

Disaster Recovery Planning and Preparedness



Records Management
Secretary of State Tre Hargett

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What a Disaster Recovery Plan is and why you should have one

- DHS Building Nashville (2020)



- Documented process/set of procedures to recover & protect a business in the event of a disaster
- Identifying Essential Records – What records would your agency require to function in the event of a disaster

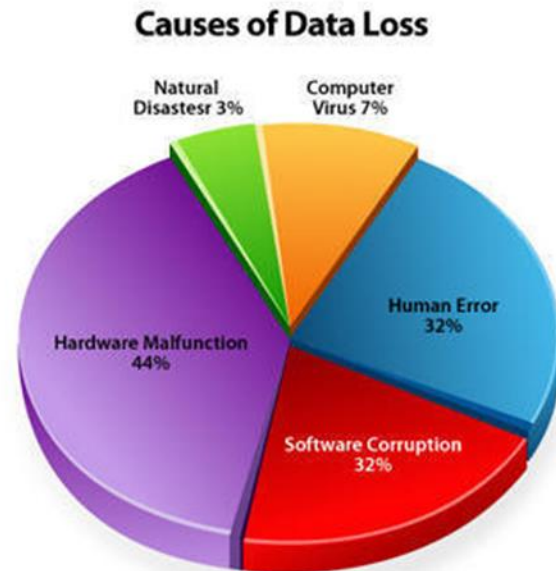
The Goal of Business Continuity

- To have a customized plan in the event of a problem.
- A business continuity plan, or disaster recovery plan, is a users' guide and documentation, for how to preserve and protect your records.
- In order for a plan to be useful, it must be created before an interruption occurs.



What could cause the problem?

- A computer or an entire network crashing
- An electrical outage
- An accident in the office – such as, a workman hitting a sprinkler head
- A fire in another office or on another floor
- Coffee pot water line breaking overnight
- Terrorist Activity
- A tornado, or a hurricane



Four Scenarios to Plan For

1. Only your office in the building is unusable.
2. The entire building is unusable or gone.
3. This is a temporary disruption of services
4. The entire area is uninhabitable for an unknown period of time



TN Historic Natural Disasters

- Flood – TVA project helped alleviate but the state is still prone to flooding.
- Tornado – Unfortunately all too common occurrence throughout the state.
- Earthquake – New Madrid fault line in the western part of the state is dangerous.
- Forest Fires – TN has fantastic forests but that holds the potential for deadly fires.



Tornado Damage – view from rear parking lot

DHS Building 2nd Avenue Office Nashville March 2020



Tornado Damage

DHS Building 2nd Avenue Office Nashville March 2020



Tornado Damage – half of building destroyed

DHS Building 2nd Avenue Office Nashville March 2020



Tornado Damage

DHS Building 2nd Avenue Office Nashville March 2020



Air Handler ripped off of DCS roof

DCS Building 2nd Avenue Office Nashville March 2020



Light Manufacturing building destroyed in tornado

TRICOR warehouse March 2020



Recovery response

Department of Corrections former State Prison Compound March 2020



Records Warehouse

Department of Corrections former State Prison Compound March 2020



Records Facility

Department of Corrections former State Prison Compound March 2020



Toppled reinforced shelving

Department of Corrections former State Prison Compound March 2020



Entire roof collapsed as structure failed

Department of Corrections former State Prison Compound March 2020



Debris needed removal by heavy equipment.

Department of Corrections former State Prison Compound March 2020



Department of Corrections former State Prison Compound March 2020



Interior Secure Storage Room

Department of Corrections former State Prison Compound March 2020



Loading dock area of records facility

Department of Corrections former State Prison Compound March 2020



Adjacent training facility

Department of Corrections former State Prison Compound March 2020



Corner of former state prison ripped by winds.

Department of Corrections former State Prison Compound March 2020



Location of former records storage, building is gone.

Department of Corrections former State Prison Compound March 2020



Rear view of “Castle”

Department of Corrections former State Prison Compound March 2020



Corrections Records Storage Building

Department of Corrections former State Prison Compound March 2020

Loss of Records???

- No significant loss of records from disaster. Corrections began recovery within 24 hours, shipping records to Belfor's Texas facility.
- DCS building was intact but had some water damage. Records were secured and protected.
- DHS records were stored in interior rooms, in filing cabinets, and often digitally duplicated.
- TRICOR records were copies of digital records.

When analyzing risks, factors to consider include:

- Historical:
 - What types of emergencies have occurred in the community, at your facility, or nearby?
- Geographic:
 - What can happen as a result of your location?



Risk Factors to Consider

- Human Error:
 - What emergencies might be caused by employees?
- Physical:
 - What types of emergencies could result from the design or construction of the facility?



The plan needs to be specific as to what recovery steps need to get done first, as well as detailing who is responsible for those tasks.



Utilize a Team Approach

- Who in the organization should be responsible for creating the plan?
 - Who is in charge of making decisions?



All members of the team should know and agree on:

- What qualifies as a disaster.
- What are their responsibilities.
- The procedures for notifying, warning, and communicating with necessary personnel and vendors.
- Evacuation, shelter, and accountability procedures.
- Locations and use of emergency equipment.
- Emergency shutdown procedures.

What to include in your Records Recovery Plan

- Identify recovery steps that need to take priority
- List of personnel and their duties
- Index of records (assessments)
- Safety supplies for personnel
- Supplies needed in order to recover records
- Contact information for records recovery
- Procedures about how to care for damage records

What you need in a disaster situation

Supplies & Equipment

- Laptop Computers
- Scanners/printers
- VPN accounts
- Extra sets of keys
 - Latex gloves
- Paper towels
 - Trash bags
 - Face masks
- First Aid Kits
 - Fans
 - Tarps

Safety Plan

- Who is in charge?
- Talk to security / facilities / emergency personnel about the conditions of the site
 - Shutoff systems
 - Prevent further damage
- Make sure there is no ongoing damage
- What kind of water? (Sewage, contaminated, standing, etc.)
 - Check supplies
- Send someone for more supplies if possible

Triage

(an emergency situation)

- Document RDA(s) and retention periods for records that need cleaning.
- Determine the order in which records series need to be treated/recovered.
- Do not send records to be repaired if they are past their retention period, unless there is a legal hold in place.
- Stabilize
- Make sure we don't cause more damage
- Prevent mold growth
- Assign duties based on knowledge and experience
- Leave cleaning to the professionals, especially with historical records and large volumes of material.

Documentation

- Document situation/state of the damage with photographs & notes. Be thorough and complete by revisiting the affected locations.
- Have disposable waterproof cameras on hand or digital cameras.
- Make quick rough estimate of number of damaged items by type and format. This includes records and other material.
- Assess damage and begin to assign dollar amounts.
- Create spreadsheets listing everything that is affected by the disaster. Communicate with your team to ensure accuracy.

Questions to Ask

1. Are there other copies or are these original records?
2. Are the labels and identifiers trustworthy and accurate?
3. Records vs. Non-records?
4. Do these documents have historical or essential value?
5. Are these records in other formats?
6. Does an inventory exist? If the inventory accessible?
7. What is the highest priority?

Water Damage

- Many paper-based materials will respond well to simple air drying as long as minor physical distortion is acceptable. Small quantities may be spread out on top of clean blotting material (paper toweling, etc.) in a cool dry location with plenty of air circulation.
- As long as materials are not too densely packed and active drying conditions are maintained, mold growth should be mitigated. While high heat and harsh sunlight will dry records quickly, they may permanently damage record materials and should be avoided.
- Quantities too large to handle within the first 48 hours should be frozen either for defrosting and air drying at a later date, or for referral to Belfor.

How to Handle Wet Microfilm

Priority Action

- Deliver reels to a microfilm lab to be rewashed and dried within 48 hours.
- Wet film must be kept wet until it can be reprocessed breakdown of the emulsion from the base film will begin immediately if the microfilm is allowed to dry
- Film should not remain under water for more than three days

Recommendations

- Do not move microfilm until a place has been prepared to receive it
- Do not remove wet microfilm from boxes – hold cartons together with rubber bands.
- Pack wet film boxes into a container lined with plastic bags
- Add cool, clean, distilled water to make sure film stays wet
- Wipe outside of film boxes with a sponge before moving
- Keep identification labels with objects
- Always seek professional assistance

Who to Call?

- **Statewide Contract #817 – Belfor- Disaster Recovery**
595 Stewarts Ferry Pike – Nashville
Phone: 615-885-6577
24/7 Emergency Number: 888-452-1300
- Call Department of General Services (DGS) for assistance
- Call staff in your division to arrange for remote work sites or triage

What to include in your Disaster Recovery Plan:

- Safety Procedures for Personnel and for the facility.
- Identify recovery steps that need to take priority
- List of personnel and their duties
- Templates for documenting damage and recovery steps
- Index of records
- Supplies needed in order to recover records
- Safety supplies for personnel
- Contact information for records recovery
- Procedures about how to care for damage records
- Steps to resume normal business operations

But remember... **YOU NEED A PLAN IN THE EVENT OF A DISASTER**