

---

# Implementing the CoSA Framework for Emergency Preparedness in Your State

---

Council of State Archivists

June 2006



# Table of Contents

**What is Statewide Emergency Preparedness for Archives and Records?** ..... 1

**Implementing the CoSA Framework for Emergency Preparedness in Your State**..... 4

**Assessment of Emergency Preparedness for State Archives and Records Management Programs**

    Overview of the Assessment ..... 6

    Instructions for Completing the Assessment ..... 8

**Pocket Response Plan (PReP™)**

    Overview of the Pocket Response Plan (PReP)™ ..... 9

    Instructions for Creating the PReP™ ..... 10

    Contacts to consider including on Side A of the PReP™ ..... 11

    Instructions to consider including on Side B of the PReP™ ..... 12

    Technical Guidelines for Compiling the PReP™ ..... 13

    Folding instructions for the PReP™ ..... 14

    Pocket Response Plan™ (PReP™) Record of Completion ..... 16

**Appendix**

    Components of an emergency plan for the state archives and records management program and for a statewide plan ..... 17

## Questions? Concerns?

**CoSA staff:** Vicki Walch, Executive Director  
Phone: 319-338-0248      E-mail: vwalch@statearchivists.org

Jenifer Burlis-Freilich, Program Officer  
Phone: 573-635-7958      E-mail: jbfreilich@statearchivists.org

**CoSA TF:** Julia Marks Young (MS), chair  
CoSA Task Force on Emergency Preparedness  
Phone: 601-576-6991      E-mail: jyoung@mdah.state.ms.us

## Acknowledgements

The CoSA staff is deeply grateful to the team of dedicated professionals who worked along side us to develop the Framework. Preservation administrators **Maria Holden** (NY State Archives) and **Christine Wiseman** (Georgia Archives) conducted research and in-depth interviews with state archivists whose regions had been affected by past disasters, identified the critical issues that evolved into the Assessment, and first conceived of the compact format for the PReP document. **Julia Marks Young** (Mississippi Department of Archives and History) brought extensive knowledge forged in the aftermath of Katrina, a clear editorial eye, and unflagging dedication to ensuring that all archives are better prepared. She will carry this forward as chair of CoSA's new Task Force on Emergency Preparedness. **Ann Seibert** (National Archives) joined the group after the Hurricane Conference and unhesitatingly gave from her experience and national perspective. We also are grateful to the state archives in the Southeast that spent time testing the first version of the Assessment (and who will now have to fill it out again) and to their employees who spent extra time reviewing a second draft: **Tracey Berezansky** (Alabama), **Dolly Blunt** (Florida), **Sarah Koontz** (North Carolina), and **Tom Wellman** (Virginia).

The Council of State Archivists has received support for its Emergency Preparedness Initiative from the National Archives and Records Administration and the National Historical Publications and Records Commission.

## **What is Statewide Emergency Preparedness for Archives and Records?**

Statewide emergency planning for archives and records sounds like a straightforward concept until one actually tries to list specific steps, participants, and outcomes. The complexity arises from several factors:

- there are significant variations from one state to another in the extent of authority and resources available within each state archives and records management agency;
- archivists and records managers in some states have long traditions and extensive experience in collaboration on issues of broad professional concern while those in other states do not; and
- each state faces its own unique combination of threats, whether from natural disasters or those resulting from human actions, both accidental and deliberate.

These variations mean that “statewide emergency planning for archives and records” cannot be approached as a one-size-fits-all model to apply uniformly across the country. However, we also recognize that archivists and records managers have garnered a great deal of valuable experience and developed many agreed upon standards and procedures that can be shared across state lines.

We have designed the CoSA Framework for Emergency Preparedness and Response as a flexible tool so that it can accommodate differences while encouraging best practices. Each state archives and records management program should be able to use it to develop plans and procedures that are appropriate to its own circumstances and to the needs of other public and private institutions in the state.

The Framework assumes that the ARM will first ensure that its own emergency plan is in place and then assist state agencies and local governments to address records-related concerns in their own emergency planning and recovery efforts. It also assumes that the ARM will collaborate with other archival and cultural organizations in its state to ensure that resources for response and recovery are available whenever archives or records are threatened, no matter who created them or where they are now held.

### **The State ARM Agency and Leadership in Emergency Preparedness**

Some state ARM programs play a strong leadership role for other archival repositories within their states while others struggle simply to meet the demands of their own mandates and responsibilities. Whatever the case in your state, it is important to determine in advance what your state ARM can and cannot do in an emergency situation that affects records outside of your own holdings, whether in public or private hands.

It is common, in an emergency, for public and private organizations as well as individual citizens to turn to their state governments for assistance. When those emergencies threaten or damage archives or records, it is natural to seek advice and support from the ARM program, the state government agency in which expertise on archives and records resides. The ability of state ARM programs to respond to these calls for assistance varies widely across the country.

To take a primary leadership role in records-related emergencies, or even to provide substantial support as a collaborative partner in response, state ARM agencies must have

- ✓ **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 be significant impediments when an emergency occurs for any institution. 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 their staff members have also had their personal lives disrupted by the emergency.
- ✓ **Commitment** – to ensuring that archives and records are valued and protected is a common trait among those who staff state ARM programs, and many of these agencies provide significant statewide leadership on archives and records concerns. Others have more limited roles in broad scale professional concerns and may find it difficult 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 the next emergency affecting records – especially those in other the public and private organizations – or to provide necessary services in a time of crisis.

### **The Importance of Collaboration and Communication in Emergency Preparedness**

“It’s all about relationships.”

– Rex Wamsley, *Director, Plans Division, Federal Emergency Management Agency*

The CoSA Framework focuses on the role of the state archives and records management (ARM) agency in each state, but recognizes that the ARM is not solely responsible for statewide preparedness. Comprehensive statewide emergency response planning is, by definition, a group effort. To be effective, it requires sustained communication and cooperation with other government agencies and with nongovernment organizations at the local, state, and federal level.

Nearly every state archives now has a functioning State Historical Records Advisory Board (SHRAB) which connects the state archives to the broader archives and records community in each state. If archivists in your state have not yet begun to collaborate on emergency preparedness, the SHRAB may be a good place to start that conversation.

Also remember that there may come a time when the state ARM itself needs assistance. State archives have benefited from existing relationships with other archival repositories when plumbing failures required them to find suitable temporary storage for collections. They have

also welcomed volunteer labor from experienced archivists when working quickly to recover damaged records.

When CoSA met with FEMA for the first time, Rex Wamsley, the Planning Division Director, opened the discussion by noting that emergency preparedness is “all about relationships.” Through the Emergency Preparedness Initiative, CoSA is committed to strengthening relationships in the following ways:

- continuing to work at a national level with FEMA, NARA, professional associations, preservation organizations, and others to deliver resources and facilitate communications useful to all state ARM programs;
- supporting collaboration across state lines that will lead to effective regional planning and response and to the delivery of mutual aid from one state ARM to another in a crisis;
- providing tools that make it easier for state ARM programs to heighten awareness among their own constituents and to improve preparedness among state and local government agencies and nongovernment organizations and institutions.

If each state ARM uses the Framework to improve its own preparedness and then reaches out to other organizations to address emergency preparedness statewide, all of our nation’s archives and records will be better protected.

# Implementing the CoSA Framework for Emergency Preparedness in Your State

The Framework is designed to help each state archives and records management (ARM) program realistically evaluate its own capacities and define the responsibilities it is able and willing to bear when emergencies threaten records within its state. ARM response capacities – a combination of authority, resources, and knowledge – vary widely from state to state. It is important that each ARM program understand what could be expected of it and then, if necessary, either work to increase its own response capacity or identify alternate sources of assistance that are available.

The Framework includes three components.

## 1. Assessment

The Assessment is a questionnaire designed to help state archives and records management programs assess their current emergency preparedness strengths and weaknesses. It also provides benchmarks by which each state can measure progress as it implements statewide planning and preparedness measures. It evaluates:

- 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;
- Records-related emergency planning and response assistance available to nongovernmental archival repositories and other organizations statewide;

It then summarizes the most significant strengths and weaknesses found during the Assessment and establishes priorities for immediate, mid-term, and long-term action to improve records-related planning and preparedness.

The Assessment is intended to be conducted yearly to review statewide disaster preparedness for the state ARM program. The process will not only help to determine to what extent the program is prepared, but also identify additional actions it should take to achieve greater preparedness and allow it to measure progress from one year to the next.

Archives and records programs other than those at the state level are encouraged to use the Assessment and adapt it for their own use. In particular, CoSA would like to see something similar developed for use by local governments and will include that as a priority in Phase Two of the overall Initiative.

## 2. Pocket Response Plan (PRP)<sup>TM</sup>

The "Pocket Response Plan" is designed to be carried by each person having a response-related assignment. It contains the most critical information needed in any kind of emergency. Formatted as a two-sided document that can be folded to credit card size and kept in a Tyvek<sup>®</sup> envelope, the Pocket Response Plan is intended to be personalized

for each institution and individual. On one side is an Emergency Response Checklist: an organized list of those activities that should take place in the first 24 to 72 hours immediately following a disaster. On the reverse is an Emergency Communication Directory, with contact information for staff, first responders, emergency services, utilities, vendors and suppliers, disaster teams, and other essential individuals and agencies.

### **3. Toolkit**

The Toolkit will be an online resource – arranged in categories corresponding to those in the Assessment and the Pocket Response Plan – that will provide ready access to the best resources and guidance during both the planning process and emergency response. Every attempt will be made to highlight “best practices” and resources, not simply to provide a comprehensive listing that requires time-consuming review and selection. The Toolkit should also be a valuable resource for state and local governments, historical societies, libraries, and others seeking to locate information for emergency planning as well as responding to disasters.

## Overview of the Assessment of Emergency Preparedness for State Archives and Records Management Programs

The Assessment of Emergency Preparedness is designed to guide state archives and records management (ARM) programs through the questions they must ask to determine their current preparedness strengths and weaknesses. It examines preparedness at three levels:

- for the state ARM program itself,
- for state agencies and local governments, and
- for other cultural organizations and institutions within the state.

**Split archives and records management functions.** In 12 states, the state archives and the records management program are assigned to different parent agencies: California, Idaho, Maryland, Montana, Nebraska, North Dakota, Ohio, South Dakota, Tennessee, Vermont, West Virginia, and Wisconsin. In times of emergencies affecting records, both of these agencies have specific responsibilities; typically the most efficient response will involve collaboration.

Ideally the two programs will work together to complete the Assessment, providing an opportunity to strengthen their own interagency lines of responsibility and communication in advance of a records-related crisis. If compilation of a joint report is not possible, however, the state archives and state records management programs may submit separate reports to CoSA.

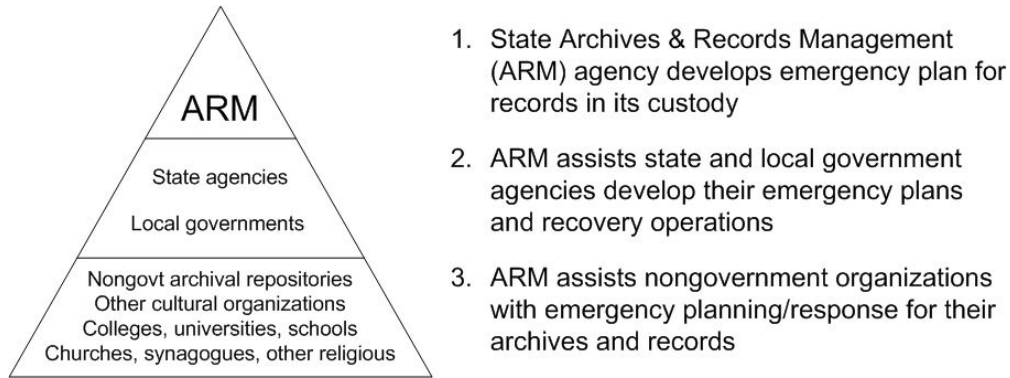
The completed Assessment will provide benchmarks by which each state ARM program can measure progress as it implements statewide emergency preparedness measures for archives and records. In addition, the Assessment reports from each state and DC will collectively provide a nationwide view of readiness for archival response to disasters.

The **Assessment** is divided into six Sections:

- Section A: Status of the state archives and records management program's own preparedness, authority, and resources for emergency response
- Section B: Records-related preparedness in other state government agencies and in local governments
- Section C: Records-related emergency planning and response assistance available to nongovernment archival repositories and other organizations
- Section D: Summary of total scores from Sections A, B, and C
- Section E: Identification of the most significant strengths and weaknesses found during the Assessment
- Section F: Priorities for immediate, mid-term, and long-term action to improve records-related planning and preparedness

You will note that the Assessment starts with the state ARM agency itself (Section A), then considers readiness in state and local government agencies (Section B), and ends with roles and responsibilities for protecting records in nongovernment organizations and institutions (see also Figure 1). This corresponds to the "State ARM Preparedness Pyramid" illustrated in Figure 1, below.

**Fig. 1. State ARM Preparedness Pyramid.** The CoSA Assessment of Emergency Preparedness works generally from the top of the pyramid down, looking first at the State Archives and Records Management (ARM) program's preparedness to protect records in its own custody. It then examines preparedness in government agencies at the state and local level and concludes with the ARM's role in preparing for and responding to threats to archival collections and records in nongovernment repositories.



**Annual review.** CoSA encourages states to use this assessment tool at least annually in order to highlight areas in which progress has been made or address priorities in areas still needing improvement. Consider making this part of your state's "MayDay" emergency preparedness activities every spring.<sup>1</sup> Section D provides a table for summarizing scores to make it more convenient to compare scores from one year to the next.

**Note on Scoring.** The first three sections of the Assessment ask you to assign a numerical rank for each item and then to calculate a "score" for each section. These ranks and scores are intended for your own internal planning and analysis use only. CoSA will not use the scores to compare states with one another or issue "report cards" on each state's readiness levels.

Most of the states that tested the Assessment liked the idea of using these quantifiable "scores" to measure progress over time within each section. Assuming that doing this Assessment is part of an annual review of preparedness, you will be able to compare your scores in subsequent years to see where you have gained the most ground.

You will find, however, that it is not possible to judge relative status among the various sections within the Assessment because a score of 4 in one area may be much more significant than a 4 in another.

**Assistance in completing the Assessment.** If you have questions about the scope or intent of the Assessment or would like clarification of specific items, please do not hesitate to contact CoSA staff or Julia Marks Young, chair of the CoSA Task Force on Emergency Preparedness (see contact information on the Table of Contents page).

Additional information will be made available over the course of the next few months on the CoSA website at <http://www.statearchivists.org/prepare> and on the wiki that is being used to support the project at <http://cosaemergencyprep.pbwiki.com/>.

<sup>1</sup> Read more about MayDay, a grassroots effort developed by the Society of American Archivists to increase emergency preparedness for archives, at <http://www.archivists.org/mayday/index.asp>.

**How the Assessment reports will be used.** CoSA will use the Assessment reports from the states to analyze statewide emergency preparedness nationwide. CoSA staff will prepare an overview report presenting a composite profile of preparedness; this report will NOT include any individual state submissions or specific scores from any of the states.

Please note that while we will not be using scores to compare states with one another, we would nonetheless appreciate receiving copies of each state's full Assessment so that we can better understand the processes through which the states chose specific strengths, weaknesses, and priorities.

The 2006 analysis will be filed as part of CoSA's report on nationwide preparedness for archives and records to be delivered to Allen Weinstein, Archivist of the U.S., by September 30, 2006. Dr. Weinstein will then transmit the report to the President of the U.S. on behalf of the Council of State Archivists and the nation's state archives and records management programs.

## Instructions for Completing the Assessment

1. **Read the Overview of the Assessment**, pp. 6-7, to familiarize yourself with its intent and scope.

2. **Assemble the team of staff members who will conduct the Assessment.** States who have tested the Assessment have reported that it was easiest to complete if most or all of the following participated:

State archivist or manager of the state archives program

State records manager or manager of the state records management program

Preservation administrator(s) and staff

Staff who provide services and/or training to

State agencies and local governments

Other public and private organizations with archival holdings throughout the state (e.g., museums, historical societies, historic sites, academic institutions, religious organizations)

If the state archives and records management functions are split between two different parent agencies, it would be ideal for the state archivist and state records manager to work on the Assessment together along with appropriate staff from each agency.

3. **Allow 2-4 hours** to go through the Assessment together as a team, discuss each response, and complete the form.

4. In Sections A-C, you will be asked to **rate each item on a scale of 0 to 4 (weakest to strongest) according to criteria provided for each Part.** If criteria do not match your situation exactly, choose a number that most closely reflects the relative strength for the item. Use the "Comments" column to provide any qualifications or explanations for your responses.

5. Use the last two columns on the far right in these sections to **keep track of the items that you might want to include in Section E (Strengths and Weaknesses) and Section F (Priorities).**

6. **Complete the Summary in Section D** by transferring the total scores from each Part to the appropriate box on the Summary table using the "Status 2006" column.

7. **Complete Sections E and F** by transferring identified strengths, weaknesses, and priorities to these pages and providing additional details as necessary.

8. **We encourage each state to send a copy of the entire assessment. At a minimum, please send the completed Cover Sheet and Sections E and F to the Council of State Archivists no later than July 21, 2006.**

By mail: Vicki Walch, Executive Director, Council of State Archivists  
308 East Burlington Street #189, Iowa City IA 52240

Fax to: 319-354-2526

E-mail to: [vwalch@statearchivists.org](mailto:vwalch@statearchivists.org)

## Overview of the Pocket Response Plan (PReP)<sup>TM</sup>

The Pocket Response Plan (PReP) is designed to be carried by each ARM staff member who has specific responsibilities during an emergency. It should focus on information and guidance that will be needed during the first 24 to 72 hours after the event occurs. It is formatted as a two-sided, legal-sized document that can be folded to the size of a credit card, inserted in a Tyvek® envelope for protection, and carried in a wallet.

The PReP document should contain the most critical information needed in a crisis and cover any kind of emergency, including natural disasters, accidents, attacks, and medical emergencies. The PReP document is NOT intended to be a substitute for a comprehensive emergency plan. Instead, it should distill the most important actions to be taken in the first minutes and hours after an event occurs, especially those that occur when staff members are away from their offices. It also assumes that most staff will have access to the full disaster plan when they are at work and that senior officials and other key staff have copies of the full plan with them at home or while on extended travel.

The PReP should cover the state ARM's responsibilities for emergencies that threaten or damage records held anywhere in the state, including those in the state archives and records management agency itself, other state agencies (in the state capital or field offices), local governments, or other cultural organizations or institutions. Take into account both localized emergencies that affect a single building or town as well as catastrophic events that may affect large portions of the state.

The sample PReP documents provided by CoSA are meant to serve as models. We expect each state archives and records program to customize the PReP to include information specific to its own program, services, facilities, and other circumstances. In addition, each individual staff member's PReP may be personalized to reflect the specific responsibilities he or she might bear during an emergency.

The Toolkit and Resource Directory located at <http://cosaemergencyprep.pbwiki.com> will provides links to additional resources that may be helpful in identifying key information that the PReP should include. The wiki password (required for uploading documents, but not for reading or downloading them), is "armprep."

Use Side A (Communications) to collect phone numbers for the individuals and organizations you are most likely to need to talk to in the first minutes and hours after an emergency occurs: staff, emergency responders, facility managers and contractors, utility providers, vendors, and assistance organizations. Use Side B (Actions) to provide step-by-step instructions for the actions that ARM personnel should take immediately following an event.

Each staff member's PReP should be updated at least twice a year or whenever there are significant changes in staffing or organizational responsibilities.

**Caution:** The PReP documents should NOT include confidential information (PIN numbers, passwords, key pad codes, bank account numbers).

## Instructions for Creating the Pocket Response Plan (PReP)<sup>TM</sup>

1. **Read the Overview of the Pocket Response Plan (PReP)** on page 9, to familiarize yourself with its intent and scope.
2. **Review your agency's Emergency Response Plan** to identify key individuals and organizations that should be included on Side A (Communications) of the PReP and for instructions that should be included on Side B (Actions).
3. **Consider each individual staff member's own responsibilities in an emergency** so that his/her PReP document can be customized to meet those specific needs.
4. **Review the contact categories suggested by CoSA** in the PReP sample and listed on page 11 to determine if you should add other types of contacts to Side A (Communications).
5. **Review the generic instructions suggested by CoSA** in the PReP sample and listed on page 12 to determine if you should add other types of instructions to Side B (Actions).
6. **Use the Technical Guidelines to copy the PReP template and/or sample PReP document to your hard drive and enter information** (see page 13). The model PReP documents we are providing are in Microsoft Word and contain a fair amount of formatting, so they may not display or print properly on all systems. In the Technical Guidelines we provide specific measurements for the margins, columns, tables, and fonts hoping that it might make it easier for you to replicate the documents on other platforms. Contact Vicki Walch (319-338-0248 or vwalch@statearchivists.org) for troubleshooting advice.
7. **Keep text within the columns** so that the fold lines will not run through text. Laser printer toner will wear off easily if it is on a folded edge.
8. **Print** using landscape mode on 8 ½ " x 14" (legal-size) or larger paper.
9. **Trim the PReP document** according to the instructions provided on the document so the final sheet measures 12<sup>3</sup>/<sub>4</sub>" by 6<sup>3</sup>/<sub>4</sub>".
10. **Fold the PReP document** according to the instructions provided on page 15.
11. **Insert the document into a PReP Tyvek® envelope** and carry in your wallet. Note: CoSA will be placing a bulk order for the Tyvek® envelopes and distributing a certain number of envelopes to each ARM free of charge (quantity to be determined). They should be available by early July. A mockup of the envelope is available on the wiki if you want to try creating a temporary version out of regular paper.
12. Complete the "Record of Completion" form on page 16 certifying that your agency has created and distributed PReP documents to key staff members. **Send the form and an example of one or more of your agency's PReP documents to CoSA.** We are interested in the categories you use rather than specific details (phone numbers, etc), so feel free to omit those and any sensitive information from the copy you submit.

## **Contacts to consider including on Side A (Communications) of the Pocket Response Plan (PReP)<sup>TM</sup>**

On Side A (communications) of the model PReP document, contact information is arranged roughly in the order in which it will be needed, with the individuals likely to be called first on the far left and those that might be helpful later toward the right. Of course, these priorities will vary state-to-state.

Additional categories of contacts that are probably included in your agency's overall emergency response plan and could be considered for inclusion in the PReP document can be found in Appendix 1.

### **Institutional contacts**

Staff  
Agency heads, management team  
Department/section managers  
Preservation/conservation staff  
Staff who work directly with state agencies or local governments that might be affected  
Staff who deliver training and/or services to nongovernment repositories that might be affected  
Parent agency director, staff  
Insurance agent

### **First responders**

Police, fire, EMT/ambulance service  
State Police/Highway Patrol/Sheriff  
Security (state officers or contractors)  
Emergency management agencies (state and local)  
State command center  
Red Cross  
Public health department

### **State archives building & records center**

Building manager, staff  
Utility providers:  
Electricity, gas, telephone, water, Internet provider  
Elevator contractor  
Fire system contractors  
Security guards

### **Other state government officials**

Chief Information Officer (CIO) and/or Information Technology (IT) department  
Risk manager  
Purchasing office/financial manager

### **Emergency service providers**

Conservators  
Data recovery specialists  
Dehumidification services  
Document recovery services  
Exterminator  
Freezer space  
Industrial hygienist (mold)  
Refrigerated trucking services

### **Regional preservation service providers**

#### **Other contacts**

State Historical Records Advisory Board  
Local government records commission  
Local government associations  
National Archives & Records Administration  
- Regional office serving your state  
- Washington DC contacts for emergency response and preservation services  
Professional associations and national organizations that can help with communications and gather volunteers, supplies, and/or funding  
College/university: conservation, history, library, information sciences departments/instructors

## **Instructions to consider including on Side B (Actions) of the Pocket Response Plan (PReP)<sup>TM</sup>**

On Side B (actions) of the model PReP document, the step-by-step instructions are arranged so that those applying to the state archives and records management agency itself are on the left while those applying to other agencies or repositories are toward the right. This is intended to mirror the overall flow of the Framework from things that are specific to the state ARM program and then broadening out to other entities. In many cases, however, the instructions apply regardless of whose records are affected or where they are located.

### **For emergencies affecting records held in state archives or records center facilities**

- **Coordinating archives response.** Details of the first steps the archives and records management staff will take.
- **Phone tree.** Prioritized list of which staff members will be called, in what order, and by whom.
- **Assessment, salvage, recovery steps.** First steps to stabilize the environment, ensure safety, and determine the extent of the damage.

### **For emergencies affecting records held in other government agencies or repositories**

- **Identify and contact agencies or repositories that might be affected.** Steps to determine the extent of the impact on records in an area affected by an emergency.
- **Establish and maintain communication.** Connecting with state and federal agencies, other emergency responders, news media, and others.
- **Provide or coordinate emergency response services.** After obtaining appropriate permissions, determine how the state archives can help. Identify the specific services needed, who can provide or coordinate them, funding sources.

### **For any emergencies affecting records regardless of the custodian**

- **Protect vital and confidential records.** Steps to ensure that records essential to the continuity of operations or containing sensitive information are properly handled and receive priority treatment
- **Educate and train responders.** Steps to facilitate orderly deployment of paid responders and volunteers who have received appropriate training to handle records properly following an emergency.
- **Use the toll-free FEMA line to facilitate information gathering and communication**

## Technical Guidelines for Compiling the Pocket Response Plan (PReP)<sup>TM</sup>

In this first distribution, CoSA is providing the PReP model in several formats: as a Word template, as a Word document, and as a PDF. We are also in the process of developing a fillable PDF form. Eventually it would be ideal to make it possible to produce the PReP from a database in order to make it easier for archives and records management programs to maintain current data and print out customized PRePs.

If you have Microsoft Word available, you should be able to enter and/or modify text in either of the two “.doc” files described below. All of the files are intended to be printed on 8<sup>1</sup>/<sub>2</sub>”x14” (legal-size) or larger paper in landscape mode.

These files can be downloaded from the CoSA Emergency Preparedness wiki at <http://cosaemergencyprep.pbwiki.com/Framework>. Anyone can view the information on this wiki. In order to download documents, however, you must log on using the password “armprep.”

The PReP files provided include

**PReP-tbl.doc** A document in Microsoft Word that includes generic entries for both Sides A and B. This text can be adapted or overwritten as necessary. It uses tables to organize the text and provides gray guidelines for trimming and folding.

**Note:** You will need to be aware of how tables can affect the entry of text. If you want to use the TAB key to indent text, hold down the CTRL key first, then hit TAB. Use of the TAB key alone will move you to the next cell (column) or create a new row in the table. Also, these tables are formatted to a fixed height of 6<sup>3</sup>/<sub>4</sub>”. If you enter text longer than the column height, it will not be visible past the 6<sup>3</sup>/<sub>4</sub>” limit.

**PReP-tbl.pdf** This file is an Adobe Acrobat version of the above and is provided primarily for reference since the text cannot be changed without using the professional version of Acrobat. PDFs have the advantage of preserving formatting, so that this version should appear the way the development team actually intended and not be affected by differences in local computer systems, printers, or software. Use this as a visual model, but be sure to specify “legal” paper when printing. (Use the “Properties” button in the Acrobat print window to select paper size.) Otherwise, Acrobat will default to letter size and shrink the document to fit the smaller format.

**PReP-6cols.doc** This document in Microsoft Word uses six columns and sets specific margins to format the text. Text that extends past the limits of one column will automatically wrap into the next column to the right. It does not provide any shaded guidelines for trimming or folding the document.

## Layout and text formatting for the Pocket Response Plan (PReP)<sup>TM</sup>

These specifications are intended to provide general guidance on the formatting used to produce the model six-column PReP documents.

Text font:	8pt Arial
Large circle bullet font:	Wingdings
Paragraph spacing	6 pt space after paragraphs

### If using a table to format the text into columns

Page margins:	Top:	0.85"
	Bottom:	0.5"
	Left:	0.5"
	Right:	0.5"
Header and footer margins:	0.25" from edge	
Table dimensions:	Width:	12.6"
	Height:	6.75"
Cell (column) widths:	2.1"	
Default margins within each cell:	0.08"	

### If using columns to format the text

Page margins:	Top:	1.05"
	Bottom:	0.8"
	Left:	0.75"
	Right:	0.75"
Header and footer margins:	0.25" from edge	
Column formatting:	Width:	1.96"
	Space between:	0.15"

## Folding instructions for the Pocket Response Plan™ (PReP™)



After trimming, accordion fold the **PReP™** document into six long panels along the vertical gray lines and then lay flat (each panel will be just over 2" wide). Bring the short ends together and crease again. The folded document will fit into the 2<sup>1</sup>/<sub>4</sub>" x 3<sup>1</sup>/<sub>2</sub>" **PReP™** envelope (below).



### Note on Tyvek envelopes for the PReP documents:

CoSA will be ordering a large number of Tyvek PReP envelopes.

We will distribute a certain number (to be determined) to each state free of charge and then make additional envelopes available for purchase to cover costs.

Envelopes should be available by early July.

A mockup that will allow you to create a sample envelope from regular paper is available on the Emergency Preparedness wiki at <http://cosaemergencyprep.pbwiki.com/Framework>

# Pocket Response Plan (PReP) Record of Completion

**Complete this form and return to CoSA by September 1, 2006**

**Date PReP documents completed and distributed:** \_\_\_\_\_

**Name of state reporting:** \_\_\_\_\_

**Name of agency reporting:** \_\_\_\_\_  
\_\_\_\_\_

**This report covers** (check one):

- the state archives and records management program (within the same parent agency)
- the state archives only
- the state records management program only

**Total number of PReP documents distributed:** \_\_\_\_\_

**PReP documents were prepared and distributed to the following  
(list by name, job title, and/or job classification using additional sheet if necessary):**

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

**Report submitted by**

Name \_\_\_\_\_

Title \_\_\_\_\_ Telephone \_\_\_\_\_

Agency \_\_\_\_\_ Email \_\_\_\_\_

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Please complete and send this sheet to the Council of State Archivists (CoSA) no later than September 1, 2006. States submitting completed Assessment and PReP Record of Completion forms in 2006 will be recognized for their preparedness efforts with a Certificate, a listing in the report to the President of the U.S., and on the CoSA website.

## Appendix

### 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 to discuss preparedness with other state, local, and private entities and build collaborative approaches to their implementation.

Components of an ARM agency emergency plan	Comparable components of a “statewide” emergency plan
<p><b>Communications and control</b>  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><b>Communications and control</b>  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>
<p><b>Locations of vital records/salvage priorities</b>  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><b>Locations of records/salvage priorities</b>  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>

<b>Components of an ARM agency emergency plan</b>	<b>Comparable components of a "statewide" emergency plan</b>
<p><b>Contact information for</b></p> <ul style="list-style-type: none"> <li>Staff (home &amp; cell phone numbers, distance from home to work, work/home email addresses)</li> <li>Parent agency staff</li> <li>State emergency management agency (SEMA)</li> <li>City/county emergency management agency (for localities anywhere in the state in which ARM stores records)</li> <li>Key contacts for EMAC (Emergency Management Assistance Compact) agreements to provide mutual aid across state lines</li> <li>Emergency responders <ul style="list-style-type: none"> <li>Fire department</li> <li>Police</li> <li>State government security officers</li> <li>Ambulance/emergency medical technicians</li> </ul> </li> <li>Hospitals, medical facilities</li> <li>Utility providers <ul style="list-style-type: none"> <li>Electricity</li> <li>Water</li> <li>Gas</li> <li>Telephone</li> </ul> </li> <li>Facilities managers/contractors <ul style="list-style-type: none"> <li>Architect</li> <li>Electrician</li> <li>HVAC contractor</li> <li>Fire suppression, detection systems</li> <li>Security system</li> <li>Maintenance, janitorial, cleaning contractors</li> <li>Security guards</li> </ul> </li> <li>Administrative <ul style="list-style-type: none"> <li>Purchasing office/financial manager</li> <li>Insurance providers</li> </ul> </li> </ul>	<p><b>Contact information for</b></p> <ul style="list-style-type: none"> <li>Directors and/or key staff of archival repositories statewide</li> <li>State emergency management agency (SEMA)</li> <li>City/county emergency management agencies statewide</li> <li>Statewide directories of vendors and service providers can be based on information collected for use by ARM (and other major repositories in the state)</li> </ul>

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

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

<p>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>	
<p><b>Continuity of Operations (COOP) planning</b>  Long-term provisions for managing effects of  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>	<p><b>Continuity of Operations (COOP) planning</b>  Links to guidance for developing COOP plans</p>
<p><b>Drills, training, and awareness</b>  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>	<p><b>Training and awareness</b>  Links to training programs in emergency planning and preparedness  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 out the dPlan template as a way to check for components that are missing or incomplete.

For additional information, contact



Council of State Archivists  
308 East Burlington Street #189  
Iowa City, Iowa 52240

Telephone: 319.338.0248  
E-mail: [prepare@statearchivists.org](mailto:prepare@statearchivists.org)

Web site: <http://www.statearchivists.org/prepare/>  
Wiki: <http://cosaemergencyprep.pbwiki.com/>