

The background is a light blue gradient with several realistic water droplets of various sizes scattered across it. The droplets have highlights and shadows, giving them a three-dimensional appearance.

WHEN DISASTER STRIKES

IDENTIFICATION AND PROTECTION OF VITAL RECORDS

OCTOBER 2015

WHY VITAL RECORDS? ECO TERRORISM

- CENTER FOR URBAN HORTICULTURE
- UNIVERSITY OF WASHINGTON
- MAY 21, 2001







WHY VITAL RECORDS?

- JESUSITA FIRE
- SANTA BARBARA, CA
- MAY 2009







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WHY VITAL RECORDS?

- FLOODING IN SOUTH CAROLINA
- FLOODING IN TACOMA—WASHINGTON HIGH STADIUM
- OCTOBER 2015







THEMES

- ALWAYS A WATER COMPONENT
- ALWAYS A PANIC/RUSH
- USUALLY NOT MANAGED WELL
- MORE RECORDS THAN NECESSARY ARE LOST

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PLAN AHEAD

- YOU MUST BEGIN PROTECTION BEFORE THE EVENT TAKES PLACE
- YOU MUST HAVE A VITAL RECORDS PLAN

WHY PLAN AHEAD?

- MOST DISASTERS ARE UNEXPECTED
- IDENTIFICATION OF VITAL RECORDS BEFORE A DISASTER TAKES PLACE ENHANCES THE POSSIBILITY OF RECOVERY
- STEPS CAN BE TAKEN—RIGHT NOW—TO LESSEN THE EFFECTS OF FUTURE DISASTERS

WHAT ARE VITAL RECORDS?

VITAL RECORDS ARE RECORDED INFORMATION,
REGARDLESS OF MEDIUM OR FORMAT, THAT MUST BE
PROTECTED IN CASE OF DISASTER

VITAL RECORDS ARE:

- VITAL TO THE FUNCTION AND MISSION OF THE UNIVERSITY
- NECESSARY TO REESTABLISH NORMAL OPERATIONS AFTER A DISASTER
- NECESSARY TO ESTABLISH OR PROTECT THE LEGAL AND FINANCIAL POSITION OF THE UNIVERSITY/YOUR DEPARTMENT

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VITAL RECORDS ARE:

- NECESSARY TO PROTECT AND ENSURE THE RIGHTS AND INTERESTS OF STUDENTS AND EMPLOYEES
- NECESSARY TO REBUILD FACILITIES



REMEMBER THERE IS A DIFFERENCE BETWEEN VITAL RECORDS AND...

- **ESSENTIAL RECORDS (IMPORTANT RECORDS)**
 - RECORDS NECESSARY TO THE CONTINUED LIFE OF THE OFFICE. THEY CAN BE RECONSTRUCTED OR REPLACED AT GREAT COST AND DIFFICULTY
- **USEFUL RECORDS**
 - WHICH CAN EASILY BE REPLACED BUT THEIR LOSS COULD CAUSE TEMPORARY INCONVENIENCE
- **NON-ESSENTIAL RECORDS**
 - PROBABLY SHOULD HAVE NEVER BEEN RETAINED – HAVE NO REAL VALUE AND ARE NOT NEEDED TO CONDUCT BUSINESS



STEPS OF A VITAL RECORDS PROGRAM

- ASSIGN RESPONSIBILITY
- ANALYZE RECORDS AND IDENTIFY VITAL RECORDS
- ANALYZE RISKS AND IDENTIFY POTENTIAL HAZARDS
- IDENTIFY APPROPRIATE METHODS OF PROTECTION
- DEVELOP PROCEDURES FOR RECOVERY

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TASKS OF THE VITAL RECORDS TEAM

- IDENTIFICATION OF VITAL RECORDS
- IDENTIFICATION OF POTENTIAL RISKS
- RECOMMENDATIONS ON APPROPRIATE METHODS OF PROTECTION
- RESPONSIBILITY FOR COORDINATING THE RECOVERY OF DAMAGED RECORDS

IDENTIFICATION OF VITAL RECORDS

- DEFINE THE ESSENTIAL FUNCTIONS OF THE OFFICE AND IDENTIFY THE RECORDS WHICH SUPPORT THOSE FUNCTIONS
- CONSIDER THE UNIQUENESS OF THE RECORD
- CONSIDER THE RELATIONSHIP OF ONE RECORD TO ANOTHER

IDENTIFICATION OF VITAL RECORDS

- CONSIDER THE RECORDS AND HARDWARE/SOFTWARE NECESSARY TO ACCESS THEM
- CONSIDER HOW SOON AFTER THE DISASTER THE RECORDS WILL BE NEEDED
- CONSIDER THE RETENTION PERIOD

IDENTIFICATION OF VITAL RECORDS

- WHAT WILL WE BE UNABLE TO DO IF THIS RECORD IS DESTROYED?
- HOW CRITICAL IS OUR INABILITY TO DO THIS?
- WHAT WILL THE CONSEQUENCES BE TO YOUR OFFICE IF THE RECORDS ARE LOST?
- WILL ANY STUDENT OR EMPLOYEE SUFFER LOSS OF RIGHTS OR BE SEVERELY INCONVENIENCED IF THE RECORDS ARE LOST?
- IF THE RECORDS HAVE TO BE RECONSTRUCTED, WHAT WILL THE COST BE IN TIME, MONEY AND LABOR?
- **WILL THE INFORMATION HAVE TO BE RECONSTRUCTED OR RETRIEVED IN A MATTER OF HOURS, DAYS, OR WEEKS?**
- CAN THESE RECORDS BE REPLACED FROM ANOTHER SOURCE?
- ARE THESE RECORDS DUPLICATED IN DIFFERENT FORMAT? ARE THESE RECORDS ALSO ON-LINE?
- IS THIS OTHER FORMAT EASILY ACCESSIBLE AFTER AN EMERGENCY?

RISK ASSESSMENT

- IDENTIFY THE RISKS YOUR OFFICE MAY ENCOUNTER
- DETERMINE WHAT LEVEL OF IMPACT THE RISK WILL HAVE
- CALCULATE THE PROBABILITY OF THAT RISK HAPPENING



RISKS FOR POTENTIAL DISASTERS INCLUDE

- WATER
- FIRE
- NATURAL DISASTERS
- INSECTS/VERMIN
- ENVIRONMENTAL FACTORS
- STORAGE CONDITIONS
- THEFT/VANDALISM
- IMPACT—WIND, BOMB

RISK ASSESSMENT

- **IMPACT RATING SCALE**
 - 0=NO INTERRUPTION IN OPERATIONS
 - 1=INTERRUPTIONS UP TO 8 HOURS
 - 2=INTERRUPTIONS FOR 8-48 HOURS
 - 3=OVER 48 HOURS OF INTERRUPTION – RELOCATION OF OPERATIONS MAY BE NECESSARY
- **PROBABILITY RATING SCALE**
 - HIGH=10 POINTS
 - MEDIUM=5 POINTS
 - LOW=1 POINT
- **IMPACT RATING X PROBABILITY RATING = RISK FACTOR**

(2)

(10)

(20)



THE PROTECTION YOU CHOOSE WILL BE BASED ON

- THE TYPE OF RECORD
- ACCESS AND RETRIEVAL NEEDS
- TYPE OF HAZARD THE RECORD FACES
- COST AND EFFECTIVENESS OF THE PROTECTION
- EQUIPMENT NECESSARY TO ENFORCE
- HOW VITAL THE RECORD ACTUALLY IS...

OPTIONS FOR PROTECTION

- DUPLICATION AND DISPERSAL
 - NATURAL/BUILT IN
 - ON-SITE/OFF-SITE STORAGE/BACKUPS
- REPRODUCTION
 - MICROFILM
 - SCANNING
- ENVIRONMENTAL CONTROLS
- CHOICE OF EQUIPMENT AND STORAGE LOCATION

GENERAL TIPS ON PREVENTION

FIRE

- NO SMOKING IN OR AROUND STORAGE AREAS
- DO NOT STORE RECORDS WITH CHEMICALS, CLEANING SUPPLIES, OR OTHER FLAMMABLE MATERIAL
- DO NOT STORE RECORDS NEAR A FURNACE, RADIATOR, LIGHTS, OR HEATERS.
- ENSURE THAT ELECTRICAL APPLIANCES ARE OPERATED AT A SAFE DISTANCE FROM FLAMMABLE MATERIALS AND THAT THEY ARE TURNED OFF WHEN NOT IN USE
- COMPLY WITH ALL LOCAL FIRE, ELECTRICAL, PLUMBING CODES

WATER

- REGULARLY INSPECT THE GENERAL CONDITION OF THE OFFICE OR STORAGE AREA TO DETERMINE IF THE AREA IS SUSCEPTIBLE TO FLOODING – LEAKS, ETC.
- TRY NOT TO STORE RECORDS IN AREAS THAT HAVE WATER OR SEWER PIPES WHICH PASS THROUGH THEM

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THE BASIC OBJECTIVES OF RECOVERY ARE:

- STABILIZE THE ENVIRONMENT TO PREVENT FURTHER DAMAGE TO VITAL RECORDS
- RECOVER AS MANY VITAL RECORDS AS POSSIBLE IN THE MOST COST EFFECTIVE MANNER POSSIBLE

COORDINATION OF THE RECOVERY EFFORT IS DONE BOTH BEFORE AND AFTER DISASTER STRIKES

- BEFORE:
 - ESTABLISHING AN EMERGENCY CONTACT LIST
 - DEVELOPING A MAP OF THE LOCATION OF VITAL RECORDS
 - IDENTIFYING APPROPRIATE SUPPLIES AND VENDORS FOR USE IN THE RECOVERY EFFORT
 - PURCHASING THOSE SUPPLIES WHICH ARE PRACTICAL TO HAVE ON HAND
- AFTER
 - DAMAGE ASSESSMENT
 - PRIORITIZING RECORDS FOR RECOVERY
 - GETTING APPROVAL FOR THE PURCHASE OF SUPPLIES OR USE OF VENDORS
 - CONTACTING VENDORS AND GATHERING SUPPLIES
 - REMOVING DAMAGED RECORDS FROM THE CONTAMINATED AREA
 - MOBILIZING A RECOVERY WORK FORCE

DURING RECOVERY

- HAVE A PRE-SET RECOVERY PLAN--PLAN AHEAD
- FORCE YOURSELF TO FOCUS
- HAVE SUPPLIES ON HAND
- NETWORK
- ASK FOR HELP
- ACT QUICKLY



RECOVERY METHODS

- PAPER
 - 48 HOURS IN WHICH TO ACT BEFORE MOLD SETS IN
 - RECOVER WET RECORDS – COLD STORAGE – MILK CRATES
 - STABILIZE VERY FRAGILE WET RECORDS – FREEZE THEN COLD STORAGE
 - VACUUM DRYING
- COMPUTER HARD DRIVES
 - 48 HOURS IN WHICH TO ACT
 - MUST BE VACUUM DRIED OR AT LEAST FREEZE DRIED

NOTE:

- DO NOT USE FANS IN ROOMS WHICH HAVE WATER DAMAGED MATERIALS.
- KEEP THE TEMPERATURE AS COLD AS POSSIBLE IN ROOMS WHICH HAVE WATER DAMAGED MATERIALS.
- KEEP ROOMS WHICH HAVE WATER DAMAGED MATERIALS WELL VENTED.
- THE GOAL IS TO BRING DOWN TEMPERATURE AND HUMIDITY.
- SEWER DAMAGE IS CONSIDERED HAZARDOUS WASTE. BEFORE YOU CAN START RECOVERY, THE MATERIAL MUST BE CLEANED BY BIOHAZARD EXPERTS.



QUESTIONS?

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RESOURCES

[HTTP://F2.WASHINGTON.EDU/FM/RECMGT/](http://F2.WASHINGTON.EDU/FM/RECMGT/)

[HTTP://F2.WASHINGTON.EDU/FM/RECMGT/MANAGING/
VITALRECORDS](http://F2.WASHINGTON.EDU/FM/RECMGT/MANAGING/VITALRECORDS)