

Appendix E: DEM Record Recovery Plan

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Appendix H - Elements of a Record Recovery Plan

This material is based on Records Management Standards Business Recovery Plans, Standards for the management of Government records RMS 3.2 (<http://www.pro.gov.uk/recordsmanagement/standards/recovery.htm>)

1. Responsibilities

The Records Officer is responsible for safeguarding all the records of their organization, including the safe-keeping, accessibility and retention of records for as long as required, the transfer of those public records selected for permanent preservation, and the timely destruction of records no longer required.

The Records Officer is responsible for:

- Maintaining a business recovery manual;
- Attending the scene of an emergency;
- Taking administrative responsibility for a business recovery operation;
- Assessing the scale of damage and deciding on what is required to handle the situation;
- Summoning recovery teams as necessary;
- Informing senior management and contractors' representatives;
- Working with the local fire department and other services;
- Providing reports of incidents and evaluation of business recovery plan effectiveness;
- Making arrangements for training and awareness.

Business Recovery Teams will be designated by the Associate Director of the Bureau of Policy and Administration with consultation with Senior Staff and are responsible for salvage operations and for assisting the Agency Records Officer.

2. Risk Assessment

The identification of risk to records and information falls into four main categories:

- Flood
- Fire
- Security
- Infestation, environmental pollution, etc.

Flood

Water damage is the most common form of disaster to affect records. Record managers should undertake these actions to minimize the risk of damage:

- Identify and check regularly potential internal and external hazards (for example, heating systems, water tanks and water pipes).
- Identify and check regularly potential penetration hazards (for example, windows, gutters, skylights, and drains).
- Ensure that heating and air-conditioning systems are regularly checked and serviced.
- Consider the possibility of installing flood alarm systems (for example,

- sensors on water tanks).
- Raise bottom storage shelves five inches above floor level.
- Fit top storage shelves with metal covers.
- Consider boxing important series of records.
- Obtain information on local flood danger periods.
- Never put records on the floor.

Fire

Records managers should be aware of precautions that should be taken to minimize fire damage. In identifying their own risks the following actions can be undertaken:

- Ensure that all existing fire regulations in respect of doors, extinguishers, and alarm systems are enforced.
- Maintain a list of inflammable substances and isolate them from the building.
- Keep storage areas clean and tidy.
- Check electrical wiring regularly.
- Maintain liaison with local fire prevention officers.

Security

Each building and each collection of records poses its own security problems. Record managers should minimize the risk to their holdings from loss or theft. The following actions should be undertaken:

- Caretakers/security guards should check all entrances to buildings, including ground floor windows and basements, after closing time each day and at least once every twenty-four hours during weekends and holidays.
- Buildings with no caretaker or security cover should be fitted with an automatic intruder alarm system.
- All staff members should be aware of the need for good security (for example, good key control; checks on criminal records; and identification procedures).

Other

Unlikely risks to the records, such as infestation from insects and animals, and environmental pollution, should also be taken into consideration. Prevention measures, including traps and poisons, and filtering systems, might be taken.

3. Essential Records

a. Identification

Essential records are records that are critical to the Agency in carrying out its function in emergency and post-emergency situations, and in protecting the legal rights or interests of individuals and the Agency. The selection of records must include those of archival or research value as well as those that have no lasting value but would be valuable during and after an emergency. DEM records are essential for DEM or state or local agencies to perform the following functions:

- Ensure that plans for potable water supplies are available to meet needs in case of an emergency.
- Provide guidance on what are acceptable levels of hazardous agents that might be or have been introduced into the environment.
- Provide post-emergency reconnaissance support for water supply and sewage systems and information on the location and products/byproducts of facilities that generate hazardous waste, hazardous materials transport, storage, and disposal or on the location of hazardous waste sites.
- Provide guidance on the levels of radioactivity at which protective actions must be taken.

The following guidelines are to be used when selecting essential records:

- The type of information needed by DEM during an emergency.
- The value of the records in meeting this need.
- The availability of this information elsewhere.

When selecting legal rights and interests in records, consideration is given to:

- What rights and interests require the Agency's protection?
- What is the value of the records in protecting those rights and interests?
- Is this information available elsewhere?
- Exclude records supporting legal rights that can be reestablished through affidavit and are well known to those involved?
- Exclude records that are duplicated, as a matter of standard practice, by local government?
- If the same records are needed for both emergency operations and legal rights and interests purposes, are records either designated as emergency operating records and handled accordingly or designated as both types and, after duplication, stored separately?
- Does your office designate for essential records purposes only the minimum volume of records consistent with the program's objectives?

b. Protection

There are three options for protecting essential records:

- Duplication and dispersal (the duplicate may be in paper or alternative format, such as microform or CD)
- Use of fireproof and secure storage facilities
- Remote storage

The storage of records in electronic form may involve significant risks but many of these risks can be avoided by the use of adequate storage plans and strategies. A back-up system is generally recommended.

4. Recovery Plan

(This needs further discussion with the Secretary of State. A centralized state governmental unit should be considered for parts of this. Maybe there should be a state contract to effectuate a and c below.)

The business recovery plan brings together the actions necessary at the time of an incident, the needs to be addressed, and initiation procedures. The plan must be reviewed at least once a year and updated, if necessary. The plan should cover:

- Identification of business recovery teams,
- Training and awareness programs,
- Supplies and services,
- Back-up and off-site storage arrangements,
- Essential records.

a) Recovery Teams

Teams of three or four people should be formed to undertake salvage operations under the supervision of the ?????) Perhaps an agency should call a contractor to do this under a master state contract. I would think that either the Associate Director of the Bureau of Policy and Administration or the Chief of OMS would make this call.

b) Training and Awareness

It is essential that all staff, especially new staff, is made aware of potential hazards, what to look out for, and what to do in the event of an emergency. This should be part of general health and safety awareness programs. Information distributed to staff must be regularly updated.

c) Supplies and Services (This part of the plan could be handled by a contractor.)

The plan must include lists of staff having specific responsibilities, with their contact details, which may need to be summoned in an emergency. A list of services, companies and individuals, with contact details, should also be made. Those that might be needed in an emergency include:

- Conservation document salvage service,
- Deep freeze facility,
- De-humidifiers.

There are a number of organizations providing document salvage services or deep freeze facilities. If it is likely that such a service will be required, it is advisable that they be contacted for details before an emergency occurs. By doing this it is possible to evaluate services and costs before an emergency.

In case of an emergency it is likely that alternative provisions for storing records will be required. The recovery plan must include the location and contact details of back-up storage facilities, which may be off-site.

The plan should include priority lists of what items should be salvaged first. The inventory of essential records (see 5.1.5 above) could be used for this exercise.

Appendix H-1 – DEM Model Recovery Plan

REACTION PROCEDURE

1. During Working Hours

- 1.1 For emergencies occurring during working hours, it is essential that every member of staff be acquainted with procedures to raise the alarm.
- 1.2 The Associate Director of the Bureau of Policy and Administration must be contacted. That person should be aware of maintenance or building work in

progress in order to be able to assess the disaster situation effectively in so far as it affect records and information.

- 1.3 If the incident cannot be contained, the State Contractor must be contacted.
- 1.4 No records should be moved until the arrival of the Associate Director of the Bureau of Policy and Administration who will assess the damage and the help required in the first instance.

2. Out of Working Hours

- 2.1 Night security guards should take any action that will reduce or limit the potential damage, if it is safe to do so. This might include:
 - Turn off stopcocks.
 - Switch off electric lights.
 - Unplug appliances.
 - Close doors and windows.
- 2.2 Even if the incident can be contained, The Associate Director of the Bureau of Policy and Administration must be informed.
- 2.3 If a disaster cannot be contained, the emergency services must be informed and the following personnel must be contacted immediately:

- | | |
|---|----------|
| | Tel no. |
| • <i>name</i> The Associate Director of the Bureau of Policy and Administration | xxx xxxx |
| • <i>name</i> Chief of OMS | xxx xxxx |
| • <i>name</i> DEM Director
[or designated staff] | xxx xxxx |

- 2.4 The Associate Director of the Bureau of Policy and Administration must visit the site and, after assessing the disaster, contact the State Contractor:

- | | |
|--|----------|
| | Tel no. |
| • <i>name</i> State Contractor primary contact | xxx xxxx |
| • <i>name</i> State Contractor alternate contact | xxx xxxx |

- 2.5 No records must be removed until the arrival of the Associate Director of the Bureau of Policy and Administration who will assess the damage to the records and the help that is required in the first instance. They will:
 - Contact the state contractor if necessary.
 - Contact appropriate staff.
 - Select area(s) to be used for the assessment of damaged records.
 - Allocate staff rest area(s).
- 2.6 If it seems that the emergency will mean the closure of the office, the Associate Director of the Bureau of Policy and Administration must contact the DEM Director to inform him/her of the situation. Emergency procedures not directly concerned with the management of records and information should then be implemented (for example, procedure in case of a power cut).

RECOVERY PROCEDURE

The information below could be in the state contract for the recovery of documents. DEM employees should not be responsible for this task.

1. Instructions for Recovery Contractor

- 1.1 When alerted about a disaster the Recovery Contractor must view the disaster location as soon as possible and assess the situation, in order to estimate the extent of the disaster recovery procedures and back-up facilities required.
- 1.2 The Recovery Contractor must contact the their Recovery Teams and appraise them of the situation to begin recovery efforts.
- 1.3 The designated conservation document salvage service or deep freeze facility must be contacted and informed about the disaster.
- 1.4 On arrival at the disaster location, contact must be made with the Associate Director of the Bureau of Policy and Administration.
- 1.5 Air-drying will be suitable for small quantities of records that have only been slightly damaged by water. Thus, if the disaster can be contained in this way, the following procedures should be followed:
 - Summon the requisite number of people from the Recovery Teams to deal with the situation.
 - Use fans and de-humidifiers to assist the drying process.
 - Stand damp volumes upright and gently fan out the pages; interleave with blotting paper, if possible.
 - Interlace pages of books printed on coated paper and photographic prints with silicone release paper to prevent blocking.
 - Place blotting paper between individual sheets of files.
 - Change blotting paper regularly
 - Do not attempt to separate material stuck together; this is a job for expert conservators.
- 1.6 Small amounts of dry fragmentary material (resulting, perhaps, from fire damage) should be gathered and made available to staff of the business area to which the records belong in order that it might be identified and salvaged, if necessary.
- 1.7 If the disaster cannot be contained, summon as many members of the Recovery Teams as possible. They will work under the direction of the State Contractor. When they arrive at the location of the disaster, security staff should issue them with special passes for which they must sign when entering or leaving the building. They must also be issued protective clothing.
- 1.8 Designate an assessment area to which damaged material can be taken. The major requirement for this area is sufficient space to lay out records and pack material for freezing.
- 1.9 Arrange for the installation of emergency lighting, if necessary.
- 1.10 A suitable rest area for the recovery staff should be provided. The contractor will be required to supply food and water for the recovery team.
- 1.11 Before any full-scale salvage operation is begun the Recovery Teams must be briefed on the following:
 - Allocation of tasks,
 - Location of assessment area,
 - Location of rest area,
 - Location of first aid room.
- 1.12 A log of events must be kept (including photographs, if possible) and a final

- report on the disaster made to senior management.
- 1.13 Communication between teams must be maintained at all times.

2. Instructions for Chief of Management Services

- 2.1 When alerted about a disaster the following members of staff must be contacted before going to the disaster location. They should be put on alert for possible further action:

[name] [Address] [tel. no]

[these staff members might be those most closely concerned with the particular records that have been damaged or senior management]

3. Instruction for Business Recovery Teams

- 3.1 Get to the location of the disaster as quickly as possible. 3.2 Having been issued with a special pass and protective clothing, report to the Business Recovery Officer.
- 3.2 Make sure that you have the following information:
- Location of damaged records,
 - Task assignment,
 - Assessment area,
 - Rest area,
 - Location of first aid facilities,
 - Location of areas that are declared out of bounds.
- 3.3 Areas adjacent to the location of the disaster should be protected by plastic sheeting to protect them from further damage.
- 3.4 When records are removed they must be labeled in the most convenient way to indicate their title/reference and location.
- 3.5 Damaged records must be removed from the location of the disaster to the assessment area using plastic crates. Records should be removed from the floor first, keeping them open or closed as found. When removing records from shelves, the top shelf must be emptied first, working sequentially towards the bottom shelf. The records should be placed in plastic bags to prevent further damage before they are loaded into the crates. Boxed records might be moved without having to place them in crates.
- 3.6 Material slightly damaged with water can be treated by fan drying.
- 3.7 Dry but fragmented material should be placed in a designated area, ready for inspection by staff from the business areas to which the records relate. If possible, they should be sorted by business area.
- 3.8 Records that have suffered bad water damaged must be packed in plastic bags and packed into boxes. Lists of material removed must be kept, showing the number of the box in which the material has been packed. The boxes must then be taken to a collection area for transportation to the allocated deep freeze facility. Freezing records in this way will prevent further damage while awaiting attention. Other badly damaged records should be set aside for the attention of the designated conservation document salvage service.
- 3.9 After records have been removed, excess water should be mopped up.

4. Restoration of the Disaster Area

- 4.1 The disaster area should be restored to normal use as soon as possible. The prime responsibility for this will rest with the facilities management staff.
- 4.2 Temperature and relative humidity readings should be taken as soon as the disaster area has been cleared.
- 4.3 De-humidifiers (to reduce relative humidity) and fans (to increase air circulation) should be installed, if necessary.
- 4.4 Walls, ceilings, floors and shelving should be washed thoroughly with a fungicide (such as sodium ortho-phenyphenol solution in water) to inhibit mould growth.
- 4.5 Areas can be put back to use when the temperature and relative humidity levels have stabilized at acceptable levels for a period of seven days