

# RECORDS and DISASTERS

April 26, 2022

Rebecca Halbmaier  
West Kentucky Regional Administrator  
Local Records Branch  
Archives and Records Management Division  
Department for Libraries and Archives



Kentucky Department for Libraries and Archives



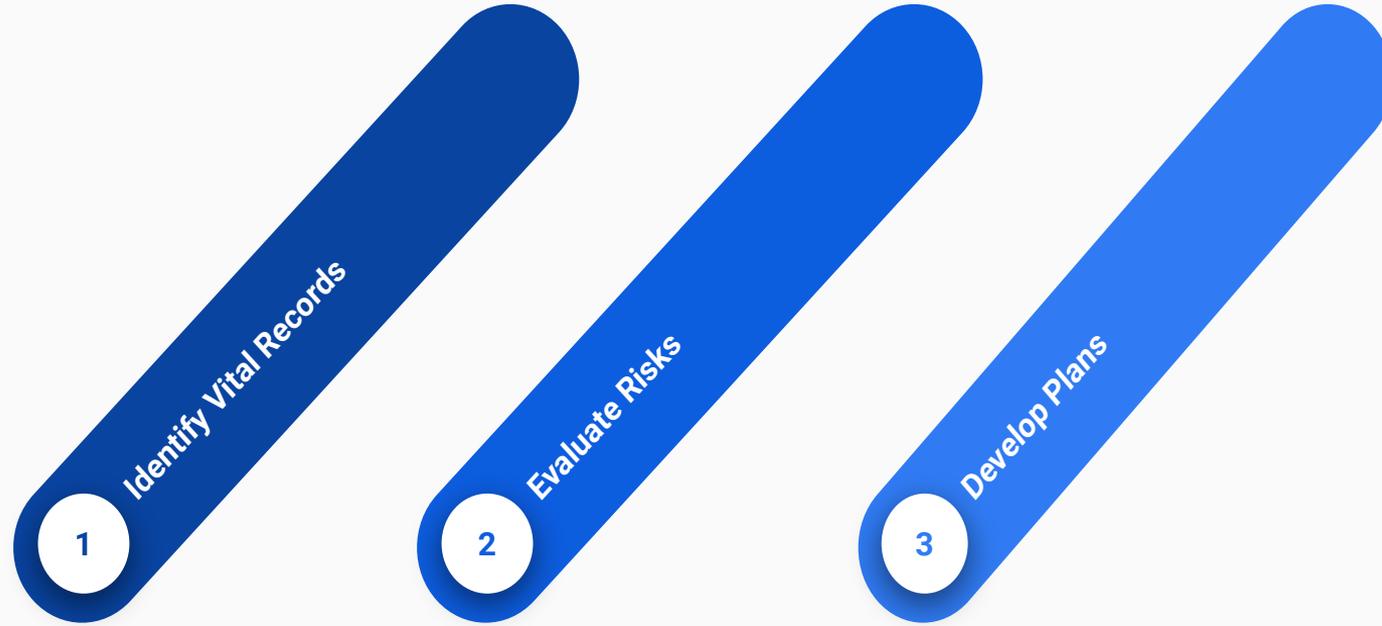
**Disaster Plans, Templates, and Guidance are available from a variety of sources.**

**\*Find a template that is usable and useful to your agency and start from there!**



The four stages of emergency preparedness for records can be summed up as:

- Risk
- Readiness
- Response
- Recovery





## **Risk to Records Best Practices Checklist**

- Determine agency's critical functions.
- Identify program staff who can help identify essential records for each function.
- Designate essential records.
- Prioritize essential records.
- Determine timeframes for accessing essential records during and after emergency.
- Identify and evaluate risks to essential records.
- 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.

## Disaster Preparedness: Disaster Preparation Checklist

**Purpose:** A checklist of steps to help state agencies and local government entities prepare for disaster.

- Check records/server storage areas for potential issues (such as water hazards) and ensure records are off the ground. Move to a safer area if necessary.
- Identify "Essential" records.
- Create procedures for accessing essential records during/after a disaster.
- Create/update disaster plan to include records protection strategies and disaster response for every possible scenario.
- Designate coordinators and response teams, and assign responsibilities (immediate response, assessment, salvage, etc.).
- Form contingency services contracts with vendors.
- Identify and acquire supplies needed to salvage records/data.
- Train personnel on disaster response procedures in disaster plan.
- Test emergency procedures/systems.
- Backup "Essential" records and store offsite.
- Schedule regular checks to ensure backups are readable and up to date.

Additional advice regarding the management of public records is available from  
Washington State Archives:

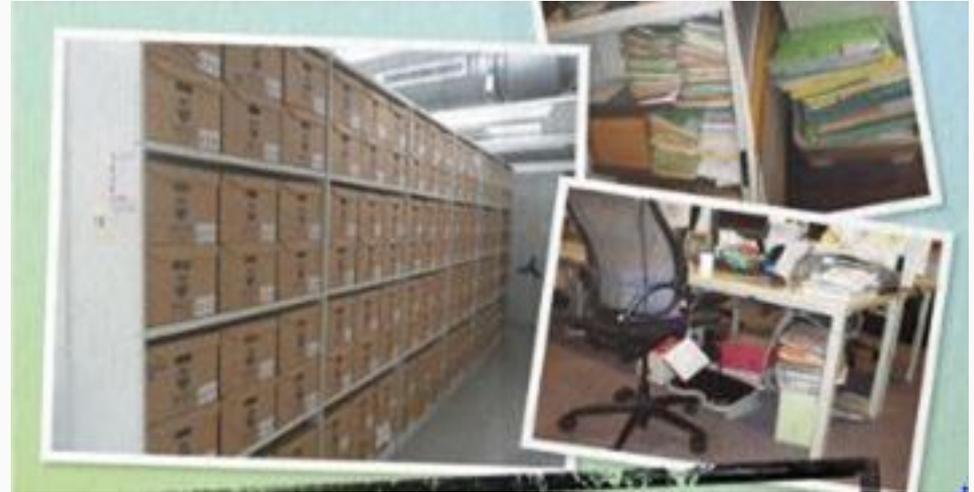
[www.sos.wa.gov/archives](http://www.sos.wa.gov/archives)  
[recordsmanagement@sos.wa.gov](mailto:recordsmanagement@sos.wa.gov)



TITLE	SERIES	VITAL	DATEBEG	DATEE	VOLUM	MEDIUM	VOL	FORM	DAMAGE	MF	Need	PERM	LOCATION	ORIG	Digital	Accession#	Grant#	COMMENTS	SURVEYED
Fiscal Court Minute	L1217	<input type="checkbox"/>	1982		11	Paper	1	B		<input type="checkbox"/>	<input checked="" type="checkbox"/>	P	AVIS Rm, Ordinances Desk.	O	<input type="checkbox"/>			1/2 size, sewn bound, typewritten, pages not numbered. Indexed on page 357. STILL IN USE.	06/04/2001
Fiscal Court Minute	L1217	<input type="checkbox"/>	1981	1985		Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	State Rords Only or destroyed.	O	<input type="checkbox"/>			127 pages used, handwritten, sewn bound, no index. [This volume is one of more than 200 brought to the State Records Center in March 1992. It may have damage from water, vermin, acid, mold, use and/or human abuse.]	06/04/2001
Fiscal Court Minute	L1218	<input type="checkbox"/>	1978	1982	1	Paper	1	B	U/H	<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch 3, fmg E.	O	<input type="checkbox"/>			Post binding, typewritten, with index, 476 pages, damaged spine--too many pages and inserts.	06/04/2001
Fiscal Court Minute	L1218	<input type="checkbox"/>	1886	1981	1-20	Paper	20	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch 2, R. 1-3.	O	<input type="checkbox"/>			All have indexes. #1, 1880-1889; #2, 1888-1894; #3, 1900-1910; #4, 1911-1916; #5, 1916-1921; #6, 1921-1925; #7, 1925-1928; #8, 1928-1931; #9, 1931-1934; #10, 1934-1938; #11, 1938-1941; #12, 1941-1946; #13, 1946-1950; #14, 1950-1953; #15, 1953-1957; #16, 1957-1961; #17, 1961-1965; #18, 1965-1970; #19, 1970-1974; and #20, 198-1981.	06/04/2001
Fiscal Court Minute	L1218	<input type="checkbox"/>	1895	1901	2	Paper	1	B		<input type="checkbox"/>	<input checked="" type="checkbox"/>	P	Deed Rm, Atty's Bnch #3 fmg E, R. 3, S. 7.	O	<input type="checkbox"/>			Sewn binding, handwritten, pages not numbered. Form says Court of Claims, One of three volumes for this series numbered #2.	06/04/2001
Fiscal Court Minute	L1218	<input type="checkbox"/>	1983	1988	2	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch 3, fmg E.	O	<input type="checkbox"/>			Post binding, typewritten, with index, 501 pages.	06/04/2001
Fiscal Court Minute	L1218	<input type="checkbox"/>	1988	1993	3	Paper	1	B		<input type="checkbox"/>	<input checked="" type="checkbox"/>	P	Deed Rm, Atty's Bnch 3, fmg E.	O	<input type="checkbox"/>			Post bound, typewritten, with index, 499 pages.	06/04/2001
Fiscal Court Minute	L1218	<input type="checkbox"/>	1993	1995	4	Paper	1	B		<input type="checkbox"/>	<input checked="" type="checkbox"/>	P	Deed Rm, Atty's Bnch 3, fmg E.	O	<input type="checkbox"/>			Post bound, typewritten, with index, 413 pages.	06/04/2001
Fiscal Court Minute	L1218	<input type="checkbox"/>	1995	1998	5	Paper	1	B		<input type="checkbox"/>	<input checked="" type="checkbox"/>	P	Deed Rm, Atty's Bnch 3, fmg E.	O	<input type="checkbox"/>			Post bound, typewritten, with index, 413 pages.	06/04/2001
Fiscal Court Minute	L1218	<input type="checkbox"/>	1998	2000	6	Paper	1	B		<input type="checkbox"/>	<input checked="" type="checkbox"/>	P	Deed Rm, Atty's Bnch #3.	O	<input type="checkbox"/>			Post bound, typewritten, with index, 230 pages.	06/04/2001
Fiscal Court Minute	L1218	<input type="checkbox"/>	2000	7	Paper	1	B			<input type="checkbox"/>	<input checked="" type="checkbox"/>	P	Judge/Executive's Office.	O	<input type="checkbox"/>			Post bound, typewritten, with index. STILL IN USE.	06/04/2001
County Ordinances	L1219	<input type="checkbox"/>	1989	1	Paper	1	B			<input type="checkbox"/>	<input checked="" type="checkbox"/>	P	AVIS Rm, Co Ordinances Desk.	O	<input type="checkbox"/>			1/2 size, post bound, typewritten, indexed. Still in use.	06/04/2001
Poorhouse Keeper's Report	L1221	<input type="checkbox"/>	1894	1939		Paper	0.1	L		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Graves Co. Public Library in acid free Hinger box	O	<input type="checkbox"/>			Two items arranged chronologically. Loaned to the Grave Co. Public Library, 515 N 17TH Street by the County Clerk. Delivered in summer of 1994.	06/04/2001
List of Claims Allowed	L1222	<input type="checkbox"/>	1888	1920		Paper	0.5	L		<input type="checkbox"/>	<input type="checkbox"/>	NP	Graves Co. Public Library, Hinger box.	O	<input type="checkbox"/>			Sewn binding, handwritten, no index, only two pages for five days work used, spine and headings say List of Deeds and Mortgages. DO NOT FILM! Will destroy--5 year record.	06/09/1991
Road Orders	L1226	<input type="checkbox"/>	1888	1940		Paper	0.1	L		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Graves Co. Public Library, in acid free Hinger box	O	<input type="checkbox"/>			Arranged chronologically. Loaned to the Graves County Public Library, by the County Clerk. Delivered in summer of 1994.	06/04/2001
Report of Bridge Letting - Monthly	L1231	<input type="checkbox"/>	1939	1939		Paper	0.1	L		<input type="checkbox"/>	<input type="checkbox"/>	NP	Graves Co. Public Library in acid free Hinger box.	O	<input type="checkbox"/>			Arranged chronologically. DO NOT FILM.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1919	1919	10	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch 5<- #9.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, no index, 119 double pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1919	1920	11	Paper	1	B	H/U	<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, #10.	O	<input type="checkbox"/>			1/2 size sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1920	1920	12	Paper	1	B	H/U	<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, #11.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 119 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1921	1921	14	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, #13.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover. #13 was a Marriage Bond Book (L1566).	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1921	1921	15	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, #14.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 119 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1921	1922	16	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, #15.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1922	1922	17	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, #16.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 119 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1922	1923	18	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. 4, #3.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 119 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1923	1924	19	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. #4, #5.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1923	1924	19	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch 5, R. 4, #4.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1924	1924	20	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. 4, #6.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1924	1925	21	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. 4, #7.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1925	1926	22	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. 4, #8.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1926	1926	23	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. #4, #9.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1926	1927	24	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. 4, #10.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1927	1928	25	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. 4, #11.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1928	1929	26	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. #4, #12.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1928	1929	27	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. #4, #13.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 120 pages, new canvas cover.	06/04/2001
Marriage Book	L1234	<input type="checkbox"/>	1929	1930	28	Paper	1	B		<input checked="" type="checkbox"/>	<input type="checkbox"/>	P	Deed Rm, Atty's Bnch #5, R. #4, #14.	O	<input type="checkbox"/>			1/2 size, sewn binding, handwritten, indexed, 119 pages, new canvas cover.	06/04/2001

## Mitigation Strategies:

- Organization of Records
- Paper duplicates
- Climate Control
- Microfilm
- Digital Images
- Retention and Destruction of Records



## Considerations:

- Offsite storage
- Cloud storage



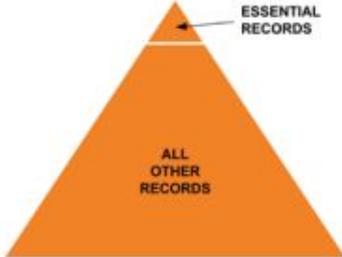
PRIORITY FOR SALVAGE	ESSENTIAL RECORDS ARE RECORDS THAT:	EXAMPLES INCLUDE:
<b>Priority 1: First 1–12 hours</b> 	Are necessary for emergency response	<ul style="list-style-type: none"> <li>• Copy of emergency and/or Continuity of Operations (COOP) Plan</li> <li>• Infrastructure and utility plans</li> <li>• Maps and building plans</li> <li>• Emergency contact information</li> </ul>
	Are necessary to resume or continue operations	<ul style="list-style-type: none"> <li>• Delegations of authority</li> <li>• Contracts and leases</li> <li>• Payroll</li> <li>• Prison, jail, and parole records</li> <li>• Insurance records</li> </ul>
<b>Priority 2: First 12–72 hours</b> 	Protect the health, safety, property, and rights of residents	<ul style="list-style-type: none"> <li>• Deeds, mortgages, land records</li> <li>• Birth and marriage records</li> <li>• Medical records</li> <li>• Active court proceedings</li> <li>• Education and military service records</li> <li>• Voting records</li> <li>• Professional licenses</li> </ul>
	Would require massive resources to reconstruct	<ul style="list-style-type: none"> <li>• Geographic information systems data</li> <li>• Tax records</li> </ul>
<b>Priority 3: After first 72 hours</b>	Document the history of communities and families	<ul style="list-style-type: none"> <li>• Historical documents</li> <li>• Photographs</li> <li>• Identity records</li> </ul>
<ul style="list-style-type: none"> <li>• Only a small percentage (typically, less than five percent) of all Government records are essential</li> <li>• Value during an emergency makes a record essential</li> <li>• As disruption time increases, more records become essential</li> <li>• "Records" can be in many different formats, including paper or electronic</li> </ul> <div style="text-align: center;">  </div>		

Image from IPER Essential Records course:  
<https://www.statearchivists.org/research-resources/emergency-preparedness/repr>

“The development of the IPER Essential Records course was supported by Cooperative Agreement Number 2007-GT-T7-K022, U.S. Department of Homeland Security, Federal Emergency Management Agency, National Preparedness Directorate. Points of view or opinions in this program are those of the author(s) and do not represent the position or policies of the U.S. Department of Homeland Security.”

1. General Preparedness	OK?	Needs Action (Describe)	Action Complete (Date & Initial)
Records Disaster Plan written and updated			
Emergency Instructions posted at all staff phones			
Disaster supply kit(s) created and inventoried on schedule			
All shut-off valves, breaker switches, etc. properly labeled			

2. Plumbing	OK?	Needs Action (Describe)	Action Complete (Date & Initial)
Pipes and plumbing well-supported			
Pipes and plumbing free of leaks			
Staff know location of water main and have appropriate tools (if needed) for shut-off			

3. Fire Safety	OK?	Needs Action (Describe)	Action Complete (Date & Initial)
Appliance cords in good condition			
Appliances turned off and unplugged nightly			
Schedule visits with the Fire Marshal to follow-up on observed code violations			
Floor plans identifying location of essential records given to Fire Department			
Detection systems:			
appropriate type(s) present			
wired to 24-hour monitoring station			
tested regularly			
Fire extinguishers present, inspected regularly and re-charged if necessary			
Automatic suppression system (e.g., sprinklers, halon) present and operating			
Fire drill conducted twice per year			
Staff trained in:			
sounding alarms			
interpreting enunciator panels (if present)			
notifying Fire Department and others as called for			
using extinguishers			
turning off power, HVAC, sprinklers, gas main			
closing fire doors			

4. Housekeeping	OK?	Needs Action (Describe)	Action Complete (Date & Initial)
Cleaning supplies and other flammables stored safely			
Trash removed nightly			

Records Risk Assessment Inspection Checklist Template - "Essential Records Manual - Security Backup, Disaster Preparedness Response, and Recovery" Office of the Secretary of State, Division of Archives and Records and Management, Washington State

5. Files and Records Storage Areas	OK?	Needs Action (Describe)	Action Complete (Date & Initial)
Shelves well-braced			
Items shelved snugly			
Shelving 4-6" off floor			
No materials stored on floor			
No essential records or valuable materials in basement			
Exits unobstructed			
Important materials away from windows			
Flashlights kept in windowless and dark areas, and batteries checked			

6. Protection from Water Damage	OK?	Needs Action (Describe)	Action Complete (Date & Initial)
No water sources located above records			
Water detectors present			
Storage areas checked daily for leaks, seepage, etc. Sump pumps and backups present where needed			
Dehumidifiers available			
No leakage/seepage through walls			
Valuable materials stored above ground level			
Valuable and fragile media stored in protective enclosures			
Staff have keys to mechanical rooms and janitorial closets			





Develop plans, policies, and procedures

Identify and Store Emergency Supplies and Equipment

Identify Support and Contacts (Response Teams)

Training

Test Procedures and Plans



Management Approval and Support

Records Disaster Coordinator and Records Preparedness and Response Team

Training

Support and Communication

Essential Records Protection Procedures

Preparedness and Prevention Procedures

Response and Recovery Procedures

## Develop Plans, Policies and Procedures

- Risk Mitigation
- Preparedness
- Response
- Recovery

<b>[Government Agencies] Pocket Response Plan<sup>™</sup> (PRrP<sup>™</sup>)</b>	<b>STATE GOVT OFFICIALS</b>	<b>FIRST RESPONDERS</b>	<b>FACILITIES MANAGEMENT</b>	<b>EMERGENCY SERVICE PROVIDERS</b>	<b>OTHER CONTACTS</b>
<b>INSTITUTIONAL CONTACTS</b>	Chief Information Officer/IT Dept [name] [phone]	Police Department [phone]	Building Mgr [name] [office phone] / [home phone] / [cell]	Conservator [name] [phone]	State historical records advisory board [name of designated contact] [phone]
Agency Head [name] [office phone] / [home phone] / [cell]	Risk Manager [name] [phone]	Fire Department [phone]	Building Staff [name] [office phone] / [home phone] / [cell]	Data Recovery Service [name] [phone]	Local government records commission [name] [phone]
Deputy Director [name] [office phone] / [home phone] / [cell]	Department of Public Health [phone]	Emergency medical/ambulance service [phone]	<b>UTILITIES</b>	Dehumidification Services (building) [name] [phone]	Local government association(s) [phone]
<b>DISASTER TEAM</b>	Purchasing Agent [phone]	Security [phone]	Electricity [name] [phone]	Commercial Recovery Services (house drying) [name] [phone]	National Archives regional office [phone]
Team Leader [name] [office phone] / [home phone] / [cell]	<b>STATE ARCHIVES &amp; RECORDS MANAGEMENT CONTACTS</b>	State EMA [phone]	Gas [name] [phone]	Emergency Recovery Services (water damage) [name] [phone]	FEMA regional office [phone]
Member 1 [name] [office phone] / [home phone] / [cell]	State Archivist [name] [office phone] / [home phone] / [cell]	Local EMA [phone]	Telephone [name] [phone]	Exterminator / Fumigation Service [name] [phone]	Council of State Archivists (CoSA) CoSA administrative staff 516-473-8098
Member 2 [name] [office phone] / [home phone] / [cell]	State Records Manager [name] [office phone] / [home phone] / [cell]	State Command Center [phone]	Water – Fire sprinklers [name] [phone]	Freezer Storage Space [name] [phone]	American Association for State & Local History 615-326-3203
Member 3 [name] [office phone] / [home phone] / [cell]	Department/Section Manager1 [name] [office phone] / [home phone] / [cell]	State Police [phone]	Water – Potable [name] [phone]	Industrial Hygiene/Mold Testing Lab [name] [phone]	ARMA International 800-422-2762
Member 4 [name] [office phone] / [home phone] / [cell]	Department/Section Manager2 [name] [office phone] / [home phone] / [cell]	Highway Patrol [phone]	Internet provider [name] [phone]	Refrigerated Trucking Service [name] [phone]	National Association of Government Archives & Records Administrators 202-698-3800
Parent agency contact [name] [office phone] / [home phone] / [cell]	Preservation Manager [name] [office phone] / [home phone] / [cell]	Sheriff [phone]	Elevators [name] [phone]	<b>REGIONAL PRESERVATION SERVICES</b>	Society of American Archivists 312-606-0722
	Conservator [name] [office phone] / [home phone] / [cell]	Centers for Disease Control [phone]	Security system [name] [phone]	[name] [phone]	
	Local Governments Mgr [name] [office phone] / [home phone] / [cell]	Red Cross [phone]	Fire alarm/suppression system [name] [phone]	[name] [phone]	
		<b>MUTUAL AID PARTNERS</b>		[name] [phone]	
		[institution] [name] [phone]		[name] [phone]	
		[institution] [name] [phone]		[name] [phone]	
		[institution] [name] [phone]		[name] [phone]	

Print on 8 1/2" x 14" paper. Trim to 12 1/2" x 6 1/4", fold on vertical lines like an accordion, then fold in half (bringing short sides together) so that final folded document measures 2 1/4" x 3 1/2".  
Insert in PRrP<sup>™</sup> Tyvek<sup>®</sup> envelope for protection. © 2008 Council of State Archivists (CoSA) May be customized and reproduced for distribution free of charge with credit to CoSA.

**SIDE B (Actions).** Use this side to provide step-by-step instructions for state archives personnel who will respond to a disaster affecting your own institution, a state or local government agency, or another archival repository or cultural institution in your state. Ideally, steps should already be defined in the state archives disaster plan. This PRaP™ document is NOT intended to be a substitute for a comprehensive emergency plan. Instead, it should distill the most important tasks to be taken in the first minutes and hours after an event occurs, especially those that occur when staff members are away from their offices.

<p><b>[Government Agencies] Pocket Response Plan™ (PRaP™)</b></p> <hr/> <p><b>Response checklist for an emergency in a facility housing archives or records</b></p> <p>Follow these steps as you respond to an emergency in the state archives or records center.</p> <p><b>Coordinate your agency's response</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Recognize and define the emergency</li> <li><input type="checkbox"/> Notify public authorities and first responders</li> <li><input type="checkbox"/> Ensure that all staff and visitors are safe and accounted for</li> <li><input type="checkbox"/> Contact risk manager and insurance agent</li> <li><input type="checkbox"/> Activate the Disaster Plan</li> <li><input type="checkbox"/> Activate the Disaster Team</li> <li><input type="checkbox"/> Activate agency command center</li> <li><input type="checkbox"/> Establish communication with staff, public</li> </ul> <p><b>Phone tree</b> (customize to fit your repository)</p>	<p><b>Assessment, salvage, recovery</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure that all hazards are cleared before entry</li> <li><input type="checkbox"/> Assess and document damage to holdings, building, information systems             <ul style="list-style-type: none"> <li><input type="checkbox"/> What type of an emergency was it (fire, smoke, chemical, clean water, dirty water, heat, humidity)?</li> <li><input type="checkbox"/> What areas have been affected?</li> <li><input type="checkbox"/> What is the nature of the event?</li> <li><input type="checkbox"/> How much of the collection has been affected?</li> <li><input type="checkbox"/> What types of materials have been damaged?</li> </ul> </li> <li><input type="checkbox"/> Are critical information systems functional / safe?</li> <li><input type="checkbox"/> Maintain security</li> <li><input type="checkbox"/> Stabilize the environment at your facility</li> <li><input type="checkbox"/> Identify and gather emergency supplies</li> <li><input type="checkbox"/> Locations of supplies:</li> </ul> <ul style="list-style-type: none"> <li><input type="checkbox"/> Contact state archives and records management program</li> <li><input type="checkbox"/> Contact other aid partners</li> <li><input type="checkbox"/> Contact outside emergency service providers</li> <li><input type="checkbox"/> Begin salvage</li> <li><input type="checkbox"/> Contact news media</li> <li><input type="checkbox"/> Report status to constituents</li> </ul>	<p><b>Response checklist for statewide response</b></p> <p>Follow these steps as you respond to an emergency with a regional or statewide impact involving records.</p> <p><b>Identify and contact agencies or repositories that might be affected</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Use directories to locate state agency field offices, local governments, and archival repositories</li> <li><input type="checkbox"/> Establish mechanisms for state and local government agencies to report threats to records.</li> <li><input type="checkbox"/> Account for all affected records repositories in region or state</li> <li><input type="checkbox"/> Determine if state ARM is holding a copy of affected organizations' emergency response plans</li> </ul>	<p><b>Establish and maintain channels of communication</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Make contact with state and local EMA (emergency management agency)</li> <li><input type="checkbox"/> Post staff at EMA Command Center</li> <li><input type="checkbox"/> Contact state archivist to request that CoSA to schedule a "meet re" call on toll-free line</li> <li><input type="checkbox"/> Establish communication with appropriate local government networks</li> <li><input type="checkbox"/> Post emergency information and instructions on _____ Web site</li> <li><input type="checkbox"/> Contact National Archives regional office</li> <li><input type="checkbox"/> Establish communication with FEMA, other NARA officials</li> <li><input type="checkbox"/> Contact risk manager and insurance agent</li> <li><input type="checkbox"/> Contact the news media</li> </ul>	<p><b>Provide or coordinate emergency services</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Obtain appropriate permissions to enter disaster site from public safety authorities, public health department</li> <li><input type="checkbox"/> Deliver services to repositories in need:             <ul style="list-style-type: none"> <li><input type="checkbox"/> Connect institutions in need with services (send vendor/supplier list from state ARM emergency plan)</li> <li><input type="checkbox"/> Recruit volunteers</li> <li><input type="checkbox"/> Provide supplies</li> <li><input type="checkbox"/> Facilitate trips</li> <li><input type="checkbox"/> Conduct assessments</li> <li><input type="checkbox"/> Assist with public relations</li> <li><input type="checkbox"/> Provide recovery assistance</li> </ul> </li> <li><input type="checkbox"/> Contact outside emergency service providers</li> <li><input type="checkbox"/> Confirm funding sources for emergency services</li> </ul>	<p><b>Protect vital records or those containing sensitive or personal data</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Assess status of secure storage facilities</li> <li><input type="checkbox"/> Check condition of vital records</li> <li><input type="checkbox"/> Obtain appropriate storage space for threatened vital records</li> <li><input type="checkbox"/> Determine if microfilm or other duplicates of vital records are stored elsewhere</li> <li><input type="checkbox"/> Assist affected agency or repository to establish salvage priorities</li> </ul> <p><b>Educate and train responders</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Coordinate deployment of staff and volunteers to affected areas</li> <li><input type="checkbox"/> Train response and salvage crews</li> </ul>
---	--	---	---	--	--

Print on 8 1/2" x 14" paper. Trim on outside lines. Fold on vertical lines like an accordion, then fold in half (bringing short sides together) so that final folded document measures 2 1/4" x 3 1/2". Insert in PRaP™ Tyvek® envelope for protection. © 2008 Council of State Archivists (CoSA) May be customized and reproduced for distribution free of charge with credit to CoSA.



## Risk Mitigation

### Essential Records

- ◆ Locate
- ◆ Keep separate from other records
- ◆ Keep close together
- ◆ Locate in area close to exit
- ◆ Store off floor
- ◆ Keep in fire-safe or archival storage
- ◆ Keep essential records off desks
- ◆ Specially label storage/folders

### Facility and Storage

- ◆ Vaults, safes, fire-resistant storage
- ◆ Facility safety

### Duplication and Security Copies

- ◆ Paper duplication
- ◆ Electronic Imaging
- ◆ Microfilm

### Procure Emergency Equipment and Supplies

- ◆ Plastic sheeting
- ◆ Fans
- ◆ Dehumidifiers
- ◆ Water pumps/wet vacs
- ◆ Generators
- ◆ Personal Safety equipment (masks, gloves, eye protection)
- ◆ Crates

**Table 1: In-House Stash of Supplies for Immediate Response**

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X			33-gallon plastic trash can with wheels and lid (to store supplies)
X			1 roll 10' x 100' 2 mil plastic sheeting
X			1 roll masking/duct tape (to use with sheeting)
X			1 spool packing string (to hang sheeting)
X			10 large plastic trash bags (to fit can)
X			1 large sponge
X			1–5-gallon bucket
X			1 box disposable gloves
X			1 roll "Do not enter" barricade tape
X			2 rolls paper towels
X			1 pair scissors
X			1 dozen pencils (mechanical or sharpened)
X			2 black permanent marking pens
X			Lined paper pad
X			Flashlight (self-standing, extra batteries)
X			10 dust masks

**Table 2: Documentation**

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X	X	X	Camera, memory cards (in case a digital camera is not available, keep a disposable camera in emergency supply stash)
X	X	X	Video camera, memory cards
X	X	X	Laptop computer
X	X	X	Waterproof pens/markers
X	X	X	Pencils (mechanical or sharpened)
X	X	X	Clipboards
X	X	X	Paper pads/fogs

**Table 3: Personal Safety and Protection**

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING FOR STABILIZATION	DISASTER RESPONSE SUPPLIES AND EQUIPMENT
X	X	X	First Aid kit (keep in mind treatment of paper cuts, staple pokes)
X	X	X	Gloves (disposable, work)
X	X	X	Hard hats (size adjustable)
X	X	X	Masks and respirators (dust, mold)
X	X	X	Rubber boots (non-skid), many sizes
X	X	X	Safety goggles
X	X	X	Eyewash kits
X	X	X	Aprons (plastic, disposable)
X	X	X	Overalls, jumpsuits
X	X	X	Vest (or jacket) with pockets
X	X	X	Antimicrobial soap/alcohol hand wash
X	X	X	Drinking water
X	X	X	Portable toilet
X	X	X	Identification badges

Image from REPR Essential Records course:

<https://www.statearchivists.org/research-resource/s/emergency-preparedness/repr>

Table 4: Packing Supplies

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING OR STABILIZATION	DEASTER RESPONSE SUPPLIES AND EQUIPMENT
X		X	Self-adhesive labels, color-coded adhesive dots
X		X	Hand trucks, dollies, book carts
X	X	X	Plastic bags (garbage, zipper lock, assorted sizes)
X		X	Corrugated cardboard boxes
X		X	Tape (masking, packing, duct), tape dispensers
X		X	Scissors, utility knives (extra blades)
X		X	Plastic crates
X		X	RescueBuffs® (see description on p. 4 of this handout)
X		X	Pallets

Table 5: Communication

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING OR STABILIZATION	DEASTER RESPONSE SUPPLIES AND EQUIPMENT
X			Hand radio sets/Walkie-talkies
X			Portable radios
X			Cellular phones (with emergency numbers)
X			Ham radios
X			Megaphone

Table 6: Environmental Monitoring and Moisture Control

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING OR STABILIZATION	DEASTER RESPONSE SUPPLIES AND EQUIPMENT
X			Air conditioners (portable)
X	X		Dehumidifiers
X	X		Fans
X	X		Monitors (temperature, humidity)

Table 7: Other Supplies and Equipment

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING OR STABILIZATION	DEASTER RESPONSE SUPPLIES AND EQUIPMENT
X			Acrylic sheets (Flexiglas™)
	X		Blotting paper (white)
X	X	X	Brooms, dustpans, shovels, mops, buckets
X	X	X	Bubble pack
X			Cleaning products, disinfectant
X	X		Cloths: cotton rags, dust cloths, lint-free cloths, nonwoven polyester web, cheesecloth
X	X		Clothesline, rope, string (heavy packing on spool)
	X		Clothespins (rust proof)
	X		Dish-drying racks (plastic-covered)
X			Dry ice
X	X	X	Flashlights (self-standing), headlamps, extra batteries, chemical light sticks
X	X	X	Generator (portable, fuel supply)
X		X	Ladders and kick stands
X	X		Mat board
X	X		Moisture meter
X	X		Newsprint (un-inked, blank), butcher paper
X	X	X	Office supplies (paper pads, pencils, waterproof pens/markers, flipcharts, large self-adhesive labels)
X	X		Photo Flo, wetting agent (Kodak)
X	X		Plastic clips/clothespins
X	X	X	Plastic garbage cans, washtubs
X			Plastic sheeting (polyethylene) rolls
X			Plywood or masonite board

Table 8: Other Supplies and Equipment (cont'd.)

NEEDED FOR IMMEDIATE RESPONSE	NEEDED FOR AIR DRYING	NEEDED FOR FREEZING OR STABILIZATION	DEASTER RESPONSE SUPPLIES AND EQUIPMENT
X	X		Polyester film (Mylar), 3 to 5 mil
	X	X	Polyester, spunbond (Reemay, Hollytex)
X			Pump (portable)
X	X		Screen (nylon), screen or bakery drying racks
		X	Shrink wrap
X	X		Signs: "Caution Wet Floor"
	X	X	Silicone release paper
X	X		Sponges (cellulose, chemical)
X	X		Surge protectors, extension cords (50+ ft., heavy-duty, grounded)
X	X	X	Tables (portable, folding)
X	X	X	Tool kit (crowbar, hammer, wrenches, pliers, screwdriver)
X	X		Towels (absorbent cloth, paper)
X	X		Trays (deep, for rinsing)
X			Water hoses, adjustable spray nozzles
X			Wet vacuum (10-gallon industrial)

Image from REPR Essential Records course:

<https://www.statearchivists.org/research-resources/emergency-preparedness/repr>



## **Readiness Best Practices Checklist**

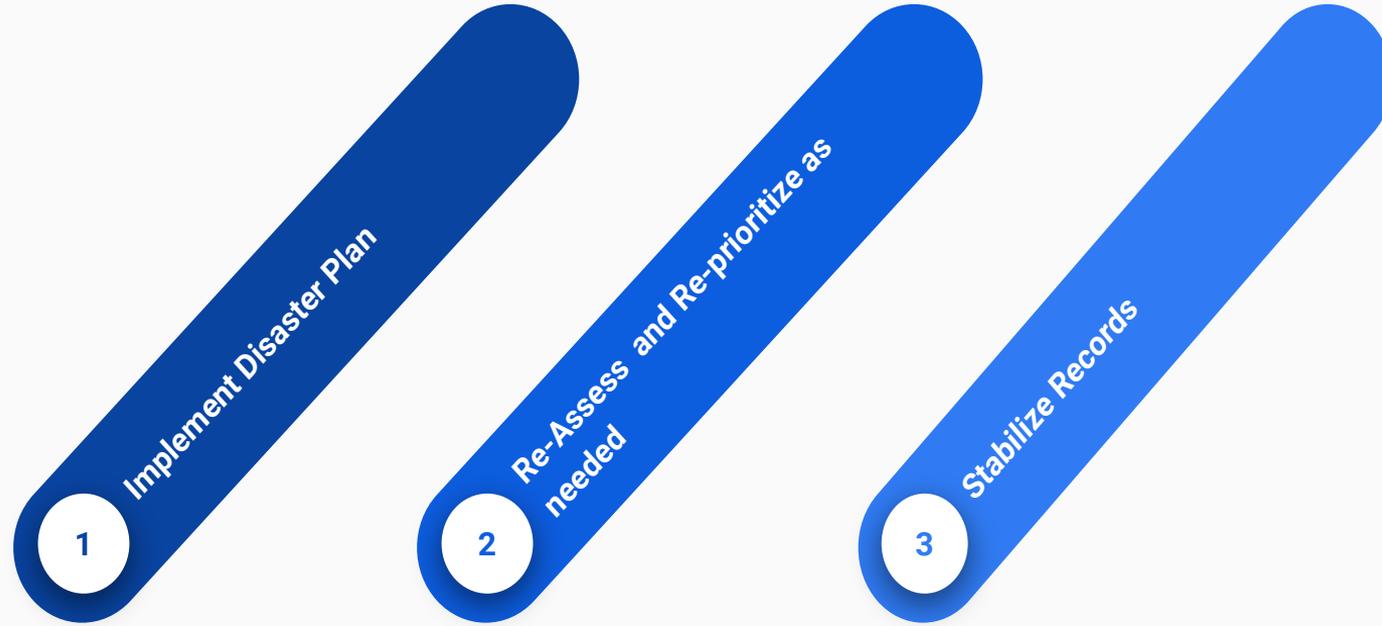
- Develop disaster plan for records and include records protection in all disaster plans and emergency action plans
- Designate personnel and assign responsibilities for immediate response, assessment and salvage
- Determine procedures for accessing essential records during and after emergency.
- Identify and procure supplies and contingency service contracts
- Train all personnel on the plans
- Test procedures for emergency plans and systems



Response is immediate and short-term actions during and directly after a disaster or emergency. It is meant to assess damage and minimize additional damage. The disaster plan should be implemented and response team assembled.

1. Initial collections damage assessment; identify immediate needs (removal, freezing, etc.);
2. Initial facility damage assessment;
3. Determine needs and additional support







## Handout 3.4—Emergency Response Checklist: First 48 Hours

### Records Emergency Response Team Leader

- Finalize response plan.
- Set up staging area that is safe and secure from the effects of the emergency.
- If necessary, set up a secure area for handling confidential records.
- Set up drying area for in-house recovery, if applicable.
- Deploy environmental monitoring equipment.
- Gather sufficient staff/experts, contractors, and other personnel necessary to carry out the recovery.
- Decide on recovery techniques and procedures.
- Decide who will perform the work, and where.
- Assign recorder to document damage (in writing, dictated orally, photographed, or taped) and track the movement of materials.
- Decide on pack-out procedures.
- Provide on-site training of personnel.
- Implement tracking system.
- Communicate with Action Team Leader and recovery personnel.
- Activate delivery of more supplies.
- Arrange for food, water, and services for personnel carrying out the response.

### Records Emergency Response Team

- Check every shelf and drawer, and surrounding floors and areas.
- Label materials for recovery efforts as dry, damp, or wet.
- Remove dry materials from the affected areas.
- Remove wet and/or damp materials to appropriately labeled containers.
- Move containers to air-drying, freezing, or further tracking/sorting areas.
- Document response and recovery.
- Record information in tracking system.



## Initial Damage Assessment and Response Checklist



Date \_\_\_\_\_ Time \_\_\_\_\_ am pm  
Assessor's Name \_\_\_\_\_ Title \_\_\_\_\_ Other Participants \_\_\_\_\_  
Phone \_\_\_\_\_ E-mail \_\_\_\_\_

Page ( ) of \_\_\_\_\_ Attachments:  Sketches  Documents  Images  Other \_\_\_\_\_

### Assessment Location

Department/Agency \_\_\_\_\_ County (if applicable) \_\_\_\_\_ Agency/Unit contact \_\_\_\_\_  
Building \_\_\_\_\_ Floor \_\_\_\_\_ Room \_\_\_\_\_ Phone \_\_\_\_\_  
Street Address \_\_\_\_\_ City/State/Zip \_\_\_\_\_ Email \_\_\_\_\_

### Initial Situation Survey

Type of emergency \_\_\_\_\_ Is it still happening?  Yes  No

Nature of damage:  Water  Fire  Holes  Mold  Contamination  Broken Windows  Roof damage  Structural  Other (describe) \_\_\_\_\_

Extent of damage:  Small isolated area  One room  Part of Floor  Entire Floor  Multiple Floors  Entire building

Can the staff handle the situation initially?  Yes  No Who is in charge? \_\_\_\_\_

Is it safe to enter?  Yes  No: If no, what needs to be done to make it safe? \_\_\_\_\_

Who discovered/reported damage? \_\_\_\_\_ How long have the records been damaged? \_\_\_\_\_

What has been done so far? \_\_\_\_\_

What is the security status? \_\_\_\_\_

Does anything need to be done to clean and/or secure the area before attending to records? \_\_\_\_\_

Other notes \_\_\_\_\_

Adapted with permission by the Intergovernmental Preparedness for Essential Records (IPER) Project, Council of State Archivists  
From the Heritage Preservation Assessment Form in the FAIC Guide to Emergency Response

Photocopy this form before using





### Rapid Collections Assessment

Record Type	Record Series/ID	# Items Damaged	Nature/Severity (use key below)	Treatment Needed (circle)	Priority (circle)	Security/ Privacy? (circle)	Notes
<i>Example:</i> Bound volumes	23 190	1,500	A1, B3, G2	Yes No <u>Urgent</u>	<u>1</u> 2 3	yes <u>no</u>	<i>Need to be boxed</i>
Essential records:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Books:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Bound volumes:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Unbound records:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Maps, plans oversized:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Photos, negatives:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Microforms:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Audio/video media:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Magnetic/electronic media:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
CDs/DVDs:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Artifacts:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____
Other:	_____	_____	_____	Yes No Urgent	1 2 3	yes no	_____

KEY Nature of Damage: D) Running Inks H) Other: \_\_\_\_\_  
 A) Water damage E) Fire Damage  
 B) Mold F) Tears  
 C) Structural Damage G) Loose Pieces

Severity of Damage:  
 1) Severe  
 2) Moderate  
 3) Minor

Are records in jeopardy of further damage?  Yes  No If yes, what needs to be done to prevent further damage? \_\_\_\_\_

Adapted with permission by the Intergovernmental Preparedness for Essential Records (IPER) Project, Council of State Archivists  
 From the Heritage Preservation Assessment Form in the Field Guide to Emergency Response

Photocopy this form before using

NOTE: A copy of this form is available at the IPER Resource Center so it can be downloaded and duplicated easily.  
 URL: <http://www.statearchivists.org/resource-center>



### Supply and Equipment Information

REQUIRED SUPPLIES/EQUIPMENT (Add rows as necessary.)			
Item:	Current location:	On hand or needs to be purchased?	Needed where? (For example, emergency operations center, staging area, recovery area, etc.)

### Emergency Operations Center and Staging and Recovery Areas

EMERGENCY OPERATIONS CENTER	
Location:	
Necessary equipment/supplies (Add rows as necessary.)	

STAGING AREA	
Location:	
Necessary equipment/supplies (Add rows as necessary.)	

RECOVERY AREA	
Location:	
Necessary equipment/supplies (Add rows as necessary.)	

Image from REPR Essential Records course:  
<https://www.statearchivists.org/research-resources/emergency-preparedness/repr>

## Handout 3.3—Personal Health and Safety During Response

### Personal protection equipment:

- Steel-toed boots, preferably water-proofed
- Heavy-duty and water-proof (e.g., latex or nitrile) work gloves
- Something to cover your nose and mouth if there is a potential for splashes or airborne particulates (dust)
- Goggles/safety glasses with side shields
- Long-sleeve shirts and long pants, or coveralls
- An ANSI-approved hard hat if there's a danger of falling debris
- Hearing protection such as ear plugs or landscaper's ear muffs, if you are in an area where you must shout to be heard
- Mosquito repellent in tropical areas
- If there is a risk of contaminants, including mold, a fit-tested respirator<sup>3</sup>:
  - With HEPA filtration for mold or biological hazards
  - With N95 filtration (activated charcoal), if advised to minimize unpleasant odors

### Personal hygiene rules:

- Do not, under any circumstances, put your hands in your mouth or on objects that could go into your mouth, such as water bottles or food.
- Wash your hands and body with soap and warm, drinkable water. Do not scrub too hard or rub overly hard on your skin, which needs to remain intact.
- Clean cuts and abrasions thoroughly with soap and water and apply antibiotic ointment.

<sup>3</sup> The use of respirators in the workplace is governed by the Respiratory Protection Standard 29 (CFR1910.134) adopted by OSHA in 1998. Before an employee can use a negative pressure respirator, he/she must be fit-tested annually with the same make, model, style, and size of respirator as the one that will be used. Individuals with facial hair or conditions that may impede formation of a tight seal may not be able to wear a respirator. The Fit Test must be carried out by a trained individual, and requires following OSHA-developed protocols to evaluate the fit of the respirator qualitatively or quantitatively. For a more detailed description, see <http://www.osha.gov>

### Prevention of dehydration and exhaustion and injury:

- Drink lots of water (or a 50:50 mix of sports drink and water), and drink at least every half-hour. Avoid soda, alcohol, coffee, and tea, as they can dehydrate your body.
- Take frequent rest breaks and rotate physical tasks.
- Eat light meals.
- Avoid direct sunlight and wear a hat, sunscreen, and loose-fitting clothes if you have to work in the sun.
- If possible, do the heaviest work early in the morning from 6:00 a.m. to 11:00 a.m. and late in the afternoon from 3:00 p.m. to 7:30 p.m.
- Notify your supervisor if you or any of the Response Team members have health or medical conditions, such as high blood pressure, a heart condition, or allergies.
- If you or a team member begins to feel unwell, stop physical tasks and let someone know.

### Decontamination of equipment and clothing:

- Wash gear with warm, soapy water and/or bleach.
- Clothing can be washed normally in a household washer.

Image from REPR Essential Records course:

<https://www.statearchivists.org/research-resources/emergency-preparedness/repr>



Complete damage assessment and address repair needs

Insurance claims

Resume operations at original or temporary location

Stabilization and/or salvage records :

- Immediate records needs (drying, freezing, etc.)
- Long-term conservation needs
- Return records to location and accessibility



## Handout 4.1—Response and Recovery Procedures

Table 1: Special Procedures for Specific Types of Damage

TYPE OF DAMAGE	PROCEDURE
<b>Fire-Damaged Records</b>	If a fire has occurred, the records will be both wet and brittle. Support can be provided by placing pieces of paper toweling or unprinted newsprint under charred materials before they are moved.
<b>Muddy Records</b>	Do not attempt more than a minimal cleaning of wet records that are also muddy, unless there is a large quantity of clean running water and you have the time. Attempting to remove mud from wet paper records may force dirt farther into the paper if a rubbing action is used. Mud may be easier to remove when dry. Some tightly wound tapes may be able to be rinsed, as only the edges will be exposed to additional water.  It may be possible to rinse mud off boxes or enclosures to make the drying process faster.
<b>Contaminated Records</b>	If records are contaminated, or you suspect that they may be, make sure all staff members use proper protective equipment and clean-up procedures. It is often best to leave this to trained operators under your supervision.  A contractor who specializes in treatment of contaminated materials should always be consulted, as these records require special handling and treatment.
<b>Wet Records</b>	<b>Should Records Be Kept Wet and Recovered by a Specialized Contractor?</b>  Some materials should be kept wet until they can be recovered by a contractor who specializes in the recovery of those materials. Some examples include microfilm, motion picture film, and hard drives from computers.  With film-based media in particular—because there are so many photographic processes—unless you are sufficiently knowledgeable about photographic process identification, it is important to receive expert advice from a photographic conservator as soon as possible before determining how to proceed with the response.  If the determination is made that the photographic process is stable enough: <ul style="list-style-type: none"> <li>Place wet microfilm or motion picture film in plastic bags to keep it from drying before it can be handled by an experienced conservator or specialized contractor.</li> <li>With guidance from a conservator, it may be possible to wash off mud or dirt under cold, clean, running water, and then seal the items in bags.</li> </ul> There are some photographic processes and other media that should never be exposed to water. Special care should be taken to keep them dry if they are important to the agency. Boxes with water-proof coating would be best for storing these records.

TYPE OF DAMAGE	PROCEDURE
<b>Mold</b>	<p><b>Small Outbreaks</b></p> <p>Quarantine moldy records from unaffected records. They will need to be dried in a location that vents to the outside. The area where the moldy records were found will need to be thoroughly dried and cleaned to ensure that mold does not germinate elsewhere.</p> <p>Mold cannot be removed from wet or damp collections. Items must be completely dry before any attempt is made to remove mold. If using fans to dry the records, make sure the fans are not blowing directly on the materials or you will spread the mold spores. Point the fans at the ceiling.</p> <p>Records will have to be cleaned once the mold has dried. A HEPA-filtered vacuum and micro-hose kit may be used, but this is very labor-intensive and should be carried out in a fume hood to avoid exposing others to the fumes produced by the cleaning step. This works better than brushing records clean and keeps the mold spores from returning to the air. Vacuum through a screen if the item is fragile.</p> <p><b>Larger Outbreaks</b></p> <p>Quarantine and freeze the records. Placing the moldy items in an environment with a temperature below freezing will halt growth, but will not kill spores.</p> <p>The preferred method of drying is vacuum freeze drying, so as not to spread the dry mold spores.</p> <p>If the outbreak is too large for local staff to handle, call a contractor that specializes in mold remediation. Vacuum freeze drying, while expensive, is an effective method for eliminating most molds, and may be considered for records which have special value or are irreplaceable.</p> <p><b>Cleaning the Location Where Moldy Records Were Found</b></p> <p>Begin by cleaning the area with a high-efficiency particulate air (HEPA)-filtered vacuum. Then clean all surfaces—shelves, floors, walls, ceilings, and windows—with an anti-fungal or anti-bacterial solution, including bleach.</p> <p>Ducts for air circulation and air conditioning will also need to be assessed and monitored for the presence of mold. If molds persist, the ducts may need to be replaced.</p>

Table 2: Special Procedures for Specific Types of Records

TYPE OF RECORD	PROCEDURE
<b>Paper—Large or Oversized Paper (Maps, Architectural or Engineering Drawings)</b>	<ul style="list-style-type: none"> <li>Large or oversized paper records often require two people to safely handle and transport them, and will require a secondary support (the original drawer, a tray, or spun-bond polyester).</li> <li>If the record is rolled or folded, make sure there is enough space on the table to accommodate the record when it is unrolled or unfolded.</li> <li>Rolled paper can be vacuum freeze dried successfully.</li> </ul>
<b>Paper—Coated Papers</b>	<ul style="list-style-type: none"> <li>Coated paper such as magazines or journals stick together, or “block,” and must be dried immediately to prevent damage. They must not be allowed to have their surfaces in contact with one another during drying. Architectural linen is coated with starch which acts as an adhesive when wet.</li> <li>If the pages are stuck together, or “blocked,” place the record in a freezer and vacuum freeze dry.</li> <li>If the pages are not stuck or blocked, gently place pre-cut pieces of spun-bond polyester fabric between the pages.                             <ul style="list-style-type: none"> <li>Allow air to circulate, and wait until record is completely dry to remove interleaving material (the absorbent material placed between leaves of paper to hasten drying; interleaving material should be thin, absorbent, ink-free, and acid-free).</li> </ul> </li> </ul>
<b>Paper—Encapsulated and Shrink-Wrapped Records</b>	<p>Although exterior housings such as encapsulation and shrink-wrap do slow the intrusion of water, encapsulated or shrink-wrapped records are not protected from water damage. If the records do become wet, it is possible to successfully vacuum freeze dry the encapsulation record.</p> <p>If you are planning to air dry the records, the exterior housing must be removed:</p> <ul style="list-style-type: none"> <li>Using scissors, cut through the encapsulation bond or weld on all sides of the record. If the plastic sheet is clean, it can be re-used to support the wet record while it is carried to the drying site.</li> </ul>
<b>Paper—Loose Paper or Paper Held Together with Fasteners</b>	<p><b>Steps to take when handling loose pages or paper held together with fasteners:</b></p> <ul style="list-style-type: none"> <li>Remove outer paper or paperboard folders and/or record jackets. If they contain valuable identification information, place the folders near their contents to dry.</li> <li>In some cases, it may not be prudent or possible to remove fasteners, but when it is possible, removing them will hasten drying and prevent corrosive rust from forming on the records.</li> </ul>

TYPE OF RECORD	PROCEDURE
<b>Paper—Loose Paper or Paper Held Together with Fasteners (continued)</b>	<ul style="list-style-type: none"> <li>To prevent tearing when moving older and fragile paper, use supports such as sheets of polyester film, nylon screening, or spun-bond polyester. Modern printer papers contain fillers which give the paper wet-strength even when they are wet or saturated with water. It is important to recognize the difference and act according to the paper’s needs for support.</li> <li>Arrange paper records individually, if possible, or in small stacks of 1–5 records each. Turn records over frequently to increase exposure to the air.</li> <li>Do not re-box records until they are completely dry.</li> </ul>
<b>Paper—Bound Volumes</b>	<p>It is preferable to freeze and vacuum freeze dry bound volumes quickly because this will help minimize the danger of distortion.</p> <p>Bound volumes can also be successfully air dried, but will require attention to ensure that the spine area of the book is completely dry before the book is returned to a location without air circulation and with high humidity; book spines and covers are highly susceptible to mold.</p> <p><i>Small Bound Volumes</i></p> <p>Small bound volumes with rigid covers which are only partially wet can be dried by standing them upright:</p> <ul style="list-style-type: none"> <li>Place the book upright and hold it open with blotter pieces to allow increased air circulation and to expose the tightly bound spine to air.</li> <li>If the book covers are sturdy enough, fan the pages open and interleave with small pieces of pre-cut blotter paper placed close to the spine.</li> <li>Invert books to even the stress on the binding, rotating books upside-down to right-side-up while drying.</li> <li>Remove the blotters when the book is dry.</li> </ul> <p><i>Large or Ledger-Bound Volumes</i></p> <p>Large or ledger volumes may need to be dried flat and open if their weight does not allow them to stand upright and open. This includes bound volumes with soft covers that are not sturdy enough to stand upright.</p> <ul style="list-style-type: none"> <li>If the pages are damp but not totally wet, fan them open.</li> <li>Otherwise, interleave pages with blotter paper, clean newsprint, or spun-bond polyester to wick moisture away from the paper.</li> <li>Turn the pages frequently and change the absorbent paper.</li> <li>Spun-bond polyester does not absorb water, and does not need to be changed if it is clean. It can be re-used.</li> </ul>

TYPE OF RECORD	PROCEDURE
<p><b>Photographs</b></p>	<p>Photographs, both negatives and prints, involve such a wide variety of material types, and such a long history of technological innovation, that it is difficult to give general advice on the recovery of photographic materials. If the photographs in your office are valuable to your agency, it is best to have the advice of a conservator or expert, because they have the requisite knowledge of photographic history and preservation.</p> <ul style="list-style-type: none"> <li>• Photographs, just like coated paper will stick together, or "block," and therefore must be dried immediately to prevent damage.</li> <li>• Do not allow their surfaces to come in contact with one another during drying.</li> <li>• If the photos are stuck together or blocked, do not try to separate them. Contact a conservator for advice.</li> <li>• Photographs can normally be successfully vacuum freeze dried. Do not vacuum freeze dry glass plate and cased photographs.</li> <li>• When air drying, photographs must be dried under restraint or they will curl and distort.</li> <li>• Photographs are made up of more than one layer, and each layer dries at a different speed. This causes them to curl as they dry, which is why you need to apply pressure to keep them flat.</li> <li>• It is very difficult to correct this problem.</li> <li>• If air drying: <ul style="list-style-type: none"> <li>– If the surface is not cracked or flaking, and the photographs have soot or mud on the surface, you may be able to rinse them in a tray of cool, clear water while they are still wet.</li> <li>– Dry photographs image side up on clean blotters for at least one hour.</li> <li>– If the emulsion or surface of the photograph is sticky or tacky to the touch, it will need to be interleaved between sheets of spun-bond polyester to prevent disturbance of the surface during drying.</li> <li>– Place the polyester and photographs between blotters to create a stack.</li> <li>– Put a flat sheet of Plexiglas™ or other heavy-weight flat material on top of the stack.</li> <li>– Suitable weights include telephone books or bricks wrapped in plastic to add additional pressure.</li> </ul> </li> </ul>

TYPE OF RECORD	PROCEDURE
<p><b>CDs and DVDs</b></p>	<p>All types of disks are composed of several layers. Of these, the metal reflective layer is probably the most important and the most vulnerable to physical damage. Normally, this layer is covered by a very thin protective coating.</p> <p>The metal reflective layer is usually unaffected by water unless it has been soaking for a week or longer.</p> <p>If time and resources permit, immediate response can save the information on the disks.</p> <ul style="list-style-type: none"> <li>• Remove the disk from its case or cartridge. Cases that are not damaged can be thoroughly cleaned with water or soap and water and re-used. Damaged ones should be discarded.</li> <li>• Rinse the disk in clean room-temperature tap water and then in distilled water.</li> <li>• If any residue remains, using distilled water, gently wipe the disk surface with a wet, soft cotton tissue—not paper towels, as they are too abrasive.</li> <li>• Wipe in a radial direction, not a circular direction, to remove the water. Follow this wiping with another rinse in clean, distilled water.</li> <li>• After rinsing, gently blot off any excess water with a soft, lint-free tissue to prevent water spots during drying.</li> </ul> <p>The best chance of avoiding damage is to limit the time a disk is wet. Therefore, it is best to recover disks immediately. If immediate recovery is impossible, rinse the disks in distilled water and store them in their cases in cool clean water until they can be recovered. If the disks need to be transported, they can be sealed in zip-lock bags immersed in cool or cold water in a portable cooler.</p>
<p><b>Computer Hard Drives</b></p>	<p>Modern information carriers such as computer hard drives and electronic media also require immediate attention to ensure recovery.</p> <p>Computer hard drives have a large number of components, some of which are metal and susceptible to rust and oxidation; others are soft plastics and materials susceptible to mold.</p> <ul style="list-style-type: none"> <li>• Remove hard drives from computers.</li> <li>• Send hard drives to a contractor as soon as possible for recovery.</li> <li>• Keep hard drives wet, sealed in plastic, and do not let them dry out</li> </ul>
<p><b>Magnetic Tapes</b></p>	<p>Tapes are constructed of layers of water-resistant materials. Although water will not cause these layers to swell and break up (as would the layers in a photograph), tapes can still be damaged. Both the tape and the binder layer may be susceptible to degradation when exposed to water. A properly wound tape is less susceptible to water damage than a loosely wound tape.</p>

TYPE OF RECORD	PROCEDURE
<b>Magnetic Tapes (continued)</b>	<ul style="list-style-type: none"> <li>• Magnetic tape recovery should be a high priority if the tapes are valuable to your agency.</li> <li>• Do not play or rewind a tape that is wet.</li> <li>• Consideration should be given to sending the magnetic tapes to a contractor who specializes in recovery of magnetic tape.</li> <li>• Initial response steps, if air drying:             <ul style="list-style-type: none"> <li>– Drain any excess water out of the cassette or off the reel of tape. The cassette gate, if present, may be flipped open to allow water to drain.</li> <li>– If the tape is wet with seawater or contaminated water, rinse the tightly wound tape with cool, clean water.</li> <li>– For reel-to-reel tapes, wipe the wound surfaces with a wet or damp soft, lint-free cloth.</li> <li>– For cassette tapes, shake as much excess moisture out of the cassette housing as possible, and stand the tape vertically with the empty hub on the bottom for air drying.</li> <li>– Allow the tape to acclimatize to the new environment for at least two days before any further treatment.</li> </ul> </li> </ul>

## Additional Tips on Handling Damaged Records

- Some water-soluble inks will bleed; freeze as quickly as possible to minimize damage and vacuum freeze dry.
- Air dry records indoors if possible. Sunlight and heat may dry certain materials too quickly, particularly bound volumes or artifacts made with wood, causing splitting, warping, and buckling.
- Documents, books, photographs, and special media are extremely fragile when wet. They tear easily and require caution when being handled. Always consider providing a secondary support to prevent more physical damage.
- When mud or soot is present, with guidance you may be able to rinse off some of the particulate in cool, clean water, but do not scrub the surface.
- Many plastics will swell and soften when they are wet. Sensitive surfaces, including wet photographs or electronic media such as CDs or DVDs, must be handled with care to avoid scratching the surface.
- While exterior housings such as folders, encapsulation, or shrink-wrapping may slow the seepage of water into the records, they will not prevent water damage and must be removed to allow air drying.

## Handout 4.4—Common Drying Methods

### Air Drying

Air drying involves drying records at room temperature. Typically materials are spread out on, or interleaved with, absorbent papers. In some instances, materials may be dried under restraint in a stack of weighted blotters.

Air drying is a tried and true method most familiar to many, has been proven through many experiences, and provides the greatest control over the drying process. It provides security and privacy controls if done in-house, and allows separation of materials that require special handling, such as photographs, coated paper, parchment, magnetic media, etc. It also provides for the direct monitoring of the original order and intellectual control of materials, but may result in problems if the materials become disarranged outside of their containers. This method therefore requires a meticulous system for tracking items during the drying process. It is also labor-, space-, and materials-intensive, particularly in terms of the absorbent paper used.

Air drying can be made more efficient with the addition of drier air. The current choices for adding drier air include increasing air circulation with a fan or hiring a contractor to bring in equipment that provides heated, extremely dry air.

### Air Drying with Added Heat (Desiccant or Dehumidification Drying)

Materials are dried by pumping cycles of moist air out of a chamber or space and introducing dried (desiccated or dehumidified) air with relative humidity (or moisture content) lower than fifteen percent. One potential problem with this is that air temperatures are usually in the range of 80°–100° F, which can dry paper records too much, resulting in distortion, increased volume, and re-boxing problems.

This method is often cited in the literature as giving excellent results for damp collections, and it allows access to the materials during the drying process, if that is required. It can be performed onsite with equipment rented from a contractor or by employing in-house staff or professionals from the drying service. Items can also be sent directly to the contractor for service. Drying is complete within several days, depending on how wet the items were originally.

### Vacuum Freeze Drying

Vacuum freeze drying is almost always recommended for most incidents involving records in boxes, where the quantities are large and the records are of varying levels of wetness. The records will generally be frozen first for transport to the facility, and held in storage in a freezer until the drying process is carried out.

These facilities are all contractor-owned. Contractors dry the materials using a very strong vacuum to lower the pressure while the temperature is held below freezing. Cycles of controlled heat may be used on the shelving. This process sublimates the frozen water; this means that the water passes from a frozen state to a vaporous state without passing through a liquid phase. The items remain frozen throughout the drying process.

Vacuum freeze drying can be performed off-site at a contractor's facility or onsite in mobile vacuum freeze drying chambers. The mobile chambers are smaller than the fixed-site ones, since the walls of the chamber have to be strong enough to withstand the low pressure of the vacuum. On-site drying is more expensive than drying records at the contractor's facility.

Among the advantages of vacuum freeze drying, the procedure:

- Minimizes the feathering and bleeding of soluble media
- Allows coated materials to dry without blocking
- Results in minimal distortion to the records
- Does not require the removal of encapsulations or polyester sleeves from records before drying
- Allows records to be dried in their original containers, thus reducing risk of disruption of original order

The process is performed at the drying facility because of the weight of the structure needed to create a chamber where the pressure can be lowered significantly. Drying time depends on the wetness of the materials, but for each volume of material that fits into the chamber, the drying time is normally less than two weeks.

If records need to be used frequently, the agency will need to indicate to the contractor the order in which to process the records. There may be additional costs for gaining access to the records while they are with the contractor.

### Vacuum Thermal Drying

Vacuum thermal drying is similar to vacuum freeze drying in the kind of chamber used, but different in that cycles of warm to hot air are used. Vacuum thermal drying is a cost-effective option for temporary records or archival materials of low intrinsic value. The procedure distorts paper considerably, causes coated records to block, and exacerbates the feathering and bleeding of soluble inks. The drying time is usually less than that for vacuum freeze drying, but also depends on initial wetness.

Most vacuum-drying facilities no longer use this method because of the problems discussed above.

## Thermal Vacuum Freeze Drying

Another method is thermal vacuum freeze drying. This technique is similar to vacuum freeze drying in that a vacuum is used, but controlled heat is applied to vaporize the water, and this method also has a patented procedure to compress the materials into shape. It is more expensive per cubic foot than vacuum freeze drying.

## Freeze Drying

Freeze drying is a very slow technique. Records are packed in permeable containers and kept in a cold storage vault for months. Over time, moisture sublimates out of the records in the same way that food gets freezer burn. This is a slow process that will dry damp and partially wet records, but the records are inaccessible for a long period of time and the energy used to keep them frozen is very expensive.





Records Trauma. Disasters and emergencies will have long term or permanent effect to records, even if they are salvaged.

Records should be periodically “checked” after any disaster or emergency for effects. Effects might not be immediately obvious.

## Handout 4.3—Sample Post-Event Report

<b>Date and location of incident</b>	<input type="checkbox"/> <b>Date:</b> _____ <input type="checkbox"/> <b>Location:</b> Bldg: _____ Floor: _____ Room: _____	
<b>Type of incident</b>	<input type="checkbox"/> Water—clean <input type="checkbox"/> Water—gray <input type="checkbox"/> Water—black <input type="checkbox"/> Fire	<input type="checkbox"/> Mold <input type="checkbox"/> Pest infestation <input type="checkbox"/> Contamination <input type="checkbox"/> Other: _____
<b>Source of problem</b>	_____ _____ _____	
<b>Areas affected</b>	_____ _____ _____	
<b>Types of materials affected and amount</b>	<input type="checkbox"/> Bound volumes <input type="checkbox"/> Unbound paper <input type="checkbox"/> Maps, plans, oversized records <input type="checkbox"/> Photos/film/electronic media <input type="checkbox"/> Magnetic tapes, CDs <input type="checkbox"/> Artifacts <input type="checkbox"/> Microforms <input type="checkbox"/> Other—please specify: _____ _____	<b>Quantity</b> (include units, e.g., boxes, cubic feet, linear feet, items) _____ _____ _____ _____ _____ _____

Recovery methods	Material Treated & Volume	Reason
<input type="checkbox"/> Air drying in-house <input type="checkbox"/> Air drying contractor <input type="checkbox"/> Freezing in-house <input type="checkbox"/> Freezing contractor <input type="checkbox"/> Vacuum freeze drying	_____ _____ _____ _____	_____ _____ _____ _____
	Material Treated & Volume	Reason
<input type="checkbox"/> Replacement <input type="checkbox"/> Discarded <input type="checkbox"/> Other in-house <input type="checkbox"/> Other contractor	_____ _____ _____ _____	_____ _____ _____ _____

Agency staff involved	Name & Unit	Role	Dates
Contractor(s)	Name	Work Performed	Dates
Notes/comments	_____ _____ _____		



**Prevention is more effective than recovery.**

In order to be effective, disaster and emergency related plans, policies, and procedures should be tested periodically.

Response efforts should be led by a person and/or a team who understand the records.



CoSA Emergency Preparedness: :

<https://www.statearchivists.org/research-resources/emergency-preparedness>

CoSA Pocket Response Plan PReP Templates:

<https://www.statearchivists.org/research-resources/emergency-preparedness/pocket-responce-templates>

FEMA Planning Guides:

<https://www.fema.gov/emergency-managers/national-preparedness/plan>

NEDCC:

<https://www.nedcc.org/free-resources/disaster-assistance/>

KDLA

<https://kdla.ky.gov/Pages/default.aspx>

KDLA Preservation Checklist

<https://kdla.ky.gov/archivists/Pages/Preservation-Checklist-for-Government-Officials.aspx>



## Kentucky Department for Libraries and Archives

Librarians ▾

Archivists ▾

Researchers ▾

State Employees ▾

Records Management

🏠 / [Records Management](#) / Preservation Checklist for Government Officials

# Preservation Checklist for Government Officials

Everyday, records help us live our lives at work, at home, or even on vacation. Records give proof to our existence and identity, whether for an individual or an institution. In order to protect the rights of individuals and institutions in the past, present and future, it is very important and necessary to maintain, protect and preserve public records. Public records serve many needs: administrative, legal, fiscal, and historical. It is an important responsibility of government officials to ensure that the public has access to public records.

Government officials have in their custody many unique and valuable records. These records likely exist in different formats, such as paper, film and electronic data. Regardless of the format, the safety and maintenance of each record can be threatened by disasters, such as fire and floods, as well as by theft and vandalism. However, there are other conditions that can also place records in danger of damage, deterioration and complete loss of information. For example, improper temperature and humidity levels can severely damage records of any format. Therefore, it is essential to not only identify these conditions, but to act on them through preservation planning. Key factors to consider in preservation planning include security, environmental conditions, handling, storage, and fire protection. Attention to details and enacting simple preventive measures in each of these areas will highly contribute to ensuring the safety and longevity of records.

An integral part of preservation is prevention. By considering each of the key factors, and taking appropriate preventive measures in each, damage to records can be minimized. These preventive measures need to be carried out

- [KDLA Catalog](#)
- [Kentucky State Digital Archives](#)
- [Ask a Librarian](#)
- [Public Library Directory](#)
- [Job List](#)
- [Records Retention Schedules](#)
- [Kentucky Talking Book Library](#)
- [Order Records](#)

### Questions?

If you have any questions or would like further information, please call or send e-mail to:

[melissa.shields@ky.gov](mailto:melissa.shields@ky.gov)

(502) 564-1741

## KDLA LOCAL RECORDS REGIONS

Regional Administrator Map

Archives and Records Management Division

KDLA

502.564.1745

North Central Region

Beth Williams

502.750.1913

East Region

David Atha

502.234.4292

West Region

Becca Halbmaier

270.991.5195



South Central Region

Drew Preston

502.330.4986



**Thank you to the  
Institute of Museum and Library Services (IMLS)  
for sponsorship of this webinar.**

# Thank you for attending!

[KDLA.Certification@ky.gov](mailto:KDLA.Certification@ky.gov)

[KDLA Online Learning Portal](#)



Kentucky Department for Libraries and Archives