**Council of State Archivists**

**Assessment of Emergency Preparedness   
for State Archives and Records Management Programs**

Cover Sheet

**Date assessment completed:**

**Name of state reporting:**

**Name of agency(ies) reporting:**

**This assessment covers** (check one):

[ ] the state archives and records management program (within the same parent agency)  
[ ] the state archives and records management program (in separate agencies, but reporting jointly)  
[ ] the state archives only  
[ ] the state records management program only

**Individual(s) principally responsible for completing assessment**

Name

Title Telephone

Agency Email

Name

Title Telephone

Agency Email

**Names/titles of other staff who participated in the assessment process**

Name Name

Title Title

Agency Agency

Name Name

Title Title

Agency Agency

**Section A. State Archives and Records Management Agency:   
Status of preparedness, authority, and resources for emergency response**

The extent of authority vested in each state archives and records management (ARM) program varies widely from state-to-state. In order to judge preparedness, it is first important to determine the extent of control each state ARM agency has over planning and response activities.

**Part A1. Emergency preparedness for the ARM agency.  
Goal:** The state archives and records management agency has an up-to-date emergency preparedness and recovery plan in place for all of the records in its custody. Appendix 1 of the instructions contains a detailed list of the components of a model state archives and records management agency emergency preparedness plan.

Please indicate the status of the ARM agency’s own emergency plan in terms of the following criteria:

4 = Fully meets this criteria.

3 = Meets most of the requirements/scope of this criteria.

2 = Meets some of the requirements/scope of this criteria.

1 = Meets a few requirements/scope of this criteria.

0 = Does not meet this criteria in any way.

NA Not applicable.

|  |  |  |  |  |  |  |  |  |
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| **Item #** | **Criteria** | **Primary archival facility** (housing permanent records accessioned by the archives) | **Primary state-run records center,** (used for storage of non-permanent records) | **Regional archival facilities** (if applicable) | **Other facilities** (if applicable) | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| A1.1 | The state archives and records management agency has an emergency preparedness and recovery plan in place |  |  |  |  |  |  |  |
| A1.2 | The plan is up-to-date |  |  |  |  |  |  |  |
| A1.3 | The plan is revised and updated annually |  |  |  |  |  |  |  |
| A1.4 | The plan contains all components required by the state’s emergency and COOP planning regulations |  |  |  |  |  |  |  |
| A1.5 | The plan identifies vital records, i.e., those essential for emergency operations, immediate resumption and continuity of business, and legal or audit purposes. (ANSI/ARMA 5-2003) |  |  |  |  |  |  |  |
| A1.6 | The plan specifies salvage priorities (i.e., which records should be recovered first in an emergency) |  |  |  |  |  |  |  |
| **Item #** | **Criteria** | **Primary archival facility** (housing permanent records accessioned by the archives) | **Primary state-run records center,** (used for storage of non-permanent records) | **Regional archival facilities** (if applicable) | **Other facilities** (if applicable) | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
|  | The plan assigns specific responsibilities for |  |  |  |  |  |  |  |
| A1.7 | Coordinating command/control |  |  |  |  |  |  |  |
| A1.8 | Communications |  |  |  |  |  |  |  |
| A1.9 | Overseeing evacuations of facilities |  |  |  |  |  |  |  |
| A1.10 | Coordinating offers of assistance |  |  |  |  |  |  |  |
| A1.11 | Inventorying and refreshing emergency supply cache contents periodically |  |  |  |  |  |  |  |
|  | The plan includes contact information for |  |  |  |  |  |  |  |
| A1.12 | State ARM staff |  |  |  |  |  |  |  |
| A1.13 | Parent agency staff |  |  |  |  |  |  |  |
| A1.14 | State and local emergency management agencies |  |  |  |  |  |  |  |
| A1.15 | Emergency responders (fire, police, EMT, ambulance, state government security force, Red Cross) |  |  |  |  |  |  |  |
| A1.16 | Hospitals/medical facilities |  |  |  |  |  |  |  |
| A1.17 | Utility providers  (electricity, water, gas, telephone) |  |  |  |  |  |  |  |
| A1.18 | Information technology providers |  |  |  |  |  |  |  |
| A1.19 | Facilities managers/contractors (architect, HVAC, elevator, electrician, fire, security, maintenance) |  |  |  |  |  |  |  |
| A1.20 | Administrative (financial, insurance) |  |  |  |  |  |  |  |
| A1.21 | Professional service providers (e.g., conservators, data recovery, microfilming, digitization, appraisers) |  |  |  |  |  |  |  |
| A1.22 | Emergency supply and equipment vendors (e.g., refrigeration, freeze drying, trucking, generators, pumps, exterminator, locksmith) |  |  |  |  |  |  |  |
| **Item #** | **Criteria** | **Primary archival facility** (housing permanent records accessioned by the archives) | **Primary state-run records center,** (used for storage of non-permanent records) | **Regional archival facilities** (if applicable) | **Other facilities** (if applicable) | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| A1.23 | Temporary storage facilities with appropriate environmental controls and security |  |  |  |  |  |  |  |
|  | The plan includes other recommended components and provisions: |  |  |  |  |  |  |  |
| A1.24 | Pre-arranged contracts with vendors and suppliers of emergency response services, equipment, and supplies |  |  |  |  |  |  |  |
| A1.25 | Evacuation procedures, including provisions for disabled staff/visitors |  |  |  |  |  |  |  |
| A1.26 | Copies of floor plans |  |  |  |  |  |  |  |
| A1.27 | Locations of/operating instructions/shut offs for smoke detectors, fire alarms, extinguishers, hoses, suppression, electrical, water, HVAC; elevators |  |  |  |  |  |  |  |
| A1.28 | Locations of master keys, hazardous materials, doors, stairs, windows |  |  |  |  |  |  |  |
| A1.29 | Procedures for immediate response to specific threats (e.g., fire, water, severe weather, explosions, bomb threats, medical emergencies, hostile confrontations, computer hackers, contamination, terrorism) |  |  |  |  |  |  |  |
| A1.30 | Procedures/instructions re: salvage and recovery of various types of media (e.g., paper, books, oversize, microfilm, photographs, magnetic media) |  |  |  |  |  |  |  |
|  | Continuity of Operations (COOP) planning. Provisions for managing effects of: |  |  |  |  |  |  |  |
| A1.31 | Disruptions in business operations |  |  |  |  |  |  |  |
| A1.32 | Inability to access offices/storage areas |  |  |  |  |  |  |  |
| A1.33 | Damage to/failure of information systems |  |  |  |  |  |  |  |
| A1.34 | Quarantines, epidemics preventing employees from coming to work |  |  |  |  |  |  |  |
| **Item #** | **Criteria** | **Primary archival facility** (housing permanent records accessioned by the archives) | **Primary state-run records center,** (used for storage of non-permanent records) | **Regional archival facilities** (if applicable) | **Other facilities** (if applicable) | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
|  | Drills and awareness |  |  |  |  |  |  |  |
| A1.35 | Staff reviews the contents of the plan at least twice a year |  |  |  |  |  |  |  |
| A1.36 | Staff and volunteers participate in emergency response drills at least twice a year |  |  |  |  |  |  |  |
| A1.37 | New staff and volunteers receive training on ARM emergency plan and procedures |  |  |  |  |  |  |  |
| A1.38 | Other: |  |  |  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **A1. TOTAL Emergency preparedness for the ARM agency** |  |  |  |  |

**Part A2. Key relationships  
Goal:** The state archives and records management program has established and maintains channels of communications with organizations and individuals responsible for overall emergency preparedness and recovery and the protection and preservation of archives and records.

Indicate how well-developed the relationship is between the state archives and records management agency and each of the following agencies based on these criteria:

4 = ARM staff are well acquainted with officials in this agency/organization responsible for emergency preparedness and recovery and meet with them regularly (at least annually).

3 = ARM staff are well acquainted with officials in this agency/organization responsible for emergency preparedness and recovery, but no regular meetings are scheduled.

2 = ARM staff have met representatives from this agency/organization responsible for emergency preparedness and recovery, but have had no sustained contact.

1 = ARM staff know the names and telephone numbers of representatives from this agency/organization, but have not met them.

0 = ARM staff do not know who the officials are for this agency/organization in their state.

NA No such agency/organization exists in our state.

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| **Item #** | **Entity** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
|  | **If archives & records management are not in the same agency:** |  |  |  |  |
| A2.1 | Archives or records management staff in other agency |  |  |  |  |
|  | **State agencies** | **Status** | **Comments** |  |  |
| A2.2 | State emergency management agency (SEMA) |  |  |  |  |
| A2.3 | Agency designated in state Emergency Management Plan as having lead responsibility for vital records |  |  |  |  |
| A2.4 | State library agency |  |  |  |  |
| A2.5 | Chief information officer and/or information technology agency |  |  |  |  |
| A2.6 | State historic preservation office (SHPO) |  |  |  |  |
| A2.7 | Other (specify): |  |  |  |  |
| **Item #** | **If archives & records management are not in the same agency:** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
|  | **Federal agencies** | **Status** | **Comments** |  |  |
| A2.8 | National Archives and Records Administration (NARA) region serving our state |  |  |  |  |
| A2.9 | FEMA regional office serving our state |  |  |  |  |
| A2.10 | Federal Executive Board (FEB), Council (FEC), or Association (FEA) serving our state/region |  |  |  |  |
| A2.11 | Other (specify): |  |  |  |  |
|  | **Other professional associations & organizations** | **Status** | **Comments** |  |  |
| A2.12 | Local government associations in your state |  |  |  |  |
| A2.13 | Information management chapters/associations |  |  |  |  |
| A2.14 | Records management chapters/associations |  |  |  |  |
| A2.15 | Archival associations |  |  |  |  |
| A2.16 | Preservation/conservation organizations/consortia |  |  |  |  |
| A2.17 | Library associations |  |  |  |  |
| A2.18 | Museum associations |  |  |  |  |
| A2.19 | Historical associations |  |  |  |  |
| A2.20 | Other (specify): |  |  |  |  |

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| **A2. TOTAL Key relationships** |  |

**Part A3. Authority and resources available to the state archives and records management program for emergency planning and response.  
Goal:** The state archives and records management agency has authority for the full range of records management functions of state agencies and local governments and is fully provided with the resources necessary to perform these activities and to deliver these services. Likewise, the state archives and records management agency or some other entity has authority for/provides advice regarding the management of records and collections of cultural organizations in the state.

Rank the extent of authority vested in the state archives and records management program for delivering each of the following services to the specified agencies or organizations on a scale from 0 to 4; rank the level of resources available to provide each of the following services. Use the “Comment” column to identify agencies or organizations other than the state ARM that provide a particular service.

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| **Authority (rank on a scale of 0 to 4)**  4 = Strong authority (statute, regulation, executive order) authorizes ARM to perform this activity or to deliver this service and ARM is encouraged to do so by its parent agency.  0 = ARM has no authority and cannot perform this activity or deliver this service.  N/A Not applicable in our state. | **Resources (rank on a scale of 0 to 4)**  4 = Fully equipped with the resources necessary to perform this activity or to deliver this service  (personnel, expertise, funding, equipment, facilities, training, etc.).  0 = ARM has no resources available to perform this activity or deliver this service.  N/A Not applicable in our state. |

**STATE GOVERNMENT AGENCIES**

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| **Item #** | **Records-related programs & services to state government agencies** | **Authority  Rank  0 ↔ 4** | **Resources  Rank  0 ↔ 4** | **ARM active in this area? (Yes/No)** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
|  | **Executive Branch** |  |  |  |  |  |  |
| A3.1 | ARM establishes records-related standards/guidelines |  |  |  |  |  |  |
| A3.2 | ARM approves records retention and disposition schedules |  |  |  |  |  |  |
| A3.3 | ARM provides consultation and training on records-related practices & procedures |  |  |  |  |  |  |
| A3.4 | ARM provides micrographic or digital imaging services |  |  |  |  |  |  |
| A3.5 | ARM accessions records into the state archives and/or regional repositories |  |  |  |  |  |  |
| A3.6 | ARM provides security storage for microfilm and/or electronic media |  |  |  |  |  |  |
| **Item #** | **Records-related programs & services to state government agencies** | **Authority  Rank  0 ↔ 4** | **Resources  Rank  0 ↔ 4** | **ARM active in this area? (Yes/No)** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
|  | **Executive Branch, cont.** |  |  |  |  |  |  |
| A3.7 | ARM provides conservation/preservation services |  |  |  |  |  |  |
| A3.8 | Other: |  |  |  |  |  |  |
|  | **Legislative Branch** |  |  |  |  |  |  |
| A3.9 | ARM establishes records-related standards/guidelines |  |  |  |  |  |  |
| A3.10 | ARM approves records retention and disposition schedules |  |  |  |  |  |  |
| A3.11 | ARM provides consultation and training on records-related practices & procedures |  |  |  |  |  |  |
| A3.12 | ARM provides micrographic or digital imaging services |  |  |  |  |  |  |
| A3.13 | ARM accessions records into the state archives and/or regional repositories |  |  |  |  |  |  |
| A3.14 | ARM provides security storage for microfilm and/or electronic media |  |  |  |  |  |  |
| A3.15 | ARM provides conservation/preservation services |  |  |  |  |  |  |
| A3.16 | Other: |  |  |  |  |  |  |
|  | **Judicial Branch** |  |  |  |  |  |  |
| A3.17 | ARM establishes records-related standards/guidelines |  |  |  |  |  |  |
| A3.18 | ARM approves records retention and disposition schedules |  |  |  |  |  |  |
| A3.19 | ARM provides consultation and training on records-related practices & procedures |  |  |  |  |  |  |
| A3.20 | ARM provides micrographic or digital imaging services |  |  |  |  |  |  |
| **Item #** | **Records-related programs & services to state government agencies** | **Authority  Rank  0 ↔ 4** | **Resources  Rank  0 ↔ 4** | **ARM active in this area? (Yes/No)** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
|  | **Judicial Branch, cont.** |  |  |  |  |  |  |
| A3.21 | ARM accessions records into the state archives and/or regional repositories |  |  |  |  |  |  |
| A3.22 | ARM provides security storage for microfilm and/or electronic media |  |  |  |  |  |  |
| A3.23 | ARM provides conservation/preservation services |  |  |  |  |  |  |
| A3.24 | Other |  |  |  |  |  |  |

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| --- | --- | --- |
| **Records-related programs and services to** | **Authority** | **Resources** |
| **A3. TOTAL State government agencies** |  |  |

**LOCAL GOVERNMENTS**

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| **Item #** | **Records-related programs & services to local governments** | **Authority  Rank  0 ↔ 4** | **Resources  Rank  0 ↔ 4** | **ARM active in this area? (Yes/No)** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| A3.25 | ARM establishes records-related standards/guidelines |  |  |  |  |  |  |
| A3.26 | ARM approves records retention and disposition schedules |  |  |  |  |  |  |
| A3.27 | ARM provides consultation and training on records-related practices & procedures |  |  |  |  |  |  |
| A3.28 | ARM provides micrographic or digital imaging services |  |  |  |  |  |  |
| **Item #** | **Records-related programs & services to local governments, cont.** | **Authority  Rank  0 ↔ 4** | **Resources  Rank  0 ↔ 4** | **ARM active in this area? (Yes/No)** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| A3.29 | ARM accessions records into the state archives and/or regional repositories |  |  |  |  |  |  |
| A3.30 | ARM provides security storage for microfilm and/or electronic media |  |  |  |  |  |  |
| A3.31 | ARM provides conservation/preservation services |  |  |  |  |  |  |
| A3.32 | Other |  |  |  |  |  |  |

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| --- | --- | --- |
| **Records-related programs and services to** | **Authority** | **Resources** |
| **A3. TOTAL Local Governments** |  |  |

**OTHER ARCHIVAL REPOSITORIES AND CULTURAL ORGANIZATIONS THROUGHOUT THE STATE  
(e.g., museums, libraries, historical societies, historic sites, colleges and universities)**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Item #** | **Records-related programs & services to other archival repositories & cultural organizations throughout the state** | **Authority  Rank  0 ↔ 4** | **Resources  Rank  0 ↔ 4** | **ARM active in this area? (Yes/No)** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| A3.33 | ARM provides consultation and training on records-related practices & procedures |  |  |  |  |  |  |
| A3.34 | ARM provides micrographic or digital imaging services |  |  |  |  |  |  |
| A3.35 | ARM provides security storage for microfilm and/or electronic media |  |  |  |  |  |  |
| A3.36 | ARM provides conservation/preservation services |  |  |  |  |  |  |
| **Item #** | **Records-related programs & services to other archival repositories & cultural organizations throughout the state** | **Authority  Rank  0 ↔ 4** | **Resources  Rank  0 ↔ 4** | **ARM active in this area? (Yes/No)** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| A3.37 | ARM staff are knowledgeable about the extent and significance of collections in other repositories |  |  |  |  |  |  |
| A3.38 | Other |  |  |  |  |  |  |

|  |  |  |
| --- | --- | --- |
| **Records-related programs and services to** | **Authority** | **Resources** |
| **A3. TOTAL Other archival repositories and cultural organizations throughout the state** |  |  |

**Part A4. Participation of archives and records management agencies in state’s emergency planning and preparedness activities and access to resources for emergency preparedness and response  
Goal:** Archives and records personnel fully participate in the development and implementation of overall state emergency preparedness and response procedures as they relate to potential threats or damage to records. The state archives and records management agency has access to the resources necessary to perform these activities and to deliver these services. Likewise, the state archives and records management agency or some other state agency(ies) has authority for/provides advice regarding the management of records and collections of cultural organizations in the state.

Indicate the level of participation of archives and records management personnel for each of the following:

4 = The state emergency operations plan specifically designates the ARM agency to perform or participate in these activities or processes.

3 = The ARM agency has informal agreements that allows their participation in this activity or process.

2 = The ARM agency has been involved in this activity or process at some point, but ongoing involvement has not been sustained or is only intermittent.

1 = The ARM agency is occasionally asked to comment on this activity or process but does not participate directly.

0 = The ARM agency is not involved in any way in this activity or process or ARM officials do not know if this activity or process exists in our state.

NA No such activity or process exists in our state.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Item #** | **Activity or issue area** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| A4.1 | Revisions of the state emergency operations plan |  |  |  |  |
| A4.2 | Desk in the disaster response command center to provide support and advice to first responders who encounter threatened or damaged records |  |  |  |  |
| A4.3 | Timely access to disaster sites in order to assess damage to records and salvage records as necessary |  |  |  |  |
| A4.4 | Coordination of records-related assessment/salvage activities throughout the response period |  |  |  |  |
| A4.5 | Establishing criteria for which records are to be considered as essential to the continuity of government and business operations |  |  |  |  |
| A4.6 | Access to emergency transportation, fuel, & generators |  |  |  |  |
| A4.7 | Ability to enlist emergency/volunteer personnel, including National Guard, community volunteers |  |  |  |  |
| **Item #** | **Activity or issue area** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| A4.8 | Access to temporary housing in disaster area |  |  |  |  |
| A4.9 | Access to special unrestricted funds for emergency response |  |  |  |  |
| A4.10 | ARM has at least one full-time staff member with responsibility to coordinate emergency response and recovery efforts |  |  |  |  |
| A4.11 | ARM has organized and trained several teams of staff who can respond to various types of emergencies throughout the state |  |  |  |  |
| A4.12 | Other: |  |  |  |  |

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| --- | --- |
| **A4. TOTAL Participation of ARM in state’s emergency planning and preparedness activities** |  |

**Section B. Records-related preparedness in state government agencies and local governments**

**Part B1. Knowledge about the location, type, and extent of records held in state and local government agencies statewide.  
Goal:** All state and local government agencies have sound records management programs, with Continuity of Operations (COOP) plans and comprehensive records disposition schedules.

Indicate the extent of knowledge about records held in the following types of agencies and organizations.

4 = Up-to-date and comprehensive schedules for these types of agencies exist. Emergency response plans include contact information for records custodians. Locations of storage facilities are mapped on a geographic information system.

3 = Up-to-date and comprehensive schedules for these types of agencies exist. Emergency response plans include contact information for records custodians.

2 = Records schedules for these types of records custodians exist, but not all of the information is current or complete.

1 = Some records schedules for these types of agencies exist, but no agency is assigned oversight, not all agencies or repositories are covered, and information may be out of date.

0 = Few or no schedules exist for these types of agencies.

X = ARM employees do not know the status of records schedules for these types of agencies.

NA = These types of agencies do not exist in our state.

**STATE GOVERNMENT AGENCIES**

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| **Item #** | **Type of state agency** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B1.1 | State executive branch agencies |  |  |  |  |
| B1.2 | State legislative branch agencies |  |  |  |  |
| B1.3 | State judicial branch agencies |  |  |  |  |
| B1.4 | State colleges and universities |  |  |  |  |
| B1.5 | Community/junior colleges (public) |  |  |  |  |
| B1.6 | Other state agencies (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **B1. TOTAL Knowledge about the location, type, and extent of records held in state government agencies** |  |

**LOCAL GOVERNMENTS**

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| --- | --- | --- | --- | --- | --- | --- |
| **Item #** | **Type of local government** | | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B1.7 | | Counties/parishes |  |  |  |  |
| B1.8 | | Large metropolitan areas |  |  |  |  |
| B1.9 | | Other municipalities |  |  |  |  |
| B1.10 | | Schools and school districts |  |  |  |  |
| B1.11 | | Public libraries (especially those that hold local government records) |  |  |  |  |
| B1.12 | | Community/junior colleges (public) |  |  |  |  |
| B1.13 | | Other local government entities (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **B1. TOTAL Knowledge about the location, type, and extent of records held in local government agencies** |  |

**Part B2. Integration of records in Continuity of Operations (COOP) Plans.   
Goal:** All state and local agencies have Continuity of Operations (COOP) Plans in place that incorporate the protection of records essential to the restoration of business.

Indicate the status of COOP plans for each of the following agencies.

4 = These agencies are required to have Continuity of Operations Plans. Each agency’s COOP must include specific procedures for protecting and recovering records essential to the restoration of business following an emergency that have been developed with guidance from the ARM agency.

3 = These agencies are required to have Continuity of Operations Plans. Each agency’s COOP must include specific procedures for protecting and recovering records essential to the restoration of business following an emergency, but the ARM agency has not been consulted in developing these procedures.

2 = These agencies are required to have Continuity of Operations Plans, but there are currently no provisions requiring them to include specific procedures for protecting and recovering records essential to the restoration of business following an emergency.

1 = These agencies are encouraged but not required to have Continuity of Operations Plans. Little or no planning has been done relative to protecting or recovering records.

0 = There are no COOP requirements for these agencies or ARM employees do not know what their state government’s COOP requirements are.

**STATE GOVERNMENT AGENCIES**

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| --- | --- | --- | --- | --- | --- |
| **Item #** | **Type of state agency** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B2.1 | State executive branch agencies |  |  |  |  |
| B2.2 | State legislative branch agencies |  |  |  |  |
| B2.3 | State judicial branch agencies |  |  |  |  |
| B2.4 | State colleges and universities |  |  |  |  |
| B2.5 | Community/junior colleges (public) |  |  |  |  |
| B2.6 | Other state agencies (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **B2. TOTAL Integration of records in COOPs for state government agencies** |  |

**LOCAL GOVERNMENTS**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Item #** | **Type of local government** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B2.7 | Counties/parishes |  |  |  |  |
| B2.8 | Major metropolitan areas |  |  |  |  |
| B2.9 | Other municipalities |  |  |  |  |
| B2.10 | Schools and school districts |  |  |  |  |
| B2.11 | Public libraries (especially those that hold local government records) |  |  |  |  |
| B2.12 | Community/junior colleges (public) |  |  |  |  |
| B2.13 | Other local government entities (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **B2. TOTAL Integration of records in COOPs for local governments** |  |

**Part B3. Security storage.  
Goal:** Copies of certain records, especially those identified as vital, are stored in secure off-site locations. Such security storage may be provided by the state archives or another source. If another provider is involved, the state archives maintains current contact and location information for these facilities and which agencies are served by each provider.

Indicate the status of security storage for each type of record produced by each of the indicated state and local government entities. Use the comments column to indicate if agencies are actually using security storage.

4 = These services are readily available to all record keepers and repositories throughout the state.

3 = These services are available, but some limitations may apply based on geography, jurisdiction, or resources.

2 = These services are available, but significant limitations apply based on geography, jurisdiction, or resources.

1 = These services sometimes are available, but not on a dependable basis.

0 = These services are not available to record keepers or repositories in our state.

X = State archives and records staff do not know whether these services are available.

**STATE GOVERNMENT AGENCIES**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Item #** | **Type of agency** | **Microfilm** | **Imaging files** | **Electronic records** | **Other essential records** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B3.1 | State executive branch agencies |  |  |  |  |  |  |  |
| B3.2 | State legislative branch agencies |  |  |  |  |  |  |  |
| B3.3 | State judicial branch agencies |  |  |  |  |  |  |  |
| B3.4 | State colleges and universities |  |  |  |  |  |  |  |
| B3.5 | Community/junior colleges |  |  |  |  |  |  |  |
| B3.6 | Other state agencies (specify): |  |  |  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **B3. TOTALS Security storage forstate government agencies** |  |  |  |  |

**LOCAL GOVERNMENTS**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Item #** | **Type of local government** | **Microfilm** | **Imaging files** | **Electronic records** | **Other essential records** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B3.7 | Counties/parishes |  |  |  |  |  |  |  |
| B3.8 | Major metropolitan areas |  |  |  |  |  |  |  |
| B3.9 | Other municipalities |  |  |  |  |  |  |  |
| B3.10 | Schools and school districts |  |  |  |  |  |  |  |
| B3.11 | Public libraries, especially those that hold local government records |  |  |  |  |  |  |  |
| B3.12 | Community/junior colleges |  |  |  |  |  |  |  |
| B3.13 | Other local government entities (specify): |  |  |  |  |  |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **B3. TOTALS Security storage for local governments** |  |  |  |  |

**Part B4. Emergency response and recovery services available to state and local government agencies.  
Goal:** Services required for emergency planning and recovery for archives and records are available to record keepers and repositories within the state. In many states, the state archives and records management agency takes the lead role in delivering these services; if it does not have the authority or capacity to do so, another entity provides these services.

Indicate availability of the following response and recovery services and whether they are performed by the state archives and records management agency or another organization.

4 = These services are readily available to all of these agencies within the state.

3 = These services are available, but some limitations may apply based on geography, jurisdiction, or resources.

2 = These services are available, but significant limitations apply based on geography, jurisdiction, or resources.

1 = These services sometimes are available, but not on a dependable basis.

0 = These services are not available to any of these agencies within the state.

X = State archives and records staff do not know whether or not these services are available.

**STATE GOVERNMENT AGENCIES**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Item #** | **Function or service** | **Status** | **Comments** (indicate provider:  ARM or other or both ) | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B4.1 | Central point of coordination for response efforts related to damage to archives and records |  |  |  |  |
| B4.2 | Onsite assistance for localized disasters, e.g., professional archival, preservation, or conservation consultation, services, or labor |  |  |  |  |
| B4.3 | Lab-based preservation and conservation services, e.g., advice, referrals, treatment |  |  |  |  |
| B4.4 | Freezers/cold storage |  |  |  |  |
| B4.5 | Freeze drying services |  |  |  |  |
| B4.6 | Data recovery services |  |  |  |  |
| B4.7 | Transportation and trucking |  |  |  |  |
| B4.8 | Microfilming, digitization labs |  |  |  |  |
| B4.9 | Temporary storage facilities with appropriate environmental controls and security |  |  |  |  |
| **Item #** | **Function or service** | **Status** | **Comments** (indicate provider:  ARM or other or both ) | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B4.10 | Other functions or services (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **B4. TOTAL Emergency response and recovery services available to state government agencies** |  |

**LOCAL GOVERNMENTS**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Item #** | **Function or service** | **Status** | **Comments** (indicate provider:  ARM or other or both ) | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B4.11 | Central point of coordination for response efforts related to damage to archives and records |  |  |  |  |
| B4.12 | Onsite assistance for localized disasters, e.g., professional archival, preservation, and/or conservation consultation, services, or labor |  |  |  |  |
| B4.13 | Lab-based preservation and conservation services, e.g., advice, referrals, treatment |  |  |  |  |
| B4.14 | Freezers/cold storage |  |  |  |  |
| B4.15 | Freeze drying services |  |  |  |  |
| B4.16 | Data recovery services |  |  |  |  |
| B4.17 | Transportation and trucking |  |  |  |  |
| B4.18 | Microfilming, digitization labs |  |  |  |  |
| **Item #** | **Function or service** | **Status** | **Comments** (indicate provider:  ARM or other or both ) | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B4.19 | Temporary storage facilities with appropriate environmental controls and security |  |  |  |  |
| B4.20 | Other functions or services (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **B4. TOTAL** **Emergency response and recovery services available to** **local governments** |  |

**Part B5. Education and training concerning protection and salvage of government records.   
Goal:** State and local government agencies and other key organizations are fully aware of records-related concerns as they apply to emergency planning and receive appropriate training about how to respond when government records are threatened or damaged. The state archives and records management agency may take primary responsibility for delivering this training or may share it with one or more other public or private organizations.

Indicate the extent of training available to each of the following types of agencies/organizations.

4 = Emergency training programs are conducted at least annually for these agencies/organizations and contain explicit information about the importance of archives and records and appropriate planning and recovery methods for them. ARM professionals participate in conducting the training and/or contribute to the development of the training programs.

3 = Emergency training programs contain explicit information about the importance of archives and records and appropriate planning and recovery methods for them, but are not offered regularly. ARM professionals participate in conducting the training and/or contribute to the development of the training programs.

2 = Emergency training programs contain explicit information about the importance of archives and records and appropriate planning and recovery methods for them, but are not offered regularly. ARM professionals do not participate in conducting the training and have not contributed to the development of the training programs.

1 = Emergency training programs for these officials do not contain explicit information about the importance of archives and records nor appropriate planning and recovery methods for them.

0 = There is no regular emergency training provided to these agencies/organizations.

X = State archives and records personnel do not know the status of awareness or training for these agencies or organizations.

**STATE GOVERNMENT AGENCIES**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Item #** | **State agency** | **Availability of training** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B5.1 | State emergency management agency (SEMA) |  |  |  |  |
| B5.2 | National Guard |  |  |  |  |
| B5.3 | State information technology agency and/or IT staff in state agencies |  |  |  |  |
| B5.4 | State Historic Preservation Office (SHPO) |  |  |  |  |
| B5.5 | Secretary of State |  |  |  |  |
| B5.6 | Other state executive branch agencies |  |  |  |  |
| B5.7 | State legislative branch agencies |  |  |  |  |
| B5.8 | State judicial branch agencies |  |  |  |  |
| B5.9 | State colleges and universities |  |  |  |  |
| **Item #** | **State agency** | **Availability of training** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B5.10 | Community/junior colleges (public) |  |  |  |  |
| B5.11 | Other state agencies (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **B5. TOTAL Education & Training re: government records for state government agencies)** |  |

**LOCAL GOVERNMENTS**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Item #** | **Type of local government** | **Availability of training** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B5.12 | Counties/parishes |  |  |  |  |
| B5.13 | Municipalities |  |  |  |  |
| B5.14 | Schools and school districts |  |  |  |  |
| B5.15 | Public libraries (especially those that hold local government records) |  |  |  |  |
| B5.16 | Community/junior colleges (public) |  |  |  |  |
| B5.17 | Other local government entities (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **B5 TOTAL Education and training re: government records for local Governments)** |  |

**OTHERS THAT MIGHT RESPOND TO EMERGENCIES AFFECTING GOVERNMENT RECORDS**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Item #** | **Other organizations / individuals** | **Availability of training** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| B5.18 | American Red Cross and other volunteer first responders |  |  |  |  |
| B5.19 | Individuals who are willing to volunteer in emergencies in which government records are threatened or damaged |  |  |  |  |
| B5.20 | Other (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **B5 TOTAL Education & Training re: government records for others that might respond to emergencies affecting government records** |  |

**Section C. Emergency planning and response assistance available to nongovernment archival repositories and other cultural organizations statewide**

**Part C1. Emergency response and recovery services available to nongovernment organizations and institutions.  
Goal:** Services required for emergency planning and recovery for archives and records are available to all record keepers and repositories within the state, both public and private. In some states, the state archives and records management agency takes the lead role in delivering these services. If it does not have the authority or capacity to do so, another entity provides these services.

Indicate availability of the following response and recovery services and whether they are performed by the state archives and records management agency or another organization.

4 = These services are readily available to all record keepers and repositories within the state.

3 = These services are available, but some limitations may apply based on geography, jurisdiction, or resources.

2 = These services are available, but significant limitations apply based on geography, jurisdiction, or resources.

1 = These services sometimes are available, but not on a dependable basis.

0 = These services are not available to record keepers or repositories in our state.

X = State archives and records staff do not know whether or not these services are available.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Item #** | **Function or service** | **Status** | **Comments** (indicate provider:  ARM or other or both ) | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| C1.1 | Central point of coordination for response efforts related to damage to archives and records |  |  |  |  |
| C1.2 | Assistance for localized disasters, e.g., professional archival, preservation, and/or conservation consultation, services, or labor |  |  |  |  |
| C1.3 | Lab-based preservation and conservation services, e.g., advice, referrals, treatment |  |  |  |  |
| C1.4 | Grant funds for disaster response and recovery |  |  |  |  |
| C1.5 | Freezers/cold storage |  |  |  |  |
| C1.6 | Freeze drying services |  |  |  |  |
| C1.7 | Data recovery services for electronic records |  |  |  |  |
| C1.8 | Transportation and trucking |  |  |  |  |
| C1.9 | Microfilming, digitization labs |  |  |  |  |
| C1.10 | Temporary storage facilities with appropriate environmental controls and security |  |  |  |  |
| **Item #** | **Function or service** | **Status** | **Comments** (indicate provider:  ARM or other or both ) | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| C1.11 | Other functions or services (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **C1. TOTAL Emergency response & recovery services available to nongovernment orgs and institutions** |  |

**Part C2. Education and training concerning protection and salvage of archives and records held outside of government.   
Goal:** Training on disaster planning and preparation is readily available to archivists and records managers working in nongovernment institutions and organizations. The state archives and records agency may take primary responsibility for delivering this training or may share it with one or more other public or private organizations.

Please indicate the quality and accessibility of training availability of training on emergency planning and preparedness for archives and records for the following types of organizations.

4 = High quality training is readily available to these kinds of organizations throughout the state.

3 = High quality training is fairly easy to access by these kinds of organizations throughout the state.

2 = Training is available, but may be difficult to access because of distance or infrequent offerings.

1 = Training is available very infrequently and only in selected areas.

0 = No training is available in our state.

X = State archives and records staff do not know if training is available for these organizations.

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| --- | --- | --- | --- | --- | --- |
| **Item #** | **Agency or organization** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
|  | **Cultural organizations** |  |  |  |  |
| C2.1 | Archival repositories |  |  |  |  |
| C2.2 | Museums holding archival records |  |  |  |  |
| C2.3 | Libraries holding archival records |  |  |  |  |
| C2.4 | Historical societies holding archival records |  |  |  |  |
| C2.5 | Historic sites holding archival records |  |  |  |  |
| C2.6 | Other (specify): |  |  |  |  |
|  | **Other institutions with significant bodies of records** |  |  |  |  |
| C2.7 | Private educational institutions (universities, colleges, schools) |  |  |  |  |
| C2.8 | Religious organizations holding archives or records (dioceses, synods, churches, synagogues, seminaries) |  |  |  |  |
| C2.9 | Hospitals |  |  |  |  |
| **Item #** | **Agency or organization** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
| C2.10 | Other (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **C2. TOTAL Education & Training re: protection & salvage of archives & records held outside of government** |  |

**Part C3. Knowledge about the location, type, and extent of records held in nongovernment archival repositories and cultural institutions statewide.  
Goal:** The state has compiled and maintains directories of organizations within its borders that have significant archival holdings. For each repository, these directories identify the location of the facility, contact information for the individuals in charge, and the volume and types of records and/or collections held in these facilities. Compilation and maintenance of these directories may be a function managed primarily by the state archives or there may be multiple agencies and organizations involved, each one focusing on a different sector of recordkeepers. If the functions are distributed, the organizations coordinate the maintenance of these directories in order to ensure that they are both compatible and comprehensive.

Indicate the extent and accessibility of information about records and collections held in the following types of nongovernmental agencies and organizations.

4 = An up-to-date and comprehensive directory of records held in these types of institutions exists which includes contact information, extent and type of holdings. Locations are mapped on a geographic information system or other format.

3 = An up-to-date and comprehensive directory of records held in these types of institutions exists which includes contact information for staff, extent and type of holdings.

2 = A directory of the types of records held in these types of institutions exists, but the information is not current or complete.

1 = Some information about records held in these types of institutions exists, but no agency is assigned oversight and not all agencies or repositories are included.

0 = Little or no information is available on records held in these types of institutions.

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| **Item #** | **Agency or organization** | **Status** | **Comments** | **Strength/weakness** | **Priority** |
| **S**—**W** | **✓** |
|  | **Cultural organizations** |  |  |  |  |
| C3.1 | Archival repositories |  |  |  |  |
| C3.2 | Museums holding archival records |  |  |  |  |
| C3.3 | Libraries holding archival records |  |  |  |  |
| C3.4 | Historical societies holding archival records |  |  |  |  |
| C3.5 | Historic sites holding archival records |  |  |  |  |
| C3.6 | Other (specify): |  |  |  |  |

|  |  |
| --- | --- |
| **C3. TOTAL Knowledge about the location, type & extent of records held in nongovernment archival repositories & cultural institutions statewide** |  |

**Section D: Assessment Summary**

Transfer the total scores for each part to the table below. During annual reviews, you can compare current scores with those from previous years in order to evaluate progress in specific areas.

|  |  |
| --- | --- |
|  | **Status 2006** |
| **Section A. Status of preparedness, authority, and resources for emergency response in the state archives and records management agency** |  |
| **Part A1**. **Emergency preparedness for the ARM agency.** |  |
| Primary archival facility (housing permanent records accessioned by the archives) |  |
| Primary state-run records center, (used for storage of non-permanent records) |  |
| Regional archival facilities (if applicable) |  |
| Other facilities (if applicable) |  |
| **Part A2. Key relationships** |  |
| **Part A3. Authority and resources available to the state archives and records management program for emergency planning and response.** |  |
| State government agencies |  |
| Authority |  |
| Resources |  |
| Local governments |  |
| Authority |  |
| Resources |  |
| Other archival repositories and cultural organizations throughout the state |  |
| Authority |  |
| Resources |  |
| **Part A4. Participation of archives and records management agencies in state’s emergency planning and preparedness activities** |  |
| **Section B. Records-related preparedness in state government agencies and local governments** |  |
| **Part B1. Knowledge about the location, type, and extent of records held in state and local government agencies statewide.** |  |
| State government agencies |  |
| Local governments |  |
| **Part B2. Integration of Records in Continuity of Operations Plans (COOPs).** |  |
| State government agencies |  |
| Local governments |  |

|  |  |
| --- | --- |
|  | **Status 2006** |
| **Part B3. Security storage.** |  |
| State government agencies |  |
| Microfilm |  |
| Imaging files |  |
| Electronic records |  |
| Other essential records |  |
| Local governments |  |
| Microfilm |  |
| Imaging files |  |
| Electronic records |  |
| Other essential records |  |
| **Part B4. Emergency response and recovery services available to state and local government agencies.** |  |
| State government agencies |  |
| Local governments |  |
| **Part B5. Education and training concerning protection and salvage of government records.** |  |
| State government agencies |  |
| Local governments |  |
| Others that might respond to emergencies affecting government records |  |
| **Section C. Emergency planning and response assistance available to nongovernment archival repositories and other cultural organizations statewide** |  |
| **Part C1. Emergency response and recovery services available to nongovernment organizations and institutions.** |  |
| **Part C2. Education and training concerning protection and salvage of archives and records held outside of government.** |  |
| **Part C3. Knowledge about the location, type, and extent of records held in nongovernment archival repositories and cultural institutions statewide.** |  |

|  |  |
| --- | --- |
| **TOTAL, all sections** |  |

**Section E: Identification of the Most Significant Strengths and Weaknesses in   
Records-related Emergency Preparedness**

**Significant strengths identified in the Assessment**

Please identify up to **10 of the most significant strengths** identified during the assessment of your state’s emergency preparedness for archives and records. Feel free to expand the space provided to accommodate lengthier text.

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| --- | --- | --- |
| **Item #s** | **Description** | **Comments** |
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**Significant weaknesses identified in the Assessment**

Please identify up to **10 of the most significant weaknesses** identified during the assessment of your state’s emergency preparedness for archives and records. Feel free to expand the space provided to accommodate lengthier text.

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| **Item #s** | **Description** | **Comments** |
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**Section F: Priorities for Records-related Emergency Planning and Preparedness**

Please identify **at least three immediate, three mid-term, and three long-term priorities for action by the Archives and Records Management agency** and other agencies or organizations in your state identified through the assessment of emergency planning and preparedness for archives and records. Provide a brief description of each priority, identify partners (actual or potential), and outline the kinds of resources your agency needs to achieve this goal. This assistance could include (but need not be limited to) funding, consultation, expert advice, strengthened legal authority, equipment, and training and be provided by government agencies (federal, state, local), professional associations, and other organizations (e.g., preservation consortia, colleges and universities).

**Immediate priorities (next 3 to 6 months)**

Please list **at least 3 immediate priorities for action by the Archives and Records Management agency within the next 3 to 6 months** identified through the assessment of your state’s emergency planning and preparedness for archives and records

|  |  |  |
| --- | --- | --- |
| **Description** (include item #s if appropriate) | **Partners** | **Additional resources needed or desired** |
|  |  |  |
|  |  |  |
|  |  |  |

**Mid-term priorities (next 6 months to 2 years)**

Please list **at least 3 mid-term priorities for action by the Archives and Records Management agency within the next 6 months to 2 years** identified through the assessment of your state’s emergency planning and preparedness for archives and records

|  |  |  |
| --- | --- | --- |
| **Description** (include item #s if appropriate) | **Partners** | **Additional resources needed or desired** |
|  |  |  |
|  |  |  |
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**Long-term priorities (next 3 to 5 years)**

Please list **at least 3 long-term priorities for action by the Archives and Records Management agency within the next 3 to 5 years** identified through the assessment of your state’s emergency planning and preparedness for archives and records

|  |  |  |
| --- | --- | --- |
| **Description** (include item #s if appropriate) | **Partners** | **Additional resources needed or desired** |
|  |  |  |
|  |  |  |
|  |  |  |

**Comments and suggestions: help us make the Assessment better!**

With a process as complex as this, we recognize that there will be significant room for improving the Assessment and other Framework components in future years.

We welcome any comments and suggestions you might have.