Region VIII Essential Records Management Program

- **Luisa Rivera**
- **Diana Carlson-Sherbo**

November 4, 2015 ER Webinar

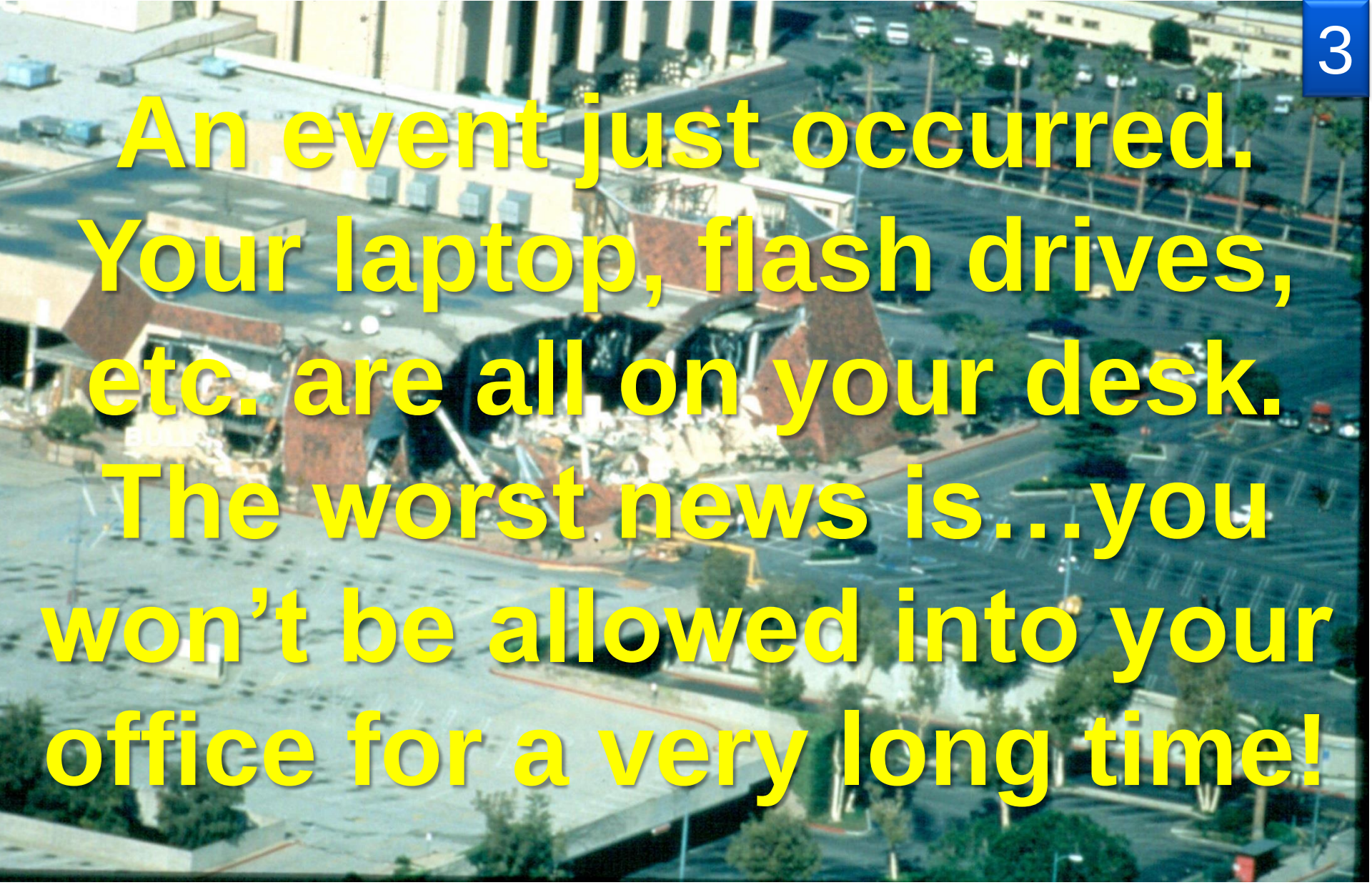
Topics:

- Essential Records Risk Analysis

By: Luisa Rivera

- Essential Records Timelines

By: Diana Carlson-Sherbo


An event just occurred.
Your laptop, flash drives, etc. are all on your desk.
The worst news is…you won't be allowed into your office for a very long time!

Essential Records Risk Analysis

IT'S ALL ABOUT **YOU!**

- **YOU** are the key to reducing or magnifying the RISK to your operational records,
- **YOU** have a critical role in the recovery of your agencies RIGHTS & INTEREST records,
- **YOU** need to regularly assess the risk to your Essential Records (Operational / Rights & Interest).

YOU

are the key to **reducing** or **magnifying** the **RISK** to your **operational records.**

If you answer NO to any of the questions on the next slide, you may not be able to perform your Essential Functions.

Essential (Operational) Records Risk Analysis… IT'S ALL ABOUT **YOU!**

If you evacuate your office, taking nothing with you, would you still be able to perform your Essential Functions?

After hours, a disaster event occurred, making access to your building impossible for a week or two, perhaps longer. Would you have the records you need to perform your Essential Functions?

Does your agency have extra equipment (laptop, cell phone, etc.) that can be issued immediately after the event?

Do you know how to get to your Alternate COOP site?

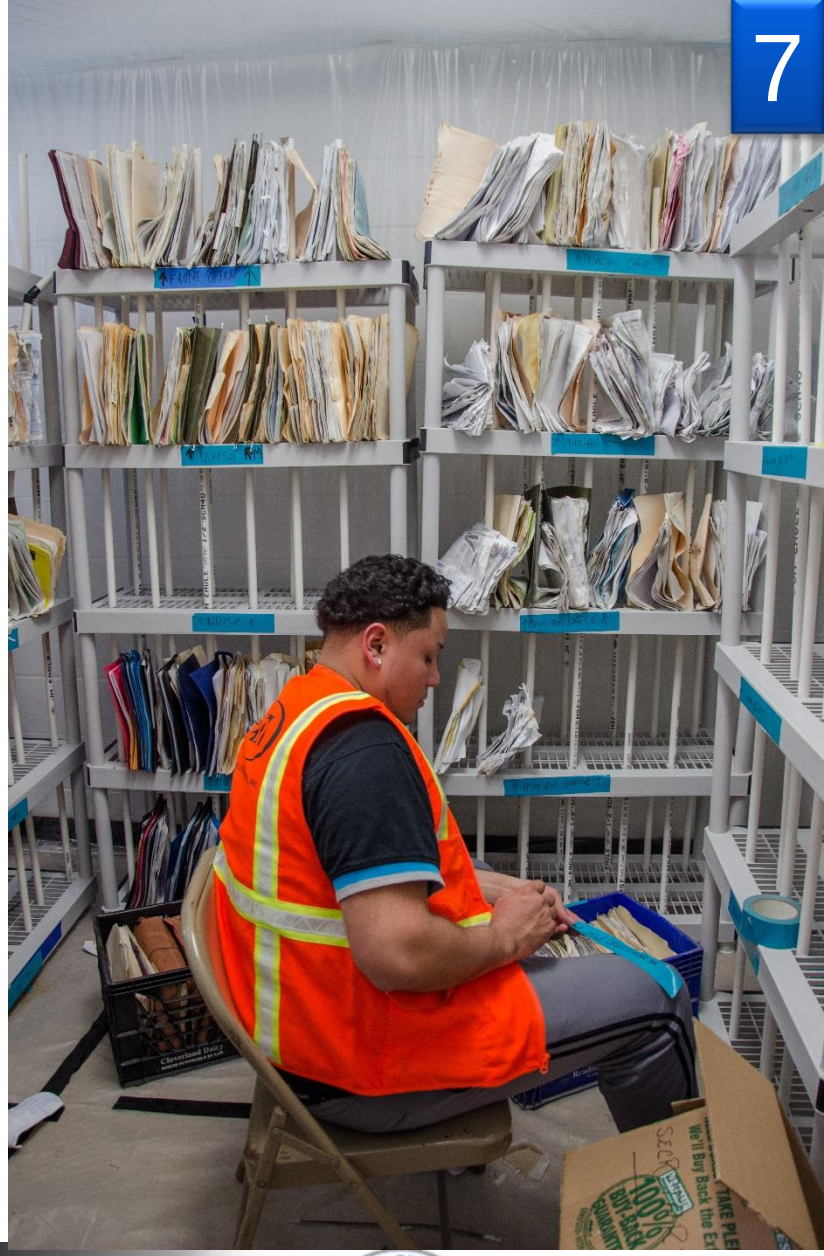
Do you have an After-Hours contact list?

Do you have hard/electronic copies of your Essential Records at your Alternate COOP Site(s)?

YOU

have a **critical role** in the **recovery** of your agencies **RIGHTS & INTEREST RECORDS**

If you answer NO to any of the questions on the next slide, YOUR agency may not be able to recover its Rights & Interest records



YOU have a critical role in the recovery of your agencies ESSENTIAL RIGHTS & INTEREST RECORDS

Do you know where
your section keeps its
ESSENTIAL (Rights & Interest) Records ?

Would you be able to provide the record's salvaging crew with information on where your Rights & Interest records are located?

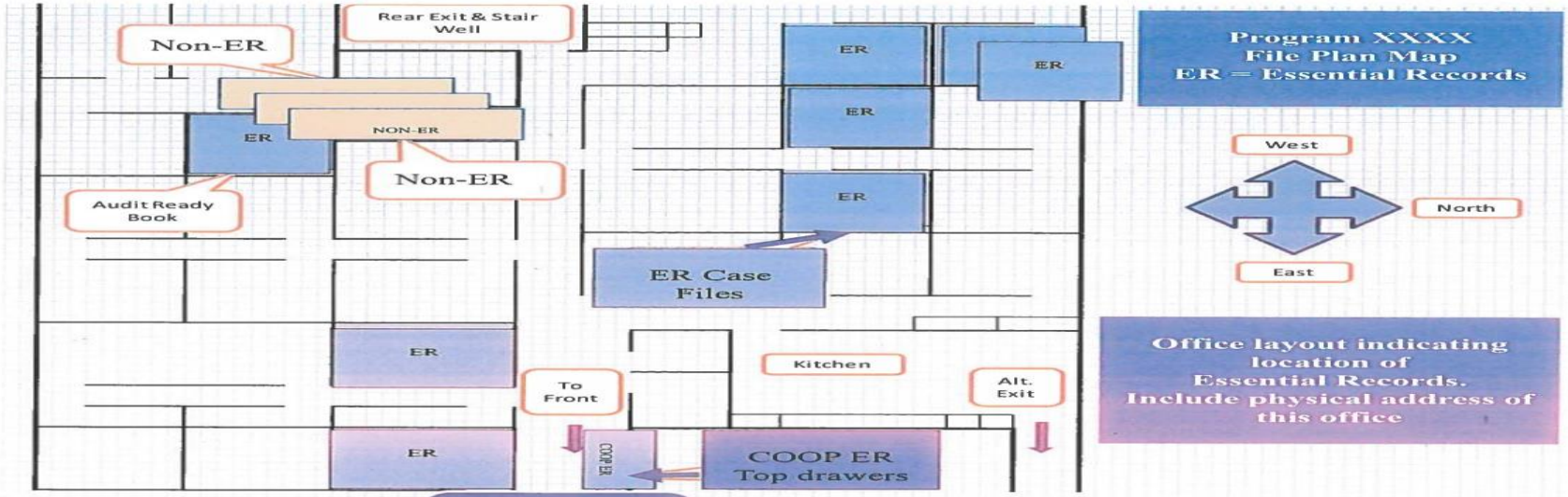
Do you have the floor plan(s) indicating the location(s) of your
RIGHTS & INTEREST RECORDS?

FLOOR PLANS

indicating the location
of your
RIGHTS & INTEREST
RECORDS
can be a valuable tool
for the
records salvaging crew.

YOU have a critical role in the recovery of your agencies RIGHTS & INTEREST records

FLOOR PLAN
ERPP Section 3D
Blue indicates Essential Records & Beige indicates Non- Essential Records



DGMS Item Storage	
Drawer 1	• Open - Major Case files
Drawer 2	• Other Open – Case Files
Drawer 3	• Closed – Case Files

SAMPLE FLOOR PLAN

YOU need to regularly assess the risk to your Essential (Operational / Rights & Interest) Records

Doing it all **YOURSELF** may be overwhelming

A **TEAM** effort will yield the best results

REGION VIII'S RECORDS RISK ANALYSIS

(See attached handout)

INSTRUCTIONS:

Only fill out the BLUE shaded areas.

This survey is for all essential & non-essential records physically at R8 FEMA location. This includes: hard/electronic records (especially emails), CDs, DVDs, audio, photo, video, external drive, ironkey, etc. Excluded from this survey are non R8 platforms such as: EMMIE, NIMIS, IFMIS, SAMS, WebTA, etc.

RECORD CUSTODIAN'S NAME	RC'S PHONE 3	DATE	Select Division being surveyed	
Identify Program Area being surveyed (IA, PA Close-Out, Finance, etc.)	Check only one location		ORA	☐ Check Box
	☐ Check Box 710	☐ Check Box Parfet	Legal	☐ Check Box
	☐ Check Box 710A	☐ Check Box JFO	EAO	☐ Check Box
	☐ Check Box 20	☐ Check Box OTHER	GRANTS	☐ Check Box
Indicate room number of area or office being surveyed.	Indicate JFO Disaster # or explain OTHER		MSD	☐ Check Box
B2140, B2142, b2015, D2120			MIT	☐ Check Box
			NP	☐ Check Box
			Response	☐ Check Box
			Recovery	☐ Check Box

# 1	ENVIRONMENTAL RISK	CHECK APPROPRIATE BOX YES	NO	NOT SURE
1.2	Are there any indication of mold, dampness, or water damage in the area being surveyed?	☐ Check Box	☐ Check Box	☐ Check Box
1.3	Is there evidence of infestation (pest, insects, rodents, etc.) in the area being surveyed?	☐ Check Box	☐ Check Box	☐ Check Box
1.4	Are records in the area being surveyed subjected to excessive dust levels?	☐ Check Box	☐ Check Box	☐ Check Box
1.5	Are any of the record folders or record boxes in the area being surveyed kept on the floor?	☐ Check Box	☐ Check Box	☐ Check Box
1.6	When record box return from a JFO, are the boxes check for any indication of mold, dampness, water damage (1.2) or possible infestation (1.3)?	☐ Check Box	☐ Check Box	☐ Check Box
1.7	In the area being surveyed, are there any audio/visual records constantly exposed to direct sunlight?	☐ Check Box	☐ Check Box	☐ Check Box
	COMMENTS OR REMARKS ON ENVIRONMENTAL RISK			

FEMA

REGION VIII'S RECORDS RISK ANALYSIS

FACTORS TO CONSIDER (see attached handout)	
1. Environmental Risk	**2. Human Error: Lack of Policy/Procedures**
3. Security Risk	**4. Storage Risk**
5. Implementation of RM's COOP Plan	

Essential Records Risk Analysis
IT'S ALL ABOUT **YOU** BEING…

THANK YOU

NEXT: DIANA CARLSON-SHERBO WILL ADDRESS ESSENTIAL RECORDS TIMELINES

FOLLOWED BY THE Q & A

Essential Records Timelines

- There are two timelines that can help us plan out what Essential Records we will need during a COOP Activation.

Essential Records Timelines

- Identification of Essential Records
- Pre-placement(s) of Essential Records
- Format(s) of Essential Records

Essential Records Timelines

- Two timelines intersect:
  - When the Record (information) is needed
  - When technical capabilities come back on-line

Essential Records are:

- Records that specify **how an agency will operate** in an emergency or disaster
- Records necessary to the **continued operations** of the agency
- Records that protect **legal and financial rights and interests**

(see *36 CFR 1236*)

Examples:

Emergency Operations	Rights & Interests
• COOP Plan, Checklists, Manuals, SOPs, MOUs • Contacts: your staff & internal/external partners • Orders of succession & delegations of authority • "Urgent" programmatic information	• Grants, invoices, accounts receivable • Titles, deeds, and vendor contracts • Enterprise licenses, long-term permits • Payroll, HR documents
Needed "immediately"	**Needed "later"**

“Records Needed” timeline is based on:

- **COOP Plan**
- **Implementation Procedures**
- **Checklists**

COOP ACTIVATION CHECKLIST (simple example)			
#	**Action Required**	Deadline (Event + x hours/minutes)	Time Completed
1	Obtain copy of COOP Plan and supporting Annexes	30 minutes	
2	Initiate & facilitate teleconference with Senior Leadership (SL) (see list in Annex A)	1 hour	
3	Using “Activation Decision Tree” (Annex B), SL makes activation decision	2 hours	
4	Using “Location Decision Tree” (Annex C), SL determines COOP location(s)	2 hours	
5	Initiate staff notification; provide activation & location information to staff	4 hours	

COOP ACTIVATION CHECKLIST (modified for Records Needed)

#	Action Required	Start-time / Deadline	Records needed
1	Obtain copy of COOP Plan and supporting Annexes	0 minutes 30 minutes	COOP Plan & Annexes
2	Initiate & facilitate teleconference with Senior Leadership (SL) (see list in Annex A)	0 minutes 1 hour	Annex A & Sr. Leadership contact info
3	Using “Activation Decision Tree” (Annex B), SL makes activation decision	0 minutes 2 hours	Annex B
4	Using “Location Decision Tree” (Annex C), SL determines COOP location(s)	0 minutes 2 hours	Annex C
5	Initiate staff notification; provide activation & location information to staff	2 hours 4 hours	Staff contact info

COOP ACTIVATION CHECKLIST (modified for Records Needed)

#	Action Required	Start-time / Deadline	Records needed
…			
22	Send “Request for Bids” to pre-qualified salvage contractors	24 hours 48 hours	Qualified Contractor List; RFB Template
…			
28	Establish (or confirm) communication channels to key external partners	24 hours 48 hours	Key External Partners List & contact info
…			
42	Establish (or confirm) janitorial services at Emergency Relocation Site	Day 3 Day 4	Service Contract Templates

“Technical Capabilities” timeline is based on:

- **Normal operating technology/infrastructure**
- **Backup/recovery plans & capabilities**
- **Mutual aid agreements**

Technical Capabilities timeline:

- **0-24 hours – little or no access to any network services**
- **24 – 96 hours – access to commercial internet and off-site COOP Server**
- **After 96 hours – “normal” server access fully restored**

0 – 24 hours:

- **Building with dry floor, roof, running water, electricity, security**
- **Cell phone and/or land line phone service**
- **Stand-alone laptop PCs, with small peripheral printers**

0 – 24 hours:

- **Copies of the records you need during those first 24 hours**
  - **Pre-placed at COOP site(s)**
  - **Always carried with/by staff members**
- **Formats**
  - **Paper**
  - **Readable on the laptops (CDs, thumb-drives)**

24 – 96 hours:

- **LAN established**
- **Access to commercial internet established**
- **Access to off-site COOP Server established**

24 – 96 hours:

- **Copies of the records you now need**
  - **Via the Internet / Internet-based services**
  - **Pre-placed on COOP Server**
- **Format**
  - **Digital**
  - **Well organized, well labeled and up-to-date**

After 96 hours:

- **“Normal” server re-built and access to records fully restored**
- **Beginning to resume some “normal” functions**
- **Reconstitution efforts underway**

	0 - 24 hours	24 - 96 hours	after 96 hours
Capability:	No network – only standalone PCs	Access to Internet / COOP Server	Access to "normal" server
Records needed at/on:	Emergency Relocation Site	Internet / COOP Server	"Normal" server
Formats:	Paper / CD / Thumb-drive	Digital	Digital
Pre-placed copies at/on:	Relocation Site(s) &/or hand-carried	Internet-based service / COOP Server	N/A
Records needed:	COOP Plan & Annexes	Floor Plans	Rights & Interests records
	Contact Lists	Purchasing authorities	Program records
	Checklists & SOPs	Reconstitution Plan	
	Delegations of Authority	Service contracts	
	Lines of Succession		

FEMA

FEMA REGION VIII'S RECORDS MANAGEMENT TEAM

DIANA CARLSON-SHERBO
303-358-0866
diana.carlson-sherbo@fema.dhs.gov

LUISA RIVERA
303-482-6042
luisa.rivera@fema.dhs.gov

FEMA