repositories Specific information on the types and extent of the records each repository holds Identification of specific vulnerabilities or collections warranting special attention</p>
<p>Contact information for Staff (home & cell phone numbers, distance from home to work, work/home email addresses) Parent agency staff State emergency management agency (SEMA) City/county emergency management agency (for localities anywhere in the state in which ARM stores records) Key contacts for EMAC (Emergency Management Assistance Compact) agreements to provide mutual aid across state lines Emergency responders Fire department Police State government security officers Ambulance/emergency medical technicians Hospitals, medical facilities Utility providers Electricity Water Gas Telephone Facilities managers/contractors Architect Electrician HVAC contractor Fire suppression, detection systems Security system Maintenance, janitorial, cleaning contractors Security guards Administrative Purchasing office/financial manager Insurance providers</p>	<p>Contact information for Directors and/or key staff of archival repositories statewide State emergency management agency (SEMA) City/county emergency management agencies statewide Statewide directories of vendors and service providers that can be based on information collected for use by ARM (and other major repositories in the state)</p>

Components of an ARM agency emergency plan	Comparable components of a "statewide" emergency plan
<p>Vendors/suppliers of emergency services and supplies [consider developing standing contracts for these]</p> <ul style="list-style-type: none"> Professional service providers <ul style="list-style-type: none"> Archivists and records managers Conservators and preservation specialists (for paper, books, magnetic media, videotape, film, photos, textiles, paintings, objects) Data recovery specialists Disaster recovery consultants Microfilming, digitization labs Appraisers Vendors <ul style="list-style-type: none"> Refrigeration facilities Freeze drying (vacuum, thermal) services Trucking and transportation firms Storage containers and supplies Archival and conservation supplies Cleaning supplies Wet/dry vacuums Generators Sump pumps Dehumidification Moisture, mold removal Exterminator, fumigation Locksmith Debris removal Temporary storage facilities with appropriate environmental controls and security 	<p>Vendors/suppliers</p> <p>Provide access to list compiled for state archives and records program's own plan</p> <p>Model contracts for emergency service providers and vendors can be developed from those used by ARM (and other major repositories in the state)</p> <p>Locations and capacities of temporary storage facilities with appropriate environmental controls and security identified by ARM can be shared with other repositories</p>
<p>Facilities</p> <ul style="list-style-type: none"> Evacuation plans, including provisions for employees and visitors with disabilities Location of and operating instructions/shutoffs for: <ul style="list-style-type: none"> Smoke detectors Fire alarms, extinguishers, hoses, sprinklers, and other suppression equipment Electrical systems <ul style="list-style-type: none"> Fuse boxes, outlets, light switches Water sources, pipes HVAC systems Elevators Location of <ul style="list-style-type: none"> Master keys Floor plans Hazardous materials Doorways Stairways Windows 	<p>Facilities</p> <p>Map of state showing locations of records repositories</p>

Components of an ARM agency emergency plan	Comparable components of a "statewide" emergency plan
<p>Supplies Locations of emergency supply caches, which should include:</p> <ul style="list-style-type: none"> Batteries (extra sets) Blotter paper Clear plastic sleeves Disaster plan Disposable camera Duct tape Dust masks Extension cords First aid kit Flashlight Gloves (heavy & surgical) Hard hat ID badges for recovery team Masking tape Paper clips, clothes pins Paper towels, newsprint Permanent markers Plastic sheeting, drop cloth Retention schedule Scissors Scrub brush and sponges String (large ball) Trash bags (large, heavy duty) Twist ties <p>Other suggestions:</p> <ul style="list-style-type: none"> Cutters for plastic sheeting Dry ice Emergency lighting Fungicides Milk crates Moisture meter for measuring temperature, humidity Mop and buckets Pallets Paper (freezer, waxed paper) Rope or clothesline for cordoning off the area Small hand tools and hardware supplies Wood Writing tablets 	<p>Supplies Locations of emergency supply caches throughout the state</p>

Components of an ARM agency emergency plan	Comparable components of a "statewide" emergency plan
<p>Procedures for immediate response to</p> <ul style="list-style-type: none"> Fire, smoke Water breaks/leaks Floods Hurricanes Tornadoes Other severe weather Earthquakes Bomb threats Explosions, including aircraft crashes in vicinity Medical emergencies involving employees or visitors Hostile confrontations Elevator emergencies Hackers, denial of service attacks (information systems, website) Contamination (chemical, biological, radioactive, gas leak) Terrorism (letter bombs, chemical, biological, radioactive attacks) 	<p>Procedures for immediate response</p> <p>Links to models for these procedures and/or guidance for developing them</p>
<p>Continuity of Operations (COOP) planning</p> <p>Long-term provisions for managing effects of</p> <ul style="list-style-type: none"> Disruptions in business operations Inability to access or use offices and/or storage areas Damage to or failure of information systems Quarantines preventing employees from coming to work 	<p>Continuity of Operations (COOP) planning</p> <p>Links to guidance for developing COOP plans</p>
<p>Drills, training, and awareness</p> <ul style="list-style-type: none"> Schedule for regular emergency drills Schedule for review of emergency response plan Training for new employees on ARM's emergency procedures Refresher courses for employees on ARM's emergency procedures 	<p>Training and awareness</p> <p>Links to training programs in emergency planning and preparedness</p> <p>Distribution of MayDay and other awareness information concerning records-related emergency planning</p>

Creating an Emergency Response Plan Using "dPlan"

If your ARM emergency plan is in need of substantial revision, you might consider using dPlan, the online disaster planning tool that has just been made available free of charge from the Northeast Document Conservation Center (NEDCC) and the Massachusetts Board of Library Commissioners.

It is available online at <http://www.dplan.org>.

While the table above outlines the most significant components of a state ARM emergency plan, dPlan goes into greater detail in almost every area. The only major exception is that dPlan does not provide explicit guidance for identifying vital (essential) records or addressing continuity of operations (COOP) plans.

Those state ARM programs who consider their plans to be well developed and up-to-date might still want to try the dPlan template as a way to check for components that are missing or incomplete.

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Appendix E

Participants in the CoSA Hurricane Conference, April 19–20, 2006

CoSA sponsored a “Hurricane Conference” at the Georgia Archives on April 18–20, 2006, which made it possible to test the Assessment and to discuss and receive feedback on all of the Framework components. Conference participants included staff from nine state archives located along the Gulf and South Atlantic coasts (Texas to Virginia) as well as representatives from federal and state agencies, preservation organizations, and professional associations.

In preparation for the conference, the nine state archives were asked to complete an early version of the Assessment and offer their critiques. The Framework development team used these results along with the suggestions received during the conference to modify the Assessment and asked five state archives to test the revision. The final version of the Assessment is a result of comments received from that second testing process.

CoSA would like to thank all of the Hurricane Conference participants for their role in helping to develop the Framework and in encouraging open channels of communication among all of the organizations who share a commitment to the protection and preservation of records.

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Participants in the April 2006 Hurricane Conference critiqued the Assessment and other components of CoSA's Framework for Emergency Preparedness. They identified Action Steps for the archives and records community as a whole and for the organizations they represented.

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Appendix F

Honor Roll of States

State Archives and Records Management Programs that have completed the first components of the CoSA Emergency Preparedness Framework

We are pleased to recognize the emergency preparedness efforts undertaken by the following state archives and records management programs. Each has completed the CoSA Assessment of Emergency Preparedness and compiled a Pocket Response Plan (PReP) or the equivalent.

All fifty states are represented in this list. The archives and records management programs in California, Maryland, and Wisconsin filed separately, resulting in a total of fifty-three reports.

Alabama	Alabama Department of Archives and History
Alaska	Alaska State Archives, Department of Education and Early Development (assessment in progress)
Arizona	Arizona State Library, Archives and Public Records
Arkansas	Arkansas History Commission
California	California State Archives, Office of the Secretary of State California Records and Information Management Program, Department of General Services
Colorado	Colorado State Archives
Connecticut	Connecticut State Library
Delaware	Delaware Public Archives
Florida	State Library and Archives of Florida, Florida Department of State
Georgia	The Georgia Archives
Hawaii	Hawaii State Archives
Idaho	Idaho Public Archives, Idaho State Historical Society
Illinois	Illinois State Archives, Office of the Secretary of State
Indiana	Indiana Commission on Public Records

Iowa	Iowa State Archives and Records Program, Department of Cultural Affairs
Kansas	Kansas State Historical Society
Kentucky	Kentucky Department for Libraries and Archives
Louisiana	Louisiana Division of Archives, Records Management, and History; Office of the Secretary of State
Maine	Maine State Archives, Office of the Secretary of State
Maryland	Maryland State Archives Maryland Records Management Division, Department of General Services
Massachusetts	Massachusetts State Archives, Office of the Secretary of State
Michigan	Archives of Michigan and Records Management Services, Michigan Historical Center
Minnesota	Minnesota Historical Society
Mississippi	Mississippi Department of Archives and History
Missouri	Missouri Records Services Division, Office of the Secretary of State
Montana	Montana State Archives, Montana State Historical Society, and Montana Records Management Bureau, Office of the Secretary of State
Nebraska	Nebraska State Historical Society and Nebraska Records Management, Office of the Secretary of State
Nevada	Nevada State Library and Archives
New Hampshire	New Hampshire Division of Archives & Records Management, Office of the Secretary of State
New Jersey	New Jersey Division of Archives and Records Management, Office of the Secretary of State
New Mexico	New Mexico State Commission of Public Records; State Records Center and Archives
New York	New York State Archives, Department of Education
North Carolina	North Carolina Archives and Records Section, Department of Cultural Resources
North Dakota	North Dakota State Archives, State Historical Society of North Dakota, and North Dakota Records Management, Information Technology Department

Ohio	Ohio State Archives, Ohio Historical Society
Oklahoma	Oklahoma Department of Libraries
Oregon	Oregon State Archives Division, Office of the Secretary of State
Pennsylvania	Pennsylvania State Archives, Pennsylvania Historical and Museum Commission
Rhode Island	Rhode Island State Archives and Public Records Administration, Office of the Secretary of State
South Carolina	South Carolina Department of Archives and History
South Dakota	South Dakota State Archives, South Dakota State Historical Society, and South Dakota State Records Management, Bureau of Administration
Tennessee	Tennessee State Library and Archives, Office of the Secretary of State, and Tennessee Records Management Division, Department of General Services
Texas	Texas State Library and Archives Commission
Utah	Division of State Archives and Records Services, Department of Administrative Services
Vermont	Vermont State Archives, Office of the Secretary of State, and Vermont Public Records Division, General Services Department
Virginia	Virginia Archival and Records Management Services, Library of Virginia
Washington	Washington State Division of Archives and Records Management, Office of the Secretary of State
West Virginia	West Virginia State Archives
Wisconsin	Wisconsin Historical Society (archives) Wisconsin Department of Administration (records management)
Wyoming	Wyoming State Archives, Department of State Parks and Cultural Resources

Pocket Response Plan (PReP)™

The **Pocket Response Plan (PReP)™** is designed to be folded to the size of a credit card, inserted in a protective Tyvek™ envelope, and carried in your wallet.

Use Side 1 to collect contact information for the individuals and organizations with whom you are most likely to need to communicate after an emergency occurs: staff, emergency responders, facility and information technology managers, utility providers, vendors, mutual aid partners, and other assistance organizations.

Then customize the step-by-step response checklist on Side 2 to specify actions that staff should take in the first 24 to 72 hours after a disaster.



The **Pocket Response Plan (PReP)™** is meant to complement, not replace, your agency's disaster plan, but it ensures that you have the most essential information with you at all times.

Download the free template and order more Tyvek™ PReP™ envelopes at <http://www.statearchivists.org/prepare/>.

About CoSA



The **Council of State Archivists (CoSA)** is a national organization comprising the directors of the principal archival agencies in each state and territorial government. Under regulations of the National Historical Publications and Records Commission (NHPRC), the State Archivists also serve as the State Historical Records Coordinators who chair their respective State Historical Records Advisory Boards (SHRABs). Working collectively through their membership in CoSA, the State Archivists encourage cooperation and promulgation of best practices among the states and SHRABs; define and communicate archival and records concerns at a national level; and work with the NHPRC, its parent agency, the National Archives (NARA), and other national organizations to ensure that the nation's documentary heritage is preserved and accessible.

For more information about CoSA's Emergency Preparedness Initiative and other CoSA programs, visit www.StateArchivists.org.