It Won’t Happen to Me – Not!

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Information Specialist
Entrepreneurship Manitoba
Business Services Division
Knowledge Centre
Learning Objectives

You will be able to:

1. Identify risks to records
2. Measure potential risks to records
3. Assign a value to records
4. Prioritize records by risk and value

Emergency Preparedness
Mitigation
Response
Recovery
Agenda

Part I: Strategy for including records in crisis planning
Part II: Calculating a record risk factor
Part III: Assigning a value to records
Part IV: Prioritizing records by risk & value
Part V: Monitoring risks to records
Part VI: Discussion/Questions
Startling Facts

• According to Hewlett-Packard and SCORE
  – An estimated 25% of businesses do not reopen following a major disaster
  – 80% of companies that do not recover from a disaster within one month are likely to go out of business
  – 75% of companies without business continuity plans fail within three years of a disaster
  – As of 2011 only 35% of small/medium sized businesses in the U.S. had a DR plan

Definitions

• A record is …
  – “recorded information, regardless of medium or characteristics, made or received by an organization in pursuance of legal obligations or in the transaction of business.”
Definitions

• A record series …
  – “a group of similar records that are arranged according to a filing system and that are related as a result of being created, received, or used in the same activity.”

Definitions

• A record retention schedule is …
  – “a comprehensive list of records series, indicating for each, the length of time it is to be maintained and its disposition.”
Disaster Recovery Plan (DR) v. Business Continuity (BC)

• DR is “a written and approved course of action to take after a disaster strikes that details how an organization will restore critical business functions and reclaim damaged or threatened records”

• BC is “an organization’s ability to operate in the event of a disaster or disruption”

Does your crisis plan protect records as business assets?

Peggy Neal, 2011
Part I: Strategy for including records in crisis planning

• **Step 1 - Prevention is a priority!**
  
  – Designate a senior person to oversee information governance in the organization and delegate responsibility for records management to **appropriate individuals**

Part I: Strategy for including records in crisis planning

• **Step 2** - Conduct a comprehensive inventory of your organization’s business records
  – Purpose and function
  – Who needs access
  – Locations
    • Copies, backups, third party custodians
  – Formats, revisions, and versions
  – Storage equipment and facilities
  – Work-in-progress
Part I: Strategy for including records in crisis planning

• **Step 3** - Identify as many risks and exposures to records as possible

• **Step 4** - Conduct a organization-wide impact assessment

A crisis can occur in seconds without warning, but recovery can take years!
Part I: Strategy for including records in crisis planning

• **Step 5** - Assign a value to records
  – Records are more valuable than systems because systems can be replaced more easily than records

• **Step 6** - Prioritize records based on their risk factor and value to the organization
Part I: Strategy for including records in crisis planning

• Step 7 - Identify resources needed to survive each risk to each record series

• Step 8 - Identify all versions of records
  – Copies
  – Revisions
  – Backups
  – Redacted
  – Third party custody
  – Work-in-progress
Part I: Strategy for including records in crisis planning

- **Step 9** - Develop strategies for mitigating each risk to records
- **Step 10** - Schedule regular reviews of the DR and BC plans
Part II: Calculating a record risk factor

Jerry Kofsky, 2013
Fabricated Scenario

You are a Transport Safety Board of Canada Records Manager responsible for managing and protecting records collected and used as evidence in the investigation. There is an ongoing search and rescue operation for an airplane that disappeared.

Courtesy of the Transportation Safety Board of Canada.
Photo 1. Piper Navajo. Retrieved on April 15, 2015
http://www.tsb.gc.ca/eng/reports-aviation/2010/a10a0056/a10a0056.asp

Pictures Courtesy of Peggy Neal, 2014
Part II: Calculating a record risk factor—Probability of Risks to Records

- **Step 1** - Use the comprehensive records inventory and record retention schedules to identify all of the records series

- **Step 2** - Identify as many potential risks to records as possible
# Part II: Calculating a record risk factor-Probability of Risks to Records

## Records Risk Mitigation Job Aid

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Spot the Risks to Records

- List 5 risks to records and potential impact
Part II: Calculating a record risk factor-Probability of Risks to Records

- **Step 3** - Assess the probability that each risk may occur

  A) examine external factors
  B) explore facility-wide risks
  C) examine risks by department
  D) observe employee workstations
Part II: Calculating a record risk factor—Probability of Risks to Records

- **Step 4** - Characterize each risk in terms of the probability that it may occur by ranking it from 1 to 10

  1 = lowest probability of risk occurrence
  
  10 = highest probability of risk occurrence
# Part II: Calculating a record risk factor - Probability of Risks to Records

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Part II: Calculating a record risk factor-Probability of Risks to Records

• **Step 5** - Conduct an impact assessment to determine what the impact to the organization would be if the records were lost, damaged, or otherwise unavailable

  – Create visuals to show how business functions interact with the organization
Part II: Calculating a record risk factor - Probability of Risks to Records

Example of a graphic representation

- **Functions**
- **Activities**
- **Tasks**
Part II: Calculating a record risk factor—Probability of Risks to Records

- **Step 6** - Identify business obligations

- **Step 7** - Rate the potential risk impact

  0 = No impact
  1 = Noticeable impact for up to 24 hours
  2 = Damage to organization from 24 to 72 hours
  3 = Major damage to organization for 72 hours or longer
# Part II: Calculating a record risk factor—Probability of Risks to Records

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Part II: Calculating a record risk factor—Probability of Risks to Records

• **Step 8 - Calculate a Risk Factor**

\[
\text{Risk (R)} = \text{Probability (P)} \times \text{Impact (I)}
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### Part III: Assigning a value to records

- **Step 9 - Define record value classes**

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<tr>
<th>Value Class</th>
<th>Definition</th>
<th>Priority for Access</th>
<th>Class of Vital Record</th>
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<tbody>
<tr>
<td>Vital - 4</td>
<td>Contains information critical to the continuation or survival of the organization during or immediately following a crisis. Necessary for continuing operations without delay under abnormal conditions. Contains information necessary to recreate legal and financial status, to preserve rights, and meet obligations to stakeholders.</td>
<td>Physical protective storage must be close to a disaster response site where crisis coordination activities take place. Electronic records must be available using electronic replication methods as needed.</td>
<td>Records are essential for managing emergency or crisis situations</td>
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<tr>
<td>Important - 3</td>
<td>Has some value to the organization for restoring operations to a normal state following a crisis. Category for destroyed records that can be replaced for a moderate cost.</td>
<td>Physical protective storage must be close to the disaster recovery site where crisis coordination activities take place. Electronic records and backups can be accessed quickly.</td>
<td>Records are essential for resuming business operations following a crisis</td>
</tr>
<tr>
<td>Useful - 2</td>
<td>Useful for continuing organizational operations without interruption. Inconvenient without records but they can be replaced for minimal cost.</td>
<td>Physical protective storage is accessible and away from disaster area.</td>
<td>Records are essential for legal and audit purposes</td>
</tr>
<tr>
<td>Non-Essential - 1</td>
<td>Used for reference, are copies of originals, or are transitory in nature. Inconvenient without records but can be replaced for minimal cost.</td>
<td>Physical storage is typically at department or user workstations. Some records are copies that can be replaced if needed.</td>
<td>Records are used for quick reference or transitory in nature</td>
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Part III: Assigning a value to records

- **Step 10** - Assign a classification to each record series based on its value to the organization
  - Vital = 4
  - Important = 3
  - Useful = 2
  - Non-essential = 1

Typically, the greater the amount invested in securing and protecting a record, the more likely the record is “vital”
### Part III: Assigning a value to records

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Part IV: Prioritizing records by risk & value

• Step 11 - Prioritize each record series
  – Sort first by Record Value Class
  – Then by Risk Factor or Daily Risk Cost
### Part IV: Prioritizing records by risk & value

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<td>NASA</td>
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</table>
Part V: Monitoring risks to records
Part V: Monitoring risks to records

• Step 1 - Using the Records Risk Mitigation Job Aid, identify records series with the highest value and greatest risk factor

• Step 2 - Systematically assess the information entered into the Records Risk Mitigation Job Aid and ensure it is current
Part V: Monitoring risks to records

• **Step 3** - Develop policies and procedures to comply with organizational obligations

• **Step 4** - Assign a person(s) from each Office of Record to be responsible for managing records and maintaining sections of the crisis plan pertaining to their function
Part V: Monitoring risks to records

• Step 5 – Update the floor plan showing locations where records are stored and who needs access to them

• Step 6 - Prepare a mobile emergency kit to contain damage and create an area for staging, assessing, and recovering damaged records
Part V: Monitoring risks to records

- **Step 7** - Identify methods and equipment needed to access, reconstruct, or replace records if they are damaged, lost, or otherwise unavailable

- **Step 8** - Establish a budget for crisis planning
  - Estimate costs and expenses
  - Estimate cash flow needed to sustain operations during a crisis
Part V: Monitoring risks to records

• Step 9 - Establish a records management program
  – On a continuous basis, apply the Generally Accepted Recordkeeping Principles®
  – Keep the records inventory up to date
  – Ensure adherence to retention policies
  – Securely destroy records as soon as retention periods expire
  – Diligently maintain backup processes
  – Ensure records are accessible and available at any point in time
Part V: Monitoring risks to records

• Step 10 - Get involved in crisis planning
  – Establish an Information Governance Committee to develop and monitor strategies for mitigating risks to records
  – Consult record stakeholders to determine the feasibility of each risk mitigation strategy
  – Add risk mitigation strategies to the Records Risk Mitigation Job Aid for new records/risks
  – Revise the crisis plan to include records risk mitigation strategies
Helpful Resources


Researching external risks

- EM-DAT: The International Disaster Database
  [http://www.em-dat.net/links/disasterdbs.html](http://www.em-dat.net/links/disasterdbs.html)

- RSOE Emergency and Disaster Information Service

- United Nations Disaster Prevention Statistics (glide numbers)
  [http://www.unisdr.org/we/inform/disaster-statistics](http://www.unisdr.org/we/inform/disaster-statistics)

- International Federation of Red Cross and Red Crescent Societies publications
  [https://www.ifrc.org/](https://www.ifrc.org/)

- Canadian Disaster Database
Researching external risks, Continued

- Natural Resources Canada. Natural Hazards
  https://www.nrcan.gc.ca/hazards/natural-hazards

- Environment Canada. Weather
  http://weather.gc.ca/canada_e.html

- Other weather channels
  http://www.weather.com/
  http://www.theweathernetwork.com/

- Local libraries

- Local newspapers
Researching internal risks

Seek senior management support!

Some documents may contain sensitive information

- Access to information requests
- Workers’ compensation claims
- Investigations and audits
- Organizational history
- Insurance claims
- Annual reports
- Lawsuits
Part VI: Discussion/Questions

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