



DISASTER RECOVERY WORKBOOK

**Office of Court Administration
Division of Court Operations
Office of Records Management**

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DISASTER RECOVERY WORKBOOK TO DESIGN LOCAL PLAN

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DISASTER PLANNING AND RECOVERY INSTRUCTION CHART

WORKSHEET NAME	ACTIVITY/INSTRUCTIONS	PAGE
PRE-DISASTER		
Emergency Service Phone	Write in contact name, phone number and emergency phone number for agencies that need to be notified in regards to the disaster and its cleanup.	4
Emergency Recovery Team Assignment Sheet	Supply the names, phone numbers and emergency phone number of the people on the disaster recovery team. Pre-determine, as much as possible, the assignments and responsibilities of individual team members for disaster recovery efforts.	12
Basic Emergency Equipment Supply List	Gather supplies listed, check off, and indicate location of the supplies and the date they were checked for good working order. Repair or replace any equipment that is faulty. Have the person doing the checking initial the sheet. The equipment should be checked once a month.	14
Additional Supply List	This is for expensive and unusual supplies that may be needed. Add to this list as necessary. These supplies should be checked semi annually for any changes.	15
Hazards Survey	Identify all potential problems that may lead to disasters at the location. Noting hazards daily allows the removal of the records from hazardous areas and allows for the repair of hazards before they become disasters. A survey should be completed annually.	16
Floor Plan	Attach a floor plan of the department. All areas utilized by the department are to be included on the floor plan. The floor plan helps to identify problems and aid in the recovery process by rapidly explaining the physical layout to the recovery team and other professionals.	20
Evacuation Plans	Attach the evacuation plan for the department. An evacuation plan should be available and known by the entire staff. Check with the building superintendent for the evacuation coordinators or with Court Security to obtain a copy of the plan.	21
Inventory	Attach a copy of the records inventory. The records should be identified on the floor plan. A complete inventory is needed to account for the records after the disaster. Detail all the records belonging to the department. Include quantity, location, where copies of the records are available, formats or the records and if the records are confidential or sealed.	22

WORKSHEET NAME	ACTIVITY/INSTRUCTIONS	PAGE
DISASTER RECOVERY & SALVAGE OPERATIONS		
Basic Emergency Check List	This is a basic checklist for activities that need to occur during a disaster.	3
Control List	Itemize all records moved during the disaster. Note their old location at the disaster site and their new location in the recovery/salvage area. Retain this worksheet permanently to document conservation treatments to records and the loss of records.	23
Damage Assessment Report	Itemize all damage done during the disaster. This worksheet is used for creating a Priority/Action List for recovery and salvage operations. Retain this report permanently to document record loss.	25
Procedures for Prioritizing Using Damage Assessment Report & Priority/Action List	Reference worksheet created to help in the prioritizing of the recovery and salvage operations. Use this as a guide to determine the needs of the particular disaster. When disaster strikes, the damage needs to be assessed and prioritized for the salvage operations. Priorities are based on the location of the damage(s), the extent of the damage(s) and what materials are effected. Use floor plans, inventories, the damage assessment report and the procedures for prioritizing damage to determine the needs of the particular disaster. Retain this list permanently to document conservation treatment to records and loss of records.	28
POST-DISASTER		
Disaster Log	Log in all disasters to aid in assessing and prioritizing future recovery and salvage operations. Fill in the date, the incident, the action, and the results.	30

BASIC EMERGENCY CHECKLIST

- **Remember Human Life above all**
- **Follow the evacuation plan, if necessary.**
- **Alert the appropriate Emergency Services(s).**
- **Notify the disaster team leader.**
- **Close all master switches.**
- **Turn off gas.**
- **Do not re-enter building until it is deemed to be safe.**
- **Once re-entry is permitted the Team leader must coordinate the operation.**
- **Move “valuables” to a safe area.**
- **Wrap materials that can not be moved with heavy grade plastic.**
- **Secure loose objects - move them away from windows or glassed areas.**
- **Keep collections above ground and away from floor.**
- **Have Basic Emergency Equipment ready for disaster.**
- **Start Damage Assessment Report and Prioritizing Action Plan for salvage and recovery.**
- **Remember to coordinate with other courts, offices, professionals and local authorities in the area.**

DATE COMPLETED: _____

INITIALS: _____

EMERGENCY SERVICE TELEPHONE NUMBERS

AGENCY	CONTACT	TELEPHONE NUMBER
Fire Department		
Police Department		
Ambulance		
Medical		
Administrative Judge		
Administrative Offices		

DATE COMPLETED: _____

INITIALS: _____

AGENCY	CONTACT	TELEPHONE NUMBER
Chief Clerk		
Local Utilities		
Building Maintenance & Repair		
Equipment Maintenance & Repair		
Janitorial Services		
District Administrative Judge/Executive Assistant Office		

DATE COMPLETED: _____

INITIALS: _____

AGENCY	CONTACT	TELEPHONE NUMBER
Office of Records Management		
Local Government Offices		

DATE COMPLETED: _____

INITIALS: _____

AGENCY	CONTACT	TELEPHONE NUMBER

OTHER SERVICES

DATE COMPLETED: _____

INITIALS: _____

SERVICE	CONTACT	TELEPHONE NUMBER
Conservation		
Freezer of Cold Storage		
Alternative location for Air Drying		
Freezer Trucks		

DATE COMPLETED: _____

INITIALS: _____

SERVICE	CONTACT	TELEPHONE NUMBER
Vacuum Freeze Drying		
Photograph & Film Drying		
Micrographic Drying		
Fumigation		
Computer Facility		

DATE COMPLETED: _____

INITIALS: _____

SERVICE	CONTACT	TELEPHONE NUMBER
Salvage Services		

DATE COMPLETED: _____

INITIALS: _____

SERVICE	CONTACT	TELEPHONE NUMBER

DATE COMPLETED: _____

INITIALS: _____

EMERGENCY RECOVERY TEAM & ASSIGNMENTS

NAME	TELEPHONE NUMBER	EMERGENCY TELEPHONE NUMBER	ASSIGNMENT	COMPLETED
Team Leader				
Backup Team Leader				

DATE COMPLETED: _____

INITIALS: _____

NAME	TELEPHONE NUMBER	EMERGENCY TELEPHONE NUMBER	ASSIGNMENT	COMPLETED

DATE COMPLETED: _____

INITIALS: _____

BASIC EMERGENCY EQUIPMENT SUPPLY LIST
(Note: keep copy of complete list in supply box)

Location: _____

- | | | |
|---|--|---|
| <input type="checkbox"/> Batteries | <input type="checkbox"/> Hand Trucks | <input type="checkbox"/> Scissors |
| <input type="checkbox"/> Brooms | <input type="checkbox"/> Knives (Utility) | <input type="checkbox"/> Screwdrivers |
| <input type="checkbox"/> Buckets | <input type="checkbox"/> Milk Crates (plastic) | <input type="checkbox"/> Sponges |
| <input type="checkbox"/> Communication Devices (i.e.: pagers
beepers, portable telephones) | <input type="checkbox"/> or Record Storage Boxes | <input type="checkbox"/> Natural Rubber Sponges |
| <input type="checkbox"/> Crowbar | <input type="checkbox"/> Mops | <input type="checkbox"/> String or Twine |
| <input type="checkbox"/> Clothes Line | <input type="checkbox"/> Unprinted Newsprint (or other absorbent
unprinted paper) | <input type="checkbox"/> Tape (Masking, Packaging, Waterproof) |
| <input type="checkbox"/> Clothes Pins | <input type="checkbox"/> Paper Identification Tags | <input type="checkbox"/> Waterproof Markers |
| <input type="checkbox"/> Disinfectant | <input type="checkbox"/> Paper Towels | <input type="checkbox"/> Wire Cutters |
| <input type="checkbox"/> Extension Cords | <input type="checkbox"/> Pencils | |
| <input type="checkbox"/> Face Masks | <input type="checkbox"/> Pencil Sharpeners | |
| <input type="checkbox"/> Fans | <input type="checkbox"/> Plastic Garbage Bags | |
| <input type="checkbox"/> First Aid Kit | <input type="checkbox"/> Plastic Garbage Cans | |
| <input type="checkbox"/> Flashlights | <input type="checkbox"/> Plastic (Polyester) Sheeting | |
| <input type="checkbox"/> Freezer Paper | <input type="checkbox"/> Pliers | |
| <input type="checkbox"/> Gloves, Work | <input type="checkbox"/> Rags (clean) | |
| <input type="checkbox"/> Gloves, Surgical | <input type="checkbox"/> Rubber Boots & Gloves | |

DATE COMPLETED: _____

INITIALS: _____

ADDITIONAL SUPPLY LIST

(If not on site, where can they be obtained.)

___ **Generators**

___ **Water Pump**

___ **Radio**

___ **Food for work crews**

___ **Camera to document damage (insurance purposes, restoration, historic)**

___ **Freezer (location, availability)**

DATE COMPLETED: _____

INITIALS: _____

HAZARDS SURVEY

Identify all potential problems that may lead to disasters at the location. The survey should include internal and external building functions and structures, storage areas (record and non-record) collection level items (records, files, books, etc.) The purpose of this survey is to identify potential problems materials could suffer and to help plan for repair. Coordination with Building Services and other agencies is essential in order to relocate materials, repair damages, or redesign record and work areas.

Building

Building Equipment - (working, not working, damaged)
Chemicals - (what they are, where they are stored, under safety provisions)
Climate Control Systems (Heat/Air Conditioning/Humidity)
Dust
Electrical Systems - Outlets, Loose or Exposed Wires
Escape Routes - marked
Fire Equipment - Detection & Extinguishing
Fuel Pipes
Furniture - condition, materials used
Pollution - from building or environment
Security Systems
Sewage/Plumbing Systems

Structure

Materials Used
Additions and Renovations
Condition (condensation, blistering, cracks, gaps, leaks)
Insulation Material
Roof and Foundation Condition (leaks, cracks, gaps)
Seals around windows, doors
Drainage Systems
Attic, Basement, Storerooms - condition
Telephone Lines
Topography of Area (flood prone, blizzards etc.)
Ventilation Systems
Vermin - history of insects, rodents
Water Systems (sprinkler, pipe, drinking water)

DATE COMPLETED: _____

INITIALS: _____

Storage Areas

Book Trucks in good condition

Floor Area clear of obstacles

Shelving Secure

Smoke and Fire Detectors

Collection/Records/Files

Condition of Collection - note any preservation/conservation problems

DATE COMPLETED: _____

INITIALS: _____

HAZARDS SURVEY

ITEM	CONDITION			COMMENTS
	GOOD	FAIR	POOR	
Example: Building Structure: Basement			XXXX	Flooding Occurs with Heavy Rains
Example: Building Structure: Attic	XXXX			Some leaks need repairing. Generally good Leak located over bathroom area, about 4'x4' square

DATE COMPLETED: _____

INITIALS: _____

ITEM	<u>CONDITION</u>			COMMENTS
	GOOD	FAIR	POOR	

DATE COMPLETED: _____

INITIALS: _____

FLOOR PLAN

All areas utilized by each department are to be included on the floor plan. The floor plan helps identify problems and aids in the recovery process by rapidly explaining the physical layout of the operation to the recovery team and other professionals. Items should include (but are not limited to):

air conditioners

computer equipment

confidential records

electrical outlets (2 or 3 prong)

emergency exits and escape routes

emergency equipment supplies

file cabinets

fire extinguisher and stand pipes

fire alarms

first aid equipment

flammable materials

hazardous materials

heaters

inventory

lighting

master switch locations

obstacles or hazards

records

shelving

vital records

windows

DATE COMPLETED: _____

INITIALS: _____

EVACUATION PLANS

Attach the evacuation plan for the department. Check with the building superintendent for the evacuation coordinators or with Court Security to obtain a copy of the plan for the area.

DATE COMPLETED: _____

INITIALS: _____

INVENTORY

Attach a copy of the records inventory. A complete inventory is needed in order to make sure all records are accounted for after the disaster. The inventory consists of a detail listing of all the records involved. Refer to the OCA Records Inventory if the court/office has previously completed one or contact the Office of Records Management for a copy.

Include the quantity, the location of records (on site and off site), where copies of records are available, and the format of the records.

Designate vital records and confidential/sealed records. Additionally for computer records include the location of backup copies and hardware

systems that can read the electronic records.

If the inventory is too large to list (e.g.: wooden/metal catalog), show the location of the inventory on the floor plan.

DATE COMPLETED: _____

INITIALS: _____

CONTROL LIST

Itemize all records moved during the disaster. Note their old location at the disaster site and their new location in the recovery/salvage area.

Retain this list permanently to document conservation treatments to records and loss of records.

OLD LOCATION	ITEM NAME	NEW LOCATION	TREATMENT	DATE & INITIALS
Example: Range 1 Bay 1 Shelf 1	Court Case 1900-1901	See map location #1 OR Room 30, Range 21, Bay 10, Shelf 13	To be kept in house OR To be sent out to ?? for treatment	

DATE COMPLETED: _____

INITIALS: _____

OLD LOCATION	ITEM NAME	NEW LOCATION	TREATMENT	DATE & INITIALS

DATE COMPLETED: _____

INITIALS: _____

DAMAGE ASSESSMENT REPORT

**Itemize all damage done during the disaster. Use this as a basis for creating the Priority/Action List.
Retain the Materials Damage Report permanently to document record loss.**

STRUCTURAL DAMAGE

ITEM	DAMAGE	COMMENTS	PRIORITY

DATE COMPLETED: _____

INITIALS: _____

ITEM	DAMAGE	COMMENTS	PRIORITY

DATE COMPLETED: _____

INITIALS: _____

MATERIALS DAMAGED

ITEM	DAMAGE	COMMENTS	PRIORITY

DATE COMPLETED: _____

INITIALS: _____

PRIORITIZING PROCEDURES USING DAMAGE ASSESSMENT REPORT

When deciding which materials to salvage first, it is important to classify the importance of the materials and the severity of the damage. These two factors need to be considered together to set up the Priority/Action List outlined on the next page. When Disaster does strike, assess the damage and prioritize for the salvage operations. Priorities are based on the location of the damage, the extent of the damages and what materials are effected. If more priority plans are needed - add pages.

Remember to use the floor plans, inventories, and damage assessment report for reference. Retain this list permanently to document conservation treatments to records and loss of records.

Materials Priority

- 1) **Control Documents (Index Books, Catalogs Shelf Lists, Calendars etc.)**
 - Vital Records (Records for continued operation the next day)
 - Micrographic Materials (Original or Archival Copies)
 - Photographic Negatives
 - Copy Prints of Negatives - if negatives do not exist
- 2) **Archival Records - those designated Permanent or Permanent for Research in the Records Retention Schedule**
- 3) **Paper records and other materials with low retention periods or no historic value**
- 4) **Materials duplicated off site**

Damage Priority

- 1) **Water soaked or partially soaked materials**
- 2) **Infested materials (mold, mildew, rodents, insect etc.)**
- 3) **Damp materials**
- 4) **Materials coated with foreign substances (e.g.: fire extinguisher fluid)**
- 5) **Charred materials**
- 6) **Smoke, Dust and Dirt, Debris**
- 7) **Records beyond salvage**

DATE COMPLETED: _____

INITIALS: _____

Priority/Action List

PRIORITY	ACTION

DATE COMPLETED: _____

INITIALS: _____

DISASTER LOG

Log all disaster incidents to aid in planning salvage operations for future problems and incidents.

DATE	INCIDENT	ACTION	RESULTS

ADDITIONAL TABLES

DATE COMPLETED: _____

INITIALS: _____

Date: _____

Page: _____ of _____

DATE COMPLETED: _____

INITIALS: _____

DATE COMPLETED: _____

INITIALS: _____

Date: _____

Page: _____ of _____

DATE COMPLETED: _____

INITIALS: _____
