



Handout 2.8—Test a REAP and Develop Your REAP's Table of Contents Activity

Activity Goals

PART 1—Test a REAP:

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

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

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

Activity Materials

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Department of Public Recreation Records Emergency Action PlanPage 11

Activity Instructions

PART 1—Test a REAP:

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

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

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

PART 2—Develop Your REAP's Table of Contents

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



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

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

Submit Your Completed Worksheets

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



Develop Your REAP's Table of Contents Worksheet

Name(s): _____

Agency: _____

PART 2—Develop Your REAP's Table of Contents



DPR Agency Overview

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

Current Administrative Structure and Activities in the Jacksonville Regional Office

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

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

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

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

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



The Records

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

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

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

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

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

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

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

The Building

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



The Holdings

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

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

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

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

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

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



DPR Emergency Scenario

Water Leak—Day One

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

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

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

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

Water Leak—Day Two

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



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

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

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

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

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



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Department of Public Recreation Records Emergency Action Plan

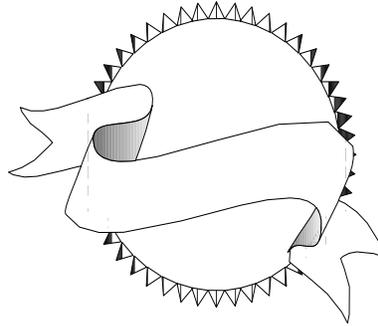


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Preserving the natural and cultural resources park system
for enjoyment, education, and inspiration of this
and future generations

1776 Eagle Way
Springfield, Columbia 32214



Introduction

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

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

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

(DPR REAP page 2)



Emergency Prevention

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

(DPR REAP page 3)



Procedures in Case of Emergency

General Procedures

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

Action Team First Response

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

Action Team Second Response: Response Operations

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

Action Team Third Response: Recovery Operations

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

(DPR REAP page 4)



Action Team List

Coordinator

Preparedness: Arranges periodic training for Action Team members.

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

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

Facility Services Manager

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

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

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

Security

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

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

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

Administrative Officer

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

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

Health and Safety

Preparedness: Establishes evacuation procedures.

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

Recovery: Monitors mold and mildew levels.

(DPR REAP page 5)



Public Affairs

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

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

General Counsel

Preparedness: Reviews all Statements of Work contracts.

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

Recovery: Reviews after-action report for incident liability.

Records Management

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

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

Recovery: Supervises staff participating in on site recovery.

Human Resource

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

Response: Implements procedures for notification of all employees.

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

(DPR REAP page 6)



Phone Tree

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

Table 1: Phone Tree

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

(DPR REAP page 7)



Holdings List

File plan

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

Clippings files

Restaurant menus

Hotel brochures

(DPR REAP page 8)



Sources of Supply

DPR Emergency Supply Cabinet:

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

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

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

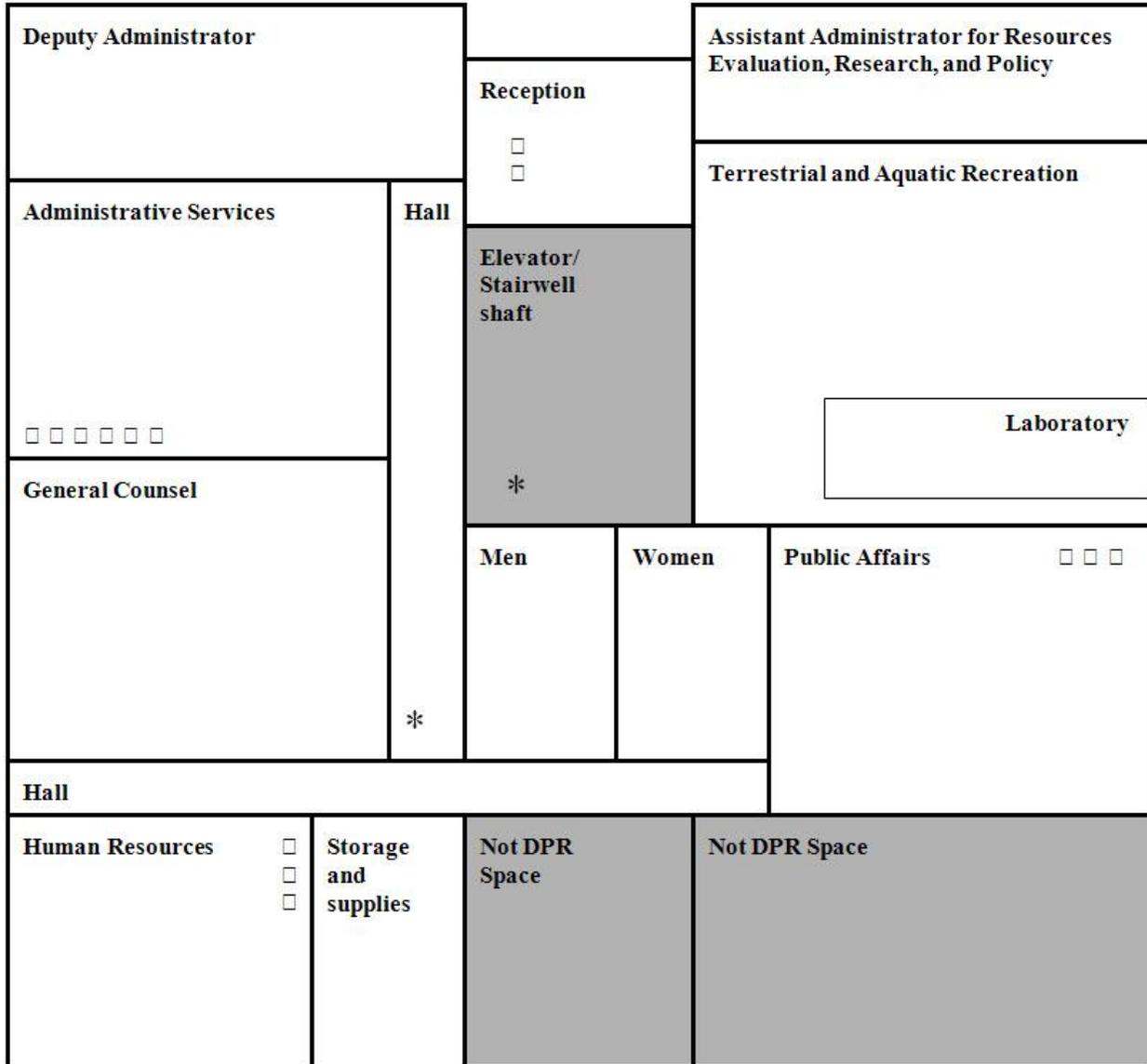
Conventional trucks: Hot Wheels, Inc.
8602 River Road
Jacksonville, FL 32204
(904) 647-6647

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

(DPR REAP page 9)



Floor Plan: Second Floor



(DPR REAP page 10)