Essential Records Webinar
Session 2

Instructor Guide

Final, July 2010

FEMA

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Session 2—Administration Page

Duration

90 minutes

The following is a suggested time plan for this session. We encourage the Instructor to adapt it as needed.

The blank "Start Time" column exists as a worksheet on which you can create a schedule for your specific session. Using the scheduled start time of your session and the suggested durations provided in Table 1, calculate the start time of each topic and enter it in the "Start Time" column. Also record the start times in the blank Start Time fields provided throughout this document, at the beginning of the topics. This will help you keep track of your progress and help you check whether or not you're on schedule.

Table 1: Suggested Time Plan

TOPIC	DURATION	START TIME
Session 2 Introduction		
• Session 2 Welcome and Overview	5 minutes	
Take-Home Activity Debrief		
• Session 1 Activity: Determine Essential Functions and Identify Essential Records—Part 2	20 minutes	
Module 2— Protect Essential Records		
• Introduction and Objectives	5 minutes	
• Lesson 1: Identify and Evaluate Hazards and Risks	30 minutes	
Session 2 Review and Wrap-Up		
• Session Review	5 minutes	
• Activity: Identify and Evaluate Risks	25 minutes	
Total Duration	**90 minutes**	

Scope Statement

Session 2 addresses risk management, risk identification, and risk analysis with regard to an agency's essential records. It includes:

- Session 2 Introduction

- Take-Home Activity Debrief

- Module 2—Protect Essential Records:
    - Lesson 1: Identify and Evaluate Hazards and Risks

- Session 2 Review and Wrap-Up

Session 2 Introduction

The Session 2 Introduction quickly reviews the material covered in Session 1 and previews the material to be covered in Session 2.

Take-Home Activity Debrief

The Take-Home Activity debrief provides participants the opportunity to share the results of their homework assignment with the class, receive feedback from the Instructors, and discuss any issues or questions they may have about the activity.

Module 2

NOTE: Module 2 is split among Sessions 2 and 3:

- Lesson 1 is presented in Session 2.

- Lesson 2 is presented in Session 3.

Lesson 1 of Module 2 focuses on identification and assessment of hazards and risks to essential records. It begins by defining several risk management terms and then examines the two steps of risk management: risk identification and risk analysis. The lesson examines categories of risk and discusses several methods for identifying risks. It also addresses prioritization and documentation of risks.

Session 2 Review and Wrap-Up

The Session 2 Review and Wrap-Up quickly reviews the key points covered in Session 2 and introduces the material to be covered in Session 3. It also introduces the Take-Home Activity.

Session Objectives

Module 2—Protect Essential Records

NOTE: As mentioned above, Module 2 is presented across two sessions. The objectives addressed in this session appear below in bold.

Terminal Learning Objectives:

- **Participants will be able to identify and evaluate risks to the essential records of an agency.**

- Participants will be able to identify and evaluate preparedness and mitigation strategies to protect and ensure continued access to essential records in case of natural disasters or human-caused threats such as arson, vandalism, computer hacking, or terrorism.

Enabling Objectives:

- **Assess and analyze risks to essential records, including risks specific to your region or locality.**

- Identify and evaluate preparedness and mitigation measures.

Instructor-to-Participant Ratio

2:30—We suggest that at least two Instructors lead each webinar and that there be no more than 30 participants.

Methods

The following instructional methods are used in this session:

- Instructor presentation

- Group discussion

- In-Session Activity

- Take-Home Activity

Practical Exercise

Session 2 contains one two-part activity, Identify and Evaluate Risks, in which participants assess, analyze, and document risks to records.

- Part 1 is an In-Session Activity focusing on a fictitious state agency.

- Part 2, is a Take-Home Activity focusing on the participant's agency.

Sources of Course Content

- National Archives and Records Administration's (NARA) course, Vital Records (April 2008)

- American National Standards Institute (ANSI)/ARMA International 5-2-003 "Vital Records Programs: Identifying, Managing, and Recovering Business Critical Records" *http://www.arma.org/standards/VitalRecords.cfm*

- Emergency Management for Records and Information Management Programs. Virginia A. Jones, CRM and Kris E. Keyes, 2001

Instructional Materials

- Session 2 Instructor Guide (for instructors)

- Session 2 Participant Guide (for participants)

- Session 2 Slides

- Handout(s):

  - **Handout 1.6**—The Division of Public Recreation (DPR) Overview
  - **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity
  - **Handout 2.1**—Risk Assessment—Sample Hazards Inspection Checklist
  - **Handout 2.2**—Possible Hazards
  - **Handout 2.3**—Identify and Evaluate Risks Activity

- Reference(s):
    - **Reference 01**—Resource Center, References, Reading List
    - **Reference 02**—Key Terms for the IPER Courses
    - **Reference 03**—Participant Webinar Reference Guide
    - **Reference 04**—iLinc Quick Reference for IPER Instructors (instructors only)
    - **Reference 05**—Webinar Troubleshooting Guide (instructors only)
- Polling question(s):
    - None
- Prepared Powerboard file(s):
    - **PB 2.1**—Session 2 Review
- Evaluation(s):
    - None

Equipment

- Required equipment:
    - Internet-enabled computer
    - Telephone (Each Instructor should have his or her own telephone. If you want to use the telephone hands-free, you should use a headset instead of a speakerphone to reduce background noise that will distract the participants.)
- Optional equipment:
    - A second Internet-enabled computer, logged into the webinar as a participant, so you can see what the participants see.

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Session 2 Introduction

Instructor Notes	Participant Guide

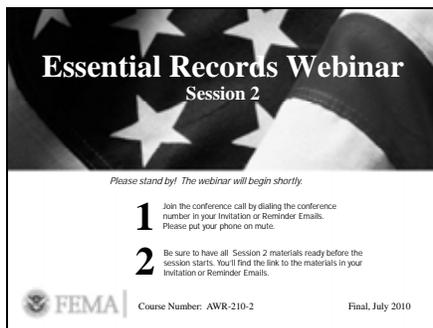**Session 2 Welcome and Overview**

PG 2-1

(Duration: 5 minutes)

START TIME: _____

Log in to iLinc 30 minutes prior to the start of the webinar session to make sure there are no technical issues.

Launch the Session 2 slides file in iLinc.

Show slide 2-1.

Required materials for Session 2:

- Session 2 Participant Guide

- Session 2 handouts:
    - **Handout 2.1**—Risk Assessment—Sample Hazards Inspection Checklist
    - **Handout 2.2**—Possible Hazards
    - **Handout 2.3**—Identify and Evaluate Risks Activity

- Materials from prior sessions:
    - **Handout 1.6**—The Division of Public Recreation (DPR) Overview
    - **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity, with Tables 1 and 2 completed

REMINDERS TO INSTRUCTOR:

- Before class begins, ***be sure to check*** (1) the IPER Resource Center for special announcements to Instructors about the course and (2) the Frequently Asked Questions (FAQs) to see if there are any newly posted items that may be relevant to your course or participants.

- When you are not speaking to the participants, ***remember to have*** your phone on mute.

- When you are speaking to the participants, ***remember to reduce or eliminate*** background noises, such as pages being turned, co-workers talking, etc.

- If you are recording this session, *remember* that discussions conducted via iLinc's Chat tool are captured in the session recording. When using the Chat tool, *make sure to maintain* a professional dialog that is appropriate for everyone to view.

- When using iLinc's WebSync function, participants cannot see any actions you perform (such as moving your cursor or scrolling); therefore, when you interact with a web page or document, you will need to provide instructions to the participants on what to do ("scroll down," "select this," etc.) so their view will match your view.

Continue to show slide 2-1 until all participants have joined the session (or until it's time to start the webinar).

Welcome participants as they enter the webinar.

- *Tell* them that the webinar will begin shortly.

Five minutes prior to the start of the session, *check* the Attendee panel in iLinc and compare it to the class roster to see if all of the participants have entered the webinar.

If all of the participants have
entered:

- *Say:* Hi, everybody. This is
  <u>your name</u>. I know it's a
  couple of minutes early, but
  since everybody's here, I'd like
  to get started, if that's OK with
  everyone.

- *Begin the session* (see the
  "Begin the Session" Instructor
  Note below).

If all of the participants have not
yet entered:

- *Say:* Hi, everybody. This is
  <u>your name</u>. We are waiting
  for a few more people to join
  us, and then we'll get started.

- *Monitor* the Attendee panel
  until all participants have
  entered the session or until the
  start time is reached.

- *Begin* the session (see the
  "Begin the Session" Instructor
  Note below).

BEGIN THE SESSION:

 Start the iLinc recorder.

Say:

- Welcome to Session 2 of the *Essential Records Webinar*.

- To refresh your memory, I'm <u>\<your name\></u> and teaching with me today is <u>\<name of Instructor 2\></u>.

- Before we get started, I'd like to remind everyone to mute their phones and not to put your phone on hold during the webinar. If you need to take another call or a break during the session, please hang up and call back to rejoin.

Remind participants that they should have the Session 2 course materials ready (either printed or open on their computer) so that they can access them when needed.

- *Remind* participants that the Reminder Email provided a link to the materials.

Say: We don't recommend that you print the materials now, but if you do, please make certain your phone is on mute.

Remind participants that recordings of the sessions are available on the Intergovernmental Preparedness for Essential Records (IPER) Resource Center, and if they missed the prior session, they can view a recorded version at: *http://www.statearchivists.org/resource-center*

Say: Let's do a quick review of
what we covered last week and
take a look at what we're going
to discuss today.

Show slide 2-2.
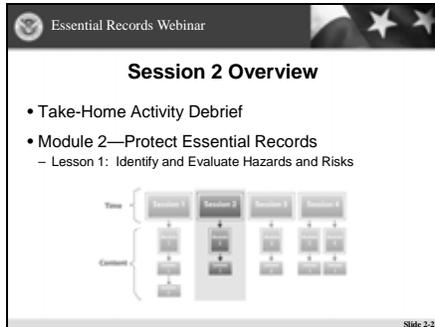
Say:

● Last week we focused on what
essential records are and how
to identify your essential
records.

● We learned the definition of an
essential record and why
essential records are
important. We also learned the
categories and characteristics
of essential records, and the
information needed to identify
essential records.

● We then focused on how to
determine an agency's
essential functions in order to
identify essential records.

Go over what Session 2 will cover:

- *Say:* Today, we will focus on identification and assessment of hazards and risks to your essential records, so that we can determine the best strategies for protecting them; we'll discuss the strategies in Session 3.

- *Say:* The session includes the following:

  - *Read* the Session 2 Overview, as provided on the slide.

Say: Today's session is 1 hour and 30 minutes in duration. Because it's a shorter session, there will not be a break.

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Take-Home Activity Debrief

PG 2-3

**Session 1 Activity: Determine Essential
Functions and Identify Essential
Records—Part 2**

(Duration: 20 minutes)

START TIME: _____

Show slide 2-3.

Tell participants to go to
Handout 1.7 (from the Session 1
materials) and locate Table 2: My
Agency's Essential Functions
and Essential Records on
page 5.

- ***Remind*** participants that this
  is the table they should have
  completed for Part 2, the take-
  home portion, of the Session 1
  activity and emailed to you
  by yesterday.

Ask participants to raise their hands (or use the "Public" tab of the Chat tool) if they had any difficulties completing the Take-Home Activity.

- If anyone had a problem, **make sure to resolve it** before continuing.

Debrief the activity by conducting a group discussion:

- **Say:** The goal of this activity was to practice determining your agency's essential functions and identifying the essential records that support those functions. The activity asked you to identify five essential records, one for each of the five types of essential records.

- **Say:** I need a volunteer to share his or her answers for the first type of essential records, records that are necessary for emergency response.

- **Tell** participants to share the following:
  - The essential function they identified
  - The essential record that supports that essential function
  - A brief description of the process they used to determine the essential function and essential record

- *Tell* participants to raise their hands to answer or to type their answers in the Chat tool, using the "Public" tab.

- *Call on* participants who have their hands raised.

  − *Remind* participants to take their phones off mute before speaking.

- *Acknowledge* any responses provided in the Chat tool.

- *Confirm or correct* responses as appropriate.

- OPTIONAL: If no participants volunteer, you may opt to share a response from one of the homework sheets submitted by the participants.

Continue to debrief the activity in the same manner, *making sure to address* each of the five types of essential records.

- *Have* at least two participants share for each type of essential record.

- *Make sure* different participants share, so the same few don't do all the talking or chatting.

Ask for and *resolve* any questions.

Remind participants why it is important to do the homework, as assigned. The activities are designed to:

- Apply what was discussed in a particular session

- Build on each other

- Take you through the initial steps of identifying and protecting your essential records

Transition: Once you've identified your essential records, your next step is to decide on the best methods to protect them in the event of an emergency. In order to do that, you need to have a good idea of the hazards and the associated risks to those records. Let's get started on Module 2, where we'll focus on protection of essential records, starting with identification and assessment of the hazards and risks to your records.

Module 2—
Protect Essential Records

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Module 2 Introduction and Objectives

Module 2 Introduction

PG 2-7

(Duration: 5 minutes)

START TIME: _____

Show slide 2-4.

Essential Records Webinar

Module 2—Protect Essential Records

Introduction and Objectives

Slide 2-4
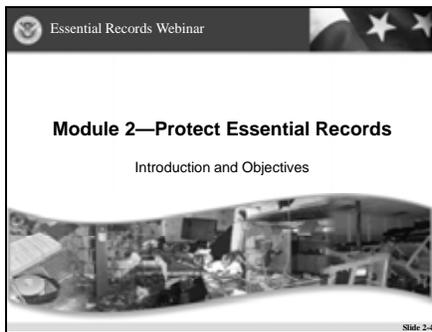
Introduce the module.

● ***Say:***

  – Module 2 contains two lessons, presented across two sessions. In today's session, we'll complete Lesson 1 and in our next session we'll complete Lesson 2.

  – In Lesson 1, we will focus on identification and assessment of the hazards and risks to essential records.

- We will begin by defining several risk management terms; then we'll examine risk assessment, the identification of risks.

- We'll examine several categories of hazards and risks and discuss techniques for identifying risks.

- Next, we'll examine evaluation of risks through a risk analysis.

- Finally, we'll take a look at prioritization and documentation of risks.

Transition: Let's take a look at the objectives for Module 2.

PG 2-8

Module 2 Objectives

Show slide 2-5.

Essential Records Webinar

Module 2 Objectives

- At the completion of this module, you will be able to:
  - Assess and analyze risks to essential records, including risks specific to your region or locality
  - Identify and evaluate preparedness and mitigation measures

Slide 2-5

Review the module objectives.

Say: We'll cover the first objective in this session, as indicated by bold text, and we'll address the second objective in Session 3.

Transition: Let's get started with Lesson 1 and talk about identifying risks.

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

- **Assess and analyze risks to essential records, including risks specific to your region or locality**

- Identify and evaluate preparedness and mitigation measures

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Lesson 1: Identify and Evaluate Hazards and Risks

PG 2-9

(Duration: 30 minutes)

START TIME: _____

Show slide 2-6.
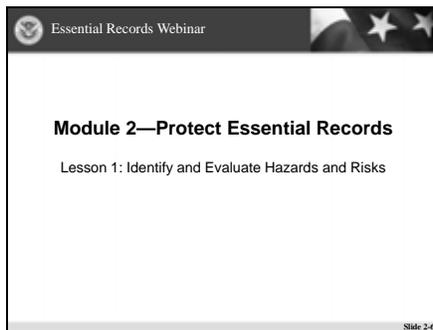
Introduce the lesson.

Say: In this lesson, we'll focus on identifying the risks to your essential records and we'll learn a systematic way to evaluate those risks.

Transition: Let's get started by going over some risk management key terms.

PG 2-10

Show slide 2-7.

Essential Records Webinar

Risk Management Key Terms

• Hazard
• Risk
• Risk management
• Risk assessment
• Risk analysis

Flood in Oneonta, NY
Photo courtesy of Mario R. Arevalo, Oneonta (NY) City Assessor

Slide 2-7

Review the definitions for hazard, risk, and risk management.

You need to be familiar with certain terms in order to discuss protection of your essential records:

- A **hazard** is something that is potentially dangerous or harmful, often the root cause of an unwanted outcome. Hazard is the term used by DHS/FEMA to describe a natural or manmade incident that creates a risk. An example of a hazard would be overhead pipes in a file room.

- **Risk** is the potential harm that may arise from some present process or future event. Examples of risks encountered in records management include damage to records, records getting wet from an overhead pipe leak, and unauthorized destruction of records.

Say:

● Risk management is the overarching term we use for the whole process of identifying risks, determining those that require protection strategies, informing the organization, determining priorities and taking action to manage the risks.

- **Risk management** is the entire process of assessing risks, evaluating risks, and then deciding on priorities for actions and informing the agency, so that resources are available and actions can be taken to manage the risk. What we are doing in risk management for essential records entails developing a strategy to manage the risks by identifying and evaluating protection strategies appropriate for essential records. Examples of risk management include storing records in waterproof cabinets, inspecting pipes annually, and relocating records stored in risky environments.

- Risk management's purpose is to ensure that your agency does not try to live with high-risk conditions that in all probability will result in an emergency down the road and lead to the loss of essential records.

- Planning and preparation for emergencies are costly. Risk management can help identify both the costs for planning and preparation, and the costs of not doing anything at all.

- Usually, "not doing anything" is ultimately much more expensive for an agency than spending the money to prepare a proper essential records program.

Say: Simply put, risk assessment is the identification of risks.

Review the example provided.

- **Risk assessment** is an examination of the potential harm that may result from exposure to certain hazards. Simply put, risk assessment is the identification of risks.
  An example of risk assessment would be taking a closer look at the file room where your records are stored, and determining what harm to the records might occur if the overhead pipes in your file room leaked.

Say: After risks have been identified in the risk assessment, they must be evaluated as to the potential severity of the harm they would cause, and the probability of their occurrence. This is where risk analysis comes in.

Say: Simply put, risk analysis evaluates the probability and the impact of identified risks.

Review the example provided.

- **Risk analysis** is the systematic use of available information to determine how often specified events may occur and the magnitude of the consequences if they do occur. We use risk analysis to evaluate the probability of occurrence of the risk identified in the risk assessment, and the impact the occurrence of those risks would have on your records and information.
  For example, in your risk assessment, you determined that the overhead pipes in your file room represent a risk: They could spring a leak and damage the records. During the risk analysis, you would determine the probability of a leak's occurring and the impact it would have on the records.

Explain how an essential records program uses risk assessment and analysis.

When planning your essential records program, you will use risk assessment and analysis to:

- Identify the risks involved if the essential records remain in their current locations and on their current media

- Identify the difficulty of reconstituting the records if they are destroyed

- Determine whether off-site storage is necessary

- Determine whether use of alternative storage media is advisable

- Determine whether it is necessary to duplicate records to provide an essential record copy

Remind participants that:

- Definitions for these key terms and others from this course are provided in **Reference 02**—Key Terms for the IPER Courses.

- An updated and more extensive glossary is provided on the IPER Resource Center.

Transition: Let's take a closer look at risk assessment and risk analysis.

Risk Assessment—Identify Risks

PG 2-12

Show slide 2-8.

Review the types of risks relevant to an essential records program.

In order to identify risks properly, you must first be aware of the types of risk you may encounter. The risks relevant to an essential records program can be grouped into three categories:

- Risks from loss of agency memory

- Risks related to emergencies

- Risks related to records management

To list all possible types of risks pertaining to essential records would be impossible. Every records management program is different and faces its own unique types of risk. The risks included in these three categories may or may not apply to your essential records program, but they should serve as a starting point to get you thinking about the risks faced by your program.

Say: Let's take a closer look at each of these categories.

Risks From Loss of Agency Memory

Show slide 2-9.
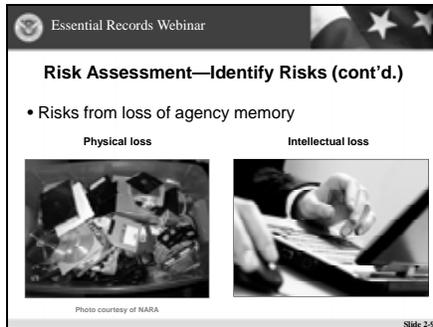
Explain risks from loss of agency memory.

The loss of agency memory is the absence of valuable program and/or administrative information (background information, current data, and/or historical references)—an absence or lack that can result in poor decisions, incorrect information given to residents, and the loss of a historical record.

There are two types of agency memory loss:

- **Physical loss** of records or information

- **Intellectual loss**, including loss of intellectual control. When agency employees maintain information on their individual desktop computers rather than in a centralized location, agencies often have no control over—or idea of—what information exists and where it is located.

Lead a group discussion:

- *Ask:* Who can give me an example of physical loss?

- *Tell* participants to raise their hands to answer or to type their answers in the Chat tool, using the "Public" tab.

- *Call on* participants who have their hands raised.

  - *Remind* participants to take their phones off mute before speaking.

- *Acknowledge* any responses provided in the Chat tool.

- *Confirm or correct* responses as appropriate.

- **Expected answers:** will vary

Provide some additional examples:

- *Say:* Physical losses are those that probably come to mind first when we think about emergencies:
  - Case files destroyed when the courthouse burns down
  - Voter registration records destroyed when the basement of the county administrative building floods

- *Say:* After an F-5 tornado hit Parkersburg, Iowa in 2008, records from City Hall were found 140 miles away in Wisconsin.

Lead a group discussion:

- *Ask:* Who can give me an example of intellectual loss?

- *Tell* participants to raise their hands to answer or to type their answers in the Chat tool, using the "Public" tab.

- *Call on* participants who have their hands raised.

  - *Remind* participants to take their phones off mute before speaking.

  - *Acknowledge* any responses provided in the Chat tool.

- *Confirm or correct* responses as appropriate.

- **Expected answers:** will vary

Provide some additional examples:

- Loss of indexes could be catastrophic for records that are filed numerically (for example, case files that require access by name of an individual or organization).

- Loss of a single volume of city council minutes, if not available in any other form (microfilm copy or backup electronic file), could eliminate evidence of key decisions or policies.

- Proprietary business information "leaked" from government offices can undermine a corporation's financial standing.

NOTE TO INSTRUCTOR:

- If you have any personal examples of physical or intellectual loss, *share* them with the class.

Risks Related to Emergencies

Show slide 2-10.

Introduce risks related to emergencies.

Records emergencies can be devastating to an agency. If the emergency is severe enough, or the loss of records and information critical, it is likely that the agency may not be able to recover. A very severe emergency that overwhelms an agency's or community's ability to respond is termed a disaster.

Records emergencies can be categorized as follows:

- Natural emergencies

- Technological emergencies

- Civil emergencies

These emergencies often interact, one influencing or aggravating another. We present them separately here to raise awareness of the risks of each.

Say: Let's look at some examples of risks in each of these categories.

Review natural emergencies.

Natural Emergencies

- Earthquakes

- Hurricanes

- Tornadoes

- Floods

Review technological emergencies.

Technological Emergencies

- Building and equipment failures

- Electrical malfunctions

- Hazardous material accidents

- Airplane crashes

Lead a group discussion:

- *Ask:* Would someone like to share a real-life example of a technological emergency that happened at your job?

- *Tell* participants to raise their hands to answer or to type their answers in the Chat tool, using the "Public" tab.

- *Call on* participants who have their hands raised.

  - *Remind* participants to take their phones off mute before speaking.

- *Acknowledge* any responses in the Chat tool.

- *Thank* participants for their input.

- If no participants respond, or if you'd like to add more examples, *provide* these theoretical examples:
  - Server damage caused by brown-outs
  - Hard-drive crashes
  - Mold growth caused by failure of air conditioning system
  - Leaks from broken pipes that soak paper files and computers
  - Nuclear accidents

Review civil emergencies.

Civil Emergencies

- Arson

- Widespread theft and looting

- Vandalism

- Terrorism

- War

Provide real-life examples of a civil emergency:

- The Great Chicago Fire in 1871 resulted in the loss of the majority of the city's written records of the time.

- A laptop computer containing personal information and Social Security numbers for millions of veterans was stolen from an employee of the Department of Veterans Affairs.

Explain that with the Veterans Affairs case, the federal government has spent a substantial amount of money to reconstruct the information that was lost; it could not simply accept the loss and keep going, because the government and the veterans depend on that information for a variety of uses.

Explain that this teaches us that the loss of records does not always result simply in inconvenience—it can also create a large financial burden for decades to come.

Lead a group discussion:

- *Ask:* Would someone like to share a real-life example of a civil emergency that happened at your job?

- *Tell* participants to raise their hands to answer or to type their answers in the Chat tool, using the "Public" tab.

- *Call on* participants who have their hands raised.

  − *Remind* participants to take their phones off mute before speaking.

- *Acknowledge* any responses provided in the Chat tool.

- *Thank* participants for their input.

- If no participants respond, or if you'd like to add more examples, *provide* the following theoretical examples:

  − Thefts resulting from loss of keys or failure to lock doors and windows

  − Arson fires started by individuals who are on trial and want to destroy evidence in a courthouse

  − Riots and looting that results in loss of records by fire, theft, dispersal, and/or water damage

Risks Related to Records Management

Show slide 2-11.

Explain the risks related to records management.

There are several types of risks related to records management:

- **Legal**—Risk of losing a legal challenge because the agency may not have created or maintained records necessary to prove its case. Poor management of records may make the agency unable to respond to a request for access under legal discovery, the Freedom of Information Act, open records, or right-to-know laws. Retaining many records for long periods increases the number of records that an agency must sort through in response to such requests.

- **Security**—Inadequate physical and network security measures increase the risk of loss or alteration of records. Also, there is a risk of restricted information, such as confidential or Privacy Act information, being released inappropriately.

- **Business**—Risk of bad decision-making without necessary records, and of the poor organization of records hindering daily operations, rendering the program ineffective.

- **Accountability**—Risk of not being able to satisfy public scrutiny, of not being able to provide full government accountability, and of not being able to respond to requests for access to restricted records, because records are not created or maintained appropriately.

- **Technology**—Risk of losing data or not being able to access data, due to changes in technology.

  - Records stored on individual hard drives are not backed up with the network, so if the hard drive crashes, the records could be lost irretrievably.
  - Technological obsolescence—Rapid changes in hardware and software formats and media put records at risk, because the agency might not be able to open and read records in the future.

- **Long-term preservation of records**

  - Environment—Environmental conditions such as excessive heat, humidity, sunlight, etc., increase the risk that the physical media on which the records are stored will deteriorate.
  - Physical format deterioration—The longer records are kept, the greater the risk of records being lost because the physical format degrades over time, because of inherent instability in media such as floppy disks, factors like acid in paper, etc.

Refer participants to IPER's *Introduction to Records and Information Management for State and Local Governments* course—available in the IPER Resource Center—as a basic introduction to records management concepts and principles.

Say: Let's take a look at the effect of the size of an emergency as part of risk assessment.

Scope of an Emergency or Disaster

Show slide 2-12.

Essential Records Webinar

Risk Assessment—Identify Risks (cont'd.)

• Scope of an emergency
 – Onsite
 – Immediate vicinity
 – Community- or region-wide

Photo courtesy of NARA

Slide 2-12

Review the scope of an emergency or disaster.

The scope of a disaster or emergency is also an important factor to consider when identifying risks. The scope can be either:

- **On site**—Events with a very narrow scope, striking only a single building, floor, or office. Use of community and organizational resources is possible. Response and recovery can begin quickly. Examples include fires, burst water pipes, or power failures.
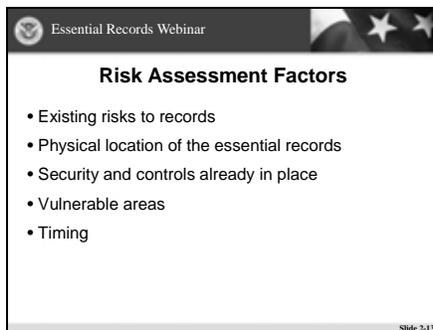
- **Immediate vicinity**—Events in which loss of life, power outages, and massive destruction may occur, but communication and emergency services are typically not affected. Typically, backup procedures can be applied immediately, but records salvage may be hindered. Examples include tornadoes or bombing incidents.

- **Community- or region-wide**—Events with immediate disruption of communications and emergency services, power outages, and widespread destruction. Employees' homes and families are often endangered. Access to and restoration of backup information is often hindered. Getting to facilities and work sites to begin records and information recovery can be difficult. Examples include hurricanes and other widespread natural emergencies.

Say: Let's review some of the factors that should be considered when assessing risk.

Risk Assessment Factors

Show slide 2-13.

Essential Records Webinar

Risk Assessment Factors

- Existing risks to records
- Physical location of the essential records
- Security and controls already in place
- Vulnerable areas
- Timing

Slide 2-13

Review the factors that should be considered when assessing risks.

As you assess the risks to your agency and its records, you should consider the following factors:

- **Existing risks to records**—Are any of your agency's essential records already at risk? Are the records stored under appropriate security and environmental conditions? Will the technology you need to access and read the records be available? Are any of the records in a format that is difficult to duplicate and secure off site?

- **Physical location of the essential records**— Consider your site's physical location and characteristics. What is the building like? Is it located in a high-traffic area, a flood plain, or near other hazardous sites? Is it prone to any locality-specific risks, such as certain weather events? Are the records stored in a basement or an attic?

Say:

- Basements and attics are frequently used to store records because neither location is suitable for office space.

- These are particularly dangerous places to store records, however, and should be avoided.

- Records stored in basements may be subject to damp conditions which promote mold.

- Basements are vulnerable to leaks from water pipe breaks on upper floors, just as attics are prone to roof leaks from storm damage or poor maintenance.

- Both types of leaks can seriously damage records.

- **Security and controls already in place**—What security and access controls are already in place? Consider not just the controls related to securing your building and storage areas (e.g., locks, fire detection), but also security and access controls for electronic systems.

Say: In the case of electronic records, the risk can be "virtual." Think about how the network is secured and who has access, both physically and electronically.

- **Vulnerable areas**—As you assess the current situation for your agency, identify the vulnerable areas that need to be addressed to minimize risk.

- **Timing**—It can also be worthwhile to examine how the risks differ, depending on whether an incident occurs during working hours or non-working hours. Agencies may assume that they'll have sufficient personnel available to respond to an incident during working hours, but what if an incident occurs during non-working hours? Will they still have sufficient personnel available to respond?

Say: Now that you know the types of risks you can encounter, let's take a look at the techniques used to identify these risks.

Risk Assessment Techniques

Show slide 2-14.

Review the techniques for identifying risks.

There are many different techniques for identifying risks. Not all will be applicable to smaller communities and agencies. For some, interviews or brainstorming may be the best option. Nevertheless, find the best way for your agency, but definitely conduct a risk assessment.

Three common techniques are:

- Physical site survey

- Expert interviews

- Brainstorming

Point out that combining more than one of these techniques may prove to be even more beneficial than using just a single technique.

Say: Let's take a closer look at each of these techniques.

Review the risk identification technique of the physical site survey.

Physical Site Survey

The physical site survey provides information on additional specific risks to the location(s) in which essential records are kept. Begin the survey up to a mile out and work inwards to the building noting all possible dangers; then assess the building itself.

A team or a committee carries out a physical survey of locations where essential records are stored, along with a review of security procedures already in place. Information that can be gathered by the survey includes:

- Number and types of employees who have access to the essential records

- Proximity of storage areas to laboratories, factories, or other facilities that contain flammable materials or hazardous substances

- Vulnerability to water damage

- Availability of fire control apparatus (detection, suppression, etc.) and fire department services

- Ability to reconstruct recorded information through backup procedures or use of other media

(Refer to **Handout 2.1**—Risk Assessment—Sample Hazards Inspection Checklist for an example of some of the hazards you might look for in a physical survey.)

Open a document from the "Course Handouts and References" WebSync file in iLinc.

- Document name: **Handout 2.1**—Risk Assessment—Sample Hazards Inspection Checklist

- ***Tell*** participants to go to **Handout 2.1**—Risk Assessment—Sample Hazards Inspection Checklist for an example of some of the hazards you might look for in a physical site survey.

- ***Review*** the handout.

When done, ***close*** the document for everybody by selecting "Close All" when prompted.

Review the risk identification technique of interviewing local experts.

Expert Interviews

Expert interviews are the easiest and most frequently used risk identification technique, with the caveat that the quality depends on the interviewer's being unbiased. This technique provides a way to collect risk-related data from subject matter experts and other stakeholders. It relies on expert judgment to identify and analyze potential risks, and to develop strategies to address them.

Information from local sources might highlight elements of risk that are unknown to your agency. You may discover that your building was once the site of a flood, and that all the damage has been cleaned up so that the effects are not visible. Your fire patrol and facilities staff could help you identify whether there is a risk of an arson attack.

You should also discuss risks with your emergency management agency and information technology (IT) staff. Others who could provide useful insights include experts on flooding, earthquakes, and public health issues.

Hazards are seldom deeply held secrets. Experience indicates that virtually all risks of significant impact are more or less common knowledge. Therefore, the challenge lies in gathering the knowledge of that hazard so that the risk can be managed.

Review the risk identification technique of brainstorming.

Brainstorming

For information on risks specific to your agency, brainstorming unearths and documents your in-house expertise. The goal of the brainstorming technique is to help people search creatively for hazards and risks, and to stimulate thinking outside the box.

Brainstorming is a group process. Each member of the group is asked to provide input on major issues leading to risks. Members are encouraged to use each other's ideas to generate new ideas. The results of this discussion are summarized as the group's results, and risk issues are identified.

To assist with the brainstorming, expert judgments for local events can be found on websites, including those of NOAA (National Oceanic and Atmospheric Administration), USGS (U.S. Geological Survey), and DHS/FEMA, for the United States. In general, hazards from natural phenomena are ranked by state, and may include projections for future events.

iLinc

Open a document from the "Course Handouts and References" WebSync file in iLinc.

- Document name: **Handout 2.2**—Possible Hazards

- **Tell** participants to go to **Handout 2.2**—Possible Hazards, for a list of events that may be a risk to your essential records.

- **Review** the handout.

- **Explain** that it's important to be realistic and focus on those risks that are likely to happen in your state or locality and/or circumstances. In other words, don't be concerned about a tsunami if you live in Iowa.

When done, **close** the document for everybody by selecting "Close All" when prompted.

Refer participants to the IPER Resource Center for resources on identifying risks that are relevant to their state.

Say: Let's take a moment to visit the Resource Center and look at the information on identifying risks relevant to your state.

Refer to **Handout 2.2**—Possible Hazards for a list of events that may be a risk to your essential records.

Refer to the Intergovernmental Preparedness for Essential Records (IPER) Resource Center, located at *http://www.statearchivists.org/resource-center* for resources on identifying risks that are relevant to your state.

Launch web page in iLinc:

- Web page: IPER Resource Center

  − URL: *http://www.statearchivists.org/resource-center*

- *Browse* to the class's state.

- *Point out* the information on identifying risks relevant to participants' state.

  − NOTE: If there is no state-specific information, direct them to the federal resources for identifying risks.

When done, *close* the web page for everybody by selecting "Close All" when prompted.

Transition: Once you've identified your risks, you'll need to analyze them.

PG 2-22

Show slide 2-15.

Risk Analysis—Evaluate Risks

Review the definition of risk analysis.

Once you've identified the risks to your essential records, your next step is to evaluate those risks by performing a risk analysis. As mentioned earlier, risk analysis evaluates the probability and the impact of identified risks. The purpose of the risk analysis is to identify where and how to direct your efforts and resources. Smaller agencies should review the options presented here and adapt them to their own needs. Some form of risk evaluation is very important.
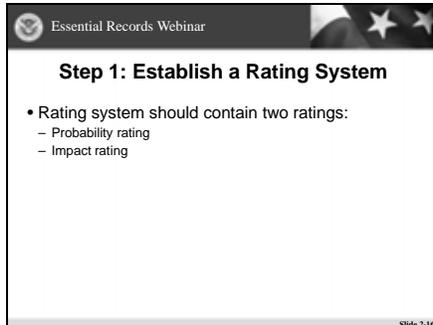
A risk analysis consists of three steps:

1. Establish a rating system:
   – Probability rating
   – Impact rating

2. Rate your risks.

3. Evaluate your findings.

Say: Let's look at each step in detail.

Show slide 2-16.

Essential Records Webinar

Step 1: Establish a Rating System

• Rating system should contain two ratings:
 – Probability rating
 – Impact rating

Slide 2-16

Explain the first step in a risk analysis: establishing a rating system.

Step 1: Establish Your Rating System

A risk analysis should include an appropriate method of scoring risks and impacts. Each risk you identified in your risk assessment should be rated on two criteria:

- What is the likelihood (probability) of such an incident occurring?

- What impact would it have on your operations?

Therefore, your rating system should contain two ratings:

- A probability rating

- An impact rating

A simple approach is to measure these as high, medium, or low. However, you can also use a numerical scale (for example: 1–3, 1–5, 1–10), if you prefer.

Emphasize that the rating system is based on professional experience and judgment.

It's important to point out that there is no one-size-fits-all rating system. Your rating systems should be based on your professional experience, your best judgment, and/or the experience of consultants.

Show slide 2-17.

Step 1: Establish a Rating System (cont'd.)

Probability Rating	
Scale	**Criterion**
High	The event is expected to occur.
Medium	Similar events have occurred in the past.
Low	The event has little chance of occurring.

Slide 2-17

Explain the probability rating.

Probability Rating

Create your probability rating by selecting the rating scale you wish to use (high-low, numerical, etc.) and defining the criteria for the ratings.

A sample probability rating is shown in the table below.

Review the sample probability rating.

Table 2: Sample Probability Rating

PROBABILITY RATING	
SCALE	CRITERION
High	The event is expected to occur within 2–3 years.
Medium	Similar events have occurred in the past and may occur within the next 5–10 years.
Low	The event has little chance of occurring and is not likely to occur for the next 10 years.

Note that the likelihood of the event occurring within a certain time period is a factor in estimating its probability. For example, you could decide in your rating system that an event that is not likely to occur within 10 years has a low probability rating.

Thus, you are not only deciding on a rating system, you are also deciding on a standard for what your ratings mean.

Show slide 2-18.

Essential Records Webinar	
Step 1: Establish a Rating System (cont'd.)	

Impact Rating	
Scale	**Criterion**
High	Catastrophic impact; devastating loss.
Medium	Serious/critical impact; significant loss.
Low	Minor/marginal impact; some loss.

Slide 2-18

Explain the impact rating.

Impact Rating

Create your impact rating just as you did the probability rating: select the rating scale you wish to use (high-low, numerical, etc.) and define the criteria for the ratings.

Base your criteria on the financial and program implications of the risk event, such as:

- The cost to reconstruct lost or damaged records

- The probability of compromising an agency's program objectives

- The possibility of generating a lawsuit

A sample impact rating is shown in the table below.

Review the sample impact rating.

Table 3: Sample Impact Rating

IMPACT RATING	
SCALE	**CRITERION**
High	Catastrophic impact; devastating loss
Medium	Serious/critical impact; significant loss
Low	Minor/marginal impact; some loss

Show slide 2-19.

Explain creating the
rating system.

Rating System

Once you've established your rating scales, compile the
scales into a single table to create your rating system.
A sample rating system is provided below.

Table 4: Example—Risk Analysis Rating System

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

Show slide 2-20.

Explain step 2: how to rate your risks.

Step 2: Rate Your Risks

Once you've established your rating system, your next step is to rate each risk identified in your risk assessment:

- Rate the probability of the risk event occurring using your probability rating.

- Rate the impact of the risk event occurring using your impact rating.

Say: Let's look at an example of rating risks.

Read the example to the class.

Example:

The procurement office on the second floor has 10 file cabinets containing essential records that are located within two feet of inoperable windows. Outside the windows is a large oak tree. The windows have been broken in the past during a major storm. The office also houses several servers in an area that is not secure from unauthorized access. The fire suppression system is not appropriate to IT equipment (it is water-based) and there is a lack of equipment redundancy (so that failure of a single disk is catastrophic). Phone and data connections are located next to the windows.

A risk assessment has been performed, and the following risks have been identified:

1. Debris blocking access to cabinets

2. Debris and water from storm

3. Mold and mildew

4. Temperature and humidity—unstable environment

5. Loss of data

6. Fire damage

7. Inability to access data

8. Inability to communicate

Point out that we provide this list of risks only for example purposes; this does not represent the complete list of risks for this scenario. Other risks also exist, such as water damage from causes other than storms, smoke damage, etc.

Say: Apply your probability ratings and impact ratings to each of your identified risks.

Point out that when applying your ratings, you are essentially making a best guess based on the information available. No one can know for sure what will happen in the future.

Show slide 2-21.

Review the ratings, as shown on the slide.

Table 5: Example—Rating Your Risks

IDENTIFIED RISK	PROBABILITY	IMPACT
1. Debris blocking access to cabinets	High	High
2. Debris and water from storm	High	High
3. Mold and mildew	Medium	High
4. Temperature and humidity— unstable environment	Medium	Medium
5. Loss of data	Medium	High
6. Fire damage	Low	Medium
7. Inability to access data	Medium	High
8. Inability to communicate	Medium	High

Explain the importance of periodically reviewing and updating your risk ratings, as risk situations can change at any time.

Keep in mind that your risk situation can change at any time, so it's important to review and update your risk ratings periodically. For instance, with regard to the probability of an event, just because something has not occurred in the past doesn't mean it can't happen in the future. Changes such as renovations that reroute water pipes may suddenly raise or lower the risk to your records storage area.

Show slide 2-22.

Explain step 3: evaluating your findings.

Point out that you'll be discussing the actions you can take to handle risk and protect essential records in the next session.

Transition: Use your results from your risk analysis to prioritize your protection and planning strategies.

Step 3: Evaluate Your Findings

Once you've rated the risks to your essential records, your next step is to evaluate your findings. This evaluation will help you determine where to direct your efforts and resources for protecting your essential records.

To conduct the evaluation, return to your rating system and determine your threshold for action: Which probability and impact combinations require action to protect the records and reduce the risks, and which do not? For example, obviously, the risks with high probability and high impact require action, but what about risks with high impact and low probability? Or risks with medium probability and medium impact? Do they also require action, or can you accept these risks? These are decisions that will be unique to your agency, based on your needs and resources.

Once you've determined your threshold for action, apply this to your risks and identify which risks require action and which do not.

PG 2-31

Managing the Risk: Prioritizing Actions

Show slide 2-23.

Essential Records Webinar

Managing the Risk: Prioritizing Actions

• To prioritize your actions, rank the risks that
  require action.

• When prioritizing, consider:
  – Cost to reconstruct the data
  – Cost of defending against legal actions associated with loss

Slide 2-23

Explain that after analyzing the risks to your agency's essential records and identifying which risks require action, you will need to rank these risks to prioritize your actions.

Review the considerations for prioritizing actions.

After you have analyzed the risks to your agency's essential records and arrived at which risks require action, you need to rank these risks to prioritize your actions. Setting these priorities for your planning and protection efforts is part of managing the risk. As you prioritize the risks, you should consider:

● The cost to reconstruct the data. This should not only include the number of staff hours involved in recreating the records if they are lost, but should also take into consideration the value of lost business, revenue, and goodwill.

● The cost of defending against legal actions associated with loss

Transition: Your final step is to document the risks.

PG 2-32

Show slide 2-24.

Say: Documenting the results of your risk assessment and analysis is a key element in getting the resources to mitigate risks or to include them in the planning process.

Documenting the results of your risk assessment, risk analysis, and prioritizing is the final step before action. It enables you to prepare a strategy for communicating the risks to your agency so that the agency can take appropriate action. Your risk priorities can be addressed as part of COOP (Continuity of Operations) planning, essential records program planning, emergency planning and records management, and information technology planning.

Review the information that should be included in the documentation.

Include the following information in your documentation:

- Potential risk—List the risk itself. For example, the agency might face a risk of water damage to its records.

- Source of risk—Record the potential source(s) of the risk. For example, the water damage might be caused by a leaky roof.

- Location of impact—Record where the risk will have an impact. Agency-wide? One particular part of the building? One work process or function? One system?

- How probable is an incident?—Rate the probability of the risk occurring. For example, in a rainy area, the likelihood of a roof leak that damages the records might be greater, and therefore have a higher rating, than in a desert area.

- Potential effects on essential records—List the potential effects of the risk on your essential records. For example, mold and mildew might begin to grow on waterlogged records.

- Severity of impact—Rank the severity of the impact to the records, if the effect were to occur.

- Existing control measures—Record any current steps, processes, or strategies your agency has in place to detect the presence of a risk, prevent it from happening, and/or mitigate its effect.

- Be sure also to include the rating system used in your risk analysis, so your readers will understand what the ratings mean.

Say: The risk matrix you'll prepare later in this session's activity is one example of how to document risk.

NOTE: The risk matrix that you'll prepare in this session's activity is one example of how to document the process and use it to compile a list of recommended actions, which in turn will assist the agency in planning for an essential records program and identifying the resources it will need.

Ask: Before moving on, are there any questions about what we've covered so far?

Resolve any outstanding questions.

Ask: Is anyone wondering, "What do I do if I simply don't have the time or resources to go through a process like this?"

Say:

- Don't worry, you need to do this only for records deemed essential—less than five percent of all your records—and this is just one possible method you can use to identify and evaluate risks to your essential records.

- The important thing is that you think about the risks to your essential records and how to mitigate them.

- Any step—even a small one—is better than none.

Transition: Let's review what we covered in this session; then we'll do an activity to apply what we've learned. And to complete the module, we'll go over your Take-Home Activity.

Session 2 Review and Wrap-Up

Session Review

PG 2-35

(Duration: 5 minutes)

START TIME: _____

Show slide 2-25.

Review the key points covered in this session.

NOTE TO INSTRUCTOR:

● The Session Review can be conducted as a question and answer (Q&A) session or as an Instructor presentation. Instructions appear below for each approach.

Q&A instructions:

If time allows, *facilitate* the review by turning some or all of the bullet points into questions.

- For example:
  - *Ask:* Who can tell me the three categories of risk? Answer via the Chat tool, using the "Public" tab.

Open a prepared Powerboard in iLinc:

- **PB 2.1**—Session 2 Review

- *Review* the key points covered in this session, as provided on the Powerboard.

- *Turn* the bullet points into questions, as appropriate.

- As participants answer the questions, *type* the correct answers on the Powerboard, under the appropriate bullet.

- *Use* the notes from the Instructor presentation section to help formulate your questions and for the correct answers.

When you are done with the review, *close* the Powerboard for everybody by selecting "Close All" when prompted.

- *Do not save* the Powerboard.

Instructor presentation review instructions:

Review the key points covered in this session, as provided on the slide.

Elaborate on the bullet points as follows.

- NOTE: For each bullet point, you may opt to redisplay the relevant slide to help reinforce retention. Slide references are provided.

- Several risk management key terms
  - OPTIONAL: Redisplay slide 2-7, "Risk Management Key Terms"
  - ***Say:*** We started off by defining several risk management key terms, including hazard, risk, risk management, risk assessment, and risk analysis.

Say: We then focused on risk assessment, which is the identification of risks.

- OPTIONAL: Redisplay slide 2-8, "Risk Assessment— Identify Risks"

Say: We learned that to identify hazards and risks, you must be aware of the types of hazards and risks you may encounter.

In Session 2, you learned:

- Several risk management key terms

- Risk assessment

- The categories of risks you may encounter:

  − OPTIONAL: Redisplay slide 2-8, "Risk Assessment— Identify Risks"

  − *Say:* Categories of risks include:

    o Risks from loss of agency memory
    o Risks related to emergencies
    o Risks related to records management

- Factors to consider when identifying risks

  − OPTIONAL: Redisplay slide 2-13, "Risk Assessment Factors"

  − *Say:* We examined the factors to consider when assessing the risks to records:

    o Existing risks to records
    o Physical location of the essential records
    o Security and controls already in place
    o Vulnerable areas
    o Timing

- Techniques for identifying risks

  − OPTIONAL: Redisplay slide 2-14, "Risk Assessment Techniques"

  − *Say:* We examined three common techniques for identifying risks:

    o Physical site survey
    o Expert interviews
    o Brainstorming

– Categories of risks

– Factors to consider when identifying risks

– Techniques for identifying risks

Say: We then focused on risk analysis, which is the evaluation of risks.

- OPTIONAL: Redisplay slide 2-15, "Risk Analysis—Evaluate Risks"

- *Say:* We took a detailed look at the steps for conducting a risk analysis:

    1. Establish a rating system.
    2. Rate your risks.
    3. Evaluate your findings.

- Prioritizing and documenting risks

    − OPTIONAL: Redisplay slide 2-23, "Managing the Risk: Prioritizing Actions"

    − *Say:* We concluded with a discussion on prioritization and documentation of risks.

Ask: Are there any questions before we begin the activity?

Resolve any outstanding questions.

Transition: Let's practice what we have learned today.

- Risk analysis

- Prioritizing and documenting risks

PG 2-36

Activity: Identify and Evaluate Risks

(Duration: 25 minutes)

START TIME: _____

Show slide 2-26.

Essential Records Webinar

Activity

Identify and Evaluate Risks

Slide 2-26

Introduce the activity.

Facilitate the activity using the Activity Instructions on page IG 2-69.

Activity materials:

- **Handout 1.6**—The Division of Public Recreation (DPR) Overview

- **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity

- **Handout 2.3**—Identify and Evaluate Risks Activity

Activity Setup

Activity Snapshot:

Activity Name:	Identify and Evaluate Risks
Activity Purpose/Goal:	Practice performing a risk assessment to identify risks to essential records, performing a risk analysis to evaluate risks those risks, and documenting the risks.
Notes:	This is a two-part activity: • Part 1 is to be completed during the webinar session. Using the essential records identified in the Session 1 activity, participants are given information about the facilities and records holdings of a fictitious agency and asked to (1) identify risks to the records and (2) evaluate those risks and the impact they could have on the agency. • Part 2 is to be completed as a Take-Home Activity, outside of the webinar session. Using their respective agencies' essential records identified in the Session 1 activity, participants are tasked with selecting two essential records, and identifying and evaluating the risks to those records.
Prerequisite for Subsequent Activities (name and location of subsequent activities):	• Session 3 Activity: Determine Protection Strategies and Measures on page IG 3-53 of the Instructor Guide and page PG 3-24 of the Participant Guide.
Group or Individual Activity:	• Part 1 is an individual activity. • Part 2 is an individual activity. NOTE: Depending upon the make-up of the class, this activity can also be a group activity performed by teams from the same agency.

Time to Complete Activity:	• Part 1 = **15 minutes** total:
	  − **5 minutes** for introduction
	  − **5 minutes** for participant work time
	  − **5 minutes** for debrief
	• Part 2 = **5 minutes** total:
	  − **5 minutes** for Take-Home Activity introduction

Required Materials (name and location):	• Part 1:
	  − **Handout 1.6**—The Division of Public Recreation (DPR) Overview
	  − **Handout 2.3**—Identify and Evaluate Risks Activity
	
	• Part 2:
	  − **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity
	  − **Handout 2.3**—Identify and Evaluate Risks Activity

Activity Scenario (if applicable):	• Part 1:
	  − Participants are tasked with identifying and evaluating the risks to a fictitious agency's essential records.
	
	• Part 2:
	  − N/A

Activity Debrief:	• Part 1:
	  − Group discussion
	
	• Part 2:
	  − Group discussion, conducted at the beginning of Session 3

Activity Instructions

Instructions:

Tell participants to locate the materials for the activity:

- **Handout 1.6**—The Division of Public Recreation (DPR) Overview, from their Session 1 materials
- **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity, from their Session 1 materials
- **Handout 2.3**—Identify and Evaluate Risks Activity

Tell participants to raise their hands when they've located all the documents needed for the activity.

- ***Assist*** any participants having trouble locating the necessary documents.

Say: The purpose of this activity is to practice performing a risk assessment to identify risks to essential records, performing a risk analysis to evaluate those risks, and documenting the risks.

Tell the participants that this is a two-part activity:

- Part 1 is to be completed during the webinar session.
- Part 2 is to be completed as a Take-Home Activity, outside of the webinar session.

Begin Part 1 of the activity.

Say: In Part 1, using one of the Division of Public Recreation essential records you identified in the Session 1 activity, you will analyze the DPR's facilities and records holdings and (1) identify the risks to the essential record and (2) evaluate those risks and the impact they could have to the agency.

Say: Let's take a look at the materials you'll be using for Part 1.

Show slide 2-27.
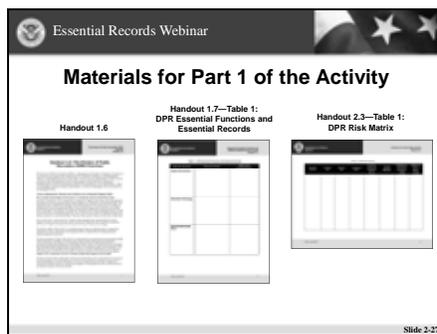
Tell participants to go to **Handout 1.6**.

- *Explain* this is where they will find the information about the Division of Public Recreation.

- *Point out* that they should focus on the information provided in "The Building" and "The Holdings" sections.

Tell participants to go to **Handout 1.7**, the DPR Essential Functions and Essential Records table (Table 1).

- *Explain* this is where they will find the DPR essential records they identified in the Session 1 activity.

Tell participants to go to **Handout 2.3**.

- *Point out* the instructions for Part 1 on page 1 of the handout.

- *Point out* the DPR Risk Matrix table (Table 1), located on page 2.
    - *Explain* that this is the table they will complete for the activity.

Say: Complete the DPR Risk Matrix table by selecting one essential record from **Handout 1.7**, using the DPR information provided in **Handout 1.6**, and doing the following:

- In the **Essential Record** column, enter the essential record you selected from the Session 1 activity.

- In the **Potential Risk** column, list the risks to the DPR's records. For example, the agency might face a risk of water damage to its records.

- In the **Source of Risk** column, record the potential source(s) of the risk. For example, the water damage might be caused by a leaky roof.

- In the **Location of Impact** column, record where the risk will have an impact. Agency-wide? One particular part of the building? One work process or function? One system?

Continued on next page...

- In the **Potential Effects on Essential Records** column, list the potential effects of the risk. For example, mold and mildew might begin to grow on waterlogged records.

- In the **Existing Control Measures** column, describe any current steps, processes, or strategies your agency has in place to detect the presence of a risk, prevent it from happening, and/or mitigate its effects.

- In the **How Likely is an Incident?** column, rate the probability of the risk occurring, using the rating system provided on page 3 of **Handout 2.3**. For example, in a rainy area, the likelihood of a roof leak that damages the records might have a higher score than in a desert area.

- In the **Severity of Effects** column, rate the impact of the potential effects using the rating system provided on page 3 of **Handout 2.3**.

Tell participants to be prepared to share their answers with the class.

Tell participants they have **5 minutes** to complete the activity.

Set up the Feedback Tool in iLinc.

- *Select* the "Assignment status" answer set.

Tell participants to select "Completed" in the Feedback area when they have completed the activity.

Tell participants that you are going to remain silent so they can concentrate on the activity, and if they need to communicate with an Instructor during the activity, to please do so via the Chat tool.

Tell participants to begin working.

Pause the iLinc recorder.

Monitor the activity:

- **Three minutes** into the activity, *send a message* to the class using the "Public" tab of the Chat tool.
    - *Ask* participants if they're doing OK or if anybody needs help.
    - *Tell* participants to raise their hands if they need help.

- *Provide* assistance as needed, using the "Private" tab of the Chat tool.

When **4 minutes** have passed, *advise* participants that they have **1 minute** left for the activity.

When **5 minutes** have passed, *tell* the participants to stop working.

iLINC

Restart the iLinc recorder.

Reconvene the class.

Debrief the activity using a large-group discussion:

- *Say:* I need a volunteer to share the essential record they selected, a risk they identified for that record, and all the associated risk-related information (location, cause, probability, and so forth…).

- *Tell* participants to raise their hands to answer or to type their answers in the Chat tool, using the "Public" tab.

- *Call on* participants who have their hands raised.
  - *Remind* participants to take their phones off mute before speaking.

- *Acknowledge* any responses provided in the Chat tool.

Confirm or correct responses as appropriate.

- Suggested answers are provided in bold in the Answer Sheet—Identify and Evaluate Risks Activity—Part 1, located on page IG 2-77.
  - NOTE: The correct answers appear only in the IGs. The corresponding version of the table that is provided for the participants' use does not contain the answers.

- *Explain* any correct answers that differ from the answer given by the participants.

iLINC

For the non-presenting Instructor: *Open* a new Powerboard and *record* the correct answers on the Powerboard.

Tell participants that they are welcome to record the correct answers in the DPR Risk Matrix table in **Handout 2.3**, but that they will also be receiving an email with the correct answers following the session.

Continued on next page...

Continue to debrief the activity until all participant responses have been addressed and all the answers provided in the DPR Risk Matrix table have been addressed.

Tell participants to keep the DPR Risk Matrix table handy, as they'll need it in the next session (Session 3).
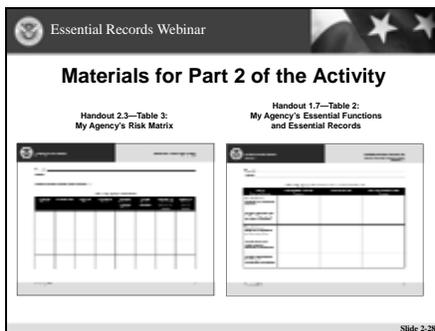
Ask for and resolve any questions.

Begin Part 2 of the activity.

Say: Let's take a look at the materials you'll be using for Part 2.

Show slide 2-28.

Tell participants to remain in **Handout 2.3**—Identify and Evaluate Risks Activity.

- *Point out* the instructions for Part 2 on pages 5-6 of the handout.
- *Point out* the My Agency's Risk Matrix table (Table 3), located on page 7 of the handout.
  - *Explain* that this is the table they will complete for the activity.

Say: For the take-home portion of this activity, you will be identifying, evaluating, and documenting risks, as you just did with DPR, except this time you will be doing it for your own agency. Using your agency's essential records that you identified on **Handout 1.7** (the Session 1 activity handout), select two essential records and complete the My Agency's Risk Matrix table for those records.

- *Tell* the participants to try to come up with at least 2–4 risks for each record.

Tell participants that if they are taking this course with other folks from their agency, they can opt to work together and do this activity as a team.

Say: As part of your course materials, the My Agency's Risk Matrix table is provided as a Word document so you can complete it electronically and submit it via email.

NOTE TO INSTRUCTOR:

- ***Determine*** ahead of time to whom the participants should send their homework: Instructor 1 or Instructor 2.

Tell the participants to complete the assignment and email their completed sheets to <u><name of Instructor who will receive the completed homework></u> no later than one day before the next webinar session (Session 3).

- ***Type*** the name and email address of the Instructor who is to receive the homework in the Chat tool, using the "Public" tab.

Remind participants that they must complete all homework assignments in order to receive their Certificate of Completion.

Tell the participants to be prepared to share their answers with the class at the beginning of Session 3.

Tell the participants to keep **Handouts 1.6**, **1.7**, and **2.3** handy, as they'll need them in Session 3.

Ask for and resolve any questions.

End the activity.

Rating System

Table 6: Risk Analysis Rating System

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

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Answer Sheet—Identify and Evaluate Risks Activity—Part 1

Table 7: DPR Risk Matrix

ESSENTIAL RECORD	POTENTIAL RISK	SOURCE OF RISK	LOCATION OF IMPACT	POTENTIAL EFFECTS ON ESSENTIAL RECORD	EXISTING CONTROL MEASURES	HOW LIKELY IS AN INCIDENT? (PROBABILITY RATING)	SEVERITY OF EFFECTS (IMPACT RATING)
System backup tapes	Hardware overheating	Server room lacks climate control	Backup tape drive	System hardware ruined; records inaccessible or destroyed	Backup nightly but records maintained in the basement	High	High
Open contracts in basement	Flooding	Records stored in the basement; the building is located in a floodplain	Records storage area	Growth of mold and mildew	None	Medium	Medium
EEO files in basement	Alligators get into storage area, drawn by the mice	Mice in the storage area	Records storage area	Staff unable to access records	None	Low	Medium

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Show slide 2-29.

Remind participants that they can access course materials, as well as contact Instructors and IPER Staff, through their own Participant Dashboard on the IPER Resource Center.

Say: This concludes Session 2 of the *Essential Records Webinar*.

Say: Next week, in Session 3, we'll focus on protection strategies, such as prevention and mitigation actions, dispersal, and storage, and we'll talk about how to evaluate protection strategies. We'll meet on <u><date of Session 3></u> at <u><time of Session 3></u>.

 Ask for and resolve any outstanding questions.

Say: Please don't hesitate to contact us, should you have any questions about the content we covered today or about the Take-Home Activity. Our names and contact information are provided in the Chat tool.

- *Type* your names and contact information in the Chat tool, using the "Public" tab.

Say: We'd like to remind you that you're welcome to send us an email to let us know your thoughts on the course thus far, and to let us know if there's anything that we can do to improve the course or your experience.

 Stop the iLinc recorder.

 End the webinar session.

- *Remember* to dismiss all the participants in iLinc.

NOTE TO INSTRUCTORS:

Immediately after the conclusion of Session 2, *do the following:*

- *Email* the answer sheet to Part 1 of the Identify and Evaluate Risks activity to the participants.