Records Emergency Planning and Response Webinar
Session 2

Participant Guide
Final, July 2010
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Session 2 Introduction

Session 2 Welcome and Overview

Slide 2-1

Please stand by! The webinar will begin shortly.

1. Join the conference call by dialing the conference number in your Invitation or Reminder Emails. Please put your phone on mute.

2. Be sure to have all Session 2 materials ready before the session starts. You’ll find the link to the materials in your Invitation or Reminder Emails.

Required materials for Session 2:

- Session 2 Participant Guide
- Session 2 handout(s):
  - Handout 2.1—Emergency Contact Directory Template
  - Handout 2.2—Essential Records
  - Handout 2.3—Sample Records Priorities List
  - Handout 2.4—Supplies and Equipment List
  - Handout 2.5—Initial Damage Assessment and Response Checklist
  - Handout 2.6—Components of a REAP
  - Handout 2.7—Pocket Response Plan Template
  - Handout 2.8—Test a REAP and Develop Your REAP’s Table of Contents Activity
- Materials from prior sessions:
  - Your completed handout from the Session 1 Take-Home Activity: Handout 1.1—Develop Your REAP—First Steps Activity
- Course Reference(s):
  - Reference 01—Resource Center, References, Reading List
Session 2 Overview

- Take-Home Activity Debrief
- Module 1—Preparing a Records Emergency Action Plan (REAP)
  - Lesson 3: Developing the REAP
  - Lesson 4: Maintaining the REAP
Take-Home Activity Debrief

Session 1 Activity: Develop Your REAP—First Steps

Slide 2-3
Module 1—Preparing a Records Emergency Action Plan (REAP)
Module 1 Introduction and Objectives

Module 1 Introduction

Slide 2-4

Module 1—Preparing a Records Emergency Action Plan (REAP)

Introduction and Objectives
Module 1 Objectives

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

- Define key terms related to emergency management
- Identify federal and state emergency management initiatives, guidance, and systems relevant to protecting state and local government records
- Explain what a REAP is
- Explain the benefits of developing a REAP
- Identify members and assign responsibilities for the teams described in a REAP
- Write a REAP
- Analyze and test a REAP
Lesson 3: Developing the REAP
Characteristics of the REAP

Comprehensiveness—The REAP should address all hazards (types of emergencies or potential risks) as identified in the risk assessment. It should include immediate and long-term responses for recovery efforts.

Simplicity—The REAP should be easy to follow, with checklists to be used in the event of an emergency. The key is to write it as simply and clearly as possible without sacrificing comprehensiveness.

Flexibility—The REAP should delineate a control structure that allows for a quick assessment of the damage and an accurate determination of the best course of action for response and recovery of records and information. However, you may not be able to anticipate every contingency, so the Plan should allow for rapid decision-making for unanticipated situations.
Components of the REAP

A REAP provides direction for reducing the risk to records and information from natural and human-caused hazards. It addresses the appropriate measures necessary to protect records and information, and the appropriate actions necessary to respond to and recover from an emergency event.

No two REAPs are the same, because every agency has its own risks, protection strategies, resources, policies, etc. However, there are several common components that should be part of every REAP. These components are:

- Introduction
- Policy Statement
- Responsibilities and Authorities
- Communication Plan
- Emergency Contact Directory
- Locations of Essential Records
- Records Salvage Priorities
- Supplies
- Financial or Funding Information
- Vendors and Suppliers
- Contractor Statement of Work
- Facility Information
- Staging Space
- Preparedness, Response, and Recovery Procedures
- Training, Testing, and Updating
- Appendixes
Introduction

The Introduction should be the briefest part of the REAP. It should state the purpose of the REAP and the entire preparedness program. It should also include information about:

- The scope of the Plan (what functional units it covers)
- How to use the document
- The date of creation or revision
- How to revise the document
The REAP should include a clear, dated Policy Statement or directive from the most senior officer in the agency, approving the Plan and identifying it as an official agency policy.

The Policy Statement should clearly mandate the preparation, maintenance, testing, and implementation of the REAP; it is needed to:

- Secure the necessary cooperation among departments
- Confer the authority to examine business processes and functions
- Assign the organizational resources needed to prepare and implement the REAP
Responsibilities and Authorities

The Responsibilities and Authorities component should provide the following information:

- Delegation of authority and chain of command
- Roles and responsibilities for various activities
  - REAP Teams
    - Records Response and Recovery Manager
    - Other assignments

Delegation of Authority and Chain of Command

It is essential for everyone to know who has the authority to make decisions regarding the response to an emergency and the recovery of records. The REAP must specify the positions designated to activate the Plan, as well as the conditions under which those positions are authorized to activate the Plan.

If those positions do not have the authority to execute major expenditures, then the Plan must include someone who has such authority—for example, the Procurement Officer.

The REAP should include a clear statement of the chain of authority and composition of a crisis team, including alternates, when key officers are unavailable. In the event that the agency loses one or more of its leaders in an emergency, remaining executives should be prepared to assign temporary authority.

Include at least one person from another office, such as your parent agency, a regional office, or another office that is located at least 30 miles away, if possible. If personnel from your office are not reachable during an emergency, this informed person will still be available to implement your Plan. For smaller jurisdictions, consider including people in fire and rescue departments, or others not in the main administrative building.
Roles and Responsibilities for Various Activities

REAP Teams

The list of REAP Team members and duties should appear in this section and should include the following information for each person:

- Name
- Response and recovery responsibility
- Phone numbers: work, cell, and home phones
- Beepers, pagers, radio contact protocols
- Physical location of home and/or work place
- Email addresses (to allow broad distribution, if available)

If your REAP Teams are large, you may want to limit the list to the REAP Team leaders.

Records Response and Recovery Manager

Name one person to be the Records Response and Recovery Manager to head the Action Team and all response and recovery procedures, with alternates and backups named in the list. Even if you are going to rely on an outside consultant or vendor to help, you should still have a point of contact named from your agency.

The Records Response and Recovery Manager should be qualified to exercise authority during a time of crisis and should be able to make on-the-spot decisions that management will support. This person must understand all phases and activities of the response and recovery effort in order to provide direction, prevent duplication of effort, and make sure the response and recovery steps are carried out properly and in the proper sequence.

Other Assignments

Also include assignments for coordinating various other activities, including, but not limited to:

- Communications among staff (Phone Trees)
- Media contacts
- Offers of assistance (volunteer labor, supplies, cash donations, etc.)
The Communication Plan section should identify multiple communication strategies to be used during an emergency, at both the primary site and an alternative site, if required.

The Communication Plan should list the modes of communication to use during an emergency, taking interoperability capabilities into consideration. Capture and record all information about the phone conference system, login procedures, beepers, pager numbers, smart phone numbers, and ham radio call letters in this section.

Identifying communications strategies is usually a major component of the larger Continuity of Operations (COOP) Plan; it is also a critical part of your REAP.

**Communication Strategies**

Examples of communication strategies to consider include:

- Alternative or backup means of communication—In addition to listing the primary sources of communication to be used during an emergency (phone, email, text messaging, etc.), the Communication Plan should also include strategies for alternate or backup means of communication. What will you do if phone lines are down? What if cell phones and Internet are also down or do not function inside the affected building? Examples of alternative or backup means include:
  - Predetermined meeting location and time
  - Couriers
• Call-in voice recording—To eliminate the need to phone all nonessential employees, indicate the procedures they can use to access a call-in voice recording. On the recording, indicate the date and time of the recording, the status of the emergency, who should report to work, and instructions for those employees who are to remain at home. Also, give instructions about when to call in next. Be careful not to say, “Call back in two hours,” but give a time: “Call back at 2:00 p.m. for more updates.”

• Meet me conference calls—Agencies that provide services or assistance to other entities, should consider setting up a “meet me” conference call. When there is advance warning for a disaster—for example, in the event of a hurricane or flooding event—send an email 1–3 days ahead of the expected impact asking constituents to “meet” you on a conference call at a specific time and date following the event to report on damage and/or request assistance as needed. Provide a conference line phone number to call and tell them that you would like to hear from them whether or not they sustained any damage so you will also know that they are OK.

• Information relay system—Set up a system for relaying information to members of your team. As we saw from Hurricane Katrina, communication is very important during a large-scale emergency. Prescribed messages are less likely to be misunderstood, so it might be wise to develop in advance the specific wording to be used.

Phone Tree

The Phone Tree is an essential part of communication during an emergency. List by title or position and name everyone who will be expected to assist with the recovery, along with their work, cell, and home phone numbers, and email addresses. A Phone Tree helps to ensure that no single person has to devote an inordinate amount of time to making calls. It will save time and facilitate a more rapid response.

Follow a few simple rules to make sure the Phone Tree is effective:

• When you get a call, call the next person(s) immediately.

• If no answer, leave a message if possible, and also state that you are calling the people on their branch, since they were unavailable to do so. You are responsible for calling all the branches below that person.

• When you get a message, write it down, so that when you pass it on, you pass on the same message you received.
The structure of the Phone Tree should reflect the lines of authority that you have established, with the head of each division responsible for initiating contact with the other members of his or her team. It should include a backup-planning component in the event that these key positions are unavailable. Place the name and phone numbers of the lead coordinator of the Phone in a prominent place in the Phone Tree document.

It is imperative to keep your Phone Tree up to date. This is a critical piece of your REAP. An outdated Phone Tree will jeopardize your response and recovery efforts.

You should place the Phone Tree in the appendix section of the REAP, allowing for quick access in the event of an emergency and preventing the Phone Tree from getting buried within the narrative portion of the Plan.
Emergency Contact Directory

An important adjunct to your Communication Plan is an Emergency Contact Directory. It should be included in the REAP, perhaps as an appendix. Ideally, it can also be condensed in size to carry in a wallet or purse, ensuring that key contact information is always at hand.

As you compile the Emergency Contact Directory, consider whom you will need to contact immediately, within a few hours of the event, and whom you will need to contact within a day or two.

For each emergency contact, list appropriate contact information, such as phone numbers (work, cell, home); email addresses (work, home); and addresses. If an individual’s address is a post office box, try to locate a physical address as well.

Be sure to include the following:

- Agency staff (in addition to basic contact information, also note distance from home to work)
- Emergency responders
  - Fire department
  - Police department
  - Ambulance, emergency medical technicians, hospitals
  - Utility companies (e.g., water, gas, electric)
  - Communication systems (e.g., telephone, Internet)
  - Security officers assigned to agency facilities
  - State and/or local emergency management agency
• Facility contractors
  – Architect
  – Electrician
  – Heating, ventilating, and air conditioning (HVAC) contractor
  – Elevator companies
  – Fire alarm, detection, suppression systems
  – Security personnel
  – Security system, locksmiths
  – Facility management, maintenance, janitorial and cleaning contractors

• Key parent agency staff and other administrative contacts, including purchasing office or financial manager

• Insurance providers

• Vendors and contractors for salvage and restoration
  – Recovery and restoration service providers for paper, photographs, film, electronic, and other media
  – Conservators and preservation specialists
  – Freezer storage providers
  – Trucking firms
  – Exterminator and fumigation services
  – Industrial hygienists, mycologists (mold specialists)
  – Glaziers

• Other contacts
  – Media contact (television, radio, newspaper)
  – State Archives

To help you prepare your Emergency Contact Directory, the Resource Center contains a directory of vendors, contractors, and suppliers who specialize in various aspects of emergency response and recovery. You can search the directory by state as well as viewing nationwide providers.

Refer to Handout 2.1—Emergency Contact Directory Template for an example of how to create a directory.
Locations of Essential Records

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In the *Essential Records Webinar*, you learned how to identify which records were essential—the records needed to respond to an emergency and resume operations after an emergency.

Your REAP should include the essential records inventory, including title, location, retention period, container ID, format and media, volume, and location of master copy (if one exists). For electronic media, indicate whether or not each container holds essential or permanently valuable records not duplicated elsewhere.
Records Salvage Priorities

It is important that you prioritize your records for recovery in an emergency, determining which records will require attention first, and which ones can wait. Essential records and permanent records have priority over any other type of record.

Although essential (and permanent) records have general priority over other records in your salvage after an emergency, there are specific priority levels based on how quickly access will be required following an emergency:

- **Priority 1**: Access required in first 0–12 hours
- **Priority 2**: Access required in first 12–72 hours
- **Priority 3**: Access required after 72 hours

These specific salvage priorities correspond to the function of the essential records. The guidelines are explained further in Handout 2.2.

(Refer to **Handout 2.2**—Essential Records, for guidance on prioritizing the salvage of your essential records.)
**Media Considerations**

In addition, you will recover some types of media more successfully if you take prompt action. Media that may require prompt action to ensure successful salvage include electronic (hard drives, flash drives) and magnetic tapes, parchment, and some photographic material. If essential or permanent records are stored on these media, you should take that into consideration when establishing your salvage priorities.

**Temporary Records**

Temporary records should be prioritized based on their retention period; the longer the retention period, the higher the priority. Some agencies create records with 75- to 100-year retention periods. These records should take priority over records with short retention periods. If you have a currently functioning records management program in place, your job has been made easier because you can rely on current records inventories, file plans, and retention schedules to help you prioritize.

**Organization of the Records Salvage Priorities Section**

The Records Salvage Priorities section should be organized in a list containing the following categories:

- **First Priority**—This includes materials that are difficult or impossible to replace or replicate, and those that are essential for resuming operations if they are not duplicated elsewhere. This category includes permanent records.

- **Second Priority**—This includes items that are difficult to replace, that provide significant operational or research value, and that are not duplicated elsewhere.

- **Third Priority**—This includes materials that can be replaced or that can be considered expendable.

Also include in the list the following information about the records:

- Record series under each category
- Record retention schedule number and item
- Retention period
- Physical location of the records

(Refer to **Handout 2.3**—Sample Records Priorities List for an example of a records priorities list.)
Supplies

The Supplies section should list supplies you may need in the event of an emergency. Include those that will be needed to prevent further damage to records and to aid in packing out records for further recovery, along with information on how to purchase the supplies.

Once you have created the list, start purchasing the supplies so that you have them on hand if an emergency occurs. The supplies should be stored and secured in a protected room or closet that is accessible to emergency team members.

Refer to Handout 2.4—Supplies and Equipment List for an example of a Supplies section of a REAP. Use this list as a basis for your own list or rearrange it to suit your needs—for example, by types of items, where to purchase them, or areas where they will be stored or used.

The Supplies section should also document the location(s) of the supplies, including several optional recovery areas with some pre-positioned supplies. Be aware that some states may have stockpiles of supplies available for your use. Determine whether your state has emergency stockpiles of supplies, and if it does, indicate where the stockpiles are located, what supplies are included, and points of contact for accessing the stockpiles.

Inventory the supplies at least once a year. They are very tempting to staff who know where they are and how to access them. Make sure you have funds to replenish the supplies as needed.

Place the supply lists in the appendix section of the REAP to allow for quick access in the event of an emergency and to prevent the lists from getting buried within the narrative portion of the Plan.
Financial or Funding Information

You will also need to plan and document how you will obtain funds that may be required to purchase any necessary equipment and supplies you may not have on hand. Options include:

- Designated account for emergency funds
- Petty cash
- Purchase orders or requisitions
- Government credit cards

Additionally, finance and accounting personnel need to track expenses associated with an emergency. Records of expenses, staff time, overtime, and so forth, will be crucial if FEMA reimbursement is available for the emergency. Establish special codes for labor, equipment, and supplies to ensure proper accounting of expenses.

As part of your planning, discuss what reimbursement provisions should apply in an emergency and identify staff that might have this option in case supplies are needed before the normal acquisition process can deliver them.
Vendors and Suppliers

Include a list of vendors and suppliers of records emergency services and supplies in your REAP. Make sure to review the list annually and keep it up-to-date. Consider developing standing contracts for these.

Suggested vendors and suppliers to include are:

- Services:
  - Appraisers
  - Archivists and records managers
  - Conservators and preservation specialists (for paper, books, magnetic media, videotape, film, photos, textiles, paintings, objects)
  - Data recovery specialists
  - Debris removal
  - Disaster recovery consultants
  - Exterminator, fumigation
  - Freeze drying (vacuum, thermal)
  - Locksmith
  - Microfilming, digitization labs
  - Moisture, mold removal
  - Trucking and transportation
  - Caterers
  - Water delivery services
• Supplies, equipment, and facilities
  – Supplies
    ○ Storage containers and supplies
    ○ Archival and conservation supplies
    ○ Cleaning supplies
    ○ Cots
    ○ Bathing facilities
    ○ Portable toilets
  – Equipment
    ○ Wet/dry vacuums
    ○ Generators
    ○ Sump pumps
    ○ Dehumidifiers
    ○ Fans
  – Facilities
    ○ Refrigeration
    ○ Temporary storage with appropriate environmental controls and security
You should include in your REAP a generic draft Statement of Work (SOW) ready to use to obtain needed services in the event that an emergency befalls your records. You can obtain this draft SOW from your Procurement Office.

If you have signed contracts or Memorandums of Understanding (MOUs) with individual contractors for specific services, you should put these in your REAP as well. However, if they contain confidential or private information, access to them should be restricted.

Make sure to include in your REAP the procedures for activating the contract or MOU. Include the names, addresses, phone numbers, and 24-hour contact number of the contractors with which you have established contracts for response and recovery.

Make sure that your contractor has prior experience dealing with the formats of records and types of damage that may be involved in an emergency. Always require references from previous clients, including a contact person, current phone number, email address, and brief description of the services provided.

Another key point your contract must address is the confidentiality and security of your records. Require the contractor to demonstrate that it can meet appropriate levels of confidentiality and security for its facility and for its employees. Municipal or county government agencies should note that some states have statewide emergency response contracts or other resources, and that localities should look into those before using their own. Some state agencies may be able to purchase from federal contracts. Check with your state emergency management agency for their guidance. Also check with your state’s procurement agency.

To learn more about statewide contracts, supplies, resources, etc., that apply to your state, please visit the IPER Resource Center at: [http://www.statearchivists.org/resource-center/iper](http://www.statearchivists.org/resource-center/iper)
Facility Information

• Provide all relevant facility information:
  – Evacuation plans
  – Location of, operating instructions for, and/or shutoffs for electrical systems, water sources, HVAC systems, etc.
  – Locations of keys, hazardous materials, etc.

The REAP should contain all relevant facility information (unless such information is already contained in your overall disaster plan), including:

• Evacuation plans, including provisions for employees and visitors with disabilities

• Location of, operating instructions for, and/or shutoffs for:
  – Smoke detectors
  – Fire alarms, extinguishers, hoses, sprinklers, and other suppression equipment
  – Electrical systems
    ○ Fuse boxes, outlets, light switches
  – Water sources, pipes
  – HVAC systems
  – Elevators

• Locations of:
  – Master keys
  – Floor plans
  – Hazardous materials

You should place the facility information in the appendix section of the REAP, to allow for quick access.
Staging Space

Survey your building(s) for space that might be useful to stage for salvage of records. Contact the proprietors of your building(s) about the availability of space and make arrangements for use of the space in the event of an emergency. Document these arrangements in your REAP.

Spell out agreements and procedures, and keep contact and all other information up-to-date in your REAP.

Also outline the procedures you will use to transfer or obtain office equipment and supplies and the services you will need, such as electricity, water, communications, and computers.
Preparedness, Response, and Recovery Procedures

Slide 2-22

The Preparedness, Response, and Recovery Procedures section will comprise the largest and most detailed section of your plan. As explained earlier, your REAP must address specific emergencies and how to handle them, as identified in your risk assessment. It must provide for both major and minor emergencies and should include both site-specific and community-wide events. This is the section of your REAP that captures this information.

In the Preparedness, Response, and Recovery Procedures section, agencies should detail the procedures covering each phase of the emergency and the steps necessary to prepare for and control the emergency. These steps should be continuous across the phases, from preparedness to response to recovery. You should include disaster recovery procedures, disaster recovery services and resources, and salvage equipment and supply listings, as needed, for each phase.

This section should also indicate when an emergency status is upgraded from one phase to the next.

Examples of the emergencies you may include in the Preparedness, Response, and Recovery Procedures section are:

- Fire, smoke
- Pipe breaks and/or water 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)

Unforeseen problems will inevitably arise during any emergency, but it is still possible to develop successful plans of action. Lay out a sequence of logical steps ahead of time to mitigate further damage to the records. Make instructions clear and simple so that any worker can understand and implement them during an emergency. This is especially important for a recovery operation. You never know who is going to be on the front lines of an emergency—it may not always be someone with experience.

Preparedness Procedures

The preparedness procedures should describe any actions that should be taken to mitigate damage to records and information if there is advance warning of an emergency. Examples include:

- Covering shelving, file cabinets, and computers with plastic sheeting
- Making sure that all files are housed in appropriate containers, such as boxes or file cabinets
- Moving records off the ground to higher shelving
- Implementing system security restrictions to protect data from a disgruntled employee

The action(s) that should be taken will depend on the nature of the anticipated emergency.
Response Procedures

The response procedures should show the continuing steps from the preparedness phase to the response phase. The response procedures should include:

- All response actions that need to be taken with regard to records in the event of an incident
- Who is responsible for each response action, such as:
  - Activating the Phone Tree
  - Evaluating and documenting damage to records
  - Determining mitigation actions to prevent further damage to records

You should also include a damage assessment checklist or similar document in your response procedures. This checklist provides a way to gather the initial emergency information needed to establish priorities and appropriate recovery responses. It also allows for all assessments to be assembled into a single comprehensive overview of damage, which is very important in a medium- to large-scale event where multiple forms are completed. Additionally, it provides a structure to ensure that Assessment Teams gather the same information.

An example of a damage assessment checklist is provided in Handout 2.5—Initial Damage Assessment and Response Checklist. It was adapted from a checklist included in the Field Guide to Emergency Response, produced by Heritage Preservation in support of the Heritage Emergency National Task Force. [http://www.heritagepreservation.org/pubs/fgforms.htm](http://www.heritagepreservation.org/pubs/fgforms.htm)

Recovery Procedures

The recovery procedures should show the continuing steps from the response phase to the recovery phase and should include:

- All recovery actions that need to be taken with regard to records in the event of an incident
- Who is responsible for each recovery action, such as:
  - Securing recovery areas
  - Starting damage assessment
  - Activating the hot site
Training, Testing, and Updating

Training, Testing, and Updating

• Training
  – Document the goals and objectives.
  – Document specific training programs for responders and specialized teams.

• Testing
  – Document the testing goals and objectives.
  – Document the schedule and plan for conducting testing activities.

• Updating
  – Document any changes made to the REAP.
  – Indicate who will be responsible for distributing updated versions.

Training

Once you have developed the REAP, you should obtain final management approval. When the plan is approved and ready for distribution, make sure to inform employees about the plan and how it will be implemented. You will need to provide periodic refreshers on the content and use of the REAP. The REAP should document the goals and objectives for training all employees. Specific training programs for responders and specialized teams should also be developed and documented in the REAP.

Testing

A REAP must be tested routinely to ensure that it is accurate and functional. You should develop a plan—with goals and objectives—and a schedule for conducting tests of the REAP, and document the plan and schedule in your REAP.

Updating

REAP Teams must review and update the REAP, not only to ensure that all information is accurate and up-to-date, but also to integrate any new elements of their agency’s records program. Events such as the introduction of new computer hardware or software, the development of new essential records for a new product or service, a change in accounting procedures, etc., all directly affect the Plan.

Establish a schedule for routine reviews and updates and identify the responsible parties. Document the schedule and list of responsible individuals in the REAP. Record any changes made to the REAP in a separate section of the document. Include the change number, the date of the change, the pages of the REAP affected, and a description of the change. You will need to make sure that REAP updates are distributed. Be sure to indicate who will be responsible for sending out the updated versions.
Appendixes

Slide 2-24.

The final section of the REAP provides information which is needed for the effective execution of the Plan, but which should be kept separate from the main narrative of the Plan. Place these items in the Plan as appendixes:

- Phone Tree
- List of additional essential contacts and resources including vendors
- Essential personnel from outside your agency’s location
  - Safety and Facility Managers
  - Security experts
  - Agency Records Officer and other regional or Headquarters staff—names, titles, home and work phone numbers, cell phone and pager numbers, and email addresses
- Contact information for agencies that can assist or advise during an emergency, which may include:
  - State archives and records management agency(ies)
  - State, county, and/or local emergency management agencies
  - State or local information technology agency
  - State environmental and public health agencies
- Supplies, equipment, and space list
• Forms for:
  – Assessing damage
  – Tracking records (pack-out tracking log)

• Reduced floor plans with locations of:
  – Fire extinguishers
  – Emergency lights
  – Smoke detectors
  – Fire exits
  – Evacuation routes
  – Water shutoff valves
  – Fire alarms
  – Locations of records indicating the type and response priority
  – Computer network servers and mainframes
  – Phone switchboards
  – Cutoffs for gas and electricity
  – Emergency supplies
  – First aid equipment
  – Hazardous materials

• Essential records inventory and plan

(Refer to Handout 2.6—Components of a REAP for a template to help you develop your REAP.)
Several resources are available that can either complement your REAP or help you create your REAP, including:

- The Pocket Response Plan (PReP)
- dPlan
- Heritage Preservation’s Field Guide and Wheel

**Pocket Response Plan (PReP)**

As a complement to—not a substitute for—your REAP, the Council of State Archivists (CoSA) created the Pocket Response Plan (PReP), a concise document for recording essential information needed by staff in case of an emergency.

The PReP is designed to be carried by each 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 an 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.

To restate: The PReP document is NOT intended to be a substitute for a REAP. 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.

(Refer to Handout 2.7—Pocket Response Plan Template for CoSA’s PReP template.)

For more information on the PReP, including detailed instructions for creating and completing a PReP, and access to PReP templates, refer to the PReP page on CoSA’s website: http://www.statearchivists.org/prepare/framework/prep.htm
“dPlan”

As a tool to help create your REAP, you might consider using dPlan, a free online tool that simplifies the process of writing a disaster plan for your collections. dPlan provides a comprehensive fill-in-the-blanks template into which you enter information about your institution. dPlan generates a printed disaster plan specific to your institution. dPlan was developed by Northeast Document Conservation Center (NEDCC) and the Massachusetts Board of Library Commissioners (MBLC) to assist organizations that hold cultural collections (such as libraries, archives, historical societies, and local governments) in preparing disaster plans.

There are two ways to use dPlan: dPlan in Depth and dPlan Lite:

- dPlan in Depth displays all the data entry forms in dPlan and creates a comprehensive disaster plan that covers emergency prevention, preparedness, response, and recovery.
- dPlan Lite displays only those data entry forms that are most important in preparing a plan for emergency response.

Institutions with limited staff and resources or institutions whose highest need is a response plan may want to begin with dPlan Lite and move on to dPlan in Depth as time and resources permit.

Users choose either dPlan Lite or dPlan in Depth each time they log in. Any data that a user enters into dPlan Lite will also appear in dPlan in Depth, and data that have been entered into dPlan in Depth are not lost if the user switches temporarily to dPlan Lite.
Both versions of dPlan are available online at: http://www.dplan.org

You must allow cookies to be set from the site.

While we previously discussed the most significant components of a REAP, dPlan goes into greater detail in almost every area. The only major exception is that dPlan does not provide explicit guidance for identifying essential records or addressing COOP Plans. However, dPlan allows you to attach electronic files related to your plan, so you could include a COOP Plan in that way. Another dPlan advantage is that your plan is stored on a remote electronic system, thereby providing an accessible backup—a real advantage in an emergency situation.
Heritage Preservation’s Field Guide and Wheel

Heritage Preservation’s Field Guide to Emergency Response


Also on the website are several forms with which you can capture emergency response information. You can use these forms as templates for several sections of your REAP. The forms are available at no charge at: [http://www.heritagepreservation.org/pubs/fgforms.htm](http://www.heritagepreservation.org/pubs/fgforms.htm)

Heritage Preservation’s Emergency Response and Salvage Wheel

Heritage Preservation’s Emergency Response and Salvage Wheel is a hands-on tool that helps you:

- Find reliable information instantly
- Protect precious collections and significant records
- Take steps to save damaged objects

The wheel is available for purchase on the Heritage Preservation website, at: [http://www.heritagepreservation.org/catalog/Wheel1.htm](http://www.heritagepreservation.org/catalog/Wheel1.htm)
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Lesson 4: Maintaining the REAP

Module 1—Preparing a Records Emergency Action Plan (REAP)

Lesson 4: Maintaining the REAP
**Five Steps for Success**

Maintaining the REAP involves the following five steps:

- Distribute the REAP.
- Promote the REAP.
- Train REAP Team members and all personnel.
- Test and validate the REAP.
- Review and update the REAP.

The purpose of these steps is to ensure that you and the REAP Team members know how to minimize loss and damage to records, while protecting human health and safety and ensuring continuous operations. Unless you and your team perform these critical steps, it is likely that the Plan will become outdated and that key personnel will be unfamiliar with their responsibilities in an emergency. However, if you and the team follow these steps, an emergency response is more likely to be effective and to prevent serious damage to records.

**An Ongoing Process**

It’s important to note that maintaining a REAP is not a one-time procedure, in which you complete the five steps and you’re done. Rather, it is an ongoing process, in which those responsible for maintaining it perform the five steps on a regular and routine basis.
Distribute the REAP

Slide 2-30

Once management has approved the REAP, it is ready for distribution—the approved REAP is useless if it is not available to the people who need to use it in an emergency.

Each team member should receive all or part of the REAP—it is not necessary to distribute the entire Plan to people who will be performing only limited functions or who do not need access to confidential components of the Plan. For example, a checklist for retrieving emergency supplies or telephoning employees may be all that you need to give to the employee responsible. Checklists are easy to read and follow when responding to an emergency. However, team leaders and management need to have the full Plan, as they will be responsible for overseeing all aspects of the preparedness, response, and recovery phases.

Keep copies of the REAP in a three-ring binder—not bound—because updates and page changes will continue to be made. The binder should have a distinctive cover—something eye-catching that cries out “Emergency!”—such as a red cover.

Each person who receives a copy of the REAP should be required to sign for the Plan indicating that they have read the Plan, updated it, and destroyed the old Plan if applicable.
Protect Confidential Information

When distributing the Plan, remember that it may contain confidential information, so you should carefully control distribution of the complete Plan. Employees involved in records management and COOP, as well as management, should have a complete copy of the Plan in both paper and electronic formats. Other employees should receive only the portion of the Plan that is pertinent to their assigned duties.

The REAP is an Essential Record

The REAP itself is an essential record, one that is dynamic and always changing. Copies should be kept in a variety of locations besides the office, so that they can be retrieved quickly during an emergency. You may not be able to get back into your building, so if you have a copy in your car, at home, and/or stored in an adjacent building, your response will be much more effective.
Promote the REAP

It is essential that you promote the REAP to all employees. All employees need to know what their roles will be in the event of an emergency, even if that role is only to ensure the safety of the records in their office.

There are several ways to promote the Plan internally. Possible promotion methods include:

- Adding a REAP section to the agency newsletter
- Putting a link on the intranet with local information
- Sending periodic emails to employees
- Getting on the agenda for staff meetings on a recurring basis, two to four times a year
- Incorporating regular REAP training and awareness activities in employee performance plans and annual work plans
Train REAP Team Members and All Personnel

Slide 2-32

REAP Teams

All REAP Teams will need training specific to their roles. The training may include:

- Fire extinguisher use
- Records salvage practice
- Evacuation drills
- How to clear the building for re-entry by staff or information technology (IT) staff
- How to set up an alternate worksite

Some functions may require special training; these include Facility Manager, Procurement Officer, and IT staff.

It is important to give team members the time to become knowledgeable about their responsibilities before an emergency occurs so that they will know exactly what to do when the time comes. REAPs can be quite lengthy and contain enormous amounts of information. Individuals cannot stop to read large tracts of information when they are trying to evacuate a building or move damaged records out of harm’s way. Consider using checklists to ensure that critical actions are taken.

In the event of an emergency, it may be necessary to provide the security guard with a list of employees who have access to the facility during the different stages of recovery.

Don’t forget to include training for the team alternates so that they too are properly trained, in case they need to step in.
All Personnel

In addition to the REAP Team members, it is essential that all agency personnel have an orientation to the REAP. In the midst of an emergency, people will be distracted and will be unable to remember what they are supposed to do unless the Plan has been made familiar to them beforehand.

Outside Assistance

If you need assistance with your training, your state emergency management agency, state archives and records management agency, and professional records organizations, such as CoSA, the National Association of Government Archives and Records Administrators (NAGARA), and ARMA International, can be consulted or brought in to assist.
Test and Validate the REAP

Slide 2-33

Test and Validate the REAP

- A REAP is not effective unless it is tested and validated.
- The object is to validate and improve the REAP.
- Testing should occur at least annually.
- Methods include:
  - Drill
  - Tabletop activity
  - Functional activity
  - Full-scale activity
- Include all REAP Team members.

No REAP can be effective unless it is tested and validated. Testing takes time and resources; however, without testing it is impossible to determine which aspects of the REAP will work and which will not during an emergency. Testing is also very effective for cementing a team into a functioning unit. Testing a REAP takes place in two stages:

- During development
- After the Plan is in place and on a recurring basis at least once a year thereafter

Tests will:

- Reveal weaknesses in the REAP
- Validate planning assumptions
- Identify shortages of supplies and personnel
- Improve coordination between people and departments
- Help agency leaders gain confidence in the Plan
- Improve the knowledge and skills of the employees who participate in the test
- Help ensure that people know and understand what they are supposed to be doing during an emergency

Your test will reveal the strong points and weak points of the REAP. For example, the backup power supply on your network computer may prove to keep the server in continuous operation successfully during a one-hour “power outage” test, while the Phone Tree fails because certain people weren’t at home to take calls and pass information on to others.
The object of the test is to validate and improve the REAP. The more the Plan is tested, the more resilient it will be.

Testing should occur at least annually, much as fire drill mechanisms and building evacuation procedures are tested. Agencies can use several models of testing, including:

- **Drill**—A basic exercise that tests a simple function, such as a communications drill
- **Tabletop exercise**—A simulation of an emergency in which the exercise is conducted in narrative format to discuss various scenarios and actions around a table
- **Functional exercise**—A simulation of an emergency in which only portions of a REAP are tested (the exercise is limited to specific functions of an agency)
- **Full-scale exercise**—A simulation of an emergency in which all functions and all elements of the REAP are tested

The tasks to include in the testing should match those that would be performed during an emergency, including:

- Verifying the availability of team members by activating the Phone Tree
- Briefing the team on incident and current conditions
- Working with the COOP staff to coordinate business at the alternate site. Obtaining access to essential records stored off site, possibly during non-business hours
- Testing communications equipment (cell phones, walkie-talkies, etc.) to determine that they function within the affected building
- Assessing the damage to records at the affected location
- Establishing records recovery worksites and gathering supplies
- Coordinating salvage efforts with emergency recovery firms

The test should include all REAP Team members and should evaluate the condition and readiness of the Plan and the team members.

You can make the test into a fun event. Come up with an interesting scenario like a power outage that shuts off the lights to one part of the building and have the employees act out the roles of the “distressed worker,” the “confused manager,” and the “reporter from the local evening news” who descends on your building to investigate. You do not have to test the Plan in its entirety. You can test portions of it in several small phases using different scenarios.

After the test is completed, determine what worked and what did not, and make the necessary modifications to the Plan as soon as possible. Report test results to management within 30 days of the test, along with recommendations for resolving any deficiencies.
As mentioned earlier, it is important to review and update information contained in the REAP regularly to ensure that the information remains accurate and current. An outdated REAP will do you no good when you are in the throes of an emergency.

Thorough evaluation and testing are important not only when you first write your Plan but also at regular intervals, at least annually. It is crucial that a single person in a policy position (assistant city or town manager, deputy commissioner) have overall responsibility for assuring top agency officials that the REAP is always ready for emergency use.

Assign the person on the Action Team who follows your established schedule for periodic reviews, tests, and updates to report REAP readiness status to the person in the policy position mentioned above.

The first day of May is the day that archives traditionally focus their attention on emergency preparedness as part of an event called “MayDay.” You might plan to re-evaluate your REAP each year on MayDay. Regularly check and update all dynamic data, especially those found in appendixes. Dynamic data include:

- All contact information (phone numbers, names, addresses, etc.)
- Contractor information
- The list of records emergency recovery specialists with their areas of expertise and points of contact
- Internal and external regulations

Distribute updates to staff immediately, as needed.
Session 2 Review and Wrap-Up

Session Review

Slide 2-35

- Develop a REAP.
- Maintain a REAP.

In Session 2, you learned:

- How to develop a REAP
- How to maintain a REAP
Take-Home Activity: Test a REAP and Develop Your REAP’s Table of Contents

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Activity

Test a REAP and Develop Your REAP’s Table of Contents

Slide 2-37

Materials for the Activity

Handout 2.8
Thank You!