Contingency Planning & Disaster Recovery
The Role of the Records & Information Manager

Katherine Jonelis, BCP/Records Specialist
SCF Arizona
SCF Arizona

SCF Arizona is the leading provider of Arizona workers' compensation insurance. Founded in 1925, SCF covers more than 25,000 Arizona business and their half-million employees.

As a leading advocate of workplace safety, SCF is proactive in building a culture of safety throughout Arizona and in keeping Arizona’s workers' compensation insurance rates among the lowest in the nation.
Key Topics

• What do we mean by contingency planning or disaster recovery?
• What is an emergency, disaster, crisis?
• Steps in emergency planning
• Protecting records from loss
  – Vital Records
  – Other considerations
A rose by any other name…

• Called many things –
Contingency Planning or Business Continuity

- Refers to the ability of an organization to provide service and support for its customers and to maintain its viability before, during and after a disruptive event (disaster)
Disaster Recovery

• Refers to activities within a specified time frame that allow the business to recover the necessary information and technology to return to normal operations during and after a crisis/emergency

• More commonly used in the context of data processing/IT operations
What is an emergency?

• A situation that poses an *immediate risk* to health, life, property or environment

• Most emergencies require urgent intervention to prevent a worsening of the situation
Overall Priorities

• Save lives
• Stabilize the situation
• Preserve property
• Restore business operations
What is a crisis?

• Any event that is, or is expected to lead to, an unstable and dangerous situation affecting an individual, business or community

• Can be brought about because of an emergency, or it can be brought about by other factors
Types of Crises

• Natural (weather-related)
• Man made (violence in the workplace; data breach)
• Technical (equipment; computers)
• Sudden (without warning)
• Smoldering (build with time)
Now, how about the records?

- Everyone knows that an emergency can disrupt a company’s operations and can potentially damage or destroy critical records and information. But do we know our own role in emergency/disaster planning?

- Our goal as information professionals is to prevent records emergencies from becoming records disasters.
Records to Consider

• Records created during the disaster
  – Business records
  – Records related to the disaster itself
• Accounting for records destroyed as a result of the disaster
• Vital records
Vital Records

• What is a vital record?
  – Vital records are either irreplaceable or very difficult to replace and they are required to continue critical company business
  – Absence of vital records, or the inability to locate or translate vital records (in the case of machine-readable or digital records) means that the company could not provide critical services to customers, employees and other stakeholders during a disaster or shortly thereafter
Vital Records

• Ensure the continued viability of the organization and the businesses it operates
• Enable a company to resume operations as quickly as possible
• Help to re-establish financial and legal status
• Fulfill obligations to stakeholders, customers, employees, and government
• Typically only 2-8% of an organization's records are vital
Common Vital Records

• Emergency-operating records
• Emergency plans and directive(s), or other authorizing issuances, including information needed to operate the emergency operations center and its equipment, and records recovery plans and procedures
• Orders of succession
Common Vital Records

- Delegations of authority
- Emergency operations center access credentials and classified or restricted access container documentation (as required)
- Building plans and building systems operations manuals for all agency facilities
Common Vital Records

- Current AR/AP records
- Current contracts & agreements
- Current personnel & payroll records
- Current customer or client records
- Tax records
- Ownership records (land, facilities, equipment and vehicles)
Vital Records Program

• Identify the records you consider vital
• Inventory vital records
  – What you have, where it is located, what risk(s) it is subject to, how do you/will you protect it
• Keep business needs in mind
  – Risk Management
  – Business Impact Analysis (BIA)
Risk Management

• A Vital Records Program
  – Identifies potential & existing exposures to risk
  – Establishes ways to measure & evaluate risk
  – Determines appropriate action to remove or reduce risk
  – Implements improved behaviors & conditions
  – Provides ongoing scrutiny against future risk
Risk Matrix
Business Impact Analysis

• Evaluate critical operations and determine resources needed to run them

• Basis for strategic decisions about recovery; which business processes and assets require the highest level of protection

• Crucial to know where all critical information resides and to plan for the recovery of this information should the need arise
RTOs & RPOs

• Recovery Time Objective
  – The period of time within which systems, applications, or functions must be recovered after an outage

• Recovery Point Objective
  – The point in time to which systems and data must be recovered after an outage
Four stages to planning

• It is generally recognized that there are four stages to emergency/disaster planning
  – Mitigation/Prevention
  – Preparedness
  – Response
  – Recovery
Mitigation & Prevention

• Select the format for protecting & maintaining vital records that ensures accessibility & usability during a disaster
  – Reproduced hard copy
  – Microfilm
  – Optical
  – Magnetic Tape
Mitigation & Prevention

• Select the method most appropriate for protecting the vital records
  – Routine Dispersal
  – Designed/Planned Dispersal
  – Protective Storage
  – Offsite Storage
  – Electronic (vaulting, data replication, mirroring, shadowing)
Preparedness

• Involves the activities that develop records and information capabilities for the operational response to an emergency
  – Preparation of a records & information emergency response plan
    • Documented plan addressing the immediate reaction and response to an emergency
  – Determine response & recovery strategies
Preparedness

- Establish contracts, policy & procedures for use of alternate sites & alternative access to managed service providers
- Establish responsibilities for execution of response measures & tasks
Preparedness

• Determine & secure access to external resources
• Establish procedures for restoring systems, information
• Determine necessary response support documents
  – Employee and vendor contact information
  – Facility access contact data
  – Equipment listings
Response

• The activities taken immediately before, during, or directly after a disruptive event that minimize damage or improve recovery of records and information

• Activating the emergency response plan and initiating contingency plan activities are the primary response activities
Response

- Response can generally be broken down into three phases
  - Pre-Hazard: event is imminent and a need to respond is recognized
  - Emergency, hazard effects are ongoing
  - Emergency, hazard effects have ceased
Response

• Contact appropriate authorities
  – Chain of authority within the company
  – *Safety First*, call 911 if necessary

• Initiate recovery activities
  – Initial damage assessment
  – Security activities

• Activate contingency arrangements
Recovery

• The implementation of short-term activities that restore vital records and information to minimal operating standards
  – Damage assessment
  – Stabilization
  – Salvage
  – Restoration
  – Resumption of operations
Recovery

• Types of Damage
  – Water
  – Fire/Smoke
  – Pest Damage
  – Hazardous Chemicals
Recovery

• Stabilization techniques for records
  – Reduce air temperature and humidity and increase air circulation to prevent growth of mold & mildew
  – Remove debris to prevent further crushing of records housing
  – Isolate items infected with mold, mildew, hazardous chemical residue, or insects
Recovery

• Stabilization techniques for records
  – Place water-damaged microfilm and magnetic media in clean, clear water or rinse media and place into sealed plastic bags while still wet
  – Begin insect extermination procedures on isolated infested records immediately to prevent migration
Recovery

• Determine appropriate salvage operations
  – Procedure appropriate for type of damage (water, smoke, extreme heat)
  – Procedure appropriate for type of media (paper, microfilm, electronic)

• Begin restoration procedures
  – Place to house recovered records
  – Put paper records back in order
  – Restore electronic data from backup files
Recovery

- Resume operations
  - Clean, repair/replace facility, furniture, equipment
  - Restart non-essential equipment, processes, systems
  - Restore non-vital records and information
  - Re-sort, organize and index salvaged records
Recovery

• Resume operations
  – Ensure environment has been stabilized
  – Notify staff of return to normal and supervise orderly return to facility
  – Identify records affected by the incident & account for loss
  – Review lessons learned
Resources/More Info


– Vital Records & Business Continuity (webinar from ARMA—includes both of above resources)
Resources/More Info


– FEMA at [www.ready.gov](http://www.ready.gov)

– Association of Contingency Planners, AZ Chapter, [www.azacp.org](http://www.azacp.org)

– ARMA International, [www arma.org](http://www arma.org)
Questions?

“Well, thank God we all made it out in time. …’Course, now we’re equally screwed.”
Contact

Katherine Jonelis
Business Continuity/Records Specialist
SCF Arizona

kjonelis@scfaz.com