Plan, Prepare, Protect, Respond: Records Emergency Planning

Essential Records
Section 2: Identify Risks to Essential Records

FEMA

Association of Minnesota Counties - April 2014

This program is part of the
INTERGOVERNMENTAL PREPAREDNESS FOR ESSENTIAL RECORDS (IPER)
program developed by the
COUNCIL OF STATE ARCHIVISTS (CoSA)
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FEMA

IPER

INTERGOVERNMENTAL PREPAREDNESS FOR ESSENTIAL RECORDS

A project of the
Council of State Archivists
to provide records-related emergency training for state and local governments

- IPER's purpose:

  – Training state, territorial, tribal, and local governments

  – Giving you the knowledge and skills needed to secure your most essential records and recover records damaged by natural or human-caused emergencies

Photo courtesy of NARA

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- IPER supports a fundamental component of Continuity of Operations (COOP):
  - Ensuring that state and local governments can access and use records needed to restore essential services

This is a **shortened version** of the IPER *Essential Records* course

The course was originally given in four, 90-minute online sessions.

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IPER Resource Center

- *http://rc.statearchivists.org/*

- The first place to look for information about managing and safeguarding state and local government records

- Gives you access to the regulations, guidance, other records information that apply to *your* state or territory

- Search and display by state or territory, or by topic

- Available to everyone—not just IPER participants—and will remain available indefinitely

Course Overview

1. Essential Records

   – Identify Essential Records

   – **Identify Risks to Essential Records**

   – Protect and Ensure Access to Essential Records

2. Records Emergency Planning and Response

   – Preparing a Records Emergency Action Plan

   – Records Emergency Response and Recovery

Review from First Section

Defined "Essential Records" as those that:

- Are necessary to resume or continue operations
- Protect the health, safety, property, and rights of residents
- Are necessary for emergency response
- Would require massive resources to reconstruct
- Document the history of communities and families

Essential records differ by agency. Know:

- Your essential functions
- Your stakeholders
- Your specific records
- Relevant laws and standards

Identify Risks to Essential Records

Risk Management Key Terms

- Hazard *creates…*

- Risk

- Risk management

- Risk assessment

- Risk analysis

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

Risk Assessment—Identify Risks

Categories of risks:

– Risks from loss of agency memory

– Risks related to emergencies

– Risks related to records management

Photo courtesy of NARA

Risk Assessment—Identify Risks (cont'd.)

- Risks related to emergencies
  - Natural emergencies
  - Technological emergencies
  - Civil emergencies

Photo courtesy of NARA

Risk Assessment—Identify Risks (cont'd.)

- Risks to records…
  - Security
  - Technology
  - Long-term preservation of records

- Cause risks to your agency
  - Legal
  - Business
  - Accountability

Photo courtesy of NARA

Risk Assessment Factors

- Existing risks to records

- Physical location of the essential records

- Security and controls already in place

- Vulnerable areas

- Timing

Risk Assessment Techniques

- Physical site survey

- Expert interviews

- Brainstorming

Activity – Brainstorm Some Risks

- Write down 2-3 real risks to essential records in your organization

- We'll use some examples as we look at how risk assessments work

Activity – Create a 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)

Risk Analysis—Evaluate Risks

- Establish a rating system:
  - Probability rating
  - Impact rating

- Rate your risks.

- Evaluate your findings.

Activity: Rate Your Risks

- Use the Risk Analysis Worksheet to rate your risks according to:

  - Probability: How likely is the event to occur?

  - Impact: What is the impact to the records if the event occurs?

Activity: Rate Your Risks

Risk Analysis Rating System			
Impact of Risk	High			
	Medium			
	Low			
		Low	Medium	High
	Probability of Risk			

Evaluate Your Findings

- Determine your threshold for action

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		

☐ = Action

☐ = No action

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

Document the Risks

- Document the results of your risk assessment, risk analysis, and prioritizing.

- Prepare a strategy to communicate your findings to your agency so it can address the risks as:
  – Part of the COOP planning
  – Part of the essential records program planning
  – Part of emergency planning
  – Part of records management and information technology planning

Handling Risks

Photo courtesy of Tina Seetoo, Georgia Archives

Resources

- IPER Resource Center: http://rc.statearchivists.org/default.aspx

- Minnesota Homeland Security and Emergency Management: https://dps.mn.gov/divisions/hsem

- MNWALK -- identifies the general requirements for the contents of emergency operation plans: https://dps.mn.gov/divisions/hsem/all-hazards-planning/Pages/mnwalk.aspx

- Continuity Guidance Circular 1 (CGC 1): Continuity Guidance for Non-Federal Entities (2009): http://www.fema.gov/about/org/ncp/coop/planning.shtm#6

- Minnesota Government Records and Information Network (MN-GRIN): http://sites.google.com/site/mngrin/

- Minnesota State Archives: http://www.mnhs.org/preserve/records/index.htm

Thank You!